

THE UNIVERSITY OF LEEDS

THE COUNCIL

Outline scheme of delegation

*In November 2016, the Council approved the following updated and revised version of the Scheme of Delegation, which was originally introduced in December 2006.*

*Roger Gair  
Secretary to the University  
December 2016*

**Introduction**

This schedule seeks to record where authority rests within the University for particular types of decision made in the name of or on behalf of the University of Leeds. 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. (Questions should be referred to the Secretariat.)

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 individual executive officers and bodies such as the University Executive Group).

**Framework and principles of delegation**

1. As the governing body of the University, the Council is itself responsible for approving corporate strategy and associated plans and budgets; for determining major business decisions and corporate policy; for the framework of governance and management; and for monitoring institutional and executive performance. These responsibilities are 'reserved' to the Council and, as a general rule, cannot be delegated.
2. As the academic authority of the University, the Senate is responsible to the Council for academic governance, and specifically for regulating, in accordance with the Charter and Statutes, the admission of students; the curriculum and assessment; the maintenance and enhancement of academic standards; and the award of degrees and other qualifications. Operational responsibility for these matters may be – and in practice is – delegated as illustrated below.
3. As the chief executive and senior academic officer of the University, the Vice-Chancellor is responsible to the Council – within the framework laid down by the

Charter, Statutes and Ordinances, the Memorandum of Assurance and Accountability between the University and the HEFCE, 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 individual members of the University Executive Group but retains ultimate responsibility for their work.

4. The executive deans of faculty are responsible to the Council (through the Vice-Chancellor or a Deputy Vice-Chancellor as may be agreed from time to time) for the leadership and overall management of their respective faculties 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 pro-deans and other members of the relevant faculty executive committee (or equivalent), but retain ultimate responsibility for the management of their faculties.

5. Other individual University executive officers are responsible to the Council (through the Vice-Chancellor) for the leadership and overall management of the corporate services in accordance with their job descriptions and the policies and Financial Regulations of the University. They may delegate responsibility for specific aspects of service management to heads of services, but retain ultimate responsibility for the management of their service groups.

6. For financial decisions, the rule of thumb is that, except as explicitly provided below<sup>1</sup>, any transaction with a monetary value of over £3 million requires the approval of the Council; any transaction with a monetary value of between £1 million and £3 million needs approval by the University Executive Group; and any decision with a monetary value of less than £1 million lies within the jurisdiction of individual University executive officers in accordance with the University's Financial Regulations.

7. Except as otherwise provided, individuals and bodies in whom authority is vested by this Scheme of Delegation may sub-delegate to others provided that such sub-delegation is consistent with the financial and other regulations and recorded and reported to the relevant corporate service (for example, Finance in respect of financial authority levels).

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<sup>1</sup> In particular, approval thresholds for financial decisions relating to the University's estate, for example, are set at higher levels.

## Glossary

ARC	Audit and Risk Committee
CFO	Chief Financial Officer
DF	Director of Finance
DVC	Deputy Vice-Chancellor
GAC	Gift Acceptance Committee
GB	Graduate Board
GRBS	General Revenue Budget Statement
NGC	Nominating and Governance Committee
PC	Pro-Chancellor
P & M	Professional and managerial (staff)
TSEB	Taught Student Education Board
UEG	University Executive Group

## Strategy

Approval of corporate strategy and associated resource strategies (including in particular finance, HR, estates and IT strategies)	Council
Delivery strategies (for example, international, community engagement and recruitment strategies)	Council

## Policy formulation

Approval of significant corporate policies (that is, those which have a material impact on the working conditions of members of the University or materially affect the University's reputation)	Council
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## Budgets and the allocation of resources

Approval of annual GRBS and annual budget	Council
Main features of resource allocation mechanism	Council
Details of resource allocation model	UEG
Allocations to individual faculties & schools	UEG
Allocations to individual services	UEG
Allocation of strategic funds	UEG
Allocations from support funds	Individual University officers as specified in current GRBS schedule
Allocations of capital funding	Council
Approval of faculty and school budgets (as opposed to allocations to faculties & schools)	VC, DVCs and CFO in consultation with UEG

Approval of service budgets (as opposed to allocations to services)	VC, DVCs and CFO in consultation with UEG
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**Governance, management and control**

Amendments to Charter	Privy Council on the recommendation of the Council by special resolution
Amendments to Statutes	Privy Council on the recommendation of the Council
Approval of ordinances and changes thereto	Council
Approval of general regulations and changes thereto	Council
Approval of regulations relating to taught programmes and changes thereto	TSEB
Approval of regulations relating to research degrees and changes thereto	GB
Appointment of PC and designation of deputy pro-chancellors	Council
Appointment of Nominated Officer for related (subsidiary and associated) companies	Council
Issues of principle resulting in significant amendments to model Memorandum of Understanding for subsidiary <sup>2</sup> companies, or equivalent shareholder agreements, and other issues of policy and principle concerning subsidiary companies	Council
Appointment of lay members of Council <sup>3</sup>	Council, on the recommendation of the NGC
Removal of members of the Council	Council, in accordance with the provisions of Statute II
Appointment of VC Removal of VC	Council on the recommendation of an appointing committee including nominees of the Senate  Council, in accordance with the provisions of Statute VII
Institutional management structure	VC
Appointment of DVCs and PVCs	Council on the recommendation of an appointing committee including nominees of the Senate
Removal from office of DVCs and PVCs	Council <sup>4</sup>
Appointment of Secretary	Council, on the recommendation of an appointing committee including nominees of the Senate

<sup>2</sup> Subsidiary companies are those within which the University maintains a controlling share but which do not fall under the definition of spin-out companies.

<sup>3</sup> Except lay members nominated by third parties

<sup>4</sup> See Staff section for removal as a member of the academic staff.

Removal of Secretary	Council
Appointment of other executive officers and executive deans, deans, pro-deans, heads of school, directors of learning and teaching, directors of research, and other similar offices	Appointing committee established under the authority of the VC in accordance with protocols laid down by the Senate and the Council
Interim appointments (pending permanent appointment) to such offices	VC and PC, on behalf of the Senate and Council respectively
Approval of annual accounts	Council
Appointment of auditors	Council, on recommendation of ARC
Systems of internal financial management and control and accountability, including risk management, financial regulations and financial procedures	Council, on recommendation of ARC
Authority for use of Common Seal	Secretary
Appointment of bankers, opening of bank accounts and designation of bank account signatories	Council
Approval of trust deeds for University trusts	Council
Power of Attorney not relating to Intellectual Property Matters	Secretary (in consultation with Council as appropriate)
Execution of contracts to effect agreements of the Council or University committees	Secretary or in his/her absence CFO, Deputy Secretary or DF
Interpretation of this Scheme of Delegation	Secretary
IT protocols and regulations	CFO
Library protocols and regulations	DVC: Student Education
Establishment and closure of Schools and Institutes	Council on the recommendation of the Senate
Approval of model School, Institute and Faculty constitutions	Council on the recommendation of the Senate
Approval of individual School and Institute constitutions in line with the model	Secretary
Establishment/dissolution of Centres of Study	UEG
Executive authority – outside the line management structure – to suspend/close an activity/facility (e.g. a laboratory) on health and safety grounds	V-C, University Secretary, Director of HR or Head of Health and Safety Services

**Property transactions and capital projects**

Estates strategy and capital programme	Council
Acquisition, construction, refurbishment and disposal of buildings (and acquisition and disposal of land) within estates strategy	<ul style="list-style-type: none"> <li>◇ Council &gt; £5 million</li> <li>◇ UEG £2-5 million</li> <li>◇ Capital Group £500k- £2 million</li> <li>◇ Director of Facilities Management &lt; £500k</li> </ul>
Acquisition, construction refurbishment and disposal of buildings (and acquisition and	◇ Council > £3 million

disposal of land) outside estates strategy	<ul style="list-style-type: none"> <li>◇ UEG &lt; £3 million</li> </ul>
Leasing of properties by and from the University	<ul style="list-style-type: none"> <li>◇ Council &gt; £5 million or &gt;10 years</li> <li>◇ UEG £2-5 million</li> <li>◇ Capital Group £500k-£2 million</li> <li>◇ Director of Facilities Management &lt; £500k</li> </ul>
Approval of building contracts	<ul style="list-style-type: none"> <li>◇ Director of Estates &lt; £5 million</li> <li>◇ Director of Facilities Management &gt; £5 million</li> </ul>
Approval of increase in approved budget for capital projects	<p><i>Increases up to 10% of original cost</i></p> <ul style="list-style-type: none"> <li>◇ Director of Facilities Management &lt;£500k</li> <li>◇ Capital Group £500k-£2 million</li> <li>◇ UEG £2-5 million</li> </ul> <p><i>Increases over 10% of original cost or over £5 million</i></p> <p>Body with authority to approve total value of scheme</p>

## Staff

Main features of terms and conditions of employment	Council
Minor adjustments to terms and conditions of employment	HR Director
Decision to initiate recruitment to a professorial or equivalent post	Relevant member of UEG
Decision to initiate recruitment to other categories of posts	Relevant member of UEG
Appointment of the following categories of staff on contract: <ul style="list-style-type: none"> <li>◇ Permanent members of academic and P&amp;M posts</li> <li>◇ Academic and P&amp;M (except research) posts with tenure over 2 years</li> <li>◇ All grade 8, 9 and 10 posts regardless of length</li> </ul>	University appointing committee established by HR under current policies
Appointment of other categories of staff on contract	Departmental (school or service) appointing committee
Appointment of casual (non-contracted) staff	Head of school or service
Offer of appointment to staff on contracts	Director of HR or HR manager
Offer of appointment to casual staff	Head of school or service
Promotions	Promotions Panel

Fast-track promotions	Following confirmation by a DVC that there is a <i>prima facie</i> case, promotions panel chaired by a faculty dean
Dismissal of academic and P&M staff	VC under Statute VII
Dismissal of support staff	Secretary (or Director of HR) under procedure agreement with Unison and Unite
Authority to terminate an employment contract whilst a member of staff is on probation – academic and P&M staff	Relevant member of UEG (following ad hoc group if requested by member of staff)
Authority to terminate an employment contract whilst a member of staff is on probation – support staff	HR Director
Imposition of formal disciplinary warning – academic and P&M staff	Relevant member of UEG (or nominee) under Statute VII
Imposition of formal disciplinary warning – support staff	<ul style="list-style-type: none"> <li>◇ Head of school or service for written warnings</li> <li>◇ Immediate line manager for oral warnings</li> </ul> under procedure agreement with Unison and Unite
Uplift of salary spine points in accordance with national pay agreements	VC
Accelerated salary progression: grades 2 - 9	Relevant faculty, school or service reward and recognition committee overseen by a central validation panel
Salary progression: grade 10	Professorial and Senior Staff Salary Review Committee
Overtime payments	Head of school or service (or nominee)
Approval of early retirement or MIS	HR Director

### Students

Institutional admissions policy and strategy	Senate on recommendation of TSEB/GB
Admission of students	Head of school or nominee
Approval of tuition fees	UEG
Approval of new programmes of study	TSEB
Collaborative teaching agreement	TSEB (subject to provisions of Scheme regarding international agreements) (see p.8)
Approval for the establishment of joint award arrangements with UK and overseas HEIs	TSEB or GB (as appropriate)
Assessment of taught students & award of degrees and other qualifications	School board of examiners

Award of research degrees	Examinations Group of the Graduate Board
Award of prizes	Graduate Board's Group on Scholarships, Studentships & Prizes
Determination of appeals by taught students	Committee on Applications
Determination of appeals by research students	Panel of members for research student appeals
Determination of cases of plagiarism and cheating (taught students)	Committee on Applications
Determination of cases of plagiarism and cheating (research students)	Committee on Applications
Award of bursaries and scholarships	Admissions and Widening Participation Committee/GB's Group on Scholarships, Studentships & Prizes
Award of Access to Learning Fund grants	Access to Learning Fund Panel
Allocation of University accommodation	Director of Residential Services
Exclusion for academic reasons – taught students	University Special Cases Committee or DVC: Student Education in accordance with Unsatisfactory Students Procedure
Exclusion for academic reasons – research students	Graduate Board's Programme of Study & Audit Group
Exclusion for non-payment of fees	Secretary or nominee
Exclusion for disciplinary reasons	Student Discipline Committee
Imposition of disciplinary penalties short of exclusion	See Disciplinary Regulations
Exclusion from University accommodation	Director of Residential Services (subject to provisions of disciplinary procedure)

### International agreements

Teaching overseas for an award of the University (including establishment of overseas campuses) <sup>5</sup>	Council
Other international activity, including institutional collaboration with foreign HEIs and establishment of recruitment agencies or offices	VC, a DVC, PVC: International, University Secretary or Marketing Director

### Financial transactions (and see also Financial Regulations)

Bids for research grants and contracts	See Annex A
Acceptance of research grants and contracts	See Annex A
Bids and tendering (excluding research)	VC on basis set out in Annex B
Solicitation and acceptance of gifts	◇ Gifts in the form of real property

<sup>5</sup> Excluding joint awards with overseas HEIs.



	<p>and non-publicly traded securities: GAC</p> <p>◇ Other gifts: £25k-£100k, Director of Development; &gt;£100k, GAC<sup>6</sup></p>
Approval of establishment of subsidiary companies	Council
Approval of sale of equity in subsidiaries	Council
Approval of establishment of spin-out companies <sup>7</sup>	Nominated Officer
Significant shareholder decisions relating to spin-out companies (such as shareholder resolutions)	Nominated Officer
Approval of sale of equity in spin-out companies	<p>◇ &lt;£1m: Nominated Officer</p> <p>◇ &gt;£1m: CFO and DVC: Research &amp; Innovation (R and I)<sup>8</sup></p>
Third-party investments relating to spin-out companies	◇ Nominated Officer
Sale or licensing of IP	<p>◇ Initial value &lt;£1m: Director of Commercialisation</p> <p>◇ Initial value &gt;£1m: CFO and DVC: R and I</p>
University cash investment into spin-out companies	◇ Council
Power of Attorney relating to Intellectual Property Matters (and closely related matters, such as spin-out companies and licensing)	Director of Commercialisation (or in his/her absence DVC: R and I)
Approval of other financial transactions and contracts associated with enterprise and innovation	<p>◇ Initial value &lt; £2m: as for research contracts – see paragraph (i) of Annex A</p> <p>◇ Initial value &gt; £2m: as for research contracts – see paragraph (ii) of Annex A</p>
Management of endowments and other investments (including sale and purchase of investments)	CFO
Borrowing	<p>◇ &lt;£1m: CFO</p> <p>◇ £1m - £3m: UEG</p> <p>◇ &gt;£3 m: Council</p>
Approval of other financial transactions and contracts	<p>◇ &lt; £250k: head of school or service or formally delegated nominee</p> <p>◇ £250k - £1 m: relevant UEG member</p>

<sup>6</sup> The GAC may at its own discretion consult the Council in respect of any gift or donation

<sup>7</sup> Consistent with terminology within the Finance Act 2005, spin-out companies are those incorporated to exploit University technology (primarily intellectual property).

<sup>8</sup> Where a material financial or reputational risk to the University is identified, the CFO and DVC: R and I may refer the matter to the Council.

	◇ £1m - £3m: UEG ◇ >£3 m: Council
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**Forward commitments**

Locking the University into contractual commitments extending over five years	UEG – unless for other reasons a project has to be approved by Council
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- 1 February 2007 (original version)
- 25 November 2010 (updated and revised version)
- 1 March 2012 (updated and revised version)
- 2 April 2012 (updated and revised version)
- 26 July 2012 (updated and revised version)
- August 2013 (updated and revised version)
- January 2015 (updated and revised version)
- November 2016 (updated and revised version)

### Approval of research applications and awards

The following approval process has been adopted for research applications and awards (hereinafter referred to as “contracts”), on the understanding that contracts considered to have high levels of reputational or financial risk to the University will be referred to the University Executive Group or the Council, as appropriate, for consideration.

- (i) for contracts with a full economic cost of less than £2 million (including any element of match funding), and subject to (iii) below, Executive Deans of Faculty, or an Executive Dean’s nominee (such nominee will normally be a Pro-Dean for Research and Innovation, Head of School, Faculty Research and Innovation Manager or Faculty Finance Manager), are authorised to approve and sign contracts on behalf of the University on the understanding that such contracts may also be signed by the Director of Research and Innovation Development, the Director of Commercialisation and the Head of Research Operations and Reporting, subject to prior approval by an Executive Dean of Faculty or Executive Dean’s nominee as defined above.
- (ii) for all contracts with a full economic cost of more than £2 million (including any element of match funding), the Deputy Vice-Chancellor: Research and Innovation, the Director of Research and Innovation Development, the Director of Commercialisation and the Head of Research Operations and Reporting are authorised to sign on behalf of the University, following prior approval by an Executive Dean of Faculty or Executive Dean’s nominee as defined in (i) above.
- (iii) for all contracts with the EU, including documents relating to EU training and education projects processed through the Research and Innovation Service, the Director of Research and Innovation Development and the Head of Research Operations and Reporting are the two nominees authorised to sign on behalf of the University, in line with EU regulations, following prior approval by an Executive Dean of Faculty or Executive Dean’s nominee as defined in (i) above.
- (iv) the Deputy Vice-Chancellor: Research and Innovation, the University Secretary, the Chief Financial Officer, and the Director of Finance are also authorised to sign any of the contracts mentioned in (i) to (iii) above, if circumstances require.
- (v) the authority vested in named individuals under (i) to (iv) above shall apply equally to their successors in the posts described, unless the Council shall otherwise determine.

**Delegation of authority in relation to funding bids**

The Council (23 March 2006, 16/11/2006) has authorised the Vice-Chancellor to approve funding bids (except where other arrangements are agreed by the Council, for research bids, for example) on the understandings that:

- (i) the Vice-Chancellor shall refer to the Council any funding bid where he considers that the consequences to the University of not accepting the funding, if offered, would be material;
- (ii) bids approved for submission shall be documented for report to the Council; and
- (iii) if the value of a contract resulting from a successful bid is in excess of £3 million the approval of the Council shall be required to enter into the contract (unless otherwise agreed by the Council).