

Delegation of Authority Regulations
Effective from 1st August 2019

1. Purpose

Framework for the delegation of authority in the University.

2. What is covered by the policy?

These regulations set out the framework for the delegation of authority in the University. They are not comprehensive since it is difficult to define all situations that might occur. They are intended to act as a framework so that even if the specific situation is not defined, they should still provide a guide on the appropriate level for a specific decision.

These regulations shall apply unless specific authority or powers are specified to particular persons or bodies under the Statutes, or Standing Orders of Council and Senate.

Details of the delegated authority to specific committees or working groups are in the terms of reference for these bodies. The terms of reference for the majority of the University's committees are available [here](#).

3. Who does the policy apply to?

All staff and students in the University.

4. Roles and responsibilities

The Registrar is responsible for the implementation of the Delegation of Authority and will arbitrate in any cases of uncertainty. The Executive Director of Finance will advise on financial aspects of the Delegation of Authority.

The constitutional framework within which the University operates is based upon its Statutes (available [here](#)). The Statutes establish four decision-making bodies:

Council	The supreme governing body of the University. It is specifically charged with the management and control of the University's finances and property and with reviewing the work of the University;
Senate	The supreme governing body of the University in all academic matters;
Court	A body primarily of lay members with advisory powers but with the power to approve changes to the Statutes;
Convocation	The alumni, again largely advisory but with the power to appoint a Chancellor.

The Statutes also establish the post of Vice-Chancellor as the chief academic and administrative officer of the University and who shall have a general responsibility to the Court, the Council and the Senate for maintaining and promoting its efficiency and good order.

The full schedule of Council's delegation of powers and authority, especially to the Vice-Chancellor, is available [here](#). Details of Senate's delegation of powers and authority is available [here](#).

5. Policy

5.1 Framework

The Framework is attached as Appendix One to this document.

5.2 Principles

The following principles should underpin all decisions taken under the delegation of authority framework:

- The decision should be consistent with the University's aims and objectives
- The person to whom the authority has been delegated should only act within his/her sphere of influence; one academic or service unit should not take a decision that commits another academic or service unit without their consent
- Decisions should not be taken unless relevant documentation has been reviewed in line with University policies and procedures (including the Financial Regulations) and, where necessary, external legal advice has been sought
- Where a third party has provided funding, decisions should only be taken once any required approval of the third party has been obtained
- An assessment of the risk should be undertaken including the legal implications, if any
- Acceptable terms and conditions should be agreed through the relevant University unit
- Appropriate documentation must be produced and a record of the decision made available, in keeping with the University's policy on document retention

Decisions which require a financial commitment should observe the following additional principles:

- The approval of the relevant budget holder or their nominee should always be obtained
- The decision should demonstrate that value for money considerations have been taken into account

Financial limits set in the framework are estimated lifetime amounts.

5.3 Chair's action

A Chair of a committee or working group is empowered to take action on behalf of that committee or working group between meetings on routine matters or where the business is urgent and the interests of the University would be harmed by a delay.

Care must be taken when exercising Chair's action on urgent matters and consultation with committee or working group members should normally be undertaken. Chair's action on urgent matters must be reported to the next meeting of the committee or working group.

5.4 Line management structure and decision making

The University is organised into three faculties, each incorporating a number of academic units and headed by a Pro-Vice-Chancellor. Central Professional Services incorporate a number of service units and is headed by Principal Budget Holders. All academic and support activity is managed within these groupings. Full details of the academic and service units can be found [here](#).

The line management structure applies in all decisions unless specifically noted to the contrary. For details of the job summaries for Heads of Academic Units see [here](#).

For the vast majority of decisions the standard line management route should be used. This document concentrates on reserved powers where the University has made a decision to restrict the authority to a particular person or committee, or decisions that require a higher than normal element of risk.

The most senior University committee reporting to Council and Senate is Executive Board. All aspects of the University's operations are the responsibility of individual members of Executive Board. A document detailing the responsibilities of individual EB members is available [here](#).

6. Related Regulations, Statutes and Policies

The University's Financial Regulations are approved by Council. Compliance with the Financial Regulations is compulsory for all members of staff. The Financial Regulations are available [here](#).

7. Terms used in this policy

Principal Budget Holder	The member of Executive Board recognised by the Vice-Chancellor as having lead budget responsibility for their area of operation. For faculties, this will be Faculty PVC. For Professional Service units, this will be the Head of the relevant service hub.
Head of Unit	Head of School, Director of Research Institute or a senior manager in Professional Services designated by the relevant Principal Budget Holder
Unit Manager	A school manager or institute manager in academic units or to a direct report to a Head of Unit in Professional Services
Unit Nominee	A University employee, selected by their Head of Unit to have delegated authority - names of unit nominees must be notified to Finance
Concurrence	A requirement for authorisers to seek approval from other colleagues or a University committee prior to final approval by the designated authoriser. Concurrences listed in this document are mandatory and a failure to agree should be escalated to the relevant line managers and, if necessary, Executive Board for resolution. Authorisers are encouraged to consult with other colleagues if this will help inform their approval. Authorisation means the approval of the specific individual or body is necessary. It is not sufficient where a concurrence is required and the recognised sign off process must be followed.

8. Monitoring and Reporting on Compliance

What will be monitored?	Frequency	Method	Who by	Reported to
Financial controls	Daily	Review of requisitions, claims and invoices	Finance and Planning	Executive Director of Finance
HR controls	Daily	Review of requests to appoint etc.	Human Resources	Executive Director of Human Resources
Academic quality controls	As required	Review of documentation	LTDS	PVC Education
Other governance issues	As required	Review of documentation	Relevant PS leads	Registrar

9. Failure to Comply

Any decision not taken in accordance with this Delegation of Authority is **invalid** until correctly approved and, to the extent possible, all related transactions will be cancelled.

Deliberate, negligent or repeated disregard of this Delegation of Authority may result in disciplinary action being taken.

Document control information		
Does this replace another policy? Yes / No If yes please state.		
Approval		
Approved by:	Council	Date: 15 th July 2019
Effective from:	1 st August 2019	
Review due:	July 2024	
Responsibilities		
Executive sponsor:	Registrar	
Policy owner: (This maybe an officer or Committee)	Council	
Policy author:	Executive Director of Finance	
Person(s) responsible for compliance:	Executive Director of Finance (financial controls) Executive Director of Human Resources (HR controls) PVC Education (academic quality controls) Registrar (all other aspects)	
Consultation		
Version	Body consulted	Date
Equality, Diversity and Inclusion Analysis:		
Does the policy have the potential to impact on people in a different way because of their protected characteristics? Yes / No / Unsure		
If yes or unsure please consult the Diversity Team in HR for guidance		
Initial assessment by:	John Hogan and Richard Dale	Date: 29/10/18
Key changes made as a result of Equality Impact Assessment		
Document location		
https://newcastle.sharepoint.com/docs/Corporate%20Policies/Forms/AllItems.aspx?id=%2Fdocs%2FCorporate%20Policies%2FDelegationofAuthority2019%2Epdf&parent=%2Fdocs%2FCorporate%20Policies		

Framework of Delegated Authority

1 Expenditure**1.1 Projects**

A **project** is a series of linked transactions leading to a single specified outcome. Where the total expected lifetime cost of the project is greater than £250,000, a business case must be prepared and approved **prior to** any external purchases being made.

Estimated lifetime cost of project	Authorisation by	Concurrence required from
£250,001 - £500,000	Relevant Principal Budget Holder	Not required
£500,001 - £1,000,000	Relevant Principal Budget Holder	FMBSG
£1,000,001 - £5,000,000	Executive Board	FMBSG
> £5.0 million	Council	Executive Board

Exceptions

- Executive Board approval is required for any project to be funded from University strategic funds or which cannot be funded from existing Faculty resources
- Initial design work may be undertaken on estates capital projects, prior to project approval. Any expenditure greater than £25,000 must be approved by FMBSG

1.2 Purchasing

All purchases must be conducted in line with the Purchasing Procedures which can be found [here](#).

Cost of purchase	Authorisation by	Concurrence required from
Up to £5,000	Unit Nominee	Not required
£5,001 - £25,000	Unit Manager	Not required
£25,001 - £50,000	Unit Manager	Procurement Services
£50,001 - £250,000	Head of Unit	Procurement Services
£250,001 - £1,000,000	Relevant Principal Budget Holder	Procurement Services
£1,000,001 - £5,000,000	Vice-Chancellor	Executive Director of Finance
> £5.0 million	Council	Executive Director of Finance

Exceptions

- Approval is not required for purchases below £500 from approved supplier catalogues loaded onto the SAP SRM system
- The Executive Director of Finance has unlimited authority for energy purchases
- Award of all estates capital project contracts in excess of £250,000 requires the approval of the Director of Estates and Facilities
- The Chief Information Officer must be consulted in the planning phase of any information system or information technology work where expenditure will incur a lifetime total spend of over £50,000
- The Director of Marketing must approve any expenditure on external marketing activity.

1.3 Purchasing cards

Card Type	Attributes	Authorisation by
Classic	Transaction limit: £1,000 Card limit: £5,000	Unit Manager
Extra	Transaction limit: £2,500 Card limit: £15,000	Head of Unit
Plus	As agreed	Executive Director of Finance

1.4 Expenses

Individual line managers have the responsibility to authorise expenses claims in accordance with the expenses policy which can be found [here](#).

2 Income

2.1 Academic fees

Approval of fees set for all programmes of study as proposed by Student Finance Committee – Council (on the recommendation of Executive Board following consultation with the Students' Union)

2.2 Student residence charges

Approval of charges as proposed by Director of Accommodation Services - Council (on the recommendation of Executive Board following consultation with the Students' Union)

2.3 Research projects

Total income	Authorisation by	Concurrence required from
Up to £2,000,000	Head of Unit	Research Strategy & Development authorised signatory
£2,000,001 - £5,000,000	Faculty PVC	Director or Deputy Director of Research Strategy & Development
> £5.0 million	PVC Research Strategy & Resources	Faculty PVC and Director of Research Strategy & Development

Exceptions

- Individual funders may require different approvals – any such requirements are in addition to the standard approvals listed above
- Where projects involve more than one Faculty, the PVC of the lead faculty will be the authoriser but will consult with the other relevant faculties prior to approval
- Where a project requires match funding from the University, approval for the match funding is required in line with the limits set out in section 1.1
- All projects must be costed and priced using Full Economic Costing principles – any exceptions or procedures to alter this must be approved by the Faculty PVC

2.4 All other projects, including CPD and consultancy

Total income	Authorisation by	Concurrence required from
Up to £250,000	Head of Unit	Business Development & Enterprise nominee
£250,001 - £1,000,000	Faculty PVC	Director of Business Development & Enterprise or nominee
£1,000,001 - £5,000,000	Executive Board	Director of Business Development & Enterprise
> £5.0 million	Council	Executive Board

Exceptions

- Projects relating to teaching of any type and value require the additional approval of the PVC Education.
- All projects must be costed and priced using Full Economic Costing principles – any exceptions or procedures to alter this must be approved by the Faculty PVC

2.5 ERDF, ESF, RGF and similar grants

Total income	Authorisation by	Concurrence required from
< £1,000,000	PVC Research Strategy & Resources or the Executive Director of Finance.	FMBSG and relevant Faculty PVC's
£1,000,000 - £5,000,000	Executive Board	FMBSG
> £5.0 million	Council	Executive Board

2.6 Conferences

Hospitality and Conference Services should be consulted prior to approval.

Total expenditure	Authorisation by
< £100,000	Head of Unit
> £100,000	Relevant Principal Budget Holder

2.7 Waiving or delaying billing or payment of contractually collectable income

All contractually collectable income must be billed at the earliest practical opportunity and paid within the terms stated in the agreement between the University and customer (30 days if not explicitly stated). Any exceptions must be approved by:

Activity	Authorisation by
Individual students	Academic Registrar
Debts of < £10,000 <i>Research grants</i>	Designated staff within Contract Financial Management
Debts of < £10,000 <i>Other income</i>	Faculty Head of Finance or equivalent
Debts of £10,000 or more	Executive Director of Finance

2.8 Acceptance of philanthropic donations

Total donation	Authorisation by
Up to £10,000	Designated staff in NU Advancement and Finance and Planning
£10,001 - £100,000	Registrar following review by NU Advancement
£100,001 - £500,000	Executive Board
>£500,000	Council

2.9 Applications for charitable benefactions to charitable trusts and foundations

Total income	Authorisation by	Concurrence from	Research Co-concurrence
Up to £100,000	Head of Unit	NU Advancement	Research Strategy & Development*
>£100,000	Registrar	NU Advancement	Research Strategy & Development*

* with application submitted through NU Advancement

3 Financial and corporate transactions

3.1 Bad debts

Activity	Authorisation by
Writing-off individual bad debts up to £50,000	Designated staff within Finance and Planning
Writing-off individual bad debts in excess of £50,000	Executive Director of Finance

3.2 Establishment or additional funding of subsidiary and spin-out companies

	Subsidiaries and joint ventures	Spin-out companies and minority investments	Subscription to companies limited by guarantee
Establishment of spin-out company	n/a	IP and Spin Out Committee	n/a
Cash investment or guarantee less than £250,000	Executive Board	Executive Board	Executive Board
Cash investment or guarantee greater than £250,000	Council	Council	Council

Exceptions

- Finance Committee must recommend any proposal requiring Council's approval
- Where the University's equity will be held by one its subsidiary companies, the board of directors of the relevant subsidiary will also need to approve the transaction

3.3 Bank accounts, borrowing and investments

Activity	Authorisation by
Opening or closing University bank accounts or setting up bank mandates	Executive Director of Finance
Opening or closing subsidiary company bank accounts or setting up bank mandates	Board of directors as advised by the Executive Director of Finance
Investment of monies belonging to the University	Finance Committee as advised by the Executive Director of Finance
Sale of equity investments belonging to the University	Finance Committee as advised by the Executive Director of Finance
Power to borrow money and give security on behalf of the University	Finance Committee as advised by the Executive Director of Finance

4 Human Resources

4.1 Staff Recruitment

Activity	Authorisation by
Creation and replacement of Reader, Professor and Head of Unit or equivalent positions	Approval of the case to appoint by Executive Board. (Campaign then channelled through e-recruitment with Executive Director of HR as final approver on behalf of UEB)
Creation and replacement of core funded Academic positions (T&R, T&S and R&I)	Faculty PVC
Creation and replacement of externally funded Research positions	Head of Unit
Creation and replacement of Faculty Professional Services positions	Director of Faculty Operations
Creation and replacement of Central Professional Services positions	Relevant Principal Budget Holder

4.2 Redundancy

University statutes require that Senate shall be notified of proposals to dismiss academic staff by reason of redundancy where the dismissal has significant implications for the academic character and mission of the University. No such redundancy shall take place until after Senate has had an opportunity to make representations to Council.

Activity	Authorisation by
Approval of 40 or more redundancy cases or where total costs exceed £2m	Council on the recommendation of Executive Board
Approval of 10-39 redundancy cases	Executive Board
Approval of less than 10 redundancy cases	Relevant Principal Budget Holder
Redundancy at end of fixed term contract	Head of Unit
Approval of any individual termination over £100,000	University Remuneration Committee

5 Academic quality

5.1 Academic programmes

Activity	Authorisation by
Approval of new undergraduate and postgraduate programmes	University Education Committee
Major amendments to existing programmes	University Education Committee
Minor amendments to existing programmes (major and minor)	University Education Committee
Re-approval of programmes	University Education Committee
Withdrawal or suspension of degree programmes	University Education Committee

5.2 Assessment

Approval of policies, regulations and procedures for the assessment of students – Senate

6 Property

6.1 Acquisition and disposal of property

Activity	Authorisation by
Transactions up to £5m	Executive Board
Transactions in excess of £5m	Council

6.2 Leasing properties

Activity	Authorisation by
Transactions up to £250,000	Director of Estates and Facilities
Transactions £250,001 to £5million	Executive Board
Transactions in excess of £5million	Council

6.3 University residential accommodation

Transactions relating to University residential accommodation should be approved by the Director of Accommodation Services.

7 Other

All the following are subject to the governance procedures for contracts for services to be provided by the University, if appropriate.

7.1 Memoranda of understanding and agreements

Activity	Authorisation by
Signing of Memoranda of Agreement and Understanding	Vice-Chancellor, Deputy Vice-Chancellor and cross-cutting Pro-Vice-Chancellors.
Approval of proposals to establish partnerships with other institutions for the delivery of collaborative provision	University Education Committee
Signing of legally binding agreements or contracts with overseas institutions	PVC Global
Approval of the selection of agents, the signing of legally binding agreements or contracts or the termination or renewal of agreements or contracts with overseas agencies	PVC Global

Memoranda of Agreement and Understanding should only be signed on successful completion of the approval process by the project champion. For further information visit [here](#).

7.2 Requirements of the Charities Act

Ensuring the effective identification of charitable and non-charitable activity takes place and is kept under review in line with guidance as received from Office for Students as regulator – Registrar.

7.3 Corporate visual identity

Activity	Authorisation by
Approval of the University's Corporate Visual Identity Policy	Executive Board
Guardianship of the University Brand	Director of Marketing