Scheme of Delegation & Decision Making-Powers

Version 24: 30 November 2016
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1. Introduction

1.1 Duration of validity
With effect from 11 November 2016 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
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
3. Deputy Vice-Chancellor
4. Treasurer
5. Deputy Treasurer
6. Pro-Chancellor
7. An academic member of Council
8. Director of Finance
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 or Deputy Vice-Chancellor
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 Director of Finance

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 escalated from individuals to another individual/body etc.

When the financial approval mechanism through Council is not possible for any reason, authority is delegated to a group consisting of the Chair of Council, the Treasurer, the Vice-Chancellor and the Deputy Vice-Chancellor & Provost, advised by the Director of Finance (with the outcome reported to Council at the next available opportunity).

The financial limits are as follows:
**Capital expenditure**

<table>
<thead>
<tr>
<th>Category</th>
<th>Approval Limit</th>
<th>Approver</th>
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<tbody>
<tr>
<td>Research capital expenditure £0 - £250k</td>
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<td>Head of Department</td>
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<td>Research capital expenditure £250k - £1m</td>
<td></td>
<td>Pro-Vice Chancellor (Research)</td>
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<tr>
<td>Non Research capital expenditure £0 - £1m</td>
<td></td>
<td>Registrar &amp; Secretary, Director of Finance, Director of Estates &amp; Campus Services</td>
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<tr>
<td>Capital expenditure £1m-4m</td>
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<td>University Executive Board</td>
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<tr>
<td>Capital expenditure &gt; £4m</td>
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<td>University Council</td>
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**Leasing**

The approval limits for leases are one fifth of the capital approval limits. Director of Finance signs all leases.

The annual lease costs and their approvals are:

<table>
<thead>
<tr>
<th>Category</th>
<th>Approval Limit</th>
<th>Approver</th>
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<tbody>
<tr>
<td>Research capital expenditure £0 - £50k</td>
<td></td>
<td>Head of Department</td>
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<tr>
<td>Research capital expenditure £50k - £200k</td>
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<td>Pro-Vice Chancellor (Research)</td>
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<td>Non Research capital expenditure £0 - £200k</td>
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<td>Registrar &amp; Secretary, Director of Finance, Director of Estates &amp; Campus Services</td>
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<tr>
<td>Capital expenditure £201k-£800k</td>
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<td>University Executive Board</td>
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<td>Capital expenditure &gt; £801k</td>
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<td>University Council</td>
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**Disposal of assets**

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<tr>
<th>Category</th>
<th>Approval Limit</th>
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<tbody>
<tr>
<td>£0 - £10k</td>
<td></td>
<td>Heads of Academic Departments/Directors of Support Services</td>
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<tr>
<td>£10k - £100k</td>
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<td>Registrar &amp; Secretary</td>
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<td>£100k - £1m</td>
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<td>University Executive Board</td>
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<td>&gt;£1m</td>
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<td>Council</td>
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Limits refer to net book value or proceeds

**Business developments for academic departments**

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<thead>
<tr>
<th>Category</th>
<th>Approval Limit</th>
<th>Approver</th>
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<tbody>
<tr>
<td>£0 - £100k</td>
<td></td>
<td>Deputy Vice-Chancellor &amp; Provost</td>
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<td>&gt;£100k</td>
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<td>Vice-Chancellor</td>
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**Business developments for non-academic departments**

<table>
<thead>
<tr>
<th>Category</th>
<th>Approval Limit</th>
<th>Approver</th>
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<tbody>
<tr>
<td>£any</td>
<td></td>
<td>Registrar &amp; Secretary</td>
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**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 Public Contract regulations
- **£500k - £4.3m**: For Estates Works, compliance with EU Procurement regulations
- **Over £4.3m**: For Estates Works, compliance with Public Contract regulations

### Main Bank Account signatories

- **£0 - £5k**: Accountants
- **>£5k**: One Accountant signature (as listed in section 45) AND one signature from Vice-Chancellor / Registrar & Secretary / Director of Finance / Deputy Director of Finance / Commercial Finance Manager

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

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

### 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

**Capital expenditure**

- Research capital expenditure £0 - £250k: Head of Department
Research capital expenditure £250k - £1m  Pro-Vice Chancellor (Research)
Non Research capital expenditure £0- £1m  Registrar & Secretary, Director of Finance, Director of Estates & Campus Services
Capital expenditure £1m-4m  University Executive Board
Capital expenditure > £4m  University Council

Non capital expenditure  Director of Finance

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

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

2. University Council

2.1 Strategic and Financial
2.1.1 Approve the University's mission, strategic vision, long term business plans, key performance indicators (KPIs) and annual budgets (prior to submission to HEFCE)
2.1.2 Approve financial strategy, including annual capital programme, annual budgets and borrowing strategy
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 capital expenditure on projects with an anticipated cost of more than £4m

2.2 Appointments
2.2.1 Approve appointment of Vice-Chancellor (in consultation with Senate)
2.2.2 Approve appointment of Registrar & Secretary (in consultation with Senate)
2.2.3 Approve appointment of Librarian (in consultation with Senate)
2.2.4 Approve appointment of internal and external auditors (in consultation with the Audit Committee – see 9.6 below)
2.2.5 Approve appointment of lay members of Council including the Chair
2.2.6 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 disposal of assets valued at more than £1m (net book value)
2.4.5 Approve arrangements for superannuation of 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
2.4.9 Approve research related applications over £4m as set out in Appendix 1

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

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 the formation and winding up of subsidiary, associated and spin-off companies
4.5 Approve loans and grants to subsidiary companies of more than £100k
4.6 Approve disposal of assets with a value of less than £100k (net book value)
4.7 Approve student fee rates (home and overseas)
4.8 Determine student accommodation fees (in consultation with Director of Finance)
4.9 Approve capital expenditure on projects with an anticipated cost of more than £4m

5  Finance & Policy Committee
5.1 Approve changes to Financial Regulations
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 short term borrowing/ overdraft arrangements

6  Health & Safety Committee
6.1 Approve policies and procedures affecting health and safety

7  Remuneration Committee
7.1 Determine salaries of the Vice-Chancellor
7.2 Determine salaries for the Senior Management pay group.

8 **Audit Committee**
8.1 Approve internal audit strategy and annual plans
8.2 Approve external audit strategy
8.3 Approve Committee’s own annual report for submission to Council and HEFCE
8.4 Monitor risk management strategy
8.5 Make recommendations to Council for appointment of internal and external auditors
8.6 Approve remuneration of internal and external auditors
8.7 Approve non audit work undertaken by external auditors

9 **Planning Committee**
9.1 Approve plans for restructuring of academic departments
9.2 Approve creation of inter-disciplinary centres
9.3 Approve tuition fee levels

10 **Academic Promotions Committee**
10.1 Approve confirmation of academic staff appointments following probation

11 **Teaching Committee**
11.1 Approve the introduction of new taught and research programmes of study
11.2 Approve modifications to existing taught programmes
11.3 Approve collaborative provision for taught or research programmes
12  **Special Cases Committee**  
12.1 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)  
12.2 Determine outcome of appeals by students against decisions of Boards of Studies affecting his/her academic progress  

13  **Ethics Committee**  
13.1 Approve projects where external approval or funding bodies require the approval of a University-level Ethics Committee  
13.2 Determine and review the departmental-level mechanisms and procedures for identifying and considering ethical issues arising from academic activities  

14  **Faculty Boards**  
14.1 Approve faculty nominations to University-wide committees  

15  **Boards of Studies**  
15.1 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  
15.2 Recommend examiners for appointment by the Senate (via delegated authority to the Standing Committee on Assessment)  

16  **Standing Committee on Assessment**  
16.1 Approve the appointment of internal examiners at all levels  
16.2 Approve the appointment of external examiners at all levels, including terms of appointment  
16.3 Approve the results of University examinations at all levels  
16.4 Approve recommendations for transfer of registration for graduate and postgraduate students  
16.5 Approve the remuneration levels for external examiners
17 Research Committee
17.1 Approve disbursement of funds from the Research Priming Fund
17.2 Approve recommendations for extensions of submission deadline for postgraduate students
17.3 Determine outcome of appeals by postgraduate research students

18 HYMS Joint Senate Committee
18.1 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
18.2 Approve the appointment of internal and external examiners, on the recommendation of the HYMS Board of Studies
18.3 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
18.4 Approve the academic management structures for progression and for awards on the recommendation of the HYMS Board of Studies
18.5 Ratify recommendations for the award of Certificates, Diplomas and Degrees
18.6 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
18.7 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
18.8 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

19 Hull York Medical School Joint Board
19.1 Approve the management structure of HYMS

20 Operations Group
20.1 Approve revisions to car parking charges following consultation with campus trade unions

21 Chair of Council
21.1 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)
22 **Treasurer**
22.1 Approve expenses claims of Vice-Chancellor
22.2 Approve the use of the common seal (alternate to Vice-Chancellor, Deputy Vice-Chancellor & Provost, Director of Finance and Registrar & Secretary)
22.3 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

23 **Deputy Treasurer**
23.1 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

24 **Vice-Chancellor**
24.1 Approve appointments to externally advertised Chairs
24.2 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)
24.3 Approve appointment of University employees as directors of subsidiary, associated and spin-out companies
24.4 Approve appointments to second and third-tier senior management grade posts in the central support departments
24.5 Approve business plans for new academic initiatives with a projected annual value of more than £100,000
24.6 Exclude, suspend or refuse to admit a student in accordance with Statute 6
24.7 Approve returns to HEFCE and HESA
24.8 Approve University nominations to the boards of companies
24.9 Approve purchase orders and purchase invoices
24.10 Appoint a panel for an appeal by an employee against dismissal
24.11 Approve early retirement and voluntary severance cases
24.12 Approve the use of the common seal (alternate to Deputy Vice-Chancellor & Provost, Treasurer, Director of Finance and Registrar & Secretary)
24.13 Approve expenses claims of Deputy Vice-Chancellor & Provost, Registrar & Secretary and Director of Finance
24.14 Approve benefactions with a value of more than £100,000
24.15 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)
25 Deputy Vice-Chancellor & Provost
25.1 Approve non-standard applications for student registration
25.2 Approve expenses claims of PVCs and Deans of Faculty
25.3 Approve business plans for new academic initiatives with a projected annual value of up to £100,000
25.4 Approve use of the common seal (alternative to Vice-Chancellor, Treasurer, Director of Finance and Registrar & Secretary)
25.5 Approve purchase orders and invoices in his/her area
25.6 Approve expenses claims of members of staff in his/her area
25.7 Approve resolutions on behalf of Council in accordance with urgent decisions section (1.5)

26 Pro Vice-Chancellor (Research)
26.1 Approve applications for research related activities (see Appendix 1 for full details)

27 Deans of Faculty
27.1 Approve expenses claims of heads of academic departments
27.2 Approve departmental plans and budgets prior to their submission to Planning Committee
27.3 Approve expenditure from budgets held at faculty level
27.4 Approve appointment of faculty officers (e.g. Associate Deans of Research)
27.5 Approve intra-faculty interdisciplinary initiatives (subject to sign off by UEB or Planning Committee as appropriate)

28 Heads of Academic Departments
28.1 Approve academic appointments of academics below the level of Chair (in consultation with chair of appointing panel)
28.2 Approve allocation of resources within the Department
28.3 Approve expenditure within agreed budgets and in accordance with the Financial Regulations
28.4 Approve extended leave of absence for academic staff within the Department
28.5 Approve disposal of assets with a value of less than £10,000 (net book value)
28.6 Take disciplinary action against a student in accordance with Regulation 7
28.7 Approve cash advances to members of staff (jointly with Director of Finance)
28.8 Approve purchase orders and invoices for his/her department
28.9 Approve research related applications in accordance with Appendix 1
28.10 Approve non-research-related applications in accordance with Appendix 1
28.11 Approve expenses claims of members of staff in his/her department
28.12 Approve payments to members of staff of earned consultancy income

29 Registrar & Secretary
29.1 Approve non-research-related contracts or amendments/cancellation of contracts with a value up to £0.5m (see Appendix 1 for full details)
29.2 Approve creation of new posts, filling of vacant posts and extension of existing posts in central support departments for posts in grades 6-8
29.3 Approve disposal of assets with a value of less than £100,000 (net book value)
29.4 Take disciplinary action against a student in accordance with Regulation 7
29.5 Act as bank signatory for transactions over £5,000
29.6 Approve purchase orders and invoices
29.7 Approve the use of the common seal (alternate to Vice-Chancellor, Deputy Vice-Chancellor & Provost, Treasurer and Director of Finance)
29.8 Approve expenses claims of direct reports
29.9 Approve expenses claims of Council members (other than the Vice-Chancellor)
29.10 Approve expenses claims of the Chancellor
29.11 Approve benefactions with a value of up to £100,000 (alternate to Director of External Relations)
29.12 Approve resolutions on behalf of Council in accordance with urgent decisions section 1.5.

30 Directors of Support Services
30.1 Directors of Support Services are in charge of their support service. They have heads of support sections who report to them. 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.
30.2 Approve expenditure in accordance with agreed budgets and the Financial Regulations
30.3 Approve confirmation of appointments following probation for relevant support staff
30.4 Approve creation of new posts, filling of vacant posts and extension of existing posts in central support departments for posts in grades 6-8
30.5 Approve cash advances to members of staff (jointly with Director of Finance)
30.6 Approve disposal of assets with a value of less than £10,000 (net book value)
30.7 Approve purchase orders and invoices for his/her support service
30.8 Approve expenses claims of members of staff in his/her support service
31 **Academic Registrar**
31.1 Approve changes to Student Tuition fee status where there is a dispute (e.g. Home to Overseas)
31.2 Approve waiving of tuition fees/charging of repeat tuition fees based on recommendation from Special Cases Committee.
31.3 Impose disciplinary penalties in accordance with Regulation 7 in the Charter and Statutes.

32 **Director of Estates & Campus Services**
32.1 Approve, with the countersignature of the Director of Finance, property leases (either as lessor or lessee)
32.2 Approve appointment of contractors for building and maintenance works for contracts of a value up to £1m
32.3 Approve non-research-related contracts or amendments/cancellation of contracts with a value up to £0.5m
32.4 Approve purchase orders and invoices for the support service
32.5 Approve expenses claims of members of staff in the support service

33 **Director of Commercial Services**
33.1 Approve non-research-related contracts or amendments to contracts with a value of up to £500,000
33.2 Approve purchase orders and invoices for the support service
33.3 Approve expenses claims of members of staff in the support service

34 **Director of Finance**
34.1 Approve changes to Financial and Purchasing Procedures
34.2 Approve administrative and security arrangements relating to University investments and bank accounts
34.3 Approve research-related applications and contracts in accordance with Appendix 1
34.4 Approve non-research-related applications and contracts in accordance with Appendix 1
34.5 Countersign, with the Director of Estates & Campus Services, property leases (either as lessor or lessee)
34.6 Sign all non-property related leases
34.7 Approve cash advances to members of staff (jointly with heads of departments)
34.8 Approve investment of funds on University’s behalf in accordance with Treasury policy (with countersignature of Deputy Director of Finance or other bank signatory)
34.9 Act as bank signatory for transactions over £5,000
34.10 Approve purchase orders and invoices for the support service
34.11 Approve expenses claims of members of staff in the support service
34.12 Approve salary deductions and payments to collecting bodies such as HMRC, pension schemes (alternate to Deputy Director of Finance)
34.13 Approve the use of the common seal (alternate to Vice-Chancellor, Deputy Vice-Chancellor & Provost, Treasurer and Registrar & Secretary)
34.14 Approve resolutions on behalf of Council in accordance with urgent decisions section 1.5.
34.15 Approve banking and investment arrangements.

35 Deputy Director of Finance
35.1 Sign research-related contracts and applications in accordance with Appendix 1
35.2 Approve investment of funds on university’s behalf in accordance with Treasury policy (with countersignature of Director of Finance or other bank signatory)
35.3 Act as bank signatory for transactions over £5,000
35.4 Approve salary deductions and payments to collecting bodies such as HMRC, pension schemes (alternate to Director of Finance)
35.5 Approve purchase orders and invoices for the support service
35.6 Approve expenses claims of members of staff in the support service
35.7 Approve cash advances to members of staff (jointly with heads of departments)

36 Director of Human Resources
36.1 Appoint a manager to hear an appeal against formal disciplinary action under the grievance procedure
36.2 Approve purchase orders and invoices for the support service
36.3 Approve expenses claims of members of staff in the support service

37 Director of Information
37.1 Sign licence agreements and purchase orders for books, journals, equipment and software, where expenditure is within agreed budget.
37.2 Approve purchase orders and invoices for the support service
37.3 Approve expenses claims of members of staff in the support service

38 Director of Research and Enterprise Services
38.1 Sign research and related contracts in accordance with Appendix 1(alternate to Director and Deputy Director of Finance)
39 **Director of External Relations**
39.1 Approve benefactions with a value of up to £100,000 (alternate to Registrar & Secretary)
39.2 Approve purchase orders and invoices for the support service
39.3 Approve expenses claims of members of staff in the support service

40 **Intellectual Property Manager**
40.1 Sign confidentiality agreements and materials transfer agreements on behalf of the University
40.2 Sign sponsorship and insurance declarations relating to clinical trials
40.3 Sign research-related memoranda of understanding, heads of terms and non-financial IP licences
40.4 Approve research and non-research related contracts and applications in accordance with Appendix 1

41 **Research Grants and Contracts Manager**
41.1 Sign research-related contracts in accordance with Appendix 1.

42 **Heads of College** *(formerly Provosts)*
42.1 Take disciplinary action against a student in accordance with Regulation 7

43 **Commercial Finance Manager**
43.1 Act as bank signatory for transactions over £5,000

44 **Support Services – Heads of Sections**
44.1 Heads of Sections of Support Services report to Directors of Support Services. Some Heads of Support Sections may attend Heads of Department Forum.
44.2 Approve purchase orders and invoices up to value defined in financial regulations
45 **VAT & Subsidiaries Accountant, Financial Accountant, Finance Accounts Manager and Group Financial Controller**

45.1 Act as bank signatory for transactions up to and including £5,000

45.2 Approve salary deductions and payments to collecting bodies such as HMRC, pension schemes, for amounts up to £5,000

46 **Director of Registry Services**

46.1 Approve studentship arrangements up to £250k

47 **Assistant Registrar: Student Progress**

47.1 Approve studentship arrangements up to £250k
## Appendix 1 – Scheme of delegation by project type

<table>
<thead>
<tr>
<th>Activity Type</th>
<th>Research Related Activities</th>
<th>Non-Research Related Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td><strong>Total York Value</strong> (Note 1)</td>
<td><strong>R codes</strong></td>
</tr>
<tr>
<td></td>
<td>Under £250k</td>
<td>£250k-£1m</td>
</tr>
<tr>
<td><strong>Costing Approval</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>Capital Accountant: Capital elements</td>
</tr>
<tr>
<td><strong>Outline Case Approval</strong></td>
<td>HoD</td>
<td>PVC-R</td>
</tr>
<tr>
<td><strong>Full Application Approval</strong></td>
<td>HoD</td>
<td>PVC-R</td>
</tr>
<tr>
<td><strong>Tender Terms and Conditions Review and Approval</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>DDoF</td>
</tr>
<tr>
<td><strong>Grant standard acceptance (as required)</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>If relevant, RGC Grant Co-ordinator/ Capital Accountant</td>
</tr>
<tr>
<td><strong>Collaboration Agreement Draft/Review</strong></td>
<td>Contracts Officer / IP Manager</td>
<td>Contracts Officer / IP Manager</td>
</tr>
<tr>
<td><strong>Collaboration Agreement Letter of Collaboration Intent Signatory</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>DRS or AR or DoF</td>
</tr>
<tr>
<td><strong>Contract Review</strong></td>
<td>Contracts Officer / IP Manager (or European Officer for EU FP7 collaborations only)</td>
<td>Contracts Officer / IP Manager</td>
</tr>
<tr>
<td><strong>Contract Signatory</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>DDoF (Alternates DoRE or DDoF)</td>
</tr>
<tr>
<td><strong>Confidentiality Agreement, MTA, MoU, Heads of terms, non-financial IP licence agreement</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>DRS or AR or DoF</td>
</tr>
<tr>
<td><strong>Clinical trials agreement signatory</strong></td>
<td>RGC Grant Co-ordinator</td>
<td>DRS or AR or DoF</td>
</tr>
</tbody>
</table>

**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.

**Abbreviations**: DDoF = Deputy Director of Finance, DoI = Director of Finance, DoRE = Director of Research and Enterprise, DRS = Director Registry Services, AR-SP = Assistant Registrar (student progress), RSA = Research Student Administration.