

UCL

Council: Outline Scheme of Delegation

Introduction

This Framework aims to record where authority rests within UCL for particular types of decision made in the name of, or on behalf of, the institution. No such framework can be comprehensive, but, in addition to locating explicitly the locus of authority for specific categories of decision, the Framework also provides a basis on which questions about other types of decision may be resolved.

The Framework seeks only to identify responsibility for the final stage of decision-making or formal approval, but not, for example, responsibility for formulating strategic, policy and business proposals, which typically lie with individual officers and bodies of UCL.

Framework and principles of delegation

1. As the governing body of UCL, the Council is itself responsible for approving institutional strategy and associated plans and budgets; for determining major business decisions and institutional policy; for the framework of governance and management; and for monitoring institutional and executive performance. These responsibilities are 'reserved' to the Council and, as a general rule, cannot be delegated.
2. The CUC Code of Governance also identifies the following as responsibilities of the governing body, without delegation: approval of the annual budget; approval of the audited annual financial statements; appointment of the Audit Committee; considering and acting on the annual report from the Audit Committee; appointing external auditors; considering the annual report of the internal audit service.
3. As the chief executive and senior academic officer of UCL, the President and Provost ('Provost' hereafter) is responsible to the Council – within the framework laid down by the Charter and Statutes, the Regulations for Management, UCL's Financial Regulations and this Delegation Framework – for the operational management of all aspects of UCL's work. The Provost is the Council's nominated "accountable officer" for the exercise of responsibilities set down by the Office for Students (OfS). The Provost may delegate responsibility for specific aspects of UCL's management to Vice-Provosts, Deans and other officers, but retains ultimate responsibility for their work.
4. The Vice-Provosts are responsible to the Council (through the Provost) for the leadership of their portfolios of responsibilities as determined by the Provost. They may delegate responsibility for particular aspects of their portfolio to UCL Officers but they retain ultimate responsibility for their work.

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5. The Deans are responsible to the Council (through the Provost) for the leadership and overall management of their respective faculties in accordance with their remit and the policies and Financial Regulations of UCL. They may delegate responsibility for specific aspects of faculty management to UCL, but they retain ultimate responsibility for the management of their faculties.
6. Individual officers are responsible to the Council (through the Provost) for the leadership and overall management of the Professional Services Divisions in accordance with their job descriptions and the policies, regulations and Financial Regulations of UCL. They may delegate responsibility for specific aspects of service management but retain ultimate responsibility for the management of their divisions.
7. For financial decisions, delegated authorisation limits are set out in the Financial Regulations and are periodically reviewed by the Finance Committee and Council.
8. Except as otherwise provided, individuals and bodies in whom authority is vested by this Delegation Framework may delegate to others provided that such delegation is consistent with the financial and other regulations and recorded and reported to the relevant professional services division (for example, to Finance and Business Affairs in respect of financial authority levels).

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Strategy

Activity	Responsible Body or Individual
Approval of UCL strategy	Council
Approval of Estates and Funding Strategy	Council
Approval of Global Engagement Strategy	Council
Approval of Equality and Diversity Strategy	Council
Approval of Research Strategy	Council
Approval of Scholarship Strategy	Student Recruitment, Admissions and Funding Committee (Academic Committee)
Approval of Assessment Strategy	Academic Committee
Approval of Library Strategy	Library Committee
Approval of the Education Strategy	Academic Committee
Approval of HR Strategy	Human Resources Policy Committee
Approval of Museums and Heritage Strategy	Museums and Heritage Committee
Approval of a Code of Ethics	Council, on the advice of Ethics Committee
Reporting to Council on the approval of strategies and progress towards achieving them	Provost
Institutional performance against KPIs <ul style="list-style-type: none"> <li data-bbox="276 1228 665 1270">- Reporting on performance <li data-bbox="276 1291 665 1333">- Monitoring and evaluating 	Provost Council

Accountability to the OfS and UKRI

Activity	Responsible Body or Individual
Designated accountable person for the OfS	Provost
<ul style="list-style-type: none"> The proper use of public funds received through the OfS and UKRI Compliance with Charity Law Compliance with the integrated public sector equality duty 	Council
<ul style="list-style-type: none"> Ensuring that there is an adequate system for risk management, control and governance, and financial reporting Striving to achieve good value for money from public funds Compliance with the Audit Code of Practice Ensuring effective arrangements for the management and quality assurance of data submitted to HESA and the OfS 	Council, through Audit Committee
<ul style="list-style-type: none"> Ensuring an effective framework to manage the quality of learning and teaching and to maintain academic standards 	Academic Committee, through powers delegated by Academic Board and Council
<ul style="list-style-type: none"> Access & Participation Plan 	Provost on the advice of the Student Recruitment, Admissions and Funding Committee
<ul style="list-style-type: none"> Self-assessment on consumer protection law 	Provost
<ul style="list-style-type: none"> Student Protection Self-assessment 	Provost
<ul style="list-style-type: none"> Student Protection Policy 	Academic Committee
<ul style="list-style-type: none"> Self-assessment on management and governance 	Council

Institutional governance and organisation

Activity	Responsible Body or Individual
Amendments to the Charter	Privy Council on the recommendation of Council by Special Resolution
Approval and amendment of Regulations for Management	Council, after consideration by Academic Board in the case of regulations that have academic implications
Establishment, disestablishment or renaming of academic units	Council, on the advice of Academic Board
Designated officer for the custody of the UCL Seal	Secretary to Council

Delegation Framework

The executive management of institutes and departments and academic units	Directors of Division / Heads of Department
To monitor the effectiveness of the Council	Council, reporting to the OfS

Academic Governance, management and control

Activity	Responsible Body or Individual
<ul style="list-style-type: none"> Establishment of new UCL awards 	Academic Committee
<ul style="list-style-type: none"> Academic Regulations relating to taught students Approval of new taught programmes and modules Monitoring the taught student experience, including student registration, attendance and completion; suspension of regulations; student grievance procedures; examination and assessment 	Education Committee on behalf of Academic Committee, under powers delegated by Academic Board and Council
<ul style="list-style-type: none"> Academic Regulations relating to research students Monitoring the research student experience, including student registration, attendance and completion; examinations; suspension of regulations; student grievance procedures; examination and assessment; appointment of supervisions. 	Research Degrees Committee on behalf of Academic Committee, under powers delegated by Academic Board and Council
Recommending the award of degrees of the University of London	Registrar
Award of degrees (taught programmes)	Education Committee
Award of degrees (research programmes)	Research Degrees Committee
Approval of Global Partnerships: Fundamental Faculty Institutional Anchor partnerships	In accordance with the Global Engagement Strategy: Vice-Provost (International), advised by the Faculty Dean Provost, advised by SMT Council, advised by the Provost
Approval of collaborative provision: with UK partners with International strategic partners Erasmus Exchanges	Education Committee or Research Degrees Committee as appropriate Education Committee or Research Degrees Committee as appropriate Education Committee
Internal Quality Review of academic provision	Academic Committee on behalf of Academic Board

Delegation Framework

<p>To consider and advise the Council upon all academic matters and questions affecting the educational policy of UCL:</p> <ul style="list-style-type: none"> • in respect of policy pertaining to the organisation of research • in respect of matters concerning academic co-operation between UCL and any other body • in respect of appointments to established Chairs and Readerships of the University of London tenable at UCL 	<p>Research Governance Committee on behalf of Academic Board</p> <p>Academic Committee on behalf of Academic Board</p> <p>Provost on behalf of Academic Board</p>
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Students

Activity	Responsible Body or Individual
Student experience	Vice-Provost (Education and Student Affairs), advised by Student Experience Committee
Admissions Policy	Academic Committee
Admissions criteria	Vice-Provost (Education and Student Affairs)
Selection criteria for programmes of study	Faculty Tutor
Selection of students against the UCL admissions policy and selection criteria	Director of Access and Admissions
Quality assurance in recruitment, admissions and selection	Vice-Provost (Education and Student Affairs)
Determining actions in the event of examination or other irregularities on the part of students	Vice-Provost (Education and Student Affairs)
Academic guidance for students	Vice-Provost (Education and Student Affairs)
Provision of student support services to students	Registrar
Student complaints	Complaints Panel (Review Panel)
Student discipline	Registrar / Discipline Committee (Discipline Review Body)
Prescribing the conditions governing the award of exhibitions, scholarships, bursaries, studentships, medals and prizes	Student Recruitment, Admissions and Funding Committee
Policy for the allocation of student accommodation	Senior Management Team

Delegation Framework

Determining mechanisms for promoting the relations between the student body and UCL	Vice-Provost (Education and Student Affairs)
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Staff

Main features of terms and conditions of employment	Council on the recommendation of HRPC and the Provost, as delegated by Academic Board with respect to the conditions and tenure of appointment of Members of Academic Staff
Setting the framework for determining the pay and conditions of service of staff	Council on the recommendation of HRPC and the Provost, as delegated by Academic Board with respect to the conditions and tenure of appointment of Members of Academic Staff
Approval of significant policies and HR Codes of Practice (ie those that have a material impact on the working conditions of members of UCL or materially affect reputation)	HR Policy Committee
To determine the salary of the Provost, Vice-Provosts and Deans, and to approve the salary of any other member of non-clinical staff earning £150,000 or more	Remuneration and HR Strategy Committee
To consider and advise the Council upon the conditions and tenure of appointment of Members of the Academic Staff: <ul style="list-style-type: none"> in respect of conditions of appointment of academic staff to established Chairs and Readerships, Deanships of Faculty and Headships of academic departments in respect of appointment of such categories of academic staff as the Provost deems appropriate in respect of general policy matters relating to the conditions of appointment of academic staff 	As delegated by Academic Board: <p>Provost</p> <p>Director of Human Resources on behalf of the Provost</p> <p>Academic Promotions Committee</p>

Provost's Delegations to Vice-Principals and Senior Administrative Officers

Activity	Responsible Body or Individual
The executive management of faculties, including budgetary control, student and staffing matters	The Deans
Leadership of cross-UCL teaching and learning matters, including academic standards and delivery of the UCL Education Strategy	Vice-Provost (Education and Student Affairs)
Leadership on promoting UCL's research performance, including REF preparations, and delivery of the UCL Research Strategy	Vice-Provost (Research)
Leadership on developing UCL's international engagement, managing UCL's overseas ventures, and implementing the Global Engagement Strategy	Vice-Provost (International)
Leadership on UCL's strategy for enterprise	Vice-Provost (Enterprise)
Raising UCL's profile within London and developing a network of research, cultural and business relationships	Provost, delegated to Vice Provosts accordingly
Leadership on UCL's external relationships in biomedicine, including the NHS	Vice-Provost (Health)
Provision and effective co-ordination of the Professional Services Divisions, including: <ul style="list-style-type: none"> • Strategic oversight of the estate, including the development and delivery of the UCL estates strategy • Strategic oversight of information technology services, including the development and delivery of the IT strategy 	Chief Operating Officer
Strategic oversight of HR management policies and practices as they relate to academic and research staff	Provost, delegated to Vice-Provosts accordingly
Implementation of equalities and diversity objectives	Vice-Provosts and Deans (E&D Accountability Framework)

Financial matters

Activity	Responsible Body or Individual
To govern, manage and regulate UCL's investments	Investments Committee (Statute 6(2)(A) / Council schedule of delegated powers)
To appoint bankers and any other officers or agents whom it deems expedient to appoint	Finance Committee (Statute 6(2)(A))
To determine fees	Finance Committee (Statute 6(2)(E)) for bankers' fees Finance Committee for Tuition Fees, on the advice of the Director of Finance and Business Affairs
Appointment of Auditors	Council, on the advice of the Audit Committee
To approve audit fees and receive advice on the provision of any non-audit services by the Internal Auditor	Audit Committee
UCL Fraud Policy	Audit Committee
To approve the UCLU Budget	Council on the recommendation of the Finance Committee
Agreement to enter into contracts or individual purchases on UCL's behalf	Various, as set out in UCL's Financial Regulations and Delegated Authorisation Limits (https://www.ucl.ac.uk/finance/policies-procedures/delegated-auth-limits)
Acquisitions or disposal of land or buildings	Various, as set out in UCL's Delegated Authorisation Limits (https://www.ucl.ac.uk/finance/policies-procedures/delegated-auth-limits)
Approval of the annual budget	Council
Delegation framework for financial matters	Council (in approving the Financial Regulations)
Budget allocation to faculties	Provost, on the advice of SMT
Budget allocation to departments	Vice-Provosts and Executive Deans, subject to review by SMT
Budget allocations to Professional Services divisions	Provost, on the advice of SMT
To approve the receipt of gifts and donations	Provost, advised by the Gift Acceptance Committee

Appointments

Activity	Responsible Body or Individual
Appointment of the Officers of Council	Council
Appointment of external members of Council	Council, on the recommendation of the Nominations Committee (Statute 3(1)(B))
Appointment of members of Academic Board	Academic Board (Statute 7(1)(B))
Appointment of the Auditor	Council [Statute 15] on the recommendation of the Audit Committee
Appointment of the Provost	Council, after consultation with Academic Board [Statute 11 / Regulation 6]
Appointment of Vice-Provosts	Council, on the recommendation of the Provost or of the Academic Board [Statute 11 / Regulation 10]
Appointment of Deans	The Provost in accordance with the relevant procedure and reported to Statute 11 / Regulation 10]
Appointment of Heads of academic units established in the Regulations for Management	Provost, on the advice of the appointment panel and reported to Council [Regulation 11]
Appointment of Heads of Professional Services	Provost (Statute 6(2)(K))
Appointment of staff to vacancies	Appointing panel constituted in accordance with the Recruitment and Selection Policy
Appointment of casual (non-contracted) staff	Head of School/Institute or Professional Service Department concerned
Promotion of academic staff	Academic Promotions Committee

Other operational matters

Activity	Responsible Body or Individual
Governance and oversight of Information and Communications Technology (ICT) matters across UCL in its entirety; ensuring effective alignment between UCL's overall strategy and the ICT strategy and plan; approving the annual ICT capital investment programme	Information Services Governance Committee
Formulating medium- and long-term policy for library provision for UCL	Library Committee
Overseeing and co-ordinate the operation of research governance processes at UCL, according to the principles set out in the UCL research ethics framework, and to approve, subject to appropriate consultation, research governance policies and procedures	Research Governance Committee
Ensuring appropriate governance and management of estates issues across the entire estate	Estates Management Committee
Approving policy, standards and strategy for the management of health and safety at work within UCL and compliance with health and safety legislative and other requirements	Health and Safety Committee
Conferment of Honorary Degrees and Honorary Fellowships	Council, on the recommendation of the Honorary Degrees and Fellowships Committee [Regulation 9]
Designated officer for the receipt of disclosures under UCL's Policy on Public Interest Disclosures	Chief Operating Officer
Operation of UCLU in respect of: approval of constitution; fair and democratic operation; finances; Code of Conduct	Council (Higher Education Act 1994)
Tier 4 License (to sponsor students on visas) Tier 2 License (to sponsor staff on visas)	Registrar Director of Human Resources