

# **SCHEME OF DELEGATION AND DECISION MAKING AUTHORITIES**

**Version Number:** 4.0  
**Owner:** Secretary to Council  
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## **Contents**

Introduction

ACA - ACADEMIC & STUDENT MATTERS

APP - APPOINTMENTS & STAFFING

CAP - CAPITAL PROGRAMME

EST - ESTATES

FIN - BUDGETARY & FINANCIAL MATTERS

GOV - GOVERNANCE, MANAGEMENT & CONTROL

INT - INTERNATIONAL

REL - RELATED ENTITIES

RES - RESEARCH

SPD - STRATEGY & POLICY DEVELOPMENT

SU - STUDENTS' UNION

Annex 1: Significant Transaction Definition

## **Introduction**

### **1. DURATION OF VALIDITY**

This original Scheme of Delegation took effect from 9 October 2019. Version 4 outlines the current scope of final and delegated responsibilities until determined otherwise. It is presented to Council on an annual basis, with an in-depth review undertaken every five years.

### **2. PURPOSE**

To identify the responsibilities and delegated authorities for making key decisions in the name of, or on behalf of, the University of Warwick.

### **3. COVERAGE**

Particular emphasis is placed on the powers reserved to and delegated from the Council, the ultimate decision-making body of the University. Reference is also made to responsibilities for key decisions stipulated in the University's Charter and Statutes, Ordinances, Regulations and published Policy. Other key decision-making authorities, which are not formally recorded in the Governing Instruments or related to the responsibilities of the Council, are outlined in this Scheme. Whilst this Scheme of Delegation cannot be exhaustive, it does provide a frame of reference to inform decision making in other areas.

### **4. REPORTING ARRANGEMENTS**

It should be assumed that all significant matters (see Annex 1) are reported to the Council, unless otherwise explicitly stated. Whilst this Scheme identifies that certain powers are delegated to specific committees or office-holders, any committee or office-holder may decide that a particular issue needs to be ratified by a higher level of authority. In the event of uncertainty as to whom a decision or process should be delegated, a guiding principle is to 'delegate upwards'. Where powers are reserved to individuals, it should be assumed that a nominated deputy or alternate may exercise the same power in the absence of the post-holder.

**University of Warwick**  
**Summary Scheme of Delegation**  
(approved 11 October 2023)

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ACA.01.01	Oversight of overall welfare of students	Council	Senate	University Executive Board	
ACA.01.02	Oversight of student wellbeing	Council	Senate	University Executive Board	
ACA.02.01	Academic oversight	Senate	Senate	Senate Sub-Committees	
ACA.02.02	Oversight of the Quality Assurance Framework [in development]	Council	Audit & Risk Committee	Senate	
ACA.02.03	Approval of Access and Participation Plan	Council	Vice-Chancellor	Senate	
ACA.02.04	Approval of Access and Participation Statement	Council	Vice-Chancellor	Senate	
ACA.02.05	Responsibility for provision of high quality academic experience and reliable standards	Council	Vice-Chancellor	Audit & Risk Committee Senate	
ACA.02.06.01	Responsibility for the delivery of successful outcomes for students	Council	Vice-Chancellor	Senate	
ACA.02.06.02	Approval of Degree Outcomes Statement	Council	Council Senate	Academic Quality and Standards Committee	
ACA.02.07	Responsibility for Assessment, Awards (credible and comparable), English proficiency	Council	Vice-Chancellor	Senate	
ACA.02.08	Responsibility for quality and reliability of awards granted to students who complete a higher education course provided by, or on behalf of, the provider (whether or not the provider is the awarding body)	Council	Vice-Chancellor	Audit & Risk Committee Senate	
ACA.02.09	Approval of Teaching Excellence and Student Outcomes Framework Submission	Council Senate	Vice-Chancellor	University Executive Board	
ACA.02.10	Responsibility for consistency of awards with any applicable sector-recognised standards	Council	Vice-Chancellor	Audit & Risk Committee Senate	
ACA.02.11	Approval of Student Protection Plan	Council	Vice-Chancellor	Senate	
ACA.02.12	Responsible for publication and provision to OfS of arrangements for a student to transfer	Council	Senate	Academic Quality and Standards Committee	
ACA.03.01	Approval of the Education Strategy	Council	Council	Senate	
ACA.04.01	Approval of Student Recruitment Strategy	Senate	Academic Resourcing Committee	Student Recruitment Strategy Steering Group	
ACA.05.01	Authority to deal with minor offences	Senate	Senate	Authorised Officers: Registrar Academic Registrar Director of Wellbeing & Safeguarding Head of Community Safety & Security Librarian (only in relation to matters concerning the Library) Heads of Departments Director of Student Discipline and Resolution	For certain drugs offences a fine not exceeding £250; A fine not exceeding £150; Sanctions Framework

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ACA.05.02	Authority to deal with major offences	Senate	Senate	Discipline Committee	Sanctions framework ranging from a reprimand to expulsion
ACA.06.01	Authority to manage Stage 1 student complaints	Senate	Senate	Academic School, Department or Service Area	
ACA.06.02	Authority to manage Stage 2 student complaints	Senate	Senate	Heads of Department/Centre/Activity	
ACA.06.03	Determination of whether a student complaint can be considered at Stage 3	Senate	Senate	Provost	
ACA.06.04	Authority to refer back, reject or uphold a Stage 3 Student Complaint	Senate	Senate	Student Complaints Resolution Procedure Panel	
ACA.06.05	Oversight of student complaints and casework	Senate	Senate	Academic Quality and Standards Committee	
ACA.07.01	Approval of establishment and disestablishment of Academic Bodies, including naming or renaming of Academic Faculties and Departments	Council	Council	Senate	
ACA.08.01	Approval of establishment of Degrees	Council	Council	Senate	
ACA.09.01	Granting and revocation of degrees and other academic distinctions to persons who have pursued a course of study and passed relevant examinations	Senate	Senate	Senate Sub-Group	
ACA.10.01	Approval of decision record logs/ pass lists for UG and PGT awards	Senate	Senate	Senate Sub-Group	
ACA.10.02	Approval of pass lists for PGR awards	Senate	Senate	Vice-Chancellor	
ACA.11.01	Design and approval of new courses / amendments to existing courses	Senate	Academic Quality & Standards Committee	Course Proposal Scrutiny Panel	
ACA.11.02	Design and approval of new non-credit bearing courses / amendments to existing non-credit bearing courses	Senate	Course Proposal Scrutiny Panel Academic Quality & Standards Committee	Academic Departments	
ACA.12.01	Approval of withdrawal or suspension of courses	Senate	Academic Quality & Standards Committee	Course Proposal Scrutiny Panel	
ACA.12.02	Approval of withdrawal or suspension of courses involving a partner organisation	Senate	Academic Quality & Standards Committee	Partnerships Committee	
ACA.13.01	Establishment of bursaries and scholarships	Council	Council	Senate	
ACA.14.01	Approval of collaborative provision / academic partnerships for low /medium risk proposals and where no new course is required	Senate	Senate	Partnerships Committee	
ACA.14.02	Approval of collaborative provision / academic partnerships for high risk proposals	Senate	Senate	Academic Quality & Standards Committee	

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ACA.14.03	Oversight of significant partnership or working arrangements with other organisations	Council	Vice-Chancellor	Audit & Risk Committee Senate Finance & General Purposes Committee	
ACA.15.01	Approval of degree apprenticeships	Senate	Senate	Partnerships Committee	
ACA.16.01	Appointment of members of Boards of Examiners for all taught courses	Senate	Senate	Senate Sub-Group	
ACA.17.01	Appointment of external examiners (undergraduate and postgraduate taught)	Senate	Senate	Senate Sub-Group	
ACA.17.02	Appointment of external examiners (postgraduate research)	Senate	Senate	Board of Graduate Studies	
APP.01.01	Appointment of Chancellor	Council Senate	Council Senate		
APP.02.01	Appointment of Pro-Chancellors	Council	Council		
APP.03.01	Appointment of Chair and Vice-Chair of Council	Council	Council		
APP.04.01	Appointment of Treasurer	Council	Council		
APP.05.01	Appointment of independent members to the Council	Council	Council	Nominations Committee	
APP.06.01	Appointment of individuals external to the University to membership of the Council sub-committees	Council	Council	Nominations Committee	
APP.07.01	Appointment of academic representatives of the Council	Senate	Senate		
APP.08.01	Appointment of professional services staff representative of the Council	Council	Council	Nominations Committee	
APP.08.02	Appointment to boards and other University appointed external positions	Council	Finance and General Purposes Committee	Group Finance Director Secretary to Council	
APP.09.01	Appointment of Vice-Chancellor	Council	Council		
APP.10.01	Appointment of Provost	Council	Council	Vice-Chancellor	
APP.11.01	Recommendation of number of Pro-Vice-Chancellors to be appointed	Council	Council	Vice-Chancellor	
APP.11.02	Appointment of Pro-Vice-Chancellors	Council	Council	Appointment Committee for Pro-Vice-Chancellors	
APP.12.01	Appointment of Secretary to Council	Council	Council		
APP.13.01	Appointment of Academic Heads of Department	Council	Senate	Committee on the Appointment of Head of Department	
APP.13.02	Appointment of Professional Services Heads of Department	Council	University Executive Board	Human Resources	
APP.14.01	Establishment of academic posts: Librarian of the University, other persons of academic staff not provided for elsewhere in Statute	Council	Council	Senate	

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APP.14.02	Establishment of academic posts, excluding those managed by Senate above, subject to not exceeding the resources allocated in the University Financial Plan	Council	Academic Resourcing Committee	Academic Departments	Subject to not exceeding the resources allocated in the University Financial Plan
APP.14.03	Confirmation of academic appointment on satisfactory completion of probation and approval of promotion	Council	Senate	Academic Staff Committee	
APP.15.01	Approve all matters affecting the appointment, duties and conditions of service of academic staff	Council	Senate	People Committee	
APP.15.02	To approve the establishment and monitoring of processes for academic staff (below the level of Professor) relating to: a) Annual review / appraisal; b) Confirmation of appointment to Associate Professor on satisfactory completion of the period of probation; c) Academic Promotions	Council	Senate	People Committee	
APP.16.01	Determination of salaries and performance related pay for the Senior Management Team	Council	Council	Remuneration Committee	
APP.17.01	Approval of the Framework for Senior Remuneration	Council	Council	Remuneration Committee	
APP.18.01	Oversight of the Remuneration Strategy and associated performance-related pay schemes of the University for staff at grades 1 to 9 inclusive and any major changes to associated employee benefits structures	Council	University Executive Board	People Committee	
APP.19.01	Pension arrangements for all employees	Council	Council	Finance & General Purposes Committee	
APP.19.02	Acting for the University in relation to the University Pension Scheme	Council	Finance & General Purposes Committee	University Executive Board	
APP.19.03	Responsibility for the University Pension Scheme	Council	Finance & General Purposes Committee	UPS Pension Trustee Limited	
APP.20.01	Dismissal and redundancy of academic staff, including the Vice-Chancellor	Council	Council	Academic Freedom Review Committee	
APP.21.01	Determination of severance pay for staff members (for staff whose salary exceeds £100k)	Council	Council	Remuneration Committee	>£100k
APP.21.02	Determination of severance pay for staff members (for staff whose salary is below £100k)	Council	University Executive Board <£100k Chair of Council >£100k	Director of Human Resources	<£100k
APP.22.01	Legal cases involving employment matters or the good name of the University	Council	Council	Vice-Chancellor / Treasurer	

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APP.22.02	Legal cases involving employment matters or the good name of the University (cases involving Registrar, Vice-Chancellor or members of Senate or Council)	Council	Council	Chair of Council	
APP.22.03	Oversight of instigation/negotiation of legal proceedings in pursuance of management and protection of good name of the University	Council	Council	Finance & General Purposes Committee	
APP.23.01	Granting of Honorary Degrees	Council / Senate	Council / Senate	Honorary Degrees Committee	
APP.24.01	Revocation of Honorary Degrees	Council / Senate	Vice-Chancellor (in capacity as Chair of Senate)	Honorary Degrees Committee	
APP.25.01	Granting of title of Emeritus Professor	Senate	Senate	Academic Staff Committee	
APP.26.01	Appointment of External Auditors	Council	Council	Audit & Risk Committee	
CAP.01.01	Approval of the Capital Plan	Council	Council	Finance & General Purposes Committee	
CAP.02.01	Procurement, management and delivery of minor capital projects <£500k including infrastructure	Estates Senior Leadership Team (in line with Estates Office)	Estates Senior Leadership Team	Estates Office	<£500k
CAP.03.01	Procurement, management and delivery of general infrastructure projects	Council	University Estate & Environment Committee	Estates Office	
CAP.03.02	Oversight of public realm and infrastructure projects	Council	University Estate & Environment Committee	Capital Space & Amenities Group	
CAP.03.03	Approval of external siting of any work of art or the siting of any permanent commission	University Executive Board	Quality & Design Sub-Group	Art Collection Committee	
CAP.04.01	Approval of major capital projects	Council	Council	Finance & General Purposes Committee Financial Plan Committee University Estate & Environment Committee	>£1m
CAP.05.01	Approval of Initial Statement of Need for major capital projects (RIBA Stage 0 to 1 gateway)	Council	Finance & General Purposes Committee	Capital, Space & Amenities Group Campus and Commercial Services Group Steering Committee	>£1m
CAP.06.01	Approval of location/site of major capital projects	Council	Finance & General Purposes Committee	University Estate & Environment Committee	>£1m
CAP.07.01	Approval of Outline Proposal for major capital projects (RIBA Stage 1 to 2 gateway)	Council	Finance & General Purposes Committee	Capital, Space & Amenities Group Campus and Commercial Services Group Steering Committee Quality & Design Sub-Group University Estate & Environment Committee	>£1m
CAP.08.01	Approval of Detailed Business Plan (RIBA Stage 2 to 3 gateway)	Council	Finance & General Purposes Committee	University Estate & Environment Committee	>£1m
CAP.09.01	Oversight of value for money of capital projects	Council	Audit & Risk Committee	Finance & General Purposes Committee	

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CAP.10.01	Post-investment reviews for investments/projects >£10m	Council	Audit & Risk Committee	Finance & General Purposes Committee	>£10m
EST.01.01	Estates related strategies (including, but not limited to: Accommodation, Carbon, Energy, Environmental and Social Sustainability, Travel and Transport)	Council	Council	University Executive Board	
EST.02.01	Provision and maintenance of buildings, premises and grounds	Council	University Estate & Environment Committee	Financial Plan Committee Director of Estates	
EST.03.01	Approval of naming proposals not agreed as donor assets	Council	University Estate & Environment Committee	University Executive Board	
EST.03.02	Approval of naming proposals in recognition of a donor	Council	Council	University Executive Board Special Committee on Donor Naming	
EST.04.01	Acquisition of freehold and leasehold property	Council	Finance & General Purposes Committee	University Estate & Environment Committee	
EST.05.01	Disposal of freehold and leasehold property	Council	Council Finance & General Purposes Committee	University Estate & Environment Committee	
EST.06.01	Campus environmental sustainability	Council	Council	University Estate & Environment Committee University Executive Board	
EST.07.01	Approval of the RIBA Stage 3 Design for major land, campus or capital developments and maintenance projects	Council	Finance & General Purposes Committee	University Estate & Environment Committee	>£1m
EST.08.01	Approval of Space Principles for the University	Council	University Estate & Environment Committee	Capital Space & Amenities Group	
FIN.01.01	Appointment of University Bankers	Council	Council	Finance & General Purposes Committee	
FIN.01.02	Opening of new Banking facilities	Council	Finance & General Purposes Committee	Vice-Chancellor and Group Finance Director	
FIN.02.01	Operation of University bank accounts	Council	Council	Finance & General Purposes Committee	
FIN.02.02	Responsibility for day-to-day banking arrangements	Council	Finance & General Purposes Committee	Group Finance Director	
FIN.02.03	Authority to act on the University's behalf to register the Institution for all and any taxes as necessary to meet its obligations wherever they arise	Council	Finance & General Purposes Committee	Group Finance Director	
FIN.03.01	Approval of the University annual capital and revenue budget and Financial Plan	Council	Council	Finance & General Purposes Committee	
FIN.04.01	Approval of financial forecast submissions to the OfS	Council	Council	Finance & General Purposes Committee	
FIN.05.01	Approval of the Financial Statements (including: Public Benefit Statement, Statement of Internal Control, Statement of Primary Responsibilities of the Council)	Council	Council	Finance & General Purposes Committee Audit & Risk Committee	



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FIN.05.02	Approval of the University's Transparent Approach to Costing (TRAC) return to the OfS	Council	Finance & General Purposes Committee	Audit & Risk Committee	
FIN.06.01	Setting of provisional budget envelopes / targets for the main budgetary groups and subsequent revisions to those envelopes	Council	Finance & General Purposes Committee	Financial Plan Committee	
FIN.06.02	Approval of reallocation of resources within agreed budget envelope	Finance & General Purposes Committee	University Executive Board	University Executive Board Members	
FIN.06.03	Scrutiny of business plans and the impact of significant in-year changes to resource allocation upon other teams and functions	Council	Finance & General Purposes Committee	University Executive Board	
FIN.07.01	Release of funding and/or rephrasing of release of resources for expenditure on projects in the approved Capital Plan of up to £20m	Council	Council	Finance & General Purposes Committee	>£20m
FIN.07.02	Approval with aggregate approval cap of £10m per annum of new and/or additional expenditure (both revenue and capital) not included in Financial Plan	Council	Council	Finance & General Purposes Committee	<£10m pa
FIN.07.03	Approval with aggregate approval cap of £5m per annum of new capital and/or revenue expenditure not included in Financial Plan	Council	Council	Financial Plan Committee	<£5k pa
FIN.07.04	Approval of additional expenditure on CCSG projects in the Financial Plan, or that have previously been approved by FGPC, up to £0.5m	Council	Council	Campus and Commercial Services Group Steering Committee	<£0.5m
FIN.07.05	Approval of new capital and/or revenue expenditure on CCSG projects outside of the Financial Plan up to £0.5m	Council	Council	Campus and Commercial Services Group Steering Committee	<£0.5m
FIN.08.01	Approval of major changes to Investment Policy, associated decisions and maintaining budgetary control	Council	Council	Finance & General Purposes Committee	
FIN.08.02	Approval of the University Investment Strategy and allocation of funds for investment	Council	Council	Finance & General Purposes Committee	
FIN.09.01	Approval of major changes to Treasury Management Policy	Council	Council	Finance & General Purposes Committee	
FIN.09.04	Monitoring of investment income against budget	Council	Finance & General Purposes Committee	University Executive Board Investment Sub-Committee	
FIN.10.01	Appointment of professional Treasury Management Advisers	Council	Finance & General Purposes Committee	Investment Sub-Committee	
FIN.11.01	Investment of funds in accordance with the approved Treasury Management Policy	Council	Finance & General Purposes Committee	Authorised Signatories	
FIN.12.01	Approval of loans and borrowing	Council	Council	Finance & General Purposes Committee	
FIN.13.01	Approval of accounting policies	Council	Council	Finance & General Purposes Committee	

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FIN.14.01	Approval of the University's Financial Regulations and Procedures	Council	Council	Finance & General Purposes Committee	
FIN.15.01	Approval of, and alterations to, tuition fees and other academic fees, and associated fees policies	Council	Finance & General Purposes Committee	Financial Plan Committee	
FIN.16.01	Write off of bad debt related to tuition fees	Council	Council	Finance & General Purposes Committee	>£50k
FIN.16.02	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Group Finance Director or nominee	<£50k
FIN.16.03	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Academic Registrar/ Deputy Academic Registrar	<25k
FIN.16.04	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Head of Student Finance	<£5k
FIN.16.05	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Student Finance Manager	<£1k
FIN.16.06	Write off of bad debt related to tuition fees	Council	Finance & General Purposes Committee	Credit Controllers in Student Finance Office	<£500k
FIN.17.01	Write off of non-student bad debt	Council	Council	Finance & General Purposes Committee	>£50k
FIN.17.02	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Group Finance Director or Finance Director	<£50k
FIN.17.03	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Financial Controller or Deputy Finance Director	<£25k
FIN.17.04	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Accounts Receivable Supervisor	<£600
FIN.17.05	Write off of non-student bad debt	Council	Finance & General Purposes Committee	Credit Controller (Accounts Receivable Office)	<£100
FIN.18.01	Approval of rents of campus student accommodation	Council	Finance & General Purposes Committee	Student Rents Working Party	
FIN.18.02	Approval Nomination Agreements for off-campus student housing	Council	Finance & General Purposes Committee	Warwick Accommodation Strategic Planning Group	
FIN.19.01	Approval of administration charges associated to late payment of residential charges or academic fees	Council	Finance & General Purposes Committee	Group Finance Director	
FIN.20.01	Approval for student payments to be deferred and/or made as part of an instalment plan outside of normal terms and conditions	Council	Finance & General Purposes Committee	Finance Office	
FIN.20.02	Approval of student temporary withdrawal in the case of non-payment of academic related fees following repeated reminders or failure to submit a non-standard payment plan proposal	Council	Finance & General Purposes Committee	Academic Fee Payments Sub-Committee	
FIN.21.01	Insurance (level and scope)	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	

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FIN.21.02	Approval of final insurance renewal terms	Council	Finance & General Purposes Committee	Finance Director, subject to approval of material changes being delegated to Chair of FGPC and Group Finance Director	
FIN.22.01	Approval of external statutory audit fee	Council	Council	Audit & Risk Committee	
FIN.23.01	Authority to engage external auditors for non-audit services (<£20k)	Council	Council	Group Finance Director (on behalf of Audit & Risk Committee)	<£20k
FIN.23.02	Authority to engage external auditors for non-audit services (>£20k)	Council	Chair of Audit & Risk Committee	Group Finance Director	>£20k
FIN.23.03	Approval to engage external auditors for non-audit services (>£50k)	Council	Vice-Chancellor	Group Finance Director	>£50k
FIN.24.01	Approval of income-generating non-research contracts	University Executive Board	Authorised signatories: Group Finance Director or Finance Director Deputy Finance Director (Assurance) Vice-Chancellor Provost Registrar Designated signatories in Legal and Compliance Services are authorised to sign standard University confidentiality agreements	Relevant University Committee	
FIN.25.01	Procurement of goods and services within each Department/Centre/Activity	University Executive Board	University Executive Board	Heads of Department/Centre/Activity	
FIN.25.02	Procurement of goods and services >£35k	University Executive Board	Procurement and Insurance Office		>£35k
FIN.25.03	Procurement of goods and services >£50k	University Executive Board	Authorised Finance personnel	Group Finance Director or Finance Director Deputy Finance Director Head of Procurement and Insurance Office	>£50k
GOV.01.01	Amendments to Charter	Privy Council	Privy Council	Council	
GOV.02.01	New, amended or repealed Statutes	Privy Council	Privy Council	Council Senate	
GOV.03.01	New, amended or repealed Ordinances	Council	Council	Senate	
GOV.04.01	New, amended or repealed Regulations	Council	Senate		
GOV.04.02	Updates to nomenclature or operational details in Regulations	Council	Senate	Assistant Secretary to Senate	
GOV.05.01	Custody and use of the Seal	Council	Council	Secretary to Council	

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GOV.06.01	Execution of the responsibilities of the Chancellor	Council	Chancellor	Pro-Chancellor	
GOV.07.01	Execution of the responsibilities of the Vice-Chancellor	Council	Vice-Chancellor	Provost Pro-Vice-Chancellors	
GOV.08.01	Execution of the responsibilities of the Council on any urgent items of business that cannot be considered at a meeting or by correspondence	Council	Council	Authorised Council Sub-Group	
GOV.09.01	Investigation of activities within the remit of Audit & Risk Committee	Council	Council	Audit & Risk Committee	
GOV.10.02	Instigation and negotiation of any significant legal proceedings, in pursuance of the management and protection of University property and reputation and the maintenance of good order	Council	Council	Finance & General Purposes Committee	
GOV.11.01	Accountable Officer (Office for Students (OfS))	Council	Vice-Chancellor	Audit & Risk Committee	
GOV.11.02	Interim Accountable Officer (Office for Students (OfS))	Council	Provost	Audit & Risk Committee	
GOV.11.03.01	Responsible for effectiveness (of governing body and governance structures): Council, Council Committees and Joint Council and Senate Committees	Council	Vice-Chancellor	Secretary to Council	
GOV.11.03.02	Responsible for effectiveness (of governing body and governance structures): Senate, Senate Committees and Joint Council and Senate Committees	Council	Vice-Chancellor	Registrar Director of Education Policy and Quality	
GOV.11.04	Compliance with regulatory duties on Academic Freedom and Freedom of Expression	Council	Senate	Academic Freedom Review Committee University Executive Board	
GOV.11.05	Responsibility for safeguarding and promoting institutional reputation and autonomy	Council	Council	Vice-Chancellor	
GOV.11.06	Responsibility for promoting and ensuring the social, cultural, economic and environmental impact of the institution, and ensuring that institutional success and achievements are reported to stakeholders	Council	Council	Vice-Chancellor	
GOV.11.07	Execution of a Student Protection Direction issued by the OfS	Council	Vice-Chancellor	University Executive Board	
GOV.12.01	Approval of OfS Annual Accountability Returns: Approval of returns related to internal and external auditors	Council	Council	Audit & Risk Committee	
GOV.12.02	Approval of OfS Annual Accountability Returns: Oversight of preparation of the Annual Financial Statements	Council	Council	Finance & General Purposes Committee	
GOV.12.03	Approval of OfS Annual Accountability Returns	Council	Council	Accountable Officer	

**University of Warwick**  
**Summary Scheme of Delegation**  
(approved 11 October 2023)

Issue/ decision identifier	ISSUE/ DECISION	GOVERNANCE OVERSIGHT (Body responsible for oversight)	RESERVED POWER AND/OR FINAL AUTHORITY (Body/individual responsible for final approval within designated limits)	RECOMMENDATION AND PREVIOUS AUTHORITY/SIGN OFF (Body/individual responsible for recommending approval, or for prior sign-off, in whole or in part within designated limits)	£ LIMITS
GOV.12.04	Accountability for Financial Sustainability	Council	Finance & General Purposes Committee	Audit & Risk Committee	
GOV.12.05	Approval of Prevent monitoring and accountability return	Council	Council	Audit & Risk Committee	
GOV.12.06	Compliance with any terms and conditions attached to financial support received from the OFS and UK Research and Innovation (UKRI) under sections 41(1) and/or 94(2) of HERA	Council	Audit & Risk Committee	Group Finance Director	
GOV.12.07	Implementation of the Student Protection Plan (if needed)	Council	Senate	University Executive Board	
GOV.12.08	Payment of 1. Annual registration fee and other OFS fees (in accordance with regulations made by the Secretary of State) and 2. The fees charged by the designated bodies	Council	Vice-Chancellor	Secretary to Council's Office	
GOV.12.09	Provision of information to the Designated Data Body	Council	University Executive Board	Strategic Planning and Analytics Office	
GOV.12.10	Publication of Transparency Information	Council		Strategic Planning and Analytics Office	
GOV.13.01	Approval of the Scheme of Delegation	Council	Council	Secretary to Council	
GOV.14.01	Oversight of Conflicts of Interests of Members of Council	Council	Council	Secretary to Council	
GOV.14.02	Oversight of Conflicts of Interests of Independent/External Committee/Board Members	Council	Council	Committee Secretariats	
GOV.14.03	Oversight of Conflicts of Interests of Committee Members	Council	Council	Chairs of Committees	
GOV.14.04	Oversight of Conflicts of Interests of Staff	Council	Council	Heads of Department/Centre/Activity	
GOV.14.05	Oversight of Conflicts of Interests related to Research	Council	Council	Director of Research & Impact Services Heads of Department	
GOV.15.01	Oversight of Whistleblowing Policy and Procedures	Council	Council	Audit & Risk Committee	
GOV.15.02	Whistleblowing disclosure	Council	Audit & Risk Committee	Head of Department/Centre/Activity or Personal Tutor (for students) Secretary to Council Vice-Chancellor	
GOV.16.01	Review of gifts received in the name of the University up to £100k	Council	Council	Director of Development & Alumni Engagement	<£100k
GOV.16.02	Review of gifts received in the name of the University above £100k	Council	Council	Fundraising Ethics Committee	>£100k
GOV.16.03	Monitoring of performance/use of donated funds/endowments	Council Foundation Trustees	Council Foundation Trustees	Finance & General Purposes Committee	
GOV.16.04	Refunds of gifts received in the name of the University above £100k	Council	Council	Director of Development & Alumni Engagement Group Finance Director	>£100k

**University of Warwick**  
**Summary Scheme of Delegation**

(approved 11 October 2023)

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GOV.16.05	Refunds of gifts received in the name of the University below £100k	Council	Council	Director of Development and Alumni Engagement	<£100k
GOV.17.01	Oversight of gifts received in the name of individuals under £50	University Executive Board	Head of Department/Centre/Activity		<£50
GOV.18.01	Oversight of policies/procedures related to exploitation of the University's Intellectual Property (IP)	Council	Council	Finance & General Purposes Committee	
GOV.19.01	Ability to make recommendations to Council and Senate on any matter relating to the University	Council Senate	Assembly		
GOV.20.01	Authority to act on behalf of the Committee to approve certain items of business which require a formal decision before the next available meeting of the Committee	Council Senate	Council Senate	Committee Chairs	
GOV.21.01	Oversight of compliance with UK General Data Protection Regulation (UK GDPR)	Council	Audit & Risk Committee University Executive Board	Heads of Department/Centre/Activity University Information Management Executive Committee	
GOV.21.02	Responsibility for compliance with UK General Data Protection Regulation (UK GDPR): designated Data Protection Officer for the University	Council	Council	Director of Legal & Compliance Services	
GOV.21.03	Authority to enter into, execute, publish in relation to any documents relating to UK General Data Protection Regulation (UK GDPR) (data protection and freedom of information)	Council	University Executive Board	Director of Legal & Compliance Services	
GOV.22.01	Responsibility for Compliance with consumer protection law (Competition & Markets Authority: information provision, terms and conditions inc. rules and regulations, complaint handling processes and practices)	Council	Vice-Chancellor Audit & Risk Committee	Heads of Department	
GOV.23.01	Approval of Health & Safety policies and procedures	Council	Vice-Chancellor	University Executive Board Health & Safety Executive Committee Policy Oversight Group People Committee	
GOV.24.01	Approval of Equality & Diversity policies and procedures	Council Senate	Council Senate	University Executive Board Social Inclusion Committee Policy Oversight Group People Committee	
GOV.25.01	Approval of policies and procedures related to corporate governance compliance	Council	Audit & Risk Committee	University Executive Board	

**University of Warwick**  
**Summary Scheme of Delegation**  
(approved 11 October 2023)

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GOV.25.02	Approval of all staff and student related policies	Council	Council	Policy Oversight Group (on behalf of the University Executive Board) Senate (academic impact) Finance & General Purposes Committee (significant impact)	
GOV.25.03	Approval of policies relating to education (linked or otherwise to Regulations)	Council	Senate	Academic Quality and Standards Committee	
GOV.25.04	Approval of policies relating to research (linked or otherwise to Regulations)	Council	Senate	Research Committee	
GOV.25.05	Approval of People policies	Council	Policy Oversight Group (on behalf of the University Executive Board) Senate (academic impact) Finance & General Purposes Committee (significant impact)	People Committee	
GOV.25.06	Approval of measures to ensure compliance with relevant employment laws, regulations, and industry standards	Council	University Executive Board	People Committee	
GOV.25.07	Approval of the Information Management Policy Framework and associated procedures	Council	Council	Audit & Risk Committee	
GOV.26.01	Oversight of the Compliance & Assurance Framework	Council	Council	Audit & Risk Committee	
INT.01.01	Approval of Agency Agreements including fee rates	Academic Resourcing Committee	Student Recruitment Strategy Steering Group	Finance Office	
INT.02.01	Approval of international collaborations related to Research	Council Senate	Council Senate	Research Committee	
INT.02.02	Approval of international collaborations related to Education	Council Senate	Council Senate	Partnerships Committee	
REL.01.01	Approve the structure, establishment and winding up of all University trading/related entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	
REL.01.02	Authority to sign a special resolution	Council	Finance & General Purposes Committee	Nominated Officer	
REL.02.01	Approve relevant appointments to the Boards of the University's trading entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	
REL.03.01	Approve Governance and Services Agreements between the University and its related entities	Council	Finance & General Purposes Committee	Finance & General Purposes Committee	
REL.04.01	Approve the Financial Statements of the University's wholly owned subsidiary companies and other entities	Council	Finance & General Purposes Committee	Subsidiary Company Board	

**University of Warwick**  
**Summary Scheme of Delegation**  
(approved 11 October 2023)

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RES.01.01	Approval of Research Strategy	Council	Council	Senate	
RES.02.01	Approval of Research Integrity Statement	Council Senate	Council Senate	Research Governance & Ethics Committee	
RES.03.01	Research ethical approval	Council Senate	Council Senate	Research Governance & Ethics Committee	
RES.04.01	Responsibility for Human Tissue Authority	Council Senate	Council Senate	Registrar or designated individual	
RES.05.01	Approval of research governance policies	Council Senate	Council Senate	Research Governance & Ethics Committee	
RES.06.01	Responsibility for research misconduct	Council Senate	Council Senate	Registrar	
RES.07.01	Research grant and contract pre-award approval - no limit	Council	Council Senate	Vice-Chancellor	No limit
RES.07.02	Research grant and contract pre-award approval - no limit	Council	Council Senate	Provost	No limit
RES.07.03	Research grant and contract pre-award approval - no limit	Council	Council Senate	Registrar	No limit
RES.07.04	Research grant and contract pre-award approval - no limit	Council	Council Senate	Group Finance Director	No limit
RES.07.05	Research grant and contract pre-award approval - no limit	Council	Council Senate	Finance Director	No limit
RES.07.06	Research grant and contract pre-award approval - no limit	Council	Council Senate	Deputy Finance Director	No limit
RES.07.07	Research grant and contract pre-award approval - see limits	Council	Council Senate	Director of Research & Impact Services	<£1,5m; or where the University's share of a larger award is <£1,5m or where the University is responsible for the administration of a joint award of <£1,5m



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**Summary Scheme of Delegation**  
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RES.07.08	Research grant and contract pre-award approval - see limits	Council	Council Senate	Associate Director (Head of Research Strategy, Funding & Contracts)	<£1,5m; or where the University's share of a larger award is <£1,5m or where the University is responsible for the administration of a joint award of <£1,5m
RES.07.09	Research grant and contract pre-award approval - see limits	Council	Council Senate	Assistant Director (Head of Research Contracts and Governance)	<£1,5m; or where the University's share of a larger award is <£1,5m or where the University is responsible for the administration of a joint award of <£1,5m
RES.07.10	Research grant and contract pre-award approval - see limits	Council	Council Senate	Assistant Director (Head of Research Governance & Systems)	<£1,5m; or where the University's share of a larger award is <£1,5m or where the University is responsible for the administration of a joint award of <£1,5m
RES.07.11	Research grant and contract pre-award approval - see limits	Council	Council Senate	Research Support Managers	<£100k Grant application <£500k
RES.07.12	Research grant and contract pre-award approval - see limits	Council	Council Senate	Research Development Managers	Grant application <£500k
RES.07.13	Research grant and contract pre-award approval - see limits	Council	Council Senate	Director of Research & Impact Services Provost Group Finance Director	

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**Summary Scheme of Delegation**  
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RES.08.01	Research contract and grant post-award claims	Council Senate	Council Senate	Research Finance Office	
RES.09.01	Responsibility for Research Excellence Framework (REF)	Council Senate	REF Executive Steering Group	REF Submission Steering Group	
RES.10.01	Oversight of Export Control	Council Senate	Council Senate	Research Governance & Ethics Committee	
RES.10.02	Accountability for Export Control	Council	University Executive Board	Individual researcher or staff member who intends to export goods	
RES.11.01	Research Sponsorship approval	Council Senate	Research Governance & Ethics Committee	Research Sponsorship & Oversight Sub- Committee	
RES.12.01	Review of all applications for research involving 'Protected animals'	Council Senate	Research Governance & Ethics Committee	Animal Welfare & Ethical Review Body (AWERB)	
SPD.01.01	Approval of the University vision, mission, Strategy and associated plans	Council	Council Senate	University Executive Board	
SPD.01.02	Monitoring and implementation of the University Strategy	Council	Council	University Executive Board	
SPD.01.03	Approval of academic strategic priorities within the the University vision, mission, Strategy and associated plans	Council	Senate	Academic Resourcing Committee Academic Strategy Committee	
SPD.01.04	Oversight of major transformational programmes	Finance & General Purposes Committee	University Executive Board	Steering Committee	
SPD.02.01	Setting and reviewing of transformational Key Performance Indicators	Council	Council	University Executive Board	
SPD.03.01	Approval of the Risk Management Framework and associated policies and procedures	Council	Council	Audit & Risk Committee	
SPD.03.02	Oversight of all academic-related risks	Council	Audit & Risk Committee	Senate	
SPD.03.03	Oversight of Strategic Risk Register	Council	Council	University Executive Board	
SPD.04.01	Approval of the University Masterplan	Council	Council	University Estate & Environment Committee	
SPD.05.01	Development and approval of University brand	Council	University Executive Board	Chief Communications and Marketing Officer	
SU.01.01	Assurance of Students' Union governance	Council	Council	Students' Union	
SU.02.01	Approval of Memorandum and Articles of Association	Council	Council	Students' Union	
SU.03.01	Noting of Students' Union Accounts	Council	Finance & General Purposes Committee	Students' Union	
SU.04.01	Oversight of Student complaints relating to the Student's Union	Senate	Senate	Student Complaints Resolution Procedure	

## **Annex 1: Significant Transaction Definition**

In line with the Committee of University Chairs (CUC) Higher Education Code of Governance, the governing body (i.e. the University Council) has a responsibility for all decisions that might have a significant reputational or financial implication.

In most instances, Higher Education legislations allows its institutions to define what constitutes a significant transaction. The aim of the Scheme is to outline the circumstances when approval of the governing body is required, however, this is not exhaustive. Therefore a general definition of a significant transaction is outlined below.

Significant transactions are big decisions. Often the environment for their consideration is particularly febrile, perhaps carrying a heightened sense of urgency and apparent high stakes in supporting or rejecting the proposal. The financial repercussions, reputational effects and impacts on relevant stakeholders can be particularly great.

All significant transactions must be reported to the Council. If there is any ambiguity as to whether an item of business is significant, please contact the Secretary to Council ([universitycouncil@warwick.ac.uk](mailto:universitycouncil@warwick.ac.uk)).