

Schedule of Delegated Authority – Explanatory Notes

Introduction

1. This Schedule records the delegated authority for decisions taken in the name of or on behalf of the University Court.
2. The provisions of the Charter, Statutes, Ordinances and Regulations will always take precedence over the Schedule. The Schedule is not intended to include areas of decision-making or responsibility where the Court's authority is already delegated via these governing instruments.
3. Faculties and Directorates may develop and maintain their own internal documentation describing processes for developing strategic, policy and business proposals but should refer to the University's governing instruments and this Schedule to note where final decision-making authority rests.

Court's primary responsibilities and the principles of delegation

4. The Court is the governing body of the University, with overall responsibility for the general supervision, direction and control of the University. Its powers and functions are described in the University Charter and Statutes.
5. However, it is not practical for the Court to make every decision that is required, and the Court has agreed to delegate authority for certain decisions and certain areas of responsibility to appropriate individuals and committees. Where this is the case, it is recognised that Court retains the ultimate accountability and corporate responsibility for any decisions made on its behalf.
6. In accordance with the University's Charter, the Court may not delegate responsibility for any of the following:
 - a) determination of the character and mission of the University
 - b) ensuring the solvency of the University and for safeguarding its assets, including the appointment of auditors, the establishment of an audit committee and the approval of the University's annual audited accounts
 - c) making alteration, amendment or addition to the Charter or the Statutes
 - d) appointment and removal of the Principal or University Secretary
 - e) reducing the academic staff of the University as a whole or of any faculty, school or department by way of redundancy
7. The University Court has agreed a *Statement of Primary Responsibilities*, which is available [on the University's website](#) and should be read in conjunction with the Schedule set out below.
8. The University's Charter and Statutes can also be accessed [on the University's website](#).

Convener of Court

9. The Convener of Court is responsible for the leadership of the Court, for the efficient and effective conduct of its business and for representing the Court within the University's system of governance. Court delegates authority to the Convener of Court to take decisions on behalf of Court in relation to both routine and non-routine matters of business on the understanding that all such action is reported to the next meeting of Court.

Principal and Vice-Chancellor

10. As the principal academic and administrative officer of the University, the Principal is directly responsible to the Court for the general supervision of the University, its finances and its efficiency and good order.
11. Under this Schedule, and subject to the Charter and Statutes, Court delegates full authority to the Principal to act on its behalf in order to exercise these responsibilities, subject to the following principles:
 - a) The Principal will at all times act in accordance with the best interests of the University and be mindful of the importance of preserving and enhancing the University's reputation
 - b) The Principal will act within the terms of the prescribed conditions of their appointment
 - c) The Principal's actions must be:
 - i. consistent with the University's budget, as approved by Court;
 - ii. consistent with the University's strategic plans and objectives;
 - iii. consistent with accepted standards of behaviour in public life; and
 - iv. compliant with relevant legislation and externally prescribed conditions, including the Principal's responsibilities as designated accounting officer under the Scottish Funding Council Financial Memorandum.
 - d) The Principal will report to each meeting of Court all significant actions taken on its behalf, and will be accountable to Court for such actions
 - e) In cases of doubt, or in regard to novel or potentially contentious matters, the Principal will consult with the Convener of Court, Vice-Convener or an alternative lay member, prior to exercising their delegated authority
 - f) In the Principal's absence, their authority may be delegated to the Vice-Principal, acting on the Principal's behalf.

Senate

12. The Senate is the academic authority of the University. In accordance with the Charter and Statutes and subject to the general control and approval of Court, Senate is responsible for the academic work of the University, in teaching, research, and in knowledge exchange, and for the regulation and oversight of the education and discipline of students. The full powers and functions of Senate are described in Statute. Operational responsibility for these matters may be delegated by Senate.

This Schedule of Delegated Authority was approved by the University Court in November 2019 and has effect from 1 December 2019. The Schedule will be reviewed annually.

SCHEDULE OF DELEGATED AUTHORITY

The following principles apply to the granting and use of Delegated Authority:

- a) Court may choose to review or rescind authority delegated under this Schedule.
- b) Individuals and Committees exercising authority delegated to them must do so in accordance with the University's strategic ambitions and with all relevant University Regulations, Policies, Procedures and Guidance.
- c) Particular attention should be paid to procurement law and guidance. In case of any doubt, the University's Head of Procurement should be consulted, in order to establish the appropriate procurement processes that must be completed for a given item of expenditure.
- d) The use of Delegated Authority should be reported to Court, as appropriate, including any decisions that entail significant novel actions and/or unusually high expenditure or a high degree of financial or reputational risk. All uses of Delegated Authority by committees of Court will be reported as a matter of course through their reports to Court.
- e) In potentially contentious matters, or for decisions where Court would be reasonably expected to have a significant interest, it may be appropriate to seek Court approval even where authority is normally delegated and even when spending within the Court-approved budget.
- f) Except as otherwise provided, individuals and committees in whom authority is vested by the Schedule may sub-delegate to a nominee provided that such sub-delegation is consistent with relevant financial and other regulations and is recorded and reported appropriately. Where sub-delegation occurs, the individual or committee named in the Schedule remains accountable to Court for any actions taken.
- g) Any delegations to a vacant post pass to that post's immediate line manager unless there are documented cover arrangements in place. In either case, previously agreed and documented sub-delegation arrangements may be continued.

ITEM FOR DECISION OR APPROVAL	DELEGATION OF AUTHORITY
1. Financial Transactions, Borrowing, Lending and Investments	
<p>Notes: a) All decisions on financial expenditure should adhere to the requirements of the University Financial Regulations and Treasury Management Policy, along with the principles and practice set out in the University Procurement Manual.</p> <p>b) For sections 1.3 to 1.11 below – in regard to novel or potentially contentious matters, the CFO will consult with the Treasurer prior to exercising their delegated authority.</p>	
<p>1.1 Expenditure within Court-approved budgets</p> <p>a) Faculties b) Professional Services</p> <p>c) University</p>	<p>a) Executive Deans b) University Secretary & Compliance Officer (USCO), Chief Financial Officer (CFO), Chief Commercial Officer (CCO), or Chief Digital & Information Officer (CDIO), as appropriate c) Executive Team</p>

<p>1.2 General authority limits for financial transactions and contracts relating to items of non-recurrent spending not within the Court-approved annual budget (unless specified differently elsewhere in this Schedule)</p> <p>Note: In cases of doubt or potentially contentious items of expenditure, including spending within the Court-approved annual budget, approval should be sought at the next highest level in the hierarchy.</p> <p>Where this financial authority is to be exercised more than twice between any two consecutive meetings of Court then the Convener of Court should first be consulted.</p> <p>a) Value up to £1 million b) Value >£1 million - £2.5 million c) Value >£2.5 million</p>	<p>a) Executive Team b) Court Business Group* c) Court</p> <p>* In exceptional circumstances, Executive Team may approve following consultation with Convener of Court</p>
<p>1.3 Banking arrangements</p>	<p>CFO*</p> <p>* The establishment of new bank accounts, other than with the University's retail bank, will also require agreement from one of the USCO, Vice-Principal or Principal</p> <p>Changes in the University's retail bank will require approval by Court Business Group on the recommendation from the CFO.</p>
<p>1.4 Borrowing and Lending</p>	<p>CFO*</p> <p>* In line with Treasury Management Policy, borrowing arrangements require the approval of the Court Business Group and, in certain circumstances set out in the Financial Memorandum, may also require the prior consent of Scottish Funding Council</p>
<p>1.5 Management of University Investments (other than investment in spin-out companies and other companies; see para 4.1) and Endowment Funds (including sale and purchase of investments)</p>	<p>CFO*</p> <p>* In line with Treasury Management Policy, the CFO will consult the Treasurer before any long-term arrangements are entered into</p>
<p>1.6 Formation, acquisition and disposal of companies, joint ventures or consortium arrangements (other than formation of spin-out companies (see para 4.1))</p>	<p>CFO</p>

1.7	Administration of Gifts, Benefactions and Donations	CFO
1.8	Settlement of tax matters with tax authorities	CFO
1.9	Write-off or write-down of moneys due to the University	CFO
1.10	Changing signatories on existing bank accounts and opening new accounts with the University's retail bankers	CFO
1.11	Procurement and administration of insurance cover on behalf of the University and negotiation of insurance claims	CFO
2	Property Transactions and Major Capital Projects	
2.1	<p>Acquisition or disposal of properties, land or major assets (including equipment), regardless of source of funding, as individual projects or groups of related projects as appropriate, taking into account proposed future phases.</p> <p>a) Value up to £500,000 b) Value £500,000 - £2.5 million c) Value >£2.5 million</p> <p>Note: The disposal of an exchequer-funded asset where the proceeds are likely to exceed £3 million requires prior approval from the Scottish Funding Council.</p>	<p>a) CFO b) Estates Committee c) Court</p>
2.2	<p>Leases (University as Tenant or Landlord)</p> <p>a) Market value up to £20,000 per annum, duration less than 5 years b) Market value >£20,000 - £100,000 per annum, less than 5 years c) Market value >£100,000 per annum, duration less than 5 years</p> <p>Note: The lease of an exchequer-funded asset for 5 years' duration or more requires prior approval from the Scottish Funding Council.</p>	<p>a) Director of Estates Services b) CFO c) Estates Committee</p>
2.3	<p>Major Capital Projects within the Court approved estates strategy: approval of detailed business case and to proceed (except CPR projects – see below), regardless of source of funding and considered as individual projects or groups of related projects as appropriate, taking into account proposed future phases</p> <p>a) Value up to £500,000 b) Value >£500,000 - £1 million c) Value >£1 million - £2 million d) Value >£2 million</p>	<p>a) Director of Estates Services b) CFO c) Estates Committee d) Court</p>

2.4	Capital Projects from Revenue (CPR)	Estates Committee
2.5	<p>Variations to Previous Project Approvals</p> <p>a) Value up to £250,000 b) Value >£250,000 - £500,000 c) Value >£500,000 - £1 million d) Value >£1 million</p> <p>The above levels apply to variations in the monetary value of projects. Changes in the nature of proposed projects require re-approval in accordance with the levels set out in paragraph 2.3 above.</p>	<p>a) Director of Estates Services b) CFO c) Estates Committee d) Court</p>
2.6	Student Rentals	CFO
2.7	Car Parking Charges	CFO
3 Human Resource Matters		
3.1	Approval of HR policies and procedures where approval is not already reserved to Staff Committee (see Ordinance 4)	Director of HR
3.2	Appointment of staff and issue of formal offers of appointment	Director of HR
3.3	Conferment of Emeritus Professorships	Academic Professional Appointments Panel
3.4	Implementation of nationally-negotiated annual pay awards	Director of HR (following agreement by Remuneration Committee)
3.5	<p>Remuneration of:</p> <p>a) Senior Officers and Directors of Professional Services b) Professorial and other senior academic staff c) All other staff</p>	<p>a) Remuneration Committee (as per Regulations) b) Senior Academic Review and Development Panel c) any of Executive Deans/USCO/CCO/CFO/CDIO in partnership with Director of HR /nominee (as appropriate)</p>
3.6	<p>Terms and conditions of service of:</p> <p>a) Senior Officers and Directors of Professional Services b) All other staff</p>	<p>a) Remuneration Committee (as per Regulations where appropriate) b) Staff Committee (as per Regulations where appropriate)</p>
3.7	Staff development and performance measurement systems	Staff Committee

<p>3.8 Termination of employment:</p> <p>a) Redundancy (for non-Academic staff on fixed term and open-ended contracts) b) Disciplinary or incapacity c) Voluntary severance</p>	<p>a) Director of HR *</p> <p>b) Director of HR c) Director of HR</p> <p>* The authority to reach a decision as to whether there should be a reduction in academic staff by way of redundancy is reserved to Court.</p>
4 Research and Knowledge Exchange and Commercialisation	
<p>4.1 Authorisation for research grant applications, agreement of contracts to undertake research, consultancy and knowledge exchange services and ancillary agreements (including ancillary intellectual property agreements), confidentiality agreements, material transfer agreements, EU partnership bids and contracts.</p> <p>Authorisation for the formation of spin-out companies, stand-alone intellectual property rights agreements and filing of patents.</p> <p><u>Investments in spin-out and other companies</u></p> <p>a) Value up to £1 million</p> <p>b) Value >£1 million - £2.5 million c) Value >£2.5 million</p> <p>Note: Committing more than 50% of the annual funds available for investment in spin-out companies to one company requires approval from Court Business Group.</p>	<p>Director of Research and Knowledge Exchange Services (RKES)</p> <p>Director of Innovation and Industry Engagement (IIE)</p> <p>a) Enterprise & Investment Committee b) Court Business Group c) Court</p>
<p>4.2 Management of Commercial Development Funds</p>	<p>Director of IIE</p>
<p>4.3 Approval for consultancy work undertaken by staff of the University</p> <p>a) Value up to £10,000 (standard, pro-forma contract) b) Value up to £10,000 (non-standard) c) Value >£10,000</p>	<p>a) Head of Department/School b) Director of RKES c) Director of RKES</p>
<p>4.4 Ethical approval of investigations involving human participants</p> <p>Note: The University's Code of Practice on Investigations Involving Human Beings should be consulted to determine the appropriate approval process.</p>	<p>University Ethics Committee (UEC) and Departmental/ School Ethics Committees (DEC/SEC)</p>

5 Student-related Matters		
5.1	UK Visas and Immigration compliance	USCO
5.2	Approval of all course and tuition fees	CFO
5.3	Revision to the name of a Department, School, Institute or Centre a) Minor change b) Major change Note: Senate will determine whether a proposed name change is minor or major	a) Senate b) Court
5.4	Approval and publication of Regulations on student-related matters	Senate
5.5	Collaborative agreements leading to awards or joint awards of the University	Senate
5.6	Establishment of Fellowships, Scholarships, Studentships, Exhibitions and Prizes	Senate
6 Information Services		
6.1	Corporate Digital and Information Strategy	Executive Team
6.2	Information Services-related projects – approval of detailed business case and to proceed (items of non-recurrent spending not within the Court-approved budget) a) Value up to £500,000 b) Value >£500,000	a) Information Strategy Committee b) As per limits defined in Section 1.2 above
6.3	Development and approval of policies, guidance or procedures on the use of University computing facilities and resources	Information Strategy Committee
7 Other Matters		
7.1	Use of the University Seal a) Degrees, diplomas and other academic awards b) Financial and property transactions or other Court business already delegated via this Schedule or the University's governing instruments c) Financial and property transactions or other Court business for which authority has been reserved to Court	a) Principal and USCO b) Principal and CFO c) As per University Regulation 1.12
7.2	University response to external consultations, calls for evidence, etc.	Member of Executive Team or Professional Services Director, as appropriate depending on the nature of the consultation/ request