



Bangor University

Scheme of Delegation and Decision-Making Powers

Date	Purpose of Issue/Description of Change	Equality Impact Assessment Completed
12 th April 2019	Initial Issue	

Policy Officer	Senior Responsible Officer	Approved By	Date
Head of Governance and Compliance	University Secretary	University Council	12 th April 2019

This Policy will be reviewed in a year.

Bangor University

Scheme of Delegation and Decision-Making Powers

1. Introduction

The University is an independent corporation, whose legal status derives from a Royal Charter originally granted in 1885. It was registered as a charity (number 1141565) in 2011. Its objects, powers and framework of governance are set out in the Charter and its supporting Statutes, to which amendments are approved by the Privy Council from time to time.

The Council is the governing body, and is the supreme authority, responsible for the finance, property, investments and general business of the University, and for setting the general strategic direction of the institution.

The purpose of this document is to identify the responsibilities and delegated authorities for making key decisions in the name of, or on behalf of, Bangor University. Particular emphasis is given to those decisions taken by, or delegated from, the University Council, but the document also details other responsibilities for key decisions, in accordance with University Statutes, Ordinances and published policies.

This Scheme is not exhaustive but seeks to provide clarity on the decision-making process and final authorities in relation to key strategic and policy matters, whilst providing a framework to inform decision-making in other areas.

2. Key Principles

1. This Scheme has been prepared with careful reference to the University's Charter, Statutes and Ordinances. It should be noted, however, that the latter constitute the overriding authority, should there be any contradiction.
2. Where the Council has chosen to delegate the approval and execution of a decision or process they retain ultimate accountability and corporate responsibility for that decision or process, and this delegation can be withdrawn at any time.
3. Unless the Charter, Statutes or Ordinances require Council to work with the Chancellor, Vice-Chancellor, Senate or other parties with regard to key decisions or processes, it should be assumed that Council reserves the right of authorisation in areas where it has ultimate authority.
4. As the chief executive and senior academic officer of the University, the Vice-Chancellor is responsible to the University Council – within the framework laid down by the Charter, Statutes and Ordinances, the Memorandum of Assurance and Accountability and the Financial Management Code between the University and HEFCW, the University's Financial Regulations and this Scheme of Delegation and Decision-making Powers – for the operational management of all aspects of the University's work. The Vice-Chancellor may delegate responsibility for specific aspects of the University's management to the Executive, to University Officers and Deans, but retains ultimate responsibility.

5. The Deans are responsible to the University Council (through the Vice-Chancellor) for the leadership and overall management of their respective colleges in accordance with their job descriptions and the policies and Financial Regulations of the University. They may delegate responsibility for specific aspect of college management to the Deputy Deans and other members of the college executive team (or equivalent) but retain ultimate responsibility for the management of their colleges.
6. Individual Directors of Professional Services are responsible to the University Council (through the Vice-Chancellor) for the leadership and overall management of professional services in accordance with their job descriptions and the policies and Financial Regulations of the University. They may delegate responsibility for specific aspects of the service to deputy directors / heads of services, but retain ultimate responsibility for the management of their services.
7. Where delegated power exists, it is imperative that the senior manager to whom authority has been delegated ensures that appropriate frameworks and procedures are in place within their area of responsibility before delegating further. Furthermore, any further delegation of responsibility must also be subject to, and informed by, overarching standard University procedures for financial transactions and policy matters.
8. The Senate's powers are defined by the Charter, as *being the academic authority of the University, responsible for the academic work both in teaching and research and for the regulation and superintendence of the education and discipline of students. The Senate may exercise such other functions as may be conferred upon it by the Ordinances.* Senate may delegate certain of its powers to sub-committees or college boards, and Senate also has the right to discuss and declare an opinion on any academic matter relating to the University which the University Council shall take into consideration. With regard to academic matters the Vice-Chancellor is the ex officio Chair of Senate and may therefore, where necessary for the good of the University, take decisions within the purview of Senate on its behalf (such decisions to be reported to the next meeting of Senate).
9. Except as otherwise provided, individuals and bodies in whom authority is vested by this Scheme of Delegation and Decision-making Powers may sub-delegate to others provided that such sub-delegation is consistent with the financial and other regulations and recorded and reported to the relevant corporate service (for example the Director of Finance in respect of financial authority levels).
10. In the event of a major incident or crisis, it is recognised that decisions may need to be made by exception to the normal procedures outlined within this Scheme. A number of arrangements are in place to support such circumstances. Specific authorities and responsibilities in the event of a major incident or crisis are outlined in the University's Emergency Management Policy.
11. This document will remain a live document and will be regularly updated as appropriate. The latest version will be held by the University Secretary and will be subject to annual review by the Nominations & Governance Committee.

3. Format of the Scheme

The main framework of the Scheme outlines decision-making powers across the following three broad categories:-

a) Authorities of / Stipulated by the University Council

Elucidation of the primary responsibilities of Council as defined in Statute 12 and Ordinance 3 including details of any delegation of responsibilities determined by Council.

b) Authorities Stipulated by Statue and Ordinance

Other than responsibilities of Council covered in a) above, other statutory and delegated decision-making powers which are set out in the University's Charter, Statutes and Ordinances and which cannot therefore be amended without Council, Court and / or Privy Council approval.

c) Other Key Decision-making Powers

These are authorities and processes which, although not formally recorded in statute or ordinance, nor relating directly to the responsibilities of Council, are nonetheless key elements of the University's decision-making structure and are included in this Scheme as a useful source of reference.

4. Definitions

"Authority": refers to derived or delegated power. In the case of delegated authority, this is the authorisation of another individual to act on the main authority's behalf right through to the conclusion of the delegated decision or process, subject to any limits defined.

"Routed via": applies to committees or individuals who have no formal authority, but have the right to comment, and for those comments to be taken into account, before a final decision is taken.

"Recommendation from": applies to committees or individuals who do not have the final decision-making power, but who nonetheless play a formal part in the approval process. Such committees or individuals recommend decision or policies for final approval.

"Report to": applies to committees or individuals who have no formal authority, but should be made aware of the matter in question either prior to or after a decision being taken, as appropriate.

“Responsibilities”: where referred to in related sections of the Charter, Statutes or Ordinances, may include descriptions of the role, general duties of rights of the body or individual concerned (e.g. the responsibilities of the Treasurer as set out in Statute IV and Ordinance XXIV).

5. Subsidiary Companies

Wholly owned subsidiaries are governed by their own Boards as far as their operations are concerned. In this context, it is expected that any delegations they put in place will be consistent with those outlined for the University in this document.

The University does establish a control framework within which they must operate. This consists of the following elements:-

- a) All Directors and the Chair shall be appointed by the Nominations & Governance Committee on behalf of the Council.
- b) The Articles will establish limits on their sphere of operation that cannot be amended without Shareholder and University consent.
- c) They must annually submit a Business Plan that will be subject to review by the Finance & Resources Committee from which a budget will be agreed.
- d) They may periodically be asked to provide a Strategic Plan, or an update of the same.
- e) All financial dealings will be undertaken through the Finance Office, including payroll, payments, processing of income, cash, banking etc. Any increase in loan or credit facilities will require support from the Finance & Resources Committee.

6. Delegation to the Chair

Ordinance XXXII states:

The Chairs of the Council, the Senate and each Committee thereof are hereby authorised to decide urgent matters on behalf of the body which they chair.

For the purposes of this Ordinance, 'urgent matters' shall be deemed to constitute:

- (a) matters relating to the detailed implementation of issues and policies already determined by the body concerned*
- (b) the conduct of routine, non-controversial business, or*
- (c) matters in respect of which delay would be liable to create undue difficulty and/or prejudice the interests of the University.*

Any executive action taken by a Chair under the terms of this Ordinance shall be reported in writing to the next scheduled meeting of the body concerned.

Before taking such executive action, the Chair may consult informally with such members of his/her Committee as he/she deems appropriate.

Any Chair who considers that an urgent matter referred for executive decision merits consideration by the body concerned shall have the power to convene a special meeting of the body to consider that specific matter. Any such special meeting shall take place within 7 days of the Chair deciding to convene the meeting, irrespective of the provisions of any relevant Standing Orders of that body which shall be deemed to be suspended to permit the meeting to take place.

7. Urgent Circumstances

In the absence of a defined principle of delegated authority, or in the event of an uncertainty as to whom a decision or process should be delegated, a guiding principle should be to 'refer upwards'. Those people or groups to whom responsibility for decision-making has been delegated must not delegate the decision further without approval.

In the absence of the final authority and the delegated authority, decisions must be escalated to the Vice-Chancellor or Chair of Council as appropriate.

8. List of Final and Delegated Authorities

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
8.1	Governance, management and control			
	Amendments to Charter	Privy Council		Charter XXII, by Special Resolution of the Court, routed via Senate and Council
	Amendments to Statutes	Privy Council		Charter XVI by Special Resolution of Council routed via Senate and Court
	Execution of the responsibilities of Council	Council	Chair of Council (Ordinance XXXII) Council Committees (as specified) (Ordinance XXXII)	Statute XI and XII and Ordinance XIII In addition the Council has elected to delegate certain of its responsibilities to its committees as specified in Ordinance XVI
	Execution of the responsibilities of the Executive	Council	Task Groups (as specified) (Ordinance XXXIII)	Ordinance XXXIII

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
			Boards, Steering Groups or Committees (as specified) (Ordinance XXXIII)	
	Approval of new and amended Ordinances	Council	Nominations & Governance Committee	Charter XVII and Statute XXIII. Ordinance XV. On recommendation of the Nominations & Governance Committee.
	Approval of new and amended Regulations	Senate		Charter XVIII
	Approval of new and amended Standing Orders	Council		Charter XIX
	Use of the University Seal	Council	Sealing Committee	Charter XII and Statute XII
	Standing Orders and Terms of Reference for University Committees	Council		Ordinance XVI In the case of committee membership for Council members this is recommended to Council by the Council Nominations Committee Senate Appointments to Council Committees are recommended to Senate by the Senate Nominations Committee

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Declarations of Interest	University Secretary	Head of Governance and Compliance	Ordinance XXIII - each year the Governance and Compliance Office, on behalf of the University Secretary, will ask all Council and Executive members to complete / update a Register of Interests Form
8.2	Strategy and Policy Development			
	Approval of University Strategic Plan and associated strategies	Council	Strategy and Performance Committee	Ordinance XVI Council on the recommendation of the Strategy Committee Routed via the Executive and via Senate / Council Committees as appropriate
	Approval of Annual Assurance Return and Financial Forecasts to HEFCW	Council		Financial Forecasts routed via Finance & Resources Committee. Council approval stipulated by HEFCW in the Financial Memorandum
	Approval of Risk processes	Council		Routed via Audit & Risk Committee

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Approval of Corporate policies that impact significantly on the working conditions or environment for staff and students, and / or policies impacting upon the University's brand and / or reputation	Council		Routed via Executive and other Senate / Council committees as relevant
	Approval of other corporate policies related to specific areas or more operational matters	Executive		Routed via relevant Task Group as appropriate
8.3	Appointments and Staffing Matters			
	Appointment of the Chancellor	Court		Statute II on the nomination of the Council
	Appointment of the Treasurer	Court		Statute IV on the nomination of Council
	Appointment of lay members of Council	Council	Nominations and Governance Committee	Ordinance XXXI Council on the recommendation of the Nominations & Governance Committee

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Appointment of persons to represent the University of various bodies and subsidiary companies	Council	Nominations and Governance Committee	Ordinance XVI Council on the recommendation of the Nominations and Governance Committee
	Appointment of non-academic staff on Council	Council		Statute XXIX on nomination from the University Secretary following a ballot
	Appointment of the Vice-Chancellor	Council	Council Appointment Committee	Statute V and Ordinance VI Council on the recommendation of an Appointment Committee of Council
	Appointment of Pro-Vice-Chancellor(s) and Deputy Vice-Chancellor	Council		Statute VI Council on the nomination of the Vice-Chancellor routed via Senate
	Appointment of the University Secretary	Council		Statute VII and Ordinance VII Council on the recommendation of an appointment Committee of Council
	Appointment of the Auditor or Auditors	Council	Audit & Risk Committee	Statute VIII and Ordinance XVI appointed annually by the Council

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Appointment of Dean(s) of College	Council		Ordinance XX appointed by the Council on the recommendation of the Vice-Chancellor.
	Appointment of Heads of Schools within Colleges	Council	Vice-Chancellor (Ordinance XXA)	Ordinance XXA by the Vice-Chancellor on the nomination of an Appointment Panel
	Appointment of Personal Chairs, Honorary Professors, Research Professors, Visiting Professors and Readers	Council	Professors and Readers Committee	Ordinance XXII Reported to Council
	Appointment of established Chairs	Council	Executive routed via an Appointment Committee	Ordinance XXI Reported to Council
	Salaries of professorial staff and senior officers	Council	Remuneration Committee shall consider the Vice-Chancellor, members of the Executive and staff in receipt of salaries of £100,000 and above Senior Staff Pay Review Group shall	Ordinance XVI The Council shall receive an annual report from the Remuneration Committee

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
			consider salaries of staff in receipt of salaries between the top point of the Single Spine and £100,000	
	Redundancy Process	Council	Redundancy Committee	Statute XX (Part II) Council on the recommendation of the Redundancy Committee.
	Staff dismissal, disciplinary and grievance procedures	Council		Statute XX
	Award of honorary fellowships and degrees	Council	Honorary Degree & Fellowships Committee	Ordinance XVI – reported to the Council
	Approval of outside work / consultancy by University Staff	Deans of College / Directors of Central Services	Heads of School	University Policy on Consultancy
	Approval of Terms and Conditions of service, including remuneration, retirement/redundancy compensation packages	Council	Director of Human Resources	Financial Regulations (Section 7)

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
8.4	Student Matters			
	Student Discipline	Council	Vice-Chancellor Disciplinary Officers Board of Discipline Board of Appeal	Statute XXII and Ordinance I
	Approval of Student Tuition Fee rates	Council	Finance & Resources Committee	Ordinance XVI Finance & Resources Committee to approve mechanisms for setting tuition fees
	Approval of Student Residential Fees	Council	Finance & Resources Committee	Ordinance XVI Finance & Resources Committee to approve mechanisms for setting other fees
	Approval of External Examiners	Senate	Chair of QA & Validation Task Group	Senate Validation Manual
8.5	Budgetary and financial matters			
	Management of revenue, property and investments	Council	Executive Finance & Resources Committee	Ordinance XXXIII and XVI Council and the Financial Regulations
	Approval of Annual Accounts	Council	Finance & Resources Committee Audit and Risk Committee	Ordinance XVI Council on the recommendation of the Finance & Resources Committee / Director of Finance

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Creation of new enterprises or companies	Council	Finance & Resources Committee	Ordinance XVI Council on the recommendation of the Finance & Resources Committee
	Approval of annual budgets	Council	Executive	Ordinance XXXIII – The executive allocates resources, sets budgets and monitors financial performance
	Assurances on satisfactory financial and other internal control systems	Council	Audit & Risk Committee	Ordinance XVI Council on the recommendation of the Audit & Risk Committee
	Accounting Officer for the University	Vice-Chancellor		Financial Regulations
	Treasury management within overall treasury strategy, including investments	The Director of Finance	Bank signatories as agreed by Finance & Resources Committee	Financial Regulations
	Establishment of borrowing limits	Council	Finance & Resources Committee	Ordinance XVI
	Establishment of borrowing facilities	Council	Finance & Resources Committee	Ordinance XVI
	Approval of sale of equity or transfer of business in University companies	Council	Finance & Resources Committee	Ordinance XVI

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Acceptance of donations and endowments	The Council	Executive Director of Development and the Vice-Chancellor for Gifts under £500,000 The Executive for Gifts over £500,000, reported to the Council	Gift Acceptance Policy
	Write off bad debt	Council	Up to £100 (one hundred) Heads of Resource Centres with the approval of the Director of Finance Up to £1,000 (one thousand) require a report to the Finance and Resources Committee by the Director of Finance Over £1,000 (one thousand) Director of Finance with approval	Financial Regulations

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
			from the Finance and Resources Committee	
	Authorisation of Contracts or Deeds under Seal	Council (including University Seal)	Two Council Members & University Secretary	Financial Regulations
	Commitment and purchases of goods and services (when within budget, or else approval of relevant Executive member required)	Director of Finance	Dean/Director of Professional Services <£100k Head of School/Professional Services <£25k	Financial Regulations (Section 6)
	Lease Agreements (non-property)	Director of Finance	Deputy Director – Finance	Financial Regulations
	Appointment of University Pension Trustees	Council	Nominations & Governance Committee	
	Management of the Bangor University Pension Scheme	BU Pension Scheme Trustees		
	Management of Bangor University's USS responsibilities	Council	Finance & Resources Committee	Ordinance XVI Council on the recommendation of the Finance & Resources Committee

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
8.6	Capital Programme and Estates Matters			
	Approval of Capital Projects	Council	Capital Programme Board, reported to Finance & Resources Committee	Project Management Framework stipulates the categorisation of Projects and the authority required
	Acquisition of property and land	Council		Ordinance XVI By full Council only
	Disposal of property and land	Council		Ordinance XVI By full Council only
	Other Estates related contracts (e.g. building contracts, utilities contracts)	Council	Director of Property and Campus Services	Financial Regulations (in accordance with Appendix A of the Regulations)
	Oversight of University owned residential accommodation and catering and hospitality services	Council	Finance & Resources Committee	Ordinance XVI Council on the recommendation of the Finance & Resources Committee
	Maintenance of a Fixed Asset Register for all equipment valued at over £1,000	Director of Property and Campus Services		Financial Regulations (Section 13)

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
8.7	Contracts, Agreements and Licences			
	Approval of contracts and agreements (not otherwise specified in this Scheme)	Council	Vice-Chancellor University Secretary Director of Finance All contracts under seal require approval by Council or Delegated Members	Financial Regulations
	Research and research-related contracts and agreements	Council	Director of Finance >£1m Deputy Director – RIIO <£1m	Financial Regulations
	Employment related contracts	Council	Director of Human Resources	Financial Regulations
	Agreements for the provision of services by the University	Director of Finance	Deputy Director – Finance <£1m	Financial Regulations (Section 10)
	Approval of regulatory licences (human tissue, Animal (Scientific Procedures) Act etc.)	Establishment Licence Holder		

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Approval of requests from third parties to use the University's copyright	Director of Library and Archives		
8.8	Media and Information Matters			
	Filming Agreements	Director of Communications and Public Affairs		
	Authorisation of media releases	Director of Communications and Public Affairs		
	Approval of the use of the University crest / logo	Director of Communications and Public Affairs		
	Classification of information under the Freedom of Information Act (Bangor University Publication Scheme)	University Secretary	Head of Governance and Compliance	
	Application of sanctions relating to individual access to University library services and facilities	Director of Libraries and Archives		

		Final Authority	Delegated Authority (if any)	Delegation Limits, Context and Process
	Application of sanctions relating to the Information Security Policy	University Secretary / Director of IT Services	Head of Governance and Compliance / Deputy Director IT Services	
	Approval of external use of University computing and software facilities	Director of IT Services		
8.9	Legal Obligations			
	Oversight and management of Health and Safety Legislation and the University's Health and Safety Policy	Council	Health and Safety Committee	Ordinance XVI Council on the recommendation of the Health and Safety Committee
	Oversight and management of the requirements of the Welsh Language Act	Council	Bilingualism Committee	Ordinance XVI Council on the recommendation of the Bilingualism Committee