

DE MONTFORT UNIVERSITY SCHEME OF DELEGATION

Introduction

This document seeks to record where delegation rests within the university for particular types of decision made in the name of, or on behalf of, the university. This document is owned by the Board of Governors. A Table of Delegations is attached at Schedule 1. No such schedule can be absolutely comprehensive but in addition to explicitly locating the locus of authority for specific categories of decision, the schedule also forms a frame of reference through which questions about other types of decision may be resolved.

Note that the schedule below purports only to identify responsibility for the final (“ratification”) stage of decision-making, and not, for example, responsibility for formulating strategic, policy and business proposals (which typically lies with the University Leadership Board).

Framework and principles of delegation

1. As the governing body of the university the Board of Governors is responsible for:
 - the oversight of the conduct of the affairs of the university;
 - the oversight of the management and administration of the revenue and property of the university;
 - establishing a framework for the pay and conditions of staff; ensuring that there are in place policies and procedures for dealing with staff performance, discipline, dismissal and grievance, as well as ensuring adherence to the Dignity at Work policy;
 - ensuring that there are in place terms and conditions for students and policies and procedures for dealing with student discipline, complaints and academic appeals;
 - ensuring that the students’ union operates in a fair and democratic manner and is accountable for its finances;
 - ensuring freedom of speech within the law is guaranteed on university premises for staff and students of the university and for visitors;
 - ensuring academic freedom within the law;
 - the health safety and wellbeing of employees, students and others while on the university’s premises;
 - for monitoring its own effectiveness;
 - the appointment, assignment, grading, appraisal, suspension, dismissal and determination of the pay and conditions of service of members of the University Leadership Board and the Secretary;
 - creating a governance structure for the university, subject to the Instrument and Articles of Government; and
 - the custody and use of the Seal of the university.

2. The Board of Governors may establish committees for any purpose or function and may delegate its powers to those committees or to the Chair of the Board of Governors or to the Vice-Chancellor. However, it cannot delegate decisions on the following matters and these will be reserved for decision by the full Board of Governors:
 - the determination of the educational character or mission of the university;
 - the responsibility for ensuring the solvency of the university and for safeguarding its assets, including but not limited to the approval of the annual budget and accounts of the university; and
 - the making of, alteration, amendment or addition to the Instrument and Articles of Government.
3. In accordance with clause 2 above the Board of Governors has established the following committees whose terms of reference are set out in the relevant Standing Orders:
 - Finance and Performance Committee
 - People and Culture Committee
 - Audit Committee
 - Nominations Committee
 - Remuneration Committee
4. As the academic authority of the university, the Academic Board shall oversee the scholarly activities of the university. The Academic Board will have such functions, categories of membership and terms of office as are approved by the Board of Governors and shall normally be chaired by the Vice-Chancellor. An independent member of the Governing Body shall be an attendee of the Academic Board, to act primarily as an observer to build a strong link between the two bodies.
5. As the chief executive and senior academic officer of the university, the Vice-Chancellor is responsible to the board within the framework laid down by the Instrument and Articles of Government, the requirements of the Office for Students (OfS) Terms and Conditions of Funding for Higher Education Institutions, the Committee of University Chairs (CUC) Higher Education Code of Governance, the university's Financial Regulations and this Scheme of Delegation, for the operational management of all aspects of the university's work. The Vice-Chancellor may delegate, and in practice has delegated, responsibility for specific aspects of the university's management to members of the University Leadership Board (or to other members of management as appropriate), but retains ultimate responsibility for their work.
6. The Vice-Chancellor is designated by the Board of Governors to be the Accountable Officer for the University and reports to the OfS on behalf of the University. As such, he or she is personally responsible to the Board of Governors for ensuring compliance with the terms of the OfS Terms & Conditions of Funding for Higher Education Institutions and providing the OfS with assurances to that effect.
7. The members of the University Leadership Board are responsible to the Board of Governors (through the Vice-Chancellor) for the leadership and overall management of their respective faculties and directorates in accordance with their job descriptions and the policies and Financial Regulations of the university. They may delegate responsibility for specific aspects of faculty management to the heads of school and/or other members of the relevant faculty executive or directorate management team but retain ultimate responsibility for the management of their faculty or directorate.

8. Should any matter or decision arise which is within the delegated authority of an individual or body but to which a sensitive, political, reputational or other similar issue is attached or suspected, the decision should be referred to the appropriate (normally higher) level and, ultimately, to the Board of Governors as per 1.15. If there is any doubt as to the appropriate decision-making level, advice should be sought from the Secretary to the Board.

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#	ACTION	FINAL AUTHORITY	DELEGATION	NATURE OF DELEGATION AND PROCESS <i>It should be stated here whether any other senior bodies/individuals other than those set out in the 'Delegation' column are involved in the governance process.</i>
1	GOVERNANCE, MANAGEMENT AND CONTROL			
1.1	Amendments to Instrument and Articles of Government	Board of Governors	Audit Committee	
1.2	Amendments to the Scheme of Delegation	Board of Governors	Audit Committee	Audit Committee will make recommendations to the Board of Governors for approval.
1.3	Amendments to Standing Orders	Board of Governors	Audit Committee, where the amendments have a material effect on the substance of the Standing Order	Significant amendments are reviewed by the Audit Committee for recommendation for approval by the Board of Governors.
			Secretary, where amendments are minor and have no material effect on the substance of the Standing Order.	Minor amendments are made by the Secretary and noted by the Audit Committee and board.
1.4	Execution of responsibilities of the Chancellor	Chancellor	Pro Chancellors	Ceremonial responsibilities of the Chancellor can be delegated to Pro-Chancellors or other individuals so nominated by the Vice-Chancellor, if the Chancellor is unavailable.
1.5	Execution of responsibilities of the Vice-Chancellor subject to university policies and procedures.	Vice-Chancellor	Deputy Vice-Chancellor	Depending always on the issue in question, the Deputy Vice-Chancellor may exercise such functions of the Vice-Chancellor as may be appropriate, either at their request, in their absence or during a vacancy in the post of the Vice-Chancellor.
1.6	Execution of Responsibilities of the Pro Vice-Chancellors including Pro Vice-Chancellor/Deans	Pro Vice-Chancellors	Associate Pro Vice-Chancellors, Deputy Deans or relevant directors	If the relevant faculty/department has an Associate Pro Vice-Chancellor, Deputy Dean or Director, they may exercise any of the functions of the Pro Vice-Chancellor/Dean either at their request, in their absence or during a vacancy in the post of the Pro- Vice-Chancellor/ Dean. Alternatively, in the absence of a Deputy Dean/Director or during a vacancy in the office, another senior member of staff chosen by the Vice-Chancellor may exercise the functions of the Pro Vice-Chancellor/ Dean.
1.7	Execution of responsibilities of Academic Board	Academic Board	Vice-Chancellor	Academic Board members will seek advice from other colleagues across the university as required in order to inform their decisions - but their responsibilities as members of the Academic Board are not delegated.
			Deputy Vice-Chancellor	

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			Pro Vice-Chancellor (Education)	An independent Governor shall be an attendee of the Academic Board, with the specific remit of ensuring a strong link between the Academic Board and the Board of Governors. They will attend as an observer, entitled to contribute to discussions, but not entitled to vote.
			Designated Academic Board sub-committees, in accordance with the terms of reference of the Academic Board.	
1.8	Execution of responsibilities of University Leadership Board	University Leadership Board	Members of the University Leadership Board, in accordance with the terms of reference of the University Leadership Board	University Leadership Board members will seek advice from other colleagues across the university, as required, in order to inform their decisions - but their responsibilities as members of the University Leadership Board are not delegated.
1.9	Execution of responsibilities of Board of Governors	Board of Governors	Chair of the Board	The Chair may act on behalf of the board in matters that would not normally merit discussion at a Board of Governors' meeting or in cases where there is justifiable urgency, as specified within the Chair's Action in the Standing Orders. Such decisions are reported to the board at its next meeting.
			Board committees, as specified	The Board of Governors delegates certain responsibilities to its committees, as defined within their respective terms of reference and as set out in this document.
1.10	Execution of responsibilities of the Secretary	Secretary	Corporate Governance Manager	The Secretary has nominated the Corporate Governance Manager to exercise the administrative and ancillary functions of the Secretary on their behalf.
1.11	Use of the University Seal	Board of Governors	Secretary	The Secretary will report to the Board at each Board meeting on the use of the University Seal. The application of seal of the university is referenced in Articles and Instruments of Government. The process for executing a Deed is set out in the Standing Orders.
1.12	Constitution and terms of reference	Parent committee/board	Sub-committees/groups of the parent committee/board	All committees approve their constitutions and terms of reference at the first meeting of the academic year. These are then submitted to the parent committee/board for endorsement.
1.13	Effectiveness reviews of the Board of Governors and committees of the Board	Board of Governors		The board will work with the Secretary to plan and conduct Governance Effectiveness Reviews at least every three years, in accordance with the Committee of University Chairs' Higher Education Code of Governance. Effectiveness reviews of academic governance should be reported to the Board by the Academic Board but the responsibility for the arrangements for such reviews lies with the Academic Board.
1.14	Register of Interests and Related Party Transactions	Board of Governors	Secretary (for the Board of Governors)	The Secretary and the Executive Director of People and Organisational Development, as appropriate, will collate and update the relevant register of interests, published on the university website at the start of each academic year, following completion of the Fit and Proper Person and Related Party Transaction form.
		University Leadership Board	Executive Director of People and Organisational Development (for members of University Leadership Board)	

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				All those completing the form are responsible for the accuracy of their returns and for providing details of any changes in their circumstances in a timely fashion.
1.15	Identification of matters of ethical concern or activity that may lead to material adverse reputational risk to the university.	Board of Governors	University Leadership Board and committees of the Board of Governors, as appropriate	<p>The committees or University Leadership Board will usually be responsible for the identification of risk.</p> <p>Where, in the view of the University Leadership Board there are issues of ethical concern or the potential material for adverse reputational risk, matters will be escalated to the Board of Governors or a committee of the board, as appropriate, to enable more detailed consideration of the matter. This may include:</p> <ul style="list-style-type: none"> • Corporate policies • Novel or contentious matters • Matters involving a high risk of legal challenge • Matters of a financial nature that fall outside of the delegations to the Finance and Performance Committee as set out in this scheme • Any formal association/ affiliation/partnership <p>Committees of the board maintain the authority to refer matters falling within this category to the Board of Governors. This action should be dealt with in a spirit of openness and transparency.</p>
2	STRATEGY AND POLICY DEVELOPMENT			
2.1	Approval of university mission and vision statements, strategic plans and associated strategies	Board of Governors		<p>The approval process will be led by the University Leadership Board.</p> <p>The documents to be approved will be routed via staff consultation (where relevant), engagement with other relevant university committees and by discussion and approval at University Leadership Board.</p> <p>Strategies relating to People and Organisational Development, Estates and Finance are routed via the People and Culture and Finance and Performance Committees, respectively.</p>
2.2	Approval of university Information Technology strategies, priorities, and investment decisions	University Leadership Board	Information Technology Strategy Group	<p>Information Technology Strategy Group acts as a sub-committee of University Leadership Board. It will also be closely aligned with the Capital, Commercial, and Partnership Group to ensure that Information Technology investments are in accordance with university objectives.</p> <p>Academic-related information technology is considered by the Academic Information Technology Committee, which reports to the Information Technology Strategy Group .</p>
2.3	Approval of university Information Technology Policies	University Leadership Board (for approval)	Information Governance and Cyber Security Board	The Information Governance and Cyber Security Board implements the review, creation and deletion of IT security, data and data protection

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		Information Technology Strategy Group (for monitoring only)		related policies, and approves these policies for final approval by the University Leadership Board. The Information Technology Strategy Group is responsible for monitoring of policies and the schedule of reviews.
2.4	Approval of Accounting Policies	Board of Governors	Finance and Performance Committee	Annual review of accounting policies related to Annual Accounts.
2.5	Approval of Financial Regulations and key financial policies	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer.
2.6	Approval of the Annual Financial Statements and Accountability Return to the Office for Students	Board of Governors	Audit Committee (for the Annual Financial Statements)	The approval process for the Annual Financial Statements will be led by the Chief Finance and Resources Officer. The Audit Committee will consider the financial statements in the presence of the external auditor and recommend the statements to the board for approval. All other items within the returns are reviewed and approved by the board only. The Finance and Performance Committee receives the Annual Financial Statements for noting.
2.7	Approval of Risk and Enterprise Resilience Policy	Board of Governors	Audit Committee	Routed via the University Leadership Board.
2.8	Approval of contractual policies that impact on the key terms and conditions for staff (e.g. policies relating to staff disciplinary)	University Leadership Board		The University Leadership Board will be advised by other directors and lead authors of corporate policies as may be required. The University Leadership Board considers for approval significant amendments which are submitted for noting by the People and Culture Committee.
2.9	Approval of contractual policies that impact on the key terms and conditions for students	University Leadership Board		The University Leadership Board will be advised by other directors and lead authors of corporate policies as may be required.
2.10	Approval of key policies that impact the environment for students	University Leadership Board		The University Leadership Board will be advised by other directors and lead authors of corporate policies as may be required.
3	STAFFING MATTERS			
3.1	APPOINTMENTS			
3.1.1	Appointment of Chancellor	Board of Governors		A New Chancellor Search Committee will usually make a recommendation for appointment to the Board of Governors.
3.1.2	Appointment of Vice-Chancellor	Board of Governors		Supported by relevant senior staff and external advisors, as appropriate. The board can appoint a 'search committee' comprising independent, student and staff governors to conduct the search process, interview

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				candidates and make a recommendation as to the appointment to the full board.
3.1.3	Appointment, suspension and removal of members of the Board of Governors	Board of Governors	Nominations Committee	As stipulated in the relevant Standing Orders, with a final decision to be taken by the Board of Governors.
3.1.4	Appointment of heads of schools and academic departments	Vice-Chancellor	Deputy Vice-Chancellor or appropriate Pro Vice-Chancellor or Deans	Supported by a representative from People and Organisational Development. Those to whom authority is delegated may exercise this function either at their request, in their absence or during a vacancy in the post of the Vice-Chancellor.
3.1.5	Appointment of the University Leadership Board	Vice-Chancellor	Deputy Vice-Chancellor	Supported by a representative from People and Organisational Development. Those to whom authority is delegated may exercise this function either at their request, in their absence or during a vacancy in the post of the Vice-Chancellor.
3.1.6	Appointment of Secretary to the Board of Governors	Board of Governors		Supported by the Vice-Chancellor and the Executive Director of People and Organisational Development.
3.1.7	Conferment and revocation of titles of Professors	Board of Governors	Vice-Chancellor	The appointment of a professor is made formally by the Vice-Chancellor, acting on the advice of the Professorial Board or a nominee.
3.1.8	Appeals against rejection of application for titles of Professor	Board of Governors	Vice-Chancellor Designated member of the Board of Governors, if initial decision included the Vice-Chancellor	In accordance with the guidance on Professorial Appointments at De Montfort University.
3.1.9	Appointment of members of the Board of Governors' committees	Board of Governors	Nominations Committee	In accordance with its constitution, recommendations for appointment are made by the Nominations Committee to the Board of Governors.
3.1.10	Appointment of internal auditors	Board of Governors	Audit Committee	The appointment and terms of engagement are agreed by the Audit Committee.
3.1.11	Appointment of external auditors	Board of Governors	Audit Committee	The appointment and terms of engagement are agreed by the Audit Committee.

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3.1.12	Approval of the Annual External Audit Plan and determination of the fee	Board of Governors	Audit Committee	Routed to the Audit Committee via the University Leadership Board. Audit Committee advises the Board of Governors on the approval.
3.1.13	Approval of the annual internal audit plan	Board of Governors	Audit Committee	Routed to the Audit Committee via the University Leadership Board. The Board of Governors notes the annual internal audit plan.
3.1.14	Approval of permissible non-audit services completed by the university appointed external auditors	Audit Committee	Chair of the Audit Committee, where necessary	In situations where such approval is time-critical for the university, decisions can be taken via Chair's action. In such cases, any approvals will be reported by the Chair to the next meeting of the Audit Committee.
3.2	SUSPENSION, DISMISSAL AND APPEALS FOR SUBSTANTIVE¹ STAFF			
3.2.1	Suspension of Vice Chancellor	Panel of at least two independent governors supported by a senior HR adviser.		All such action taken by must be reported to the board within two working days. In accordance with the Disciplinary Procedure appropriate for Senior Staff.
3.2.2	Suspension of University Leadership Board members	Disciplinary hearing chaired by the Vice-Chancellor		All such action taken must be reported to the board within two working days or as soon thereafter as practicable. In accordance with the Disciplinary Procedure appropriate for Senior Staff.
		If the Vice-Chancellor is not appropriate, a panel of at least two independent governors supported by a senior HR adviser		
3.2.3	Suspension of Secretary to the Board of Governors	Disciplinary hearing chaired by the Chair or Deputy Chair of the Board of Governors		In accordance with the Disciplinary Procedure appropriate for Senior Staff.
3.2.4	Suspension of senior staff/professional services/non-academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for all staff.		
3.2.5	Suspension of academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for academic staff on the single pay spine.		
3.2.6	Dismissal of the Vice Chancellor	Panel of at least two independent governors supported by a senior HR advise		In accordance with the Disciplinary Procedure appropriate for Senior Staff.
3.2.7	Dismissal of a University Leadership Board member	Disciplinary hearing chaired by the Vice-Chancellor		In accordance with the Disciplinary Procedure appropriate for Senior Staff.

¹ Staff who have completed their probation.

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		If the Vice-Chancellor is not appropriate (e.g. because the VC made the decision to suspend) a panel of at least two independent governors supported by a senior HR adviser		
3.2.8	Dismissal of Secretary to the Board of Governors	Disciplinary hearing chaired by the Chair or Deputy Chair of the Board of Governors		In accordance with the Disciplinary Procedure appropriate for Senior Staff
3.2.9	Dismissal of senior staff/professional services/non-academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for all staff.		
3.2.10	Dismissal of academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for academic staff on the single pay spine.		
3.2.11	Appeal by the Vice Chancellor	Differently constituted panel comprising at least two independent governors supported by a senior HR adviser		In accordance with the relevant Disciplinary Procedure and the university's Instrument and Articles of Government.
3.2.12	Appeal by a University Leadership Board member	If the Vice-Chancellor was the Chair/Deciding Officer, then a panel of at least two independent governors		In accordance with the Disciplinary Procedure appropriate for Senior Staff.
		Where a panel of independent governors made the decision, a differently constituted panel comprising at least two independent governors, supported by a different senior HR adviser.		
		Where it is not appropriate for the Vice-Chancellor to hear the appeal, responsibilities will be delegated to the Deputy Vice-Chancellor (academic matters) or Registrar (Academic) (non-academic matters).		
3.2.13	Appeal by Secretary to the Board of Governors	A panel comprising at least two independent governors supported by a senior HR adviser		In accordance with the Disciplinary Procedure appropriate for Senior Staff.
3.2.14	Appeals by senior staff/professional services/non-academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for all staff.		

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3.2.15	Appeals by academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for academic staff on the single pay spine.		
3.3	DISMISSAL AND APPEALS FOR PROBATIONARY STAFF			
3.3.1	Dismissal of senior staff/professional services/non-academic staff	Employee's line manager		In accordance with the university's Support, Review and Guidance Procedure for Employees Serving a Probationary Period Policy . Under this policy, this responsibility is delegated by the Vice-Chancellor to the employee's line manager.
3.3.2	Dismissal of academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for academic staff on the single pay spine.		
3.3.3	Appeals by professional services/non-academic staff	An appeals panel consisting of a Pro Vice-Chancellor and another member of the university's senior executive.		In accordance with the university's Support, Review and Guidance Procedure for Employees Serving a Probationary Period Policy.
3.3.4	Appeals by academic staff	The relevant role holder in accordance with the university's Disciplinary Procedure for academic staff on the single pay spine		
3.4	SEVERANCE PAYMENTS			
3.41	Severance payments (namely any payment that an employee is not contractually entitled to) for the Vice-Chancellor.	Board of Governors	Remuneration Committee	The Remuneration Committee may propose severance payments for approval by the Board of Governors.
3.42	Severance Payments (namely any payment that an employee is not contractually entitled to) for members of ULB	Board of Governors	Remuneration Committee	The Remuneration Committee will determine such payments, and report to the board for noting.
3.43	Severance payments (namely any payment that an employee is not contractually entitled to) where the employee earns a basic FTE salary of more than £100,000 per annum or where the payment to the individual is more than £100,000.	Board of Governors	Remuneration Committee	The Remuneration Committee will determine such payments, and report to the board for noting.
3.44	Severance payments (namely any payment that an employee is not contractually entitled to) for staff where the payment to the individual is less than £100,000, regardless of earnings.	Vice-Chancellor: over £50k and up to £100k	Executive Director of People and Organisational Development: up to £50k	The Executive Director of People and Organisational Development may propose severance payments of more than £50,000 for the approval of the Vice-Chancellor. The Assistant Director of HR may deputise for the Executive Director of POD as required. All such payments shall be in line with the university's applicable policies such as the Redundancy Payments Policy where applicable, as amended from time to time, where applicable.

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4 OTHER STAFFING MATTERS				
4.1	Determination of the pay, bonuses and conditions of staff excluding University Leadership Board members	University Leadership Board		A sub group of ULB consisting: Vice Chancellor, Deputy Vice Chancellor and Executive Director of People and Organisational Development shall make a recommendation to ULB. Remuneration Committee notes senior staff salaries ² .
4.2	Remuneration of members of the University Leadership Board	Board of Governors	Remuneration Committee	The Remuneration Committee will approve remuneration for University Leadership Board members, and report to the board for noting. The Vice-Chancellor will make recommendations to the Remuneration Committee, save for their own position
4.3	Award of honorary fellowships and companionships	Board of Governors	Conferments Committee	The Conferments Committee will make a recommendation to the Board of Governors.
4.4	Award of honorary academic awards	Board of Governors	Academic Board	The Conferments Committee will make a recommendation to the Academic Board. Awards made are noted by the Board of Governors.
5 STUDENT AND ACADEMIC MATTERS				
5.1	Student complaints procedure	Board of Governors	Academic Board	In accordance with its constitution, the Academic Board is responsible for creating and publicising regulations of the university for dealing with student complaints and academic appeals. The application of the Student Complaints Procedure itself is delegated principally to the Student Appeals and Conduct Officer, in consultation with the university's Legal Services team as may be required. The Audit Committee will note significant changes to the procedure.
5.2	Student disciplinary procedure	Board of Governors	Academic Board or Executive Director of Student and Academic Services and the Registrar (Academic)	In accordance with its constitution, the Academic Board is responsible for creating and publicising regulations of the university relating to the discipline, expulsion, suspension and exclusion of students. The Executive Director of Student and Academic Services and the Registrar (Academic) are responsible for the maintenance of student discipline and the exclusion, suspension and/or expulsion of students on disciplinary grounds, including on grounds of academic misconduct, and for implementing decisions to expel students for academic reasons. In the absence of the Executive Director of Student and Academic Services or the Registrar (Academic) any member of ULB has delegated authority to suspend students.

² Senior staff are defined as any roles on the MAX scheme earning more than £100,00 per annum.

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5.3 STUDENT FINANCIALS				
5.3.1	Approval of home student tuition fee rates, scholarships, bursaries and discounts.	Board of Governors	University Leadership Board	<p>Fees, scholarships, bursaries and discounts are considered by the Fees, Scholarships and Bursaries Working Group (chaired by the Director of Strategic Planning Services). The Group is a sub-committee of the Recruitment, Admissions, Fees and Scholarships Committee.</p> <p>Recruitment, Admissions, Fees and Scholarships Committee will make recommendations to the University Leadership Board.</p> <p>The overall fee income levels are also presented to the Board of Governors within the annual financial plan.</p>
5.3.2	Approval of international student tuition fee rates, scholarships and discounts	Board of Governors	University Leadership Board via Recruitment, Admissions, Fees and Scholarships Committee	<p>The Director of International makes an annual recommendation to the Recruitment, Admissions, Fees and Scholarships Committee for approval.</p> <p>Prior to making this recommendation, the Director of International will consult with the Fees, Scholarships and Bursaries Working Group regarding the proposed fee rates, scholarships and discounts.</p> <p>Recruitment, Admissions, Fees and Scholarships Committee will make recommendations to the University Leadership Board.</p> <p>Overall fee income levels are presented to the Board within the annual financial plan.</p>
5.3.3	International recruitment performance monitoring	Board of Governors	University Leadership Board via Recruitment, Admissions, Fees and Scholarships Committee	<p>The Recruitment, Admissions, Fees and Scholarships Committee is responsible for monitoring international recruitment and reviewing performance and reporting to the University Leadership Board, as appropriate.</p> <p>The Finance and Performance Committee also receives reports on recruitment matters, as appropriate.</p>
5.3.4	Approval of new nomination agreements with private student accommodation providers	Board of Governors	Finance and Performance Committee via University Leadership Board	<p>The process will be led by the Director of Estates and Facilities supported by Procurement Services and Legal Services. Nomination contracts will be tendered every three to five years. The last contract awarded covers mechanisms for annual increases in student residential fees.</p> <p>Where additional demand requires, negotiations for annual agreements will be led and finalised by the Director of Estates and Facilities in consultation with the Chief Finance and Resources Officer and the Executive Director of Marketing and Communications.</p> <p>The University Leadership Board will be asked to endorse proposals for onward approval by the Finance and Performance Committee.</p>

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5.3.5	Approval of student residential fees in DMU accommodation	University Leadership Board	Chief Finance and Resources Officer	<p>Process led by Director of Estates and Facilities and any proposal to change fees to be presented to the University Leadership for approval.</p> <p>Should a view of the impact on recruitment and student experience via the Executive Director of Marketing and Communications and SAAS (or Registrar)</p>
5.3.6	Approval of changes to Leisure Centre membership fees	University Leadership Board	Chief Finance and Resources Officer	Process led by Director of Estates and Facilities and any proposal to change fees to be presented to the University Leadership Board for approval.
5.3.7	Approval of changes to Car Parking fees	University Leadership Board	Chief Finance and Resources Officer	Process led by Director of Estates and Facilities and any proposal to change fees to be presented to the University Leadership Board for approval.
5.4	ACADEMIC MATTERS			
5.4.1	Approval of the Self-Assessment Report and Quality Improvement Plan for submission to Ofsted	Board of Governors	University Leadership Board	<p>Process is led by the PVC Education as the University Leadership Board's Ofsted Lead.</p> <p>The board has delegated the oversight of the development and monitoring of the SAR and QIP to a Skills Scrutiny Advisory Group on which two independent governors sit, one of which chairs. The Board of Governors notes submissions retrospectively.</p>
5.4.2	Oversight of research ethics	Academic Board	University Research Ethics Committee	<p>Oversight and approval of research is routed through the appropriate Faculty Research Ethics Committee, which reports to the University Research Ethics Committee. Responsibility includes oversight of research involving human participants or impacting on human society and monitoring of the policies and principles of good ethical practice.</p> <p>Should the issue potentially hold reputational risks, the item may be considered by the Board of Governors as per 1.15.</p> <p><i>See 8.3. for research matters associated with contracts and grants</i></p>
5.4.3	Responsibility for policies and processes regarding the quality and standards of academic provision	Academic Board	Academic Quality Committee	The Academic Quality Committee is a sub-committee of the Academic Board. The committee monitors the processes and outcomes of various elements of academic provision and ensures the university meets the required standards.
5.4.4	Responsibility for the development and application of policies and strategies relating to research and enterprise activities.	Academic Board	University Research and Innovation Committee	The University Research and Innovation Committee will advise the Academic Board and University Leadership Board on policy relating to

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		University Leadership Board		research and enterprise activities, and to oversee preparation for Research Quality Exercises.
6	BUDGETARY AND FINANCIAL MATTERS			
6.1	Approval of the financial plan (revenue and capital)	Board of Governors	Finance and Performance Committee	Routed via the University Leadership Board and the Finance and Performance Committee on an annual basis. The Finance and Performance Committee will make a recommendation to the board. The process will be led by the Chief Finance and Resources Officer in accordance with Treasury Policy and/or the Financial Regulations within the university where relevant.
6.2	Ensuring the University maintains robust systems of internal financial control and accountability, including risk management and value for money	Board of Governors	Audit Committee	The process will be led by the Chief Finance and Resources Officer. The Audit Committee may seek assurance from other committees in fulfilling its responsibilities.
6.3	Appointment of the University's bankers	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer in accordance with Treasury Policy and/or the Financial Regulations within the university where relevant. The Finance and Performance Committee will make recommendations to the board.
6.4	Approval for the opening and closing of bank accounts	University Leadership Board	Chief Finance and Resources Officer	The process will be led by the Chief Finance and Resources Officer in accordance with the University's Treasury Management Policy.
6.5	Approval of bank signatories	University Leadership Board	Chief Finance and Resources Officer	The process will be led by the Chief Finance and Resources Officer in accordance with the University's Treasury Management Policy.
6.6	Determination of detailed budgets within overall approved framework of the plan	University Leadership Board		The process will be led by the Chief Finance and Resources Officer in accordance with the Financial Regulations within the university where relevant.
6.7	Approval of the Treasury Management Policy, including the Establishment of borrowing limits and facilities	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer.
6.8	Management of endowments and other investments	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer in accordance with Treasury Policy and/or the Financial Regulations within the university where relevant.
6.9	Policies on investment of endowments and other assets	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer in accordance with Treasury Policy and/or the Financial Regulations within the university where relevant.
6.10	Responsibility for the development and application of policies and strategies relating to enterprise activities.	University Leadership Board	University Enterprise Committee	The University Enterprise Committee will advise the University Leadership Board on enterprise activities.

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6.11	The establishment, monitoring and closure of university subsidiary or spin out companies, and oversight of their financial results and the impact on the university	Board of Governors	Finance and Performance Committee	<p>The process is led by the by the University Enterprise Committee (UEC) in accordance with the university's Spin Out Policy.</p> <p>An in-principle recommendation for approving the establishment of a Spin Out will be made by the UEC to the University Leadership Board. Successful proposals will then be considered for final approval by the Finance and Performance Committee. Proposals to exit a spin out company will follow the same process.</p> <p>Where a subsidiary or spin out company is required for a Transnational Education purpose, the University Leadership Board member responsible will lead the process.</p>
6.12	Write-off of bad debt	Board of Governors: over £100k	Finance and Performance Committee: £25-100k	Further details set out in the Debt Collection Policy, including any further delegation the Chief Finance and Resources Officer may make to his/her Officers.
			Chief Finance and Resources Officer: up to £25k	
6.13	Acceptance of financial donations and endowments and tangible assets	Board of Governors	University Leadership Board	The University Leadership Board may utilise 1.15 in cases where there is deemed to be the potential for reputational risk.
6.14	Approval or orders for works, goods and services, other than as specified elsewhere in the scheme.	Chief Finance and Resources Officer	As delegated by the Chief Finance and Resources Officer	<p>Further details set out in the Procurement Policy which is part of the university's Financial Regulations.</p> <p>The delegation to the Chief Finance and Resources Officer is subject to the necessary approvals being in place as per Section 7.</p>
6.15	Approval of non-purchase order payments by exception	Chief Finance and Resources Officer	As delegated by the Chief Finance and Resources Officer	
6.16	Management of the University's responsibilities and obligations in respect of pension schemes	Board of Governors	Finance and Performance Committee	Process led by the Executive Director of People and Organisational Development and the Chief Finance and Resources Officer for their respective areas of responsibility.
6.17	Strategic Monitoring of the University's overall financial position within the parameters of the Financial Strategy and Plan	Board of Governors	Finance and Performance Committee	The Finance and Performance Committee may make recommendations to the board, as required.
6.18	Appointment of the University's Insurers	Board of Governors	Finance and Performance Committee	<p>The process will be led by the Chief Finance and Resources Officer in accordance with the Financial Regulations.</p> <p>The Finance and Performance Committee may make a recommendation to the board.</p>
6.19	Appointment of Investment Advisers	Board of Governors	Finance and Performance Committee	The process will be led by the Chief Finance and Resources Officer in accordance with the Financial Regulations and Treasury Management Policy where relevant.

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				The Finance and Performance Committee may make a recommendation to the board.
7	CAPITAL PROJECTS, ESTATES AND IT MATTERS			
7.1	Approval of Projects (Capital and Revenue)	Board of Governors: over £3m (routed via Capital, Commercial and Partnerships Group and Finance and Performance Committee.)	Finance and Performance Committee: £1-3m (routed via Capital, Commercial and Partnerships Group)	The thresholds relate to expenditure over a 5-year period. At all stages of the delegation thresholds, advice will be sought from the respective Directors concerned with the Capital Project and in particular the Director of Estates and Facilities, the Chief Finance and Resources Officer Acquisitions and disposals will also be discussed at University Leadership Board in accordance with its terms of reference and independently of this Scheme of Delegation.
			Capital, Commercial and Partnerships Group: £100k-£1m. Commitments between £500k-£1m are subject to ratification by ULB	
			Capital, Commercial and Partnerships Group: up to £100k where funding is being requested	
			Pro Vice-Chancellor/Director: up to £100k and within existing budget <i>(Capital, Commercial and Partnerships Group to note)</i>	
7.2	Acquisition and Disposal of property and land (including Leasehold)	Board of Governors: over £3m	Finance and Performance Committee: £1-3m	In accordance with the Financial Regulations, any disposal of land and property at a loss is to be submitted to Capital, Commercial and Partnerships Group and Finance and Performance Committee, followed by a full Board of Governors decision. Any disposal of IT equipment must be in accordance with the relevant ITMS policy. At all stages of the delegation thresholds advice will be sought from the respective Directors concerned with the acquisition and/or disposal and in particular the Director of Estates and Facilities, Chief Finance and Resources Officer, and Legal Services. Such acquisitions and disposals will be discussed at University Leadership Board in accordance with its terms of reference and independently of this Scheme of Delegation.
			Capital, Commercial and Partnerships Group: up to £1m. Commitments between £500k-£1m are subject to ratification by ULB	
7.3	Leases, agreements for leases, easements, transfers, statutory agreements and nomination agreements	Board of Governors: over £1m	Finance and Performance Committee: £500k-£1m	The Director of Estates and Facilities and Legal Services. should be consulted on the terms of such agreements. Such agreements will be discussed at University Leadership Board in accordance with its terms of reference and independently of this Scheme of Delegation.
			Capital, Commercial and Partnerships Group: up to £500k	

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				<p>Contracts should not be signed without prior authority from the Chief Finance and Resources Officer.</p> <p>The thresholds relate to the value of the expenditure over the term of the lease.</p>
7.4	Issuing of contracts in relation to university owned residential accommodation	University Leadership Board	Director of Estates and Facilities	The Director of Estates and Facilities will seek advice from Legal Services on the terms of such agreements for University Leadership Board approval.
7.5	Notices to Quit university owned residential accommodation	University Leadership Board	Director of Estates and Facilities	Notices to be signed by the Director of Estates and Facilities following consultation with relevant colleagues in Student and Academic Services and in the Legal Services team for University Leadership Board approval.
8	CONTRACTS, AGREEMENTS, LICENCES AND PARTNERSHIPS			
8.1	COLLABORATIVE PROVISION³			
8.1.1	Approval of academic partnerships in the UK and international	Academic Board – academic case	Collaborative Partnerships Management Group	<p>Academic partnerships refer to activities which involve partner institutions delivering or supporting an element of, or an entire DMU programme. This may include:</p> <ul style="list-style-type: none"> • Faculty based Collaborative Provision • Joint Award • Dual Award • Validation Service • Modules delivered in collaboration • Supported Distance Learning • Accreditation and Joint Institutes <p>The Collaborative Partnerships Management Group recommends the partnership for approval by the Academic Board and University Leadership Board.</p>
		University Leadership Board – business case		
8.1.2	Approval of international recruiting partnerships	Collaborative Partnerships Management Group	Partnerships Advisory Group	<p>Recruitment Partnerships refer to relationships which are ostensibly established in order to recruit students to follow DMU programmes at the university, whether through standard or advanced entry. These include:</p> <ul style="list-style-type: none"> • Progression Agreements • Articulation Agreement • Memorandum of Understanding (MOU) • Letter of Recognition (LOR) • Enhanced Progression Agreement (EPAs) <p>Proposals for the development, renewal or termination of partnerships are initially considered by the Partnerships Advisory Group, including a completed risk assessment. In planning and undertaking overseas</p>

³ Collaborative Provision leads to an award, or to a specific credit towards an award, of DMU delivered and/or supported and/or assessed through an arrangement with a partner organisation.

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				activity, the Institution must have due regard to the relevant guidelines issued by Office for Students and any appropriate overseas taxation legislation.
8.1.3	Approval of student exchange partnerships	Academic Board	Executive Director of Student and Academic Services	<p>Proposal for the development or renewal of exchange partnerships are sent to the Head of Global Mobility to make a recommendation to approve before final sign off by the Executive Director of Student and Academic Services.</p> <p>Academic Board receives details of the establishment of student exchange partnerships for noting.</p>
8.2	CONTRACTS, AGREEMENTS AND MEMORANDUMS OF UNDERSTANDING			
8.2.1	Approval and signing of contracts for purchases of services or otherwise which are to be executed as a Deed (where not otherwise specified in this Scheme)	Board of Governors	As articulated in the Standing Orders	<p>All contracts must, in addition to any other required approvals, be reviewed and approved by Legal Services or the Procurement team.</p> <p>In general terms, advice on financial, estates and legal aspects should be sought respectively from the Chief Finance and Resources Officer, Director of Estates and Facilities or the Head of Legal Services.</p> <p>Those persons authorised by the Board of Governors to sign deeds are articulated in the Standing Orders of the board. The board notes the signed deeds as its subsequent meeting.</p>
8.2.2	Execution of contracts and agreements which are not purchases and which are not to be executed as a Deed (where not otherwise provided within the Financial Regulations)	University Leadership Board members for their respective areas.		Each member of the University Leadership Board can sign contracts and agreements on behalf of the university other than for contracts and agreements relating to parts of the University the particular University Leadership Board member has responsibility for.
8.2.3	Execution of contracts and agreements for the purchase of goods, services or works	Chief Finance and Resources Officer	Head of Procurement	<p>As contained within the Procurement Policy which is part of the university's Financial Regulations.</p> <p>Such agreements may also be discussed at University Leadership Board in accordance with its terms of reference and independently of this Scheme of Delegation.</p> <p>The Chief Finance and Resources Officer and the Head of Legal Services have agreed a local policy on ensuring that legal advice is obtained as appropriate before contracts are signed on behalf of the university.</p> <p>The Head of Procurement has delegated authority for approvals as permitted by the Chief Finance and Resources Officer.</p>
8.2.4	Approval of partnerships in the UK and international (not related to Collaborative Provision [see 8.1] or sponsorships/	Board of Governors: over £3m	Finance and Performance Committee: £1-3m	<p>The thresholds relate to expenditure over a 5-year period.</p> <p>Expenditure exceeding £1m within a 5-year period requires a business case approved by the Capital, Commercial and Partnerships Group</p>

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	partnerships under the portfolio of the Director of Engagement [see 8.2.6])		Capital, Commercial and Partnerships Group: £100k-£1m subject to ratification by ULB	and the Finance and Performance Committee, followed by the Board of Governors if expenditure exceeds £3m. Details of partnerships approved by a Pro Vice-Chancellor are submitted to the Capital, Commercial and Partnerships Group for noting.
			Capital, Commercial and Partnerships Group: less than £100k where funding is being requested	
			Pro Vice-Chancellor/Director: less than £100k and within existing budget	
8.2.5	Approval of decisions related to sponsorships (not related to sponsorships/partnerships under the portfolio of the Director of Engagement [see 8.2.6])	Board of Governors: over £3m	Finance and Performance Committee: £1-3m (Routed via Capital, Commercial and Partnerships Group)	The thresholds relate to expenditure over a 5-year period. At all stages of the delegation thresholds, advice will be sought from the respective Directors concerned with the Capital Project and in particular the Director of Estates and Facilities, the Chief Finance and Resources Officer and Legal Services.
			Capital, Commercial and Partnerships Group: £100k-£1m, subject to ratification by ULB ⁴	
			Capital, Commercial and Partnerships Group: up to £100k where funding is being requested	
			Pro Vice-Chancellor/Director: up to £100k and within existing budget (<i>Capital, Commercial and Partnerships Group to note</i>)	
8.2.6	Approval of sponsorships and partnerships under the portfolio of the Director of Engagement	Board of Governors: over £3m	Finance and Performance Committee: £1-3m	SIE Partnerships Team maintains a partnerships register for existing the university's strategic partnerships/sponsorships.
			External Engagement Committee: £100k - to £1m, subject to ratification from ULB	
			Director of Engagement: up to £100k (from SIE budget)	
8.2.7	Signing of memoranda of understanding	Pro Vice-Chancellor Education Pro Vice-Chancellor Research and Academic Staff Development Pro Vice-Chancellor Business and Regional Engagement	All contracts can be signed by the Vice-Chancellor or Deputy Vice-Chancellor if the main signatories are unavailable	This includes legally and non-legally binding MoUs. Items are reported retrospectively to Collaborative Partnerships Group. All MoUs should be reviewed by Legal Services.

⁴ At its meeting on 25 May 2021, ULB requested to be notified of any sponsorships over £100k.

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		(academic matters, depending upon the agreement)		8.1.2 relates to MoUs associated with international recruitment.
		Registrar (Academic) – non-academic matters	Members of ULB, as appropriate	
8.3	RESEARCH			
8.3.1	Signing of research projects that require university sponsorship and approval by an external body.	Academic Board	Pro Vice-Chancellor (Research and Enterprise)	Decision to be informed by a recommendation from the Research Ethics Governance Committee.
8.3.2	Signing of research and grant applications	University Leadership Board: over £3m	Pro Vice Chancellor (Research and Enterprise): £1m-£3m	This item refers to bid submission. The thresholds relate to bids over three years. If the bid is less than three years, the threshold level will be divided accordingly e.g. if the bid was for one year of funding, the thresholds would be divided by three. Advice should be sought from Research Services in the first instance. Any grants not on the Research Services approved list should be referred to Legal Services. If the bid submission requires additional financial resources from DMU, the Chief Finance and Resources Officer (or delegated deputy) must be consulted and approval for additional resources sought in line with the appropriate section of the Scheme of Delegation.
			Director of Research Services: up to £1m	
8.3.3	Acceptance and signing of research grants award	University Leadership Board: over £3m	Pro Vice Chancellor (Research and Enterprise): £1m-£3m	This item refers to acceptance of the grant, if won. The thresholds relate to grants over three years. If the grant is less than three years, the threshold level will be divided accordingly e.g. if the grant was for one year of funding, the thresholds would be divided by three. Advice should be sought from Research Services in the first instance. Any grants not on the Research Services approved list should be referred to Legal Services.
			Director of Research Services: up to £1m	
8.3.4	Acceptance and signing of knowledge exchange and innovation grants and commercial contracts	University Leadership Board: over £2m	Pro Vice Chancellor (Research and Enterprise): £1-2m	Advice in relation to new or amended contracts should be sought via the University Enterprise Committee in the first instance. The committee will also provide the recommendation to progress through the Scheme of Delegation. If the bid submission requires additional financial resources from DMU, the Chief Finance and Resources Officer (or delegated deputy) must be consulted and approval for additional resources sought in line with the appropriate section of the Scheme of Delegation.
			Director of Enterprise and Business Services: up to £1m	
9	MEDIA AND INFORMATION MATTERS			
9.1	Authorisation of media releases	Executive Director of Marketing and Communications		It may also be appropriate, depending on the context, to seek approval from the Vice-Chancellor and/or the Board of Governors or Chair of the Board..
9.2	Approval of the use of the University Crest / Logo	Executive Director of Marketing and Communications		It may also be appropriate, depending on the context, to seek approval from the Vice-Chancellor and the Registrar (Academic).

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9.3	Classification of information under the Freedom of Information Act (University Publication Scheme)	Information Governance Manager	Information Governance Team	The Information Governance Manager will also consult with the Legal Services team as required together with any other relevant colleagues. The Information Governance Manager may delegate, to a member of the Information Governance Team, authority in the absence of the Information Governance Manager.
9.4	Application of sanctions relating to individual access to university library services and facilities	Director of Library and Learning Services	Executive Director of Student & Academic Services for discipline or student welfare related issues.	
9.5	Application of sanctions relating to individual access to university computing facilities and/or access to university systems and networks	Director of Information Technology and Media Services	For Audio-Visual loans and other portable devices in accordance with agreed process, terms and conditions.	
10	LEGAL MATTERS			
10.1	Deciding on, and engaging representation for, court, tribunal, alternative dispute resolution related proceedings or general legal support outside of Panel arrangements	Head of Legal Services		Should the issue potentially hold reputational risks, the item may be considered by the Board of Governors as per 1.15
10.2	Deciding on and engaging with legal support and/or representation outside of England	Head of Legal Services		
10.3	Signing of statements or documents confirming compliance with domestic statutory obligations	Appropriate Dean/Director		This process should be guided by advice from Legal Services.