BOARD REGULATION 5.0

SCHEME OF DELEGATION

The purpose of the Scheme of Delegation is to outline the authority for the University's major organisational responsibilities based on foundation and regulatory documents and to indicate delegation of these responsibilities where these have been approved. The Scheme is subject to annual review.

The primary documents consulted for the Scheme are:

Governing Documents

- **The Instrument of Government**: This is approved by the Board of Governors and ratified by the OfS and sets out the high-level powers of the University and the role of its Board of Governors.
- **The Articles of Government**: These are approved by the Board of Governors and ratified by the OfS and set out the responsibilities of the Board of Governors, the Vice-Chancellor and the Academic Council.

These are the foundational constitutional instruments of the University.

Board Regulations

- **Statement of Primary Responsibilities:** This sets out the principal responsibilities of the Board of Governors and is derived from the powers and responsibilities outlined in the Instrument and Articles of Government.
- **General and Academic Regulations**: These are rules established by the University by which students and staff must abide.
- **The University's Corporate Governance statement**: This is published annually in the University's Financial Statements and provides a statement to demonstrate that the University has applied the principles and practices of good governance to its operations.
- **Terms of Reference:** These detail the purpose, membership, scope and authority of a committee to oversee a delegated area of responsibility.
- **Financial Regulations**: These detail the management and governance arrangements for the University's financial affairs.
- **Standing Orders:** These set out the specific procedures and processes to be followed by the Board of Governors for the government and conduct of its business.

Regulatory Frameworks and Codes

- **Committee of University Chairs' (CUC) HE Code of Governance**: This provides good practice guidance and a framework that identifies the key values and elements that are required to provide for good governance within higher education.
- **The Office for Students (OfS) Terms and Conditions of Funding**: sets out the terms and conditions for receipt of recurrent and capital funding distributed by the OfS.
- **The OfS Regulatory Framework**: This states how the OfS intends to perform its functions and provides guidance for registered higher education providers on the ongoing conditions of registration.

It is important to note that the Board of Governors remains ultimately accountable and responsible for the actions and discussions taken by the Committees, Boards or persons to whom it has delegated its responsibilities.

This Scheme of Delegation is subordinate to the University's Instrument and Articles of Government and to any restrictions or requirements contained within OfS Conditions of Registration. If there is any conflict then the Instrument and Articles and OfS Conditions of Registration prevail. The Scheme should also be used in conjunction with the appropriate policies and procedures of the University and the terms of reference for committees. A glossary of abbreviations is provided at the end of this document.

1.0 GOVERNANCE AND MANAGEMENT

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
1.1	Amendment or replacement of the Instrument and/or Articles of Government	**BoG** OfSRF (E1&2) AoG (17.1)	No delegation permitted	Chair of BoG	N/A	BoG resolution required, with subsequent submission to the OfS for ratification.
1.2	Determination of membership numbers of the Board	**BoG** IoG (4.2)	No delegation permitted	Chair of BoG	N/A	N/A
1.3	Appointment of Board members	**BoG** SO (8) IoG (4.3) CUC (4.6)	No delegation permitted for the appointment of independent governors. Internal governors are elected in accordance with regulations adopted by the Board.	Chair of BoG	Noms & Gov ToRs	Recommendations for the appointment of independent governors to be made by the Nominations and Governance Committee.
1.4	Tenure of Office for Board members	**BoG** IoG (5.1) CUC (4.2) SO (7)	No delegation permitted.	Chair of BoG	Noms & Gov	Recommendations to be made by the Nominations and Governance Committee.
1.5	New Governor induction	**BoG** CUC (6.1, 6.2, 6.3, 6.4) OfSRF (E1&2)	Noms & Gov Co	University Secretary	Noms & Gov ToRs; CoC; Governor Handbook	N/A
1.6	Chair, Vice Chair and Board member appraisal and effectiveness evaluation	**BoG** CUC (6.5) OfSRF (E1&2)	Noms & Gov Co	Chair of BoG and University Secretary	N/A	N/A

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
1.7	Board and committee effectiveness evaluation	**BoG** SoPR (13) CUC (6.6, 6.7) OfSRF (E1&2)	Noms & Gov Co	Chair of BoG and University Secretary	N/A	External Board Effectiveness Review to be carried out every 3 years. The CUC Code also requires an annual self-assessment.
1.8	Removal of Governors from office (including Chair)	**BoG** IoG (5.3) SO (11, 12, 13) CoC (16) CUC (2.2) OfSRF (E1&2)	No delegation permitted	Chair of BoG; University Secretary	N/A	Recommendations to be made by the Nominations and Governance Committee.
1.9	Seal of Corporation authentication	IoG (7.1) FR (4.9&4.13)	Chair of BoG	University Secretary	FR	Use of the seal must be authenticated by the signature of the Chair, any governor or the Clerk (role subsumed within the role of the University Secretary). The Clerk is responsible for submitting a regular report to the Board detailing the use of the University's Seal.
1.10	Review of the delegated authority of the Accountable Officer	**BoG** CUC (4.9) OfSRF (E3) SoPR (5)	Board	Chair of BoG	N/A	This is confirmed each year via the Board's approval of this Scheme.
1.11	Determining a Scheme of Delegation	**BoG** CUC (4.9) SoPR (5) OfSRF (E1&2)	Noms & Gov Co	University Secretary	Noms & Gov ToRs	Board approval is required. The Scheme is reviewed and confirmed on an annual basis.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
1.12	Ensuring that governors comply with recognised standards in public life (the Nolan Principles), including the maintenance of a register of interests and conducting Fit and Proper Persons Tests	**BoG** OfSRF (E1&2 / Annex B) CUC (2.1 / 2.11 / 4.6)	Noms & Gov Co	University Secretary	Noms & Gov ToRs; Ethics Statement; Anti-Bribery Policy	Fit and Proper Persons tests carried out upon appointment and governors are required to report any changes in circumstances. Register of Interests updated annually. Any irregularities will be reported to the Board via the Nominations and Governance Committee.
1.13	Establishment and disestablishment of Board level sub committees	**BoG** SO (24)	Noms & Gov Co	Chair of BoG	Noms & Gov ToRs	Board approval is required.
1.14	Establishment and disestablishment of University level non-academic committees	**SLT**	N/A	VC; University Secretary	N/A	N/A
1.15	Establishment or disestablishment of a subsidiary and spin-out company	**BoG**	N/A	COO/CFO	N/A	The composition of the new subsidiary company board will comply with Charity and Company Law as applicable.
1.16	Oversight of subsidiary companies	**BoG**	ARAC	COO/CFO	N/A	N/A
1.17	Establishing policies and procedures relating to the conduct and business of the Board of Governors	**BoG** SoPR (9) SO CoC CUC (all) Charities Act OfSRF (E1&2)	Noms & Gov Co	University Secretary	N/A	Board approval is required.
1.18	Powers to approve policies and procedures relating to the day-to-day management and operations of the University	**BoG** AoG (4.2.2) SoPR (5) OfSRF (C1)	VC SLT Academic Council	University Secretary	N/A	N/A

2.0 STRATEGIC DIRECTION

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
2.1	Determination of the educational character and mission of the University	**BoG** AoG (4.1.1) SoPR (1) CUC (1.1 / 4.10)	No delegation permitted	VC	N/A	Determination of the University's educational character and mission will be based upon recommendations from the Vice-Chancellor.
2.2	Approval of the Strategic Plan and associated strategies and plans	**BoG** CUC (3.1 – 3.5)	No delegation permitted	VC	Town House Strategy	Approval of the Strategic Plan is reserved for the Board, delivery and development of associated strategies and plans rests with SLT (see 2.3 below).
2.3	Implementation of the Strategic Plan	**SLT**	SLT	VC	Town House Strategy	Subject to Board approval of the Strategic Plan.
2.4	Setting and reviewing of university level Key Performance Indicators (KPIs)	**BoG** CUC (3.5) SoPR (2 & 3)	N/A	VC	KPIs	Endorsed by SLT.
2.5	Monitoring performance against Strategy and KPIs	**BoG** CUC (3.5) SoPR (3)	ARAC; FC; AAC; RemCo	VC	Town House Strategy KPIs	Standing item on Board annual agenda plan.
2.6	Approval and review of risks and the Strategic Risk Register	**BoG** CUC (3.6 / 3.7) SoPR (7) FR (3.5)	ARAC	University Secretary	Strategic Risk Register	Based on recommendations from the Executive.
2.7	Evaluation and monitoring of risks, action plans and mitigation actions at strategic level	**BoG** CUC (3.6 – 3.11) SoPR (7)	Designated sub-committees of the BoG	University Secretary	Strategic Risk Register	Scrutiny of strategic risks is assigned to the appropriate sub-committee of the Board. Updates are provided to ARAC.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
2.8	Evaluation and monitoring of risks, action plans and mitigation actions at local levels	**BoG** CUC (3.7 – 3.11)	Risk and Business Continuity Committee, reporting to SLT	University Secretary	Strategic Risk Register	The strategic risk register is considered by SLT prior to its submission to ARAC and the BoG. Exception reports escalated to SLT as appropriate if outside the normal reporting cycle.

3.0 LEGAL / COMPLIANCE

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
3.1	Compliance with OfS registration and regulatory framework requirements, including reportable events	**BoG** SoPR (9) OfSRF (E3&4, F3&4)	VC (as Accountable Officer)	University Secretary	OfS Tracker	Regular consideration by SLT and reporting to ARAC (and the Board if required).
3.2	Provision of OfS Transparency Information	**BoG** OfSRF (F1)	VC (as Accountable Officer)	VC	Transparency Return	Prepared by Data Compliance and Evaluation Department.
3.3	Compliance with Freedom of Speech legislation, encompassing an External Speakers Policy	**BoG** Prevent Duty CUC (5.3) OfSRF (E2) SoPR (21)	AAC	University Secretary	FoS Code of Practice; External Speakers Policy;	Board to receive annual reports (and by exception if a breach or event is sufficiently material to be brought to its attention) on the operation of the Code.
3.4	To demonstrate that the University has due regard for the Prevent duty	**BoG** Prevent Duty OfSRF (E2)	N/A	University Secretary	Prevent Policy	Annual Prevent report is submitted to the Board. ARAC provide assurance to the Board.
3.5	Ethics Statement and Corporate Social Responsibility Policy	**BoG**	ARAC	University Secretary	Ethics Statement; CSR Policy	The Board should approve a policy framework on ethics which includes appropriate measures of assurance. The Board to have oversight of the other aspects of CSR.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
3.6	Use of University logos and crest	University brand guidelines;	DVC	Director of Brand, Communications and Public Affairs	Brand Guidelines	The University logo must be used in accordance with University brand guidelines. The University crest is only for ceremonial use and requires the permission of the VC.
3.7	Health and Safety Policy and Procedures	**BoG** SoPR (10)	University Secretary	University Secretary	H&S Policy; Health & Safety at Work Act	Recommendation from USHSC and SLT. An annual Health and Safety Report is submitted to ARAC and the BoG.
3.8	Equality and Diversity policy and procedures	**BoG** SoPR (10) CUC (1.4 / 4.6) OfSRF (B2 & E2)	RemCo	Director of HR	EDI Objectives	Director of Brand, Communications and Public Affairs
3.9	Compliance with Data Protection and GDPR legislation	Data Protection Act 2018; GDPR	ARAC	University Secretary	Data Protection policies	N/A
3.10	Compliance with Freedom of Information legislation	Freedom of Information Act 2000	ARAC	University Secretary	FOI Policy	Director of Brand, Communications and Public Affairs
3.11	Accuracy of Published Information	Freedom of Information Act 2000	ARAC	University Secretary	University ICO Publications Scheme	N/A
3.12	Modern Slavery Statement	Modern Slavery Act	ARAC	University Secretary	Modern Slavery Statement; Ethics Statement; Corporate Social Responsibility Policy	N/A
3.13	Access and Participation Plan	**BoG** OfSRF (A1)	SLT	EDSS; DVC	N/A	The Access and Participation Plan is provided to the Board for information.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
3.14	Student Protection Plan	**BoG** OfSRF (C3 & F2)	Matter reserved for Board approval	EDSS and University Secretary	N/A	Updates will be discussed by AC and AAC. Changes to SPP to be the submitted to the OfS for approval.
3.15	Provision of guidance and frameworks for the management and quality assurance of data	**BoG** CUC Audit Code	ARAC; Information Governance Committee	University Secretary and relevant members of SLT	Data Quality reporting	Overall responsibility for the accuracy and quality of data must ultimately rest with the data owner.
3.16	Whistleblowing policy and procedures	**BoG** CUC (2.14) Public Interest Disclosure Act 1998	ARAC	Director of HR	Whistleblowing Policy; FR	N/A
3.17	Gift Acceptance Policy	**BoG** SoPR (11) FR (3.5)	VC	DVC	Ethics Statement; Corporate Social Responsibility Policy	N/A
3.18	Development and Fundraising policies and procedures	**BoG**	VC	DVC		Gift Acceptance Committee reviews any proposed gift or donation that might compromise the University's values and/or interests
3.19	Safeguarding of children and vulnerable adults	**BoG** OfSRF (E6)	VC	EDSS	Safeguarding Policy	
3.20	Provision and/or commissioning of legal services to the University – includes legal services to the Board	N/A	VC	University Secretary	N/A	N/A
3.21	Reporting serious incidents or material adverse events including significant fraud	CUC Audit Code FR (4.4)	ARAC	COO/CFO	FR (Appendix A); ARAC ToRs	Instances of fraud that exceed £25k and/or have a novel component and/or have a public interest should be reported to the OfS.

4.0 DESIGNATED SENIOR POSTHOLDERS / APPOINTMENTS

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
4.1	Appointment of Chair and Vice Chair of the Board	**BoG** AoG (6.3) SO (9) CUC (1.3 / 1.4 / 2.12)	No delegation permitted	University Secretary	Noms & Gov ToRs	The Board shall appoint a Chair and Vice Chair, both of whom shall be independent members. The University Secretary is responsible for the organisation and proper conduct of the appointment process.
4.2	Appointment of University staff as director(s) of subsidiary and spin-out companies	**BoG** Charity and Company Law	SLT	VC	ToRs of subsidiary company	N/A
4.3	Appointment of Governors as director(s) of subsidiary and spin-out companies	**BoG** Charity and Company Law		Chair of BoG	ToRs of subsidiary company	N/A
4.4	Appointment of the Chancellor	**BoG** AoG (4.7) SO (25)	Noms & Gov Co	University Secretary	Noms & Gov ToRs	The Chancellor is a ceremonial role and does not hold office. The appointment process is led by Noms & Gov.
4.5	Appointment, suspension and dismissal of the Vice-Chancellor and Accountable Officer	**BoG** AoG (9.1) SoPR (4) CUC (1.3 / 1.4)	No delegation permitted	Chair of BoG	Instrument and Articles; Noms & Gov ToRs	Noms & Gov to make recommendations to the Board for the process of appointing the VC. A specific HR policy details the procedure for any suspension or dismissal of the VC.
4.6	Appointment of temporary Vice-Chancellor and Accountable Officer	**BoG**	No delegation permitted	Chair of BoG	Instrument and Articles; Noms & Gov ToRs	A committee of the Board will be either identified or specially established and charged with responsibility for the recruitment.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
4.7	Appointment, suspension and dismissal of the Clerk to the Board (role subsumed within the role of the University Secretary)	**BoG** AoG (4.3 & 9); SoPR (6) CUC (1.3 / 1.4)	No delegation permitted	Chair of BoG / VC	Instrument and Articles; Noms & Gov ToRs	The Clerk (role subsumed within the role of the University Secretary) must be specifically appointed to the role by the Board of Governors. A specific HR policy details the procedure for any suspension or dismissal of the Clerk.
4.8	Appointment, suspension and dismissal of the Senior Leadership Team	**BoG** AoG (9) CUC (1.5)	VC	VC	SLT Rules	For SLT appointments at least one Board member will be part of the recruitment exercise. A specific HR policy details the procedure for any suspension or dismissal of an SLT member.
4.9	Suspension and dismissal of staff not referred to in 4.5-4.8	**BoG** AoG (9.1)	VC	VC / Director of HR	HR Policies	Dealt with in accordance with HR procedures.
4.10	Award and rescindment of Honorary titles	**BoG** HAP ToR	AC; Honorary Awards Panel	DVC	HAP Procedures	N/A
4.11	Senior Academic Promotions	Senior Academic Promotions Panel ToR	AC; Senior Academic Promotions Panel	DVC	Senior Academic Promotions Panel Procedures	N/A
4.12	Appointment & dismissal of Internal and External Auditors	**BoG** AoG (15.1.3) SoPR (7) CUC Audit Code	BoG	Chair of BoG	FR ARAC ToRs	After a tendering exercise the external auditor will be appointed by the BoG on the recommendation of ARAC, normally for a period of up to 5 years subject to satisfactory performance. The statutory re-appointment of external auditors will take place annually and is the responsibility of the Board, advised by ARAC. If required after a market testing exercise, the internal auditor is appointed by the Board on the recommendation of ARAC.

5.0 ACADEMIC MANAGEMENT

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
5.1	Management of academic risks and effective operation of the academic governance of the institution	**BoG** CUC (5.1 / 5.2 / 5.5) OfSRF (B1-5)	Academic Council; AAC	DVC	AAC ToRs	The governing body receives assurance via AAC that academic risks are being effectively managed through Academic Council.
5.2	Design and approval of new programmes	**BoG** OfSRF (B1-5)	Academic Council	VC	Academic Regulations; AC ToRs	N/A
5.3	Closure of a campus, and/or discontinuation of academic departments and schools	**BoG** SPP OfSRF (C3)	N/A	VC	SPP	An assessment of the academic impact will be considered by UEC with the estate's considerations being steered by EC. The final decision will be taken by SLT and the BoG.
5.4	Membership of Academic Council / periods of office	**BoG** AC ToRs	Academic Council	VC	Academic Council Regulations	The period of appointment of members shall be prescribed in Regulations.
5.5	Establishment of Academic Council	**BoG** AoG (4.4-4.6)	BoG	VC	Instrument and Articles; AC ToRs	An Academic Council shall be established with the approval of the Board of Governors.
5.6	Collaborative provision (including termination of a collaboration) and academic partnerships	**BoG** CUC (5.7 / 5.8)	AAC; Academic Council	DVC	Academic Regulations	Annual report on collaborative partnerships presented to AAC and the BoG.
5.7	Academic regulations, policies and guidance	**BoG** OfSRF (B1-5, C1)	Academic Council	DVC	N/A	N/A
5.8	Academic misconduct and Academic appeals	**BoG** OfSRF (C2) AC Regulations	Process – Academic Council Decision - VC	DVC	AR 6&7, 8&9	Process managed by the Faculty and Academic Registry. Final course of appeal is to the VC. Students can also submit a complaint to the OIA if they have exhausted the University's complaints process.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
5.9	Expulsion on academic grounds	**BoG** AoG (10)	Process – Academic Council	DVC	AR10	Students can also submit a complaint to the OIA if they have exhausted the University's complaints process.
5.10	Criteria for the admission of students	**BoG** AoG (10) OfSRF (B1-5)	Academic Council	EDSS	Admissions Policies (AP1&1b)	N/A
5.11	Appointment and removal of internal and external examiners	**BoG**	Academic Council	DVC	Academic Regulations	N/A
5.12	Teaching Excellence Framework (TEF) submission	**BoG** OfSRF (B6)	Academic Council	DVC	N/A	N/A
5.13	Knowledge Exchange Framework (KEF) submission	UKRI	Academic Council	DVC	N/A	N/A
5.14	Research Excellence Framework (REF) submission	UKRI	Academic Council	DVC	N/A	N/A
5.15	Research and Research Ethics policies and procedures	AoG (4.4)	Academic Council	DVC	AC ToRs; Ethics Guidance and Procedures (for human subjects)	On recommendation from the Research, Business and Innovation Committee
5.16	Research Grant Application signatories	FR (4.7)	Up to £150k – Faculty Designated Authority; over £150k – Dean of Faculty via FDA	DVC	Procedures for External Research Funding	If the application requires support from the University at the highest level e.g. when only one application per Institution is accepted, it is usual to approach the PVC (Research), via the Research and Innovation Office, for a letter of support. An internal competition may be arranged in these circumstances to select the Institutional submission.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
5.17	Research Grant Award acceptance signatories	FR (4.7)	Up to £100K – FDA Up to £250K – Dean of Faculty / PVC Over £250K – VC or DVC KUEL contracts – member of KUEL Board of Directors	DVC	Procedures for External Research Funding	N/A
5.18	Research misconduct	AC ToRs	Process – Academic Council	DVC	Procedures for Dealing with Misconduct in Research (Staff) (AG8)	Any appeal regarding the findings of the investigation shall be made to the VC whose decision is final.

6.0 BUDGETARY AND FINANCIAL MATTERS

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
6.1	Approval of the University's financial regulations and financial limits	**BoG** FR (2) CUC (3.14) AoG (4.2.7) OfSRF (D1-4)	ARAC	COO/CFO	FR	N/A

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
6.2	University's Annual Budget and financial planning including financial plan submission to the OfS	**BoG** AoG (5.2.6) FR (3.2) OfSRF (D 1-4 and E3) CUC (3.14 – 3.18)	No delegation permitted for approval of the Annual Budget or the financial plan submission to the OfS	COO/CFO	FR	The BoG is responsible for: the effective use of resources, the solvency of the University and the Corporation and for safeguarding assets; approving annual estimates of income and expenditure. The COO/CFO is responsible for co-ordinating the preparation annually of the financial return to the OFS, and seeking approval by Board for year 1 with the outlying years prepared on an indicative basis only on the recommendation of the FC, and for preparing financial forecasts for submission to the OfS. During the year, the COO/CFO, following discussion with budget holders, is responsible for co-ordinating the submission of significant budget revisions to the SLT for consideration before submission to the Board for approval.
6.3	Approval of the University's Financial Statements	**BoG** AoG (5.2.6)	No delegation permitted	COO/CFO	N/A	Board approval required on recommendation from ARAC.
6.4	***Purchasing authority for capital and revenue expenditure***	N/A	N/A	N/A	N/A	N/A
6.4.1	>£300,000	**BoG** **FR (4.9)**	VC / COO/CFO / KUSCO Board / KUEL Board	COO/CFO	N/A	N/A
6.4.2	Up to £300,000	FR (4.9)	SLT member / KUEL Director / KUSCO Director	COO/CFO	N/A	N/A
6.4.3	Up to £120,000	FR (4.9)	SLE member	COO/CFO	N/A	N/A
6.4.4	Up to £30,000	FR (4.9)	Budget Holder	COO/CFO	N/A	N/A
6.4.5	Up to £32,000	FR (4.9)	School / Directorate Authorised Buyer	COO/CFO	N/A	N/A

6.5	***Approval of business cases for expenditure over certain limits***	N/A	N/A	N/A	N/A	N/A
6.5.1	<£500k	Conducted in accordance with the Financial Regulations	Director of Estates and Sustainability / Chief Information Officer	COO/CFO	N/A	N/A
6.5.2	£500k to £3.0M	FR (4.9)	EC/ECAG / DIG	COO/CFO	N/A	Summary schedule to SLT
6.5.3	£3.0M to £5.0M	FR (4.9)	EC/ECAG / DIG / SLT	COO/CFO	N/A	Summary schedule to FC
6.5.4	£5M to £10M	FR (4.9)	FC following endorsement by EC/ECAG / DIG / SLT	COO/CFO	N/A	Summary schedule to Board
6.5.5	>£10M	FR (4.9)	Board approval required, on advice from FC and review by SLT and EC/ECAG /DIG	COO/CFO	N/A	N/A
6.6	Appointment of bankers, opening of bank accounts, designation of bank signatories	**BoG** FR (4.5)	Recommendation from SLT	COO/CFO	N/A	Appointments initially for a 5 year period and reviewed thereafter
6.7	Approval of Internal Audit Plan	**BoG** CUC Audit Code	ARAC	Internal Auditors	ARAC ToRs	With SLT input and review
6.8	Approval of Annual Audit of Accounts	**BoG**	N/A	External Auditors	N/A	On recommendation of ARAC
6.9	Tuition fees and Bursaries	**BoG** AoG (15.1.2) OfSRF (G1) FC	SLT	EDSS/COO/CFO	APP	SLT shall determine the tuition and other fees payable to the Corporation (subject to any terms and conditions attached to grants, loans or other payments paid or made by the OfS), on behalf of the Board
6.10	Treasury Management	**BoG** FC	FC	COO/CFO	FC ToRs; Treasury Management Policy; FR	N/A
6.11	Accounting policies	**BoG** AoG (15.1.1) OfSTC (33)	ARAC	COO/CFO	N/A	N/A

6.12	Debt write-off and recovery policies	FR (4.6)	SLT	COO/CFO	FR	Request to write-off debts in excess of £30,000 must be referred in writing to the CFO for submission to the SLT for consideration. Debts below this level may be written off with the permission of the Director of Finance and authorised by the Financial Controller.
6.13	Borrowing policies	**BoG** AoG (3.1.4) FR (4.5) OfSTC (33)	FC	COO/CFO	FC ToRs	N/A
6.14	Responsibility for internal financial management and accountability	**BoG** AoG (15.1.1) FR (all) OfSTC OfSRF (D1-4)	ARAC	COO/CFO	N/A	The VC, as accountable officer, is required to satisfy the Board that there is compliance with OfS conditions of registration and the expectations associated with receipt of public funds. The FRs form part of this overall system of internal control.

6.15	Value for Money policies	**BoG** FC OfSTC (33)	ARAC	COO/CFO	ARAC ToRs	The OfSTC state that 'When using OfS funding providers must apply proper processes that ensure effective accountability and secure value for money'. VFM in all aspects of University activity is overseen by ARAC and in order to ensure independence and objectivity, the Committee is independent of management, independent of the FC, and reports directly to the Board. It has the right of access to obtain all the information it considers necessary and to consult directly with the internal and external auditors. The Committee is responsible for identifying and approving appropriate performance measures for internal and external audit and for monitoring auditors' performance.
6.16	Students' Union budget and subvention	**BoG** FR (4.13)	N/A	EDSS	Service Level Agreement between Kingston University London and Kingston Students' Union	Subject to any constraints imposed by the OfS, the KSU & KU Finance & Strategy Group will undertake an initial consideration of the Annual Block Grant request. The final decision will be made by the University's COO/CFO.
6.17	Insurance level and scope	FR	SLT	University Secretary	N/A	The University Secretary is responsible for effecting insurance cover as determined by the SLT. The University Secretary is responsible for tendering of insurance services when required. The University Secretary will ensure that there is effective engagement with the University's insurers and brokers on any specific insurance problems.

6.18	Residential Fees	N/A	Finance Directorate	COO/CFO / EDSS	N/A	Residential fees are proposed by the Accommodation team and approved by the COO / EDSS.
6.19	Asset Disposal	Conducted in accordance with the Financial Regulations and value of the asset	N/A	COO/CFO	N/A	Disposal of land and buildings must only take place with the authorisation of the Board. OfS consent may also be required if exchequer funds were involved in the acquisition of the asset.
6.20	Endowment Funds	FR (4.12)	FC	COO/CFO	FC ToRs	The Director of Finance is responsible for monitoring the performance of Fund Managers and advising the Finance Committee on the control and investment of the endowment fund portfolio. The Finance Committee is responsible for ensuring that all University endowment funds are operated within any relevant legislation and the specific requirements for each endowment.
6.21	Anti-Bribery and Corruption	**BoG** Bribery Act 2010 CUC Audit Code	ARAC	University Secretary; COO/CFO	Anti-Bribery Policy; Fraud Policy; FR	FR

7.0 STUDENTS

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
7.1	Student Complaints	**BoG** AoG (10.1) OfSRF (C2)	Academic Registry	DVC	Student Complaints & Guidance Procedure (GR2)	Annual report on Student Complaints presented to AAC and BoG. Students have the right to appeal to the OIA against the University's final decision.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
7.2	Student Disciplinary Procedure	**BoG** AoG (4.2.8) OfSRF (B2)	Academic Registry	DVC	Student Disciplinary & Guidance Procedure (GR3)	Students have the right to appeal to the OIA against the University's final decision.
7.3	Fitness to Practise Procedures	**BoG** OfSRF (B2)	Academic Registry	DVC	FTP (Student Conduct) (GR4a); FTP (Student Health & Disability) (GR4b)	Students have the right to appeal to the OIA against the University's final decision.
7.4	Ensuring adequate provision for the general welfare and wellbeing of students	**BoG** OfSRF (B2) SoPR (17)	AAC	EDSS	N/A	N/A
7.5	Student life policies and procedures	**BoG** OfSRF (B2)	AC; Student Life Committee	EDSS	N/A	N/A
7.6	Ensuring the students' union operates in a fair and democratic manner and is accountable for its finances	**BoG** AoG (11) SoPR (18)	N/A	President of KSU; KSU CEO; EDSS	N/A	Annual Report submitted to Board
7.7	Students' Union Service Level Agreement / constitution	**BoG** Education Act 1994	N/A	President of KSU; KSU CEO; EDSS	N/A	Any amendments to the KSU constitution to be approved by the BoG.

8.0 STAFF

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
8.1	Determining the Vice-Chancellor's salary	**BoG** AoG (4.1.5) CUC Rem Code OfSRF (E3)	RemCo	Director of HR	RemCo ToRs	RemCo agrees annual performance targets for the VC and reviews annually the pay & conditions of service of the VC in light of RemCo's review of performance against these targets (and comparative data). The VC does not participate in any discussions or decisions concerning their salary.
8.2	Determining Senior Leadership salaries	**BoG** AoG (4.1.5) CUC Rem Code OfSRF (E3)	VC; reported to RemCo	Director of HR	RemCo ToRs	The VC, following appraisals with SLT members and review of benchmarking data, will propose pay awards for individuals to RemCo. RemCo will validate the proposals against the benchmarking data. Only independent members and the VC contribute to the decision.
8.3	Determining Senior professional and academic salaries	**BoG** AoG (4.1.5) CUC Rem Code OfSRF (E3)	VC; reported to RemCo	Director of HR	RemCo ToRs	RemCo are advised of the % increase range for senior staff and they assess it against the benchmark to ensure that it is in line with the sector.
8.4	Salary increases for the rest of the staff (Grade 10 or below)	**BoG** AoG (4.1.8)	VC; reported to RemCo	Director of HR	RemCo ToRS	RemCo are advised of the % increase range for all staff and they assess it against the benchmark to ensure that it is in line with the sector.

REF.	POWER OR ACTIVITY	PRINCIPAL AUTHORITY / SOURCE	DELEGATED AUTHORITY	RESPONSIBILITY FOR DELIVERY [ie. SLT member, Chair of BoG etc.]	KEY RELATED PLANS, POLICIES & REGULATIONS	NOTES, INCLUDING LIMITS & CONDITIONS OF DELEGATION
8.5	Severance payments	CUC Rem Code	RemCo	Director of HR	RemCo ToRs; FR	RemCo agrees all severance agreements for staff defined as "senior staff" by the OfS accounts direction. or where issues arise for the public interest and safeguarding of public funds.
8.7	Pension scheme changes	FR (4.10)	FC; RemCo	COO/CFO; Director of HR	N/A	The Board is responsible for undertaking the role of employer in relation to appropriate pension arrangements for employees The Director of HR is responsible for day-to-day pension matters including: • paying contributions to various authorised pension schemes • preparing the annual return to various pension schemes
8.8	Staff disciplinary and appeal procedures	**BoG** AoG (9)	SLT	Director of HR	Disciplinary Procedure	N/A
8.9	Grievance and appeal procedures	**BoG** AoG (9)	SLT	Director of HR; VC	Grievance Procedure	N/A
8.10	Appraisal of the Vice-Chancellor	**BoG** AoG (4.1.7)	Chair of the BoG	N/A	N/A	N/A
8.11	Appraisal of the University Secretary	**BoG** AoG (4.2.4)	VC in conjunction with the Chair of the BoG	VC	N/A	N/A
8.12	HR policies and procedures		SLT	Director of HR	N/A	N/A
8.13	TU agreements, collective dispute and negotiation and consultative procedures	Legislation	VC	Director of HR	Trade Union Recognition Agreement	N/A

Key

IoG	**Instrument of Government**
AoG	**Articles of Government**
SoPR	**Statement of Primary Responsibilities of the Board of Governors**
SO	**Standing Orders and Terms of Reference for the Board of Governors**
CoC	**Code of Conduct and Statement of Expectations for Members of the Board of Governors**
CUC	**Committee of University Chairs Higher Education Code of Governance (2026 revision)**
CUC Audit Code	**CUC HE Audit Committees Code of Practice (2020)**
CUC Rem Code	**CUC HE Senior Staff Remuneration Code (2021)**
OfSTC	**Office for Students Terms and Conditions of Funding**
OfSRF	**Office for Students Regulatory Framework**
FR	**Financial Regulations**
UKRI	**UK Research and Innovation**
BoG	**Board of Governors**
ARAC	**Audit and Risk Assurance Committee**
AAC	**Academic Assurance Committee**
FC	**Finance Committee**
Noms & Gov Co	**Nominations and Governance Committee**
RemCo	**Remuneration Committee**
AC	**Academic Council**
SLT	**Senior Leadership Team**
SLE	**Senior Leadership Executive**
SLG	**Senior Leadership Group**
EC / ECAG	**Estates Committee / Estates Committee Advisory Group**
DIG	**Digital Investments Group**
KUEL	**Kingston University Enterprises Limited**
KUSCO	**Kingston University Service Company Limited**
KSU	**Kingston Students' Union**
USHSC	**University Safety, Health and Security Committee**
HAP	**Honorary Awards Panel**
ToRs	**Terms of Reference**
VC	**Vice-Chancellor**
DVC	**Deputy Vice-Chancellor**
COO/CFO	**Chief Operating Officer/Chief Financial Officer**
EDSS	**Executive Director of Student Services**

Version	Date	Comments
1.0	24.06.20	Approved by Board of Governors
2.0	23.03.22	Approved by Board of Governors
3.0	28.06.23	Approved by Board of Governors
4.0	26.06.24	Approved by Board of Governors
5.0	25.06.25	Approved by Board of Governors
6.0	24.06.26	Approved by Board of Governors
7.0	25.11.26	Approved by Board of Governors
Next review date	June 2027	