

University Schedule of Delegation

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Section 1 – Schedule Overview and Principles

1.1. The purpose of the Schedule of Delegation is to provide a structure of high-level responsibilities and delegated authorities for making key decisions in the name of, or on behalf of, the University. The document focuses on those areas of decisions that may be made by the University Council, or one of its Committees or may be delegated to the Vice-Chancellor or other members of the University Executive Committee (UEC).

1.2. This schedule has been developed in accordance with guidance from the Committee of University Chairs (CUC), which recommends that:

"where permissible, the governing body may delegate authority or allocate some of its work to committees, grant delegated authority to the Chair or a committee to act on its behalf and delegate responsibility to the executive head and officers of the institution. Such delegations must be clearly defined in writing and be formally approved by the governing body. Having delegated authority to other bodies or individuals to act on its behalf, the governing body is nevertheless ultimately accountable and has to accept corporate responsibility for the actions taken."

1.3. In the event of a major incident or crisis, it is recognised that decisions may need to be made by exception outside normal practices. A number of arrangements are in place to support such circumstances as set out in the University's Business Continuity Plan and Incident Planning Protocol.

1.4. The following delegation principles should be adhered to by the person/group with the final authority:

- All actions will not exceed the level of authority delegated by Council and must be contained within the allocated and approved budget;
- All actions will be consistent with the University Strategic Plan and the institutional objectives and priorities contained in the Plan, placing the University interest above that of its constituent parts;
- Any action should be consistent with the seven principles of standards in public life (the Nolan Report);
- All individuals delegated or supporting a delegated authority will act in accordance with the best interests of the University, its staff and students, and recognise the importance of preserving the University's good reputation;
- All decisions should be consistent with the University's Risk Management Policy (and Risk Registers) and comply with legal and funding body obligations;
- Any further delegation of responsibility must also be subject to and informed by overarching standard University procedures for financial transactions and policy matters;
- In cases of doubt, for example, in regard to potentially contentious or higher risk / legal matters, any decisions must be escalated to the Secretary to Council, irrespective of monetary value;
- Approval must be obtained at the planning stage, before the point of committing to any transaction, and include the total transaction cost over the full period of commitment and options for extensions;

- This schedule applies to all activities whether funded from restricted or non-restricted funds;
- Sufficient detail, evidence and relevant level of prior authorisation to support any action being requested must be provided to the delegated authority to allow them to make a decision and to allow them to demonstrate to Council, auditors or funders that an appropriate course of action is taken;
- In the absence of a defined delegated responsibility, or in the event of any uncertainty as to whom a decision or process should be delegated, advice should be sought from the Secretary to Council. A guiding principle should be to "delegate upwards".

1.5. It is important to note that the schedule is not and cannot be exhaustive and does not cover all areas of the University's decision making processes in detail. It does, however, provide a useful guide and further advice can be sought from the [Legal, Governance & Compliance team](#). Amendments to the schedule will require Council approval. Underlined font within this document is hyperlinked to either elsewhere in the document or to the relevant webpage to provide more detail; press control + F for a key word search.

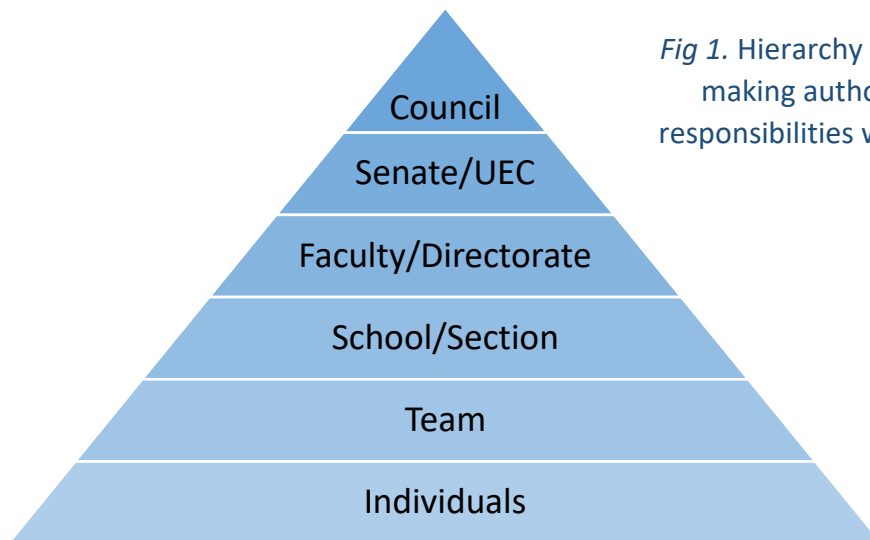


Fig 1. Hierarchy of decision-making authority and responsibilities within Keele

1.6. Hierarchy of University Policy Documents:

University Act & Charter ➡ Statutes ➡ Ordinances ➡ Regulations/Policies/Strategies/Frameworks ➡ Code of Practice ➡ Procedures/Code of Conduct ➡ Guidance/Guidelines/User Guides.

Further details on the University's governance documentation can be found within the [University Policy Framework](#).

Section 2 - Categories of the Schedule of Delegation

- 2.1. [Governance, management and control](#)
- 2.2. [Appointments and staffing matters](#)
- 2.3. [Academic and student matters](#)
- 2.4. [Research, enterprise and engagement](#)
- 2.5. [Capital investment and estates](#)
- 2.6. [Budgetary and financial matters](#)

2.1. Governance, management and control

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
The Act	Parliament	None	Council	-	The University of Keele Act 1962
The Charter	Privy Council	None	Council	Council must amend by a Special Resolution before submission to the Privy Council – see Charter section 24 & 25 (after consultation at Senate and University Executive Committee).	The University Charter 1962 ; University Policy Framework .
Statutes	Privy Council	None	Council	Council must amend by a Special Resolution before submission to the Privy Council – see Charter section 18 (after consultation at Senate and University Executive Committee).	Statutes ; Statute 17 ; University Policy Framework .
Ordinances	Council	None	Senate	University Executive Committee should be consulted where it is a new Ordinance or significant amendment.	Ordinances ; Statute 17 ; University Policy Framework .
Regulations – Financial compliance	Council	Audit & Risk Committee	Chief Financial Officer	After consultation at University Executive Committee and Business Review Committee, where appropriate. In exceptional circumstances, Audit & Risk Committee may authorise a deviation from	Financial Regulations ; University Policy Framework .

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
				these Regulations, which must be reported to Council.	
Regulations – KARP compliance	Council	Senate	Education Policy Committee	Approved by Senate and reported to Council for information	Keele Academic Regulations & Policies ; University Policy Framework .
Strategic Plan	Council	None	Vice-Chancellor	Vice-Chancellor to submit to Senate and Council.	Strategic Plan
Policy Framework – University policies, procedures, strategies, etc.	Council	University policy documents are approved and amended in accordance with the University Policy Framework. Some legislative policy documents remain within the responsibility of Council or delegated to the relevant Council Committee.			University Policy Framework ; Council Committees Terms of Reference .
Formation, removal and renaming of Faculties, Schools & Directorates	Council	None	Senate, University Executive Committee (or sub-group(s))	Requires an amendment to Ordinance B1/B2.	Ordinance B1 & B2
University Leadership and Management	Council	Vice-Chancellor	Members of University Executive Committee	In the absence of the Vice-Chancellor, the Deputy Vice-Chancellor & Provost is the Acting Vice-Chancellor; in the absence of both, the Acting Vice-Chancellor will be appointed by special arrangement.	Statute 6 ; Statute 8 (3) , Ordinance .
Accountable Officer – Reporting to the Office for Students	Vice-Chancellor	None	Secretary to Council	In the absence of the Vice-Chancellor, accountability is delegated to the Acting Vice-Chancellor. The Accountable Officer is responsible for compliance with the Office for Students’ Regulatory Framework and Terms & Conditions for Funding of Higher Education	Reportable Events Procedure

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
				<p>and the University's Reportable Events Procedure.</p> <p>Compliance with the Office for Students' Regulatory Framework and Ts & Cs is monitored by University Executive Committee and Audit & Risk Committee.</p>	
Custody & Use of the Seal	Council	<p>Secretary to Council</p> <p>In the absence of the Secretary to Council, the Vice-Chancellor has delegated authority; in the absence of both, the Deputy Vice-Chancellor & Provost has delegated authority.</p>	Vice-Chancellor	<p>The Seal is to be affixed to deeds in accordance with the Use of the University Seal Procedure and in compliance with Ordinance A6.</p> <p>Two different signatures are required, one from each category below: <i>Category 1 – Members of Council, usually:</i> Vice-Chancellor; Deputy Vice Chancellor & Provost. <i>Category 2 – University Officers:</i> Vice-Chancellor; Deputy Vice-Chancellor & Provost; Chief Operating Officer; Chief Financial Officer (or delegate); Director of Estates & Development (normal officer signatory for estates contracts).</p>	Charter; Statute 17; Ordinance A6; Use of the University Seal Procedure; University Contract and Approval Signature Processes.
Contracts – Institutional contracts (except for RaISE, HR, Procurement & Estates contracts) (<i>University Contract Approval and Signature Processes</i>)	Council	<p>Director (or equivalent) or Executive Dean – if within the local budget/allocated resource; if outside of budget or represents a</p>	Director of Legal, Governance & Compliance	<p>Institutional Contracts Approval Form should be completed.</p> <p>Director (or equivalent) or Executive Dean is accountable for recommending contract for signature and determining whether external legal support is required to assess risk of contract. The Director of Legal,</p>	University Contract Approval and Signature Processes.

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
		medium to high material risk, delegated authority lies with the Chief Operating Officer or the Vice-Chancellor		<p>Governance & Compliance may be contacted in order to help assess whether external legal support is needed.</p> <p>In line with the University Contract Approval and Signature Processes, the Secretary to Council is authorised to sign any such contracts in the absence of those named as having delegated authority.</p>	
Contracts – RaISE (Research, teaching and innovation contracts – <i>Research, Innovation & Engagement contract request process</i>)	Council	In accordance with the Research, Innovation & Engagement Delegations List	Recommendation from Director of Research Strategy Delivery or Director of Engagement & Partnerships, where required	<p>There is legal support embedded into the RaISE team who will review complex contracts as needed. For the most complex contracts, the Faculty may be asked to outsource, with support – the Director of Research Strategy Delivery and Executive Dean will authorise for the most complex cases.</p> <p>The RIE Delegations List requires approval from the Professional Services Group.</p> <p>In line with the University Contract Approval and Signature Processes, the Secretary to Council is authorised to sign any such contracts in the absence of those named as having delegated authority.</p>	University Contract Approval and Signature Processes ; RIE Delegations List; Project Assurance Contracts .
Contracts – Estates (<i>Process for Signing Estates Related Contract Documentation for Estates & Development and</i>)	Council	Director of Estates & Development.	Recommendation from Director of Legal, Governance &	In line with the University Contract Approval and Signature Processes, the Secretary to Council is authorised to sign	University Contract Approval and Signature Processes ; Process for Signing

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
<i>Keele University Science & Business Park Limited)</i>		In their absence, the Chief Financial Officer is authorised to sign both the authorisation form and the contract.	Compliance, where required	any such contracts in the absence of those named as having delegated authority.	Estates Related Contract Documentation for Estates & Development and Keele University Science & Business Park Limited.
Contracts – Human Resources (<i>All employment-related contracts</i>)	Council	Director of Human Resources/Head of HR/Manager	Staffing Review Group	Post Approval Forms are signed off by the Staffing Review Group. In line with the University Contract Approval and Signature Processes, the Secretary to Council is authorised to sign any such contracts in the absence of those named as having delegated authority.	University Contract Approval and Signature Processes ; Post Approval Process.
Contracts – Procurement (<i>All procurement-related contracts</i>)	Council	Procurement contracts <£2k – Procurement Senior Category Manager; Head of Procurement and Customer Service; Associate Director of Finance; or Chief Financial Officer. Any other finance contracts – follow the Institutional Contracts process	Procurement Senior Category Manager / Head of Procurement and Customer Service / Associate Director of Finance / Chief Financial Officer	In line with the University Contract Approval and Signature Processes, the Secretary to Council is authorised to sign any such contracts in the absence of those named as having delegated authority.	University Contract Approval and Signature Processes ; Procurement Contract Signature Process.

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
Internal Control Arrangements	Council	Audit & Risk Committee	Risk & Data Management – Secretary to Council; Value for Money – Chief Financial Officer.	Internal auditors provide opinion for each audit and an overall annual opinion (submitted to the Office for Students) of the effectiveness of internal control arrangements.	Statute 17; Audit & Risk Committee Terms of Reference
University Risk Register	Council	University Executive Committee	Audit & Risk Committee		Risk Management Policy
Corporate Compliance Management – Legislative and Regulatory Compliance	Council	Audit & Risk Committee	Director of Legal, Governance & Compliance	Legislative and regulatory risk owners and operational leads are outlined within the Corporate Compliance Risk Register. Some matters or events may constitute a Reportable Event and require notification to the Office for Students.	Corporate Compliance Risk Register; Reportable Events Procedure .
Obtaining external legal or other independent advice	Council	Secretary to Council; Chief Operating Officer; Director of HR; Director of Estates & Development; Audit & Risk Committee	Director of Legal, Governance & Compliance	Legal or court action may require notification to the Office for Students as a Reportable Event. External legal fees limited by the budget holder's authority or by Committee's terms of reference.	Reportable Events Procedure; Audit & Risk Committee Terms of Reference
Disaster & Business Continuity Planning	Council	Vice-Chancellor	Chief Operating Officer and Relevant Director(s)/Heads	-	Business Continuity Plans; Incident Planning Protocol
Approval of the Use of the University Logo	Vice-Chancellor	Chief Operating Officer	Director of Strategic Communications	In compliance with the University Brand Identity and Guidelines.	University Brand Identity and Guidelines .

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
			& Brand; Director of Legal, Governance & Compliance		
Authorisation of Media Releases	Vice-Chancellor	Chief Operating Officer	Director of Strategic Communications & Brand	Relevant Director(s)/Executive Dean(s)/Pro Vice-Chancellors to be consulted as appropriate where a significant release of information to the media.	Media Guidelines for Staff.
Students' Unions Governance (Keele Students' Union and Keele Postgraduate Association) - Constitution	Council	None	Secretary to Council	Secretary to Council to monitor compliance with the Education Act 1994 – Section 22.	Education Act 1994 – s.22; SU Code of Practice.
Students' Unions Governance (Keele Students' Union and Keele Postgraduate Association) - Elections	Council	Secretary to Council	Legal, Governance & Compliance team	Council should ensure that elections are conducted in a fair and democratic manner in order to comply with the Education Act 1994 – Section 22.	Education Act 1994 – s.22; SU Code of Practice.
Students' Unions Governance (Keele Students' Union and Keele Postgraduate Association) - Budget	Council	Business Review Committee	University Finance team	Secretary to Council to monitor compliance with the Education Act 1994 – Section 22 (students' unions).	Education Act 1994 – s.22; SU Code of Practice.
Students' Unions Governance (Keele Students' Union and Keele Postgraduate Association) – Review of Statutory Accounts	Council	Business Review Committee	University Finance team	Secretary to Council to monitor compliance with the Education Act 1994 – Section 22.	Education Act 1994 – s.22; SU Code of Practice.
Students' Unions Governance (Keele Students' Union and Keele Postgraduate Association) – Review of Management Accounts	Council	Business Review Committee	University Finance team	Keele Students' Union management accounts to be considered by Business Review Committee quarterly Keele Postgraduate Association management accounts to be considered by Business Review Committee biannually Secretary to Council to monitor compliance with the Education Act 1994 – Section 22.	Education Act 1994 – s.22; SU Code of Practice.

Responsibility:	Final Authority:	Delegation	Oversight/ Recommendation	Further Powers, Limits & Process	Reference
Other Students' Union Governance	Council	Secretary to Council	Legal, Governance & Compliance team	Secretary to Council to monitor compliance with the Education Act 1994 – Section 22. Business Review Committee monitor the expenditure of both unions.	Education Act 1994 – s.22; SU Code of Practice.

2.2. Appointments and staffing matters

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
<i>Appointment of:</i>					
Chancellor	Council	None	Nominations & Governance Committee	-	Statute 3 & 17(3); Ordinance A1.
Pro-Chancellor/Chair of Council	Council	None	Nominations & Governance Committee	Appointment of a new Pro-Chancellor/Chair of Council is a Reportable Event requiring notification to the Office for Students.	Statute 4 & 17(2). Reportable Events Procedure.
Deputy Pro-Chancellors	Council	None	Nominations & Governance Committee	-	Statute 5 & 17(2)
Senior Independent Member	Council	None	Nominations & Governance Committee	-	
Honorary Treasurer	Council	None	Nominations & Governance Committee	-	Statute 7 & 17(2)
Lay Members of Council	Council	None	Nominations & Governance Committee	-	Statute 16 & Ordinance A7
Vice-Chancellor	Council	None	Senate	After consideration of a report from a Joint Committee of Council and Senate. Change of Vice-Chancellor is a Reportable	Statute 6, 17(3) & 19(6); Ordinance A2; Reportable Events Procedure.

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
				Event requiring notification to Office for Students.	
Deputy Vice-Chancellor & Provost	Council	None	Senate	After consideration of a report from a Joint Committee of Council and Senate.	Statute 8 & 19(6); Ordinance A3.
Pro Vice-Chancellor & Executive Deans	Council	None	Senate	After consideration of a report from a Joint Committee of Council and Senate.	Statute 9 & 19(6); Ordinance A4.
Secretary to Council	Council	None	Senate	After consideration of a report from a Joint Committee of Council and Senate.	Statute 10 & 19(6); Ordinance A5.
Chief Operating Officer	Council	None	-	-	Statute 13 & 19(6); Ordinance A5.
Librarian	Council	None	Senate	-	Statute 11 & 19(6);
Academic Registrar	Council	None	Senate	After consideration of a report from a Joint Committee of Council and Senate.	Statute 12 & 19(6); Ordinance A5.
Senior Administrative Officers (executive lead of Directorate/Service Area)	Council	None	-	Report outcome to Council.	Statute 13 & 19(6); Ordinance A5.
Heads of Academic Areas	Council	Appointment Panel		Report outcome to Senate.	Statute 19(6); Ordinance B3; HR Policy & Procedures.
All other academic staff – Professors, Readers, Senior Lecturers, Lecturers etc	Council	Appointment Panel	-	Report outcome to Senate.	Ordinance B4; HR Policy & Procedures.
Honorary/Emeritus Professors, Readers, Senior Lecturers, Lecturers etc	Council	Professorial & Readership Promotions Committee or Executive Dean as appropriate	-	Report outcome to Senate.	Ordinance B5; HR Policy & Procedures.
All other professional services staff	Council	Appointment Panel	-		Recruitment & Selection Code of Practice.

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
External Auditors	Council	None	Audit & Risk Committee	A Reportable Event requiring submission to the Office for Students.	Statute 14; Audit & Risk Committee Terms of Reference; Reportable Events Procedure.
Internal Auditors	Council	None	Audit & Risk Committee	A Reportable Event requiring submission to the Office for Students.	Audit & Risk Committee Terms of Reference; Reportable Events Procedure.
External Examiners	Council	Education Committee	Oversight - Senate; Recommendation - Quality & Academic Standards Committee or Research Degrees Committee	-	Statute 19(5); Ordinance B7.
Internal Examiners (PGR)	Senate	None	Research Degrees Committee	Only applicable to postgraduate research Internal Examiners (the assessments and examinations for taught academic awards is the responsibility of Boards of Examiners)	Statute 19(4); Ordinance B7; Postgraduate Research Degrees Code of Practice.
Director or nominated officer for a subsidiary or associated company	Council	None	Nominations & Governance Committee	Company Secretary to report changes of appointees to Companies House.	Statute 17(4)
<i>Responsibility for:</i>					
Major changes to terms and conditions of employment	Council	None	Business Review Committee or Senior Remuneration Committee	-	Statute 17 (15 & 16); HR Policy & Procedures.

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Minor changes to terms and conditions of employment	Council	University Executive Committee	Director of HR	-	Statute 17 (15 & 16); HR Policy & Procedures.
Remuneration of professorial staff and members of the University Executive Committee	Council	Senior Remuneration Committee; Vice-Chancellor for Professorial and Grade 10 remuneration	Chair of Council recommends the Vice-Chancellor's remuneration to Senior Remuneration Committee	Remuneration decisions delegated to the Vice-Chancellor must be reported to Senior Remuneration Committee meeting.	Senior Remuneration Committee Terms of Reference; HR Policy & Procedures.
All other staff remuneration	Council	Director of HR	HR management team	-	HR Policy & Procedures.
Promotion and progression	Council	Promotions Committee	-		Promotions Committees; HR Policy & Procedures.
Pension scheme changes	Council	None	Business Review Committee / University Executive Committee	Responsibilities for the Director of HR and Chief Financial Officer as set out within the Financial Regulations.	Statute 17 (15); HR Policy & Procedures; Financial Regulations.
Voluntary severance	Council	Staffing Review Group	Senior Remuneration Committee for Grade 10 and above. Executive Dean or Director for Grade 9 and below.	-	HR Policy & Procedures.
Other severance	Council	Staffing Review Group	Senior Remuneration Committee for Grade 10 and	-	HR Policy & Procedures.

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
			above. Executive Dean or Director for Grade 9 and below.		
Redundancy	Council	None	Redundancy Committee	A special resolution must be passed by Council.	Statute 31; HR Policy & Procedures.
Staff discipline and appeals – academic staff	Council	Vice-Chancellor (<i>overall responsibility</i>); with the Director of HR, Deputy Vice-Chancellor & Provost and a Council-appointed Tribunal having responsibilities as outlined by the Procedure.	Human Resources	-	Staff Discipline and Appeals Procedure (academic staff)
Staff discipline and appeals – professional services staff	Council	Senior Managers and Designated University Manager for investigations and appeals (<i>with HR overseeing</i>)	Human Resources	-	Staff Discipline and Appeals Procedure (non-academic staff)
Staff grievances – academic staff	Council	Manager(s); Grievance Committee; Secretary to Council; The Vice-Chancellor and Director of HR	Human Resources	-	Statute 31; Ordinance D2; Staff Grievance Procedure

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
		having responsibilities.			
Staff grievances – professional services staff	Council	Manager(s) (<i>Stage 1 – overseen by HR</i>); Senior University Manager (<i>Stage 2 – overseen by HR</i>); Council-appointed Panel (<i>Stage 3 – overseen by the Secretary to Council</i>); the Vice-Chancellor and Director of HR having responsibilities.	Human Resources	-	Staff Grievance Procedure

2.3. Academic and student matters

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Management of education provision and quality (UG & PGT)	Council & Senate	Education Committee	Pro Vice-Chancellor Education / Quality & Academic Standards Committee	Sub-committees of Education Committee	Committee Terms of Reference
Management of education provision and quality (PGR)	Council & Senate	University Doctoral Academy Committee	Pro Vice-Chancellor Research/ Director of Keele Doctoral Academy /Pro Vice-Chancellor Postgraduate Studies	Research Degrees Committee; Research Committee and its sub-committees.	Committee Terms of Reference; Postgraduate Research Degrees Code of Practice

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Management of student intake targets	Vice-Chancellor	Student Recruitment & Admissions Group	Academic Registrar / Director of Global Student Recruitment & Admissions	Information to be exchanged with the relevant regulator.	Student Recruitment & Admissions Group Terms of Reference.
Student tuition fees	Council	Student Recruitment & Admissions Group	Director of Global Student Recruitment & Admissions	<p>Delegation to consider and set unregulated student fees (international undergraduate/ international postgraduate taught, international postgraduate research, and alternative programmes). Limited to consider increases that are either i) in line with inflationary uplifts or ii) below a 5% rise.</p> <p>Postgraduate research Home fees are determined by the Research Funding Councils and as such, part-time and PhD by publication fees track at the same levels as the postgraduate research home value.</p>	Student Recruitment & Admissions Group Terms of Reference.
Student residential fees	Council	Student Recruitment & Admissions Group	Director of Student Services	Accommodation fees must be raised in line with the Keele Residential Funding (KRF) agreement.	-

Responsibility:		Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Admissions – offers/enrolment		Vice-Chancellor	Director of Global Student Recruitment & Admissions	Deputy Director of Global Student Recruitment & Admissions / Heads of Schools	Monitored by Student Recruitment & Admissions Group set entry requirements/grades, contextual offer schemes and similar strategic decision making on admissions.	Admissions Policies
International student recruitment agents & their fees		University Executive Committee	University Executive Committee sub-group where appropriate	Proposed by Director of Global Student Recruitment & Admissions	-	University Executive Committee business processes and committee/group Terms of Reference.
Approval of new programme of study	Outline Approval	University Executive Committee	Student Recruitment & Admissions Group	Director of Global Student Recruitment & Admissions / Executive Dean	-	University Executive Committee business processes and Project Executive Group Terms of Reference.
	Final Approval	Senate	Quality and Academic Standards Sub-Committee (reporting directly to Senate)	Standing Validation Panel	-	Powers of Senate ; Quality and Academic Standards Committee Terms of Reference; University Executive Committee business processes.
Collaborative Provision		Council	University Executive Committee/Academic Strategy Group (initial approval to explore partnership and formal approval of business case and contract negotiations)	Senate	Following consultation with the Director of Legal, Governance & Compliance; May require notification to the Office for Students as a Reportable Event. Annual Report on collaborative provision to Council.	University Executive Committee business processes; Powers of Senate ; Code of Practice for Collaborative Provision ; Reportable Events Procedure .

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Major amendment of a programme of study	Education Committee	Faculty Education Committee	School Education Committee	-	Committee Terms of Reference
Minor amendments to a programme of study	Education Committee	School Education Committee	-	-	Committee Terms of Reference
Withdrawal of degree programmes	Senate	None	Quality and Academic Standards Sub-Committee (from Faculty Education Committees) or University Executive Committee, or University Executive Committee sub-group as appropriate	-	Powers of Senate ; Quality and Academic Standards Committee Terms of Reference; University Executive Committee business processes.
Suspension of degree programmes	Senate	Quality and Academic Standards Sub-Committee (reporting directly to Senate)	University Executive Committee, University Executive Committee sub-group or Faculty Education Committees	May require notification to the Office for Students as a Reportable Event.	Powers of Senate ; Quality and Academic Standards Committee Terms of Reference; Reportable Events Procedure .
Approval of, deviation from, or modification to course regulations	Education Committee	Validation Panel / Faculty Education Committee	-	New course regulations are to be approved by the Validation Panel; Deviations or amendments to course regulations require approval from Faculty Education Committee.	Committee Terms of Reference

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Awards – other than Honorary Degrees	Senate	None	Examination Board, including Research Degrees Committee	-	Powers of Senate; Committee Terms of Reference
Awards – Honorary Degrees	Council & Senate	None	Honorary Degrees Committee	In compliance with the Committee terms of reference and Honorary Degrees Guidance and Criteria.	Honorary Degrees Committee Terms of Reference
Termination of Studies – academic misconduct	Council	Deputy Vice-Chancellor & Provost	Head of Academic Quality & Student Conduct (to identify if there is a case to proceed to the Committee). Academic Misconduct Committee.	-	Statute 17 (21), Regulation D4; Code of Practice on Student Academic Misconduct
Termination of Studies – non-engagement	Senate	Academic Registrar / Director of Student Services or nominee (Head of Student Records & Examinations)	Determined by student results (Exam Board) and parameters as set out in relevant University regulations.	In compliance with the Academic Warnings Policy & Procedure.	Powers of Senate; Regulations; Academic Warnings Policy and Procedure.
Student exclusion – from campus or parts of the campus	Council	Deputy Vice-Chancellor & Provost <i>If situation requires:</i> the Head of Academic Quality and Student Conduct or the Director of	Temporary Exclusion Panel	In compliance with Regulation B2 – Temporary Exclusion of Students	Statute 17 (21); Regulation 1.

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
		Student Services or nominees.			
Student exclusion – Permanent exclusion from the University	Council	Deputy Vice-Chancellor & Provost	Disciplinary Committee	The schedule of penalties for minor and major disciplinary offences is approved by Senate and published within the Discipline Procedure.	Statute 17 (21) ; Regulation B1 ; Student Discipline Procedure .
Student Academic Appeals	Council	Academic Appeals Committee	Sifting Stage - by the Head of Academic Quality and Student Conduct and a member of the Academic Appeals Committee.	In compliance with Regulation B6 – Academic Appeals and the Procedure.	Statute 17 (22) ; Regulation B6 ; Academic Appeals Procedure .
Student Complaints	Council	<i>Stage 1</i> – staff member; <i>Stage 2</i> – Early Resolution Officer; <i>Stage 3</i> – PVC.	-	In compliance with Regulation B7 – Student Complaints and the Procedure. <i>Stage 4 of Student Complaints Process is a Grievance (see below).</i>	Statute 17 (22) ; Regulation B7 ; Student Complaints Procedure .
Student Grievances to Council	Council	Secretary to Council (to establish whether a case for consideration) or Council Panel	-	Following the completion of procedures within the University, students are informed they have the right to refer their complaint to the Office of the Independent Adjudicator for Higher Education (OIA).	Statute 17 (22) ; Ordinance D3 ; Grievances guidance.
New Academic Prizes	Senate	Academic Registrar	-	-	Statute 19

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Information & Digital Services	Vice-Chancellor / Education Committee	Chief Information Officer	University Librarian / Head of Projects and Service Assurance	Education Committee has authority only where it applies to education-related Information & Digital Services.	-

2.4. Research, enterprise and engagement

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Management of Research Performance, Quality & Research Integrity	Council	Senate and Research Committee	Director of Research Strategy Delivery; Pro Vice-Chancellor for Research & Innovation; Dean of Research	Delegated authority to sub-committees of Research Committee, as outlined within the Terms of Reference.	Statute 19 ; Research Committee Terms of Reference
Research funding matters – including research grant applications	Council	Senate and Research Committee	Director of Research Strategy Delivery; Pro Vice-Chancellor for Research & Innovation; Dean of Research	Delegated authority to sub-committees of Research Committee, as outlined within the Terms of Reference.	Statute 19 ; Research Committee Terms of Reference
Management of Enterprise Activity	Vice-Chancellor	Director of Engagement & Partnerships and Pro Vice-Chancellor for Research & Innovation	University Executive Committee or University Executive Committee sub-group where appropriate	-	-
Intellectual Property – matters including the licensing of IP	Council	Director of Research	-	-	Intellectual Property Management Code of Practice

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
		Engagement & Partnerships			
Sale of Intellectual Property	Council	University Executive Committee sub-group where appropriate	Director of Research Engagement & Partnerships	-	Intellectual Property Management Code of Practice
Monitoring the formation of spin-out companies	Council	University Executive Committee sub-group where appropriate	Director of Research Engagement & Partnerships	In compliance with the Procedure and Guidelines for the Management of Conflicts of Interest	Procedure and Guidelines for the Management of Conflicts of Interest
Management of subsidiary companies – including contracts	Council	Subsidiary Board Contracts: Two Directors of the Company	Subsidiary Board	Company Secretary: Director of Legal, Governance & Compliance/Governance Manager. Contracts must be signed by two Company Directors.	Information on Keele's subsidiary companies.

2.5. Capital investment and estates

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Acquisition and disposal of property	Council	None	Business Review Committee / University Executive Committee (or relevant sub-group)	May require notification to the Office for Students as a Reportable Event; or reportable to the Charity Commission for disposals.	Charter ; Statute 17 ; Business Review Committee Terms of Reference ; Reportable Event Procedure ; University Executive Committee business processes.
Leases of University property or land	Council	None	Business Review Committee / University Executive	Staff housing on campus and student accommodation are managed by the Directorate of Estates & Development	Statute 17 ; Business Review Committee Terms of Reference ; University Executive Committee business

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
			Committee (or relevant sub-group)		processes; Staff housing ; Student Accommodation ; Use of the University Seal Procedure .
Development of the capital programme	Council	None	Business Review Committee / University Executive Committee (or relevant sub-group)	-	Statute 17 ; Business Review Committee Terms of Reference ; University Executive Committee business processes
Medium-term strategic and financial plans (capital)	Council	None	Business Review Committee / University Executive Committee (or relevant sub-group)	-	Statute 17 ; Business Review Committee Terms of Reference ; University Executive Committee business processes
Projects (non-research)	Council	Business Review Committee	Senate or Business Review Committee	<i>According to Project definition set by Council:</i> a) worth in excess of £1m; b) identified within the University strategic planning process; c) associated with the management of corporate risks; d) identified by Business Review Committee or Council for oversight.	Statute 17 ; Business Review Committee Terms of Reference ; University Executive Committee business processes

2.6. Budgetary and financial matters

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Medium-term strategic and financial plans (revenue)	Council	Business Review Committee – <i>monitoring of delivery</i>	University Executive Committee (or relevant sub-group)	All risks and financial implications are to be identified by Business Review Committee prior to Council.	Statute 17; Business Review Committee Terms of Reference ; University Executive Committee business processes.
Statutory Accounts/Financial Statements	Council	None	Business Review Committee / Audit & Risk Committee	External Auditors. Any assessment that the University is not a Going Concern may require notification to the Office for Students as a Reportable Event.	Statute 17; Business Review Committee Terms of Reference ; Audit & Risk Committee Terms of Reference ; University Executive Committee business processes; Reportable Events Procedure .
University budgets	Council	None	Business Review Committee; relevant University Executive Committee sub-group	Vice-Chancellor delegates as appropriate. A University Executive Committee sub-group operates to scrutinise budgets bi-monthly.	Statute 17; Business Review Committee Terms of Reference ; University Executive Committee business processes; budget holder job descriptions.
Capital expenditure	Council – <i>for changes compared to budget >£3m</i> , Business Review Committee – <i>for changes compared to budget <£3m</i> , University Executive	Budget holder	-	Liquidity below 30 days' average expenditure may require notification to the Office for Students as a Reportable Event.	Statute 17; Business Review Committee Terms of Reference ; Financial Regulations ; University Executive Committee Terms of Reference; Reportable Events Procedure .

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
	Committee (or relevant sub-group) – for changes compared to budget <£500k				
Tax and VAT	Vice-Chancellor	Chief Financial Officer	Tax Manager; External Auditors	In compliance with the Tax (Strategy & Management) Policy	Financial Regulations; Tax (Strategy & Management) Policy.
Insurance	Council	Business Review Committee	Chief Financial Officer and University Executive Committee	Financial Services Manager is responsible for the operational management of insurance.	Statute 17; Business Review Committee Terms of Reference; Financial Regulations ; University Executive Committee business processes.
Approval of loans/borrowing	Council	None	Business Review Committee / University Executive Committee (or relevant sub-group)	-	Statute 17; Business Review Committee Terms of Reference; Financial Regulations ; Treasury & Investment Management Policy; University Executive Committee business processes.
Bad debt write-off	Business Review Committee >£100k*, University Executive Committee <£100k*	None	University Executive Committee >£100k*, Chief Financial Officer <£100k.	*Bad debts to be approved by UEC where an individual debt <£100k or the total debt proposed for write off is <£250k. Where either of these conditions are exceeded, then BRC approval must be sought.	Business Review Committee Terms of Reference; Financial Regulations ; Bad Debts Procedure; University Executive Committee business processes.
Investment portfolio	Council	Business Review Committee†	Chief Financial Officer	†In compliance with the Ethical Investments Code of Practice and the Treasury &	Charter; Statute 17; Business Review Committee Terms of Reference; Ethical Investment

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
				Investment Management Policy.	Code of Practice ; Treasury & Investment Management Policy.
Acquisition and disposal of non-property assets	Council	Business Review Committee <£3m; University Executive Committee sub-group £50k - £500k; Relevant budget holder <£50k	Business Review Committee / University Executive Committee (or relevant sub-group)	-	Statute 17 ; Business Review Committee Terms of Reference ; University Executive Committee business processes.
Appointment of bankers, opening of bank accounts, designation of bank signatories	Council	Business Review Committee	Chief Financial Officer	Officers authorised by Business Review Committee to deal with matters affecting the bank account, funds, properties and securities are: Chief Financial Officer; Associate Director of Finance and Head of Management Accounting	Statute 17 ; Business Review Committee Terms of Reference .
Internal financial regulation and control – including accounting policies	Council	Audit & Risk Committee / Business Review Committee	University Executive Committee (or relevant sub-group)	Material Adverse Events are reportable to the Office for Students.	Reportable Event Procedure ; University Executive Committee business processes.
Interpretation of Financial Regulations	Council	Chief Financial Officer	Audit & Risk Committee	-	Financial Regulations

Responsibility:	Final Authority:	Delegation	Oversight / Recommendation	Further Powers, Limits & Process	Reference
Institutional Grant Applications	Council	To be signed by either Vice-Chancellor or Deputy Vice-Chancellor & Provost	Director of Research Strategy Delivery	<p>Institutional grant applications are those grant applications which are led by a Directorate on behalf of the University (excluding Faculty research applications or teaching/learning grant applications).</p> <p>The Chief Financial Officer or Secretary to Council should sign where a second signatory is required on the application.</p>	Statute 17; Financial Regulations.

Section 3 – Statement of Primary Responsibilities of the University Council

STATEMENT OF PRIMARY RESPONSIBILITIES OF THE UNIVERSITY COUNCIL:		Category:
1	To approve the mission and strategic vision of the institution, long-term academic and business plans and key performance indicators, and to ensure that these meet the interests of stakeholders.	2.1. Governance, management and control
2	To delegate authority to the head of the institution, as chief executive, for the academic, corporate, financial, estate and personnel management of the institution. And to establish and keep under regular review the policies, procedures and limits within such management functions as shall be undertaken by and under the authority of the head of the institution.	2.1. Governance, management and control
3	To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment, and procedures for handling internal grievances and for managing conflicts of interest.	2.1. Governance, management and control
4	To ensure that processes are in place to monitor and evaluate the performance and effectiveness of the institution against the plans and approved key performance indicators, which should be – where possible and appropriate – benchmarked against other comparable institutions.	2.1. Governance, management and control
5	To establish processes to monitor and evaluate the performance and effectiveness of the governing body itself.	2.1. Governance, management and control
6	To conduct its business in accordance with best practice in higher education corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life.	2.1. Governance, management and control
7	To safeguard the good name and values of the institution.	2.1. Governance, management and control
8	To appoint the head of the institution as chief executive, and to put in place suitable arrangements for monitoring his/her performance.	2.2. Appointments and staffing matters
9	To appoint a secretary to the governing body and to ensure that, if the person appointed has managerial responsibilities in the institution, there is an appropriate separation in the lines of accountability.	2.2. Appointments and staffing matters
10	To be the employing authority for all staff in the institution and to be responsible for establishing a human resources strategy.	2.2. Appointments and staffing matters

11	To be the principal financial and business authority of the institution, to ensure that proper books of account are kept, to approve the annual budget and financial statements, and to have overall responsibility for the institution's assets, property and estate.	2.6. Budgetary and financial matters
12	To be the institution's legal authority and, as such, to ensure that systems are in place for meeting all the institution's legal obligations, including those arising from contracts and other legal commitments made in the institution's name.	2.1. Governance, management and control
13	To ensure, subject to the relevant legislation, that appropriate arrangements are in place for the management and operation of such companies as are wholly or partly owned by the University.	2.6. Budgetary and financial matters
14	To accept ultimate responsibility for the health and safety of employees, students and other individuals while they are on the institution's premises and in other places where they may be affected by its operations. And to ensure that the institution has a written statement of policy on health and safety and arrangements for the implementation of that policy.	2.1. Governance, management and control
15	To make such provision as it thinks fit for the general welfare of students, in consultation with the Senate or academic board.	2.3. Academic and student matters
16	To act as trustee for any property, legacy, endowment, bequest or gift in support of the work and welfare of the institution.	2.5. Research, enterprise and engagement
17	To ensure that the institution's constitution is followed at all times and that appropriate advice is available to enable this to happen.	2.1. Governance, management and control

Section 4 – Responsibilities of University Committees

4.1. Council:

Scope: The supreme governing body of the University. It has a collective responsibility to promote the University's well-being and, in particular, for the proper management and financial solvency of the institution. Major policy decisions, as well as corporate strategy, are also subject to its approval.

The powers of Council are set out within [Statute 17](#).

Committees of Council:

Audit & Risk Committee:

Scope: The University's internal control systems and financial reporting arrangements, and their adequacy (monitored through internal and external audit) for ensuring economy, efficiency and effectiveness. A report of the Audit and Risk Committee meetings and an Annual Report will be circulated to Council.

Business Review Committee:

Scope: To provide detailed scrutiny on behalf of Council on matters concerning the operation and financial sustainability of the University.

Nominations & Governance Committee:

Scope: To advise Council on matters relating to corporate governance arrangements ensuring that the University pursues best practice and complies with external governance requirements. To advise Council on the appointment of new members, members of the College of Fellows and the Chancellor (also to approve the terms of reference for all Council committees).

Promotions Committees:

Scope: The implementation of Council policies in all matters concerning the remuneration of individual members of staff. All Promotions Committees operate in accordance with policies and procedures established by Council and they have authority to make recommendations on the progression, re-grading and remuneration of University staff (within previously agreed financial limits), such recommendations to be made to Council.

Honorary Degrees Committee (joint committee with Senate):

Scope: To award honorary degrees.

4.2. Senate:

Scope: The academic governing body of the University. Its responsibility is to direct academic policy in relation to teaching and research and to assure itself that the University's academic standards are properly observed. Degrees, Diplomas, Certificates, Fellowships, Scholarships, prizes and other distinctions of the University are awarded by the Senate.

The powers of Senate are set out within [Statute 19](#).

Sub-committees:

There are sub-committees of Senate that are responsible for the delivery of (with delegated authority from Senate) or support to Senate in its academic governance functions.

4.3. Executive Committees:

University Executive Committees:

Scope: UEC is the primary executive committee of the University and acts as an advisory committee to the Vice-Chancellor in leading the strategic direction of the University.

Sub-committees:

There are sub-committees of University Executive Committee that undertake work to support and inform the decisions made at University Executive Committee and have delegated authority to take actions in accordance with their terms of reference.

Organisational Chart of University Committees: *The schematic diagram of all the University's committees can be found here:*

<https://www.keele.ac.uk/about/vice-chancellorsoffice/organisationcharts/>

Further detail on each of the University's committees, including the Terms of Reference and membership for each committee can be found on the Legal, Governance & Compliance section of the University website: <https://www.keele.ac.uk/legalgovernancecompliance/governance/committees/>