

# Scheme of Delegated Authority August 2023

## Introduction

The purpose of this Scheme is to identify key decisions and activities made in the name of the University and which require formal approval, and the framework of delegation for taking and implementation of decisions from the Board of Governors to other bodies and role-holders, including the Vice-Chancellor and Chief Executive.

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## Definitions

In this Scheme of Delegated Authority, unless the context otherwise requires, the following expressions shall have the meanings indicated below:

|                       |   |
|-----------------------|---|
| "Academic Board"      | the Academic Board of the University  |
| "Accountable Officer" | the person, normally the head of the provider, who reports to the OfS on behalf of the provider |
| "Articles"            | the Articles of Government in accordance with which the activity of the University is conducted |

|                           |  |
|---------------------------|--|
| "Board of Governors"      | the members of the Board of University of Northumbria at Newcastle and its charity trustees  |
| "Independent Member(s)"   | members of the Board of Governors who are neither staff nor students at the University   |
| "Instrument"              | the Instrument of Government of the University   |
| "Internal Members"        | members of the Board of Governors who are members of staff or students at the University   |
| "Co-opted Members"        | members of the Board of Governors or its Committees who are appointed by the Board of Governors  |
| "Regulations"             | any rules, bye-laws, standing orders or procedures established by the Board of Governors in order to regulate the conduct of its business or that of the University  |
| "Primary Regulator"       | the Office for Students, a non-departmental public body of the Department for Education, acting as the regulator and competition authority for the higher education sector in England or any successor body  |
| "Secretary"               | the person appointed under the Articles to the office of Secretary, or Clerk, to the Board of Governors  |
| "Holders of Senior Posts" | the Vice-Chancellor and the Secretary to the Board   |
| "Senior Staff"            | members of the University Executive and Senior Management Group of the University, falling within the scope of Remuneration Committee for the purpose of base pay and wider remuneration and reward  |
| "Staff"                   | both academic and professional support staff employed by the University  |
| "Student"                 | a person who is for the time being enrolled as a student at the University including any period when they been granted leave of absence from the University for the purposes of study or travel or for carrying out the duties of any elected office held by them in the students' union, or who is carrying out the duties of any elected office held by them in the students' union following the completion of their studies. |
| "Students' Union"         | the students' union of the University  |
| "University"              | the University of Northumbria at Newcastle, established and operating as a higher education corporation pursuant to the Education Reform Act 1988  |

## **Role of University Executive**

In practice, University Executive will consider and shape the vast majority of the activities covered in the Scheme of Delegated Authority. However, as noted in new Governance Regulation 5.2e, it does not have formal decision-making powers itself, but enacts decisions through the delegated authority of its members. University Executive does not, therefore, appear in the formal delegations set out in the Scheme, with the UE lead with authority for each activity noted in that column.

## **Effective Date and Review of the Scheme**

This Scheme of Delegated Authority was endorsed by Audit Committee on 22 May 2023 and approved by Board of Governors on 26 June 2023 and shall come into operation on 1 August 2023. The Scheme will be reviewed annually, with the outcomes of the review and any required changes reported to the May/June meetings of Audit Committee and Board of Governors. Urgent in-year changes will be endorsed by Audit Committee and approved by Board of Governors as required subject to the provisions of Governance Regulations 6.7 (Determining Decisions) and 6.10 (Transacting Business Outside Formal Meetings – Written Resolutions and Chair’s Action).

## Scheme of Delegated Authority August 2023

| Activity   | Approving authority   | Endorsed by   | Lead Officer   | Cycle                                   | Relevant policies/regulations  |
|--|---|---|--|---|--|
| <b>Strategy</b>  |   |   |  |   |  |
| Approval of the Vision and University Strategy                     | Board of Governors  | Strategic Performance Committee   | Vice-Chancellor  | As determined by the Board of Governors | Articles of Government 4.1.1<br>Statement of Primary Responsibilities 1          |
| Determination of the Educational Character of the University       | Board of Governors  | Academic Board  | Vice-Chancellor  | N/A                                     | Articles of Government 4.1.1 and 4.2.1   |
| Approval of Strategic Plans  | Board of Governors  | Employment and Finance Committee<br>Academic Board<br>Strategic Performance Committee<br>[as appropriate to the subject matter] | Vice-Chancellor<br>Responsible Pro Vice-Chancellor and/or Service Director                         | Aligned with University Strategy        | Statement of Primary Responsibilities 1  |
| Approval of the University Culture Framework                       | Board of Governors  | Employment and Finance Committee  | Chief People Officer   | Aligned with University Strategy        | Statement of Primary Responsibilities 8  |
| <b>Regulation and Compliance</b>                                   |   |   |  |   |  |
| Compliance with OfS Conditions of Registration                     | Board of Governors  | N/A   | Chief Strategy Officer   | N/A                                     | Articles of Government 4.1.3   |
| Approval of Annual Assurance and Accountability Returns            | Board of Governors<br>Vice-Chancellor as Accountable Officer            | Employment and Finance Committee<br>Audit Committee   | Chief Financial Officer<br>Secretary to the Board and Head of Governance<br>Deputy Vice-Chancellor | Annually as determined by OfS           | OfS Guidance<br>OfS Accounts Direction   |
| Approval of Student Protection Plan                                | Academic Board<br>NB reported to Board of Governors for assurance only. | Education Committee   | Pro Vice-Chancellor (Education)  | Annual (June)                           | OfS Guidance   |
| Approval of Prevent Duty Annual Report                             | Board of Governors  | N/A   | Secretary to the Board and Head of Governance  | Annual (November)                       | OfS Guidance   |
| Approval of Modern Slavery Statement                               | Board of Governors  | N/A   | Secretary to the Board and Head of Governance  | Annual (November)                       | Modern Slavery Act 2015  |
| Approval of Degree Outcomes Statement                              | Board of Governors  | ↑ Academic Board<br>↑ Education Committee   | Pro Vice-Chancellor (Education)  | Annual (November)                       | UK Standing Committee for Quality Assessment <a href="#">Statement of Intent</a> |
| Approval of Annual Statement on Research Integrity                 | Board of Governors  | ↑ Research and Knowledge Exchange Committee<br>↑ Research Ethics Committee  | Pro Vice-Chancellor (Research)   | Annual (November)                       | <a href="#">Concordat to Support Research Integrity.</a>                         |
| Approval of Access and Participation Plan and Monitoring Return    | Board of Governors  | Strategic Performance Committee   | Pro Vice-Chancellor (Education)  | As determined by OfS                    | OfS Guidance   |
| Compliance with regulatory requirements for Degree Apprenticeships | Board of Governors  | N/A   | Pro Vice-Chancellor (Education)  | Ongoing                                 | Ofsted, ESFA and other relevant Guidance   |
| Submission of HESA Provider Profile Return                         | Vice-Chancellor   | N/A   | Chief Strategy Officer   | Annual (June)                           | HESA Coding Manual   |
| Submission of HESA Student Return                                  | Vice-Chancellor   | N/A   | Chief Strategy Officer   | Annual (October)                        | HESA Coding Manual   |
| Submission of HESA Staff Return                                    | Vice-Chancellor   | N/A   | Chief Strategy Officer   | Annual (October)                        | HESA Coding Manual   |

| Activity  | Approving authority  | Endorsed by   | Lead Officer  | Cycle             | Relevant policies/regulations  |
|---|--|---|---|-------------------|--|
| Submission of HESA Aggregate Offshore Return  | Vice-Chancellor  | N/A   | Chief Strategy Officer  | Annual (November) | HESA Coding Manual   |
| Submission of HE-BCIS   | Vice-Chancellor  | N/A   | Chief Strategy Officer  | Annual            | HESA Coding Manual   |
| <b>Finance and Estates</b>  |  |   |   |                   |  |
| <b>Financial Planning and Management</b>  |  |   |   |                   |  |
| Maintenance of the Solvency of the University   | Board of Governors   | Employment and Finance Committee                                    | Vice-Chancellor<br>Chief Financial Officer                                | Ongoing           | Via Monthly Finance Report   |
| Assurance on Financial Control and Compliance   | Board of Governors   | Audit Committee   | Chief Financial Officer   | Ongoing           | Financial Regulations.<br>Annual Report of Audit Committee   |
| Assurance on the Delivery of Value for Money  | Board of Governors   | Audit Committee   | Chief Financial Officer   | Annual (November) | Statement of Primary Responsibilities 4<br>Value for Money Annual Report                                 |
| Approval of Annual Plan and Budget  | Board of Governors   | Employment and Finance Committee                                    | Chief Financial Officer<br>Chief Strategy Officer                         | Annual (May/June) | Articles of Government 4.1.2<br>Statement of Primary Responsibilities 13                                 |
| Approval of Tuition Fees  | Employment and Finance Committee                                       | N/A   | Chief Marketing Officer   | Annual (May/June) |  |
| Approval of Scholarships, Bursaries and Discounts   | Employment and Finance Committee                                       | N/A   | Chief Marketing Officer   | Annual (May/June) |  |
| Monitoring of Performance against Annual Plan and Budget  | Board of Governors   | Employment and Finance Committee<br>Strategic Performance Committee | Chief Financial Officer<br>Chief Strategy Officer                         | Each meeting      | Statement of Primary Responsibilities 13   |
| Approval of Annual Report and Financial Statements  | Board of Governors   | Audit Committee<br>Employment and Finance Committee                 | Chief Financial Officer   | Annual (November) | OfS accounts direction and/or other guidance as issued periodically<br>Financial Regulations             |
| Approval of Financial Regulations   | Employment and Finance Committee                                       | N/A   | Chief Financial Officer   | As required       | Statement of Primary Responsibilities 4  |
| <b>Revenue Income and Expenditure</b>   |  |   |   |                   |  |
| Approval of Income and Expenditure  | Various depending on amount  | Various depending on amount   | Chief Financial Officer   | As required       | Financial Regulations – Delegated authority matrix   |
| <b>Capital Expenditure</b>  |  |   |   |                   |  |
| Approval of the Purchase, Sale/Disposal or Lease of Land, Buildings or Fixed Plant and Equipment over £10m  | Board of Governors   | Employment and Finance Committee                                    | Vice-Chancellor<br>Chief Financial Officer<br>Director of Campus Services | As required       | Financial Regulations – Delegated authority matrix<br>Capital Expenditure Policy                         |
| Approval of the Purchase, Sale/Disposal or Lease of Land, Buildings or Fixed Plant and Equipment below £10m | Various depending on amount  | Various depending on amount   | Chief Financial Officer   | As required       | Financial Regulations – Delegated authority matrix<br>Capital Expenditure Policy                         |
| Approval of the Capital Investment Budget   | Employment and Finance Committee                                       | N/A   | Chief Financial Officer   | Annual (May/June) | Capital Expenditure Policy   |
| Maintenance of a Fixed Asset Register   | Chief Financial Officer  | N/A   | N/A   | Ongoing           | Financial Regulations 8.6  |
| <b>Treasury Management, Taxation and Banking</b>  |  |   |   |                   |  |
| Approval of Treasury Management, Financing and Banking Arrangements   | Board of Governors<br>[Employment and Finance Committee to approve the | Employment and Finance Committee                                    | Chief Financial Officer   | As required       | Extant OfS Guidelines<br>Financial Regulations 12.1<br>Treasury Management and Ethical Investment Policy |

| Activity  | Approving authority                                | Endorsed by                       | Lead Officer  | Cycle  | Relevant policies/regulations  |
|---|--|-----------------------------------|---|--|--|
|   | Treasury Management and Ethical Investment Policy] |                                   |   |  |  |
| Approval of Taxation Arrangements   | Employment and Finance Committee                   | N/A                               | Chief Financial Officer   | As required  | Financial Regulations 11   |
| <b>Governance and Legal</b>   |  |                                   |   |  |  |
| <b>Governing Body</b>   |  |                                   |   |  |  |
| Approval of the Instrument and Articles of Government and Statement of Primary Responsibilities | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | Triennially (June)   | Instrument of Government 11.2<br>Articles of Government 13.2   |
| Approval of the Governance Regulations  | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | Annually (June)  | Governance Regulations 10.2  |
| Approval of the Election Regulations  | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | As required  |  |
| Determination of Membership, Appointment and Tenure of Office of the Board of Governors         | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | As required  | Instrument of Government 4 & 5<br>Governance Regulations 2   |
| Appointment of Chancellor and Pro-Chancellors   | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | Every five years (Chancellor)<br>Triennially (Pro Chancellors) | Articles of Government 4.8 & 4.9<br>Governance Regulations 3   |
| Approval of Honorary Awards   | Honorary Awards Committee                          | N/A                               | Vice-Chancellor   | As required  |  |
| Maintenance of the Register of Interests (Governors)  | Board of Governors                                 | Nominations Committee             | Secretary to the Board and Head of Governance                           | Annual   | Disclosure and Conflicts of Interests Policy<br>Articles of Government 6.2<br>Governance Regulations 6.6 |
| Maintenance of the Register of Interests (Senior Staff)   | University Executive                               | N/A                               | Secretary to the Board and Head of Governance                           | Annual   | Disclosure and Conflicts of Interests Policy<br>Articles of Government 6.2<br>Governance Regulations 6.6 |
| Appointment of Secretary to the Board   | Board of Governors                                 | Nominations Committee             | Vice-Chancellor   | As required  | Articles of Government 4.3   |
| Oversight of the Students' Union  | Board of Governors                                 | Students' Union Board of Trustees | Deputy Vice-Chancellor<br>Secretary to the Board and Head of Governance | As required  | Articles of Government 8   |
| <b>Risk, Control and Regulation</b>   |  |                                   |   |  |  |
| Approval of the Risk Management Policy and Strategic Risk Register                              | Board of Governors                                 | Audit Committee                   | Secretary to the Board and Head of Governance                           | As required  | Risk Management Policy   |
| Approval of the Statement on Internal Control   | Board of Governors                                 | Audit Committee                   | Secretary to the Board and Head of Governance                           | Annual (as part of ARFS)                                       | OfS accounts direction and/or other guidance as issued periodically                                      |
| Appointment and Relationship Management of External and Internal Auditors                       | Board of Governors                                 | Audit Committee                   | Chief Financial Officer<br>Chief Strategy Officer                       | As required  |  |
| Approval of the annual Internal Audit Plan  | Internal Auditor                                   | Audit Committee                   | Secretary to the Board and Head of Governance                           | Annual   |  |
| Compliance with the Prevent Duty  | Board of Governors                                 | Audit Committee                   | Secretary to the Board and Head of Governance                           | As required  | Prevent Policy   |
| Approval of Safeguarding Policy   | Board of Governors                                 | Audit Committee                   | Secretary to the Board and Head of Governance                           | As required  | Safeguarding Policy  |
| <b>Legal Arrangements</b>   |  |                                   |   |  |  |



| Activity  | Approving authority  | Endorsed by   | Lead Officer  | Cycle   | Relevant policies/regulations                                 |
|---|--|---|---|---|---|
| Approval of Arrangements for University Subsidiaries and Joint Ventures                                 | Employment and Finance Committee   | N/A   | Secretary to the Board and Head of Governance<br>Chief Financial Officer                  | As required   | University Subsidiary Companies Policy and Procedure          |
| Compliance with Data Protection Legislation   | Vice-Chancellor  | N/A   | Head of Legal   | As required   |   |
| Signature of Contracts  | Employment and Finance Committee (where above the relevant thresholds)<br>Principal Budget Holder        | Finance<br>Legal Services   | Chief Financial Officer<br>Head of Legal  | As required   | Financial Regulations 13.1 – 13.12                            |
| Execution of Deeds and Seal of the Corporation  | Any two members of the Board of Governors, at least one of whom must be an Independent Member            | N/A   | Head of Legal   | As required   | Instrument of Government 9.1<br>Financial Regulations 13.13   |
| Approval of Insurance Arrangements  | Chief Financial Officer  | Audit Committee   | Director of Campus Services   | Annual  | Financial Regulations 19.4 – 19.6                             |
| Protection of the University's Intellectual Property Rights   | University Executive   | Spinout and Equity Committee  | Pro Vice-Chancellor (Research)  | As required   | Financial Regulations 18.1, 18.2 & Delegated authority matrix |
| <b>Policies and Procedures</b>  |  |   |   |   |   |
| Approval of new policies  | Board of Governors (or Employment and Finance Committee, or Academic Board for student-related policies) | Employment and Finance Committee<br>Audit Committee<br>University Executive<br>[as appropriate to the subject matter] | As appropriate for the subject of the policy  | As required   | Guidance Note – Developing and Managing University Policies   |
| Approval of the Anti-Money Laundering, Terrorist Financing and Sanctions Policy                         | Employment and Finance Committee   | Audit Committee   | Chief Financial Officer   | At least every three years, or when updates are required. |   |
| Approval of the Reportable Incidents Policy   | Board of Governors   | Audit Committee   | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Gifts and Hospitality Policy  | Employment and Finance Committee   | N/A   | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Public Interest Disclosure ("Whistleblowing") Policy                                    | Employment and Finance Committee   | N/A   | Secretary to the Board and Head of Governance<br>Chief People Officer                     | At least every three years, or when updates are required. |   |
| Approval of the Counter Fraud and Bribery Policy  | Employment and Finance Committee   | Audit Committee   | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Code of Practice on Freedom of Speech   | Board of Governors   | Academic Board  | Deputy Vice-Chancellor<br>Secretary to the Board and Head of Governance                   | At least every three years, or when updates are required. |   |
| Approval of the Visiting and External Speakers and Events Policy  | Board of Governors   | Academic Board  | Deputy Vice-Chancellor<br>Secretary to the Board and Head of Governance                   | At least every three years, or when updates are required. |   |
| Approval of the University Subsidiary Companies Policy and Procedure                                    | Employment and Finance Committee   | N/A   | Chief Financial Officer<br>Head of Legal<br>Secretary to the Board and Head of Governance | At least every three years, or when updates are required. |   |
| Approval of the Disclosure and Conflicts of Interests Policy  | Employment and Finance Committee   | Audit Committee   | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Policy for the Engagement of External and Internal Auditors to Undertake Non-Audit Work | Board of Governors   | Audit Committee   | Chief Financial Officer   | At least every three years, or when updates are required. |   |

| Activity   | Approving authority   | Endorsed by  | Lead Officer  | Cycle   | Relevant policies/regulations   |
|--|---|--|---|---|---|
| Approval of the Travel and Expenditure Policy                          | Employment and Finance Committee  | N/A  | Chief Financial Officer   | At least every three years, or when updates are required. |   |
| Approval of the Risk Policy and Risk Appetite Statement                | Board of Governors  | Audit Committee  | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Safeguarding Policy                                    | Board of Governors  | Audit Committee  | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Resilience Policy                                      | Board of Governors  | Audit Committee  | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Students' Union Code of Practice                       | Board of Governors  | N/A  | Head of Legal   | Annual review   |   |
| Approval of the Prevent Policy Statement                               | Board of Governors  | Vice-Chancellor  | Secretary to the Board and Head of Governance   | At least every three years, or when updates are required. |   |
| Approval of the Call Recording Policy                                  | Employment and Finance Committee  | N/A  | Chief Marketing Officer   | At least every three years, or when updates are required. |   |
| Approval of the CMA Policy   | University Executive  | N/A  | Chief Marketing Officer   | Annual  |   |
| Approval of the Philanthropic Gifts and Donations Policy               | University Executive  | N/A  | Chief Strategy Officer  | Biennial  |   |
| <b>Employment and Staffing</b>   |   |  |   |   |   |
| <b>Organisational Structure</b>  |   |  |   |   |   |
| Approval of Outsourcing of Services and Staff                          | Board of Governors  | Employment and Finance Committee                               | Vice-Chancellor<br>Chief Financial Officer<br>Chief People Officer  |   |   |
| Approval of Redundancy and Severance of Groups of Staff                | Employment and Finance Committee (compulsory redundancy)<br>University Executive (voluntary redundancy) | N/A  | Vice-Chancellor<br>Chief People Officer   |   | Managing Staff Reduction Policy   |
| Approval of Grading of Staff (other than holders of senior posts)      | Vice-Chancellor   | N/A  | Chief People Officer  |   | Grading - Evaluation Instrument of Government 1.1                             |
| <b>Appointment and Dismissal</b>                                       |   |  |   |   |   |
| Appointment by Internal Promotion to Senior Academic Posts             | Vice-Chancellor   | Faculty Appointments Board                                     | Faculty Pro-Vice-Chancellor   |   | Process for the award of senior academic posts to employees of the University |
| Appointment of Senior Staff  | Vice-Chancellor   | Remuneration Committee   | Chief People Officer  |   | Instrument of Government 1.1  |
| Appointment of Holders of Senior Posts                                 | Board of Governors  | ↑ Nominations Committee<br>↑ Senior Post Appointment Committee | Chief People Officer  |   | Articles of Government 4.1.4 and 4.3  |
| Dismissal and Discipline of Staff (other than holders of senior posts) | Board of Governors (final appeal for staff in a role above Grade 9)<br>Vice-Chancellor                  | N/A  | Chief People Officer (Vice-Chancellor in the case of the dismissal or discipline of the Chief People Officer) |   | Articles of Government 7.2(a)<br>Governance Regulations 7.3                   |
| Dismissal and Discipline of Holders of Senior Posts                    | Board of Governors  | Special Committee of the Board of Governors                    | Chief People Officer  |   | Articles of Government 7.2(a)<br>Governance Regulations 7.2                   |
| Recruitment, Selection and Appointment of Staff                        | Vice-Chancellor   | N/A  | Chief People Officer  |   | Staff Recruitment, Selection and Appointment                                  |
| <b>Remuneration and Benefits</b>                                       |   |  |   |   |   |



| Activity  | Approving authority                                | Endorsed by   | Lead Officer   | Cycle | Relevant policies/regulations  |
|---|--|---|--|-------|--|
| Approval of Employee Terms and Conditions – material changes  | Board of Governors                                 | Employment and Finance Committee  | Chief People Officer   |       | Statement of Primary Responsibilities 12   |
| Approval of Employee Terms and Conditions – other changes   | University Executive                               | N/A   | Chief People Officer   |       | Statement of Primary Responsibilities 12   |
| Approval of the Pensions Policy   | Board of Governors                                 | Employment and Finance Committee  | Chief People Officer<br>Chief Financial Officer                                  |       |  |
| Approval of Remuneration (Senior Staff)   | Remuneration Committee                             | Vice-Chancellor   | Chief People Officer   |       |  |
| <b>Development</b>  |  |   |  |       |  |
| Approval of the Performance and Development Appraisal Framework   | Vice-Chancellor                                    | Employment and Finance Committee  | Chief People Officer   |       | Staff Performance and Development Appraisal Scheme   |
| <b>Conduct and Discipline</b>   |  |   |  |       |  |
| Approval of Staff Code of Conduct   | Board of Governors                                 | Employment and Finance Committee  | Chief People Officer   |       | Articles of Government 7.2(a)<br>Code of Conduct: Working Together at Northumbria University |
| Approval of Grievance Policy  | Board of Governors                                 | Employment and Finance Committee  | Chief People Officer   |       | Articles of Government 7.2(a)  |
| Approval of Unacceptable Behaviours Policy  | Employment and Finance Committee                   | N/A   | Chief People Officer   |       | Unacceptable Behaviours Policy   |
| Approval of Consultancy Work Undertaken by Staff  | Faculty Pro Vice-Chancellor or Director of Service | N/A   | N/A  |       | Policy for Managing External Work  |
| Suspension of Staff   | Vice-Chancellor                                    | N/A   | Chief People Officer   |       | Articles of Government 7.2(a)<br>Governance Regulations 7.1                                  |
| Management of Scientific Misconduct Cases   | Pro Vice-Chancellor (Research)                     | Assessment Committee  | Chief People Officer   |       | Procedure for Investigating allegations of scientific misconduct                             |
| <b>Legal</b>  |  |   |  |       |  |
| Approval of the Equality, Diversity and Inclusion Policy  | Board of Governors                                 | Employment and Finance Committee<br>Equality, Diversity and Inclusion Committee | Chief People Officer<br>UE leads for each equality strand                        |       | Equality and Diversity Policy  |
| <b>Student Regulations</b>  |  |   |  |       |  |
| <b>Regulatory Framework</b>   |  |   |  |       |  |
| Approval of Academic Regulations  | Academic Board                                     | N/A   | Head of Legal<br>Academic Registrar and Director of Student and Library Services |       | Assessment Regulations for Taught Awards   |
| Approval of Library Policies, Procedures and Service Standards  | Vice-Chancellor                                    | Deputy Vice-Chancellor  | Academic Registrar and Director of Student and Library Services                  |       |  |
| Management of the University's Relationship with the Office of the Independent Adjudicator for Higher Education (OIAHE) | Head of Legal                                      | Student Appeals and Complaints Officer  |  |       | Handbook of Student Regulations  |
| Approval of the University's Research Ethics Framework  | Academic Board                                     | ↑ Research Ethics Committee<br>↑ Faculty Research Committees                    | Pro Vice-Chancellor (Research)   |       | Handbook of Student Regulations (s6 Ethics in Research Policy Statement)                     |

| Activity  | Approving authority                      | Endorsed by   | Lead Officer   | Cycle | Relevant policies/regulations   |
|---|--|---|--|-------|---|
| Precautionary Restriction or Suspension of a Student on the Basis of Duty of Care | Vice-Chancellor                          | Faculty Pro Vice-Chancellor   | Academic Registrar and Director of Student and Library Services                  |       | Handbook of Student Regulations s9  |
| <b>Appeals and Complaints</b>   |  |   |  |       |   |
| Management of Appeals Against Examination/ Assessment Decisions                   | Academic Board                           | <ul style="list-style-type: none"> <li>↑ Examination Boards</li> <li>↑ Vice-Chancellor</li> <li>↑ Student Appeals and Complaints Officer</li> </ul>   | Academic Registrar and Director of Student and Library Services                  |       | Articles of Government 4.2.6<br>Governance Regulations 8<br>Handbook of Student Regulations s7  |
| Management of Causes for Concern  | Head of Legal                            | Student Appeals and Complaints Officer  | Academic Registrar and Director of Student and Library Services                  |       | Handbook of Student Regulations s11   |
| Management of University Student Complaints Procedure                             | Head of Legal                            | <ul style="list-style-type: none"> <li>↑ Student Complaints Panel (Appeals)</li> <li>↑ Student Appeals and Complaints Officer</li> </ul>  | Academic Registrar and Director of Student and Library Services                  |       | Handbook of Student Regulations s10   |
| Management of Students' Union Student Complaint Procedure                         | Board of Trustees of the Students' Union | <ul style="list-style-type: none"> <li>↑ President of the Students' Union</li> <li>↑ Chief Executive Officer, Students' Union</li> </ul>  | Secretary to the Board and Head of Governance                                    |       | Articles of Government 8.1<br>Handbook of Student Regulations s12.7   |
| Maintenance of Student Discipline   | Vice-Chancellor                          | Head of Legal   | Academic Registrar and Director of Student and Library Services                  |       | Articles of Government 7.2b<br>Governance Regulations 8<br>Handbook of Student Regulations s3   |
| Expulsion, Suspension or Restriction of Students on disciplinary grounds          | Vice-Chancellor                          | <ul style="list-style-type: none"> <li>↑ Appeal Panel</li> <li>↑ Student Appeals and Complaints Officer</li> </ul>  | Head of Legal<br>Academic Registrar and Director of Student and Library Services |       | Articles of Government 7.2b<br>Governance Regulations 8<br>Handbook of Student Regulations s3 and 13.10<br>Tuition Fee Payment Policy |
| Withdrawal of Students on Academic Grounds  | Academic Board                           | <ul style="list-style-type: none"> <li>↑ Academic Board Appeals Panel</li> <li>↑ Student Appeals and Complaints Ombudsman</li> <li>↑ Faculty Programme Committee</li> <li>↑ Programme Leader</li> </ul> | Head of Legal  |       | Handbook of Student Regulations s8  |