

# Scheme of Delegated Authority October 2024

## 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"	Post holders covered by the Senior Staff Remuneration Policy, falling within the scope of Remuneration Committee for the purpose of remuneration
"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 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 16 September 2024 and approved by Board of Governors on 7 October 2024 and shall come into operation immediately. 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 October 2024

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 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 Delivery Plans	Vice-Chancellor	University Executive	Chief Strategy Officer Responsible Pro Vice-Chancellors and/or Service Directors	Aligned with University Strategy	Statement of Primary Responsibilities 1
<b>Regulation and Compliance</b>					
Compliance with OfS Conditions of Registration	Board of Governors	Audit Committee	Chief Strategy Officer	N/A	Articles of Government 4.1.3
Approval of Annual Assurance and Accountability Returns	Board of Governors Vice-Chancellor as Accountable Officer	Finance and Resources Committee Audit Committee	Chief Financial Officer Secretary to the Board and Director of Governance Deputy Vice-Chancellor	Annually as determined by OfS	OfS Guidance OfS Accounts Direction
Approval of Student Protection Plan	Academic Board 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	Audit Committee	Secretary to the Board and Director of Governance	Annual (November)	OfS Guidance
Approval of Modern Slavery Statement	Board of Governors	Finance and Resources Committee	Secretary to the Board and Director of Governance	Annual (November)	Modern Slavery Act 2015
Approval of Degree Outcomes Statement	Board of Governors	↑ Strategic Performance Committee ↑ Academic Board ↑ 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	↑ Strategic Performance Committee ↑ Research and Knowledge Exchange Committee ↑ Research Ethics Committee	Pro Vice-Chancellor (Research and Knowledge Exchange)	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	Education Committee	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
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

Activity	Approving authority	Endorsed by	Lead Officer	Cycle	Relevant policies/regulations
<b>Finance and Estates</b>					
<b>Financial Planning and Management</b>					
Maintenance of the Solvency of the University	Board of Governors	Finance and Resources Committee	Vice-Chancellor 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. 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 Value for Money Annual Report
Approval of Annual Plan and Budget	Board of Governors	Finance and Resources Committee	Chief Financial Officer Chief Strategy Officer	Annual (May/June)	Articles of Government 4.1.2 Statement of Primary Responsibilities 13
Approval of Tuition Fees	Finance and Resources Committee	N/A	Chief Marketing Officer	Annual (September)	
Approval of Scholarships, Bursaries and Discounts	Finance and Resources Committee	N/A	Chief Marketing Officer	Annual (September)	
Monitoring of Performance against Annual Plan and Budget	Board of Governors	Finance and Resources Committee Strategic Performance Committee	Chief Financial Officer Chief Strategy Officer	Each meeting	Statement of Primary Responsibilities 13
Approval of Annual Report and Financial Statements	Board of Governors	Audit Committee Finance and Resources Committee	Chief Financial Officer	Annual (November)	OfS accounts direction and/or other guidance as issued periodically Financial Regulations
Approval of Financial Regulations	Finance and Resources Committee	N/A (NB Audit Committee is consulted but does not formally endorse)	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	Various depending on amount	Various depending on amount	Chief Financial Officer	As required	Financial Regulations – Delegated authority matrix Capital Expenditure Policy
Approval of the Capital Investment Budget	Finance and Resources 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 6.3.6
<b>Treasury Management, Taxation and Banking</b>					
Approval of Treasury Management, Financing and Banking Arrangements	Board of Governors [Finance and Resources Committee to approve the Treasury Management and Ethical Investment Policy]	Finance and Resources Committee	Chief Financial Officer	As required	Extant OfS Guidelines Financial Regulations 10.5.2 Treasury Management and Ethical Investment Policy
Approval of Taxation Arrangements	Finance and Resources Committee	N/A	Chief Financial Officer	As required	Financial Regulations 6.4

Activity	Approving authority	Endorsed by	Lead Officer	Cycle	Relevant policies/regulations
<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 Director of Governance	Triennially (June)	Instrument of Government 11.2 Articles of Government 13.2
Approval of the Governance Regulations	Board of Governors	Nominations Committee	Secretary to the Board and Director of Governance	Annually (June)	Governance Regulations 10.2
Approval of the Election Regulations	Board of Governors	Nominations Committee	Secretary to the Board and Director 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 Director of Governance	As required	Instrument of Government 4 & 5 Governance Regulations 2
Appointment of Chancellor and Pro-Chancellors	Board of Governors	Nominations Committee	Secretary to the Board and Director of Governance	Every five years (Chancellor) Triennially (Pro Chancellors)	Articles of Government 4.8 & 4.9 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 Director of Governance	Annual	Disclosure and Conflicts of Interests Policy Articles of Government 6.2 Governance Regulations 6.6
Maintenance of the Register of Interests (Senior Staff)	University Executive	N/A	Secretary to the Board and Director of Governance	Annual	Disclosure and Conflicts of Interests Policy Articles of Government 6.2 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 Secretary to the Board and Director 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 Director of Governance	As required	Risk Management Policy
Approval of the Statement on Internal Control	Board of Governors	Audit Committee	Secretary to the Board and Director 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 Chief Strategy Officer	As required	
Approval of the annual Internal Audit Plan	Audit Committee	University Executive	Secretary to the Board and Director of Governance	Annual	
Compliance with the Prevent Duty	Board of Governors	Audit Committee	Secretary to the Board and Director of Governance	As required	Prevent Policy
Approval of Safeguarding Policy	Board of Governors	Audit Committee	Secretary to the Board and Director of Governance	As required	Safeguarding Policy
<b>Legal Arrangements</b>					
Approval of Arrangements for University Subsidiaries and Joint Ventures	Finance and Resources Committee	N/A	Secretary to the Board and Director of Governance Chief Financial Officer	As required	University Subsidiary Companies Policy and Procedure
Compliance with Data Protection Legislation	Vice-Chancellor	N/A	General Counsel	As required	

Activity	Approving authority	Endorsed by	Lead Officer	Cycle	Relevant policies/regulations
Signature of Contracts	Finance and Resources Committee (where above the relevant thresholds) Principal Budget Holder	Finance Legal Services	Chief Financial Officer Head of Legal	As required	Financial Regulations 9
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	General Counsel	As required	Instrument of Government 9.1 Financial Regulations 9.9
Approval of Insurance Arrangements	Chief Financial Officer	Audit Committee	Director of Campus Services	Annual	Financial Regulations 12
Protection of the University's Intellectual Property Rights	University Executive	Spinout and Equity Committee	Pro Vice-Chancellor (Research and Knowledge Exchange)	As required	Financial Regulations 10.2.1, 10.4.2 & Delegated authority matrix
<b>Policies and Procedures</b>					
Approval of new policies	Board of Governors (or Finance and Resources Committee, or People Committee or Academic Board for student-related policies)	Finance and Resources Committee People Committee Audit Committee University Executive [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	Finance and Resources 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 Director of Governance	At least every three years, or when updates are required.	
Approval of the Gifts and Hospitality Policy	Finance and Resources Committee	N/A	Secretary to the Board and Director of Governance	At least every three years, or when updates are required.	
Approval of the Public Interest Disclosure ("Whistleblowing") Policy	Finance and Resources Committee	N/A	Secretary to the Board and Director of Governance Chief People Officer	At least every three years, or when updates are required.	
Approval of the Counter Fraud and Bribery Policy	Finance and Resources Committee	Audit Committee	Secretary to the Board and Director 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 Secretary to the Board and Director 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 Secretary to the Board and Director of Governance	At least every three years, or when updates are required.	
Approval of the University Subsidiary Companies Policy and Procedure	Finance and Resources Committee	N/A	Chief Financial Officer General Counsel Secretary to the Board and Director of Governance	At least every three years, or when updates are required.	
Approval of the Disclosure and Conflicts of Interests Policy	People Committee	Audit Committee	Secretary to the Board and Director 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.	
Approval of the Travel and Expenditure Policy	Finance and Resources Committee	N/A	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 Risk Policy and Risk Appetite Statement	Board of Governors	Audit Committee	Secretary to the Board and Director 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 Director 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 Director 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	General Counsel	Annual review	
Approval of the Prevent Policy Statement	Board of Governors	Vice-Chancellor	Secretary to the Board and Director of Governance	At least every three years, or when updates are required.	
Approval of the Call Recording Policy	People 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	
Approval of the Health and Safety Policy	Board of Governors	Audit Committee	PVC (Strategic Projects)	Annual	
<b>Employment and Staffing</b>					
<b>Organisational Structure</b>					
Approval of Outsourcing of Services and Staff	Board of Governors	Finance and Resources Committee People Committee	Vice-Chancellor Chief Financial Officer Chief People Officer		
Approval of Redundancy and Severance of Groups of Staff	People Committee (compulsory redundancy) University Executive (voluntary redundancy)	N/A	Vice-Chancellor 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 ↑ 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) 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) 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) 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>					
Approval of Employee Terms and Conditions – material changes	Board of Governors	People Committee	Chief People Officer		Statement of Primary Responsibilities 12



Activity	Approving authority	Endorsed by	Lead Officer	Cycle	Relevant policies/regulations
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	People Committee	Chief People Officer 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	People Committee	Chief People Officer		Staff Performance and Development Appraisal Scheme
<b>Conduct and Discipline</b>					
Approval of Staff Code of Conduct	Board of Governors	People Committee	Chief People Officer		Articles of Government 7.2(a) Code of Conduct: Working Together at Northumbria University
Approval of Northumbria Values and Behaviours	Board of Governors	People Committee	Chief People Officer		
Approval of Grievance Policy	Board of Governors	People Committee	Chief People Officer		Articles of Government 7.2(a)
Approval of Unacceptable Behaviours Policy	People 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) 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	People Committee Equality, Diversity and Inclusion Committee	Chief People Officer 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	General Counsel 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)	General Counsel	Student Appeals and Complaints Officer			Handbook of Student Regulations
Approval of the University's Research Ethics Framework	Academic Board	↑ Research Ethics Committee ↑ Faculty Research Committees	Pro Vice-Chancellor (Research and Knowledge Exchange)		Handbook of Student Regulations (s6 Ethics in Research Policy Statement)
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

Activity	Approving authority	Endorsed by	Lead Officer	Cycle	Relevant policies/regulations
<b>Appeals and Complaints</b>					
Management of Appeals Against Examination/ Assessment Decisions	Academic Board	↑ Examination Boards ↑ Vice-Chancellor ↑ Student Appeals and Complaints Officer	Academic Registrar and Director of Student and Library Services		Articles of Government 4.2.6 Governance Regulations 8 Handbook of Student Regulations s7
Management of Causes for Concern	General Counsel	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	General Counsel	↑ Student Complaints Panel (Appeals) ↑ Student Appeals and Complaints Officer	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	↑ President of the Students' Union ↑ Chief Executive Officer, Students' Union	Secretary to the Board and Director of Governance		Articles of Government 8.1 Handbook of Student Regulations s12.7
Maintenance of Student Discipline	Vice-Chancellor	General Counsel	Academic Registrar and Director of Student and Library Services		Articles of Government 7.2b Governance Regulations 8 Handbook of Student Regulations s3
Expulsion, Suspension or Restriction of Students on disciplinary grounds	Vice-Chancellor	↑ Appeal Panel ↑ Student Appeals and Complaints Officer	General Counsel Academic Registrar and Director of Student and Library Services		Articles of Government 7.2b Governance Regulations 8 Handbook of Student Regulations s3 and 13.10 Tuition Fee Payment Policy
Withdrawal of Students on Academic Grounds	Academic Board	↑ Academic Board Appeals Panel ↑ Student Appeals and Complaints Ombudsman ↑ Faculty Programme Committee ↑ Programme Leader	General Counsel		Handbook of Student Regulations s8