

## University Scheme of Delegation

Strategy	Authority	Responsibility	Regulation or Procedure
Corporate Strategy (approval)	Board of Governors	Board of Governors	
Education Character (determination of)	Board of Governors (s.3.(1)a and s.5.(3)a Articles of Government)	Board of Governors	Vice-Chancellor (s.3.(2)a Articles of Government)
Mission (approval)	Board of Governors (s.3.(1)a and s.5.(3)a Articles of Government)	Board of Governors	Vice-Chancellor (s.3.(2)a Articles of Government)
Operational Plans (approval)	Vice-Chancellor	VCEG	

Finance	Authority	Responsibility	Regulation or Procedure
Asset Disposal (Equipment & Furniture)	Employment and Finance Committee	Finance Director	Financial Regulations - s22.7
Asset Register	Finance Director	Finance Director	Financial Regulations - s22.2
Borrowing (approval of borrowing facility and limit)	Board of Governors	Employment and Finance Committee	
Budget (approval of)	Board of Governors (s.3.(1)c and s14.3 Articles of Government)	Vice-Chancellor(s.3.(2)e Articles of Government)	
Budget and Resources (management of within estimates approved by the Board of Governors)	Vice-Chancellor (s.3(2)e Articles of Government)	VCEG	
Budget and Resources (monitoring of)	Board of Governors (s14.2 Articles of Government)	Employment and Finance Committee	
Budgetary Control	Finance Director	Principal Budget Holder	Financial Regulations - s12.1
Budgetary Control (departures from target)	Finance Director	Finance Director	Financial Regulations - s12.1
Capital Programme monitoring	Finance Director	Finance Director	Financial Regulations - s11.3
Capital Programme (expenditure protocols)	Finance Director	Finance Director	Financial Regulations - Appendix G
Capital Programme (variations in expenditure)	Finance Director	Finance Director	Financial Regulations - s11.3
Capital Project (post-project evaluation)	Finance Director	Finance Director	Financial Regulations - s11.3

Consultancy (approval of)	Deans and Directors (for all staff other than Deans, Directors and VCEG members)	Deans and Directors (for all staff other than Deans, Directors and VCEG members)	Financial Regulations - s18.2
	Vice-Chancellor (for Deans, Directors and VCEG members)	Vice-Chancellor (for Deans, Directors and VCEG members)	
Contracts (authorisation of)	>£500,000 - in writing and signed by two of: Chair of the Board of Governors, Deputy Chair of the Board of Governors, Chair of the Employment and Finance Committee, Vice-Chancellor		Financial Regulations - s10.1, 10.2
	>£25,000 - in writing and signed by either the Vice-Chancellor or Finance Director		
	< £25,000 - in writing and signed by a Principal Budget Holder (Vice-Chancellor, Deputy Vice-Chancellor, Dean, Director)		
Debt Collection	Finance Director (The Finance Director will submit an annual report to the Employment and Finance Committee)	Finance Director (The Finance Director will submit an annual report to the Employment and Finance Committee)	Financial Regulations - s16.5
Deeds (contracts to be executed as deeds)	Chair of the Board of Governors (or Deputy Chair) and any one other Board member	Chair of the Board of Governors (or Deputy Chair) and any one other Board member	Financial Regulations - s10.4
EU Procurement Legislation	Finance Director	Finance Director	Financial Regulations - s20.7
Expenditure (scheme of delegation)	Finance Director	Finance Director	Financial Regulations - s20.2
Fees (determination of all fees, including for tuition and residential accommodation)	Board of Governors (s14.1 Articles of Government)	Employment and Finance Committee	
Financial Documentation (retention)	Finance Director	Finance Director	Financial Regulations - s13.4
Financial Forecast (submitted to Executive and Employment and Finance Committee on a regular basis throughout the year)	Employment and Finance Committee	Finance Director	Financial Regulations - s11.2
Financial Information (provision of)	Finance Director	Finance Director	Financial Regulations - s12.3
Finance Strategy	Vice-Chancellor	Finance Director	
Fraud	University Secretary	University Secretary	University Fraud Policy and Fraud Response Plan
Gifts or Hospitality (receipt of)	Vice-Chancellor	University Secretary	Financial Regulations - s.9.4 and Expenditure Policy s.9
Income (receipt of)	Finance Director	Finance Director	Financial Regulations - s16.2
Insurance	Finance Director	Finance Director	Financial Regulations - s24.2

Investment	Finance Director	Finance Director	Financial Regulations - s15.2
Invoices (payment of)	Finance Director	Finance Director	Financial Regulations - s20.12
Post Tender Negotiations	Finance Director	Finance Director (N.B. Post tender negotiations are to be reported to the Employment and Finance Committee)	Financial Regulations - s20.9
Procurement	Finance Director	Finance Director	Financial Regulations - s20.3
Purchase Orders	Finance Director	Finance Director	Financial Regulations - s20.4
Purchase Cards	Finance Director	Finance Director	Financial Regulations - s20.5
Purchasing Exemptions	Finance Director	Finance Director	Financial Regulations - s20.9
Resource allocation (approval of main features of resource allocation)	Board of Governors	Employment and Finance Committee	
Resources Allocation (to Schools and Services)	Vice-Chancellor	VCEG	
Resources Allocation (within Schools and Services)	Dean of School/Director of Service	Dean of School or Director of Service	
Resources (effective and efficient use of)	Board of Governors (s.3.(1)b Articles of Government)	Vice-Chancellor	
Research Grant applications	Finance Director	Pro Vice-Chancellor (Research and Innovation)	Financial Regulations - s17.1
Short Courses	Dean of School or Director of Service	Dean of School or Director of Service	Financial Regulations - s18.4
Solvency	Board of Governors (s.3.(1)b Articles of Government)	Vice-Chancellor	
Tax Record (maintenance of)	Finance Director	Finance Director	Financial Regulations - s13.7
Tenders and Quotations	Finance Director	Finance Director (N.B. Tenders and quotes in excess of £500,000 require approval from the Employment and Finance)	Financial Regulations - s20.6
Treasury Management	Employment and Finance Committee	VCEG	
Value For Money	Board of Governors	Audit Committee	
Virement of expenditure	Principal Budget Holder	- Between non-staffing expenditure cost codes: Principal Budget Holder	Financial Regulations - s12.4
	Principal Budget Holder with approval from the Finance Director	- Between staffing and non-staffing expenditure cost codes: Principal Budget Holder with approval from the Finance Director	

Governance, Management and Control	Authority	Responsibility	Regulation or Procedure
Academic Activities (determination of the academic activities of the University)	Vice-Chancellor (s3.(2)d Articles of Government) [taking into account advice from the Academic Board (s3.(3)b Articles of Government)]	VCEG	
Academic Board (appointment of members)	Academic Board (s4 Articles of Government)	Academic Board	
Academic Board (advice on issues referred by the Board of Governors)	Academic Board (s3.(3)c Articles of Government)	Academic Board	
Academic Board (advice on issues referred by the Vice-Chancellor)	Academic Board (s3.(3)c Articles of Government)	Academic Board	
Academic Regulations	Academic Board	Director of Academic Services	
Annual Accounts (approval of)	Board of Governors	Employment and Finance Committee	
Articles of Government (amendments to)	Privy Council (in accordance with s125 Education Reform Act)	Board of Governors	
Bankers (appointment of), opening of bank accounts and designation of bank account signatories	Board of Governors	Employment and Finance Committee	
Board of Governors (appointment of Independent and Co-opted members)	Board of Governors (s6 Instrument of Government)	Nominations Committee	
Board of Governors (implementation of decisions of the Board of Governors)	Board of Governors	Vice-Chancellor	
Chancellor (appointment of)	Board of Governors		
Collaborative Provision	Vice-Chancellor	Director of Academic Services	University Collaborative Ventures Policy and Procedure
Committee Administration (other than for the Board of Governors and Committees of the Board)	Vice-Chancellor	University Secretary	Northumbria University Committee Protocol 2009
Data Protection	Vice-Chancellor	University Secretary	Data Protection Policy
Direction of the University	Vice-Chancellor (s3.(2)b Articles of Government)	VCEG	
European Union Funding (project approval)	Finance Director	Dean of School	Financial Regulations - s20.7
External Auditors (appointment of)	Board of Governors (s14.2 Articles of Government) on receipt of advice from Audit Committee	Audit Committee	Financial Regulations - s18.5

Freedom of Information	University Secretary	Freedom of Information Policy	
Freedom of Speech	Vice-Chancellor	University Secretary	
Institutional Management Structure	Privy Council (in accordance with s125 Education Reform Act)	Board of Governors	
Instrument of Government (amendments to)	Privy Council	Board of Governors	s125 Education Reform Act 1988
Intellectual Property Rights	University Secretary		
Internal Auditors (appointment of)	Board of Governors (s14.2 Articles of Government) on receipt of advice from Audit	Audit Committee	
Legal Affairs	University Secretary		
Library protocols and regulations	Vice-Chancellor	Director of Academic Services	
Management of the University (s3.(2)(b) Articles of Government)	Vice-Chancellor	VCEG	
Non-academic activities (determination of the non-academic activities of the University)	Vice-Chancellor (s3.(2)(d) Articles of Government)	VCEG	
Organisation of the University (s3.(2)(b) Articles of Government)	Vice-Chancellor	VCEG	
Patents (establishment of procedures for approval)	Vice-Chancellor	Director of RBI	
Pro-Chancellor (appointment of)	Board of Governors	Nominations Committee	
Public Interest Disclosure	University Secretary	University Secretary	University Public Interest Disclosure Policy and Procedure
Records Management	University Secretary	Records Management Framework	
Receipt of Grant from the Higher Education Council for England	Financial Memorandum between HEFCE and the University	Vice-Chancellor	
Register of Interests (Board of Governors)	Board of Governors	University Secretary	
Register of Interests (Senior Staff)	Vice-Chancellor	University Secretary	
Risk Management Strategy	Board of Governors	Performance and Risk Committee	
Risk Register (Corporate Risk Register)	Board of Governors	Performance and Risk Committee	
Scheme of Delegation (interpretation of)	University Secretary		
Senior Post-Holders (dismissal and/or suspension of)	Board of Governors (s3.(1)(d) Articles of Government)		

Senior Post-Holders - other than the Vice-Chancellor and the University Secretary (appointment of )	Board of Governors (s3.(1)d Articles of Government)	Senior Posts Appointments Committee
Senior Staff (other than senior-post holders) including VCEG members, Deans and Directors (appointment of)	Vice-Chancellor (s3.(2)c Articles of Government)	
Statement on Internal Control	Board of Governors	Audit Committee
Systems of internal financial management and control and accountability, including financial risk management, financial regulations and financial procedures	Vice-Chancellor	Finance Director
University Company (establishment of)	Board of Governors	Employment and Finance Committee
University Secretary (appointment of)	Board of Governors (s3.(1)d Articles of Government)	Senior Posts Appointments Committee
University Seal (use of)	Chair of Board of Governors (s11 Instrument of Government)	University Secretary
Vice-Chancellor (appointment of)	Board of Governors (s3.(1)d Articles of Government)	Senior Posts Appointments Committee

Property Transactions and Capital Projects	Authority	Responsibility	Regulation or Procedure
Estates Strategy and Capital Programme	Board of Governors	Vice-Chancellor	
Land, Buildings, Plant and Machinery Purchase, Sale, Lease and Rent)	Board of Governors	Employment and Finance Committee	

Staff	Authority	Responsibility	Regulation or Procedure
Academic Freedom	Board of Governors s.10.(2) Articles of Government)	Vice-Chancellor	
Academic Promotion	Vice-Chancellor	Director of Human Resources	Professor, Reader, Enterprise Fellow and Teaching Fellow Appointments Procedure
Appointment of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) Articles of Government)	Director of Human Resources	
Appraisal of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) Articles of Government)	Director of Human Resources	
Approval of early retirement/voluntary redundancy	Vice-Chancellor	Director of Human Resources	
Assignment of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) Articles of Government)	Director of Human Resources	

Disability Discrimination	Vice-Chancellor	Director of Human Resources	Disability Discrimination and Reasonable Adjustment Procedure
Dismissal of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) and s11.11 Articles of Government)	Director of Human Resources	Staff Management – Disciplinary Policy and Procedure
Dismissal of staff (senior post holders)	Board of Governors (s.11.(5) Articles of Government)	Special Committee	
Grading of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) Articles of Government)	Director of Human Resources	
Grievance Procedures (Staff)	Board of Governors (s12.1 Articles of Government)	Vice-Chancellor	
Harassment and Bullying	Vice-Chancellor	Director of Human Resources	Anti-Harassment & Anti-Bullying Policy and Procedure
Health and Safety	Vice-Chancellor	Director of Campus Services	Health and Safety Policies
Leadership of Staff	Vice-Chancellor (s3.(2)b Articles of Government)	Vice-Chancellor	
Overtime payments	Finance Director	Finance Director	Financial Regulations - s21.4
Pay and conditions of service for staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) Articles of Government)	Director of Human Resources	
Pay Award (Approval of national pay award)	Board of Governors	Employment and Finance Committee	
Recruitment Process (approval to begin the process of recruitment to a vacant or new post)	Vice-Chancellor	Director of Human Resources	
Staff Appeals (against dismissal)	Board of Governors (s11.13 Articles of Government)	Vice-Chancellor	
Staff Conduct	Board of Governors (s.10.(1) Articles of Government)	Vice-Chancellor	
Staffing (framework for pay and conditions of all staff other than senior post-holders)	Board of Governors (s.3.(1)e Articles of Government)	Employment and Finance Committee	
Suspension of staff (other than holders of senior posts)	Vice-Chancellor (s3.2.(c) and s11.2 Articles of Government)	Director of Human Resources	University Disciplinary Procedures
Suspension of staff (senior post holders)	Board of Governors (s.11.(1) Articles of Government)		

Students	Authority	Responsibility	Regulation or Procedure
	Academic Appeals	University Secretary	

Academic Regulations	Academic Board	Director of Academic Services	
Causes for Concern (Students raising causes for concern)	University Secretary	University Secretary	s11 Handbook of Student Regulations
Honorary Awards (Award of)	Board of Governors	Honorary Awards Committee	
Student Discipline (maintenance of)	Vice-Chancellor (s3.2.(f) Articles of Government)	University Secretary	s3 Handbook of Student Regulations
Restriction of students (on disciplinary grounds)	Vice-Chancellor (s3.2.(f) Articles of Government)	University Secretary	s3 Handbook of Student Regulations
Restriction or leave of absence of a student on health grounds	Vice-Chancellor	University Secretary	s9 Handbook of Student Regulations
Restriction or leave of absence of a student on health grounds (appeal against)	Vice-Chancellor	University Secretary	s9 Handbook of Student Regulations
Residential accommodation (approval of fees)	Board of Governors	Employment and Finance Committee	
Student Complaints	University Secretary		
Student Conduct	Board of Governors (s13.2 Articles of Government) in consultation with Academic Board and representatives of the student body	Student Disciplinary Rules and Procedures	
Student Expulsion (on disciplinary grounds)	Vice-Chancellor (s3.2.(f) Articles of Government)	Vice-Chancellor	
Student Expulsion (on disciplinary grounds) - appeal against	Board of Governors (s13.5 Articles of Government) in consultation with Academic Board and representatives of the student body	Student Appeals Committee	s3 Handbook of Student Regulations
Student Withdrawal (for unsatisfactory standard of work or other academic reasons)	Academic Board (s13.3 Articles of Government) in consultation with Board of Governors and representatives of the student body	Vice-Chancellor	
Student Withdrawal (for unsatisfactory standard of work or other academic reasons) - appeal against	Board of Governors (s13.5 Articles of Government) in consultation with Academic	Student Appeals Committee	
Students' Union (formation of)	Board of Governors (s13.1 Articles of Government)		
Suspension of student	Vice-Chancellor (s3.2.(f) Articles of Government)	University Secretary	s3 Handbook of Student Regulations
Tuition Fees (approval of fees)	Board of Governors	Employment and Finance Committee	

The Scheme of Delegation was approved by the 7 March 2011 meeting of the Board of Governors

**Philip Booth**  
University Secretary