

**UNIVERSITY OF HERTFORDSHIRE
HIGHER EDUCATION CORPORATION**

**SCHEME OF DELEGATION
FEBRUARY 2025**

**Adopted by the Board of Governors
on 25 February 2025**

Background

The Scheme of Delegation is a key governance document for the University. Whilst the Instrument and Articles of Government, and certain UPRs, set out the authority of the Board of Governors, the Academic Board, and the Vice-Chancellor, the Scheme of Delegation records the delegation of authority, approval and decision-making to certain individuals and bodies.

No scheme of delegation can be absolutely comprehensive, but, in addition to identifying the individual or body with authority for certain specific categories of decision, this Scheme aims to form a frame of reference to resolve queries about where types of decision can be made.

The Scheme of Delegation is made up of this introduction and a table of authority and delegations. The authority will be the person or body with ultimate responsibility for that category of decision, whilst the delegations will detail to whom or to which body decision-making authority has been delegated by the person/body with ultimate responsibility.

The Scheme of Delegation will only identify responsibility for final decision-making and not, for example, responsibility for formulating strategy, policy and business proposals, as such proposals could be formulated in any number of areas, and would then be brought to the relevant authorities for decision. That said, where consultation or discussion is expected, the Scheme of Delegation seeks to identify the people or groups to be involved in such consultation.

Governing Documents

The basic governance framework of the University is set out in the Instrument and Articles of Government. As a higher education corporation, the University is also governed by the requirements of legislation, specifically the Education Reform Act 1988, the Further and Higher Education Act 1992, and the Higher Education and Research Act 2017, and the regulatory framework of the Office for Students (OfS).

The **Instrument of Government** sets out:

- the charitable object of the University: to advance education (specifically higher and further education) and research for the public benefit;
- the membership of the Board of Governors; and
- rules regarding the Board of Governors.

The **Articles of Government** set out:

- the specific powers of the University;
- the responsibilities of the Board of Governors;
- the responsibilities of the Vice-Chancellor;
- the responsibilities of the Academic Board;
- which powers may and may not be delegated by the Board of Governors; and
- how governance is regulated.

The **Board of Governors** is responsible for:

- the determination of the educational character and mission of the University and for oversight of the strategy and its activities;
- the financial sustainability, viability, and regulation of the University, including approving the annual budget and financial forecast and the annual statement of income and expenditure;
- the effective use of resources, the solvency of the University, and for safeguarding its assets;
- upholding the OfS' public interest governance principles and complying with its conditions of registration and any other requirements of the OfS and other regulators, providing such requirements are in accordance with legislation;
- the appointment, appraisal, suspension, dismissal and for determining the remuneration of and terms and conditions of service of the holders of senior posts as defined in the Instrument of Government;
- setting a framework for the pay and conditions of service of all other staff; and
- ensuring freedom of speech, the fair and democratic operation of the students' union, academic freedom, and the health and safety of staff and students.

The Board of Governors may delegate any of its powers, functions or duties (except those which the Articles do not allow to be delegated) to any person, committee or body.

The **Academic Board** is responsible, subject to the control and approval of the Board of Governors, for overseeing the teaching and research of the University and for the academic quality and standards of the University and the admission and regulation of students.

The **Vice-Chancellor** is responsible for:

- making proposals to the Board of Governors about the educational character and mission of the University and implementing the decisions of the Board of Governors;
- the organisation, direction and management of the University and leadership of the staff;
- the appointment, assignment, grading, appraisal, suspension, dismissal and determination - within the framework set by the Board of Governors - of the pay and conditions of service of staff other than the holders of senior posts;
- the determination, after consultation with the Academic Board, of the University's academic activities and for the determination of its other activities;
- preparing annual estimates of income and expenditure for consideration by the Board of Governors and for the management of budget and resources within the estimates approved by the Board of Governors; and
- oversight of the maintenance of student discipline and, within the UPRs, the suspension or expulsion of students on disciplinary grounds and the suspension, expulsion or withdrawal of students for academic or non-academic disciplinary reasons.

The **Vice-Chancellor** is designated by the Board of Governors to be the Accountable Officer for the University and reports to the OfS on behalf of the University. As such, they are personally responsible to the Board of Governors for ensuring compliance with the regulatory requirements of the OfS and providing the OfS with assurances to that effect.

The Vice-Chancellor shall be advised in relation to the exercise of his authority and responsibilities by both (i) an executive team comprised of the holders of senior posts and pro vice-chancellors (known as the Vice-Chancellor's Executive or VCE); and (ii) a wider group of senior managers and heads of strategic business units (known as the Chief Executive's Group or CEG). The **Vice-Chancellor** may delegate and, in practice, has delegated, responsibility for specific aspects of the University's management to members of **CEG** or **VCE** (or to other senior University managers, as appropriate), but retains ultimate responsibility for their work. The responsibilities of CEG and VCE are set out in their respective Terms of Reference and the UPRs.

The members of **VCE** and **CEG** are responsible to the Board of Governors (through the Vice-Chancellor) for the leadership and overall management of their respective Strategic Business Units (SBUs) in accordance with their job descriptions and the UPRs. They may delegate responsibility for specific aspects of SBU management to heads of departments and/or other members of the relevant SBU Executive Groups (**SEGs**) but retain ultimate responsibility for the management of their SBUs.

The Scheme of Delegation should be used as a first point of reference for understanding where the responsibility lies for key decision-making. The Scheme of Delegation is not exhaustive, as the Board of Governors is able to make decisions to delegate its powers (except those which the Articles do not allow to be delegated) at any time as required in order to maintain effective governance of the University. It may also be the case that a particular project does not fall within a specified delegation in the table below; where this is the case, a common-sense approach should be taken in applying the Scheme of Delegation in order to determine the most appropriate body, committee or person to which a decision should be referred, with guidance from the Secretary and Registrar. If there is doubt as to whether there is delegated authority to make a decision, it should be assumed that no such authority is given and that the decision is reserved to the Board of Governors.

Should any matter or decision arise which is within the delegated authority of an individual or body, but to which a sensitive, political, reputational or other similar issue is attached or suspected, the decision should be referred to the appropriate (normally higher) level and, ultimately, to the Board of Governors.

If there is any doubt as to the appropriate decision-making level, advice should be sought from the Secretary and Registrar (or nominee).

This Scheme of Delegation shall be considered at the first meeting of the Board of Governors of each academic year, and subject to a substantive review exercise at least once every five years.

Mr David Sproul
Chair of Governors
25 February 2025

TABLE OF AUTHORITY AND DELEGATIONS

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
1.	GOVERNANCE, MANAGEMENT, AND CONTROL				
1.1	Amendments to Instrument and Articles of Government	Board of Governors	None	Recommendations may be sought from the Audit and Risk Committee and the Secretary and Registrar.	External legal advice may be sought in respect of proposed changes to constitutional documents.
1.2	University Policies and Regulations (UPRs) relating to governance	Board of Governors	None	Recommendations may be sought from the Audit and Risk Committee and the Secretary and Registrar.	
1.3	Appointment of the Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, and Group Finance Director (senior post holders)	Board of Governors	None		External recruitment agents may be used to seek suitable recruits for these roles.
1.4	Approval of the University's Strategic Plan	Board of Governors	None	On the recommendation of the Vice-Chancellor.	
1.5	Execution of the responsibilities of the Board of Governors (as set out in the Articles of Government)	Board of Governors	Chair of the Board Board Committees as set out in their Terms of Reference	Secretary and Registrar	The Chair may act on behalf of the Board in matters that would not normally merit discussion at a Board of Governors meeting (such as the signing of routine documents etc. and matters already agreed by the Board). Such decisions should be reported to the Board at its next meeting. The Board of Governors may also delegate certain responsibilities to its Committees, as specified within

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					the Terms of Reference of the Committees.
1.6	Effectiveness reviews of the Board of Governors and its Committees	Board of Governors	None	Secretary and Registrar	Effectiveness reviews of the Board of Governors are the responsibility of the Board, facilitated by the Secretary and Registrar.
1.7	Execution of the responsibilities of the Chancellor (as set out in the Articles of Government)	Chancellor	Pro-Chancellor(s)		Ceremonial responsibilities of the Chancellor may be delegated to Pro-Chancellors or other individuals nominated by the Vice-Chancellor.
1.8	Execution of the responsibilities of the Vice-Chancellor (as set out in the Articles of Government)	Vice-Chancellor	Deputy Vice-Chancellor Secretary and Registrar	VCE and/or CEG	Depending on the issue in question, the Deputy Vice-Chancellor or the Secretary and Registrar may exercise such functions of the Vice-Chancellor as may be appropriate either at their request, in their absence, or during a vacancy in the post of Vice-Chancellor.
1.9	Execution of the responsibilities of Pro Vice-Chancellors	Pro Vice-Chancellors	Designated directors of appropriate departments		Designated directors of appropriate departments may deputise for Pro Vice-Chancellors as may be appropriate either at their request, in their absence, or during a vacancy in the post of Pro Vice-Chancellor.
1.10	Execution of the responsibilities of the Academic Board (as set out in the Articles of Government)	Academic Board	Vice-Chancellor (as Chair of the Academic Board)	Academic Board members will seek advice from other colleagues across the University as required in order to inform their	

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
				decisions (including from relevant committees of the Academic Board), but their responsibilities as members of the Academic Board are not delegated.	
1.11	Execution of responsibilities of Vice-Chancellor's Executive (VCE)	Vice-Chancellor, through VCE	Members of VCE, in accordance with the Terms of Reference of VCE	VCE members will seek advice from other colleagues across the University as required in order to inform their decisions, but their responsibilities as members of the VCE cannot be delegated.	Where VCE members have deputies, they may attend meetings of VCE in members' place, but shall not have delegated powers.
1.12	Execution of responsibilities of Chief Executive's Group (CEG)	Vice-Chancellor, through CEG	Members of CEG, in accordance with the Terms of Reference of CEG	CEG members will seek advice from other colleagues across the University as required in order to inform their decisions, but their responsibilities as members of the CEG are not delegated.	Where CEG members have deputies, they may attend meetings of CEG in members' place, but shall not have delegated powers.
1.13	Execution of responsibilities of the Secretary and Registrar	Secretary and Registrar	Deputy Secretary and Registrar		The Secretary and Registrar may nominate the Deputy Secretary and Registrar (or other appropriate officers) to exercise administrative functions of the role.
1.14	Use of the University Seal	Board of Governors	Secretary and Registrar and Director of Legal &		The use of the University Seal will be reported to the Board of Governors, and the process for

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			Compliance Services and University Solicitor		executing a deed shall be set out in the UPRs.
1.15	Constitution and Terms of Reference of University Committees	For Board Committees, the Board of Governors For Academic Board Committees, the Academic Board	Board Committees / Academic Board	Secretary and Registrar	All Committees approve their constitutions and Terms of Reference at the first meeting of the academic year. Each Board is responsible for finally approving such Terms of Reference.
1.16	Registers of Interests and Related Party Transactions	Board of Governors	Secretary and Registrar and Head of Governance Services	The Conflicts of Interest Committee shall advise in relation to the maintenance of registers of interests.	The Secretary and Registrar (or nominee) will collate and update the relevant registers of interests, including the public register, as required and at the start of each academic year, and shall also put in place processes to ensure that 'fit and proper' questionnaires and declarations of gifts, hospitality and related party transactions are made promptly. The relevant registers are reported to the Audit and Risk Committee.
1.17	University activity involving material adverse (including reputational) risk to the University	Board of Governors	Chair of Governors	Secretary and Registrar	This includes corporate policies, novel or contentious matters, matters involving a high risk of legal challenge and any formal association / affiliation / partnership which, in the view of CEG/VCE, has the potential for material adverse reputational risk to the University.
1.18	Reporting 'reportable events' to the Office for Students	Board of Governors	Deputy Secretary and Registrar	Chair of Governors	The Deputy Secretary and Registrar (or nominee) shall maintain a record of all reportable events (and decisions regarding

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					such events) and ensure timely reporting to the OfS, following consultation with the Chair of Governors.
1.19	Award of honorary degrees	Board of Governors	None	Honorary Awards Board	In accordance with the applicable UPRs.
2.	STRATEGY, FINANCIAL STATEMENTS, AND POLICY DEVELOPMENT				
2.1	Approval of the University's Strategic Plan, mission, and associated strategies	Board of Governors	None	The Board of Governors shall consider and approve the University's Strategic Plan on the recommendation of the Vice-Chancellor.	Strategies relating to people, organisational development, estates and finances shall be routed through appropriate Board Committees.
2.2	Development of the University's Strategic Plan	Vice-Chancellor	Deputy Vice-Chancellor		The Deputy Vice-Chancellor shall lead the process for the development of the University's Strategic Plan, which shall include staff consultation, engagement with other relevant University Committees and discussion and approval at CEG.
2.3	Leadership and Delivery of Strategic Strands of Activity	Vice-Chancellor	Strategic Strand Leads, Members of VCE, Members of CEG		Under the Strategic Plan, each Strand of Activity shall have a designated senior member of staff as 'Strategic Strand Lead' who shall be responsible for delivering the respective KPIs under that Strand.
2.4	Approval of Finance UPRs	Board of Governors	None	This process will be led by the Group Finance Director, who will decide	

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				on and recommend relevant policies.	
2.5	Approval of Accounting Policies	Board of Governors	Finance Committee	On the recommendation of the Group Finance Director.	Advice may also be taken from the University's External Auditor.
2.6	Approval of the Annual Finance Return and Accountability Return to the Office for Students	Board of Governors	Finance Committee	On the recommendation of the Group Finance Director.	
2.7	Approval of Annual Financial Statements	Board of Governors	None	This process will be led by the Group Finance Director. The Audit and Risk Committee will seek the advice and input of the external auditors before recommending the Annual Financial Statements to the Board for approval.	
2.8	Approval of significant amendments to corporate policies that impact on the key terms and conditions or the environment for staff and/or students, and/or policies having a significant impact upon the University's reputation.	Board of Governors	None	The approval process will be led by CEG / VCE. These groups will seek the advice of relevant authors of key policies.	Appropriate policies will be routed through the relevant Board Committees.
2.9	Approval of Corporate Risk Register	Board of Governors	None	The Risk Register will be regularly reviewed by the Audit and Risk Committee and CEG / VCE, and they may advise changes for approval by the Board.	The Internal Audit Service shall maintain the Corporate Risk Register, on behalf of the Secretary and Registrar.

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2.10	Approval of changes to key terms and conditions of staff (including changes to disciplinary policies)	Vice-Chancellor	Secretary and Registrar	The Vice-Chancellor and CEG / VCE shall be advised by the Director of HR in relation to all such changes, and shall inform the People and Culture Committee of all such proposals.	
2.11	Approval of changes to key terms and conditions of students (including changes to disciplinary policies)	Vice-Chancellor	Secretary and Registrar	The Vice-Chancellor and CEG / VCE shall be advised by the Dean of Students in relation to all such changes, and shall consult with relevant Academic Board Committees in relation to such changes.	
3.	APPOINTMENT AND DISMISSAL OF STAFF				
3.1	Appointments				
3.1.1	Appointment of Chancellor (and Pro-Chancellors)	Board of Governors	None	The Chair of the Board shall establish a committee to make a recommendation for appointment to the Board.	
3.1.2	Appointment, suspension and removal of members of the Board of Governors	Board of Governors	None	Secretary and Registrar	Appointments, suspensions and removals of members of the Board of Governors shall be carried out in accordance with the applicable UPRs.

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3.1.3	Appointment of members of Committees of the Board of Governors	Board of Governors	None	The Board of Governors shall approve membership of its Committees on the recommendation of the Chair of the Board.	
3.1.4	Appointment of Vice-Chancellor	Board of Governors	None	The Board (supported by the Director of HR, senior staff and external advisers) may establish a search committee to make a recommendation for appointment to the Board. Such committee shall consult appropriately with staff and student representatives before making a recommendation to the Board.	
3.1.5	Appointment of Deputy Vice-Chancellor, Secretary and Registrar, and Group Finance Director (senior post holders)	Board of Governors	None	The Board (supported by the Director of HR) shall consult with the Vice-Chancellor and may appoint external advisers to make recommendations for appointment to the Board.	
3.1.6	Appointment of Pro Vice-Chancellors	Vice-Chancellor	None	The Director of HR (or nominee) shall consult with the Vice-Chancellor and may appoint external	

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				advisers to make recommendations for appointment	
3.1.7	Appointment of Heads of Strategic Business Units (SBUs)	Vice-Chancellor	Deputy Vice-Chancellor (academic posts) or Secretary and Registrar (professional posts)	The Director of HR (or nominee) shall consult with the Vice-Chancellor, the Deputy Vice-Chancellor, and the Secretary and Registrar (as appropriate) and may appoint external advisers to make recommendations for appointment.	
3.1.8	Conferment and revocation of titles of Professors	Board of Governors	Vice-Chancellor	A panel, convened pursuant to the applicable UPRs, shall advise on the conferment and revocation of titles of Professors.	Conferment and revocation of the titles of Professors shall be carried out in accordance with the applicable UPRs.
3.1.9	Appointment of external auditors and approval of external audit plan	Board of Governors	Audit & Risk Committee	Group Finance Director	The appointment and terms of engagement and the external audit plan are considered and agreed by the Audit & Risk Committee.
3.1.10	Approval of internal audit plan	Board of Governors	Audit & Risk Committee	CEG / VCE	The internal audit plan is considered by CEG / VCE and agreed and approved by the Audit & Risk Committee.
3.2	Suspensions, Dismissals and Appeals				
3.2.1	Suspension of Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, and	Board of Governors	Chair of Governors	Secretary and Registrar	In accordance with the applicable UPRs.

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	Group Finance Director (senior post holders)				
3.2.2	Suspension of all other members of University staff	Vice-Chancellor	Appropriate members of CEG	The Director of HR (or nominee) shall advise on process, in accordance with the UPRs.	In accordance with the applicable UPRs.
3.2.3	Dismissal of Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, and Group Finance Director (senior post holders)	Board of Governors	None	A Special Committee of five members of the Board of Governors must be convened to investigate and report to the Board, in accordance with the applicable UPRs.	
3.2.4	Dismissal of teaching members of University staff (academic staff)	Vice-Chancellor	Appropriate members of CEG	The Director of HR (or nominee) shall advise on process, in accordance with the UPRs.	In accordance with the applicable UPRs.
3.2.5	Dismissal of non-teaching members of staff (professional staff)	Vice-Chancellor	Appropriate members of CEG	The Director of HR (or nominee) shall advise on process, in accordance with the UPRs.	In accordance with the applicable UPRs.
3.2.6	Appeals against the suspension of Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, and Group Finance Director (senior post holders)	Board of Governors	None		In accordance with the applicable UPRs.
3.2.7	Appeals against the suspension of all other members of University staff	Board of Governors	Appropriate members of CEG	The Director of HR (or nominee) shall advise on process, in accordance with the UPRs.	In accordance with the applicable UPRs.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
3.2.8	Appeals against the dismissal of Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, and Group Finance Director (senior post holders)	Board of Governors	None	Special Committee of the Board of Governors (see section 3.2.3)	In accordance with the applicable UPRs.
3.2.9	Appeals against the dismissal of all other members of University staff	Board of Governors	Appropriate members of CEG	The Director of HR (or nominee) shall advise on process, in accordance with the UPRs.	In accordance with the applicable UPRs.
3.3	Severance Payments				
3.3.1	Severance payments (i.e. any payment to which there is not a contractual entitlement) to the Vice-Chancellor	Board of Governors	Vice-Chancellor's Remuneration Committee	Director of HR	In accordance with the applicable UPRs.
3.3.2	Severance payments (i.e. any payment to which there is not a contractual entitlement) to the Deputy Vice-Chancellor, Secretary and Registrar, Group Finance Director (senior post holders) and designated Senior Managers (e.g. Pro Vice-Chancellors)	Board of Governors	People and Culture Committee	Director of HR	In accordance with the applicable UPRs.
3.3.3	Severance payments (i.e. any payment to which there is not a contractual entitlement) to all other members of University staff	<u>£25,000 or more:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>), with reporting to Board of Governors <u>Up to £25,000:</u> Director of HR (or <i>deputy designated for this purpose</i>), with reporting	None	None	In accordance with the applicable UPRs.

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		to People and Culture Committee			
4	OTHER STAFFING MATTERS				
4.1	Determination of the pay, bonuses and conditions of staff (excluding the Vice-Chancellor, Deputy Vice-Chancellor, Secretary and Registrar, Group Finance Director (senior post holders) and designated Senior Managers (e.g. Pro Vice-Chancellors))	Vice-Chancellor	None	The Vice-Chancellor shall be advised by the Director of HR in relation to all such matters, and shall inform the People and Culture Committee of all such proposals.	
4.2	Remuneration of Vice-Chancellor	Board of Governors	Vice-Chancellor's Remuneration Committee	Director of HR	In accordance with the applicable UPRs.
4.3	Remuneration of the Deputy Vice-Chancellor, Secretary and Registrar, Group Finance Director (senior post holders) and designated Senior Managers (e.g. Pro Vice-Chancellors)	Board of Governors	People and Culture Committee	Director of HR	In accordance with the applicable UPRs.
5	STUDENT & ACADEMIC MATTERS				
5.1	Student and Applicant Complaints Procedure	Board of Governors	Academic Board	Dean of Students	In accordance with the relevant UPRs.
5.2	Student Disciplinary Policy	Vice-Chancellor	None	Dean of Students	In accordance with the relevant UPRs.
5.3	Student Finance				
5.3.1	Approval of student tuition fees, scholarships, bursaries and discounts	Board of Governors	None	Fees, scholarships, bursaries and discounts are considered by the	

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				Fees Strategy Group, chaired by the Group Finance Director. Recommendations shall be made to CEG / VCE before proceeding to the Board of Governors for approval.	
5.3.2	International recruitment monitoring	Board of Governors	CEG / VCE (as appropriate)	CEG / VCE receive regular reports regarding international student recruitment from the Pro Vice-Chancellor (International and Marketing Communications) and the Director of International.	
5.3.3	Approval of new nomination agreements with private student accommodation providers	Board of Governors	Finance Committee Director of Estates (annual renewal process)	Discussions shall be led by the Director of Estates, supported by Procurement and Legal & Compliance Services, as required.	
5.3.4	Approval of student residential fees	Vice-Chancellor <i>Noted by Finance Committee</i>	Group Finance Director	Information shall be provided to CEG and VCE in order to inform decision-making.	Accommodation fees are regularly discussed with the two private providers of student accommodation, and changes to rates may be agreed, in accordance with the agreements governing the management of the accommodation.

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5.3.5	Approval of changes to car parking fees	Vice-Chancellor	None	Information shall be provided to CEG and VCE in order to inform decision-making.	Any review process is led by the Director of Estates.
5.4	Academic Matters				
5.4.1	Oversight of research ethics	Academic Board	Ethics Committee for Studies Involving Human Participants	The Ethics Committee for Studies Involving Human Participants considers this specific area of research ethics.	In accordance with the relevant UPRs. Any issue which may involve reputational risk may be considered by the Board of Governors in accordance with 1.17 above.
5.4.2	Responsibility for policies and process regarding the quality and standards of academic provision	Academic Board	None	Academic Standards and Audit Committee	
5.4.3	Responsibility for policies and process regarding the quality and standards of the student experience	Academic Board	None	Education and Student Experience Committee	
5.4.4	Responsibility for development of the University's academic programmes and collaborations	Academic Board	None	Academic Development Committee	
5.4.5	Responsibility for development of research activities	Academic Board	Pro Vice-Chancellor (Research and Enterprise)	Research Committee	
5.4.6	Responsibility for development of knowledge exchange and enterprise activities	Vice-Chancellor	Pro Vice-Chancellor (Research and Enterprise)	The Pro Vice-Chancellor (Research and Enterprise) chairs a Knowledge Exchange Advisory Panel which advises CEG / VCE on	

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				commercial knowledge exchange and enterprise activities.	
6	BUDGETARY AND FINANCIAL MATTERS				
6.1	Preparation of Annual Budget	Vice-Chancellor	Group Finance Director		The Group Finance Director will prepare the Annual Budget and will specify its format, timetable and price base, core assumptions to be made, including tuition fee levels and the estimated costs of pay awards and other price increases during the year.
6.2	Approval of Annual Budget	Board of Governors	None	The Board of Governors will be advised by the Finance Committee.	The Board of Governors' approval of the Annual Budget forms the authority to incur the expenditure provided for in the Annual Budget, subject to all relevant limits of authority set out elsewhere in this Scheme of Delegation and relevant UPRs.
6.3	Ensuring the University maintains robust systems of internal financial control and accountability, including risk management and value for money	Board of Governors	Audit and Risk Committee	The Audit and Risk Committee may seek assurance from other committees and individuals from across the University, including the Internal Audit Service.	
6.4	Appointment of the University's bankers	Board of Governors	Finance Committee	Group Finance Director	Arrangements for the opening and closing of corporate accounts will be made by the Group Finance Director.

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6.5	Approval of bank signatories	Vice-Chancellor	Group Finance Director		In accordance with the relevant UPRs.
6.6	Approval of detailed budgets within the overall approved framework of the Annual Budget	Vice-Chancellor	Group Finance Director		In accordance with the relevant UPRs.
6.7	Determination of treasury finance policies in respect of expenditure, borrowing, debt, investments, etc., within the overall approved framework of the Annual Budget	Board of Governors	Finance Committee	Group Finance Director	The Group Finance Director shall lead on such policy development in accordance with the relevant UPRs.
6.8	Management of endowments and charitable donations made to the University of Hertfordshire Charitable Trust (including policies on investment of such endowments)	Board of Governors (as Trustee of the University of Hertfordshire Charitable Trust)	Finance Committee	Vice-Chancellor's Development Committee (VCDC)	In accordance with the relevant UPRs and Terms of Reference for the VCDC.
6.10	Responsibility for the development and application of strategies relating to enterprise activities	Vice-Chancellor	Pro Vice-Chancellor (Research and Enterprise)	The Pro Vice-Chancellor (Research and Enterprise) chairs a Knowledge Exchange Advisory Panel which advises on commercial knowledge exchange and enterprise activities.	
6.11	The establishment, monitoring and closure of University subsidiary or spin-out companies, and oversight of their financial results, activities, and impact on the University	Board of Governors	Finance Committee and Board of Directors of UH Holdings Limited	The Business Development and Legal and Compliance teams	Finance Committee has delegated responsibility to the Board of Directors of UH Holdings Limited, the University's holding company for shareholdings in all such companies.
6.12	Write-off of bad debt	<u>£25,000 or more:</u> Vice-Chancellor (or	<u>Up to £25,000:</u> Group Finance Director		All such debt will be considered on a case-by-case basis and is

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		<i>Deputy Vice-Chancellor</i> , with reporting to Board of Governors	<i>(or deputy designated for this purpose)</i> , with reporting to Finance Committee		reportable in accordance with UPR FR06.
6.13	Acceptance of financial donations and endowments and tangible assets	Board of Governors	Vice-Chancellor	Vice-Chancellor's Development Committee (VCDC)	In accordance with the relevant UPRs (including ethical considerations) and Terms of Reference for the VCDC.
6.14	Approval of procurement policies and procedures	Vice-Chancellor	Group Finance Director	Head of Procurement	All policies will comply with the requirements of the Public Contracts Regulations 2015.
6.15	Management of the University's responsibilities and obligations in respect of pension schemes	Board of Governors	Finance Committee	The Finance Committee shall seek appropriate advice from the Group Finance Director and Director of HR.	
6.16	Strategic monitoring of the University's overall financial position within the parameters of the Annual Budget and Strategic Plan	Board of Governors	None	The Finance Committee shall advise the Board as appropriate.	
6.17	Appointment of the University's insurers	Board of Governors	Finance Committee	Group Finance Director	This process will be led by the Group Finance Director. The Group Finance Director shall effect such insurances as may be necessary to cover any risks to which the University or its subsidiary companies might be exposed.
6.18	Appointment of investment advisers	Board of Governors	Finance Committee	Group Finance Director	This process will be led by the Group Finance Director, in accordance with relevant UPRs.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
7	CAPITAL AND ESTATES PROJECTS AND OTHER EXPENDITURE				
7.1	Approval of Capital Projects and expenditure	<u>£5,000,00 or above:</u> Board of Governors	<u>£2,000,00 - £5,000,000:</u> Investment Panel, Head of Procurement, Group Finance Director, Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar and Finance Committee (with reporting to Board of Governors) <u>£125,00 - £2,000,000:</u> Investment Panel, Head of Procurement, Group Finance Director and Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar <u>£30,00 - £125,000:</u> Investment Panel, Head of Procurement and Group Finance Director Expenditure of £30,000 or below is considered to be revenue expenditure.	Investment Panel (for capital expenditure over £30,000)	<p>The Group Finance Director shall draw up, annually, a proposed capital programme for the approval of the Board of Governors, which will (i) identify known and likely projects for the next year; (ii) be consistent with the Strategic Plan and any approved Estates Strategy; and (iii) have been presented with the Annual Budget to the Finance Committee for consideration, agreement and recommendation to the Board for approval. The capital programme shall normally form part of the Annual Budget approved by the Board of Governors.</p> <p>The Investment Panel shall consider, amongst other things, any proposed item of capital expenditure valued at more than £30,000, and its revenue implication, and will determine whether it should be permitted to progress to the approval stage in accordance with the relevant UPRs.</p>
7.2	Approval of Minor Works and expenditure	As above (see section 7.1) for any projects exceeding £125,000 in value with the exception that Minor Works do not	<u>£75,001 - £125,000:</u> Group Finance Director <u>Up to £75,000:</u> Director of Estates		These thresholds have been agreed to allow minor works to be undertaken on campus, particularly at short notice and/or in emergency circumstances.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
		need Investment Panel approval.			
7.3	Acquisition and disposal of land (including leasehold arrangements)	As set out in section 7.1.	As set out in section 7.1	Leases or licences will be negotiated on the authority of the Group Finance Director and the Secretary and Registrar, by the Director of Estates, or an appropriately authorised member of staff within the Estates Department.	<p>Where the authorisation is for a property lease, the authorisation requirements for the lease will be based on the total aggregate value of the contract.</p> <p>Where a subsidiary company or third party is to be permitted to occupy part of the University's estate, a formal lease or licence should be agreed which will include termination clauses, periods of notice and the rent to be charged.</p> <p>The Board of Governors, as it deems appropriate, will rationalise the portfolio of land and buildings owned by the University and the subsidiary companies and dispose of land and buildings which are no longer required.</p>
7.4	Approval of revenue expenditure	<u>£5,000,001 or above:</u> Board of Governors	<u>£2,000,001 - £5,000,000:</u> Budget Holder, Head of Procurement, Group Finance Director, Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar and Finance Committee (with reporting to Board of Governors) <u>£125,001 - £2,000,000:</u> Budget Holder, Head of	Group Finance Director and Head of Procurement	Contracts for the supply of goods or services by the University shall be reported to the Finance Committee (where the value received by the University is £1,000,001 and above) and to the Board of Governors (where the value received by the University is £2,000,001 and above).

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
			Procurement, Group Finance Director and Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar <u>£30,001 - £125,000:</u> Budget Holder, Head of Procurement and Group Finance Director <u>£15,001 - £30,000:</u> Budget Holder and Head of Procurement <u>Up to £15,000:</u> Budget Holder		
8	CONTRACTS, AGREEMENTS, LICENCES AND ACADEMIC COLLABORATIONS				
8.1	COLLABORATIVE PROVISION				
8.1.1	Approval of new academic collaborative arrangements or renewal of such arrangements in the UK and internationally	<u>Business case:</u> Vice-Chancellor	<u>Business case:</u> The business case shall be considered by the International Office (for international collaborations) and the relevant SBUs (for UK collaborations) prior to a decision by CEG/VCE (as appropriate)	The Partnership Development Advisory Group will recommend the business case to CEG/VCE (as appropriate)	Academic collaborative provision refers to activities which involve third-party institutions (in the UK or abroad) delivering or supporting an element of or an entire University of Hertfordshire programme, which leads to an award (or specific credit) from the University. This may include: <ul style="list-style-type: none"> • Franchise arrangements • Validation arrangements • Dual awards • Joint awards • External accreditation arrangements
		<u>Academic considerations:</u> Academic Board	<u>Academic considerations:</u> Academic Board		

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
				<p>collaborative arrangements.</p> <p>The Partnership Development Advisory Group will recommend the academic case to ADC.</p> <p>The Collaborative Partnerships Assurance Group shall oversee academic quality and assurance</p>	<ul style="list-style-type: none"> Supported Distance Learning (SDL) Branch campuses Joint ventures Modules delivered in collaboration <p>Signature to be in accordance with section 8.2.12</p>
8.1.2	Approval of articulation, progression, and other agreements to facilitate the recruitment of international students to the University	Vice-Chancellor	<p><u>Articulation Agreements:</u> Head of SBU and Director of Legal & Compliance Services and University Solicitor (with reporting to Academic Board, via Academic Development Committee)</p> <p><u>Progression Agreements and Memoranda of Understanding:</u> Head of SBU</p>		Signature to be in accordance with section 8.2.12
8.1.3	Approval of student exchange partnerships and Study Abroad arrangements	Academic Board	Academic Development Committee (ADC)	Head of International Education	<p>Proposals for the development or renewal of exchange partnership arrangements are considered and developed by the Head of International Education and reported to ADC.</p> <p>Signature to be in accordance with section 8.2.8</p>

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
8.2	APPROVAL OF LEGAL AGREEMENTS, CONTRACTS, AGREEMENTS AND MEMORANDA OF UNDERSTANDING AND SIGNATURE PROCESS				
8.2.1	Approval and signature of contracts which are to be executed as a deed	Board of Governors	(1) The Chair of the Board of Governors (or the Secretary & Registrar as delegate) and (2) any other member of the Board of Governors, including the Vice-Chancellor but excluding any staff or student members.	All such contracts must have been reviewed and approved by Legal & Compliance Services and/or Procurement (as appropriate) and be in compliance with the University's policies in respect of procurement. The approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before each contract is signed.	The Board shall note the signed deeds at subsequent meetings.
8.2.2	Approval and signature of contracts and agreements for the purchase of goods or services, which are not to be executed as deeds [NB: with the exception of contracts for software licences or related to construction projects for which see sections 8.2.3 and 8.2.4 respectively]	<u>£75,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary & Registrar</i>)	<u>£30,001 - £75,000:</u> Head of Procurement <u>Up to £30,000:</u> Head of SBU (or <i>deputy designated for this purpose</i>)	All such contracts must have been reviewed and approved by Legal & Compliance Services and/or Procurement (as appropriate) and be in compliance with the University's policies in respect of procurement. The approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before each contract is signed.	
8.2.3	Approval and signature of contracts and agreements for the	<u>£75,001 and above:</u> Vice-Chancellor (or	<u>Up to £75,000:</u> Chief Information and	All such contracts must have been reviewed and	

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
	purchase of software and journal licences, which are not to be executed as deeds	<i>Deputy Vice-Chancellor</i> or Secretary and Registrar (or <i>Deputy Secretary & Registrar</i>)	Digital Officer (or <i>Director, Digital, Data & Technology</i>)	approved by Legal & Compliance Services and/or Procurement (as appropriate) and be in compliance with the University's policies in respect of procurement. The approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before each contract is signed.	
8.2.4	Approval and signature of contracts and agreements for the purchase of goods and services related to construction projects, which are not to be executed as deeds	<u>£75,001 and above:</u> <i>Vice-Chancellor</i> (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary & Registrar</i>)	<u>Up to £75,000:</u> Director of Estates	All such contracts must have been reviewed and approved by Legal & Compliance Services and/or Procurement (as appropriate) and be in compliance with the University's policies in respect of procurement. The approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before each contract is signed.	
8.2.5	Approval and signature of contracts and agreements which do not involve the purchase of goods or services and which are not to be executed as deeds (e.g. contracts for the provision of services by the University).	<u>£50,001 and above:</u> <i>Vice-Chancellor</i> (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>)	<u>Up to £50,000:</u> Head of SBU (or <i>deputy designated for this purpose</i>)	All such contracts must have been reviewed and approved by Legal & Compliance Services. The approval of the relevant Head of SBU (or <i>deputy designated for</i>	Contracts for the provision of goods or services by the University (including research contracts) shall be reported to the Finance Committee (where the value received by the University is £1,000,001 and above) and to the

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
	[NB: this section includes the signature of bid and tender documentation for the provision of non-research services, such as knowledge exchange. It also includes framework agreements for the provision of apprenticeship services (but not any contracts with individual employers pursuant to those frameworks or order forms under those employer contracts – see 8.2.7)]			<i>this purpose</i>) shall be sought before each contract is signed.	Board of Governors (where the value received by the University is £2,000,001 and above). For the purposes of all apprenticeship frameworks, it is assumed that the overall contract value is in excess of £50,000 for approval and signature purposes.
8.2.6	Approval and signature of Memoranda of Understanding	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>)	Secretary and Registrar	All such MOUs shall be reviewed by Legal & Compliance Services. Prior to signature, they should be approved by the relevant Head of SBU (or <i>deputy designated for this purpose</i>).	
8.2.7	Approval and signature of Apprenticeship agreements	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>)	<u>Order forms / call off contracts on standard UH templates or under an existing framework agreement:</u> Compliance and Support Manager (Apprenticeships) (or <i>deputy designated for this purpose</i>) <u>Training Plans (where the University is Training</u>	Where there is delegated authority, agreements must be on a template approved by Legal & Compliance Services and any changes to the terms and conditions must have been approved by Legal & Compliance Services.	The Compliance and Support Manager (Apprenticeships) will seek approval of the programme, any agreed minimum/maximum learner numbers, and any other programme specific parameters from the relevant Head of SBU (or <i>deputy designated for this purpose</i>) prior to the commencement of each new intake. Where there is delegated authority, order forms / call-off contracts must fall within the parameters approved by the

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
			<p><u>Provider</u>): Compliance and Support Manager (Apprenticeships) (or <i>deputy designated for this purpose</i>)</p> <p><u>Training Plans and Apprenticeship Agreements (where the University is Employer)</u>: L&OD Business Partner (Apprenticeship Lead) (or <i>deputy designated for this purpose</i>)</p>		Head of SBU (or <i>deputy designated for this purpose</i>).
8.2.8	Approval and signature of Study Abroad agreements (including Turing Scheme agreements)	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>)	Pro Vice-Chancellor (International and Marketing Communications)	<p>Where there is delegated authority, agreements must be on a template approved by Legal & Compliance Services and any changes to the terms and conditions must have been approved by Legal & Compliance Services.</p> <p>The approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before each contract is signed.</p>	Due diligence must have been carried out for each contracting party.
8.2.9	Approval and signature of international representative (agent) agreements and in-	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and	Pro Vice-Chancellor (International and	Where there is delegated authority, agreements must be on a template approved by Legal &	Due diligence must have been carried out for each contracting party.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
	country manager agreements (including any letters of variation)	Registrar (or <i>Deputy Secretary and Registrar</i>)	Marketing Communications)	Compliance Services and any changes to the terms and conditions must have been approved by Legal & Compliance Services.	
8.2.10	Approval and signature of work placements / work experience letters by the Careers & Employment Service	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>)	Head of Careers & Employment Service or Assistant Head of Careers & Employment Service or Service Coordinator, Careers & Employment Service	Where there is delegated authority, agreements must be on a template approved by Legal & Compliance Services and any changes to the terms and conditions must have been approved by Legal & Compliance Services.	Due diligence must have been carried out for each contracting party.
8.2.11	Approval and signature of placement agreements	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>)	Head of SBU (or <i>deputy designated for this purpose</i>)	Where there is delegated authority, agreements must be on a template approved by Legal & Compliance Services and any changes to the terms and conditions must have been approved by Legal & Compliance Services	Due diligence must have been carried out for each contracting party.
8.2.12	Approval and signature of contracts involving academic collaborative provision, including memoranda of agreement, academic collaboration	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>)	None	All such agreements must have been reviewed and approved by Legal & Compliance Services and approved	

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
	agreements, franchise and validation agreements, external accreditation agreements, academic support agreements, agreements for dual awards and articulation agreements			<p>by the relevant Head of SBU (or <i>deputy designated for this purpose</i>).</p> <p>With the exception of articulation agreements, all such agreements must have been approved, in principle, by Academic Development Committee (ADC) prior to signature.</p> <p>Articulation agreements should be discussed with and agreed by the Director of Legal & Compliance Services and University Solicitor.</p>	
8.2.13	Approval and signature of progression and recognition agreements	Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>) or Secretary and Registrar	None	Head of SBU (or <i>deputy designated for this purpose</i>) approval should be sought prior to signature.	
8.3	RESEARCH (INCLUDING SIGNATURE PROCESS)				
8.3.1	<p>Approval of research tender submissions</p> <p>“Approval” in this instance means institutional approval for submission of the tender to the funder using the funder’s designated submission method.</p>	<p><u>£1,000,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>)</p>	<p><u>£50,001-1,000,000:</u> Pro Vice-Chancellor (Research and Enterprise) or Secretary & Registrar (or <i>Deputy Secretary and Registrar</i>)</p> <p><u>Up to £50,000:</u> Head of SBU (or deputy</p>	<p>Where tender submissions require acceptance of terms and conditions at the time of submission, such terms must be reviewed by Legal & Compliance Services in advance of submission and the</p>	<p>This section refers to the approval of research tender submissions, which should be sought prior to submission.</p> <p>The values stated refer to the proportion of the overall funding which will be dispersed to the University of Hertfordshire, should the application be successful, and</p>

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
			<i>designated for this purpose)</i>	approval of the relevant Head of SBU (or <i>deputy designated for this purpose)</i> shall be sought before submission.	exclude any funding dispersed by the sponsor directly to collaborative partners.
8.3.2	<p>Approval of research funding applications (where these are not tenders, as detailed at section 8.3.1 above)</p> <p>“Approval” in this instance means institutional approval for submission of the application to the funder using the funder’s designated submission method.</p>	<p><u>£1,000,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i> or <i>Pro Vice-Chancellor (Research and Enterprise)</i>)</p>	<p><u>£50,001-£1,000,000:</u> Pro Vice-Chancellor (Research and Enterprise) or Secretary & Registrar (or <i>Deputy Secretary and Registrar</i> or <i>Director of Research and Enterprise Services</i> or <i>Head of Innovation</i> or <i>Head or Deputy Head of Research Grants</i></p> <p><u>Up to £50,000:</u> Director of Research and Enterprise Services (or <i>Head of Innovation</i> or <i>Head or Deputy Head of Research Grants</i>) and Head of SBU (or <i>deputy designated for this purpose</i>)</p>	<p>Where research funding applications require acceptance of terms and conditions at the time of submission, such terms must be reviewed by Legal & Compliance Services in advance of submission and the approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before submission.</p> <p>A list of recognised funders’ terms and conditions (which have been pre-reviewed and risk assessed for legal risk by Legal and Compliance Services) shall be maintained in order that the Research Office/Research and Enterprise Services may assist with decisions on risk prior to approval of specific research funding applications and awards, and/or signature</p>	<p>This section refers to the approval of research funding applications (where these are not research tender submissions, as detailed in section 8.3.1), which should be sought prior to submission of such applications.</p> <p>The values stated refer to the proportion of the overall funding which will be dispersed to the University of Hertfordshire, should the application be successful, and exclude any funding dispersed by the sponsor directly to collaborative partners.</p>

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
				of specific research grant agreements and contracts. ¹	
8.3.3	Signature of research tender submissions and research funding applications	<u>£1,000,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i> or <i>Pro Vice-Chancellor (Research and Enterprise)</i>))	<u>£50,001 -£1,000,000:</u> Pro Vice-Chancellor (Research and Enterprise) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>) <u>Up to £50,000:</u> Director of Research and Enterprise Services (or <i>Head of Innovation</i> or <i>Head or Deputy Head of Research Grants</i>) and Head of SBU (or <i>deputy designated for this purpose</i>)	Where tender submissions or research funding applications require acceptance of terms and conditions at the time of submission, such terms must be reviewed by Legal & Compliance Services in advance of submission and the approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) shall be sought before submission. A list of recognised funders' terms and conditions (which have been pre-reviewed and risk assessed for legal risk by Legal and Compliance Services) shall be maintained in order that the Research Office/Research and Enterprise Services may assist with decisions on	Any applications requiring execution by deed should follow the process set out at section 8.2.1. The values stated refer to the proportion of the overall funding which will be dispersed to the University of Hertfordshire, should the application be successful, and exclude any funding dispersed by the sponsor directly to collaborative partners.

¹ It is intended that the list of recognised funders will include those funders (such as the UK Research Councils, the Royal Society, the British Academy, Leverhulme Trust and Wellcome Trust) with whom (1) the University regularly contracts or intends to contract; and who (2) are not typically prepared to negotiate their terms and conditions. A decision will be made prior to application, on a case-by-case basis, as to whether the relevant terms and conditions are appropriate for each proposed research project.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
				risk prior to approval of specific research funding applications and awards, and/or signature of specific research grant agreements and contracts. ²	
8.3.4	Approval of acceptance of research awards / grants and contracts	<u>£1,000,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>)	<u>£50,001 -£1,000,000:</u> Pro Vice-Chancellor (Research and Enterprise) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>) <u>Up to £50,000:</u> Head of SBU (or <i>deputy designated for this purpose</i>)	Such grant offers and/or contracts must be reviewed by Legal & Compliance Services and the approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) in advance of acceptance. A list of recognised funders' terms and conditions (which have been pre-reviewed and risk assessed for legal risk by Legal and Compliance Services) shall be maintained in order that the Research Office/Research and Enterprise Services may assist with decisions on risk prior to approval of specific research funding applications and awards, and/or signature of specific research grant	This section refers to the approval of acceptance of research grant and contract terms and conditions, which should be sought prior to the acceptance/signature of any research grant offer or contract. The values stated refer to the proportion of the overall funding which will be dispersed to the University of Hertfordshire, should the application be successful, and exclude any funding dispersed by the sponsor directly to collaborative partners.

² *ibid.*

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
				agreements and contracts. ³	
8.3.5	Signature of research awards / grants and contracts	<u>£1,000,001 and above:</u> Vice-Chancellor (or <i>Deputy Vice-Chancellor</i>)	<u>£50,001-£1,000,000:</u> Pro Vice-Chancellor (Research and Enterprise) or Secretary and Registrar (or <i>Deputy Secretary and Registrar</i>) <u>Up to £50,000:</u> Director of Research and Enterprise Services (or <i>Head of Innovation or Head or Deputy Head of Research Grants</i>) and Head of SBU (or <i>deputy designated for this purpose</i>)	All contracts must be reviewed by Legal & Compliance Services and the approval of the relevant Head of SBU (or <i>deputy designated for this purpose</i>) in advance of signature. A list of recognised funders' terms and conditions (which have been pre-reviewed and risk assessed for legal risk by Legal and Compliance Services) shall be maintained in order that the Research Office/Research and Enterprise Services may assist with decisions on risk prior to approval of specific research funding applications and awards, and/or signature of specific research grant agreements and contracts. ⁴	Any awards / grants requiring execution by deed should follow the process set out at section 8.2.1. The values stated refer to the proportion of the overall funding which will be dispersed to the University of Hertfordshire, should the application be successful, and exclude any funding dispersed by the sponsor directly to collaborative partners. Research awards with a value to the University of Hertfordshire of £1,000,001 and above should be reported to Finance Committee; awards of £2,000,001 and above should be reported to the Board of Governors.

³ *ibid.*

⁴ *ibid.*

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
9	MEDIA AND INFORMATION				
9.1	Authorisation of media releases	Vice-Chancellor	Secretary and Registrar and Pro Vice-Chancellor (International and Marketing Communications)	Depending on the circumstances, the topic may be discussed with the Board of Governors, and/or members of VCE.	
9.2	Approval of the use of the University logos and trade marks	Vice-Chancellor	Secretary and Registrar and Pro Vice-Chancellor (International and Marketing Communications)	Advice on the protection and use of University trade marks should be sought from Legal & Compliance Services.	
9.3	Decisions in relation to the disclosure of information under the Freedom of Information Act 2000 (University Publication Scheme)	Vice-Chancellor	Secretary and Registrar and Director of Legal & Compliance Services and University Solicitor	As appropriate, officers shall consult with Legal & Compliance Services and the University's Data Protection Officer.	
10	LEGAL MATTERS / DISPUTES				
10.1	Selecting and appointing external legal advisers	Secretary and Registrar	Director of Legal & Compliance Services and University Solicitor		A panel of legal firms shall be appointed in accordance with the relevant UPRs and procurement rules.
10.2	Instructing external legal advisers	Secretary and Registrar	Director of Legal & Compliance Services and University Solicitor		Legal firms shall be given clear instructions in relation to which individual officers at the University may instruct them.
10.3	Selecting and appointing external legal advisers and/or representation outside England & Wales	Secretary and Registrar	Director of Legal & Compliance Services and University Solicitor		Legal firms shall be given clear instructions in relation to which individual officers at the University may instruct them.

SECTION	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	ADVISED BY	CONTEXT
10.4	Selecting and appointing legal representation for court, tribunal, alternative dispute resolution and other legal proceedings	Secretary and Registrar	Director of Legal & Compliance Services and University Solicitor	Where issues involve reputational risk, the item may be considered by the Board of Governors, if appropriate.	
10.5	Signing of statements or documents confirming compliance with statutory obligations and/or giving other legal assurance	Secretary and Registrar	None	Advice regarding such statements / documents shall be sought from Legal & Compliance Services.	

Notes:

- Any value limits, thresholds and associated approvals contained within this Scheme represent a minimum framework for approval and reporting.
- The Board of Governors may, at its discretion, determine supplementary approval and reporting arrangements.
- Any variations to arrangements, financial arrangements, contracts or agreements will also require approval pursuant to this Scheme.
- No transaction may be broken down into small elements to circumvent or facilitate the evasion of this Scheme.
- Authorisation/approval may be given by an officer at a higher level provided that this is not inconsistent with any requirements set out elsewhere in this Scheme or in applicable UPRs, and provided that this does not constitute a failure of control.
- Heads of major departments within the Office of the Vice-Chancellor (Director of Student Success, Director of Education, Director of Academic Quality and Director of Research and Enterprise) shall, for the purposes of this Scheme of Delegation and the UPRs, have the same status and authority as Heads of SBU for the purpose of approving and signing legal contracts.
- Where an alternative signatory or approver is identified in brackets and italics in the Scheme of Delegation, they can sign or approve only in the absence of the named signatory or approver and only in the order listed. An example would be if the signatory or approver is on annual leave.
- The Director of the Herts Sports Partnership shall, for the purposes of this Scheme of Delegation and the UPRs, have the same status and authority as Heads of SBU for the purpose of approving and signing legal contracts relating to the Herts Sport & Physical Activity Partnership.

- Subsidiary companies of the University are expected to follow the authorisation levels indicated above. Where there is reference to the Head of SBU this should be read as the Managing Director of the relevant company. Signatories are to be agreed by the Board of Directors of the relevant company.