



THE UNIVERSITY
of EDINBURGH

University of Edinburgh

Delegated Authority Schedule

Approved by the University Court, 13 June 2022 (with amendments relating to the Estates, Digital & Infrastructure Committee approved by Exception Committee, 5 September 2022)

Index

	Page
1. Introduction	2
2. Revenue Budgets and General Expenditure	3
3. Capital Budgets and Expenditure	4
4. Treasury and Cash Management	5
5. Income	5
6. Donations and Endowments	6
7. Students and Academic Activities	7
8. Staff Matters	8
9. Novel and Contentious Arrangements	8
10. Disputes	9
Appendix 1 Glossary of Key Terms	10
Appendix 2 Revenue Budget and General Expenditure Delegations	11
Appendix 3 Capital Budget and Expenditure Delegations	13
Appendix 4 Treasury and Cash Management Delegations	14
Appendix 5 Income Delegations	15
Appendix 6 Donations and Endowments Delegations	16
Appendix 7 Student Matters and Academic Collaborations Delegations	17
Appendix 8 Staff Matters Delegations	19
Appendix 9 Job Levels and Financial Approval Limits	20
Appendix 10 Human Resources Approval Scenarios and Delegations	21
Appendix 11 Standard Delegation Principals	24

1. Introduction

This Schedule lists those Committees or individuals to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement that may result in a liability to the University.

The following University Court delegation **principles** should be adhered to by a Delegated Authority:

- No actions will exceed the level of authority delegated by the University Court.
- Authorities not delegated under this Schedule and for all commitments and transactions above the maximum delegated monetary values within this Schedule, remain with the University Court.
- All actions must be contained within the allocated and approved University budget unless otherwise stated.
- All actions must be consistent with [Strategy 2030](#) and its institutional objectives and priorities, placing the University interest above that of its constituent parts.
- Any action should be consistent with the [Nine Principles of Public Life in Scotland](#).
- All decisions should be consistent with the [University's Risk Appetite Statement](#), and comply with legal and funding body obligations.
- Approval must be obtained before the point of committing to any transaction unless otherwise stated.
- All Procurement must be undertaken in line with the University's [Expenditure Policy](#) (up to 31 July 2022) or Procurement Policy (from 1 August 2022).
- The total transaction cost over the full period of commitment and options for extensions must be detailed and any transactions of value over £1m should be notified to the Director of Finance.
- The Schedule applies to all activities whether funded from restricted or non-restricted funds.
- Sufficient detail, evidence and relevant level of prior review and confirmation to support any action being requested must be provided to the delegated authority to allow them to make a decision and to allow them to demonstrate to University Court, auditors or funders that an appropriate course of action is taken.
- Detailed financial sub-delegations are approved by the relevant delegated authority holder and cannot exceed the value of delegation held by that delegated authority holder. This does not delegate the overall responsibility of the delegated authority holder.
- Sub-delegations will be implemented where appropriate in People and Money through the allocation of approval limits/levels (Appendices 9 and 10). Users can also delegate their approvals to a colleague during periods of absence, e.g. vacation or sickness, in line with the Standard Delegation Principals (Appendix 11). All delegated authority holders named in this document are responsible for ensuring that appropriate business continuity plans are in place should they not be available to undertake their roles.

The Delegated Authority Schedule is structured to show:

- The Committee or individual which must approve the transaction, arrangement or project, and
- The individual who holds the delegated signing authority to execute the transaction once approval has been given. The University Court Signatory for transactions reserved to Court or otherwise not delegated is a member of Court, the University Secretary or one of the Deputy Secretaries in the absence of the University Secretary, in front of a witness.
- The individuals who need to be informed or consulted by a delegated signing authority or approver for transactions of certain types or above certain values.

Useful definitions of terms are contained within Appendix 1. The University Court regards each Head of College or Head of Professional Services Group as the designated main budget holder for their respective College or Group. The Senior Vice Principal (or equivalent) is the designated budget holder for the Central Budget (known as Budget Area 7) and the Capital Budget.

Budget Holders have delegated authority to approve virements between activities within their respective budget and to approve transactions/projects within that budget up to the levels outlined below, in line with the University's legal obligations in relation to procurement.

2. Revenue Budgets and General Expenditure

The **University Court** is responsible for approval of the University Annual Revenue Budget. Any additional budgetary requirements from University funds need to be approved by **University Court** through the committee cycle. Any financial transactions exceeding delegated approval limits remain with the **University Court**.

The approval of the design of the planning and budgeting process is delegated to the **Policy and Resources Committee (PRC)**.

Knowledge Strategy Committee (KSC) has delegated authority to approve projects within its Terms of Reference and for which the relevant Budget Holder confirms the appropriate resources are available within budget. Projects requiring additional resource must be referred to the **Estates, Digital & Infrastructure Committee** (if between £2m to £10m) **Policy and Resources Committee** (if above £10m) and **University Court** (if above £10m). Transactions within approved projects that have been specified as part of the project approval do not require additional Committee approval if they are within the appropriate transactional approval limit.

Revenue expenditure within approved projects that have been specified as part of the project approval should be incorporated into the University business plan and do not require additional Committee approval and delegated authority for these transactions will sit with the appropriate Budget Holder.

Staff and University Court Member expenses should be signed off in line with the University expenses policy. Staff expenses of the Provost, Vice Principals, Heads of College or Professional Services Groups shall be authorised by the **University Secretary** and staff expenses of the Principal shall be authorised by the **University Secretary** on behalf of the **Senior Lay Member** of Court. Court Member expenses shall be authorised by the **Deputy Secretary Governance and Legal**.

The **Director of Procurement** has Delegated Authority to approve decisions regarding disputes with suppliers on framework agreements or approved contracts up to £1m.

Novel or contentious activities (refer to section 9) must also be entered into in accordance with the Delegated Authority Schedule, regardless of whether or not they incur revenue spend within delegated limits.

A table confirming delegated approval levels for Revenue Budget transactions is given in Appendix 2.

Leases

Leases with a lifetime cost less than £10k or that have a non-cancellable period less than 12 months will be categorised as revenue expenditure and can be approved by the main budget holder.

Any leases with a cost or period above these thresholds must be assessed for whether they are operating or finance leases by Finance. This will determine whether they are revenue or capital and the commitment can then be approved by the appropriate budget holder.

Leases by the University for Land and Buildings are approved through **Estates, Digital & Infrastructure Committee**.

All leases must be notified to the **Director of Finance** in advance of creating any financial commitment by the University.

3. Capital Budgets and Expenditure

The **Policy and Resources Committee** approves the Estates Capital Plan ⁽ⁱ⁾ as part of the business planning process, and recommends the plan to the University Court, advising on any matters of concern and any proposals for significant subsequent amendments to the agreed estates programme.

Land and Property Transactions

The **Estates, Digital & Infrastructure Committee** has Delegated Authority to endorse the Estates Capital Plan, and to recommend the plan to **Policy and Resources Committee** for consideration through the business planning process. **Estates, Digital & Infrastructure Committee** can endorse individual land and property transactions/projects consistent with the direction of the estates capital plan up to £10m. **Estates, Digital & Infrastructure Committee** does not have authority to approve projects which require resource outwith the Estates Capital Plan. Such projects must be referred to **Policy and Resources Committee** for consideration and recommendation to University Court and to **University Court** for approval (see appendix 3).

The **Estates, Digital & Infrastructure Committee** has delegated authority to approve Estates Small Works Projects Budgets for each College/Professional Service Group and individual transactions/projects up to £1m within the overall Small Works Budget.

In the event that the scope or value of a project, including Small Works Projects, changes to raise its value above the approved project budget the project must be referred back to the approving committee.

City Deal Executive Governance Group (CDEGG) has authority to approve, in line with HM Treasury approved projects, the replacement of University approved capital spend with City Deal Capital resource for those projects approved prior to formal commitment of the Edinburgh City Region Deal.

Capital Equipment Budgets

The **Knowledge Strategy Committee** has delegated authority to approve projects within its Terms of Reference and for which the relevant Budget Holder confirms the appropriate resources are available within budget. Projects which require additional resource must be referred to PRC and University Court.

Appendix 3 outlines the approvals and signatories for these activities.

The **Deputy Secretary, Governance and Legal** should be consulted for all disputes on contracts involving Land and Property Law over £1m or where there are matters of concern.

Approval from the **Scottish Funding Council** must be sought for the disposal of property purchased with public funds.

(i) The Estates Capital Plan is mainly capital expenditure in nature such as buildings and infrastructure. However, not all expenditure included in the Estates Capital Plan is capital, for example some projects will include asbestos removal,

demolition and decant costs. This expenditure has to be planned and included within the University Revenue Budget. To ensure that both budgets are aligned correctly they are approved in tandem by the University Court through the annual business planning cycle.

4. Treasury and Cash Management

Treasury Management Policies and Procedures are required to ensure that cash resources are managed securely and efficiently. Delegated approval levels and signing authorities are detailed in Appendix 4.

a. Bank Accounts

- **University Court** must approve the appointment of retail bankers and the opening of new bank accounts.
- **The Director of Finance** will be the University Court Signatory for approved appointments of retail bankers and the opening of new bank accounts.
- **Two Account Signatories** are required for amendment to bank mandates and the set-up of direct debits or standing orders.

b. Payments

- Effective segregation of duties must be in place between the preparer, authoriser and release of payment, and all payments must be based on an approved transaction under the other sections of this Schedule.
- All payment types, including (but not limited to) cheques, BACS, electronic payments, foreign currency payments and payroll, require an approved account signatory to release payment.

c. Borrowing, lending and investment

- The **Director of Finance** has Delegated Authority to manage investment maximisation of existing investments within existing mechanisms. Any individual transaction greater than £50m must be notified to the Investment Committee

d. Other Financial Transactions

The **Policy and Resources Committee** has delegated authority to approve financial transactions for settlement of tax matters, incorporation and winding up of a subsidiary, creation of joint venture legal entities, write-off or write-down of money due and foreign exchange dealings, in each case up to £10m.

All transactions listed in this section must be notified to the **Director of Finance**.

Approved financial transactions on tax matters, write offs and foreign exchange dealings can be signed by the **Director of Finance**. Approved transactions to incorporate and wind up subsidiary companies can be signed by the **Vice Principal Corporate Services**. Dealings with corporate interests (separate to incorporation and winding up) in subsidiaries, joint ventures and spin outs can be approved and signed by the **Vice Principal Corporate Services**.

5. Income

All income streams including research grants and commercial income should be assessed under the appropriate due diligence ethics procedures.

The **Director of Finance** has the Delegated Authority for the write off of unpaid income due to the University Group up to the value of £2m in each case.

The delegated authority levels for income are outlined in Appendix 5.

a. Research Grants

Delegated authority for the submission and acceptance of research grants is held by the **Director of Edinburgh Research Office** and the relevant **Head of School**. All sources of income will be subject to the University's processes for ethical review. Revenue and capital expenditure for individual transactions are subject to the same delegated financial authority limits as described above.

All Grant applications, acceptances, tenders and standalone contracts above £5m should be notified to the **Director of Finance**.

The **Vice Principal Corporate Services** has Delegated Authority for contracts ancillary to research as outlined in Appendix 5.

b. Consultancy and Service Contracts

The **Chief Executive Officer of Edinburgh Innovations**, as the sub-delegate of the **Vice Principal Corporate Services**, holds the Delegated Authority for contracts for the provision by the University of research and innovation related consultancy services, goods and services and access to equipment and facilities as outlined in Appendix 5. The **Director of Information Services Group (ISG)** has delegated authority for contracts for consultancy and services provided by ISG.

Consultancy must be undertaken in line with the University's consultancy policy. **Heads of School/Department** hold delegated authority for approval for individuals to undertake consultancy.

c. Technology Transfer Agreements

The **Chief Executive Officer of Edinburgh Innovations**, as the sub-delegate of the **Vice Principal Corporate Services**, holds the Delegated Authority in this area, as outlined in Appendix 5.

d. Academic Fees

The **University Executive** has delegated authority to approve proposed Academic Fees values submitted by the Student Recruitment and Fees Strategy Group or its successor group to a limit of 5% change or 2% above RPI (whichever is higher). Any changes above this level or any strategic changes to fee structures should be approved by University Court.

e. Provision of other University Services

The University's standard terms and conditions will apply to the provision of University services. The **Director of Procurement** must approve any service agreement shared with another body. Any provision of goods or services outside of our standard terms and conditions should be reviewed by the **Deputy Secretary, Governance and Legal** prior to approval.

6. Donations and Endowments

a. Donations

The **Development Trust** holds Delegated Authority for acceptance and utilisation of donations to the University of Edinburgh. The Trust agrees the way in which they are used, in keeping with any restrictions placed on use by the donor and in consultation with the **Income Due Diligence Group**.

If the donation involves land and buildings use must also be approved by the **Director of Estates**.

The **Director of Finance** should be notified of donation transactions greater than £500k.

The principles outlined in the [Gifts and Hospitality Policy](#) should also be adhered to when considering donations.

b. Endowments

The **Investment Committee** is responsible for proposing and agreeing investment objectives, including ethical investment decisions, with the University Court and has delegated authority to recommend through the Policy and Resources Committee an investment strategy appropriate to meet these objectives.

Delegated approval levels and signing authority are detailed in Appendix 6.

7. Students and Academic Activities

Student Admissions

The **University Executive** approves the University's Admissions Policies following scrutiny and endorsement by the **Student Recruitment and Fees Strategy Group**. Any strategic change to Admissions and Recruitment Policies must be approved by the **University Court**.

The relevant **Head of College** has the Delegated Authority within the University's Admissions Policies (including signing authority for the relevant contracts; which may be sub-delegated) for individual student admission decisions for:

- Undergraduate
- Visiting undergraduate
- Taught postgraduate
- Research postgraduate
- Visiting postgraduate

The relevant **Head of College** also has Delegated Authority (including signing authority for the relevant contracts; which may be sub-delegated) for:

- Collaboration Agreements for teaching and research purposes, **subject to academic agreement via Senate approval processes**.
- Provision of laboratory services.

Additional approval is required for the following Agreements, Schemes and Arrangements:

- Agreements involving agencies and equivalents for the recruitment of international students must also be agreed by **Vice Principal International**.
- The European Union Erasmus+ programme (participation ends 2023), the UK government Turing Scheme and any other mobility programme to support student study and work opportunities require the agreement of the **Erasmus+ and Turing Scheme Institutional Co-ordinator**.
- International student education and learning agreements and arrangements must be approved by the **Principal and/or Vice Principal International**.
- The **Chief Information Officer** must approve Collaboration Agreements placing unusual demands on the Library, archiving, information technology and networking services.
- Any international collaboration must also be approved by the **Principal, University Secretary or Vice Principal International**.
- The **Director of Finance** must be notified of financial commitments over £1m. Delegated approval levels and signing authority are detailed in Appendix 7.

8. Staff Matters

a. Appointments and promotions

Authority for the appointment and promotion of staff is delegated in accordance with the schedule in Appendix 8.

In cases where the arrangement concerned relates to the Principal, the Principal shall withdraw from the Remuneration Committee and take no part in the discussions or any decisions.

b. Orders of Court, Tribunals or other judicial bodies

Authority for the implementation of legally binding orders of courts, tribunals or other judicial bodies in relation to employment matters as well as extra-judicial settlement of employment disputes is delegated as outlined in Appendix 8.

The **Director of Human Resources** and **Director of Finance** must be notified of all Awards prior to authorisation.

Authority in relation to other staff and salary decisions is delegated as detailed within Appendix 8.

9. Novel or Contentious Arrangements

Novel and contentious arrangements are by nature difficult to identify in advance but are likely to be in areas which are new to the University, potentially offer an opportunity outwith currently defined strategy/core business or present a significant exposure to reputational risk.

In cases of doubt, for example in regard to novel or potentially contentious and high risk/legal matters, any items must be further escalated to the **Principal** or **University Secretary** for approval and presentation to the University Court irrespective of monetary value. Those propositions which have an international dimension should be supported (given additional complexity) through the **International Strategic Partnerships Group (ISPG)** and highlighted to the **Principal** by the **Vice Principal International as Convener of ISPG**.

Examples of novel or contentious arrangements might include:

a. Strategic UK or International Bids

Large strategic, one-off calls for funding bids including joint bids with other institutions or agreements with institutions or other parties regarding sharing of monies or other University resources provided by external agencies for infrastructure for research or education.

Past examples of this type of proposal have included the development of National Institutes such as the Alan Turing Institute.

b. Mergers and Strategic Alignments

Proposals in this area are likely to involve in the UK or overseas:

- legal or reputation commitments (Memorandum of Agreement or Understanding)
- creation of a visible entity or joint venture,
- delivery or shared significant teaching, research or operational activities out with the University of Edinburgh campus locations, or
- the award of dual/joint degrees for multiple programmes.

10. Disputes

The **University Secretary** has Delegated Authority for decisions and document management relating to the settlement of court actions or other disputes not falling within the remit of other parts of this Schedule for values up to £1m.

Appendix 1 Glossary of Key Terms

Account signatory	Senior University staff appointed as bank account signatories to authorise bank transactions, mandates and standing orders
Approval authority	Authority to approve an action e.g. transaction, project etc.
Capital budget	Planned budget for acquiring an asset above the value determined by the University's Capital Policy .
Capital expenditure	Costs associated with the acquiring of assets, i.e. land, buildings, and individual items of equipment above the value determined by the University's Capital Policy .
Donation	Money that is given by a donor to fund University activities
Endowment	Money that is given by a donor which is invested to provide an income to fund particular activities
Head of School / Director of Department	Individual who is responsible for a distinct budget area of the University including deaneries and professional services departments.
Lease	A contract by which one party conveys the right to use an asset to another party for a specified time, usually in return for a periodic payment.
Main budget holder	The main budget holder is the Head of College / Professional Services Group
Non-restricted funds	University funding that has no restrictions on how it can be spent
Notification	Requirement to notify in writing the detailed individual or Committee that an action has taken place
Project	A schedule of activity that will result in a number of transactions
Requisition	The process of requesting to buy goods or services
Restricted funds	Funding that the University can only use for a specific purpose, e.g. a research grant.
Revenue budget	Planned operational budget approved by University Court
Revenue expenditure	Operational costs that are not classed as capital expenditure, e.g. salaries, small equipment, travel.
Signing authority	Authority to sign on behalf of an approving Committee or individual following confirmation of that approval. The approval and signing authority may be the same individual.
Small works	Capital projects (broadly less than £1m per project) funded through the Small Works capital programme
Sub-delegation	The authority to further delegate power to another individual or committee. This does not delegate the overall responsibility of the delegated authority holder.
Transaction	An individual commitment to cash flowing in or out of the University Group

Appendix 2 Revenue Budget Expenditure Delegations

Approval authority delegated to:	University Court	Knowledge Strategy Committee	Estates, Digital & Infrastructure Committee	Principal	Main Budget Holder	Head of School/ Department	Director of Finance	Director of Procurement	Director of Estates
Individual requisitions within approved revenue budget	>£2m			£2m	£1m	£500k			£1m
Knowledge Strategy projects within budget	>£10m	£2m	>£2m, <£10m		£1m				
Staff expenses	>£100k			£100k	£50k	£10k	£50k		£50k
Approval of contracts (including framework agreements where there is a commitment to spend)	>£2m			£2m			£1.5m	£1m	£1m
Decisions regarding disputes with suppliers on framework agreements or approved contracts	>£2m			£2m			£1.5m	£1m	
All advertising of planned acquisitions over the legal thresholds								All	
Land and building leases	Greater than £5m > 10 years to £10m < 30 years		£5m > 10 years to £10m < 30 years						
Other Leases	>£2m			£2m			£1m		

Signing authority delegated to:	University Court Signatory	Deputy Convener of Estates, Digital & Infrastructure Committee	Principal	Main Budget Holder	Head of School/ Department	Vice Principal Corporate Services	Director of Finance	Director of Estates	Director of Procurement
Formal acceptance of contracts and framework agreements with commitment to spend	>£2m		£2m	£1m	£500k				
Formal acceptance of framework agreements for services within a single budget area with no commitment to spend				All					
Formal acceptance of framework agreements for University-wide or multi-budget-area services with no commitment to spend									All
Formal acceptance of contracts which are exempt from regulated procurement (e.g rentals, land, property)	>£1m		£1m	£500k	£50k				
Knowledge Strategy projects within budget	>£10m	>£2m, <£10m	£2m	£1m	£500k				
Land and buildings leases	Greater than £5m > 10 years to £10m < 30 years	£5m > 10 years to £10m < 30 years				£5m < 10 years		£2m < 10 years	
Other leases	>£2m		£2m				£1m		

Appendix 3 Capital Budget and Expenditure Delegations

Approval authority delegated to:	University Court	Estates, Digital & Infrastructure Committee	Knowledge Strategy Committee	Principal	Main Budget Holder	Director of Estates
Individual transactions within approved budget	>£2m small works, £10m other estates	£1m small works, £10m other estates	£2m	£2m	£1m small works	£1m small works / other estates
Capital equipment: <ul style="list-style-type: none"> Individual transactions within approved budget Disposal of capital equipment 	> £10m	>£2m, <£10m	£2m	£2m	£1m	£1m
Capital Projects (where resources available within the Capital budget)	>£10m	£1m Small Physical Estates Works Projects £10m other Estates projects	£2m			
Capital projects which require resource outwith the Estates Capital Plan	All					
Acquisition and disposal of land and buildings	> £10m	£10m				

Signing authority delegated to:	University Court Signatory	Deputy Convener of Estates, Digital & Infrastructure Committee	Vice Principal Corporate Services	Director of Estates
Acceptance of contracts	> £10m	£10m	£5m	£2m
Acquisition and disposal of land and buildings	> £10m	£10m	£5m	£2m

Appendix 4 Treasury and Cash Management Delegations

Approval authority delegated to:	University Court	Policy and Resources Committee	Principal	Vice Principal Corporate Services	Director of Finance
Appointment of bankers/bank account set up	All				
In plan new borrowings, lending and investment transactions	>£10m	£10m			
In plan existing investment transactions within existing mechanisms	>£600m				£600m
Social investments within Treasury Mandate	>£10m	£10m			£1m
Secured and unsecured loans to third parties	>£10m	£10m	£10m		£1m
Financial transactions for settlement of tax matters, write-off or write-down of money due and foreign exchange dealings	>£10m	£10m			£2m (write-off of money due)
Financial transactions in respect of the formation, membership, acquisition, investment, wind up or divestment of all equity investments, including spin-out companies, subsidiaries and associated companies by the University or its subsidiaries and associates and the nature of the relationship between the University and such companies and creation of joint venture legal entities.	>£10m	£10m			
Dealings with corporate interests (separate to incorporation and winding up) in subsidiaries, joint ventures and spin outs				All	

Signing authority delegated to:	University Court Signatory	Principal	Vice Principal Corporate Services	Director of Finance
Bank account set up				All
Long term borrowing over 12 months	> £10m	£10m		£1m
Short term borrowing of 12 months or less	>£10m	£10m		£1m
Settlement of tax matters with tax authorities				All
Write-off or write-down of money due				All
Foreign Exchange Dealings				All
Incorporation or winding up of a Subsidiary			All	
Dealings with corporate interests (separate to incorporation and winding up) in subsidiaries, joint ventures and spin outs			All	

Appendix 5 Income Delegations

Approval and signing authority delegated to:	University Court	University Executive	Principal	Vice Principal Corporate Services	Director of Edinburgh Research Office	Chief Executive Officer, Edinburgh Innovations	Head of School	Director of ISG
Applications for research grants, tenders for research contracts and standalone contracts for research			> £10m		£10m		All	£10m
Acceptance of offers for research grants, tenders for research contracts and standalone contracts for research			>£10m		£10m		All	£10m
Contracts ancillary to research including: confidentiality agreements; goods, materials, software, data or other resources to or from the University for no consideration				All				
Granting or receiving an assignation or licence of intellectual property to facilitate research				All				
Contracts for provision of University research and innovation related consultancy services, goods, services, access to equipment and facilities and contracts ancillary to consultancy and service contracts			>£1m	£1m		£1m		
Contracts for provision of consultancy and services provided by ISG								£1m
Registration of and dealings with research or innovation related intellectual property rights, including licensing and outright transfer of such rights and contracts ancillary to technology transfer agreements				All		All		
Approval of academic fees proposed by the Student Recruitment and Fees Strategy Group	> 5% change or 2% above RPI	Up to 5% change or 2% above RPI (whichever is higher).						

Appendix 6 Donations and Endowments Delegations

a. Donations

Approval authority delegated to:	Development Trust	Director of Estates
Acceptance and utilisation of donations	All	
Use of donations involving land and buildings	All	All

Signing authority delegated to:	University Court Signatory	Principal	Main Budget Holder	Head of School/ Director of Department
Acceptance of donations	>£2m	£2m	£1m	£500k

b. Endowments

Approval authority delegated to:	University Court	Investment Committee
Proposing and agreeing Investment objectives	All	All
Recommend through the Policy and Resources Committee an investment strategy to meet the objectives.		All
Endowments: appointment of fund managers	All	

Signing authority delegated to:	Convener of Investment Committee	Principal	Director of Finance	Main Budget Holder
Release of money to fund managers for investment*	All		All	
Instruction to fund managers to release income for use by the University			All	
Release of income to beneficiary as a budget for the specified purposes			All	
Specific decision on application of endowment funding within the specified purposes; or approval for change of use		All	All	All
Investment management services including appointment of investment managers**	All		All	

*Two signatories are required for release of money to fund managers, or change of endowment activities

**Director of Finance must seek University Court approval on appointment of fund managers and follow Procurement Delegated Authority (Appendix 2).

Appendix 7 Student Matters and Academic Collaborations Delegations

Approval authority delegated to:	University Court	University Executive	Principal	University Secretary	VP International	Director of Procurement	Main Budget Holder	Chief Information Officer	Erasmus+ and Turing Scheme Institutional Co-ordinator
Admissions policies		All							
Strategic changes to admissions policies	All								
Relevant contracts for: individual student admission decisions, collaboration agreements for teaching and research (subject to academic agreement via Senate approval processes) and provision of laboratory services							All		
Agreements involving agencies and equivalents for the recruitment of international students					All				
The European Union's Erasmus+ programme (participation ends 2023), the UK government's Turing Scheme and any other mobility programme to support student study and work opportunities									All
International student education and learning agreements and arrangements			All		All				
Collaboration agreements placing unusual demands on library, archiving, IT and networking services								All	
Any international collaboration			All (or)	All (or)	All				
Collaboration agreements involving shared services or for the acquisition of goods, services or works						All			

Signing authority delegated to:	Main Budget Holder	Vice Principal International
Relevant contracts for: individual student admission decisions, collaboration agreements for teaching and research (subject to academic agreement via Senate approval processes) and provision of laboratory services	All	
Acceptance of awards from the European Union Erasmus+ programme, the UK government Turing Scheme and any other mobility programme to support student study and work opportunities		All

Appendix 8 Staff Matters Delegations

Approval authority delegated to:	Remuneration Committee	Central Academic Promotions Committee	Principal	Main Budget Holder
Offer of employment Grade UE10			All	
Offer of employment below Grade UE10				All
Grade UE10 Salary increase or payment over and above contracted entitlement	Above £125,000 or 25% increase		£125,000	
Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff below Grade UE10 *				All
Appointment to personal chairs		All		
Promotion to readerships				All (Head of College)
Employment disputes/ legally binding decisions Grade UE10*	£1m		£500k	
Employment disputes/ legally binding decisions below Grade UE10*	£1m			£500k
Implementation of nationally negotiated pay awards			All	
Agreements to second staff from the University to third parties and vice versa				All
Arrangements for individuals visiting the University to do research and / or teaching				All (Head of College)

*In conjunction with Director of Human Resources. Approval process is primarily through structured committee governance

Detailed HR approval scenarios and delegations are provided in Appendix 10

Appendix 9 Job Levels and Financial Approval Limits

The approval limits in the following table will apply when the finance modules in People and Money go live. Nb. These approval limits may change prior to go live as People and Money goes through testing.

Job levels and Financial Approval Limits

Version 2.5

General Ledger Approvals					
Job Level ⁽ⁱ⁾	Approver - where defined in Delegated Authority Schedule (DAS)	Requisition Approval	Non-PO Invoice Approval	AP Credit Memo Approval	Expenses Approval
N/A	Committee - e.g. University Court	> £2m	> £50k	> £2m	> £100k
8	Principal	£2m	£50k	All values	100k
7	Head of College Head of Professional Services Groups (CSG/ISG/USG) Director of Finance Director of Estates	£1m	£50k	All values	£50k
6	Head of School/Department Dean of Deanery	£500k	£25k	All values	£10k
5	Delegation to these job levels is defined by job within People and Money	£100k	£10k	All values	£1k
4		£50k	£5k	All values	£500
3		£25k	£1k	All values	£100
2		£10k	None	None	None
1		£2k	None	None	None
0		None	None	None	None

(i) Job levels are not used for one-time payments (e.g. visitor expenses) or AR credit notes - they are approved by the requestor's line manager regardless of value.

Projects and Grants Approvals					
Job Level ⁽ⁱⁱ⁾	Approver	Requisition Approval	Non-PO Invoice Approval	AP Credit Memo Approval	Expenses Approval
N/A	Principal Investigator Project Manager (Estates)	£50k	£5k	All Values	£1k
N/A	Project Requisition Approver Role	£10k	None	None	None

(ii) Projects approval limits are linked to roles in the projects module rather than allocated through job levels. Where a project transaction is above the Principal Investigator/Project Manager approval limit it will be routed to their line manager for approval and refer to the line manager's job level approval limits.

Appendix 10 Human Resources Approval Scenarios and delegations

Approval Scenario	Description	Main Budget Holder (Job Level 7)	Head of School/ Department (Job Level 6)
Additional allowances	Allowances such as: acting up, on-call, out of hours, etc.		*
Change of salary code	Change of Salary Coding's from external funds to internal funds (irrespective of amount.	*	
Chair appointments	Follows normal approval but has additional step of approval by Principal.	*	
Clinical posts	Any clinical professorial post.	*	
Envelope submissions ⁽ⁱ⁾	All new Envelope Submissions (or increases to existing Envelope Submissions)	*	
Envelope submissions ⁽ⁱ⁾	Individual vacancies where an Envelope Submission has been approved (unless to increase the size of the envelope)		*
Extension to contract (> 6 months)	Extensions of Internally funded Fixed Term Contract roles where there is an additional internal cost.	*	
Extension to contract (< 6 months, including any previous extensions)	Extensions of Internally funded Fixed Term Contract roles where there is an additional internal cost.		*
Externally funded posts	Roles that do not have a financial implication for the full duration of the commitment .i.e. externally funded posts.		*
Fixed Term Contracts to Open Ended Contract conversions	All transfers from Fixed Term to Open-ended status irrespective of funding source	*	
Guaranteed hours envelope ⁽ⁱ⁾	All new Guaranteed Hours Envelope Submissions (or increases to existing Envelope Submissions)	*	
Temporary absence cover	Any maternity cover (or other equivalent leave) which have internally funded financial implications for any part of the duration of the commitment	*	
UE10 posts	Any UE10 academic, professional or support post.	*	
Increase in hours	Increase in hours where there is an additional internal cost.	*	

Approval Scenario	Description	Main Budget Holder (Job Level 7)	Head of School/ Department (Job Level 6)
(Increase is for > 10 hrs per week or more for 6 months or more).			
Increase in hours (Increase is for < 10 hrs per week or more for 6 months or more).	Increase in hours where there is an additional internal cost.		*
Increase of salary contributions (> 10% increase)	Increase of internal funding salary contribution where there is an additional internal cost	*	
Increase of salary contributions (< 10% increase)	Increase of internal funding salary contribution where there is an additional internal cost.		*
New post (> 6 months)	Any new posts to be filled which has internally funded financial implications for any part of the duration of the commitment.	*	
New post (< 6 months)	Any new posts to be filled which has internally funded financial implications for any part of the duration of the commitment.		*
Position management	New posts arising from departmental reorganisations or restructuring.	*	
Promotions	Promotions with post holder in place ⁽ⁱⁱ⁾	*	
Re-gradings	Re-gradings with post holder(s) in place ⁽ⁱⁱ⁾	*	
Replacement post	Internally funded non-like for like replacements of posts.	*	
Replacement post	Internally funded like-for-like replacements of posts.	*	
Secondments	Any secondment roles which have internally funded financial implications for any part of the duration of the commitment	*	
Splitting of a position into fractions or job shares	May or may not have a financial implication but will increase the number of positions in a school/ department	*	
Student experience envelope ⁽ⁱ⁾	All new Student Experience Envelope Submissions (or increases to existing Envelope Submissions) e.g. for Students employed in		*

Approval Scenario	Description	Main Budget Holder (Job Level 7)	Head of School/ Department (Job Level 6)
	designated 'Student Experience' posts (J fixed term reason code) and 'Employed' posts (D2 fixed term code) roles. The contract should last no longer than the successful candidate's period of study		
Temporary absence cover	Sickness or other absence cover which have internally funded financial implications for any part of the duration of the commitment	*	

Notes

- i. 'Envelope' refers to an approved recruitment budget request for an approximate value which is yet to be fully costed and defined.
- ii. Approval process is primarily through structured committee governance.

Appendix 11 Standard Delegation Principles

To ensure that delegation is utilised appropriately and consistently, the following Standard Delegation criteria is adopted utilising the 'Vacation Period' delegation functionality in People and Money:

- Delegation is for ALL People and Money responsibilities to a single person
- Delegation is in response to a short term need i.e. annual leave, specific work priorities compromising capacity for a period, a period of someone acting up to cover additional responsibilities
- Delegation must have an end date (exception is where someone is on long term sickness)
- Delegation is a maximum of 3 months
- Delegation must be to higher grade, same grade or a maximum of two level below with the caveat that delegation should not be to a member of staff below a grade 6 (it is deemed appropriate that a manager passes their responsibilities to a depute for a period of time)
- Delegation should be to an appropriate deputy rather than all managers in a School/Department delegating to a single person