

University of Surrey Scheme of Delegation

1. Introduction and Scope

This Scheme of Delegation outlines where final authority sits for key decisions made within and on behalf of the University. It consists of -

- a set of overall principles;
- tables of final approval;
- financial authority tables; and
- delegation structure schematic

In all cases the final level of authority is shown. In some instances, the prior recommendation is also given where it is important to evidence consultation and for transparency.

Whilst every attempt has been made to include all key high-level approvals, it is not possible for any Scheme of Delegation to be exhaustive in its coverage. This Scheme does not deal with responsibilities delegated to individuals through their role descriptions (this is a management responsibility). Nor does it cover the underlying processes and procedures that lead to the final approval point (the responsibility for the adequacy of which lies with the relevant executives). This Scheme also does not apply to internal accounting activities which are deemed business as usual (e.g. payroll, budget journals, etc.)

2. Principles of Delegation

Council is the governing body of the University and is its highest decision-making authority. Acting in accordance with the governing instruments, it is responsible for the general control of University affairs. A number of decisions are reserved to Council for approval which means they cannot be delegated (these are included in table 1 below). Although Council may retain authority over any decision, in reality it delegates the daily operation of the University to the Vice-Chancellor who in turn delegates to the Senior Executive Team. Council also delegates some of its activities and certain approval authorities to its own sub-committees. The Terms of Reference for Council and its sub-committees can be found [here](#).

The Senate is the senior academic body responsible for the oversight of the University's academic matters, including learning, teaching and research, and for the regulation and direction of the education and conduct of students. It delegates some of its activities and certain approval authorities to its sub-committees and these are outlined in the Code of Practice for Academic Governance. The Chair of Senate is the Provost, by delegation from the Vice-Chancellor. The Terms of Reference for Senate can be found [here](#).

The Vice-Chancellor is the Chief Executive and is the University's Accountable Officer as defined by the Office for Students. In accordance with the University's Statutes, the Vice-Chancellor has delegated authority from Council for the daily operation of the University. The Vice-Chancellor delegates to the Senior Executive Team, the responsibility for delivery of activities within their individual remits. As a collective, in accordance with the University's Ordinances, the Executive Board is advisory to the Vice-Chancellor and assists the Vice-Chancellor to discharge their obligations to Council. Throughout the document, this is reflected using the term "VC sitting as Executive Board".

In general, those individuals or bodies shown in this Scheme to hold authority may delegate to others as long as such delegation remains in line with University policy, procedure and regulation and that delegation is reported and recorded appropriately.

3. Financial Authority Limits

At a general level, unless otherwise stated in this Scheme of Delegation, any transaction for goods and services with a value of over £10m must be approved by Council; between £5m and £10m must be approved by the Finance Committee and between £1m and £5m must be approved by the Executive Board. Transactions below £1m are subject to the limits defined for Senior Executives, Heads of Departments, Managers and budget-holders by local procedures and the University financial systems. Budget-holders may further delegate spend authority to members of their teams within the limit of their allocated budgets. Further detail on specific approval limits is included in the tables of authority below.

4. Risk Authority Limits

In some cases, the value of a transaction is not a reliable determining factor in assessing the level of risk it poses to the University. *Unless* otherwise provided for in the Scheme, the Partnerships & Reputation Committee, a sub-committee of the Executive Board, is the primary forum where transactions with heightened risk levels are assessed against PESTLE.

5. Physical signature of contracts and other agreements

- Contracts and agreements with associated spend: Approval to sign the contract must be in accordance with Section 12. Physical signature may be delegated by the individual or body approving the contract.
- Contracts and agreements with no associated spend (Excluding research contracts): Signature to be at Director level.
- Research contracts may be signed by the individual approving the research activity or post-approval:
 - Up to £1m: Director RIS, Director Research Strategy, Director Innovation Strategy, Head of Research Finance or Head of Research Pre-Award or Head of Research Legal or Head of Technology Transfer
 - Over £1m Pro Vice-Chancellor Research & Innovation or above.
- Requests for signature by “authorised representatives” about University legal and fiscal status (usually for international activities, EU grants, etc.): Signature to be a member of Council or University Secretary & General Counsel.

6. Other general principles

- Council and Senate retain the power to exercise delegated functions other than through the delegate.
- The Vice Chancellor retains the power to exercise delegated functions other than through the delegate.
- In line with the Vice Chancellor’s accountability to Council, where delegations are to the Executive Board, the Vice Chancellor is the primary delegate.
- Decisions must not exceed the stated level of authority.
- Decisions of Committees may be delegated to individuals or groups in appropriate circumstances. Such delegations must be approved by the Chair of the Committee and formally recorded in minutes.
- The Terms of Reference for committees must include reference to any specific decision-making authority delegated to it in line with this Scheme, especially where financial limits apply
- Decisions should be consistent with the University’s mission, vision and strategic plan.
- Decisions must consult and adhere to relevant regulatory, legal and policy frameworks.
- Decisions must be taken in line with University policy and procedure.

Index of Tables

1. Matters which Council cannot delegate
2. Strategy and Performance
3. Governance, management and controls
4. Corporate policies and procedures
5. Appointments, awards and staff related matters
6. Academic and student matters
7. Marketing & communications
8. International and Partnerships
9. Research & Innovation
10. Commercialisation and investment
11. External Engagement and Advancement
12. Spend on goods and services
13. Provision of services by the University

Tables of final approval authority

1	Statutory matters which Council cannot delegate
1.1	Appointment of the Vice-Chancellor
1.2	Amendments to Charter and Statutes (Privy Council retains final approval)
1.3	Approval of the University's financial budget
1.4	Approval of the University's annual audited accounts
1.5	Appointment of the University's External Auditor

2	Strategy and Performance	Limit	Final authority
2.1	University Mission, Vision and Strategy and associated business plan	-	Council
2.2	Approval and review of the University level Key Performance Indicators	-	Council
2.3	Approval of the University's Risk Appetite Statement	-	Council
2.4	Approval of function/faculty level and academic strategies	-	Vice Chancellor sitting as Executive Board

3	Governance, Management and Controls	Limit	Final authority
3.1	Amendments to Charter and Statutes (by resolution of Council)	-	Privy Council
3.2	Amendments to Student Regulations	-	Senate
3.3	Amendments to Academic Regulations (taught and research)	-	Senate

3	Governance, Management and Controls – continued	Limit	Final authority
3.4	Custody and use of the University Seal	-	Uni Secretary & General Counsel
3.5	Approval of Terms of Reference for University level sub-committees		
	Council sub-cttees		Council
	Executive Board sub-cttees		Vice Chancellor sitting as Executive Board
	Senate sub-cttees		Senate
3.6	Approval of expenditure by non-primary trading subsidiaries <i>“Subsidiary” has the meaning ascribed to it in section 1159 of the Companies Act 2006. “Subsidiary governance documents” means Articles of Association, Governance Agreement or equivalent (e.g. Partnership Agreement for LLPs), setting out matters requiring University consent and the approval process which determines which individual or body within the University exercises the consent on behalf of the University.</i>		As per relevant subsidiary governance documents
3.7	Approvals reserved to the University (VC as EB, or Council) in relation to subsidiaries		As per relevant subsidiary governance documents
3.8	Approval of the creation or discontinuation of Academic Operating Units (excluding modules and programmes)		Council
3.9	Approval of acquisition and disposal of assets (land and buildings) including leases	Over £5m	Council (on recommendation of Finance Committee)
		Up to £5m	Finance Committee (on recommendation of Executive Board)
		Up to £1m	Chief Operating Officer
3.10	Approval of acquisition and disposal of assets (land and buildings) by subsidiaries		As per relevant subsidiary governance documents for approvals and limits
3.11	Approval of associated institutions to grant educational awards		Council (on recommendation of Senate)
3.12	Approval of mergers with other educational institutions		Council (on recommendation of Senate)
3.13	Approval of HESA returns		Vice Chancellor
3.14	Approval of returns where obligated by Office for Students		Council
3.15	Approval of the Student Protection Plan		Council
3.16	Approval of pension scheme changes		Council
3.17	Appointment of bankers (current accounts) and designation of banking signatories		Council (on recommendation of Finance Committee)
3.18	Approval of the University’s Financial Regulations		Finance Committee
3.19	Approval of the Students’ Union budget and subvention (as part of annual budget recommendation to Council)		Operations Committee (delegated from VC)

3	Governance, Management and Controls – continued	Limit	Final authority
3.20	Approval of accommodation rates		Operations Committee (delegated from VC)
3.21	Approval of TRAC and TRAC-T returns		Audit & Assurance Committee
3.22	Assurance of Student’s Union governance, including quinquennial review of governing instruments		Council
3.23	Approval of the Memorandum of Understanding between the University and the Students’ Union		Operations Committee
3.24	Approval of the use of expendable endowment capital	Over £1m	Council
		Up to £1m	Vice Chancellor sitting as Executive Board
		Up to £500k	VP External Engagement

4	Corporate Policies and Procedures	Limit	Final Authority
4.1	Approval of Policy Statements	-	Vice Chancellor sitting as Executive Board
4.2	Approval of Procedures (see Procedure of Policies and Procedures)	Within criteria for Our Operations, Colleagues, Partners & Reputation, Data, Safety	Executive Board Sub-Committee
		Within criteria for Our Research & Innovation, Students or Education	Senate (or Senate sub- Committee in accordance with Code of Practice and Procedure of Policies and Procedures)
		Exceptional to criteria for Policy Statement areas	Vice-Chancellor sitting as Executive Board
4.3	Approval of policies and procedures relating to corporate governance compliance	-	Council
4.4	Approval of changes to the basis of accounts preparation e.g. due to changes in external accounting standards	-	Audit & Assurance Committee
4.5	Approval of the Treasury Management Procedure	-	Finance Committee
4.6	Approval of the Philanthropic Gifts Procedure	-	Council

5	Appointments, awards and staff related matters	Limit	Final Authority
5.1	Appointment of the Chancellor	-	Council
5.2	Appointment of the Pro-Chancellors	-	Council
5.3	Appointments to Council and Council sub-committees (non-executive)	-	Council
5.4	Appointment of co-optees to Council or Council sub-committee	-	Council
5.5	Appointment of directors to University wholly owned subsidiaries	-	Council / Subsidiary Board (in accordance with relevant subsidiary governance documents)

5	Appointments, awards and staff related matters - continued	Limit	Final Authority
5.6	Appointment of Council Chair, Vice-Chair, Senior Independent Member and Treasurer	-	Council
5.7	Appointment of the University Secretary & General Counsel	-	Council
5.8	Appointment of Executive Board members	-	Vice Chancellor (in accordance with Ordinances)
5.9	Award of Emeritus Professorships, Reader status and Distinguished Chair status	-	Provost (on recommendation of Promotions Committee)
5.10	Award of Honorary Degrees	-	Council
5.11	New and major adjustments to terms and conditions of employment	-	Vice Chancellor sitting as Executive Board
5.12	Approval of Executive Board salaries and contract terms	-	Vice Chancellor (on recommendation of Remuneration Committee)
5.13	Approval of the VC salary and conditions (VC excluded from discussion)	-	Chair of Council (on recommendation of Remuneration Committee)
5.14	Professorial and senior academic salaries and contract terms	-	Provost
5.15	Professional Services level 7 salaries and contract terms	-	Chief Operating Officer
5.16	Severance payments (for staff earning in excess of £100k)	-	Vice Chancellor (on the recommendation of Remuneration Committee)

6	Academic and Student Matters	Limit	Final Authority
6.1	Approval of Managed Exclusion Orders of students	-	PVC Academic
6.2	Approval of Expulsions of students	-	Relevant Panel or Appeal Panel (as per Regulations)
6.3	Design and approval of new and major amendments to programmes, including Doctoral programmes	-	Senate
6.4	Approval of withdrawal or suspension of programmes	-	Senate
6.5	Approval of fees, bursaries and scholarships	-	Chief Operating Officer (on the recommendation of Operations Committee)
6.6	Approval of teaching collaborative provision, including termination of collaboration	-	Senate
6.7	Approval of academic related collaboration agreements other than collaborative provision	-	Senate
6.8	Approval of the Quality Framework	-	Senate
6.9	Approval of entrance grade requirements – Undergraduate and Postgraduate - Taught	-	Vice Chancellor sitting as Executive Board
6.10	Conferment and rescission of awards (excluding honorary awards)	-	Senate Progression and Conferment Executive (delegated from Senate)
6.11	Approval of library and learning provision, academic policies and procedures	-	Senate
6.12	Approval of the naming or renaming of Academic Operating Units	-	Senate
6.13	Approval of Teaching Excellence Framework submissions	-	Vice Chancellor

7	Marketing & Communications	Limit	Final Authority
7.1	Approval of changes to University logos	-	Vice Chancellor sitting as Executive Board
7.2	Approval of the use of University logos	-	Chief Operating Officer
7.3	Authorisation of media releases	-	VP External Engagement

8	International and Partnerships	Limit	Final Authority
8.1	Approval of International Collaborations/Partnerships (post academic due diligence)	High risk	Vice-Chancellor sitting as Executive Board
	<i>High and medium risk, on the recommendation of PRC</i>	Medium risk	Provost
		Low risk	VP External Engagement
8.2	Research collaborative arrangements including termination of collaboration	High risk	Vice-Chancellor sitting as Executive Board
	<i>High and medium risk, on the recommendation of PRC</i>	Medium risk	Provost
		Low risk	VP External Engagement

9	Research & Innovation	Limit	Final Authority
9.1	Matched funding approval of Research & Innovation contracts pre-award –	50% and over	Provost (or delegate)
		Up to 49.99%	Executive Dean
9.2	Approval of research contract risk	Very high risk	Vice-Chancellor
	<i>Risk relates to contract terms as assessed by Research Contract Services. Contracts on University templates (unamended) are deemed low risk. Risks related to the subject matter of the research or identity of contracting parties are assessed under item 8.2 above.</i>	High risk or above £250K	Provost
		Medium risk or above £250K	Executive Dean
		Low risk and under £250K	Head of Department
9.3	Approval of Research & Innovation ethical policies		Senate
9.4	Approval of Annual Research Integrity Statement		Council
9.5	Responsibility for ethical compliance under human and animal regulatory requirements (HTA, AWERB, NASPA)		Provost (or delegate)
9.6	Sponsorship of clinical research & innovation including trials		Provost (or delegate)
9.7	Approval of Research Excellence Framework / Knowledge Excellence Framework submissions		Vice Chancellor

10	Commercialisation and Investment	Limit	Final Authority
10.1	Approval of subsidiaries, joint ventures or partnerships	High risk	Council
	<i>On recommendation of PRC.</i>	Medium risk	Vice Chancellor sitting as Executive Board
		Low risk	Partnerships & Reputation Committee
10.2	Approval of equity investment or loan capital into subsidiaries, joint ventures or partnerships	Over £1m	Council
	<i>Any borrowing over £500k is subject to Finance Committee scrutiny and recommendation, and be in accordance with the University's financial covenants</i>	Up to £1m	Vice-Chancellor sitting as Executive Board
10.3	Capital investment in commercialisation projects <i>Non primary purpose, including spin-outs (excluding subsidiaries).</i>	Over £1m	Council
		Up to £1m	Vice-Chancellor sitting as Executive Board
10.4	Sale of shares in spin-out companies	Over £1m	Council
		Up to £1m	Vice-Chancellor sitting as Executive Board
10.5	Approval of Governance Documentation for Subsidiaries	High Risk or where investment over £1m	Council
		Medium risk or investment up to £1m	Vice-Chancellor sitting as Executive Board
		Low risk and no investment	Partnerships & Reputation Committee

11	External Engagement and Advancement	Limit	Final Authority
11.1	Approval of the acceptance of donations (financial and/or benefits in kind) to the University	Over £1m	Council
		£500k-£1m	Vice-Chancellor (on recommendation of Partnerships & Reputation Committee)
		£250k-500k	Vice-Chancellor
		£50k-250k	VP External Engagement
		Up to £50k	Director of Advancement

12	Approval for spend on goods and services from third parties	Limit	Final Authority
12.1	Approval within an agreed budget envelope –	Over £10m	Council
	<i>Limit values relate to total committed costs over the life of a project</i>	Up to £10m	Vice Chancellor as Executive Board
	<i>or activity and any associated contracts, including VAT.</i>	Up to £5m	Chief Operating Officer
	<i>In all events the Purchasing Procedure must be followed.</i>	Up to £2m	Chief Financial Officer
		Up to £500k	Executive Board Member
		Below £100k	Defined by Agresso and Purchasing Procedure
12.2	Approval for spend incremental to agreed budget envelope <i>Refers to agreed budget envelopes for departments/schools/faculties, etc. Overall University budget is a matter for Finance Committee.</i>		Executive Board

13	Provision of Services by the University	Limit	Final Authority
13.1	Approval of provision of non-primary trading services by the University or	Very High risk	Vice-Chancellor
	University staff member	High risk and above £250k	Provost
	<i>Consultancy and expert services, excluding research contracts. Risk relates to contract terms. Services provided on University standard terms and conditions are deemed low risk</i>	Medium Risk and below £250K	Executive Dean
		Low risk and below £50K	Head of Department