



*corporate, financial, estate and human resource management of the institution. And to establish and keep under regular review the policies, procedures and limits within such management functions as shall be undertaken by and under the authority of the head of*

- 2.3 The **Senate** is responsible to the **Board of Governors** for academic governance, and specifically for regulating the maintenance and enhancement of academic standards, the admission of students, the curriculum and its delivery and assessment, and the award of degrees and other qualifications. Operational responsibility for these matters is generally
- 2.4 The **University Executive Group (UEG)** is the advisory body to the Vice-Chancellor to support the exercise of her/his responsibilities. As such, UEG develops and implements the performance. In particular, UEG reviews, approves and implements key University projects, { } and assesses the wider HE policy environment. UEG includes the Vice-Chancellor, the University **Registrar & Secretary** Deputy Vice-Chancellors, the Chief Financial Officer and the Executive Deans.
- 2.5 The **Vice-Chancellor** is the principal, chief executive and senior academic officer of the University and is responsible to the **Board of Governors** operational management within the framework set out in:
- the **University Instrument and Articles of Government**, and **Bye-laws**
  - this **Schedule of Delegation**
  - the **Financial Regulations** (including the **Schedule of Financial Limits**)
  - the **HE Code of Governance**, and
  - the **Terms and Conditions of Funding for Higher Education Institutions and Terms of Conditions of Research England Grant** issued by the Office for Students and Research England

The **Vice-Chancellor** management to members of UEG but retains

- 2.7 The Registrar & Secretary shares the responsibility for the leadership and overall management of the professional services areas with the Chief Financial Officer. The Registrar and Secretary is responsible for the following PSLT services (Academic Registry, Academic Partnerships, Library and Educational Development, Planning and Analytics and Research and Innovation) in accordance with the **Wales Act 2011**. They delegate responsibility for specific aspects of service management to the **Heads of the Directorates** (this term includes chief officers and directors of professional services areas) but remain ultimately responsible for the management and provision of these services. **The Registrar and Secretary acts as secretary to the Board and are the “Secretary” for the purposes of the Instrument.**
- 2.8 The **Chief Financial Officer** In addition the Chief Financial Officer shares joint responsibility for the leadership and overall management of the professional services with the University Registrar and Secretary, specifically Technology and Information Services, Estates and Facilities, Human Resources, Finance and Procurement. They delegate responsibility for specific aspects of service management to the **Heads of the Directorates** but remain ultimately responsible for the management and provision of these services. The Chief Financial Officer is responsible for the **Wales Act 2011** financial strategy, sustainability, management and conduct of the University, the maintenance of its financial records and the production of its financial statements and accounts, in accordance with the **Wales Act 2011** and procedures (including its Financial Regulations), They delegate responsibility for specific aspects of these functions to members of the Finance Department but remain ultimately responsible for the management and provision of these services.
- 2.9 The **Schedule of Financial Limits** (which is contained in Appendix B to the Financial Regulations) sets out the authority required for specified levels of expenditure.

### 3 Exercising Authority under this Schedule

- 3.1 The aim of this Schedule is to provide a clear and transparent line of authority with regard to decision-making. The Schedule aims to provide University staff with assurance and protection by confirming the extent of their authority, alongside providing assurance to third parties and regulators.
- 3.2 Those exercising authority must do so in a consultative manner, obtaining advice and information from colleagues where relevant and adhere to the **Wales Act 2011** principles of public life (i.e. selflessness, integrity, objectivity, accountability, openness, honesty and leadership) and must act in the best interests of the University.
- 3.3 All decisions or actions taken under delegated authority must be recorded in writing and should be open to audit or scrutiny.
- 3.4 Those with

- 3.6 Where a particular body or committee holds authority under this Schedule, the Chair of that body/committee can, in accordance with the Bye-laws, in situations where, for example, the matter is routine and does not require further discussion, or involves the implementation of a decision already taken by the relevant body/committee, or requires immediate action and should not be deferred until the next ordinary meeting of that body/committee (paragraph F6.2 of the Bye-laws). Alternatively, a special meeting of that body/committee may be convened (paragraph F2 of the Byelaws) or a resolution passed by e-mail (paragraph F6.1).

#### 4 Interpretation

For the purposes of interpreting this Schedule (and the Schedule of Financial Limits), please note that unless otherwise expressly stated:

- 4.1 where the - is referred to as the Responsible Authority, they may seek the advice of UEG or specific members of UEG with appropriate authority in making relevant decisions.
- 4.2 where financial limits, amounts or values are specified in this Schedule or in the Schedule of Financial Limits with respect to particular types of contracts, transactions or other matters for authorisation purposes, any assessment of whether any such limit, amount or value has been exceeded or is otherwise applicable should take into account contracts, transactions or matters which are related or which should reasonably be regarded as part of the same substantive transaction or matter. Accordingly, a single contract, transaction or matter should not be sub-divided into smaller components for the purposes of bringing it within 7o6(i)5(t)-nga

3.0	2020	Gordon Stewart/Emma Hellingsworth	Revised version prepared and to be approved by the Board of Governors
4.0	Nov 2021	Louise Parr-Morley/ Emma Hellingsworth	Revised version prepared for approval by the Board of Governors
5.0	April 2023	Gavin Douglas/Emma Hellingsworth	Revised section 7 to include points 2 and 3 . Powers of Attorney. Approved by the Board of Governors in March 2023

## University of Plymouth: Schedule of Delegation

### 1. Governance and Compliance

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
1.1	<b>Instrument &amp; Articles of Government</b> . adoption and revision	Registrar & Secretary to consult Vice-Chancellor and Senate.	Board of Governors; then Privy Council to approve.	Registrar & Secretary.
1.2	<b>University Bye-laws</b> . adoption and revision	Registrar & Secretary to make minor amendments subject to approval of Chair of Board/Chair of Senate (see paragraph J2.3 of Byelaws). Registrar & Secretary to initiate other changes in consultation with Vice-Chancellor and (for provisions <i>re</i> Senate and its committees) Senate.	Board of Governors.	Registrar & Secretary (in line with paragraph J2.3 of Byelaws).
1.3	<b>Change of institutional title</b> (currently %M) q^!•ã Á -ÁJ^ { [ ~ c@D	Registrar & Secretary to initiate; then Vice-Chancellor to make proposals.	Board of Governors, then Privy Council to approve.	Registrar & Secretary.
1.4	<b>Change of trading/operating name</b> & H^} q^!•ã Á -ÁJ^ { [ ~ c@D	Registrar & Secretary to initiate; then Vice-Chancellor to make proposals.	Board of Governors.	Registrar & Secretary.
1.5	Documents to be executed under <b>University seal</b>	Requests for execution of all University deeds to Registrar & Secretary.  Seal to be retained by Registrar & Secretary.	Board of Governors.  Annual report on use of seal to Board of Governors.	Registrar & Secretary to be responsible for custody and use (in accordance with Byelaws). Administrative functions ( <i>including</i> recording use of seal) may be delegated to the Clerk to the Board.
1.6	<b>Board of Governors</b> - (1) terms of reference  composition and membership (For appointments, see Sections 3.4. 3.5)	(As set out in Instrument & Articles and paragraph D1 of Bye-laws) Registrar & Secretary to initiate changes; then Nominations Committee to make recommendation.	Terms in Instrument & Articles: Board of Governors; then Privy Council to approve.  Terms in Byelaws: Board of Governors.	Registrar & Secretary.

1.7	<b>Board Committees</b> - formation, designation, terms of reference, composition/membership, deletion	(As set out in paragraph D of Bye-laws) Registrar & Secretary to initiate changes; then Nominations Committee to make recommendation.	Board of Governors.	Registrar & Secretary.
1.8	Processes to <b>monitor/evaluate performance</b> and effectiveness of: <b>(1) Board of Governors</b> <b>(2) Board Committees</b>	Registrar & Secretary to initiate. Nominations Committee to supervise.	Board of Governors.	Registrar & Secretary and relevant Committee Chair. (1) Annual internal effectiveness reviews and external reviews every four years. (2) Internal effectiveness reviews at least every two years.
1.9	<b>Register of Interests</b>	Governors to complete on initiation and update as necessary. Annual update to Registrar & Secretary.		

1.12	Compliance with the Terms and Conditions of OfS Funding for HEIs and related financial requirements (including & { ]  ã) &^Á ãÖã ã•Áe Á-Ùq Á Accountable Officer	Chief Financial Officer to initiate.	Vice-Chancellor (as accountable officer).  Vice-Chancellor to report to, and consult, Board of Governors if any actions/ proposals non-compliant.	Chief Financial Officer.
1.13	Compliance with <b>CUC HE Code of Governance</b>	Registrar & Secretary to initiate supervise annual review and report to Board of Governors via the Audit Committee.	Board of Governors (following recommendation of the Audit Committee)	Registrar & Secretary. Administrative functions may be delegated to the Clerk to the Board.
1.14	<b>Charities Acts</b> requirements	Vice-Chancellor, Registrar & Secretary, Chief Financial Officer or Head of Legal and Compliance to initiate; then Vice-Chancellor to make recommendation to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	Registrar & Secretary. Functions may be delegated to Head of Legal and Compliance (as appropriate).
1.15	<b>Information Governance, including Data Protection</b> , <i>including</i> : (1) information and information governance/data management, quality and security issues; Freedom of Information ( <i>including</i> classification of information and University Publication Scheme)	Registrar & Secretary (as Senior Information Risk Owner) to initiate, in consultation with the Director of IT and Data Protection Officer (1) Information and Digital Committee to consider and make recommendation to Vice-Chancellor. (3) Data Protection/Freedom of Information Specialist.	Board of Governors (taking account of recommendation by the Audit Committee)  Vice-Chancellor.  Annual Information Governance Update to Audit Committee.	(1) IT Director or Data Protection Officer (2) Signatory and implementation of data sharing agreements: Relevant Executive Dean/Head of Directorate. (3) Registrar & Secretary. Functions may be delegated to Data Protection/Freedom of Information Specialist. Chief Financial Officer to carry out FoI internal reviews, following an appeal against a decision.

1.16 **Health and Safety** of staff, students and third parties on University or related premises (*including*



1.17 **Regulatory licences/ethical approvals**  
and sponsorship of clinical investigations,  
research and clinical trials involving  
human participants (*includes approvals*)

2.2 Monitoring and **evaluation** of  
W<sup>1</sup> a<sup>1</sup> • a<sup>1</sup> A<sup>1</sup> i<sup>1</sup> i<sup>1</sup> a<sup>1</sup> & A<sup>1</sup> a<sup>1</sup> • **KPIs**  
and approved plans (to be benchmarked  
against comparable institutions)

UEG to supervise and report to Board  
of Governors on annual basis or as

**3. Staff and Human Resources**

	<b>Key Decision or Activity</b>	<b>Initiating Authority (i.e., first port of call)</b>	<b>Responsible Authority (body with ultimate responsibility)</b>	<b>Implementation/Signing Authority</b>
--	---------------------------------	------------------------------------------------------------	----------------------------------------------------------------------	---------------------------------------------

3.1 (1)

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (body with ultimate responsibility)	Implementation/Signing Authority
3.5	<p>Appointment, appointment terms (<i>including</i> audit fees, audit strategy, nature/scope of audit and provision of non-audit services), appraisal and dismissal/removal/ resignation of:</p> <p><b>(1) external auditors</b> <b>(2) internal auditors</b></p>	<p>Chief Financial Officer to initiate. Audit Committee to review and make recommendation (after appointment/ procurement process). Tendering for the external audit function to be overseen by Audit Committee in line with OfS/CUC guidance.</p>	<p>Board of Governors (taking account of recommendation of Audit Committee).</p>	<p>Chief Financial Officer to give subsequent directions to, appraise and supervise internal/external auditors and to report any issues to Audit Committee. Any proposal for termination of appointment to be reported by Audit Committee to Board of Governors for approval.</p>
3.6	<p>Appointment, induction/training, appraisal, grievance, discipline, suspension and dismissal/removal/ resignation/voluntary severance of:</p> <p><b>(1) Chair of Board of Governors</b> <b>(2) Vice-Chair of Board of Governors</b> <b>(3) Senior Independent Governor</b></p>	<p>Appointment/election process in accordance with paragraph G3 (for Chair) or G4 (for other officers) of Byelaws.  Nominations Committee to supervise process and make recommendation.</p>	<p>Board of Governors (taking account of recommendation of Nominations Committee).  Current Chair of Board may provide background information to candidates for role of Chair but must not to participate in decision to appoint successor. Neither Chair nor Vice-Chair to participate in appointment of Senior Independent Governor</p>	





**Key Decision or Activity**

**Initiating Authority**





	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority body with ultimate responsibility	Implementation/Signing Authority
4.5	Regulations relating to <b>research</b> /research degrees . adoption, publication, revision and deviation/waiver	Deputy Vice-Chancellor (Research & Enterprise) to initiate and make proposals to Research & Innovation Committee (in line with its terms of reference). If minor changes, Research & Innovation Committee to agree. If major changes, Research & Innovation Committee to make recommendation to Senate.	Senate (taking account of recommendation of Research & Innovation Committee for major changes).	Deputy Vice-Chancellor (Research & Enterprise) who may delegate to relevant Executive Dean or Head of School.

4.6 **Establishment** (*including* approval of constitution), material **restructuring and closure/dissolution of faculty, school or institute**, and any other academic restructuring (*excluding* suspension or closure of facility, school or institute or activity on health and safety grounds - see Section 1.17. closure or suspension of programme - see Section 4.7)

			rise to reputational impact, or which might lead to significant redundancies.	
4.8	Adoption and revision of policies and			

5 Financial

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
5.1	Adoption and revision of: <b>(1) medium term financial strategy</b> <b>(2) annual and five year financial plans</b> , estimates of income and expenditure, and budgets (capital and revenue)	Chief Financial Officer to initiate; then Vice-Chancellor to make recommendation to Finance Committee.	Board of Governors (taking account of recommendation of Finance Committee).	Chief Financial Officer to prepare detailed budgets within overall budget framework ( <i>including</i> budgets for faculties, schools, institutes and directorates) and to monitor expenditure against budgets.
5.2	<b>Financial Regulations</b> and procedures: (1) adoption and revision (2) compliance and interpretation	(1) Chief Financial Officer to initiate; then Vice-Chancellor to make proposals to Finance Committee. (2) Chief Financial Officer in consultation with Registrar & Secretary.	(1) Board of Governors (taking account of recommendation of Finance Committee). (2) Vice-Chancellor.	(1) and (2) Cb1 and (2) t.91 T9F2es) and



	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
5.5	Approval of <b>financial statements</b> and accounts of <b>University subsidiaries</b> or other companies/entities in which the University has a direct equity holding, other stake or management role ( <i>including</i> spin-outs)	Chief Financial Officer to initiate and, subject to Vice-Chancellor's approval, submit to: Finance Committee Audit Committee	Board of Governors to note (taking account of recommendation of Finance	

## 6 Academic Partnerships and Other Collaborations

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
--	--------------------------	----------------------------------------------------	--------------------------------------------------------------------	----------------------------------

- 6.1 Adoption/revision of **standard form agreements for academic partnerships/ collaborations, including:**
- (1) academic co-operation agreement with UK, overseas and other parties
  - (2) student progression/articulation agreement
  - (3) student exchange/overseas study agreement
  - (4) memorandum of understanding

	Key Decision or Activity	Initiating Authority (i.e., first port of call)	Responsible Authority (i.e., body with ultimate responsibility)	Implementation/Signing Authority
--	--------------------------	----------------------------------------------------	--------------------------------------------------------------------	----------------------------------

6.3 Authorisation/revision of **other UK or**

**7. Other Transactions, Contracts and Arrangements (See also Schedule of Financial Limits)**

	<b>Key Decision or Activity</b>	<b>Initiating Authority (i.e., first port of call)</b>	<b>Responsible Authority (i.e., body with ultimate responsibility)</b>	<b>Implementation/Signing Authority</b>
7.1	(1) Award of <b>honorary</b> degrees, fellowships and other awards	Director of External Relations to initiate; then Honorary Awards Committee to agree criteria, approve and make recommendation.	Senate to comment on proposals. Board of Governors to approve	
	(2) Revoking honorary degrees, fellowships and other awards	Proposals in writing to the University Registrar & Secretary.		

7.4	<b>Revision of:-</b> <b>(1) This Schedule of Delegation</b> <b>(2) The Schedule of Financial Limits</b>	(1) Registrar & Secretary or (2) Chief Financial Officer to initiate; then Vice-Chancellor to make recommendation to Audit Committee.	Board of Governors (taking account of recommendation of Audit Committee).	(1) Registrar & Secretary (2) Chief Financial Officer.
7.5	<b>Interpretation of:</b> <b>(1) This Schedule of Delegation</b> <b>(2) The Schedule of Financial Limits</b>	User to initiate and consult:- (1) Registrar & Secretary. (2) Chief Financial Officer.	(1) Registrar & Secretary. (2) Chief Financial Officer.	(1) Registrar & Secretary. (2) Chief Financial Officer.