



University  
of Dundee

# Schedule of Delegation and Decision-Making Powers

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V1.0



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## SCHEDULE OF DELEGATION & DECISION-MAKING POWERS

### Overview

#### Background

In order to ensure the efficient running of the day to day business of the University, the University has a decision-making framework (“the Framework”) in place. [See Annex 1](#) for full details of the Framework.

Under the Framework:

- [The University Court](#) is the governing body of the University. It has collective responsibility for managing the affairs of the University in accordance with the University Charter and Statutes.
- The [Principal & Vice-Chancellor](#) (‘The Principal’), as the Chief Academic and Administrative Officer shall, subject to such rules as may be framed by the University Court, exercise general supervision over the University and shall be generally responsible for maintaining and promoting the efficiency and good order of the University. The [University Executive Group \(UEG\)](#) shall, under the leadership of the [Principal & Vice-Chancellor](#), be responsible for the executive and operational management of the University.
- The [University Secretary & Chief Operating Officer \(COO\)](#) shall be responsible for among other things, the administration of the University under the direction of the [Principal & Vice-Chancellor](#).

Given the scope and size of the undertaking of the University’s day to day business, University Court, the Principal and the University Secretary & COO cannot reasonably be expected to exercise the entire necessary functions required without the intervention of, and a degree of delegation to designated authorised persons and committees within the University.

Accordingly, as part of the Framework, the University Court has approved this Schedule of Delegation & Decision-Making Powers (Hereafter referred to as “the Schedule”).

#### Powers under this Schedule

[Section A](#) of the Schedule (below), sets out matters which are reserved to [the Court](#) and cannot be delegated. The signing/implementing authority for the University Court shall be the University Secretary & COO unless an alternative is identified in [Section A](#): or by resolution of the Court (as recorded in the minutes for that meeting).

The [University Court](#) has satisfied itself that the delegations under this Schedule are reasonable in scope and that the relevant person or committee is appropriate and capable of carrying out the delegated matters.

[Section B](#) of the Schedule sets out the designated authorised role-holder(s) and committee(s) within the University who are entrusted by the [University Court](#) to exercise its powers in respect of the relevant delegated business which can include binding the University to a contractual or quasi-contractual obligation. It also lists the ‘Authorised Person’, that being the person(s) who may act as the authority to implement the decision of the committee(s) or role-

holder(s) to whom the Court has delegated authority. This does not delegate authority to the 'Authorised Person' to take decisions on behalf of the committee(s) or role-holder(s) to whom the Court has delegated authority. Where the Delegate is expected to consult with a committee(s)/person(s) before making a decision this will be stated in the 'Sub-Delegate/Recommendation' column of the Schedule. Rules regarding the sub-delegation of authority are set out in the ['Sub-Delegation'](#) section (below).

The implementation of actions should be materially consistent with the intention of the decision. Where this is not the case the approving authority should be consulted.

While certain powers are delegated to specific committees or individual office holders, any committee or officeholder may decide that a particular issue requires to be considered, ratified or signed off by a higher level of authority.

[Section C](#) of the Schedule details the application of delegation thresholds within the contracts context. This section will be revised on a regular basis to ensure it reflects process requirements.

### Status of delegations under this Schedule

Any delegations are to be treated as non-exclusive.

The Schedule applies to all activities set out herein and all University funds regardless of source (core, externally funded etc).

Notwithstanding any delegations under this Schedule the University Court reserves at all times:

- The reserved powers set out in Section A: [Matters Reserved to the Court](#) (below);
- The power to suspend, amend or withdraw a delegation under this Schedule;
- The general delegation of authority to the [Principal & Vice Chancellor and the University Secretary & COO](#) as set out in [Statute](#); and
- The power to exercise any business or function delegated under this Schedule.

### Principles of delegation

Any delegate of University Court listed in this Schedule (including for the avoidance of doubt the Principal and the University Secretary & COO) shall exercise their delegated powers on behalf of the University at all times in accordance with the following overarching principles:

- [The University Court](#) shall retain ultimate oversight of the business of the University;
- The Principal shall exercise general supervision over the University and shall be generally responsible for maintaining and promoting the efficiency and good order of the University;
- The decision or action must not be a reserved matter as set out in Section A: [Matters Reserved to the Court](#) (below);
- The delegate shall exercise reasonable care, skill and diligence in carrying out any duties delegated under this Schedule;
- The decision or action shall be in the best interests of the University and consistent with the [University Strategy](#) and values;

- Where the Schedule requires that the authorised body/role holder seek guidance or recommendation from another body/role holder, reference to this should be made when reporting the decision;
- The decision or action is not in contravention of the nine principles of public life in Scotland ([annex 3](#));
- The decision or action shall be in compliance with the University's decision-making framework;
- The decision or action shall be in compliance with the University's policies and procedures;
- The decision or action shall be in compliance with applicable law, regulation or a relevant funding body's obligations;
- The decision or action should be consistent with the [University Court's Risk Appetite Statement](#);
- The financial consequences of the decision or action must be captured within the [budget/3-year plan](#) approved by University Court or within the University's longer-term strategic plans;
- The decision or action must not give rise to a conflict of interest which has not been declared and managed under the University's [Conflict of Interest Policy](#).

If there is a question or dispute on whether a decision taken, or proposed to be taken, by a delegated committee or person contravenes the provisions of this Schedule, it will be escalated to the [University Secretary & COO](#) who shall decide on behalf of the University Court in consultation with the Principal and/or Chair of Court as appropriate if the decision contravenes the provisions of the Schedule and how to proceed.

### Sub-delegation

The [University Court](#) authorises individuals and bodies in whom authority is vested by this Schedule to sub-delegate to other individual office holders provided that:

1. Such sub-delegation is reasonable and appropriate;
2. The delegate gives due consideration to supervision/provision of appropriate challenge;
3. The delegate named in this Schedule remains ultimately responsible for the acts and omissions of the sub-delegate;
4. Any sub-delegation will not prevent the delegate from whom the authority is being sub-delegated from also discharging those functions; and
5. Such sub-delegation can be revoked at any time without prejudice to any previous decisions made under that authority.

A delegate should normally follow the sub-delegation in the Schedule (where listed), otherwise the authority to determine how to delegate rests with the named delegate. Individuals may, from time to time, set out schedules for the sub-delegation of their authorities. For example: A Dean of School may regularly delegate authority to a School Manager or and Associate Dean, however the Dean remains ultimately responsible for the approved action.

Where the individual is a member of the [University Executive Group](#) such protocols should be approved by the University Executive Group.

## Material Decisions

Where a decision or action proposed to be taken under delegated powers is likely to be regarded as controversial or is a decision (“Material Decision”) that will have or is likely to have:

- (a) a significant effect on financial, reputational or operational risk; and/or
- (b) a significant impact on academic and/or service delivery or performance.

The matter will be referred to the [University Executive Group for decision](#). The University Executive Group may decide to escalate to the [Chair of University Court](#) and/or the Convener of the [Audit & Risk Committee](#) to consider the appropriate approval mechanism.

## Responsibility to inform/Reporting

It is the responsibility of the University Executive Group and relevant delegates to keep the University Court (through reporting to relevant committees) appropriately informed about activity arising within the scope of the delegated authority under this Schedule and provide appropriate reports as required and/or requested.

It is the responsibility of the delegate to obtain sufficient detail, evidence and relevant level of prior authorisation to support any action or decision taken in respect of delegated matter.

The delegate shall be required to be able to demonstrate to University Court, auditors or funders that an appropriate course of action is taken when exercising its powers under this Schedule.

## Legal Contracts and Risk

It is acknowledged by the University Court that certain delegates under this Schedule will ostensibly sign contracts which create legal and quasi-legal obligations on behalf of the University which could have significant financial and reputational impact for the University.

It is important for the wellbeing and sustainability of the University that such commitments and the legal risks that they create are understood and managed appropriately.

[The Director of Legal](#) is responsible for the management of legal risk on behalf of the University. Any delegation which creates legal obligations on behalf of the University (including but not limited to commercial contracts and other types of agreements) are therefore to be taken forward in accordance with the advice from the Director of Legal/ approved legal risk escalation processes to ensure they are created on a valid legal basis.

[Section C](#) of the Schedule provides guidance on the interpretation and application of delegation thresholds within a contracts context. This section will be revised on a regular basis to ensure it is in alignment with approved processes and best practice.

## Procurement

Procurement is the acquisition, whether under formal contract or otherwise, of goods, services and works from third parties and must adhere to the [University Procurement Strategy](#), applying the principles and procedures under public procurement law.

Procurements of all types must be planned to take account of legal duties, including social, economic and environmental impact; and to be transparent, apply equalities duties and anti-corruption policies and to achievement of the most economically advantageous balance of quality and cost.

The legal thresholds and obligations vary for the University acquiring goods, services or works, and each delegate must adhere to guidance in conducting an appropriate Procurement Journey for procurements of all types, obtained as early as possible in planning, from the Head of Procurement.

In estimating the potential value of any procurement, the total cost over the full contract period, including any options or extensions must be considered. All advertising of planned acquisitions over the legal thresholds, of all types, and whether collaborative or not, will require prior consultation with the Head of Procurement.

All Framework Agreements or Approved Contracts (which aggregate to current legal thresholds) for procured goods and services, or works, including those used in business plans for University Court or committees, must be approved by [the Director of Legal](#) and [Head of Procurement](#).

The University's standard terms and conditions, or agreed framework agreement terms where appropriate, will apply to purchases for any University activity. Any bespoke contracts for the procurement of goods or services must be considered by the Director of Legal.

Individuals should also consult [Section C](#) in relation to procurement contracts.

## Powers of the Audit & Risk Committee

The [Audit & Risk Committee](#) may investigate any matters within its terms of reference with full access to information and University staff and may engage the University's internal and external auditors to do so. The [Audit & Risk Committee](#) shall bring to the attention of the Court any matter of concern.

The appointment of the internal and external auditors is a [matter reserved to the Court](#) on the recommendation of the Audit & Risk Committee.

## Elections

The relevant authority for elections is determined in [Statutes](#), [Ordinances](#) and Regulations (For example [Senate Regulations](#) and [Regulations for the Election of the Chair of Court](#)). Unless otherwise stated in the regulations, the University Secretary & COO shall be the Returning Officer. The [University Secretary & COO](#) may delegate this authority to another officer.

## Effective Date

On 17/11/2020 the University Court approved this Schedule of Delegation and Decision-Making Powers with effect from 17/11/2020. For the avoidance of doubt, this supersedes all previously approved versions and signing authorities prior to this date.

17/11/2020

Ronnie Bowie, Chair of Court

## SECTION A: Matters Reserved to the University Court

The signing/implementing authority for the [University Court](#) shall be the University Secretary & COO unless an alternative is identified below, or by resolution of the Court.

### Strategy

- Approve the [University strategy](#);
- Approve areas for reporting via key performance indicators;
- Approve an estates strategy for the management and development of the University's land and buildings;
- Approve the [academic structure of the University](#), including the creation or amendment of Schools and their constituent disciplines.\*

### Budget and Finance

- Approve the [annual consolidated accounts](#) for the University and Group (financial statements);
- Approve the budget and financial forecasts;
- Approve financial strategy, including annual capital programme;
- Approve changes to [accounting policies](#) (upon recommendation from the Audit & Risk Committee);
- Approve the annual report of internal auditors for submission to the Scottish Funding Council;
- Approve the appointment of internal and external auditors (upon recommendation from the Audit & Risk Committee);
- Approve business plans for projects and funding application or variations thereof that include a capital element of more than £5m on the recommendation of the Finance & Policy Committee;
- Approve borrowing greater than £5m on the recommendation of the Finance & Policy Committee.

### Governance

- Approve [arrangements for the election of the Chairperson of Court](#) (in accordance with the Higher Education Governance (Scotland) Act 2016);
- Approve the appointment of the [Deputy Chairperson of Court](#);
- Approve the appointment of co-opted [members of Court](#) and any additional lay members of Court committees who are not members of Court;
- Approve the removal from office of any member of Court in accordance with [Statutes](#);
- Approve the [membership of Court committees](#) on the recommendation of the Governance & Nominations Committee;
- Approve changes to [Charter](#), [Statutes](#) and [Ordinances](#), including the establishment of new Statutes or Ordinances and any associated subordinate regulations\* \*\* ;
- Approve the [Standing Orders of Court](#) on the recommendation of the Governance & Nominations Committee;
- Approve the Schedule of Delegation and Decision-Making powers and any ad hoc delegation, provided such delegation is within the terms of the [Charter](#) and [Statutes](#).

## Appointments and Staff

- Approve the appointment of the [Chancellor\\*](#);
- Approve the appointment of the [Principal & Vice-Chancellor\\*](#) and the dismissal of the [Principal & Vice-Chancellor](#). The signatory shall be the Chair of Court;
- Approve Severance Terms and substantial changes to pay and/or terms and conditions of the [Principal & Vice-Chancellor](#) on the recommendation of the [Remuneration Committee](#);
- Approve the appointment (and dismissal) of the [University Secretary & COO](#). The Principal & Vice-Chancellor OR Director of Human Resources & Organisational Development shall be the signatories;
- Approve the appointment (and dismissal) of the Librarian;
- Approve the appointment (and dismissal) of any Vice-Principals. The Principal & Vice-Chancellor AND the University Secretary & COO OR the Director of Human Resources & Organisational Development shall be the signatories;
- Approve, on the recommendation of the People & Organisational Development Committee, policies and procedures affecting staff and their terms and conditions including [Health & Safety](#); [Equality, Diversity & Inclusion](#), [Redundancy](#) and arrangements relating to [grievances](#) and [disciplinary](#) matters;
- Approve policies and procedures relating to Pensions Benefits on the recommendation of the Finance & Policy Committee.

## Miscellaneous

- Approve submission of final documents/statements to external organisations as required by those organisations from time to time;
- Approve such other matters as may from time to time arise and which are not otherwise provided for in this document or in the schedule of delegation and decision making.

\*After consultation with the Senate.

\*\* Amendments to the Charter and Statutes are also subject to the approval of the Privy Council.

## Section B: Delegated Business

Please see the Explanatory Notes in [Annex 2](#) in relation to the definition and interpretation of the Schedule. The Table should be read in conjunction with Section A [Matters Reserved to the Court](#) as set out above, and in the case of contracts Section C should also be consulted.

1 Academic Governance						
	Business Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person (s)
1.1	Academic Governance	Degrees	Approve <a href="#">degree regulations</a>	Quality and Academic Standards Committee		Vice-Principal (Education) OR Director of Academic & Corporate Governance OR Director of Quality & Academic Standards
1.2	Academic Governance	Degrees	Approve the conferment of degrees and qualifications including <a href="#">honorary degrees</a>	Senate		Principal & Vice-Chancellor OR University Secretary & COO (as Secretary to the Senate)
1.3	Academic Governance	Degrees	Approve degree programme specifications and <a href="#">assessment methods</a>	Quality and Academic Standards Committee		Vice-Principal (Education) AND Director of Academic & Corporate Governance AND Director of Quality & Academic Standards

## 2 Audit

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
2.1	Audit	Audit plan	Approve internal audit needs assessment and internal audit strategic and operational plans	Audit & Risk Committee		University Secretary & COO OR Director of Academic & Corporate Governance
2.2	Audit	Auditors	Approve process for appointment of internal/external auditors	Audit & Risk Committee		Director of Finance OR Director of Academic & Corporate Governance

The approval of the annual report of internal auditors for submission to the Scottish Funding Council, and the appointment of the internal and external auditors are [matters reserved to the Court](#).

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.1	Finance	Accounts	Prepare and finalise for approval by the University Court the <a href="#">annual consolidated accounts</a> for the University.	Audit & Risk Committee AND Finance & Policy Committee	Director of Finance	Chairperson of Court AND Accountable Officer (normally the Principal & Vice-Chancellor) AND Director of Finance
3.2	Finance	Bank Accounts	Approve arrangements in accordance with the <a href="#">Financial Regulations</a>	Finance & Policy Committee		Director of Finance
3.3	Finance	Borrowing	Enter into borrowing arrangements (and renewal of) up to £3m in accordance with the financial strategy approved by Court.	Director of Finance with a report to the next Finance & Policy Committee		Director of Finance AND University Secretary & COO
3.4	Finance	Borrowing	Enter into borrowing arrangements (and renewal of) over £3m and less than £5m in accordance with the financial strategy approved by Court.  The approval of borrowing greater than £5m is reserved to the Court ( <a href="#">Matters Reserved to the Court</a> ) on the recommendation of the Finance & Policy Committee.	Finance & Policy Committee	Director of Finance	Director of Finance AND University Secretary & COO

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.5	Finance	Budget	Prepare and finalise for approval by the University Court, the University financial strategy, which shall include the annual capital programme and annual budgets for Schools and Professional Services.	Finance & Policy Committee	University Executive Group	Director of Finance AND University Secretary & COO AND Principal & Vice-Chancellor
3.6	Finance	Business Plans (revenue spend <25k) Non- Research	Approve non-capital business plans within budget <sup>1</sup> for projects and funding applications or variations thereof for revenue spend of up to £25k.  Any business plans must consider: <ul style="list-style-type: none"> <li>- <a href="#">Procurement Regulations</a>; and</li> <li>- any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services.</li> </ul> For Research Funding Applications see section 7.1 and 7.2)	Deans of Schools and/or Directors of Professional Services subject to consultation with:  1. the Head of Procurement (if framework agreements are not to be used)  AND  2. the Dean or Director of School(s) or Professional Service(s) affected by the proposal.		Dean/Director/School Manager

<sup>1</sup> Where the project is included in the approved budget, approvals must still be sought for actioning.

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.7	Finance	Business Plans (revenue spend between £25k and £1.25m)  Non- Research	Approve non capital business plans within budget <sup>1</sup> for projects and funding applications or variations thereof for revenue spend between £25k and £1.25m. Any business plans must consider: <ul style="list-style-type: none"> <li>- <a href="#">Procurement Regulations</a>; and</li> <li>- any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services.</li> </ul> For Research Funding Applications see <a href="#">section 7.1 and 7.2</a> )	University Secretary & COO  OR Director of Finance  subject to consultation with: 1. the Head of Procurement (if framework agreements are not to be used)  AND 2. the Dean or Director of School(s) or Professional Service(s) affected by the proposal.	Vice-Principal (Academic Performance & Planning)	Director of Finance
3.8	Finance	Business Plans (revenue spend between 1.25m and £5m)  Non- Research	Approve non-capital business plans within budget <sup>1</sup> for projects and funding applications or variations thereof for revenue spend between £1.25m and £5m. Any business plans must consider: <ul style="list-style-type: none"> <li>- <a href="#">Procurement Regulations</a>; and</li> <li>- any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services.</li> </ul> For Research Funding Applications see <a href="#">section 7.1 and 7.2</a> )	University Executive Group  AND The Dean or Director of School(s) or Professional Service(s) affected by the proposal.		Director of Finance

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.9	Finance	Business Plans (revenue spend more than £5m) Non- Research	Approve non-capital business plans within budget for projects and funding applications or variations thereof for revenue spend more than £5m. Any business plans must consider: <ul style="list-style-type: none"> <li>- <a href="#">Procurement Regulations</a>; and</li> <li>- any consequential cost, including opportunity cost, implications for relevant Schools and Professional Services.</li> </ul> For Research Funding Applications see <a href="#">section 7.1 and 7.2</a> )	Finance & Policy Committee subject to advice from: <ol style="list-style-type: none"> <li>1. the Head of Procurement (if Framework Agreements are not to be used)</li> </ol> AND <ol style="list-style-type: none"> <li>2. Consultation with the Dean or Director of School(s) or Professional Service(s) affected by the proposal.</li> </ol>		Director of Finance
3.10	Finance	Business plans (Capital Projects)	Approve business plans for projects and funding applications or variations thereof that include a capital element of up to £25k based on submission of appropriate documentation to <a href="#">Estates &amp; Campus Services</a> .	Dean/Director/School Manager subject to consultation with the Director of Estates & Campus Services.		Dean/Director/School Manager AND Director of Estates & Campus Services
3.11	Finance	Business plans (Capital Projects)	Approve business plans for projects and funding applications or variations thereof that include a capital element between £25k and £1.25m.	University Secretary & COO AND Director of Finance (subject to consultation with the Director of Estates & Campus Services)		Director of Estates & Campus Services

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.12	Finance	Business plans (Capital Projects)	<p>Approve business plans for projects and funding applications or variations thereof that include a capital element between £1.25m and £5m.</p> <p>The approval of those including a capital element greater than £5m is reserved to the Court (<u>Matters Reserved to the Court</u>) on the recommendation of the Finance &amp; Policy Committee.</p>	University Executive Group subject to consultation with the Director of Estates & Campus Services		Director of Estates & Campus Services
3.13	Finance	Car Parking strategy	Approve the car parking strategy for the University including in the case of University owned properties: <a href="#">regulations</a> , spaces, fees, charges and penalties.	University Secretary & COO on the advice of the Director of Estates & Campus Services		Director of Estates & Campus Services OR University Secretary & COO
3.14	Finance	Disposals	Approve disposal of land and building assets <£5m, in accordance with the University's <a href="#">Financial Regulations</a> .	<p>University Secretary &amp; COO AND Director of Finance (subject to approval requirements for the <a href="#">disposal of publicly funded assets</a>) and subject to advice from the Director of Legal and the Director of Estates &amp; Campus Services where appropriate.</p>	Director of Legal	Director of Finance OR University Secretary & COO
3.15	Finance	Disposals	Disposal receipts of over £5m or of assets with a book value of over £5m.	Finance & Policy Committee	Director of Legal	Director of Finance OR University Secretary & COO

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.16	Finance	Disposals	Disposal of assets other than land/property <£25k	Budget holder in accordance with relevant policies, the <a href="#">Financial Regulations</a> and GDPR regulations.  OR Dean/School Manager/Director where the budget holder is no longer available or identifiable.		Budget holder  OR Dean/School Manager/Director where the budget holder is no longer available or identifiable.
3.17	Finance	Disposals	Disposal of assets other than land/property >£25k.	University Secretary & COO  AND Director of Finance in accordance with relevant policies, the <a href="#">Financial Regulations</a> , and <a href="#">GDPR regulations</a> .  (subject to any requirements for approval of disposal of publicly funded assets)		Director of Finance  OR University Secretary & COO
3.18	Finance	Financial Regulations	Approve <a href="#">Financial Regulations</a> .	Finance & Policy Committee		Director of Finance
3.19	Finance	Financial Regulations	Approve changes to Financial Procedures and to the <a href="#">Procurement manual</a> .	Director of Finance		Director of Finance

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.20	Finance	Investments	Approve guidelines for University investments in accordance with the <a href="#">Treasury Policy</a> .	Finance & Policy Committee OR Endowments Sub-Committee as appropriate.		Director of Finance
3.21	Finance	Leasing	Approve leasing of buildings for a period of less than 5 years, (lessor and lessee). (Using templates endorsed by the Director of Legal).	University Secretary & COO		Director of Finance OR Director of Estates & Campus Services OR University Secretary & COO
3.22	Finance	Leasing	Leasing of buildings for a period of greater than 5 years, (lessor and lessee). (Using templates endorsed by the Director of Legal).	University Executive Group		Director of Finance OR Director of Estates & Campus Services OR University Secretary & COO
3.23	Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies up to £100k.	University Executive Group		Director of Finance
3.24	Finance	Loans	Approve loans, loan guarantees and grants to subsidiary, spin-out and associated companies of more than £100k.	Finance & Policy Committee		Director of Finance

### 3. Finance

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate	Authorised Person
3.25	Finance	Purchases and Expenditure	Approve purchases and expenditure.	In accordance with the Financial regulations approved by the Finance & Policy Committee (link)		
3.26	Finance	Schools and Directorates	Approve allocation of resources within Schools and Directorates.	Deans of Schools/Directors of Professional Services		Deans of Schools/School Managers/Directors of Professional Services
3.27	Finance	Schools and Directorates	Approve expenditure within agreed budgets in accordance with the Financial Procedures Manual.	Deans of Schools/Directors of Professional Services		Deans of Schools/School Managers/Directors of Professional Services
3.28	Finance	Student Fees	Approve student fee rates.	University Executive Group on the advice of the Fees & Scholarship Committee.		Director of Finance
3.29	Finance	Treasury	Oversee <a href="#">treasury management</a> policies and procedures required to ensure that cash resources are managed securely and efficiently.	Director of Finance with an annual report to the Finance & Policy Committee		Director of Finance

## 4 Governance

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
4.1	Governance	Committees	Approve membership of Senate Committees	Senate		University Secretary & COO
4.2	Governance	Subsidiary Companies	Approve the formation of subsidiary and associated companies.	Finance & Policy Committee on the advice of the University Executive Group.		University Secretary & COO OR Director of Finance
4.3	Governance	Subsidiary Companies	Approve amendments to articles of association and equivalents and non-material amendments to company documents once Formed.	University Secretary & COO OR Director of Finance On the advice of the Director of Legal		University Secretary & COO AND Director of Finance
4.4	Governance	Subsidiary Companies	Approve the winding up of subsidiary or associated companies. See also <a href="#">Disposals</a> .	Finance & Policy Committee		University Secretary & COO AND Director of Finance
4.5	Governance	Spin-out companies	Approve the formation of spin-out companies	University Secretary & COO AND Vice-Principal (Research, Knowledge Exchange & Wider Impact) AND Director of Finance	Director of Research & Innovation Services	University Secretary & COO AND Director of Finance

## 4 Governance

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
4.6	Governance	Spin-out companies	Note the winding up of spin-out companies. See also <a href="#">Disposals</a> .	Finance & Policy Committee		University Secretary & COO OR Director of Finance
4.7	Governance	Spin-out companies	Approve non-material amendments to company documents and other associated documentation including resolutions not fundamentally affecting the University's shareholding.	Director of Research & Innovation Services		Director of Research & Innovation Services
4.8	Governance	Spin-out companies	Approve material amendments to company documents and other associated documentation including resolutions deemed to materially affect the University's shareholding.	University Executive Group		University Secretary & COO
4.9	Governance	Records Management	Assign retention periods to records and data created and kept by the University, taking into account appropriate legislation and best practice.	Director of LLC	Head of Culture & Information	Director of LLC OR Head of Culture & Information
4.10	Governance	Records and Information Management	Ensure data is appropriately and securely created, managed and stored.	Director of LLC	Director of UoDIT	Director of LLC OR Director of UoDIT

## 5 Intellectual Property

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
5.1	Intellectual Property	Intellectual Property	Approve licensing agreements related to research and Intellectual Property on behalf of the University	Director of <u>Research &amp; Innovation Services</u> AND Director of Legal		Director of Research & Innovation Services
5.2	Intellectual Property	Research	Approve assignation of research intellectual property and related assets/patents	Director of <u>Research &amp; Innovation Services</u> AND Director of Legal		Director of Research & Innovation Services
5.3	Intellectual Property	Teaching and other Non-Research IP	Approve assignation of intellectual property and related assets	Dean AND Director of Legal		University Secretary & COO

## 6 Policies & Regulations

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
6.1	Policies & Regulations	Admissions	Approve policies and terms and conditions for the <u>admission</u> of students to the University.	Senate on the recommendation of the Learning & Teaching Committee		University Secretary & COO
6.2	Policies & Regulations	Academic Policies	Approve academic policies and those relating to the business of the Senate which are not otherwise reserved to the Court	Senate		University Secretary & COO
6.3	Policies & Regulations	Animals	Determine an ethical review process and policies on matters relating to the welfare of animals on University premises and act as the University's Animal Welfare and Ethical Review Body.	<a href="#">Welfare and Ethical Use of Animals Committee</a>		University Secretary & COO
6.4	Policies & Regulations	Amendments	Approve minor, non-material, amendments to policies.	Convener of the approving body AND University Secretary & COO		University Secretary & COO  OR  Director of Academic & Corporate Governance
6.5	Policies & Regulations	Pensions	Approve amendment to rules and regulations. Matters relating to benefits are reserved to the Court ( <a href="#">Matters Reserved to the Court</a> ).	Finance & Policy Committee on the advice of the Pension-Sub-Group.		Director of Finance AND University Secretary & COO
6.6	Policies & Regulations	Policies	Approve template standards for policies.	Director of Academic & Corporate Governance		Director of Academic & Corporate Governance
6.7	Policies & Regulations	Contracts	Contract templates.	Director of Legal		Director of Legal

## 7 Research

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
7.1	Research	Non- Procurement Contracts Research	Approve non-procurement related research contracts, agreements and applications (including grant applications, consultancy and service agreements) or variations thereof up to £1.25m.	Director of Research & Innovation Services	Director of Legal	Director of Research & Innovation Services  OR Director of Finance.
7.2	Research	Non- Procurement Contracts Research	Approve non-procurement related research contracts, agreements and applications (including grant applications, consultancy and service agreements) or variations thereof with a value greater than £1.25m.	Vice-Principal (Research)	Director of Legal	Director Research and Innovation Services*  OR <sup>2</sup> Director of Finance
7.3	Research (Clinical) (non-financial)	Clinical Trials	To receive and determine applications for the sponsorship of all Clinical Trials of Investigational Medicinal Products under the Medicines for Human Use (Clinical Trials) Regulations 2004 (CTIMP Clinical Trials), all regulated device trials and those clinical research studies which in the view of TASC Research Governance Managers present significant risk.	Sponsorship Committee* (non-financial authority) <sup>3</sup>		R&D Director, Tayside Medical Sciences Centre (TASC)

<sup>2</sup> \*[guidance note: The authority of the Director of Research & Innovation Services is not limited to EU grants, however in accordance with EU Grant requirements, they, or their delegate must be the named Authorised Person and signatory.]

<sup>3</sup> \*Guidance note: The Dean or School Manager shall be a member of this Committee. Significant risks shall be reported to the Director of Legal in accordance with established protocols/invitation to attend meetings when appropriate. Applications are also subject to review and approval by the Scottish Government Research Ethics Committee (REC) and the NHS R&D Management].

## 7 Research

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
7.4	Research (Clinical) (non-financial) (Patient risk)	Clinical Trials	Receive and determine applications for the sponsorship of all other clinical research studies that require a sponsor under the UK Policy Framework for Health & Social Care Research.	R&D Director, Tayside Medical Sciences Centre (TASC) on the recommendation of Research Governance (non-financial authority) and subject to Project Registration Form (PRF) requirements. <sup>4</sup>		R&D Director, Tayside Medical Sciences Centre (TASC)
7.5	Research (Clinical)	Clinical Trials (Grant Funding)	Where required, approve the contractual terms and conditions associated with grant funding awards solely for CTIMP trials, regulated device trials and clinical research studies administered by TASC, in conjunction with Research Finance Services.	R&D Director, Tayside Medical Sciences Centre (TASC)  AND Director of Research & Innovation Services  Subject to an approved Project Registration Form.  Subject also to thresholds and authorities in section 7.1/7.2.		R&D Director, Tayside Medical Sciences Centre (TASC)
7.6	Research	Data management	Ensure appropriate data management plan in place with approved information compliance and data security elements.	Dean	Principal Investigator  AND LLC Research Data Officer	Director LLC

<sup>4</sup> The Dean of the School and R&D Director of TASC shall ensure alignment to School strategy. Significant risks shall be reported to the Director of Legal in accordance with established protocols.

## 8 Staff Appointments

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
8.1	Staff: Appointments	General	Approving policy and process for all new and replacement posts. Add link to PRG limits.	UEG	Planning & Resources Group	Director of HR & OD OR University Secretary & COO OR Director of Finance
8.2	Staff: Appointments	Principal	Ensure that the performance of the Principal is reviewed annually in accordance with established University procedures for <a href="#">Objective-Setting and Review</a> .	Chair of Court with an annual report to the Remuneration Committee		Chairperson of Court
8.3	Staff: Appointments (Academic)	Academic Grade 10 Appointing Committees	Approve membership of professorial appointing committees.	Principal AND Vice-Principal (Academic Planning & Performance)		Vice-Principal (Academic Planning & Performance) OR Director of HR & OD
8.4	Staff: Appointments (Professional Services)	Appointing Committees	Approve membership of appointing committees for professional services appointments at grade 10.	University Secretary & COO		University Secretary & COO OR Director of HR & OD

## 8 Staff Appointments

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
8.5	Staff: Appointments	Deans	Appoint Deans of School.	Principal (in consultation with the School)	Vice-Principal (Academic Planning & Performance)	Principal OR Director of HR&OD OR Vice-Principal (Academic Planning & Performance)
8.6	Staff: Appointments	Emeritus	Approve conferment of the title 'Emeritus' on former members of staff.	Senate		Director of HR&OD
8.7	Staff: Appointments	Established/ Named Chairs	Approve appointment of a professor to a named or established chair.	Senate on the recommendation of the University Executive Group		Principal OR Director of HR&OD
8.8	Staff: Appointments	General	Approve appointments of external examiners, where within the parameters of the <a href="#">policy on external examiners</a> .	Deans of Schools		Deans of Schools

## 8 Staff Appointments

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
8.9	Staff: Appointments	Honorary appointments	Approve honorary professorial appointments.	Senate on the recommendation of School Boards following consultation with the Vice-Principal (Academic Planning & Performance)	Vice-Principal (Academic Planning & Performance)	Director of HR&OD
8.10	Staff: Appointments	Honorary appointments	Approve honorary appointments in the professional services.	University Secretary & COO		Director of HR&OD
8.11	Staff: Appointments	Honorary appointments	Approve honorary academic appointments (non-professorial).	School Boards		Director of HR&OD
8.12	Staff: Dismissal	Termination of employment	In accordance with <a href="#">policies set out under the terms of Statute 16</a> . See also: <ul style="list-style-type: none"> <li><a href="#">Disciplinary Procedure</a></li> <li><a href="#">Section 6</a>.</li> </ul>	Disciplinary Panel. See <a href="#">Disciplinary Procedure</a> for details of the process for the formation of panels and the authority of panels.		Letters of dismissal shall be signed by: Chair of disciplinary panel OR Director of HR&OD OR University Secretary & COO

## 9 Staff Salary

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
9.1	Staff: Salary	Honoraria	Approve maximum levels of any management responsibility payments and honoraria to Deans and Associate Deans.	Remuneration Committee on the recommendation of the University Executive Group.		Director of HR&OD
9.2	Staff: Salary	Senior Staff	Approve salary increases (beyond the nationally agreed pay award) for the Principal and members of the University Executive Group.	Remuneration Committee.		Director of HR&OD
9.3	Staff: Salary	Senior Staff	Approve salary increases (beyond the nationally agreed pay award) for Grade 10 staff on recommendation of Deans of Schools and Directors of Professional Services.	University Executive Group.		Director of HR&OD
9.4	Staff: Salary	Senior Staff severance	Approve a policy on <a href="#">senior staff severance</a> and approve severance payments exceeding the threshold defined by Court (£100k), and early retirement or severance terms for members of the University Executive Group in accordance with that policy, noting that severance and early retirement terms for the Principal is a matter reserved to the Court on the advice of the Remuneration Committee.	Remuneration Committee		University Secretary & COO AND Director of HR&OD
9.5	Staff: Salary	Consultancy Principal	Approve requests by the Principal to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000	Chair of Court		Chair of Court

## 9 Staff Salary

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
			per annum, and the reputational risk/time commitment is low and there is no conflict of interest.			
9.6	Staff: Salary	Consultancy - Principal	Approve requests by the Principal to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where Chair of Court judges there to be a significant reputational risk, conflict of interest, or significant time commitment.	Remuneration Committee on the advice of the Chair of Court		Convener of the Remuneration Committee OR Chair of Court
9.7	Staff: Salary	Consultancy – University Secretary & COO	Approve requests by the University Secretary & COO to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000 per annum, and the reputational risk/time commitment is low and there is no conflict of interest.	Principal following consultation with the Chair of Court.		Principal
9.8	Staff: Salary	Consultancy – University Secretary & COO	Approve requests by the University Secretary & COO to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where the Principal or Chair of Court judges there to be a significant reputational risk, conflict of interest, or significant time	Remuneration Committee on the advice of the Principal and following consultation with the Chair of Court		Convener of the Remuneration Committee OR Chair of Court OR Principal

## 9 Staff Salary

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
			commitment.			
9.9	Staff: Salary	University Executive Group consultancy (with the exception of the Principal and University Secretary & COO)	Approve requests by members of the University Executive Group to undertake consultancy or serve as a non-executive director or similar where the position is unpaid or remuneration is less than £5,000 per annum, and the reputational risk/time commitment is low and there is no conflict of interest	Principal		Principal
9.10	Staff: Salary	University Executive Group consultancy (with the exception of the Principal and University Secretary & COO)	Approve requests by members of the University Executive Group (with the exception of the Principal) to undertake paid consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where the Principal judges there to be a significant reputational risk, conflict of interest, or significant time commitment.	Remuneration Committee on the advice of the Principal.		University Secretary & COO
9.11	Staff: Salary	Senior Staff (Grade 10) consultancy	Approve requests by Grade 10 staff to undertake consultancy, other paid work, or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum or where there is a significant reputational risk, conflict of interest, or significant time commitment.	University Executive Group with an annual report to the Remuneration Committee.		Principal OR University Secretary & COO

## 10 Students

	Area	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
10.1	Students	Appeals	Receive and determine appeals from undergraduate students against termination of their studies.	Senate Termination of Studies (Appeals) Committee		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance
10.2	Students	Appeals	Receive and determine academic appeals from students.	Senate Appeals Committee/Panel		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance
10.3	Students	Discipline	Exercise disciplinary powers in relation to students.	Authorised officers named in Ordinance 40		University Secretary & COO OR Vice- Principals OR Director of Academic & Corporate Governance

## 11. Legal

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
11.1	Legal	Settlements	Settle legal actions and claims under contracts.  Where the value is anticipated to exceed £0.5m the Court must be informed via the Audit & Risk Committee.	University Secretary & COO	Director of Legal  AND  Director of Human Resources & Organisational Development (HR matters).	University Secretary & COO  OR  Director of Finance
11.2	Legal	General Miscellaneous Non-Procurement	Entering into, amending, terminating or otherwise creating legal obligations.	University Secretary & COO	Director of Legal	University Secretary & COO  OR  Director of Finance
11.3	Legal	Data Protection, Freedom of Information and EIRs (Compliance)	Monitor University compliance with the Data Protection Act 2018, the Freedom of Information Act (2002) and the Environmental Information Regulations (2004) (and their successor).	Data Protection Officer	Director of Legal	Data Protection Officer  OR  Director of LLC  OR  University Secretary & COO  OR  Director of Academic and Corporate Governance  OR  Head of Culture & Information

## 11. Legal

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
11.4	Legal	Data Protection (Contracts and procurement of goods & services)	Entry into proportionate data processing agreements and <u>data sharing agreements</u> with appropriate attention to data privacy impact assessments.  See also 12.15 for clinical research data sharing delegations.	Data Protection Officer	Director of Legal AND Director of Library & Learning Centre OR Director of Research & Innovation Services	Director of Library & Learning Centre OR University Secretary & COO OR Director of Academic and Corporate Governance OR Director of Research & Innovation Services
11.5	Legal	Litigation (Service)	Service of Legal Proceedings.	Director of Legal		Director of Legal
11.6	Legal	Litigation (General)	Entering into, defending and withdrawing from court or other legal proceedings with liability up to £500k and signing court documents.	University Secretary & COO with a report to the University Executive Group.	Director of Legal	Director of Legal
11.7	Legal	Litigation (General)	Entering into, defending and withdrawing from court or other legal proceedings with liability over £500k and signing court documents.	University Executive Group subject to a report being prepared for the Audit & Risk Committee.	Director of Legal	Director of Legal
11.8	Legal	Third party agents	Engaging private legal firms, counsel, sheriff officers, patent agents and other agents.	Director of Legal	Director of Research & Innovation Services	Director of Legal OR Director of Research & Innovation Services

## 11. Legal

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.1	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts for goods and services, framework agreements, contract strategies and applications or variations thereof with a project value of up to £50k.	Dean of School or Director of Professional Services		Dean of School or Director of Professional Services
12.2	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts for goods and services, framework agreements, contract strategies and applications or variations thereof with a project value greater than £50k and up to £1.25m.	University Secretary & COO OR Director of Finance	Head of Procurement OR Director of Legal	Head of Procurement OR Dean of School Or Director of Professional Services
12.3	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts, agreements and applications or variations thereof with a project value of between £1.25m and £3m.	University Executive Group.	Director of Legal OR Head of Procurement	Director of Finance OR University Secretary & COO
12.4	Legal Contracts	Contracts Procurement (Goods and Services)	Approve non-research related contracts, agreements and applications or variations thereof with a project value of more than £3m.	Finance & Policy Committee	Director of Legal AND Head of Procurement	Director of Finance OR University Secretary & COO

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.5	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier A within the Collaborative Partnerships Code of Practice Non-Research Non- Procurement Contracts	Approval of major international/national collaborations within Tier A of the Collaborative Partnerships Code of Practice.	<a href="#">Matter reserved to the University Court</a> on the recommendation of the University Executive Group and Finance & Policy Committee.	Director of Legal.	Principal OR Vice-Principal International / Vice Principal (Education) OR University Secretary & COO
12.6	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier B/C within the Collaborative Partnerships Code of Practice Non-Research Non- Procurement Contracts	Approval of major international/national collaborations within Tier B/C of the Collaborative Partnerships Code of Practice.	collaborative Partnership Sub-Committee	Director of Legal.	Vice-Principal International OR Vice Principal (Education) OR Director of Global Partnership
12.7	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier D within the Collaborative Partnerships Code of Practice Non-Research Non- Procurement Contracts	Approve international/ national collaboration agreements, in Tier D of the Collaborative Partnerships Code of Practice	School Executive Group	Director of Legal.	Deans of Schools

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.8	Legal Contracts	High Risk* (Collaborations (not including research degrees)) Research Non- Procurement contracts	Approve International collaboration agreements, including contracts (research).  See also section 12.15 for clinical contract matters.	<u>Matter reserved to the University Court</u> on the recommendation of the University Executive Group and the Finance & Policy Committee	Director of Legal.	Principal OR Vice-Principal (Research) OR University Secretary & COO
12.9	Legal Contracts	Medium Risk* (Collaborations (not including research degrees)) Research Non- Procurement contracts	Approve International collaboration agreements, including contracts (research).  See also section 12.15 for clinical contract matters.	University Executive Group.	Director of Legal.	Vice-Principal (Research) OR University Secretary & COO
12.10	Legal Contracts	Low Risk* (Collaborations (not including research degrees)) Research Non- Procurement contracts	Approve International collaboration agreements, including contracts (research).  See also section 12.15 for clinical contract matters.	Vice-Principal (Research) or Vice-Principal (International).	Director of Legal.	Principal OR Vice-Principal (Research) OR University Secretary & COO

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.11	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier A within the Collaborative Partnerships Code of Practice  Non- Procurement Contracts	Approve amendments, termination or renewals of Collaboration Agreements	University Executive Group with report to the University Court in the case of termination or material amendment.	Director of Legal.	Principal OR Relevant Vice-Principal OR University Secretary & COO
12.12	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier B/C within the Collaborative Partnerships Code of Practice  Non- Procurement Contracts	Approve amendments, termination or renewals of Collaboration Agreements	Collaborative Partnership Sub-Committee	Director of Legal.	Principal OR Relevant Vice-Principal OR Director of Global Partnership

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.13	Legal Contracts	Educational degree programme collaborations (including research degrees) rated as Tier D within the Collaborative Partnerships Code of Practice  Non- Procurement Contracts	Approve amendments, termination or renewals of Collaboration Agreements	School Executive Group	Director of Legal.	Deans of Schools
12.14	Legal	Contracts (General). Miscellaneous. Non-Procurement	Entering into, amending, terminating or otherwise creating legal obligations.	University Secretary & COO	Director of Legal	University Secretary & COO OR Director of Finance

## Section C: Legal Contracts

Consideration is being given to a separate Procurement and Contracts Framework, however during the implementation of Business Transformation, and the associated changes to operational culture, these items remain in the Schedule as guidance to the interpretation of the of the financial limits in Section B within the context of contracts and procurement. A tiered framework is also under-development by a Working-Group focussed on the approval of international collaborations and partnerships. This section will be kept under regular review and updated once the work of that Group has concluded.

	Category	Sub-Category	Delegated Matter	Delegate	Sub-Delegate/Recommendation	Authorised Person
12.15	Legal Contracts	Contracts (Clinical Trials and Clinical Research Core Facilities)  Non-procurement	<p>Approve contracts relating to:</p> <ul style="list-style-type: none"> <li>the performance of CTIMP clinical trials, regulated device trials, and all clinical research studies administered by TASC;</li> <li>the performance of research and services by core facilities including the Health Informatics Centre (HIC), Tayside Biorepository (TB), the Clinical Research Centre (CRC), the Tayside Clinical Trials Unit (TCTU) and the Clinical Research Imaging Facility (CRIF);</li> <li>the sharing of data and the transfer of materials; and/ or the amendment or cancellation of such contracts, excluding contracts solely relating to University intellectual property or where the University has responsibility for commercial outcomes from work.</li> </ul>	<p>R&amp;D Director, Tayside Medical Sciences Centre (TASC) following consultation with the relevant Governance Manager or Facility Manager;</p> <p>Subject to an approved Project Registration Form; with authority from the Dean/Director of Finance / VP of Research as set out in sections 3 and 7 above or inclusion in regular reports to ensure appropriate oversight and auditing.</p>	<p>Director of Legal OR Dean of the School</p>	R&D Director, Tayside Medical Sciences Centre (TASC).

## Annex 1 Framework

The Framework sets out the responsibilities for the business of the University under the:

- [Charter](#);
- [Statutes](#);
- [Ordinances](#);
- [Statement of Primary Responsibilities](#);
- [Financial Memorandum between the University and the Scottish Funding Council](#); and
- University's [Financial Regulations](#).

### University Court

As the governing body of the University, the [University Court](#) is responsible for:

- approving corporate strategy and associated strategic plans and budgets;
- determining major business decisions and corporate policy;
- the framework of governance and management; and
- monitoring institutional and executive performance.

### University Senate

As the academic authority of the University, the [Senatus Academicus](#) (Senate) is responsible for academic governance, and specifically for regulating, in accordance with the Charter and Statutes:

- the admission of students;
- the curricula and assessment;
- the maintenance and enhancement of academic standards;
- approve the conferment of degrees and qualifications including honorary degrees;
- the award of other qualifications;
- academic policies and those relating to the business of the Senate which aren't otherwise reserved to the Court; and
- Research activities.

### Principal & Vice-Chancellor

As the chief academic and administrative officer of the University and accountable under the [Scottish Funding Council Financial Memorandum with HE Institutions](#), the Principal & Vice-Chancellor is responsible to the University Court for the executive and operational management of all aspects of the University's work.

## Annex 2 Definitions and Interpretations

The following terms used in the Schedule have the following means unless otherwise provided:

<b>Definition</b>	<b>Meaning</b>
Approved Contracts	Template contracts of procurement approved by the Director of Legal and Head of Procurement
Authorised Person	The person who is authorised to implement the approved action, for example acting as a signatory on documentation.
Category	The category of business delegated by University Court
Delegate	The relevant committee or person authorised by the University Court to exercise decision making power and action in relation to the Delegated Matter
Delegated Matter	The matter upon which the delegate is authorised to exercise decision making power or action under the Schedule
Framework Agreement	Standard term contracts pre-agreed with suppliers by Procurement
Non-Capital	
Non-Research	
Non-Procurement	
Recommendation	A recommendation is required to be obtained by the Delegate prior to the Authorised Person implementing the action.
Sub-Category	The sub-category of the Category

### Explanatory Notes

If there are multiple Authorised Persons noted in relation to a Delegated Matter then the relevant Authorised Person's authority to act shall be deemed to be on a cascading "whom failing" basis. In other words the Authorised Person shall be the first named person who if not available the next Authorised Person may be asked to step in.

## Annex 3 Nine Principles of Public Life in Scotland

### **DUTY**

Holders of public office have a duty to act in the interests of the public body of which they are a Board member and to act in accordance with the core tasks of the body.

### **SELFLESSNESS**

Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

### **INTEGRITY**

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

### **OBJECTIVITY**

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

### **ACCOUNTABILITY AND STEWARDSHIP**

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

### **OPENNESS**

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **HONESTY**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### **LEADERSHIP**

Holders of public office should promote and support these principles by leadership and example.

### **RESPECT**

Holders of public office must respect fellow members of their public body and employees of the body and the role they play, treating them with courtesy at all times.

## 2. Document Information

### 2.1. Approvals & Renewals

<b>Document Name</b>	Schedule of Delegation
<b>Status</b>	Draft v1.1
<b>Responsible officer/department/school</b>	Governance & Nominations
<b>Policy owner</b>	
<b>Date last approved</b>	17 November 2020
<b>Due for review</b>	2 September 2021
<b>Authorised and approved for publication</b>	Yes
<b>Date authorised for publication</b>	
<b>Information classification: public/internal</b>	Public
<b>Location in repository</b>	Court
<b>Approval route and history</b>	
<b>Code</b>	