



LIVERPOOL
HOPE
UNIVERSITY

1844

Scheme of Delegation 2021/2022

Document Control

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Scheme of delegation 2021/2022

The purpose of the scheme is to outline the authority for the University's major organisational responsibilities based on constitutional and regulatory documents and to indicate delegation of these responsibilities where these have been approved.

The scheme is subject to annual review, offering an opportunity to revisit delegations in the light of experience. Suggestions for change may be made to the Clerk. The starting point for the scheme lies in the [Articles of Government](#) approved by the Privy Council which sets out the responsibilities of the Council, the Vice Chancellor and Senate – a tripartite arrangement for the governance and management of the University with clear boundaries.

Council has adopted the [Council of University Chairs' \(CUC\) HE Code of Governance](#) which identifies the responsibilities of the Board in meeting good governance requirements. And finally, the Office for Students (OfS) publishes a [Terms and Conditions of Funding](#) document which sets out specific responsibilities for Boards of Governors.

Internally, Council approves the Financial Regulations which detail the management and governance arrangements for its financial affairs and associated delegations. All the significant responsibilities outlined in these documents are covered in the Scheme of Delegation which references both the authority for the responsibility and the Board or Committee Term of Reference where that applies. The Scheme also includes a small number of elements which do not arise directly from source documents but which Council is likely to have an interest in.

Under the University's Constitution, the Council is the University's supreme governing body, responsible for setting the strategic direction and policies governing all aspects of the University's activity. In accordance with the University's Articles of Association, Council may not delegate authority for the following:

- the determination of the educational character and mission of the University
- ensuring the solvency of the University
- the approval of the annual estimates of income and expenditure
- the appointment or dismissal of the Vice Chancellor and Rector
- the varying or revoking of the Articles of Government

Where a power or function is delegated, the relevant committee or officer exercising that power must at all times act in accordance with the University's regulations, policies and procedures, and within budgetary and legal constraints.

The delegation of power(s) to an individual does not remove the need for consultation with other colleagues as appropriate.

A Committee Chair shall have the power, following consultation with the Clerk to Council, to deal with any matter of urgency that may arise between normally scheduled meetings, where it is deemed that delay would seriously impede the business of the University. This may include consulting with members by correspondence, or calling a special meeting of the committee, or by taking Chair's action. Any such actions shall

be reported to the next meeting of the Committee in question. Where the table below does not specify a delegated authority, approval rests with Council.

In addition to matters of delegation, certain matters are reserved for approval by external authority, namely revisions to the University's Articles, which after consideration and agreement with Council must be submitted for approval by the Office for Students.

The Rector and Vice Chancellor is the academic leader and Chief Officer of the University and, by virtue of this appointment, has the power to make certain decisions on behalf of the University. With regard to academic matters, the Vice Chancellor is the ex officio Chair of Senate and may, therefore, where necessary for the good of the University, take decisions within the purview of Senate on its behalf (such decisions should be reported to the next meeting of Senate).

With regard to financial matters, the Vice Chancellor may authorise any recurrent expenditure from the University budget as approved by Council, as well as capital expenditure within agreed limits. Further details are specified in Appendix 1, Financial Authority.

Glossary

AoA	Articles of Association
AoG	Articles of Government
F&GP	Finance and General Purpose Committee
IoG	Instrument of Government
JCNC	Joint Consultative and Negotiating Committee
MoA	Memorandum of Association
OfS	Office for Students
PAC	Partnerships and Accreditations Committee
QAA	Quality Assurance Agency
REF	Research Excellence Framework
USET	University Senior Executive Team

Useful Links

Companies House	https://find-and-update.company-information.service.gov.uk/company/03285547
Hope Constitution	https://www.hope.ac.uk/media/aboutus/governancedocuments/Articles%20of%20Government%20Constitution%20of%20the%20University.pdf
Committees of Council	https://www.hope.ac.uk/media/aboutus/governancedocuments/Committees%20of%20Council%2013Jun18.pdf
Committees of Senate	https://www.hope.ac.uk/media/gateway/staffgateway/governance/committeesdocuments/Committees%20of%20Senate%2009Sep20.pdf
Academic Quality at Hope	https://www.hope.ac.uk/aboutus/governance/academicquality/
Office for Students	https://www.officeforstudents.org.uk/
QAA Quality Code	https://www.qaa.ac.uk/quality-code
Research Excellence Framework	https://www.ref.ac.uk/

1. APPOINTMENTS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Appointment of Chancellor	Council	<ul style="list-style-type: none"> • Nominations Committee • Senate • Trustees Christ & Notre Dame • Warrington Training College Inc 	Retained by Council
Appointment of Vice Chancellor	Council	<ul style="list-style-type: none"> • Nominations Committee • Clerk to Council • Director of Personnel • Trustees Christ & Notre Dame • Warrington Training College Inc 	Retained by Council
Appointment of Chair of Council	Council	<ul style="list-style-type: none"> • Nominations Committee 	Retained by Council
Executive and academic leadership of the University & OfS Accountable Officer	Council	<ul style="list-style-type: none"> • USET • Senate 	Vice Chancellor
Appointment of Deputy Vice Chancellors, Pro Vice Chancellors and Senior Officers	Council	<ul style="list-style-type: none"> • Vice Chancellor • Director of Personnel • Staffing Committee 	Vice Chancellor
Appointment of Honorary Professors	Council	<ul style="list-style-type: none"> • USET • Director of Personnel • Staffing Committee 	Vice Chancellor
Appointment of Emeritus Professors	Council	<ul style="list-style-type: none"> • USET • Director of Personnel • Staffing Committee 	Vice Chancellor
Award of honorary fellowships and degrees	Council	<ul style="list-style-type: none"> • Honorary Degrees Committee • USET 	Vice Chancellor
Appraisal, salary and conditions of service of Vice Chancellor	Council	<ul style="list-style-type: none"> • Clerk to Council • Director of Personnel 	Remuneration Committee
Appraisal, salary and conditions of service of designated senior postholders	Council	<ul style="list-style-type: none"> • Remuneration Committee for USET members 	Remuneration Committee Vice Chancellor

		<ul style="list-style-type: none"> • Deputy Vice Chancellor (for spot salaries) • Director of Personnel (for spot salaries) 	
Appointment of the University's internal and external auditors	Council	<ul style="list-style-type: none"> • Audit Committee 	Council

2. STRATEGIC DEVELOPMENT

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Approval of University Strategy	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET 	Retained by Council
Approval of Academic Strategies	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Committees of Senate (and associated subcommittees¹) 	Senate
Approval of Finance Strategy	Council	<ul style="list-style-type: none"> • Vice Chancellor • Executive Director of Finance, Services and Resources • F&GPF&GP 	Retained by Council
Approval of operational, management procedures, regulations and codes of practice.	Council	<ul style="list-style-type: none"> • USET • Registrar • Head of Legal Services, Governance and Risk Services • Committees of Senate (and associated subcommittees) 	Vice Chancellor
Approval of strategic and operational plans for Schools and Departments)	Council	<ul style="list-style-type: none"> • Deputy Vice Chancellor • USET • OLT 	Vice Chancellor

		<ul style="list-style-type: none"> • ALT • Committees of Senate (and associated subcommittees) 	
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3. GOVERNANCE

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Articles of Association and Constitution	Council	<ul style="list-style-type: none"> • Chair of Council • Trustees Christ & Notre Dame • Warrington Training College Inc • Vice Chancellor • USET • Clerk to Council 	Retained by Council
Council Membership	Council	<ul style="list-style-type: none"> • Nominations Committee 	Retained by Council
Removal of Council Members	Council	<ul style="list-style-type: none"> • Chair of Council • Nominations Committee • Vice Chancellor 	Retained by Council
Council Effectiveness Evaluation	Council	<ul style="list-style-type: none"> • Chair of Council • Clerk to Council 	Retained by Council

4. ACADEMIC AFFAIRS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Regulation and direction of the academic work of the University.	Council	<ul style="list-style-type: none"> • Senate • USET • Committees of Senate (and associated subcommittees) 	Vice Chancellor

Maintenance of Academic Standards and Quality Assurance Procedures	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Academic Committee • Committees of Senate (and associated subcommittees) 	Senate
Assurance as to Quality of Learning & Teaching and Maintenance of Standards	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Academic Committee • Committees of Senate (and associated subcommittees) 	Senate
Approval of academic regulations and associated policies and procedures	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Registrar • Academic Committee • Committees of Senate (and associated subcommittees) 	Senate
Policy for the academic progress of students	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Registrar • Registrar's Advisory & Operational Group • Academic Committee • Committees of Senate (and associated subcommittees) 	Senate
Partnerships and Accreditations	Council	<ul style="list-style-type: none"> • USET • Academic Committee • PAC • School Academic Committee 	Vice Chancellor
Establishment of strategic Partnerships	Council	<ul style="list-style-type: none"> • USET • Academic Committee • PAC • School Academic Committee 	Vice Chancellor

Appointment and approval of members to Senate	Council	<ul style="list-style-type: none"> • USET 	Vice Chancellor as Chair of Senate
Election of Senate members to Council	Council	<ul style="list-style-type: none"> • USET 	Vice Chancellor as Chair of Senate
Admission of students Policy	Council	<ul style="list-style-type: none"> • USET • Director of Admissions 	Senate
Examination arrangements	Council	<ul style="list-style-type: none"> • USET • Registrar • Academic Committee • Registrar's Advisory Group • Registrar's Operational Group 	Senate
External examiner appointments	Council	<ul style="list-style-type: none"> • USET • Registrar • School Academic Committee 	Academic Committee
Student Academic Misconduct	Council	<ul style="list-style-type: none"> • USET • Pro Vice Chancellor Student Life and Learning • Registrar 	Senate
Academic Quality Framework	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Academic Committee • Committees of Senate (and associated subcommittees) • Registrar 	Senate

5. STUDENT AFFAIRS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Student complaints procedure	Council	<ul style="list-style-type: none"> • USET 	Vice Chancellor

		<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Head of Legal Services, Governance and Risk 	
Student disciplinary procedure	Council	<ul style="list-style-type: none"> • USET • Pro Vice Chancellor Student Life and Learning • Head of Legal Services, Governance and Risk 	Vice Chancellor
Student contract	Council	<ul style="list-style-type: none"> • USET • Registrar • Head of Legal Services, Governance and Risk 	Vice Chancellor
Approval of student tuition fees	Council	<ul style="list-style-type: none"> • USET • F&GP 	Council
Establishment and allocation of student scholarships and bursaries	Council	<ul style="list-style-type: none"> • USET • PVC Student Life and Learning • Executive Director of Finance, Services and Resources 	Vice Chancellor
Ensuring adequate provision for the general welfare of students	Council	<ul style="list-style-type: none"> • SSG • USET • PVC (SL&L) 	Vice Chancellor
Ensuring the Students' Union operates in a fair and democratic manner and is accountable for its finances	Council	<ul style="list-style-type: none"> • USET • Pro Vice Chancellor Student Life and Learning • Executive Director FSR • Head of Legal Services, Governance and Risk 	Vice Chancellor

6. FINANCIAL MATTERS²

² Refer to Appendix 1, Financial Authority

Activity	Authority	Advisory role	Delegated to Officer Responsible
Ensuring the University operates in an efficient and effective manner	Council	<ul style="list-style-type: none"> • USET • Executive Director of Finance, Services and Resources • Audit Committee • F&GP 	Vice Chancellor
Approval of financial regulations and financial procedures	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Audit Committee • F&GP 	Council via F&GP
Approval of financial statements	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Audit Committee • F&GP 	Retained by Council
Approval of annual budgets and financial forecasts	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP 	Retained by Council
Determination of detailed budgets within overall approved budget framework	Council	<ul style="list-style-type: none"> • Vice Chancellor • F&GP 	Executive Director of Finance, Services and Resources
Appointment of bankers, opening of bank accounts, designation of bank account signatories	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Audit Committee 	Retained by Council

		<ul style="list-style-type: none"> • F&GP 	
Establishment of borrowing limits/facilities	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Audit Committee • F&GP 	Retained by Council
Financial management within overall financial strategy	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Audit Committee • F&GP 	Retained by Council

7. INVESTMENTS / ESTATES MATTERS

Activity	Authority	Advisory role	Delegated to Officer Responsible
Approval of capital projects (including construction, acquisition, refurbishment and leasing of properties relating to those projects)	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP • Estates Planning Group • Director of Estates 	Retained by Council
Acquisition of property (land and including leasing and licensing)	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP 	Retained by Council

		<ul style="list-style-type: none"> • Estates Planning Group • Director of Estates • Head of Legal Services, Governance and Risk 	
Other dealings with land (e.g. legal charges)	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP • Estates Planning Group • Director of Estates • Head of Legal Services, Governance and Risk 	Retained by Council
Disposal of land	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • Estates Planning Group • F&GP • Director of Estates • Head of Legal Services, Governance and Risk 	Retained by Council
Disposal of property	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP • Estates Planning Group • Director of Estates • Head of Legal Services, Governance and Risk 	Retained by Council

Disposal of equipment, furniture, fittings and vehicles	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP • Director of Estates 	Executive Director of Finance, Services and Resources
Write-off of bad debt	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP 	See Appendix
Acceptance of donations and endowments	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director of Finance, Services and Resources • F&GP • University Ethics Committee 	Retained by Council
Commitment and purchases of goods and services	Council	<ul style="list-style-type: none"> • Executive Director of Finance, Services and Resources 	Approved budget holders ³

8. LEGAL, REGULATORY AND COMPLIANCE MATTERS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
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³ Approved budget holders within agreed budgets (all expenditure related to purchase order, leases, contracts and corporate credit cards to be in accordance with University financial regulations)

Policies and procedures relating to legislative compliance	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Senate • Head of Legal Services, Governance and Risk • Company Secretary and Head of Committees 	Council
Data Protection Policies and GDPR Compliance	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Head of Legal Services, Governance and Risk • Company Secretary and Head of Committees 	Council
Consumer Protection Act	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Head of Legal Services, Governance and Risk • Head of Corporate Communications • Company Secretary and Head of Committees 	Council
Prevent Duty	Council	<ul style="list-style-type: none"> • Head of Legal Services, Governance and Risk • Vice Chancellor 	Council
General employment policies		<ul style="list-style-type: none"> • Vice Chancellor • USET • Deputy Vice Chancellor • Head of Legal Services, Governance and Risk • Staffing Committee • JCNC • Director of Personnel 	Council via Staffing Committee

Health and Safety policy	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Health and Safety Council Standing Committee • Head of Legal Services, Governance and Risk 	Council via Health and Safety Council Standing Committee
Equality and Diversity Policy	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Head of Legal Services, Governance and Risk • Equality and Diversity Steering Committee 	Council
Compliance of buildings with statutory acts	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Head of Legal Services, Governance and Risk • Director of Estates 	Council
Financial regulations	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Executive Director Finance Services & Resources 	Council via F&GP
Compliance with Office for Students Regulations	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • PVC Student Life and Learning • OfS Group • Company Secretary and Head of Committees 	Council
Compliance CUC and Charity Commission requirements		<ul style="list-style-type: none"> • Vice Chancellor • USET • Head of Legal Services, Governance and Risk • Company Secretary and Head of Committees 	Council

Approval of internal audit plan and report	Council	<ul style="list-style-type: none"> • USET • Head of Legal Services, Governance and Risk • Audit Committee 	Council via Audit Committee
Approval of external audit report	Council	<ul style="list-style-type: none"> • USET • Executive Director 	Council via Audit Committee
Approval of strategic risk register and annual assessment of risk appetite	Council	<ul style="list-style-type: none"> • USET • Head of Legal Services, Governance and Risk 	Vice Chancellor
Management & Quality Assurance of Data	Council	<ul style="list-style-type: none"> • Pro Vice Chancellor Student Life and Learning • Head of Student Records and External Returns 	Vice Chancellor
Access and Participation Plan	Council	Registrar Pro Vice Chancellor Student Life and Learning <ul style="list-style-type: none"> • Academic Committee 	Council
Approval of contracts and agreements (subject to requirements of the University's Financial Regulations)	Council	<ul style="list-style-type: none"> • USET • Director of Estates • Head of Legal Services, Governance and Risk 	Vice Chancellor (in line with the Appendix)
Provision of consultancy services by the University	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Director of Estates • Head of Legal Services, Governance and Risk 	Executive Director Finance Services & Resources provided USET approves
Approval of university Information Technology strategies, priorities and investment decisions.	Council	<ul style="list-style-type: none"> • PVC (Research) • Director of IT Services 	Vice Chancellor
Approval of IT related policies	Council	<ul style="list-style-type: none"> • USET 	Council via Audit Committee

		<ul style="list-style-type: none"> • PVC (Research) • Director of IT Services 	
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9. EMPLOYMENT MATTERS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Approval of corporate policies that impact significantly on the working conditions or environment for staff	Council	<ul style="list-style-type: none"> • USET • Deputy Vice Chancellor • Director of Personnel • Head of Legal Services, Governance and Risk 	Council via Staffing Committee
Appointment of PVCs	Council	<ul style="list-style-type: none"> • Director of Personnel 	Vice Chancellor
Terms and conditions of employment	Council	<ul style="list-style-type: none"> • USET • Staffing Committee • Director of Personnel 	Vice Chancellor
Redundancy arrangements	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • Staffing Committee • JCNC • Executive Director Finance Services & Resources • Director of Personnel • Head of Legal Services, Governance and Risk 	Vice Chancellor But Council will retain its powers in widespread restructuring.
Compliance with University staff dismissal, discipline and grievance policies and procedures	Council	<ul style="list-style-type: none"> • USET • Staffing Committee • Director of Personnel • Head of Legal Services, Governance and Risk 	Vice Chancellor

University promotion and progression procedures	Council	<ul style="list-style-type: none"> • USET • Staffing Committee • Director of Personnel 	Vice Chancellor
Approval of national pay award	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • FD • Staffing Committee • Director of Personnel 	Vice Chancellor
Approval to begin the process of recruitment to a vacant or new post	Council	<ul style="list-style-type: none"> • USET • DVC • FD • Director of Personnel 	Vice Chancellor

10. RESEARCH AND RELATED MATTERS

Activity	Authority	Advisory role	Delegated to / Officer Responsible
Research (Including REF ⁴)	Council	<ul style="list-style-type: none"> • USET • Pro Vice Chancellor (Research) • Council Standing Committee on Research Ethics • Research Committee • Research Degree Sub Committee • Research Ethics Sub Committee • REF Steering Group • Registrar 	Senate
Research funding contracts	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET 	Pro Vice Chancellor (Research)

⁴ <https://www.ref.ac.uk/>

		<ul style="list-style-type: none"> • Executive Director Finance 	
Research Partnership Agreements	Council	<ul style="list-style-type: none"> • Vice Chancellor • USET • PAC • Head of Legal Services, Governance and Risk 	Pro Vice Chancellor (Research)
Approval and management of Research Centres ⁵	Council	<ul style="list-style-type: none"> • USET • Research Committee 	Senate for approval PVC Research (for management)

⁵ <https://www.hope.ac.uk/research/researchcentres/>

Appendix 1 Financial Authority

Expenditure

Transaction Value	Authorisation
£0.01 -£50,000	Executive Director
£50,000 - £500,000	USET *
>£500,000	Council

Those authorised persons above have the authority to sign contracts for the expenditure within their authority. It is the authorising officer's responsibility to seek advice from the Head of Legal Services, Governance and Risk Service Governance & Risk if there are any matters involving a material risk to the University.

*Please note that only Council members are legally listed as 'company directors' at Companies House and able to sign contracts. USET members alternate their membership of Council and therefore can only sign contracts during their period of office.

Any contract for expenditure over £50,000 must be reviewed by Head of Legal Services, Governance and Risk Service Governance & Risk.

Procurement Thresholds

Contract Value	Procedure	Responsible for procurement process	Authorisation
< £5,000	Obtain one written quotation (where practical).	Head of Schools or Service Directors/ Managers	Head of Schools or Service Directors/ Managers
£5,000 - £25,000	Obtain three written quotations.	Head of Schools or Service Directors/ Managers	USET Member
£25,000 - EU Threshold (£181,302)	Formal Tender Procedure via Intend.	Procurement Manager	USET Member or Vice Chancellor (depending on value)
Above EU Threshold	Formal Tender Procedure via Intend, in accordance to EU tendering procedures.	Procurement Manager Overseen by Head of Legal Services	Vice Chancellor or Council (depending on value)

Capital Programme Approval

Authority	Amount
Executive Director	<£100,000
Vice Chancellor	£100,000 - £1m
Council	>£1m

Bad Debts

Individual Write Off Value	Authority
<£15,000	Chief Financial Officer
£15,000 - £50,000	Executive Director
>£50,000	Vice Chancellor