

UNIVERSITY COURT & ACADEMIC COUNCIL

SCHEDULE OF DELEGATED AUTHORITY

Introduction

1 The Court is the University's governing body and Academic Council is responsible for the academic work of the University both in teaching and research. Court and Academic Council have defined, at a high level, the specific powers that they wish to reserve to themselves for decision. These are set out in the University's *Schedule of Reservations*, which is attached to this document as appendix 1.

2 This document presents a framework for exercising those powers that Court and Academic Council have delegated by virtue of them not being included in the Schedule of Reservations

General matters

3 This schedule lists those people and bodies who are authorised to commit the University to a contractual or quasi-contractual relationship.

4 Subject to any restrictions that might be imposed by Court or Academic Council, those to whom authority is delegated may delegate it further if they so wish and are responsible for approving such delegation as appropriate. In addition, a nominated deputy or alternate may exercise the same power in the absence of the post-holder. Such delegation does not diminish the personal responsibility to Court or Academic Council of the office-holder to whom the initial delegation has been made.

5 All authorities are subject to policies approved by or on behalf of Court or Academic Council and where relevant to the availability of sufficient budget, and must be exercised in accordance with relevant current procedures and such statutory requirements as may be applicable.

6 This schedule covers the authority to make a commitment with resource implications. Operational transactions that give effect to such decisions are covered by operational procedures such as the Financial Regulations.

7 In respect of new business contracts and key projects, full delegation is given on the basis that Court and Academic Council expects that in all cases:

- A business case will have been prepared and assessed before any commitment is entered into, including a full assessment of risks taking into account the Risk Appetite Statement approved by Court;
- The full costs of the project will have been identified, including any matched funding costs, additional overhead costs and estates costs;
- Where the proposal would commit the University to additional costs, it will not be formally entered into until a decision has been reached regarding how those additional costs are to be met;
- All contracts will normally be expected to make an appropriate contribution to central University overheads in accordance with University policy, although the Principal has authority to choose to cross subsidise projects within the overall budgetary limits agreed annually by Court;
- A legal opinion will be sought in respect of all non-standard contracts.

Schedule of reservations

8 The *Schedule of Reservations* sets out those specific powers that Court and Academic Council have decided to reserve to themselves. In addition, Court will be informed about any major litigation affecting the University.

9 Where certain powers are not reserved and have therefore been delegated to a particular committee or post-holder, the latter may nevertheless decide that a particular matter requires to be ratified at a higher level of authority. It should be assumed as a matter of basic principle that all significant matters are routinely reported to Court unless explicitly stated.

Delegation to the Principal

10 Under the Charter & Statutes, the Principal is responsible for all matters relating to the effective working and good order of the University. Court delegates full authority to the Principal to act on its behalf in order to exercise these responsibilities, subject to the following principles:

- The Principal will at all times act in accordance with the best interests of the University and be mindful of the importance of preserving and enhancing the University's reputation;
- The Principal will act within the terms of the conditions of his/her appointment;
- The Principal's actions will be consistent with the University's budget and its strategic plan as approved by Court;
- The Principal's actions will be consistent with relevant legislation and externally prescribed conditions such as those set out in the Scottish Funding Council's Financial Memorandum;
- The Principal's actions will be consistent with the principles of public life enshrined in the Scottish Government's Model Code of Conduct for Members of Devolved Public Bodies;
- The Principal will report to each meeting of Court all significant decisions taken, and will be accountable to Court for those decisions;
- The Principal will consult with the Chair of Court, whom failing the Vice-Chair of Court or an appropriate lay member of Court, in respect of on any potentially contentious, novel or controversial matters prior to exercising his/her delegated authority;
- In his/her absence, the Principal may delegate authority to an appropriate senior officer acting on his/her behalf.

11 In approving the annual budget for the year, Court grants full delegated authority to the Principal. Within the approved budget, the Principal has delegated authority to vire between budget headings.

12 Court may, from time to time, via the Joint Policy, Planning & Resources Committee, additionally delegate to the Principal the authority to contractually commit the University beyond the agreed budget for a given year. The extent of this further discretionary delegation will vary, and shall be informed by the advice of the University Secretary and Executive Director of Finance depending on the University's Financial Strategy and the prevailing financial position of the University at the time. Under such circumstances, normal University tendering procedures would be followed and no commitment made without investment appraisal being undertaken. Where the transaction is one which would otherwise have required Court's approval, this will still be required.

13 All further delegation to members of staff of the University set out in this document derives from the Principal.

Specific authority

14 The tables below sets out specific levels of authority associated with various types of decision undertaken within the University.

Delegations from Court

NATURE OF DECISION	AUTHORITY
<p>1 Property transactions</p> <p>(a) Transactions, including the purchase and disposal of fixed assets, up to £0.5m</p> <p>(b) Transactions, including the purchase and disposal of fixed assets, in excess of £0.5m</p>	<p>Principal with agreement of the Executive Director of Finance and following discussion with the Executive Director of Estates</p> <p>Court, on the recommendation of the Joint Policy, Planning & Resources Committee</p>
<p>2 Other expenditure (within the limits of the budget framework in consultation with the Executive Director of Finance)</p> <p>(a) Up to £100k</p> <p>(b) Up to £500k</p> <p>(c) £500k or more</p>	<p>Member of University Strategy & Policy Group</p> <p>Principal with the agreement of the Executive Director of Finance and University Secretary</p> <p>Court, on the recommendation of the Joint Policy, Planning & Resources Committee</p>
<p>3 Non-salary expenditure commitments (within the limits defined by faculty/service budgets in consultation with the Executive Director of Finance)</p> <p>(a) Purchase orders and other non-salary expenditure</p> <p>(b) Expenses claims</p>	<p>Deans of Faculty/Executive Directors</p> <p>Deans of Faculty/Executive Directors</p>
<p>4 Staffing matters</p> <p>(a) Formal offers of appointment</p> <p>(b) Promotions to Professorship, Readership, Senior Lecturer and Senior Teaching Fellow</p> <p>(c) Overtime payments</p> <p>(d) Voluntary severance</p> <p>(e) Termination of employment</p> <p>(f) Implementation of nationally-negotiated annual pay awards</p>	<p>Executive Director of HR & OD</p> <p>Academic Advancements & Promotions Committee</p> <p>Deans of Faculty/Executive Directors</p> <p>Principal on the advice of the Senior Deputy Principal or University Secretary</p> <p>Principal on the advice of the Senior Deputy Principal or University Secretary</p> <p>Court</p>
<p>5 Student matters</p> <p>(a) Undergraduate student admission</p> <p>(b) Postgraduate student admission</p> <p>(c) Admission to short courses and CPD activities</p> <p>(d) Academic agreements and memoranda</p> <p>(e) Granting of degrees and diplomas</p>	<p>Deans of Faculty/Director of Admissions & Access</p> <p>Deans of Faculty/Director of Admissions & Access</p> <p>Deans of Faculty/Director of Admissions & Access</p> <p>The University Secretary on the advice of the relevant Deputy Principal in relation to Memorandums of Agreement</p> <p>Academic Council and its Committees</p>

6	Non-academic agreements and memoranda	Principal on the advice of the University Secretary
7	Recurrent estates expenditure within agreed budgets	Executive Director of Estates
8	Financial transactions, borrowing, lending and investment (a) Treasury management within agreed borrowing consent limits (b) Secured or unsecured loans to third parties (c) Investments/divestments in subsidiaries, non-subsidiaries, joint ventures and spin-outs (d) Borrowings above the SFC approved levels (e) Management of University bank accounts (f) Changes to cheque signatories	Executive Director of Finance Joint Policy, Planning & Resources Committee Joint Policy, Planning & Resources Committee Joint Policy, Planning & Resources Committee to approve in advance of approval being sought from SFC Executive Director of Finance Executive Director of Finance
9	University facilities and accommodation (a) Allocation of accommodation for commercial purposes (b) Room hire	Executive Director of Commercial Services Executive Director of Commercial Services
10	Institutional Gifts/Donations (a) Non-contentious gifts/donations, value up to £50k (small gifts) (b) Non contentious gifts/donations, value over £50k (large gifts) or contentious ¹ gifts/donations, regardless of value	Principal on the advice of the Director of Global Advancement Donations Review Group (Chair of Court, Chair of Joint Policy, Planning & Resources Committee, Principal, University Secretary) in consultation with the Executive Director of Finance and Director of Global Advancement. In the case of restricted funds donated the relevant Deans of Faculty/Executive Directors will also be consulted.
11	Endowments (a) Release of funds for investment (b) Release of income to beneficiary as a budget for specified purposes (c) Specific decisions on application of endowment funding within the specified purpose	Executive Director of Finance Executive Director of Finance Deans of Faculty/Executive Director or Principal in the case of University-wide funds
12	Common Seal (a) Custody of the Common Seal (b) Officers authorised to authenticate the Seal	University Secretary University Secretary, or Deputy Secretary in his/her absence, and a member of Court

¹ 'Contentious gifts' are those which might have the potential to jeopardise the University's reputation as an ethical institution, or which might create an unacceptable conflict of interest.

<p>13 Research and Innovation</p> <p>(a) Applications</p> <ul style="list-style-type: none"> • Standard applications • Small (<£50k) applications • EC applications where Stirling is the coordinator • Applications to the SFC <p>(b) Contractual agreements</p> <ul style="list-style-type: none"> • Up to £250k • £250k and over <p>(c) Awards</p> <ul style="list-style-type: none"> • letters of acceptance • start certificates, claims and staff appointment forms) 	<p>Research Development Manager</p> <p>Deans of Faculty</p> <p>Executive Director of Research & Innovation or Executive Director of Finance</p> <p>Principal or University Secretary</p> <p>Contracts Manager</p> <p>Executive Director of Research & Innovation</p> <p>Research Development Manager</p> <p>Research Accountant</p>
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Delegations from Academic Council

NATURE OF DECISION	AUTHORITY
1 Granting of degrees and diplomas	Academic Panel
2 Academic agreements and memoranda	The University Secretary on the advice of the relevant Deputy Principal
3 Approval of academic policy and academic regulations	Education and Student Experience Committee
4 Student discipline (Ordinance 2) <ul style="list-style-type: none"> (a) Within Academic Departments (b) Library or computer network (c) University residences (d) Traffic and car parking (e) University grounds or non residential buildings (f) Any activity as specified in Ordinance 2 	Deans of Faculty Executive Director of Information Services Head of Accommodation Services Executive Director of Estates Executive Director of Estates University Secretary or Deputy Secretary or Academic Registrar or a Deputy Principal as specified in Ordinance 2
5 Exclusion from University	Principal
6 Management of research plans and strategies	Research Committee
7 Admissions policy	Education and Student Experience Committee
8 Appointment of External Examiners	Deputy Principal (Education & Students)
9 Appointment of Internal Examiners and examining committees for PhD students	Deans of Faculty
10 Admission of students to the University	Deans of Faculty/Director of Admissions & Access
11 Approval of new programmes of study and amendments to existing programmes	Faculty Learning & Teaching Committee/Deputy Principal (Education & Students)
12 Regulation and conduct of examinations	Education and Student Experience Committee
13 Approval or verification of awards and student attainment in exceptional circumstances such as periods of industrial action	Deputy Principal (Education & Students)

Appendix 1

SCHEDULE OF RESERVATIONS

1. UNIVERSITY COURT

Introduction

1 The purpose of this schedule is to define, at a high level, those specific powers that the Court has decided to reserve to itself. Where certain powers are not reserved and have therefore been delegated to a particular committee or post-holder, the latter may nevertheless decide that a specific issue requires to be ratified at a higher level of authority. Where powers are reserved to, or delegated to, individuals, a nominated deputy or alternate may exercise the same power in the absence of the post-holder.

2 It should be assumed as a matter of basic principle that all significant matters are routinely reported to Court unless explicitly stated.

Matters reserved to the University Court

Constitution and governance framework

- Amendments to the University's Charter & Statutes (subject to consultation with the Scottish Government and the further approval of the Privy Council).
- The making and amendment of Ordinances.
- Appointment of the Chancellor and the Chair of Court.
- Major changes to the University's organisational and committee structure.
- Establishment and abolition of academic faculties and other units.
- Approval of major statements and policies complying with statutory requirements (health and safety, equality and diversity etc).
- Approval of Court's Standing Orders and Statement of Primary Responsibilities.
- Monitoring of the effectiveness of Court itself.
- Approving and monitoring the University's key performance indicators.

Vision, mission and strategy

- Approval of, and amendments to, the University's overarching mission and vision.
- Approval of the University's strategic plan.
- Approval of entry into major strategic partnerships and alliances, including mergers with other institutions.
- Approval of the following key strategy documents:
 - Estate Strategy
 - Human Resources Strategy
 - Financial Strategy
 - Information Strategy
 - Research Strategy (on the recommendation of Academic Council)
 - Learning & Teaching Quality Enhancement Strategy (on the recommendation of Academic Council)

Financial and capital expenditure matters

- Approval of the University's annual budget.
- Approval of the University's annual reports and financial statements.
- Approval of the Capital Plan, the annual spend associated with that programme and all significant variations arising in year;
- Approval of additional/new borrowings by the University
- Approving the opening and closing of University bank accounts
- Approval of the disposal of the University land and buildings unless to a wholly owned subsidiary; and of all assets valued at more than £0.5m.
- Appointment of Trustees to the University Pension Scheme.

Audit, monitoring and review

- Appointment and removal of the University's internal and external auditors.
- Consideration and approval of the Audit Committee Annual Report.
- Consideration of the internal auditor annual report.
- Approval of the University's arrangements for risk management and internal control.

Human resources matters

- Appointment and dismissal of the Principal, Senior Deputy Principal and University Secretary.
- Decisions on participation in national arrangements for pay bargaining.
- Implementation of nationally-negotiated annual pay awards
- Statutory responsibilities under Statute 17 and Ordinance 68 relating to academic staff.
- Granting of Emeritus titles.

2. ACADEMIC COUNCIL

Introduction

- 2.1 The purpose of this schedule is to define, at a high level, those specific powers that the Academic Council has decided to reserve to itself. Where certain powers are not reserved and have therefore been delegated to a particular committee or post-holder, the latter may nevertheless decide that a specific issue requires to be ratified at a higher level of authority. Where powers are reserved to, or delegated to, individuals, a nominated deputy or alternate may exercise the same power in the absence of the post-holder.
- 2.2 It should be assumed as a matter of basic principle that all significant matters are routinely reported to Academic Council unless explicitly stated.

Matters reserved to the Academic Council

- Approval of Academic Council's Standing Orders
- Recommendation to Court for the approval of Ordinances relating to Academic Council or Academic matters
- Recommendation to Court for the approval of the Learning & Teaching Strategy
- Recommendation to Court for the approval of the Research & Knowledge Exchange Strategy
- Granting of Honorary Degrees
- Dates of semester and graduations
- Consideration of the annual reports of the committees of Council