**DE MONTFORT UNIVERSITY**
**SCHEME OF DELEGATION**

## Introduction

This document seeks to record where delegation rests within the university for particular types of decision made in the name of, or on behalf of, the university. This document is owned by the Board of Governors. A Table of Delegations is attached at Schedule 1. No such schedule can be absolutely comprehensive but, in addition to explicitly locating the locus of authority for specific categories of decision, the schedule also forms a frame of reference through which questions about other types of decision may be resolved.

Note that the schedule below purports only to identify responsibility for the final (“ratification”) stage of decision-making, and not, for example, responsibility for formulating strategic, policy and business proposals (which typically lies with the

and the policies and Financial Regulations of the university. They may delegate responsibility for specific aspects of faculty management to the heads of school and/or other members of the relevant faculty executive or directorate management team but retain ultimate responsibility for the management of their faculty or directorate.

8. Should any matter or decision arise which is within the delegated authority of an individual or body but to which a sensitive, political, reputational or other similar issue is attached or suspected, the decision should be referred to the appropriate (normally higher) level and, ultimately, to the Board of Governors as per 1.15. If there is any doubt as to the appropriate decision-making level, advice should be sought from the Secretary.

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## SCHEDULE 1  TABLE OF DELEGATIONS

| # | ACTION | FINAL AUTHORITY | DELEGATION |
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| | | | | Alternatively, in the absence of a Deputy Dean/Director or during a vacancy in the office, another senior member of staff chosen by the Vice-Chancellor may exercise the functions of the Pro Vice-Chancellor/ Dean. |
| 1.7 | Execution of responsibilities of Academic Board | Academic Board | Vice-Chancellor | Academic Board members will seek advice from other colleagues across the university as required in order to inform their decisions - but their responsibilities as members of the Academic Board are not delegated.<br><br>An independent Governor shall be an attendee of the Academic Board, with the specific remit of ensuring a strong link between the Academic Board and the Board of Governors. |
| | | | Pro Vice-Chancellor (Education and Equalities)<br>Pro Vice-Chancellor Research and Business Innovation<br>Pro Vice-Chancellor International | |
| | | | Designated Academic Board sub-committees, in accordance with the terms of reference of the Academic Board. | |
| 1.8 | Execution of responsibilities of University Leadership Board | University Leadership Board | Members of the University Leadership Board, in accordance with the terms of reference of the University Leadership Board | University Leadership Board members will seek advice from other colleagues across the university, as required, in order to inform their decisions - but their responsibilities as members of the University Leadership Board are not delegated. |
| 1.9 | Execution of responsibilities of Board of Governors | Board of Governors | Chair of the Board | The Chair may act on behalf of the board in matters that would not normally merit discussion at a Board of Governors' meeting or in cases where there is justifiable urgency, as specified within the Chair's Action entry in the Standing Orders. Such decisions are reported to the board at its next meeting. |
| | | | Board committees, as specified | The Board of Governors delegates certain responsibilities to its committees, as defined within their respective terms of reference and as set out in this document. |
| 1.10 | Execution of responsibilities of the Secretary | Secretary | Governance Team | The Secretary may nominate the Governance Team to exercise the administrative and ancillary functions of the Secretary on their behalf. |
| 1.11 | Use of the University Seal | Board of Governors | Secretary | The Secretary will report to the board at each board meeting on the use of the University Seal. The application of seal of the university is referenced in Instrument and Articles of Government.<br><br>The process for executing a Deed is set out in the Standing Orders. |
| 1.12 | Constitution and terms of reference | Parent committee/board | Sub-committees/groups of the parent committee/board | All committees approve their constitutions and terms of reference at the first meeting of the academic year. These are then submitted to the parent committee/board for endorsement. |
| 1.13 | Effectiveness reviews of the Board of Governors and committees of the Board | Board of Governors | | The board will work with the Secretary to plan and conduct Governance Effectiveness Reviews at least every three years, in accordance with the Committee of University Chairs' Higher Education Code of Governance. |

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| | | | | Effectiveness reviews of academic governance should be reported to the Board by the Academic Board but the responsibility for the arrangements for such reviews lies with the Academic Board. |
| 1.14 | Register of Interests and Related Party Transactions | Board of Governors | Secretary | The Secretary and the Governance Team, as appropriate, will, on an annual basis, carry out an update of the relevant registers of interests, which are published on the university website. This annual checkpoint will also include completion of the Related Party Transaction form and, |

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| 2.2 | Approval of university Information Technology strategies, priorities, and investment decisions | University Leadership Board | Strategic Portfolio and Investment Committee (for investment decisions in line with approval limits set out in this scheme) | University Technology strategies and priorities are set at University Leadership Board. Strategic Portfolio and Investment Committee agrees investments up to the limits of the its financial decision making. |
| 2.3 | Approval of university Information Technology Policies | University Leadership Board (for approval) | Information Governance and Cyber Security Committee | The Information Governance and Cyber Security Board implements the review, creation and deletion of IT security, data and data protection related policies, and approves these policies for final approval by the University Leadership Board. |
| 2.4 | Approval of Accounting Policies | Board of Governors | Finance and Performance Committee | Annual review of accounting policies related to the Annual Accounts. |
| 2.5 | Approval of Financial Regulations and key financial policies | Board of Governors | Finance and Performance Committee | The process will be led by the Executive Director of Finance and Procurement. |
| 2.6 | Approval of the Annual Financial Statements and Accountability Return to the Office for Students | Board of Governors | Audit and Risk Committee (for the Annual Financial Statements) | The approval process for the Annual Financial Statements will be led by the Executive Director of Finance and Procurement.<br><br>The Audit and Risk Committee will consider the financial statements in the presence of the external auditor and recommend the statements to the board for approval. All other items within the returns are reviewed and approved by the board only.<br><br>The Finance and Performance Committee receives the Annual Financial Statements for noting. |
| 2.7 | Approval of Risk and Enterprise Resilience Policy | Board of Governors | Audit and Risk Committee | Routed via the University Leadership Board. |
| 2.8 | Approval of contractual policies that impact on the key terms and conditions for staff (e.g. policies relating to staff disciplinary) | University Leadership Board | | The University Leadership Board will be advised by Chief Professional Services Officers, other directors and lead authors of corporate policies as may be required.<br><br>The University Leadership Board considers for approval significant amendments which are submitted to the People and Culture Committee to provide assurance of the appropriate management of policies. |

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| 3.2.2 | Suspension of University Leadership Board members | Disciplinary hearing chaired by the Vice-Chancellor<br><br>If the Vice-Chancellor is not appropriate, a panel of at least two independent ga07 Tw0.S 0 Tc (appr)enio.6 (ed)10enyTm( )TjEMC /P0.85.9 (ea)10.5 (f)-6934 Tc 0.183 (t)-6.6 (he)]TJ.6 ncia62 Tc 0.067 Tw0.6.-4.4EfETQq.[(a02 Tc 0.00<br>Staff. | | All such action taken must be reported to the board within two working days or as soon thereafter as practicable.<br><br>In accordance with the Disciplinary Procedure appropriate for Senior Staff. |

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| 4.4 | Award of honorary academic awards | Board of Governors | Academic Board | The Conferments Committee will make a recommendation to the Academic Board.<br><br>Awards made are noted by the Board of Governors. |
| **5** | **STUDENT AND ACADEMIC MATTERS** | | | |
| 5.1 | Student complaints procedure | Board of Governors | Academic Board | In accordance with its constitution, the Academic Board is responsible for creating and publicising regulations of the university for dealing with student complaints and academic appeals.<br><br>The application of the Student Complaints Procedure itself is delegated principally to the Registrar (Academic) and Secretary to the Board of Governors.<br><br>The Audit and Risk Committee will note significant changes to the procedure. |
| 5.2 | Student disciplinary procedure | Student Conduct and Appeals Committee | Academic Board | The Student Conduct and Appeals Committee will make a recommendation to the Academic Board.<br><br>The Audit and Risk Committee will note significant changes to the procedure. |

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| 6.14 | Acceptance of financial donations and endowments and tangible assets | Board of Governors | University Leadership Board | The University Leadership Board may utilise delegation 1.15 in cases where there is deemed to be the potential for reputational risk to the University. |
| 6.15 | Approval or orders for works, goods and services, other than as specified elsewhere in the scheme. | Executive Director of Finance and Procurement | As delegated by the Executive Director of Finance and Procurement | Further details set out in the Procurement Policy which is part of the university's Financial Regulations.<br><br>The delegation to the Executive Director of Finance and Procurement is subject to the necessary approvals being in place as per Section 7. |
| 6.16 | Approval of non-purchase order payments by exception | Executive Director of Finance and Procurement | As delegated by the Executive Director of Finance and Procurement | |
| 6.17 | Management of the University's responsibilities and obligations in respect of pension schemes | Board of Governors | Finance and Performance Committee | Process led by the Executive Director of People Services and the Executive Director of Finance and Procurement for their respective areas of responsibility. |
| 6.18 | Strategic monitoring of the University's overall financial position within the parameters of the Financial Strategy and Plan | Board of Governors | Finance and Performance Committee | The Finance and Performance Committee may make recommendations to the Board of Governors, as required. |
| 6.19 | Appointment of the University's Insurers | Board of Governors | Finance and Performance Committee | The process will be led by the Executive Director of Finance and Procurement in accordance with the Financial Regulations.<br><br>The Finance and Performance Committee may make a recommendation to the Board of Governors. |
| 6.20 | Appointment of Investment Advisers | Board of Governors | Finance and Performance Committee | The process will be led by the Executive Director of Finance and Procurement in accordance with the Financial Regulations and Treasury Management Poli5.9 ( ( )11Fhg/AC1D 64 BDC (oc) 10 Tf (( n)) 10.5 (36) 10.36 (26 (e |

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| | | | Strategic Portfolio and Investment Committee: up to £100k where funding is being requested<br><br>Pro Vice-Chancellor/Chief Professional Services Officers/ Director: up to £100k and within existing budget | |
| 7.2 | Acquisition and Disposal of property and land (including Leasehold) | Board of Governors: over £3m | Finance and Performance Committee: £1m-£3m | In accordance with the Financial Regulations, any disposal of land and property at a loss is to be submitted to Capital, Commercial and Partnerships Group (Investment Committee) and Finance and Performance Committee, followed by a full Board of Governors decision. |

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| **8** | **CONTRACTS, AGREEMENTS, LICENCES AND PARTNERSHIPS***<br><br>* All financial thresholds refer to DMU expenditure only within projects. | | | |
| **8.1** | **COLLABORATIVE PROVISION[2]** | | | |
| 8.1.1 | Approval of academic partnerships in the UK and international | Academic Board – academic case | Collaborative Partnerships Sub-Committee | Academic partnerships refer to activities which involve partner institutions delivering or supporting an element of, or an entire DMU programme. This may include:<br><br>Faculty based Collaborative Provision<br>Joint Award<br>Dual Award<br>Validation Service<br>Modules delivered in collaboration<br>Supported Distance Learning |

[2] Collaborative Provision leads to an award, or to a specific credit towards an award, of DMU delivered and/or supported and/or assessed through an arrangement with a partner organisation.

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| 8.3.1 | Signing of research projects that require university sponsorship and approval by an external body. | Academic Board | Pro Vice-Chancellor Research and Business Innovation<br><br>Associate Pro Vice-Chancellor Research and Head of Doctoral College | Decision to be informed by a recommendation from the Research and Enterprise Ethics Committee. |
| 8.3.2 | Signing of research and grant applications | University Leadership Board: over £3m | Pro Vice-Chancellor Research and Business Innovation: £1m-£3m | This item refers to bid submission. The thresholds relate to bids over three years. If the bid is less than three years, the threshold level will be divided accordingly e.g. if the bid was for one year of funding, the thresholds would be divided by three.<br><br>Advice should be sought from Research Services in the first instance. Any grants not on the Research Services approved list should be referred to Legal Services.<br><br>If the bid submission requires additional financial resources from DMU, the Executive Director of Finance and Procurement (or delegated dep |