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DELEGATED AUTHORITY; USER GUIDE – CONTEXT AND BACKGROUND

1. Council's formal objects and powers are set out in sections 3 and 4 (respectively) of the Charter as set out below;
 - "S.3. The objects of the University shall be to advance education and knowledge by teaching and research, and in doing so to foster an academic environment which is enterprising and applied to business and the professions, for the benefit of society at large.
 - S.4. The University shall be a teaching and an examining body and shall have the following powers:
 - (a) To award degrees and other academic awards and to withdraw such awards;
 - (b) To acquire, own, maintain, manage and dispose of real and other property;
 - (c) To solicit, receive and administer fees, grants, subscriptions, donations, endowments, legacies, gifts and loans of any property whatsoever whether real or personal;
 - (d) To act as trustees for and in relation to endowments, legacies and gifts;
 - (e) To invest any monies in the hands of the University and available for investment;
 - (f) In furtherance of the objects, and so far as permitted by charity law, to give guarantees;
 - (g) In furtherance of the objects, and so far as permitted by charity law, to borrow and raise money and give security for loans; and for those purposes the University shall have the authority to enter into any financial instrument which is ancillary or incidental to the exercise of such powers;
 - (h) To take such steps as may from time to time be deemed expedient for the purpose of procuring and receiving contributions to the funds of the University and to raise money in such other manner as the University may determine;
 - (i) To co-operate and collaborate with other institutions, award joint degrees or other awards, and affiliate or incorporate into the University any other institution and take over its property, rights and liabilities;
 - (j) To enter into engagements and to accept obligations and liabilities in all respects without any restrictions whatsoever and in the same manner as an individual may manage his or her own affairs; and
 - (k) To do anything else necessary or convenient, whether incidental to these powers or not, in order to further the objects of the University as a place of education, learning and research."
2. The functions of the Council are set out in Section 5 of the Statutes as set out below;
 - "S.5.1 The Council shall be responsible for the conduct and activities of the University and shall exercise the University's powers.

- 5.2 The functions and duties of the Council shall (without imposing any limitation on its general powers) include:
- 5.2.1 overseeing the University's activities, determining its mission and future direction;
 - 5.2.2 fostering an environment in which the University's objects are achieved and providing strategic input on all material policy or other matters affecting the University (including the adoption and publication of a statement of the primary responsibilities of the Council);
 - 5.2.3 appointing and regulating committees of the Council;
 - 5.2.4 setting up within the University such departments, schools, faculties and other units of organisation and delegating to them such functions, duties and powers as it sees fit;
 - 5.2.5 employing Staff and other contract-holders and regulating their employment;
 - 5.2.6 ensuring that there are in place policies and procedures dealing with Staff performance, discipline, dismissal and grievances, and with Student discipline, complaints and academic appeals;
 - 5.2.7 appointing a Chancellor;
 - 5.2.8 appointing a Vice-Chancellor as the chief executive officer of the University, and monitoring his or her performance;
 - 5.2.9 appointing such office holders to have such powers as the Council may see fit;
 - 5.2.10 making Ordinances and Regulations for the exercise of the functions and duties of the Council acting on behalf of the University;
 - 5.2.11 providing facilities to carry on any activities which are necessary or desirable to enable the University to fulfil its objects;
 - 5.2.12 establishing and monitoring systems of control and accountability including financial and operational controls and risk assessment; and
 - 5.2.13 reviewing and monitoring the management of the University and its performance."
3. Council adopted the following statement of Primary Responsibilities in its Financial Statements for 2009-10 submitted to HEFCE in November 2010;

"Statement of Council Primary Responsibilities

The Council is the executive governing body responsible for the finance, property, investments and general business of the University and for setting the general strategic direction of the institution. Its primary responsibilities may be summarised as follows:-

1. **Strategic planning**
 - a) Considering and approving the vision, mission and strategic plans of the institution, longer-term business plans, key performance indicators and annual budgets, and ensuring that these meet the interests of stakeholders.

- 2. Monitoring effectiveness and performance**
 - a) Ensuring that there are in place appropriate arrangements for the management of the University, particularly through appointment of the Vice-Chancellor and Registrar and Secretary.
 - b) Ensuring the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment.
 - c) Monitoring institutional performance against plans and approved key performance indicators which, wherever possible and appropriate, are benchmarked against other institutions.
 - d) Monitoring its own effectiveness as a governing body and reporting thereon.
 - e) Putting in place suitable arrangements for monitoring the performance of the Vice-Chancellor and Registrar and Secretary.
 - f) To conduct its business in accordance with best practice in corporate governance and with the principles of public life drawn up by the Committee of Standards in Public Life.

- 3. Finance**
 - a) Ensuring the solvency of the University and safeguarding its assets.
 - b) Approving the financial strategy and the overall annual budget.
 - c) Ensuring that the funds provided by the Funding Council are used in accordance with the terms and conditions specified in the HEFCE Financial Memorandum.
 - d) Receiving and approving annual accounts.

- 4. Audit**
 - a) Directing and overseeing the University's arrangements for internal and external audit.

- 5. Estate management**
 - a) Approving and keeping under review an estates strategy that identifies the property and space requirements needed to fulfil the objectives of the University's strategic plan.
 - b) Providing for a planned programme of maintenance for the University's estate.
 - c) Considering and approving all acquisitions and all disposals of land and property.

- 6. Human resource management**
 - a) Approving the University's human resources strategy and policies, including remuneration policy.
 - b) Ensuring the University has clear procedures for handling internal grievances and for managing conflicts of interest.
 - c) Appointing the Vice-Chancellor and the Registrar and Secretary and setting the terms and conditions for these posts.

- 7. Equality and diversity**
 - a) Ensuring that the University fulfils its statutory duties in relation to equality and diversity, including the obligation to promote equality of opportunity for staff and students.
 - b) Approving the University's Equality and Diversity Strategy
 - c) Approving the University's access agreement with the Office for Fair Access and monitoring institutional performance.

- 8. Health and safety**
 - a) Oversight of the University's arrangements for ensuring the health and safety of staff, students and other individuals while they are on the University's premises and in other places where they may be affected by its operations.
 - b) Ensuring that the institution has a written statement of policy on health and safety.

- 9. Students' Union**
- a) Ensuring that the Students' Union operates in a fair and democratic manner and is accountable for its finances.”
4. Section 5.5 and 5.6 of the Statutes set out the limitations of Council's authority to delegate responsibility;
- “5.5 The Council shall not delegate responsibility for:
- 5.5.1 the solvency of the University;
- 5.5.2 the determination of strategic direction or significant policy matters affecting the University;
- 5.5.3 appointing the Vice-Chancellor and monitoring his or her performance;
- 5.5.4 the variation, amendment or revocation of the Charter or Statutes;
- 5.5.5 the approval of a business plan and budget;
- 5.5.6 the approval of a strategy for risk management;
- 5.5.7 the review and the monitoring of the management of the University and its performance; or
- 5.5.8 the approval of the University's annual audited accounts.
- 5.6 The Council shall not delegate responsibility for any matter it considers to be material relating to:
- 5.6.1 safeguarding the property, assets or undertaking of the University;
- 5.6.2 approving any significant commercial activities involving the University;
- 5.6.3 establishing and monitoring systems of control and accountability within the University; or
- 5.6.4 strategy for establishing and monitoring of any entity with which the University is involved.”
5. The Chair of Council may take action on behalf of Council on matters which are either urgent or non-contentious provided that the limitations on delegation set out in Sections 5.5 and 5.6 of Statutes are adhered to. All requests for Chair's action shall be routed through the Registrar and Secretary and action taken by the Chair must always be reported in the agenda papers for the next meeting of Council.
6. Section 10 of the Charter confirms that Senate is the academic authority of the University and that it is the duty of Council to refer to the Senate any matter coming before the Council which the Council consider should be dealt with by the Senate; in a reciprocal fashion it is the duty of Senate to bring before the Council any matter which Senate considers to have financial implications or in any way to affect the general well being of the University or its relationship with persons or bodies outside the University.

7. Section 16 of the Charter sets out the ability of Senate to make, add to, amend or revise Regulations relating to;
- “(a) teaching, research, programmes of study and the award of degrees and other academic distinctions;
 - (b) the conduct of examinations;
 - (c) the requirements for admission to the University and to any particular scheme of study;
 - (d) the conditions under which Students shall be permitted to continue their studies in the University;
 - (e) academic dress; and
 - (f) the discipline of the Students of the University.”
7. Section 8 of the Statutes sets out Senate’s responsibility for maintaining the academic quality and standards of the University and Council’s ability to delegate to Senate “Such of its functions relating to the planning, coordination, development and supervision of the academic work of the University, or other functions, as it seems fit.”
8. Section 7 of the Charter sets out that there shall be a chief executive officer of the University to be called the Vice-Chancellor (or such other name as Council shall decide). Section 3.4 of the Statutes state that “as Chief Executive and principal academic and administrative officer, the Vice-Chancellor shall have a general responsibility to the Council for maintaining and promoting the efficiency and good order of the University.” Accordingly, apart from the reserved items listed above, the Council delegates full authority to the Vice-Chancellor to act on its behalf in all matters relating to the organisation, direction, management and well being of the University and its leadership of its staff, subject to the following principles;
- The Vice-Chancellor will act within the prescribed conditions of his/her appointment;
 - The Vice-Chancellor’s actions will be consistent with the principles of public life, known as the Nolan Principles, drawn up by the Committee on Standards in Public Life;
 - The Vice-Chancellor’s actions will;
 - be consistent with the University’s Mission, Vision and Strategy;
 - be consistent with the limitations of Council’s authority to delegate responsibility as set out in Section 5.5 and 5.6 of Statutes;
 - be consistent with the budget approved by Council;
 - in conformity with relevant legislation and externally prescribed condition, for example the HEFCE Financial Memorandum; The Vice-Chancellor will act at all times to further the best interests of the University, its staff and students, and will be mindful of the importance of preserving the University’s reputation;
 - The Vice-Chancellor will report on all significant decisions so taken;
 - The Vice-Chancellor may delegate his or her delegated authority as he/she determines in accordance with the management structure in the University. Where the Vice-Chancellor delegates his/her authority, he/she shall remain accountable to the Council.
9. To assist the Vice-Chancellor in the performance of his delegated authority, the Vice-Chancellor is aided and advised by the Executive, a body which provides strategic leadership and management to the University. The purpose and authority of the Executive is described as follows;
- “Under the authority of the Council, and in support of the Vice-Chancellor and Chief Executive Officer, the Executive provides strategic leadership and management to the University, assuring it is a solvent and academically successful enterprise according to

the strategic goals, schemes of delegation, resolutions, policies and processes approved by the Council.”

The terms of reference for Executive in its role of advising the Vice-Chancellor and Chief Executive Officer are as follows;

- i) Assure the highest personal and professional standards of corporate leadership and management;
 - ii) Devise, implement and review strategic, financial and operational plans;
 - iii) Devise, implement and review the annual budget and five year financial plan and business plans, allocate resources and manage risk;
 - iv) Establish or disestablish organisational structures and entities. In the case of academic entities consultation with Senate will be undertaken as appropriate);
 - v) Assure the effectiveness and efficiency of University structures, entities and operations assuring value for money in all of its activities;
 - vi) Develop, implement and review high level policy and procedures against defined outcomes;
 - vii) Assure common approaches to matters of inter-college, school and inter-departmental responsibility;
 - viii) Oversee the operational management of the University;
 - ix) Set standards and indicators for, and monitor and review, university outputs and performance;
 - x) Assure University compliance with law, regulation, policy and obligations.
10. The University’s constitution is predicated on a clear distinction and delineation between governance and management. University Ordinances (section 1) state that “management is the process of directing and controlling an entity for the purpose of co-ordinating and harmonising the organisation towards accomplishing a goal, deploying and directing human, financial, technological and natural resources to that end”. Governance, on the other hand, is the “process of decision making which grants authority (eg institutional strategy and policy), defines expectations and verifies performance (eg through proactive monitoring).
11. The User Guide to Delegation which follows sets out how governance and management responsibilities are delegated in the following areas;
- Academic Quality
 - Research and Knowledge Transfer
 - Partnerships and Alliance with educational bodies
 - Human Resources
 - Information Technology
 - Nominations
 - Legislative Compliance
 - Marketing
 - Business Continuity
- Finance; including Financial Regulations and Delegated Financial Authority limits relating to;
- capital expenditure
 - recurrent/contract expenditure
 - research and enterprise contracts, consultancy arrangements, commercial contracts and agreements and non-disclosure agreements

Delegated Authority – User Guide⁺

Academic Quality⁺ (authority delegated by Senate)

Category	Governance Arrangements	Management Arrangements	Limit and Comment/Notes
Programme Approval and Review	<p>New programmes: College PPARC recommends outline approval of programmes and these are approved by APPC on behalf of Senate</p> <p>Existing programmes: APPC monitors Periodic Review and Reapproval of programmes by College PPARC, APPC monitors withdrawal of programmes.</p> <p>GSU PPRR overview report considered by APPC on behalf of Senate</p>	Head of School, PVC/Dean of College and College Executive ensure fit with the College Strategic and Operational Plans	PPRR Overview now biennial
Programme Monitoring	<p>Annual Programme reports are considered at School level by AH(A) and by Staff/Student Committees. School summary reports are considered by College Executive/CQSEC. LTEC considers College overviews and institutional I overview reports, e.g. Collaborative Provision and PGT programmes. LTEC advises Senate on academic quality issues.</p> <p>Director of Graduate Studies produces an overview of PGT programmes. GSU produces an overview of collaborative provision programmes. LTEC refers management items to heads of professional services for response.</p>	<p>Head of School together with Associate Head of School (Academic) sign off the annual reports of the programme. Associate Dean (Academic) on behalf of PVC/Dean of College looks at School summary reports, samples programme reports and makes a College overview report.</p> <p>The Executive considers management responses to institutional issues raised through the Annual Programme Monitoring and Enhancement process.</p>	

⁺ Throughout the Guide it is acknowledged that individuals may have separate management and governance roles and responsibilities (eg Head of School with governance responsibilities arising from membership of Senate and Committees and management responsibilities as an academic leader). The distinction between governance and management is articulated in section 1 of the University Ordinances and in paragraph 10 of the Context and Background section above.

⁺ NB See also Senate Scheme of Delegation agreed in March 2008 – attached as Appendix A

Recruitment	LTEC advises Senate on policy and monitors implementation of that policy.	Executive sets targets for recruitment in Strategic Plan. The targets are given to the PVC/Dean of College and divided between the Heads of School. Student Information Directorate has institutional responsibility for recruitment and admissions administrative functions.	
Admissions	Policy and entry requirements are set by Senate on advice of LTEC Annual monitoring reports monitored by LTEC on behalf of Senate	Directors of Admissions or equivalent post holders make sure that process is followed. Accountable to Head of School. Student Information Directorate is responsible for admissions administration.	
Assessment of Students	Postgraduate Research Award Board approves awards on behalf of Senate for Postgraduate Research Students Boards of Examiners, which are Sub-Committees of Senate, have delegated responsibility for ratifying marks and for taking decisions regarding progression and the award of qualifications for all taught students.	Programme Leaders, Module Tutors implement assessment methods as approved and set out in programme specification. Student Information Directorate is responsible for the administration of logistical examination arrangements.	Assessment of Students sits within framework of regulations, policies and procedures approved by Senate. Aligned to precepts in the QAA Code of Practice.
External Examining	Issues raised in reports addressed by programme teams, Associate Heads (Academic), Staff-Student Committees and the Associate Dean (Academic). GSU overview report monitored by LTEC on behalf of Senate	Nominations by Heads of School with reference to an eligibility check list. Appointments approved by College Executives. Student Information Directorate is responsible for the administration of practical external examiner arrangements.	. Aligned to precepts in the QAA Code of Practice.
Academic Appeals	The policy is approved by Senate on the advice of LTEC. Decisions are made by the Board of Appeal and through the Appeals Review Panel. GSU annual overview report considered by LTEC on behalf of Senate	Heads of School nominate Investigators who investigate appeals and also participate as members of Appeals Review Panels and Boards of Appeal. GSU coordinates the implementation of the procedure.	

Student Complaints	The policy is approved by Senate on the advice of LTEC. Decisions are made according to the stage of the complaint by the Heads of School or Professional/Administrative Services /Stage 2; PVC/Dean of College, Head of GSU or Complaints Review Panel /Stage 3 GSU annual overview report considered by LTEC on behalf of Senate.	Heads of School or Professional/Administrative Services nominate independent investigators to collect information on complaint. GSU coordinates the implementation of the procedure.	
Academic Misconduct	The procedures are approved by Senate on the advice of LTEC. Decisions on cases made by School Academic Misconduct Panel. GSU annual overview report monitored by LTEC on behalf of Senate.	Heads of School chair or delegate authority to chair AMPs and ensure that relevant business is transacted. GSU coordinates the implementation of the procedure.	

Fitness for Professional Practice	The policy is approved by Senate on the advice of LTEC. Decisions are made by Fitness for Professional Practice Panel and Fitness for Professional Practice Appeals Panel. GSU annual overview report monitored by Senate.	Heads of School within the College of Health & Social Care nominate investigators to collect information on cases. Heads of School within the College of Health & Social Care also nominate academic staff and external members to sit on the panel. GSU coordinates the implementation of the procedure.	
Student Disciplinary Procedure	The policy is approved by Senate on the advice of LTEC. Decisions are made by Disciplinary Panel and Disciplinary Appeals Panel or designated University Officers. AAGC appoints pool of staff members to serve on Disciplinary Panel and Disciplinary Appeals Panel. GSU overview report considered by Senate.	PVC/Deans of College nominate members of Disciplinary Committee and Disciplinary Appeals Committee to AAGC. GSU coordinates the implementation of the procedure.	
Fitness to Study Policy	The policy is approved by Senate on the advice of LTEC.	Student Life Directorate co-ordinates the operation of the procedure.	

Academic Audit	<p>Policy approved by AAGC on behalf of Senate. AAGC commissions audits. AAGC receives audit reports and Executive management responses and develops and monitors action plans</p>	<p>Associate Secretary, GSU, oversees process. Executive commissions management responses.</p>	
Ethical Approval	<p>Policy approved by AAGC on behalf of Senate.</p> <p>College Ethical Approval Committee oversees the ethical approval of the College's research and innovation, academic engagement and learning and teaching activities on behalf of College Executive.</p> <p>College Ethical Approval Committee receives reports from a College Research, Innovation and Academic Engagement Ethical Approval Panel and a College Ethical Approval Panel for Taught Programmes.</p>	<p>Associate Secretary, GSU, oversees central policy development.</p> <p>College staff support Ethical Approval Committee/Panels.</p> <p>None.</p>	
Academic Structure	<p>Council delegates responsibility to Executive which consults Senate on matters of academic merit. Changes are formally approved by Council.</p>	<p>Vice-Chancellor / Executive</p>	
Taught Regulations, Policies and Procedures	<p>LTEC advises Senate, in some cases with the advice of APPC.</p> <p>LTEC advised by College QSEC.</p>	<p>PVC (Academic) has overall responsibility. PVC/Dean of College, advised by AD(A) (Chair of College QSEC), Heads of School, Programme Leaders and Module Leaders at local level.</p>	
Research Regulations, Policies and Procedures	<p>Research Committee advises Senate upon recommendations from Postgraduate Research Studies Sub-Committee.</p>	<p>PVC (Research and Innovation) has overall responsibility along with Director of Graduate Studies. PVC/Deans of College at College level advised by AD(RI) (Chair of College</p>	

	Research Committee advised by College RIC.	RIC). Heads of School at School level. Individual supervisors of individual candidatures.	
Affiliation	Policy approval by Senate on the advice of APPC, advised in turn by Collaborative Provision Panel	PVC (Strategic Development and Partnerships) for United Kingdom Partnership Strategy/Alliances. PVC (International) for International Partnership Strategy/Alliances in both cases in consultation with PVC (Academic). Associate Secretary, Governance Services Unit, for annual University level overview. Individual programmes at affiliated institutions are the responsibility of their respective PVC/Dean of College, Heads of School and Programme Leaders. PVC (Research and Innovation) for research awards.	
Accredited Study Abroad	APPC for postgraduate and study of at least a year's duration. College QSEC for study of up to a semester's duration.	Individual programmes at affiliated institutions are the responsibility of their PVC/Dean of College, Heads of School and Programme Leaders.	
Joint Boards of Study (JBoS)	LTEC sets policy, advised by APPC, on behalf of Senate. GSU overview report monitored by LTEC on behalf of Senate.	Associate Secretary GSU, oversees central policy development PVC/Deans of College and Heads of School at College and School level and Programme Leaders at Programme level responsible for respective programmes	Now within Scheme of Academic Governance approved by Senate on advice of AAGC.
EdExcel	LTEC provides guidance advised by APPC on behalf of Senate	Associate Secretary GSU, oversees central policy development	

	GSU overview report monitored by LTEC on behalf of Senate	PVC/Deans of College and Heads of School at College and School level and Programme Leaders at Programme level responsible for respective programmes	
Professional, Statutory and Regulatory Bodies (PSRBs)	APPC, advised by LTEC, recommends to Senate policy on consideration of PSRB reports. GSU overview report monitored by LTEC on behalf of Senate	Associate Secretary GSU, oversees central policy development PVC/Deans of College and Heads of School at College and School level and Programme Leaders at Programme level responsible for respective programmes	GSU overview now biennial
Senate and its Committees Terms of Reference and Membership	Senate has delegated responsibility from Council for academic quality and standards stipulated in the Statutes. Ordinances prescribe membership of Senate, and also set out Terms of Reference and Constitution of Senate Committees. Establishment of further Committees would be a matter for Academic Audit and Governance Committee to recommend to Senate. Membership of Senate and its Committees considered first by Academic Audit and Governance Committee before approval by Senate. See Senate Scheme of Delegation at Appendix B.	No direct management role but Executive member advice sought on appointed membership of Senate.	

Research and knowledge transfer

Category	Governance	Management	Limit and Comment/Notes
Research Contracts	Research Committee (overview) / Senate College level – CRAIC	Executive – primary leads PVC (Research and Innovation), PVC/Deans of College, Heads of School, Director of Research and Innovation.	
Research quality (PGR)	Research Committee / Senate College - CRIC	PVC (Research and Innovation), Executive Deans, Heads of School.	Under discussion

Partnerships and Alliances with educational bodies

Category	Governance	Management	Limit and Comment/Notes
Affiliation Agreements	APPC / Senate including monitoring / review via annual overview reports	At University level PVC (Strategic Partnerships and Development), PVC (International), PVC/Deans of College, Heads of School; Relevant School/Programme level initiation and monitoring	
Memorandum of Understanding and other academic partnerships	APPC overview School/College Executive	PVC (Strategic Partnerships and Development) and PVC (International) to ensure strategic overview PVC/Deans of College, Heads of School at local level	
International students exchange agreements	College/School Executive APPC overview of accredited study abroad. APPC/College Executive/PPARC approval of accredited study abroad depending on length and level of study.	Relevant School/Programme level initiation and monitoring	

Overseas Agency Agreements	APPC	PVC (International) and Director of Student Information Directorate to ensure strategic overview PVC/Deans of College, Heads of School at local level	
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Human Resources

Category	Governance	Management	Limit and Comment/Notes
Policies, procedures, management guidelines, employment law legislative compliance	Approval of policy/procedural framework by Council; formative discussions with Lead Member HR	Executive approves policy/procedural framework for submission to Council on advice of Executive Director HR; implementation of policy/procedures etc by managers (performance of staff be assessed by PDR). HRD and GSU to ensure institutional compliance.	
Performance Reviews and Professional Development	Approval of policy/procedural framework by Council; process involves formative discussion with Lead Member HR	Executive approves policy/procedural framework for submission to Council on advice of Executive Director HR; implementation of PDR by managers at local level (overall outcomes monitored by Executive). Professional development supported by HRD/ADU	
Approval of remuneration arrangements for senior staff	Remuneration Committee which reports to Council	Preparation of recommendations / relevant information for consideration by Remuneration Committee by Vice-Chancellor and Deputy Vice-Chancellor.	
Pay and Grading Recommendation for job gradings in accordance with job evaluation scheme and pay policies	Council advised of and able to comment on national pay grades and negotiation arrangements; Lead Member HR apprised of developments and able to comment.	Consideration by Executive on advice from Executive Director HR; individual HERA evaluations are the responsibility of individual managers and (ultimately) Heads/Directors (using guidance prepared by HR)	

Leave of Absence	Approval of policy/procedural framework by Council; any proposed changes/amendments would involve formative comment from Lead Member HR	Executive approves policy/procedural framework for submission to Council on advice of Executive Director HR; approval of arrangements at local level, is a management responsibility	
Pensions	Council has responsibility advised and informed by sector wide bodies (UCEA, NSS, LGPS, TPS); any change in arrangements would require Council approval. Lead Member HR regularly updated and involved in formative discussions. Lead Member Finance apprised of and can offer formative comment on financial implications	Executive consideration of implications of changes to pension arrangements and financial implications on advice from Executive Director HR and Executive Director of Finance.	

Information Technology

Category	Governance	Management	Limit and Comment/Notes
Acceptable Use of Information Technology	Council approves policy	Executive, on advice from CIO and Head of Governance Services (advised by Information Governance Team), approves policy for submission to Council.	
Contracts: Expenditure on IT Equipment	Council sets framework by approving Financial Regulations	IT Advisory Group reports to Executive – primary source of advice is CIO	
Control of Project Activity	Council approves annually outline Capital Budget – individual projects below £5 m can be contracted without further reference to Council. Council informed of project outcomes; formative comment from IT Lead Member.	IT Advisory Group reports to Executive – primary source of advice is CIO	
Records Management	Council apprised of developments/ Executive action	Policies, procedures, regulations set by Executive on advice from Head of Information Governance, GSU	

Legislative compliance

Category	Governance	Management	Limit and Comment/Notes
Council and its Committees Terms of Reference and Membership	Council Terms of Reference and Membership stipulated in Charter and Statutes. Requirement for Audit, Remuneration and Nominations Committee also stipulated in Charter and Statutes and further detail provided in the Ordinances. Establishment of further Committees would be a matter for Nominations and Governance Committee (for recommendation) and Council (for approval). Membership of Council and Committees considered first by Nominations and Governance Committee before approval by Council.	No direct management role but Executive consulted on nominations/proposals for Council membership.	
<ul style="list-style-type: none"> • Occupational Health and Safety • Equalities Legislation • Data Protection Freedom of Information /Information Security	Council has oversight and receives periodic (at least annual) reports/updates and formally approves changes of policy	Professional responsibility at the centre (eg Wellbeing (HR), Equality and Diversity (GSU), Information Governance (GSU); these staff provide guidance and support for staff at local, School level on procedural matters. Executive receives HSAG minutes and recommendations	

Marketing

Category	Governance	Management	Limit and Comment/Notes
University brand(s)	Council has ultimate approval	Executive recommends approval on advice from Director of Communications. Marketing plans in accordance with corporate approach set at local level	
Media relationsand Corporate Communications Strategy	Council apprised and informed of developments; Chair of Council consulted on major media issues.	Executive approves policies, procedures and guidelines on advice from Director of Communications	

Pre-Admission promotion	Council apprised and informed of developments	Executive approves policies, procedures and guidelines on advice from Director of Student Information Directorate	
Digital Strategy	Council apprised and informed of developments	Executive approves policies, procedures and guidelines on advice from Director of Communications	
Trade Marks	Council apprised and informed of developments	Executive approves policies, procedures and guidelines on advice from Director of Communications	

Business Continuity

Category	Governance	Management	Limit and Comment/Notes
Emergency planning/response and disaster recovery	Council sets policy framework	Executive approves policy, procedures, management guidelines	

Finance

Category	Governance	Management	Limit and Comment/Notes
See Appendix A			

Finance

Details of financial authority levels are set out in the document “Delegated Financial Authority” approved by Council in October 2011

<http://intranet.salford.ac.uk/finance/cms/pages/category?id=23>

Governance

In accordance with financial regulations, the University Council must approve all financial authority levels that commit the University to incur cost, whether Capital Expenditure, Revenue Expenditure, or Contract Expenditure regardless of the source of funding. This includes the power to sign Research Contracts, Enterprise Contracts, consultancy agreements and other commercial contracts.

Management

Details of financial authority levels for;

- i) Capital Expenditure
- ii) Recurrent expenditure/contract expenditure
- iii) Research and enterprise contracts and agreements and non-disclosure agreements

can be found in “Delegated Financial Authority”

<http://intranet.salford.ac.uk/finance/cms/pages/category?id=23>

Financial Regulations contain the following sections and sub-sections. Full details can be obtained here

<http://intranet.salford.ac.uk/finance/cms/pages/category?id=23>

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6. Lead Members
7. Audit Requirements
8. Data Quality and Assurance
9. Value for Money
10. Other Officers and Senior Managers with Financial Responsibility
11. Risk Management
12. Theft, fraud, bribery and corruption
13. Public Interest Disclosure (Whistle-blowing)
14. Code of Conduct
15. Receiving gifts or hospitality

C FINANCIAL MANAGEMENT AND CONTROL

16. Financial Planning
17. Master Plan
18. Overseas Activity

19. Other Major Development
20. Financial Control
21. Accounting Arrangements
22. Document Retention
23. Taxation
24. Treasury Management

D INCOME

25. General
26. Maximisation of Income
27. Receipt of cash, cheques and other negotiable instruments
28. Collection of Debts
29. Student Fees
30. Student Loans
31. Research Grants and Contracts
32. Other Income Generating Activity
33. Off-site collaborative provision (franchising)
34. European Union (EU) and other matched funding
35. Specific and earmarked accounts
36. Additional payments to staff
37. Intellectual Property Rights and Patents
38. Gifts, benefactions and donations
39. Voluntary funds

E EXPENDITURE

40. General
41. Segregation of duties
42. Scheme of delegation/financial authorities
43. Pay Expenditure
44. Pension schemes
45. Severance and other non-recurring payments
46. Procurement
47. Purchase orders
48. Purchasing cards and institution credit cards
49. Tenders and quotations
50. Capital and Major Refurbishment Contracts
51. EU regulations
52. Receipt of goods
53. Payment of invoices
54. Staff reimbursement
55. Petty cash
56. Other payments
57. Late payment rules
58. Giving hospitality

F ASSETS

59. General
60. Safeguarding assets
61. Stocks and stores
62. Personal use
63. Asset disposal

G OTHER

- 64. Insurance
- 65. Companies and joint ventures
- 66. Security
- 67. Student's Union
- 68. Use of the University seal
- 69. Provision of indemnities

DELEGATED FINANCIAL AUTHORITY

In accordance with the Financial Regulations of the University, the University Council must approve all financial authority levels that commits the University to incur cost, whether Capital Expenditure, Revenue Expenditure or Contract Expenditure regardless of source of funding. This includes the powers to sign Research contracts, Enterprise contracts, Consultancy agreements and other Commercial contracts.

All procurement must be undertaken in accordance with the Purchasing Policy and Procedures set out at http://www.purchasing.salford.ac.uk/docs/purchase_policy.doc.

The financial limits that apply are to the project/contract as a whole, even though the procurement may be in phases and over a period of time. In other words, splitting of orders or contract commitments to avoid approval at a higher level is strictly prohibited and will be considered a breach of Financial Regulations.

Letters of intent or Heads of Terms, whilst not necessarily having the same legal basis as a contract, nevertheless are to be considered as a contract for the purpose of these authority levels.

1. Capital Expenditure

- 1.1 The University Council approves in outline each year, the three year Capital Budget.
- 1.2 Individual projects identified separately in the Capital budget that are below £5m, inclusive of VAT, may be contracted by management without any further reference to Council, who shall receive a report at each meeting of Council on the status of each contracted project. All such expenditure above £500k must include a complete business plan.
- 1.3 Capital projects in excess of £5m will require a formal submission to Council through the appropriate Lead Member and include a complete business plan and follow the **HEFCE good practice guide to Investment Decision Making 2003/17**.
- 1.4 Changes to the Capital budget by substitution that does not affect the aggregate spend in each financial year may be authorised by the Vice-Chancellor up to £1m in each case. All other changes require the approval of Council.
- 1.5 Any non-budgeted Capital expenditure that is not by way of substitution must be approved in advance by Council with the exception of Capital expenditure that is part of a research or enterprise grant. All such items may be approved by the appropriate PVC/Dean of College.
- 1.6 The Executive Committee is responsible for approving the Capital projects that are included in the Capital budget and delegates the prioritisation and monitoring of all such expenditure to the Capital Investment Group.
- 1.7 The Capital Investment Group shall maintain a list of all Capital projects, including those for which there is no funding identified and are therefore unapproved, and is responsible for allocation HEFCE funding through the Capital Investment Framework (CIF) for Research and Learning and Teaching.
- 1.8 Each year, as part of the budget cycle, individuals will be asked to submit Capital projects for consideration. These will follow the prescribed format available on the Finance website at <http://intranet.salford.ac.uk/finance/cms/lages/category?id=33>
- 1.9 All contracts for Capital projects must be procured in accordance with the University's Purchasing Policies and Procedures, referred to above.

1.10 Individual limits for signing these contracts are:

- a) up to £25k - Head of School **or** Director of Professional Services
- b) up to £100k - Member of Executive Committee **or** Executive Director of Professional Services
- c) up to £500k - Member of Executive Committee **and** Executive Director of Professional Services **and** the Director of Finance
- d) up to £ 1m - Registrar and Secretary **and** Director of Finance
- e) over £ 1m - Vice Chancellor **and** Director of Finance
- f) over £5m - Chair or Deputy Chair of Council (through authorisation) **and** Director of Finance

2. Recurrent Expenditure/Contract Expenditure

2.1 The University policy on contracting can be found at:

http://www.rgc.salford.ac.uk/page/step_by_step. In the absence of a contractual requirement for the Director of Finance, the Registrar and Secretary or the Vice-Chancellor being required to sign, the following are the approval levels for non-staff recurrent budgeted expenditure:

- a) up to £25k - Head of School **or** Director of Professional Services
- b) up to £100k - Member of Executive Committee **or** Executive Director of Professional Services
- c) up to £500k - Member of Executive Committee **and** Executive Director of Professional Services **and** the Director of Finance
- d) up to £1m - Registrar and Secretary **and** Director of Finance

2.2 It is not envisaged that individual contracts will exceed this level but any such contracts should be referred to the Director of Finance for approval in line with limits set out in 1 above

2.3 All non-budgeted expenditure must be approved by the appropriate member of Executive. Where this will also result in a negative variance to the forecast results for the School or Professional Services area, this must be also approved by the Director of Finance who will seek agreement of the Registrar and Secretary or the Vice-Chancellor.

2.4 The Head of School or Director of Professional Services may delegate items in category 2.1 (a) as appropriate but must inform finance of any such delegation.

2.5 Use of the University purchasing cards already carries authority levels beneath this limit and is not affected by this regulation where significantly lower limits already apply.

2.6 All staff recruitment must be in accordance with the Human Resources policy and utilise the e-procurement system.

3. Research and Enterprise contracts, Consultancy agreements, Commercial Contracts and Agreements and Non-Disclosure Agreements.

3.1 All such contracts must be reviewed by either the Research Contracts office, the Enterprise support team or the Commercial team who will liaise with the University solicitor for a review of the terms and conditions and with the appropriate professional services such as Human Resources for compliance with University policies on staffing as appropriate.

3.2 All contracts in excess of £100k must have a risk assessment done as part of any approval process.

3.3 All contracts that require a matched funding element must be referred to the Director of Finance for approval and signature.

- 3.4 All contracts that contain unusual terms and conditions or onerous responsibilities must be referred to the Director of Finance for approval or signature.
- 3.5 All ERDF contracts must be referred to the Director of Finance for approval and signature.
- 3.6 All other contracts and/or contractual agreements may be authorised as follows:
- a) up to £200k - the appropriate Head of School **or** Director of Professional Services
 - b) up to £500k - Member of Executive **or** (as appropriate) the executive Director of Estates, the Chief Information Officer **or** Director of Research Innovation
 - c) above £500k – the Director of Research and Innovation **and** the Director of Finance
 - d) above £1m – Any two of the following: the Vice Chancellor, the Registrar and Secretary, Director of Finance
 - e) above £5m - the Chair of Deputy Chair of Council
- 3.7 Details of all Research contracts, whether or not signed by the Director of Finance under the delegated powers above, must be notified to the Director of Finance to enable appropriate budgeting and accounting for income and expenditure.

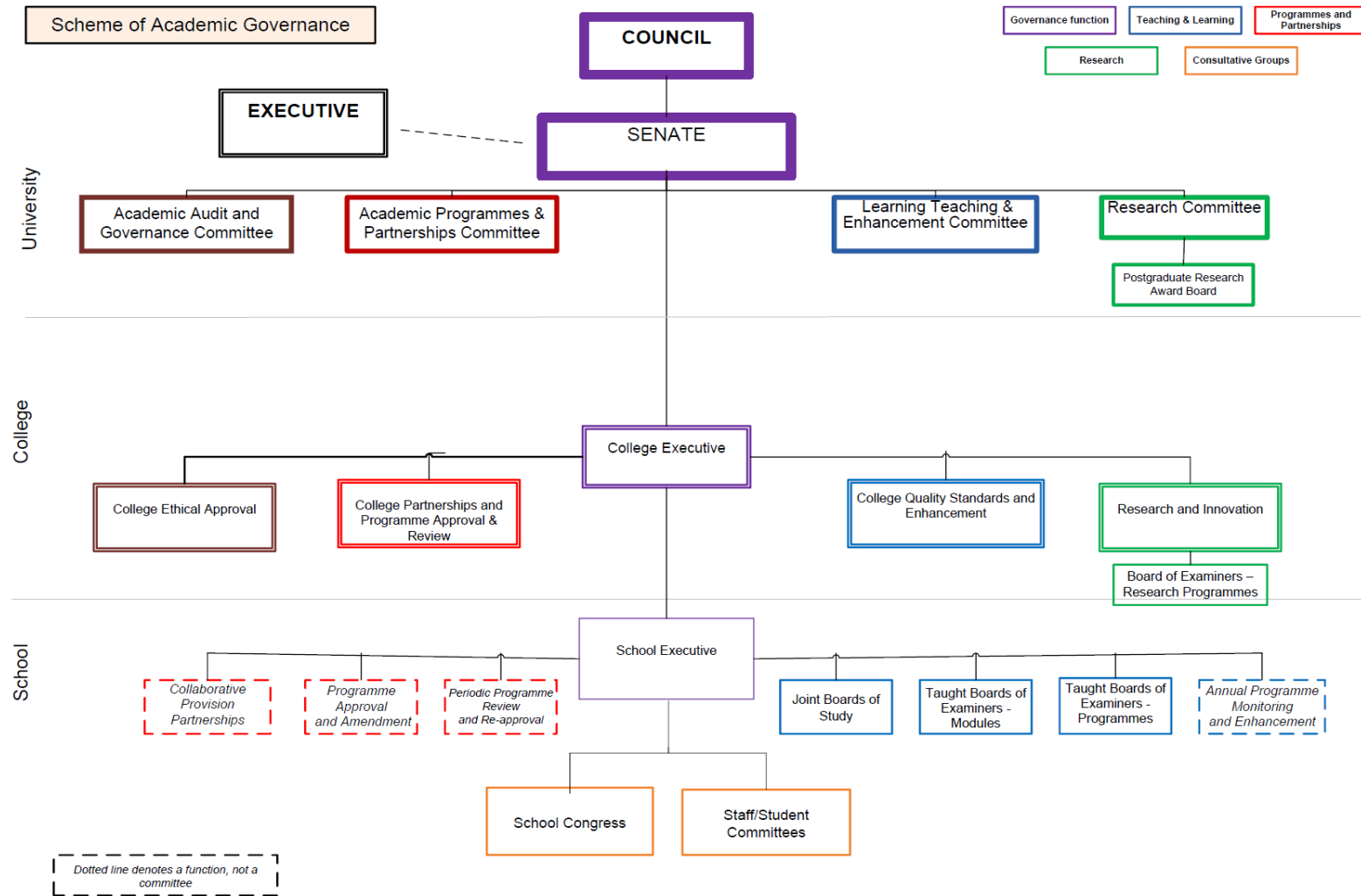
As amended September 2011

SENATE SCHEME OF DELEGATION

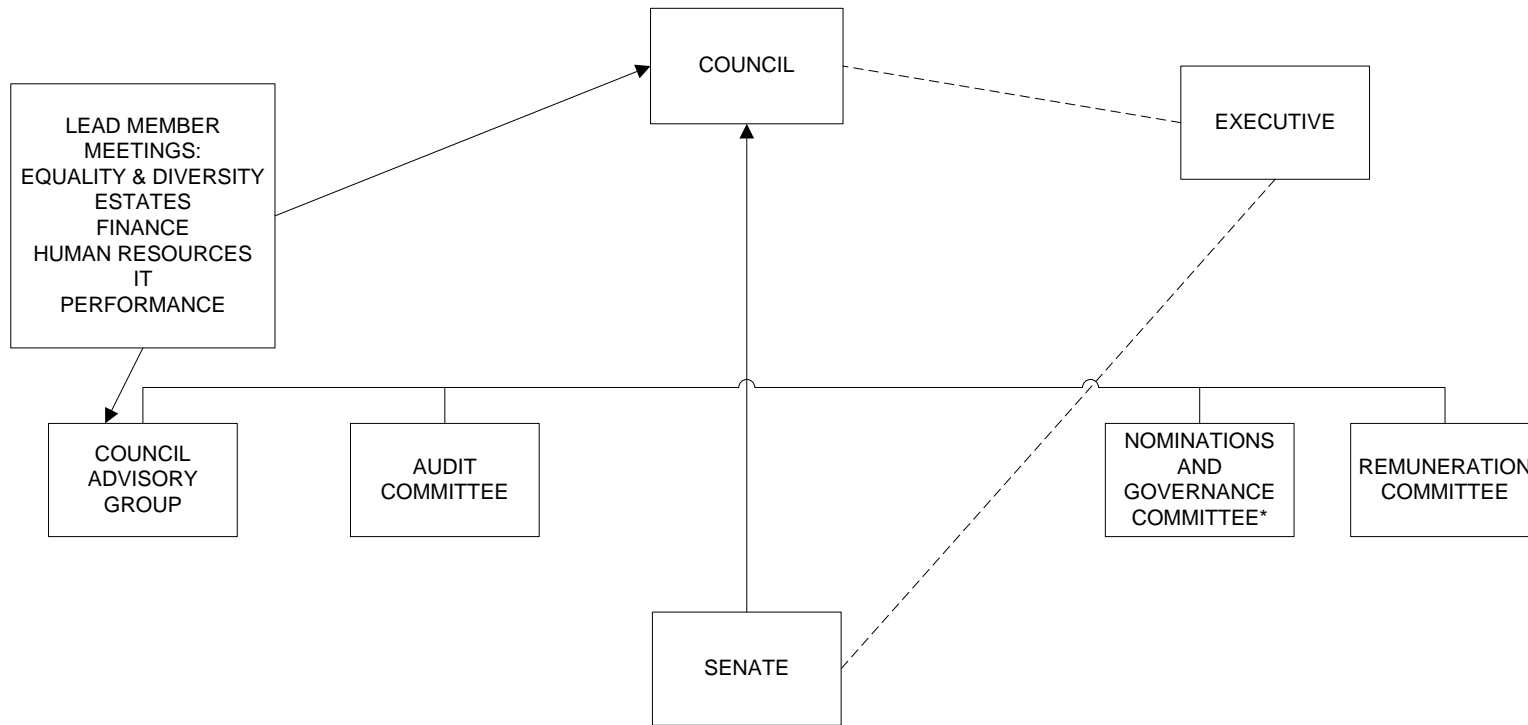
Activity/Authority	Body with authority delegated from Senate
Approve, amend, review and withdraw award and credit bearing provision and related collaborative partnerships	APP Committee, CPPARC and Fast Track Programme Approval Panel and CP Panel.
Award credit and taught qualifications	Boards of Examiners
Award research qualifications	Postgraduate Research Awards Board
Determine ethical approval	College Ethical Approval Committees / AAG Committee (CEAC for Taught Programmes and CRIAEAA Panel)
Determine academic appeals	Academic Appeals panels
Determine student complaints	Designated postholders in accordance with the Student Complaints procedure
Determine fitness for professional practice	Fitness for Professional Practice panels
Determine fitness for professional practice appeals	Fitness for Professional Practice Appeals panels
Determine student discipline	Student Disciplinary Panel
Determine student disciplinary appeals	Student Disciplinary Appeals Panel
Allocate student support funds	Student Support Funds Panel and Appeals Panel

List of Acronyms found in the Delegated Authority – User Guide

AAGC	Academic Audit and Governance Committee
ADU	Academic Development Unit
AH (A)	Associate Head (Academic)
AAGC	Academic Audit and Governance Committee
APPC	Academic Programmes and Partnerships Committee
CEAC	College Ethical Approval Committee
CIO	Chief Information Officer
CPPARC	College Partnerships and Programme Approval Review Committee
CQSEC	College Quality Standards and Enhancement Committee
CRIEEAP	College Research, Innovation and Academic Engagement Ethical Approval Panel
CRAIC	College Research and Innovation Committee
GSU	Governance Services Unit
HERA	Higher Education Role Analysis
HR	Human Resources
HRD	Human Resources Development
HSAG	Health and Safety Advisory Group
LGPS	Local Government Pension Scheme
LTEC	Learning, Teaching and Enhancement Committee
NSS	National Student Survey
PDR	Personal Development Review
PGT	Post Graduate Taught
PPARC	Partnerships and Programme Approval Review Committee
PVC	Pro-Vice-Chancellor
QAA	Quality Assurance Agency
TPS	Teachers' Pension Scheme
UCEA	Universities and Colleges Employers Association



CORPORATE GOVERNANCE STRUCTURE



* Including consideration of Honorary Degree Candidates