

## Scheme of Delegation

<b>Responsibility for Policy:</b>	Vice Chancellor
<b>Relevant to:</b>	All LJMU staff and other workers. Relevant to Academic Partnerships Y/ <del>N</del>
<b>Approved by:</b>	Board of Governors
<b>Responsibility for Document Review:</b>	Finance Director and University Secretary and General Counsel
<b>Date introduced:</b>	Long established policy
<b>Date(s) modified:</b>	22 <sup>nd</sup> April 2024
<b>Next Review Date:</b>	April 2025

### RELEVANT DOCUMENTS

### RELATED POLICIES & DOCUMENTS

# **SCHEME OF DELEGATION**

## **1. Purpose**

This document seeks to record where authority rests within the university for particular types of decision made in the name of, or on behalf of, the university. A Table of Authority and Delegations is attached at Schedule 1. No such schedule can be absolutely comprehensive but in addition to explicitly locating the locus of authority for specific categories of decision, the schedule also forms a frame of reference through which questions about other types of decision may be resolved.

Note that the schedule below purports only to identify responsibility for the final (“ratification”) stage of decision-making, and not, for example, responsibility for formulating strategic, policy and business proposals (which typically lies with the Executive Board).

## **2. Scope**

The policy applies to all staff and students of Liverpool John Moores University and its wholly owned subsidiaries.

## **3. Framework and principles of delegation**

As the governing body of the university the Board of Governors is responsible for:

- the oversight of the conduct of the affairs of the university;
- the oversight of the management and administration of the revenue and property of the university;
- establishing a framework for the pay and conditions of staff; ensuring that there are in place policies and procedures for dealing with staff performance, discipline, dismissal and grievance;
- ensuring that there are in place terms and conditions for students and policies and procedures for dealing with student discipline, complaints and academic appeals;
- ensuring that the students’ union operates in a fair and democratic manner and is accountable for its finances;
- ensuring freedom of speech within the law is guaranteed on university premises for staff and students of the university and for visitors;
- ensuring academic freedom within the law;
- the health and safety of employees, students and others while on the university’s premises;

- for monitoring its own effectiveness;
- the appointment, assignment, grading, appraisal, suspension, dismissal and determination of the pay and conditions of service of the holders of senior post- holders and the Clerk;
- creating a governance structure for the university, subject to the Instrument and Articles of Government; and
- the custody and use of the Seal of the university.

The Board of Governors may establish committees for any purpose or function and may delegate its powers to those committees or to the Chair of the Board of Governors or to the Vice-Chancellor. However, it cannot delegate decisions on the following matters and these will be reserved for decision by the full Board of Governors:

- the determination of the educational character or mission of the university;
- the responsibility for ensuring the solvency of the university and for safeguarding its assets, including but not limited to the approval of the annual budget and accounts of the university; and
- the making of, alteration, amendment or addition to the Instrument and Articles of Government.

The Board of Governors has established the following committees, each with agreed terms of reference:

- Audit & Risk Committee
- Employment Committee
- Finance Committee
- Infrastructure Committee
- Nominations Committee
- Remuneration Committee

As the academic authority of the university, the Academic Board shall oversee the scholarly activities of the university. The Academic Board will have such functions, categories of membership and terms of office as are approved by the Board of Governors and shall normally be chaired by the Vice-Chancellor. An independent member of the Governing Body shall be a member of the Academic Board.

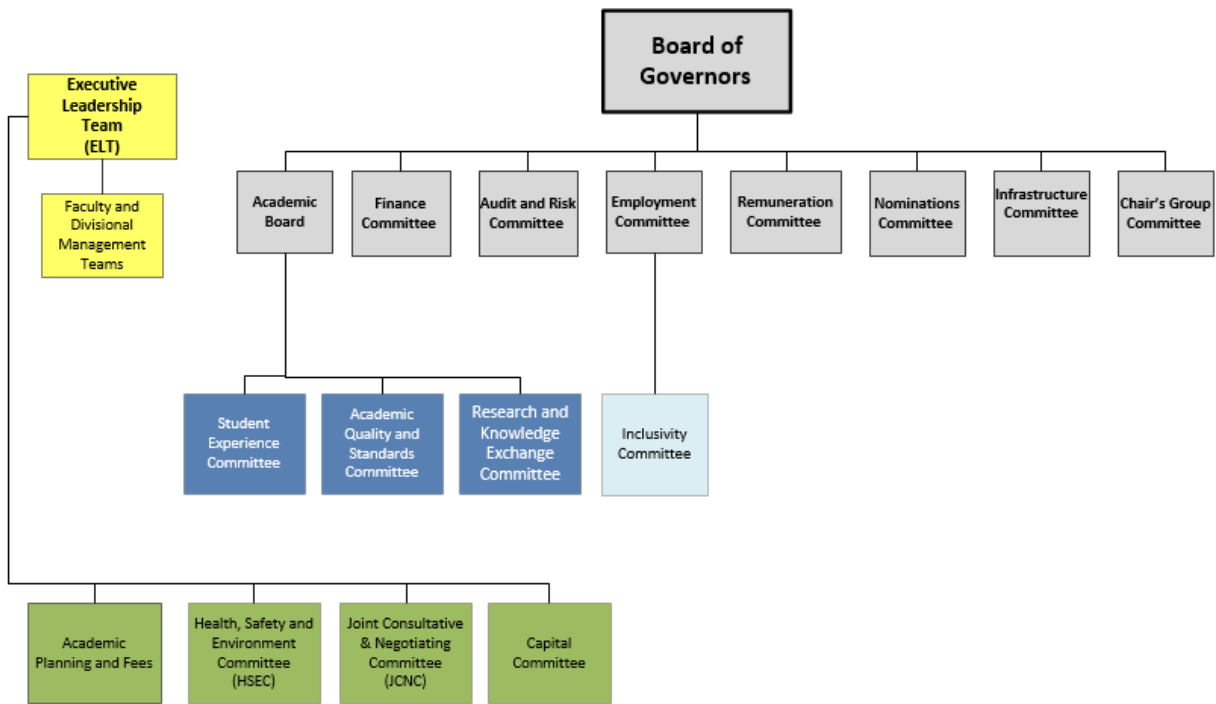
As the chief executive and senior academic officer of the university, the Vice-Chancellor is responsible to the board within the framework laid down by the Instrument and Articles of Government, the requirements of the Office for Students (OfS) Terms and Conditions of Funding for Higher Education Institutions, the Committee of University Chairs (CUC) Higher Education Code of Governance, the university's Financial Regulations and this Scheme of Delegation for the operational management of all aspects of the university's work. The Vice-Chancellor may delegate, and in practice has delegated, responsibility for specific aspects of the university's management to members of the Executive Board (or to other members of management as appropriate) but retains ultimate responsibility for their work.

The Vice-Chancellor is designated by the Board of Governors to be the Accountable Officer for the University and reports to the OfS on behalf of the University. As such, he or she is personally responsible to the Board of Governors for ensuring compliance with the terms of the OfS Terms & Conditions of Funding for Higher Education Institutions and providing the OfS with assurances to that effect.

The members of the Executive Board are responsible to the Board of Governors (through the Vice-Chancellor) for the leadership and overall management of their respective faculties and directorates in accordance with their job descriptions and the policies and Financial Regulations of the university. They may delegate responsibility for specific aspects of faculty management to the heads of school and/or other members of the relevant faculty executive or directorate management team but retain ultimate responsibility for the management of their faculty or directorate.

Should any matter or decision arise which is within the delegated authority of an individual or body but to which a sensitive, political, reputational or other similar issue is attached or suspected, the decision should be referred to the appropriate (normally higher) level and, ultimately, to the Board of Governors. If there is any doubt as to the appropriate decision-making level, advice should be sought from the University Secretary & General Counsel.

## Board and Committee Structure



## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
<b>1. GOVERNANCE, MANAGEMENT &amp; CONTROL</b>							
1.01	Amendments to Instrument & Articles of Government	Board of Governors	N/A	N/A	Board may not delegate responsibility.	N/A	
1.02	Approval of the Scheme of Delegation, including financial limits	Board of Governors	N/A	N/A	Annual review to be coordinated by University Secretary & General Counsel. Full review to be carried out every 5 years by University Secretary & General Counsel.	N/A	
1.03	Custody and use of the Seal. Documents which are a Deed will require the University's seal	Board of Governors	N/A	N/A	If a document is a Deed it will require the University's seal. Seal and signature process held by Secretariat. VC as Ex Officio and the Chair of the BoG can sign. The deputy chair of the Board of Governors and the Chair of Finance Committee are alternative signatories.	N/A	Articles and Instrument
1.04	Approval of establishment, disestablishment and terms of reference for University Committees	Board of Governors - for sub committees of the Board	Parent committee of dis-established/established sub committees	N/A	Guidelines for establishing sub-committees.	N/A	Terms of Reference
1.05	Register of interests & Related Party Transactions	Board of Governors	N/A	N/A	Annually requests made of external and internal members of senior committees and of senior management across the University on behalf of themselves and their teams.	N/A	
1.06	Approval of OfS returns	Board of Governors	N/A	N/A	Returns and approval levels are set out in OfS's Annual Accountability Returns	Vice Chancellor	
1.07	Approval of HESA Returns	Executive Leadership Team	N/A	N/A		Vice-Chancellor	

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
1.08	Acting on behalf the board in matters of urgency either in decision making or as physical signatory	Board of Governors	Chair of the Board of Governors + Any other independent governor	N/A	The Chair of the Board of Governors and any other independent governor (together) are authorised to act on behalf the board in matters of urgency, subject to formal retrospective reporting to the Board of Governors of the actions taken. The Deputy Chair of the Board of Governors and the Chair of Finance Committee can deputise for the Chair of the Board of Governors but must act together with any other independent governor.	<i>per delegated authority</i>	
1.09	Approval of student union constitution at intervals of not less than every five years	Board of Governors	N/A	N/A	In accordance with the Education Act 1994 section 22	N/A	
<b>2. STRATEGY &amp; POLICY DEVELOPMENT</b>							
2.01	Approval of the University Vision, Mission and Strategy and associated plans	Board of Governors	N/A	N/A	Formulated and monitored through Executive Leadership Team. Annual Budget /SYP process for budget sign-off.	N/A	
2.02	Approval and review of risk and the corporate high level risk register	Board of Governors	Audit & Risk Committee	N/A	Developed and monitored by Executive Leadership Team.	N/A	Financial Regulations
2.03	Approval of the University's financial regulations and key financial & procurement policies	Board of Governors	Finance Committee	N/A	Maintained and updated by Finance	N/A	
2.04	Approval of policies and procedures relating to corporate governance compliance.	Board of Governors	Audit & Risk Committee	N/A	University operates under the Charities Act and uses the CUC Code of Governance as its key governance	N/A	
2.05	Approval of Health & Safety policies and procedures	Board of Governors	N/A	N/A	Material changes go to Board	N/A	
			Executive Leadership Team	N/A	Other changes		
2.06	Approval of Key Employment and Equality and Diversity Policies	Board of Governors	Employment Committee (Employee related only)	N/A		N/A	

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
2.07	Approval of research policies and procedures	Academic Board	N/A	N/A	University Research & Knowledge Exchange Committee manages the processes and endorses		
<b>3. APPOINTMENTS , DISMISSALS &amp; STAFFING MATTERS - INCLUDING OF AUDITORS</b>							
3.01	Appointment of Chancellor	Board of Governors	N/A	N/A		N/A	
3.02	Approval of Vice-Chancellor appointment, suspension and removal	Board of Governors	N/A	N/A	Board may not delegate responsibility. However, Board may appoint a Search & Recruitment Panel including external members. Panel makes recommendation to Nominations Committee which then recommends to Board.	N/A	
3.03	Approval of governing body appointments, suspension and removal	Board of Governors	N/A	N/A		N/A	
3.04	Approval of University Secretary & General Counsel (Clerk to Board) appointment , suspension, removal	Board of Governors	N/A	N/A		N/A	
3.05	Approval of Executive Leadership Team appointments, suspension, removal	Vice-Chancellor	N/A	N/A	For appointment panel is chaired by Vice Chancellor	N/A	Recruitment and Selection Policy Disciplinary Policy
3.06	Approval of Directorate/Professoriate appointments	ELT Lead	N/A	N/A	For appointment panel is chaired by ELT lead for relevant area	N/A	Recruitment and Selection Policy
3.07	Approval of suspension/removal of staff other than those mentioned elsewhere in this scheme	Vice-Chancellor	Director of Human Resources			N/A	
3.08	Approval of appointments of staff other than those mentioned elsewhere in this scheme	Chair of Recruitment Panel	N/A	N/A		N/A	Recruitment and Selection Policy
3.09	Severance payments for any member of staff with a salary of over £100k. (namely any payments to the individual that an employee is not contractually entitled to)	Board of Governors	Remuneration Committee	N/A		Director of Human Resources	



## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
3.07	Severance payments (for staff members on salaries below £100k). Namely any payments to the individual that an employee is not contractually entitled to.	Board of Governors	Remuneration Committee	Over £95k		Director of Human Resources	
			Vice Chancellor + HR Director+Finance Director	Under £95k			
3.08	Approval of ELT Member salary or any salary over £100k	Remuneration Committee	N/A	N/A		Director of Human Resources	
3.09	Approval not to award new appointments at the bottom of the Grade for Directorate, Professoriate or Executive Leadership Team members	Director of Human Resources	N/A	N/A		N/A	Recruitment and Selection Policy
3.10	Approval not to award new appointments at the bottom of the Grade of staff other than those mentioned elsewhere in this scheme	Director of Human Resources	Chair of the recruitment panel	N/A	Input must be sought from the relevant HR Business Partner	N/A	Recruitment and Selection Policy
3.11	Award Emeritus Professor status	Academic Board	Professors & Readers Panel	N/A		N/A	Terms of Reference
3.12	Award of Honorary Professorships	Academic Board	Professors & Readers Panel	N/A		N/A	Terms of Reference
3.13	Secondment contracts of staff into /out of LJMU from other	Director of Human Resources	N/A	N/A	For instance NHS	N/A	
3.14	New and major adjustments to terms and conditions of employment including pension scheme changes	Board of Governors	N/A	N/A	Director of Human Resources makes arrangements Finance Director inputs into process if any financial implications	N/A	
3.15	Internal Auditor	Board of Governors	Audit & Risk committee	N/A	University Secretary & General Counsel makes arrangements.	University Secretary & General Counsel	Terms of Reference Financial Regulations Procurement Regulations
3.16	External Auditor	Board of Governors	Audit & Risk committee	N/A	Finance Director makes arrangements.	Finance Director	Terms of Reference Financial Regulations Procurement Regulations
3.17	Approval of the external audit plan and determination of the fee	Board of Governors	Audit & Risk committee	N/A	Finance Director makes arrangements.	N/A	Terms of Reference
3.18	Approval of the annual internal audit plan	Board of Governors	Audit & Risk committee	N/A	University Secretary & General Counsel makes arrangements.	N/A	Terms of Reference

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
3.19	Approval of permissible non-audit services completed by the university appointed external auditors	Audit & Risk Committee	N/A	N/A	Finance Director makes arrangements.	Finance Director	Terms of Reference Policy for Approval of Non-Audit Work by External Auditors
<b>4. ACADEMIC &amp; STUDENT MATTERS</b>							
4.01	Academic quality & standards oversight	Board of Governors	Academic Board	N/A		N/A	Code of Practice for Academic Governance
4.02	Student Code of Behaviour & Disciplinary and Complaints Procedures including approval of expulsion of students	Board of Governors	Academic Board (Suspension - Vice Chancellor)	N/A		Suspension - Head of Student Governance	
4.03	New, amended or repealed Academic Regulations relating to taught programmes	Academic Board	Academic Quality & Standards Committee	N/A		N/A	
4.04	New, amended or repealed Academic Regulations relating to research degrees	Academic Board	University Research Degrees Committee	N/A		N/A	
4.05	Design and approval of new /amendments and withdrawals and suspensions of taught programmes	Academic Board	Academic Quality & Standards Committee	N/A		N/A	
4.06	Design and approval of new level 8 awards	Academic Board	Faculty Research Degrees Committee	N/A		N/A	
4.07	Approval of policies and regulations for the assessment of students	Academic Board	Academic Quality & Standards Committee	N/A		N/A	
4.08	Approval of admissions policies – Undergraduate and Postgraduate Taught	Executive Leadership Team	N/A	N/A		N/A	
4.09	Approval of entrance grade requirements (undergraduate and postgraduate taught)	Executive Leadership Team	N/A	N/A		N/A	
4.10	Approval of admissions policies – Postgraduate research	Academic Board	N/A	N/A		N/A	
4.11	Conferment and rescission of awards – taught & research	Academic Board	N/A	N/A		N/A	
4.12	Approval of library and learning provision, policies and procedures.	Academic Board	N/A	N/A		N/A	
4.13	Approval of policies and procedures in relation to student experience.	Academic Board	N/A	N/A		N/A	

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
4.14	Appointment of External Examiners	Academic Board	N/A	N/A		N/A	
4.15	Approval of TEF submission	Executive Leadership Team	N/A	N/A		N/A	
4.16	Approval & termination of academic collaborative partnerships - eg franchise/validated/dual award - as overseen by Academic Registry.	Executive Leadership Team	Academic Planning & Fees Panel	N/A	COO/Registrar and Finance Director jointly chair Academic Planning and Fees Panel. Due diligence processes must be followed See 6.04 for contractual authorisation	N/A	Terms of Reference Financial Due Diligence Policy
4.17	Approval of student exchange schemes	Academic Board	Academic Quality & Standards Committee	N/A		N/A	
4.18	Approval of Non Disclosure Agreements for student placements (undergraduate & post graduate) using LJM standard agreement as provided by LJM Legal	Executive Leadership Team	Director of Student Futures (standard legal template)		Must use standard LJM legal template. If standard LJM template is not being used then 6.05 applies	<i>per delegated authority</i>	
4.19	Approval of LJM standard employer apprenticeship Training Service Agreements and signing of call off orders against previously approved non standard Training Services	Registrar and COO	Academic Registrar		Non standard to be approved via 6.05		
<b>5. BUDGETARY &amp; FINANCIAL MATTERS</b>							
5.01	Approval of annual financial statements and annual report	Board of Governors	N/A	N/A	Endorsed by Finance Committee and Audit & Risk Committee	Chair of Board of Governors	
5.02	Ensuring the University maintains robust systems of internal financial control and accountability including risk management and value for money	Board of Governors	Audit & Risk Committee	N/A	Process will be led by the Finance Director The Audit & Risk Committee may seek assurance from other committees in fulfilling its responsibilities	N/A	Financial Regulations
5.03	Appointment of bankers	Board of Governors	Finance Committee	N/A	The process will be led by the Finance Director in accordance with the Treasury Management Policy and /or the Financial Regulations within the University where relevant	N/A	Treasury Management Policy Financial Regulations Procurement Regulations
5.04	Approval of opening and closing of bank accounts	Executive Leadership Team	Finance Director	N/A	In accordance with the University's Treasury Management Policy	<i>per delegated authority</i>	Treasury Management Policy

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
5.05	Approval of bank signatories	Executive Leadership Team	Finance Director	N/A	In accordance with the University's Treasury Management Policy	<i>per delegated authority</i>	Treasury Management Policy
5.06	Approval of the University 5 Year Plan (Revenue & Capital)	Board of Governors		N/A	Process will be led by the Finance Director	N/A	Treasury Management Policy
5.07	Determination of detailed budgets within the overall approved framework of the 5 Year Plan	Executive Leadership Team		N/A	Process will be led by the Finance Director	N/A	Financial Regulations
5.08	Approval of the Treasury Management Policy including the establishment of borrowing limits and facilities	Finance Committee		N/A	Process will be led by the Finance Director	N/A	Treasury Management Policy
5.09	Approval of borrowing	Board of Governors	Finance Committee	N/A	Within agreed OFS borrowing limits and approved 5 Year Plan	N/A	Treasury Management Policy
5.10	Management of investments including approval of related policies	Board of Governors	Finance Committee	N/A	Process will be led by the Finance Director In accordance with the University's Treasury Management Policy	N/A	Treasury Management Policy Financial Regulations
5.11	The establishment, monitoring and closure of University subsidiary or spin out companies and oversight of their financial results and the impact on the University	Board of Governors	Finance Committee	N/A		N/A	Financial Regulations University Intellectual Property and Commercialisation Policy
5.12	Write off of bad debt	Board of Governors	N/A	Over £0.2m	Thresholds are per single item transaction v2 updates post July 2022 approval	N/A	Financial Regulations
			Finance Committee	Over £50k			
			Finance Director	Up to £50k			
5.13	Disposal of assets other than land / buildings	Board of Governors	Vice Chancellor + Finance Director	Over £25k	Thresholds are per single item transaction	N/A	Financial Regulations
			Finance Director	Up to £25k			
5.14	Acceptance of financial of Donations and endowments and tangible assets	Board of Governors	Finance Committee	N/A	If the donation raises issues of significance, in the view of the Executive Leadership Board , which could affect	N/A	Financial Regulations Due Diligence Policy
5.15	Approval of fees, bursaries and scholarships	Executive Leadership Team	Academic Planning & Fees Panel	N/A		N/A	Terms of Reference
5.16	Management of the Universities responsibilities in respect of pension schemes	Board of Governors	Finance Committee	N/A	Strategic Oversight of the Finance Committee	N/A	Terms of Reference

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
5.17	Strategic monitoring of the University's overall financial position with the parameters of Financial Strategy and Plan	Board of Governors	Finance Committee	N/A		N/A	Terms of Reference
5.18	Approval of equity investment and loan capital into subsidiaries/associate companies	Board of Governors	N/A	Over £5m	Limits are in the cumulative. i.e. further investment which exceeds the initial approved limit will go to the next appropriate approval body.	N/A	Terms of Reference Shareholders agreement/ Company Articles Financial Regulations Policy for University Subsidiaries
			Finance Committee	Up to £5m		N/A	
			Vice Chancellor + Finance Director	Up to £0.5m	Appointment of University directors covered in Subsidiaries Policy.	N/A	
5.19	Research contracts matched funding approval - revenue	Executive Leadership Team	Faculty PVC (revenue only - excl centrally funded PhD funding) /PVC Research & Knowledge Exchange for centrally funded PhD funding	Within budget	Faculty PVCs and Business Finance partners for non-capital matched funding by the Faculty.	<i>per delegated authority</i>	Financial Regulations
5.20	Research contracts matched funding approval - capital	Board of Governors	see 5.25	see 5.25	Per capital see 5.25	see 5.25	see 5.25
5.21	Appointment of Investment Advisors	Board of Governors	Finance Committee	N/A	Process led by Finance Director	Finance Director	Treasury Management Policy Financial Regulations Procurement Regulations
5.22	Approval of TRAC Return submission	Executive Leadership Team	N/A	N/A	Returns and approval levels are set out in OfS's Annual Accountability Returns document (updated annually)	Vice Chancellor	
5.23	Approval of TRAC Return Process	Finance Committee	N/A	N/A	Costing and Pricing Working Group oversees the internal process	N/A	
5.24	Approval of Capital investments / long term revenue commitments (LTRC) - including acquisitions and disposals and leasehold.  <i>LTRC of less than £0.1m (total life) is exempt</i>	Board of Governors	N/A	Over £5m	Thresholds relate to life of project Any disposal of land and property at a loss it to be submitted to the Finance Committee followed by a full Board of Governors decision	N/A	Finance Regulations
			Finance Committee	Over £2m & up to £5m		N/A	
			Executive Leadership Team	Over £0.5m & up to £2m		N/A	
			Capital Committee	Up to £0.5m		N/A	
<b>6. CONTRACTS AGREEMENTS &amp; LICENCES - SEE RESEARCH &amp; KNOWLEDGE EXCHANGE SECTION FOR THOSE RELATED TO RESEARCH AND ENTERPRISE</b>							

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
6.01	Approval and signing of contracts which are a <b>Deed</b> and therefore <b>require the University's seal</b>	Board of Governors	The deputy chair of the Board of Governors and the Chair of Finance Committee are alternative signatories.	N/A	If a document is a Deed it will require the University's seal. Seal and signature process held by Secretariat. VC as Ex Officio and the Chair of the BoG can sign. The deputy chair of the Board of Governors and the Chair of Finance Committee are alternative signatories.	Chair of Board of Governors  The deputy chair of the Board of Governors and the Chair of Finance Committee are alternative signatories.	Financial Regulations Procurement Regulations
6.02	Approval and signing of contracts which are not a Deed but relate to the acquisition and disposal of land and property including leases and licences	Board of Governors	N/A	Over £5m	Estates to hold a register  Financials to be approved via 5.25	2 Members of Board of Governors	
			Finance Committee	Over £2m & up to £5m		Vice Chancellor + Chair of Finance Committee	
			Vice Chancellor + Finance Director	Over £0.5m & up to £2m		<i>per delegated authority</i>	
			Vice Chancellor or Finance Director	Up to £0.5m		<i>per delegated authority</i>	
			Estates and Campus Services Director - Estates and campus services cost centres only	Up to £0.25m		<i>per delegated authority</i>	
6.03	Execution of Contracts (including purchase orders) for the <b>purchase</b> of goods and services (unless otherwise set out in this Scheme) - <b>excludes</b> subcontracting for Research and Knowledge Exchange and those covered under 6.02	Board of Governors	N/A	Over £5m	Legal procedure must be followed and any required legal advice must be sought and retained as evidence  Procurement regulations must be complied with  Approval systems and workflows will be set to follow these limits, nominations must be notified to the Finance Department using the appropriate document who will maintain a Budget Approver model by cost centre.	2 Members of Board of Governors	Finance Regulations Procurement Policies
			Finance Committee	Over £2m & up to £5m		Vice Chancellor + Chair of Finance Committee	
			Vice Chancellor + Finance Director	Over £0.5m & up to £2m		<i>per delegated authority</i>	
			Vice Chancellor or Finance Director	Up to £0.5m		<i>per delegated authority</i>	
			Registrar and COO for <b>their cost centres only</b>	Up to £0.25m			
			Executive Leadership Team Members for their cost centres only	Up to £0.1m		<i>per delegated authority</i>	

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
			Estates and Campus Services Director - <b>Estates and campus services cost centres only</b>	Up to £0.1m			
			Estates Development Director / Estates Campus Services Director - <b>Estates and Campus Services cost centres only</b>	Up to £25k			
			Direct reports of Estates Development Director/Campus Services Director - <b>Estates and Campus Services Cost centres only</b> and if nominated by ELT lead.	Up to £5k			
			Other staff members directly reporting to an ELT member (ELT minus 1) if nominated by ELT lead	Up to £25k		<i>per delegated authority</i>	
			Other Staff member directly reporting to a member of staff who reports to an ELT member (ELT minus 2)- if nominated by ELT lead	Up to £5k			
6.04	Approval and signing of contracts <b><u>for academic collaborative partnerships</u></b> - eg franchise/validated/dual award - as overseen by Academic Registry.  Note for research collaborations see section 8	Executive Leadership Team	Vice Chancellor	N/A	Legal procedure must be followed and any required legal advice must be sought and retained as evidence  Financial due diligence processes must be followed.  Collaborative contractual processes must be followed  Approval of partners and fees covered by 4.16	<i>per delegated authority</i>	Financial Due Diligence Policy

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
6.05	Approval and signing of contracts <u>which are not purchases</u> and which are <u>not to be executed as a Deed</u> including Non Disclosure Agreements and where not otherwise provided within the Scheme of Delegation	Executive Leadership Team	Finance Director or Registrar/COO	N/A	Legal procedure must be followed and any required legal advice must be sought and retained as evidence  If Funder process requires a portal authorisation Delegated Authorisor may provide offline authorisation for administrator to enact in portals	<i>per delegated authority</i>	Financial Regulations Procurement Regulations
6.06	Approval of external legal instructions (including litigation)	Board of Governors	University Secretary and Legal Counsel or Head of Legal	N/A		<i>per delegated authority</i>	Financial Regulations Procurement Regulations
6.07	Data sharing agreements (controller to controller)	Board of Governors	University Secretary and Legal Counsel or Head of Legal	N/A	May delegate signing if standard University templates are being used	<i>per delegated authority</i>	
6.08	Data processor agreements	Board of Governors	University Secretary and Legal Counsel or Head of Legal	N/A	May delegate signing if standard University templates are being used	<i>per delegated authority</i>	
6.09	Approval of standalone licensing agreements related to research and intellectual property on behalf of the University	Executive Leadership Team	Finance Director or Registrar/COO	N/A	Legal procedure must be followed and any required legal advice must be sought and retained as evidence	<i>per delegated authority</i>	University Intellectual Property and Commercialisation Policy
6.10	Approval of assignation of intellectual property and related assets/patents	Executive Leadership Team	Finance Director or Registrar/COO	N/A	Legal procedure must be followed and any required legal advice must be sought and retained as evidence	<i>per delegated authority</i>	University Intellectual Property and Commercialisation Policy
6.11	Waiver of rights /granting of consents with regards to land and estates property in relation to any existing agreement in place	Board of Governors	University Secretary and Legal Counsel and Vice Chancellor		Legal procedure must be followed and any required legal advice must be sought and retained as evidence	n/a	
<b>7. MEDIA &amp; INFORMATION MATTERS</b>							
7.01	Authorisation of media releases	Vice-Chancellor		N/A		<i>per delegated authority</i>	
7.02	Approval / use of University logos	Director of Corporate Communications		N/A		<i>per delegated authority</i>	



## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
7.03	For Facelab only : approval of Contributor release forms/Image release forms/Film location forms	Head of Forensic Research Institute		N/A		<i>per delegated authority</i>	
<b>8. RESEARCH &amp; KNOWLEDGE EXCHANGE</b>							
8.01	Approve non-procurement related research contracts, agreements, (including grants, consultancy and service agreements) or variations thereof including any related contracts with subcontractors or collaborators (non student recruiting)- applies to University and all wholly owned subsidiaries	Board of Governors	N/A	Over £5m	<b>Legal procedure must be followed and any required legal advice must be sought and retained as evidence if not using standard University templates</b> Finance to approve costing and pricing Due diligence process to be followed GAP Policy and procedures to be followed  If Funder process requires a portal authorisation Delegated Authorisor may provide offline authorisation for administrator to enact in portals	2 Members of Board of Governors	Financial Regulations Grants and Projects Process & Policy Due Diligence Policy Research Code of Practice
			Finance Committee	£2m to £5m		Vice Chancellor + Chair of Finance Committee	
			Vice Chancellor + Finance Director	Over £0.5m, less than £2m		<i>per delegated authority</i>	
			PVC Research & Knowledge Exchange or Finance Director	Over £0.1m, less than £0.5m		<i>per delegated authority</i>	
			Head of Grants, Policy & Projects, Research & Innovation Services (for Grants) / Head of Business Development (for Industry based grants (Innovate UK) & non grant services)	Up to £0.1m		<i>per delegated authority</i>	
8.02	Non Disclosure Agreements using LJMU standard agreement as provided by LJMU Legal	Executive Leadership Team	Head of Grants, Policy & Projects, Research & Innovation Services (for Grants) / Head of Business Development (for Industry based grants (Innovate UK) & non grant services)		If standard LJMU template is not being used then 6.05 applies	<i>per delegated authority</i>	
8.03	Human tissue procedures	Academic Board	University Research & Knowledge Exchange Committee	N/A	HTA process must be followed	PVC Research & Knowledge Exchange	Terms of Reference Human Tissue Act Policy
8.04	Material transfer agreements	Academic Board	PVC Research & Knowledge Exchange			<i>per delegated authority</i>	Human Tissue Act Policy
8.05	Animal Health and Welfare oversight including approval for any animal related activity occurring at LJMU	Academic Board	Animal Welfare Ethics Review Board		To ensure compliance with Government regulations	PVC Research & Knowledge Exchange	
8.06	Oversight of use of drones at LJMU (Research / Teaching	Academic Board	PVC Research & Knowledge Exchange		To ensure compliance with Government regulations	<i>per delegated authority</i>	
8.07	Research Exchange Framework (REF) Submission	Executive Leadership Team			Overseen by PVC Research & Knowledge Exchange	PVC Research & Knowledge Exchange	REF Code of Practice

## SCHEDULE 1 : SCHEME OF DELEGATION AND KEY DECISION-MAKING AUTHORITIES

(1) Authorised Person is the person authorised to enact the decision made by the delegated authority.

	ACTION	FINAL AUTHORITY	DELEGATED AUTHORITY (IF ANY)	£ LIMITS (excl VAT)	CONTEXT & PROCESS	AUTHORISED PERSON <sup>(1)</sup>	Relevant Key Internal Policies (in addition to Scheme of Delegation)
8.08	Knowledge Exchange Framework (KEF) Submission	Executive Leadership Team			Overseen by PVC Research & Knowledge Exchange	PVC Research & Knowledge Exchange	
8.09	Research misconduct oversight	Academic Board	N/A				Procedure For The Investigation Of Alleged Misconduct In Research