

UNIVERSITY *of York*

Scheme of Delegation & Decision Making

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1. Introduction

1.1 Duration of validity

With effect from 26th May 2017 and until such date as it may subsequently decide, the Council has reserved specific powers to itself and delegated others as set out in this Scheme.

1.2 Purpose

To define those decision-making powers that are reserved for specific levels of authority. The Scheme is not intended as a general description of roles, remits and responsibilities.

1.3 Coverage

Committees and individuals involved in the governance and management of the University.

1.4 Reporting arrangements

It should be assumed that all significant matters are reported to the Council unless otherwise explicitly stated.

1.5 Urgent Decisions Group

Where an urgent decision is required by Council then approval can be given between meetings by a group comprising

1. Chair of Council
2. Vice-Chancellor and President
3. Deputy Vice-Chancellor and Provost
4. Treasurer
5. Deputy Treasurer
6. Pro-Chancellor
7. An academic member of Council
8. Finance Director
9. Registrar & Secretary
10. YUSU President (except for reserved items of business)

11. GSA President (except for reserved items of business)

The quorum shall be five members, who must include:

1. Vice-Chancellor and President or Deputy Vice-Chancellor and Provost
2. Chair of Council or Pro-Chancellor (but not the Deputy Treasurer if he or she is also a Pro-Chancellor)
3. Treasurer or Deputy Treasurer
4. Registrar & Secretary or Finance Director
5. An academic member of Council

1.6 Delegated powers

While the scheme identifies that certain powers are delegated to specific committees or individual office-holders, any committee or office-holder may decide that a particular issue requires to be ratified by a higher level of authority.

1.7 Named deputies/alternates

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.

1.8 Audit Committee

The Audit Committee may investigate any matters within its terms of reference with full access to information and University staff. The Committee shall bring to the attention of the Chair of Council any matter of concern to the Committee.

1.9 Financial limits

Where decision-making powers have been delegated with financial limits, these limits are as follows:

Capital expenditure including leases

- Over £4m - Council approval required, these schemes must be submitted first to Finance and Policy Committee
- Between £1m and £4m - University Executive Board authorisation required. If the project is Novel then University Executive Board can refer the scheme to Council for approval.

- Between £100k and £1m – Authorised by the Registrar and Secretary and either the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and either the Finance Director or Deputy Finance Director
- Between £20k and £100k - Authorised by the Director of Estates and Campus Services and either the Finance Director or Deputy Finance Director

The value of a lease shall be the total of the discounted cash payments excluding any implicit interest payments (if known).

Disposal of assets

£0- £1k	Heads of Academic Departments/Directors of Support Services
£1k - £10k	Deans of Faculty
£10k - £100k	Finance Director
£100k - £1m	University Executive Board
>£1m	Council

Limits refer to the greater of net book value or sale proceeds

Business developments

£0 -£100k	Deputy Vice-Chancellor & Provost for academic departments
£0 -£100k	Registrar & Secretary for non-academic departments
>£100k	Vice-Chancellor and President

Purchase orders and invoices

Each department has an authorisation hierarchy for purchase orders and purchase invoices which should comply with the following limits for procurement:

£0k- £5k	Use University, regional or national agreements
£5k-£25k	Obtain three quotes and value for money statement
£25k –£100k	For Goods and Services, tender in accordance with Financial Regulations
£25k –£500k	For Estates Works, tender in accordance with Financial Regulations
Over £100k	For Goods and Services, compliance with Financial Regulations and Public Contracts Regulations
£500k- £4.1m	For Estates Works, compliance with Financial Regulations

Over £4.1m For Estates Works, compliance with Financial Regulations and Public Contract Regulations

Main Bank Account signatories

£0-£5k Accountants
>£5k One signature from an member of the finance team authorised for approving bank transactions AND one signature from Vice-Chancellor and President / Registrar & Secretary / Finance Director / Deputy Finance Director/ Commercial Finance Manager

Other Bank Accounts signatories (i.e. deposit accounts)

> £0 Any two signatures from Financial Accountant/ Registrar & Secretary / Finance Director / Deputy Finance Director

Applications, Awards and Contracts for research projects

See table at Appendix 1

Applications, Awards and Contracts for non-research projects

See table at Appendix 1

Budget transfers (virement)

£0-£100k Budget holder
>£100k Relevant Dean of Faculty or Registrar & Secretary for non-academic departments

Guarantees

Guarantees must be approved in accordance with these following limits (including VAT):

Over £4m Council approval required,
£1m - £4m University Executive Board authorisation required.
£100k - £1m Authorised by the Registrar and Secretary and either the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and either the Finance Director or Deputy Finance Director
£20k - £100k Authorised by the Director of Estates and Campus Services and either the Finance Director or Deputy Finance Director
£0k -£20k Head of Department

Such guarantees include underwrites on student accommodation. A guarantee valuation is the maximum potential cash flow value, should the guarantee be triggered.

Benefactions

£1k-£100k	Director of External Relations / Registrar & Secretary
>£100k	Vice-Chancellor and President

1.10 Levels of authority under HR procedures

For details of the above, refer to procedures and guidelines at: <http://www.york.ac.uk/admin/hr/resources/policy>

1.11 Use of the common seal

Vice-Chancellor and President / Deputy Vice-Chancellor & Provost / Treasurer / Registrar & Secretary / Finance Director.

2. University Council

2.1 Strategic and Financial

- 2.1.1 Approve the University's mission, strategic vision, long term academic and business plans and key performance indicators (KPIs)
- 2.1.2 Approve financial strategy, including annual capital programme, annual budgets, borrowing strategy and limits
- 2.1.3 Approve the University's Consolidated Annual Report and Financial Statements
- 2.1.4 Approve priorities for capital expenditure in all areas of the University
- 2.1.5 Approve expenditure on projects with an anticipated cost of more than £4m
- 2.1.6 Approve the investment policy
- 2.1.7 Approve guarantees and indemnities in the University's name to banks and other institutions
- 2.1.8 Approve banking arrangements on the recommendation of Finance and Policy Committee
- 2.1.9 Approve the grant paid annually to the Students' Union and the Graduate Student Association
- 2.1.10 Approve disposal of assets with a net book value or sales proceeds greater than £1m
- 2.1.11 Approve guarantees over £4m
- 2.1.12 Approve research related grant applications over £20m as set out in Appendix 1
- 2.1.13 Approve the Finance Regulations and Scheme of Delegation and Decision Making

2.2 Appointments

- 2.2.1 Approve appointment of Vice-Chancellor and President (in consultation with Senate)
- 2.2.2 Approve appointment of Registrar & Secretary (in consultation with Senate)
- 2.2.3 Approve appointment of internal and external auditors (in consultation with the Audit Committee – see 9.6 below)
- 2.2.4 Approve appointment of lay members of Council including the Chair
- 2.2.5 Approve lay membership of Council Committees

2.3 Redundancy

- 2.3.1 Approve proposals to make redundant 10 or more FTE employees within a department or 10% of the FTE of employees within a department
- 2.3.2 Approve arrangements for making academic and academic-related posts redundant and approve any subsequent redundancies

2.4 Other

- 2.4.1 Approve changes to Charter and Statutes and new Statutes (in consultation with Senate and subject to Privy Council ratification)
- 2.4.2 Approve changes to Ordinances and new Ordinances (in consultation with Senate if relating to “courses of study, the conditions of award of degrees, diplomas and certificates, examinations, the powers and duties of the Senate or the Boards of Studies, the affiliation or incorporation of other institutions and the recognition of teachers”, Charter 16.b)
- 2.4.3 Approve creation of new academic departments
- 2.4.4 Approve purchase of fixed assets valued at more than £4m (net book value)
- 2.4.5 Approve pension arrangements, including contribution rates, for employees
- 2.4.6 Approve standing orders for operation of Council
- 2.4.7 Award honorary degrees
- 2.4.8 Approve the University’s overall remuneration strategy

3 Senate

- 3.1 Approve the overarching academic strategies of the University
- 3.2 Approve new degree regulations and changes to degree regulations
- 3.3 Award degrees and other qualifications
- 3.4 Approve appointment of members of Senate committees and academic members of other committees
- 3.5 Elect Senatorial members of Council

- 3.6 Approve policy for the admission of students to the University
- 3.7 Approve appointment of heads of academic departments and other senior academic appointments
- 3.8 Approve academic promotions
- 3.9 Approve honorary academic appointments
- 3.10 Approve conferment of Emeritus titles on former members of staff
- 3.11 Approve regulations for student discipline
- 3.12 To approve the appointment of internal and external examiners (delegated power to Standing Committee on Assessment)

4 University Executive Board

- 4.1 Approve long-term plans of departments
- 4.2 Approve departmental medium-term plans and budgets
- 4.3 Approve expenditure outside of agreed departmental budgets
- 4.4 Approve disposal of assets with a net book value and sale proceeds of less than £1m
- 4.5 Approve student fee rates (home and overseas) on recommendation of Planning Committee
- 4.6 Approve student accommodation fees (in consultation with Finance Director)
- 4.7 Approve capital expenditure on projects with an anticipated cost up to £4m
- 4.8 Recommend to Council capital expenditure on projects with an anticipated cost over £4m
- 4.9 Recommend to Finance & Policy Committee pension arrangements for employees, including contribution rates
- 4.10 Recommend to Finance & Policy Committee the creation or amendment of pension arrangements
- 4.11 Recommend the quarterly financial forecast to Finance & Policy Committee
- 4.12 Approve employee benefit schemes, excluding pension arrangements
- 4.13 Approve the standard contractual arrangements relating to all staff
- 4.14 Approve guarantees up to £4m
- 4.15 Approve the creation of inter-disciplinary initiatives on recommendation of Planning Committee

5 Finance & Policy Committee

- 5.1 Recommend changes to Financial Regulations and Scheme of Delegation
- 5.2 Recommend the Annual Accounts for approval by Council (jointly with Audit Committee)
- 5.3 Recommend changes to Risk Management Strategy and Corporate risk registers for approval by Council
- 5.4 Recommend changes to borrowing strategy, limits, and associated risk management for approval by Council

- 5.5 Recommend the annual budget and medium term financial forecast for approval by Council
- 5.6 Approve the quarterly financial forecast on recommendation by University Executive Board
- 5.7 Recommend the giving of guarantees and indemnities over £4m to banks and other institutions for approval by Council
- 5.8 Recommend the investment policy for approval by Council
- 5.9 Recommend banking arrangements for approval by Council
- 5.10 Approve short term borrowing/ overdraft arrangements
- 5.11 Recommend to Council pension arrangements for employees, including contribution rates
- 5.12 Recommend to Council the creation or amendment of pension arrangements

6 Health, Safety & Welfare Committee

- 6.1 Approve policies and procedures affecting health and safety

7 Remuneration Committee

- 7.1 Determine the salary and benefits of the Vice-Chancellor & President
- 7.2 Determine salaries and benefits for the Deputy Vice-Chancellor & Provost, the Pro Vice-Chancellors, the Deans of Faculty, the Registrar & Secretary and the Finance Director

8 Remuneration Sub - Committee

- 8.1 Determine pay groups and salary progression arrangements for staff outside the Framework Agreement
- 8.2 Determine individual pay reviews and retention cases for groups outside the Framework Agreement
- 8.3 Determine allowances for relevant staff groups and roles

9 Audit Committee

- 9.1 Approve internal audit strategy and annual plans
- 9.2 Approve external audit strategy
- 9.3 Approve Committee's own annual report for submission to Council and HEFCE
- 9.4 Monitor risk management strategy
- 9.5 Make recommendations to Council for appointment of internal and external auditors

- 9.6 Approve remuneration of internal and external auditors
- 9.7 Approve non audit work undertaken by external auditors

10 Planning Committee

- 10.1 Approve plans for restructuring of academic departments
- 10.2 Recommend to University Executive Board the creation of inter-disciplinary initiatives
- 10.3 Recommend tuition fee levels to the University Executive Board

11 Academic Promotions Committee

- 11.1 Approve confirmation of academic staff appointments following probation
- 11.2 Recommend applications for promotion to Senate for approval

12 Teaching Committee

- 12.1 Approve the introduction of new taught programmes
- 12.2 Approve modifications to existing taught programmes
- 12.3 Approve collaborative provision for taught or research programmes

13 Special Cases Committee

- 13.1 Take final decisions on all cases referred to it under Regulation 2 (Research Degree awards, supervision, assessment), Regulation 5 (University assessments, academic misconduct and the conferment of degrees), Regulation 6 (General academic regulations and procedures for undergraduate students) and Ordinance 8 (Exemption from part of the attendance requirements of the University)
- 13.2 Determine outcome of appeals by students against decisions of Boards of Studies affecting his/her academic progress
- 13.3 Determine the outcome of any other special cases referred to the Committee by Boards of Studies, Graduate Schools Boards, Standing Committee on Assessment, or by Senate

14 Ethics Committee

- 14.1 Approve projects where external approval or funding bodies require the approval of a University-level Ethics Committee

- 14.2 Determine and review the departmental-level mechanisms and procedures for identifying and considering ethical issues arising from academic activities

15 Faculty Boards

- 15.1 Approve faculty nominations to University-wide committees

16 Boards of Studies

- 16.1 Approve subject-level regulations for the teaching, curricula and examination of subjects or groups of subjects in accordance with the University's overarching academic framework
- 16.2 Recommend examiners for appointment by the Senate (via delegated authority to the Standing Committee on Assessment)

17 Standing Committee on Assessment

- 17.1 Approve the appointment of exceptional internal examiners at all levels
- 17.2 Approve the appointment of external examiners at all levels, including terms of appointment
- 17.3 Approve the appointment of assessors for applications for admission to Higher Doctorates
- 17.4 Approve the results and progression of University examinations at all levels
- 17.5 Approve special examination arrangements for all students in University examinations

18 Research Committee

- 18.1 Approve disbursement of funds from the Research Priming Fund
- 18.2 Approve recommendations for extensions of submission deadline for postgraduate students
- 18.3 Determine outcome of appeals by postgraduate research students

19 HYMS Joint Senate Committee

- 19.1 Approve on behalf of the Senates of the Universities, Regulations and appropriate Codes of Practice relating to academic awards for programmes of study offered by HYMS
- 19.2 Approve the appointment of internal and external examiners, on the recommendation of the HYMS Board of Studies

- 19.3 Approve appointments to Honorary Clinical Academic status of teachers in HYMS programmes employed in the National Health Service or other institutions external to the Universities
- 19.4 Approve the academic management structures for progression and for awards on the recommendation of the HYMS Board of Studies
- 19.5 Ratify recommendations for the award of Certificates, Diplomas and Degrees
- 19.6 Hear appeals against decisions of the HYMS Board of Studies in respect of awards, progression, termination, suspension, and other disciplinary sanctions, as laid down in HYMS Code of Practice on Academic and Fitness to Practise Appeals
- 19.7 Create, as required, a sub-committee to hear appeals against decisions of the HYMS Board of Studies taken upon recommendations made by the Fitness to Practise Panel, as laid down in HYMS Code of Practice for Fitness to Practise Medicine
- 19.8 Instruct the Dean of HYMS to instigate any action which may be deemed necessary to maintain and/or enhance the academic quality of any programme of study offered by HYMS

20 Hull York Medical School Joint Board

- 20.1 Approve the management structure of HYMS

21 Nominations Committee

- 21.1 To recommend to Council, nominees to join Court and nominees to be co-opted onto Council.
- 21.2 To recommend to Council each year, nominees to fill Council-appointed vacancies on University committees.
- 21.3 To submit nominations for approval by the Council for the award of Honorary Degrees and additional non-academic honorary awards by the University

22 Subsidiaries Management Group

- 22.1 Approve the formation and winding up of subsidiary, Joint Ventures, associated and spin-off companies
- 22.2 Approve loans and grants to subsidiary, Joint Ventures, associated and spin-off companies of more than £100k
- 22.3 Approve appointment of University employees as directors of subsidiary, associated and spin-out companies
- 22.4 Approve University nominations to the boards of companies

23 Chair of Council

- 23.1 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

24 Treasurer

- 24.1 Approve expenses claims of Vice-Chancellor and President
- 24.2 Approve the use of the common seal (alternate to Vice-Chancellor and President, Deputy Vice-Chancellor & Provost, Finance Director and Registrar & Secretary)
- 24.3 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

25 Deputy Treasurer

- 25.1 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

26 Vice-Chancellor and President

- 26.1 Approve appointments to externally advertised Chairs
- 26.2 Approve applications for research projects which have a value of over £4m or involve capital expenditure of more than £4m (see Appendix 1 for full details)
- 26.3 Approve appointments to second and third-tier senior management grade posts in the central support departments
- 26.4 Approve new business initiatives and plans with a projected annual value of more than £100,000
- 26.5 Exclude, suspend or refuse to admit a student in accordance with Statute 6
- 26.6 Approve returns to HEFCE and HESA
- 26.7 Approve purchase orders and purchase invoices in their department
- 26.8 Appoint a panel for an appeal by an employee against dismissal
- 26.9 Approve early retirement and voluntary severance cases
- 26.10 Approve the creation of new, filling of vacant and extension of existing posts in the central support departments for grades 6-8
- 26.11 Approve the use of the common seal (alternate to Deputy Vice-Chancellor & Provost, Treasurer, Finance Director and Registrar & Secretary)
- 26.12 Approve expenses claims of Deputy Vice-Chancellor & Provost, Registrar & Secretary and Finance Director
- 26.13 Approve benefactions with a value of more than £100,000
- 26.14 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)
- 26.15 Approve guarantees up to £1m alternate with the Deputy Vice-Chancellor & Provost, and jointly with the Registrar and Secretary and Finance Director and Deputy Finance Director
- 26.16 Approve leases with a total discounted cash value up to £1m alternate with the Deputy Vice-Chancellor & Provost, and jointly with the Registrar and Secretary and Finance Director and Deputy Finance Director

27 Deputy Vice-Chancellor & Provost

- 27.1 Approve non-standard applications for student registration
- 27.2 Approve non contractual additional payments to PVCs and Deans of Faculty
- 27.3 Approve expenses claims of PVCs and Deans of Faculty
- 27.4 Approve non contractual additional payments to employees over £5,000, in consultation with the Director of Human Resources
- 27.5 Approve business plans for new academic initiatives with a projected annual value of up to £100,000
- 27.6 Approve use of the common seal (alternative to Vice-Chancellor and President, Treasurer, Finance Director and Registrar & Secretary)
- 27.7 Approve purchase orders and invoices in their department
- 27.8 Approve expenses claims of members of staff in their department
- 27.9 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)
- 27.10 Approve the suspension of students from registration following non payment of tuition fees
- 27.11 Approve guarantees up to £1m alternate with the Vice-Chancellor & President and jointly with the Registrar and Secretary, and the Finance Director or Deputy Finance Director
- 27.12 Approve leases with a total discounted cash value up to £1m alternate with the Vice-Chancellor & President and jointly with the Registrar and Secretary, and the Finance Director or Deputy Finance Director

28 Pro Vice-Chancellor (Research)

- 28.1 Approve grant applications for research related activities up to £4million (see Appendix 1 for full details)

29 Pro Vice-Chancellor (Teaching and Learning)

- 29.1 Approve any contract or arrangement whereby the University provides education to students away from University premises
- 29.2 Approve any contract or arrangement whereby the University provides education to students with the assistance of persons other than the University's own staff

30 Deans of Faculty

- 30.1 Approve non contractual additional payments to employees up to £5,000, in consultation with the Director of Human Resources
- 30.2 Approve expenses claims of heads of academic departments up to £5,000
- 30.3 Approve departmental plans and budgets prior to their submission to Planning Committee
- 30.4 Approve expenditure from budgets held at faculty level

- 30.5 Approve appointment of faculty officers (e.g. Associate Deans of Research)
- 30.6 Recommend intra-faculty interdisciplinary initiatives to Planning Committee
- 30.7 Approve disposal of assets with sale proceeds and net book value of less than £10,000

31 Heads of Academic Departments

- 31.1 Approve academic appointments of academics below the level of Chair (in consultation with chair of appointing panel)
- 31.2 Approve allocation of resources within the Department
- 31.3 Approve expenditure within agreed budgets and in accordance with the Financial Regulations
- 31.4 Approve extended leave of absence for academic staff within the Department
- 31.5 Take disciplinary action against a student in accordance with Regulation 7
- 31.6 Approve cash advances for travel and subsistence to members of staff (jointly with Finance Director)
- 31.7 Approve purchase orders and invoices for his/her department
- 31.8 Approve research related applications in accordance with Appendix 1
- 31.9 Approve non-research-related applications in accordance with Appendix 1
- 31.10 Approve expenses claims of members of staff in his/her department
- 31.11 Approve payments of earned consultancy income to members of staff
- 31.12 Approve payments to workings who are not employees (i.e. casual workers, visiting lecturers)
- 31.13 Approve all variations affecting salaries jointly with the Human Resources Department
- 31.14 Approve overtime payments
- 31.15 Approve payments to students for bursaries, scholarships or fee reductions excluding those relating to the Office of Fair Access scheme.
- 31.16 Jointly approve with the Finance Director, the engagement or continuation of a loss making activity
- 31.17 Approve purchasing card applications
- 31.18 Approve the personal use of assets owned or leased by the University
- 31.19 Approve leases with a total cash value of less than £20,000
- 31.20 Approve disposal of assets with sales proceeds and net book value of less than £1,000
- 31.21 Approve guarantees for less than £20,000

32 Registrar & Secretary

- 32.1 Approve non-research-related contracts or amendments/cancellation of contracts with a value up to £0.5m (see Appendix 1 for full details)
- 32.2 Take disciplinary action against a student in accordance with Regulation 7

- 32.3 Approve non-research-related contracts or amendments/cancellation of contracts with a value greater than £0.5m jointly with the Director of Estates & Campus Services (alternate to the Finance Director)
- 32.4 Act as bank signatory
- 32.5 Approve purchase orders and invoices
- 32.6 Approve the use of the common seal (alternate to Vice-Chancellor and President, Deputy Vice-Chancellor & Provost, Treasurer and Finance Director)
- 32.7 Approve expenses claims of direct reports
- 32.8 Approve expenses claims of Council members (other than the Vice-Chancellor and President)
- 32.9 Approve expenses claims of the Chancellor
- 32.10 Approve benefactions with a value of up to £100,000 (alternate to Director of External Relations)
- 32.11 Approve resolutions on behalf of Council in accordance with urgent decisions section 1.5.
- 32.12 Approve guarantees between up to £1m, jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Finance Director or Deputy Finance Director
- 32.13 Approve leases with a total cash value up to £1m, jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Finance Director or Deputy Finance Director

33 Directors of Support Services

- 33.1 Some of the Directors of Support Services have specific authorisations in addition to those listed in this section. These authorisations are listed later in this document.
- 33.2 Approve expenditure in accordance with agreed budgets and the Financial Regulations
- 33.3 Approve confirmation of appointments following probation for relevant support staff
- 33.4 Approve the creation of new, filling of vacant and extension of existing posts in central support departments for grades 1-5
- 33.5 Approve cash advances for travel and subsistence to members of staff (jointly with Finance Director)
- 33.6 Approve disposal of assets with sale proceeds and net book value of less than £1,000
- 33.7 Approve purchase orders and invoices for his/her support service
- 33.8 Approve expenses claims of members of staff in his/her support service
- 33.9 Approve payments to students for bursaries, scholarships or fee reductions relating to the Office of Fair Access (Director of Student Support Services only)

34 Academic Registrar

- 34.1 Approve changes to Student Tuition fee status where there is a dispute (e.g. Home to Overseas)
- 34.2 Approve waiving of tuition fees/ charging of repeat tuition fees based on recommendation from Special Cases Committee
- 34.3 Impose disciplinary penalties in accordance with Regulation 7 in the Charter and Statute.

35 Director of Estates & Campus Services

- 35.1 Approve appointment of contractors for building and maintenance works for contracts of a value up to £1m
- 35.2 Approve non-research-related contracts or amendments/cancellation of contracts with a value up to £0.5m
- 35.3 Approve non-research-related contracts or amendments/cancellation of contracts with a value greater than £0.5m jointly with the Finance Director or Registrar and Secretary
- 35.4 Approve purchase orders and invoices for their support service
- 35.5 Approve expenses claims of members of staff in their support service
- 35.6 Approve leases with a total cash value up to £100,000, jointly with the Finance Director or Deputy Finance Director

36 Director of Commercial Services

- 36.1 Approve non-research-related contracts or amendments to contracts with a value of up to £500,000
- 36.2 Approve purchase orders and invoices for their support service
- 36.3 Approve expenses claims of members of staff in their support service

37 Finance Director

- 37.1 Approve changes to Financial and Purchasing Procedures
- 37.2 Approve administrative and security arrangements relating to University investments and bank accounts
- 37.3 Approve research-related applications and contracts in accordance with Appendix 1
- 37.4 Approve non-research-related applications and contracts in accordance with Appendix 1
- 37.5 Sign all related leases
- 37.6 Approve cash advances for travel and subsistence to members of staff (jointly with heads of departments)
- 37.7 Approve staff loan schemes (jointly with Director of Human Resources)
- 37.8 Approve investment of funds on University's behalf in accordance with Treasury policy (with countersignature of Deputy Finance Director or other bank signatory)

- 37.9 Act as bank signatory
- 37.10 Approve bank signatories
- 37.11 Approve purchase orders and invoices for their support service
- 37.12 Approve expenses claims of members of staff in their support service
- 37.13 Approve the creation of new, filling of vacant and extension of existing posts in central support departments for grades 6-8
- 37.14 Approve salary deductions and payments to collecting bodies such as HMRC, pension schemes (alternate to Deputy Finance Director)
- 37.15 Approve the use of the common seal (alternate to Vice-Chancellor and President, Deputy Vice-Chancellor & Provost, Treasurer and Registrar & Secretary)
- 37.16 Approve resolutions on behalf of Council in accordance with urgent decisions section 1.5.
- 37.17 Recommend banking and investment arrangements to Finance & Policy Committee and Council
- 37.18 Approve arrangements to collect funds using direct debits and standing orders
- 37.19 Approve arrangements to receive credit or debit card payments using terminals or on line processes.
- 37.20 Jointly approve with the Head of Department, the engagement or continuation of a loss making activity.
- 37.21 Approve short term borrowing using the revolving credit facility to cover day to day cash short falls
- 37.22 Approve procedures on the use of interest rate swaps, forward currency contracts and other financial instruments
- 37.23 Approve the write off of debts over £5,000
- 37.24 Approve tuition fees jointly with the University Executive Board
- 37.25 Approve guarantees between £100,000 and £1m, alternate with the Deputy Finance Director and jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Registrar and Secretary
- 37.26 Leases with a total cash value up to £1m, alternate with the Deputy Finance Director and jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Registrar and Secretary
- 37.27 Approve leases with a total cash value up to £100,000, alternate with the Deputy Finance Director and jointly with the Director of Estates and Campus Services
- 37.28 Approve disposal of assets with sale proceeds and net book value of less than £100,000
- 37.29 Approve non-research-related contracts or amendments/cancellation of contracts with a value greater than £0.5m jointly with the Director of Estates & Campus Services (alternate to the Registrar and Secretary)

38 Deputy Finance Director

- 38.1 Sign research - related contracts and applications in accordance with Appendix 1
- 38.2 Approve investment of funds on university's behalf in accordance with Treasury policy (with countersignature of Finance Director or other bank signatory)

- 38.3 Act as bank signatory
- 38.4 Approve salary deductions and payments to collecting bodies such as HMRC, pension schemes (alternate to Finance Director)
- 38.5 Approve purchase orders and invoices for their support service
- 38.6 Approve expenses claims of members of staff in their support service
- 38.7 Approve cash advances for travel and subsistence to members of staff (jointly with heads of departments)
- 38.8 Approve the write off of debts over £5,000
- 38.9 Approve guarantees up to £1m, alternate with the Finance Director and jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Registrar and Secretary
- 38.10 Approve leases with a total cash value up to £1m, alternate with the Finance Director and jointly with the Vice-Chancellor & President or Deputy Vice-Chancellor & Provost, and Registrar and Secretary
- 38.11 Approve leases with a total cash value up to £100,000, alternate with the Finance Director and jointly with the Director of Estates and Campus Services

39 Director of Human Resources

- 39.1 Appoint a manager to hear an appeal against formal disciplinary action under the grievance procedure
- 39.2 Approve purchase orders and invoices for their support service
- 39.3 Approve expenses claims of members of staff in their support service
- 39.4 Approve staff loan schemes (jointly with Finance Director)
- 39.5 Approve severance payments

40 Director of Information Services

- 40.1 Sign licence agreements and purchase orders for books, journals, equipment and software, where expenditure is within agreed budget.
- 40.2 Approve purchase orders and invoices for their support service
- 40.3 Approve expenses claims of members of staff in their support service

41 Director of Research and Enterprise

- 41.1 Sign research and related contracts in accordance with Appendix 1(alternate to Director and Deputy Finance Director)

42 Director of External Relations

- 42.1 Approve benefactions with a value of up to £100,000 (alternate to Registrar & Secretary)
- 42.2 Approve purchase orders and invoices for their support service
- 42.3 Approve expenses claims of members of staff in their support service
- 42.4 Approve significant fund-raising campaigns

43 Intellectual Property and Legal Manager

- 43.1 Sign confidentiality agreements and materials transfer agreements on behalf of the University
- 43.2 Sign sponsorship and insurance declarations relating to clinical trials
- 43.3 Sign research-related memoranda of understanding, heads of terms and non-financial IP licences
- 43.4 Approve research and non-research related contracts and applications in accordance with Appendix 1

44 Contracts and Sponsorship Manager

- 44.1 Sign sponsorship and insurance declarations to clinical trials (alternate to Intellectual Property and Legal Manager)

45 Operations Manager, Research Grants and Contracts

- 45.1 Sign research-related contracts in accordance with Appendix 1.

46 Heads of College (formerly Provosts)

- 46.1 Take disciplinary action against a student in accordance with Regulation 7

47 Assistant Director – Management Accounts

- 47.1 Act as bank signatory

48 Support Services – Heads of Sections

- 48.1 Heads of Sections of Support Services report to Directors of Support Services. Some Heads of Support Sections may attend Heads of Department Forum.
- 48.2 Approve purchase orders and invoices up to value defined in financial regulations

49 Director of Registry Services

- 49.1 Approve studentship arrangements up to £250,000

50 Assistant Registrar: Student Progress

- 50.1 Approve studentship arrangements up to £250,000

51 Assistant Finance Director - Finance Shared Services

- 51.1 Approve payment of tuition fees and accommodation fees in instalments
- 51.2 Approve debt write offs less than £5,000

52 Assistant Finance Director - Procurement

- 52.1 Review all orders above £50,000 before they are placed

Appendix 1 – Scheme of delegation by project type

Limits	Activity type	Research Related Activities (Note 2)											Non-Research Related Activities		
		Total York Value (Note 1)	R codes Under £1m	R codes Over £1m	R codes £1m-£4m	R codes £4m - £20m	R codes Over £20m	AC codes for Studentships	AC codes for Studentships	AC, E codes Under £250k	AC, E codes £250k-£1m	AC, E codes Over £1m	AC, E codes Over £1m	AC, C, E, H codes Under £500k	AC, C, E, H codes Over £500k
Application	Costing Approval			RGC: Revenue elements			Management Accountant		HoD or nominee			HoD and Capital Accountant	HoD or nominee		
	Outline Case Approval	HoD	PVC-R	PVC-R	DFD and PVC-R	FD and PVC-R	HoD	PVC-R	HoD, if relevant		PVC-R		HoD	FD	
	Full Application Approval	HoD	PVC-R	PVC-R	UEB	Council	HoD	PVC-R	HoD, if relevant		PVC-R	PVC-R and FD	HoD	FD	
	Administrative Authority Signatory <small>(where required by sponsor in addition to HoD or where VC/PVC-R approval made by another means)</small>	RGC Grant Co-ordinator		DFD	FD		DRS or AR-SP		Not Relevant or Not Specified			Registrar	FD		
	Tender Terms and Conditions Review and Approval	IPL											Varies depending on contract type (Note 3)		
Award/Contract	Grant standard acceptance <small>(i-es etc)</small>	RGC Grant Co-ordinator		If relevant, RGC Grant Co-ordinator/ Capital Accountant			DRS or AR-SP		For Research Council/EU awards - RGC (otherwise not relevant)			Not Applicable			
	Collaboration Agreement Draft/Review	IPL											Varies depending on contract type		
	Collaboration Agreement/ Letter of Collaboration Intent Signatory <small>(where this is additional to the sponsor contract)</small>						DRS or AR-SP		RGC Manager			Registrar			
	Contract Review	IPL											Varies depending on contract type (Note 3)		
	Contract Signatory	RGC Manager	DFD (Alternates DoRE or FD)				DRS or AR-SP		DFD (Alternates DoRE or FD)	RGC Manager	DFD (Alternates DoRE or FD)			Registrar	FD
	Confidentiality Agreement, MTA, MoU, heads of terms, non-financial IP licences signatory	Intellectual Property & Legal Manager											Varies depending on contract type (Note 3)		
	Clinical trials agreement signatory <small>(sponsorship, insurance declarations, non-financial subcontracts)</small>	Intellectual Property & Legal Manager or Contracts and Sponsorship Manager											Not Applicable		
	Commercialisation agreement Signatory <small>(financial IP licences etc)</small>	not applicable							DoRE				DoRE		
	Claim Institutional Signatory	RGC Grant Co-ordinator		RGC: Revenue elements			RSA staff		For Research Councils and EU - RGC Grant Co-ordinator. For other funders - HoD or nominee			HoD or nominee			
Note 1	Normally the contract risk and rewards associated with York will only derive from the York element of a collaborative project - hence the threshold levels apply normally to the University of York value only. However, if the University of York carries the risk associated with other partners, the threshold should be applied to the total project value.														
Note 2	"Research Related Activities" included any activities associated with Research, not only R codes - it includes studentships, use of research facilities etc.														
Note 3	The Intellectual Property and Legal Manager can provide guidance on who should approve the contracts. Is it noted that - Employment agreements are handled by HR - Procurement related agreements are handled by Procurement - Land conveyancing, leases and licences are handled by Estates														
Abbreviations	UEB = University Executive Board, DFD = Deputy Finance Director, FD = Finance Director, DoRE = Director of Research and Enterprise, DRS = Director Registry Services, AR-SP = Assistant Registrar (student progress), RSA = Research Student Administration, IPL = Intellectual Property and Legal Team														

Appendix 2 Approval Limits for Capital Expenditure, Leases, Guarantees and Indemnities

Value	Approval Persons/Body
£0 -£19,999 (note 4)	Head of Department
£20,000 - £100,000	The Director of Estates and Campus Services AND one of the Finance Director or Deputy Finance Director
£100,001 - £1,000,000	One of the Vice Chancellor or Deputy Vice Chancellor and Provost AND the Registrar and Secretary AND one of the Finance Director or Deputy Finance Director
£1,000,001 - £4,000,000	University Executive Board (excluding novel projects (see note 1))
In excess of £4,000,001	Council (having been recommended for approval by FPC)

Note 1 - If the project is novel, then The Board have discretion to require approval by Council.

Note 2 – All leases are signed by the Finance Director

Note 3 – Guarantees are normally sealed in accordance with the Finance Regulations, if not sealed then must be signed by Director of Finance

Note 4 – expenditure less than £20,000 is not capital expenditure, however all leases and guarantees less than £20,000 must be approved by the Head of Department