

	TASK	FINAL AUTHORITY/ APPROVAL	SCRUTINY/ RECOMMENDATION	SLT LEAD OFFICER	CONTEXT, PROCESS AND DELIVERY	£ LIMITS
1.	GOVERNANCE, MANAGEMENT AND CONTROL					
1.1	Amendments to Charter	Privy Council	Council	University Secretary	Council to approve any amendments by Special Resolution as set out in the Charter, prior to Privy Council approval.	
1.2	New, amended or revoked Statutes.	Privy Council	Council	University Secretary	Council to approve any new, amended or revoked Statutes by Special Resolution as set out in the Charter, prior to Privy Council approval.	
1.3	New, amended or revoked Ordinances	Council	Council	University Secretary	Council to approve all new and amended Ordinances, and to consider the revocation of any Ordinances. Senate to be consulted where the amendments involve any academic matter for which it has responsibility.	
1.4	New, amended or revoked Regulations, including those relating to taught or research programmes	Senate	Senate	PVC Academic Quality and Student Experience	Senate to approve the creation, amendment or revocation of any Regulations in relation to the academic functions of the University. Where there is not agreement between Senate and the Vice-Chancellor in relation to new, amended or revoked Regulations, the related proposals to be referred to Council by the University Secretary. In such cases, Council should adopt a position and refer this back to Senate to inform further consideration of this matter. The Secretary to Senate to update the Regulations documentation in line with Senate decisions.	
1.5	Rights/privileges for registered, occasional and associate students.	Senate	Senate	PVC Academic Quality and Student Experience	PVC Academic Quality and Student Experience, in consultation with the Academic Standards and Quality Enhancement Committee (ASQEC), to make a recommendation to Senate in respect of any proposed changes to the rights/privileges accorded to registered, occasional and associate students.	

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1.6	Compliance with the Charities Act NI 2008	Council	Audit and Risk Committee	University Secretary	<p>Audit and Risk Committee to scrutinise the arrangements in place within the University to ensure that both Council and its members comply fully, both individually and collectively, with the requirements of the Charities Act (Northern Ireland) 2008 and subsequent legislation (to include those relating to Safeguarding).</p> <p>Audit and Risk Committee to scrutinise the annual submission to the Charity Commission, prior to recommending this to Council for approval.</p> <p>As part of the annual submission to the Charity Commission, Audit and Risk Committee to consider and approve the University's Annual Report on Safeguarding.</p>	
1.7a	Delegated Authority Framework – Approval	Council / Vice-Chancellor	Chair of Council / Vice-Chancellor	Vice-Chancellor / University Secretary	<p>Delegated Authority Framework to be reviewed at least every two years.</p> <p>Chair of Council to approve the Delegated Authority Framework on behalf of Council, following consultation with Council.</p> <p>Vice-Chancellor to approve the Delegated Authority Framework on behalf of the Executive, following consultation with the University Executive.</p>	
1.7b	Delegated Authority Framework – Interpretation	Vice-Chancellor	Vice-Chancellor / University Secretary	Vice-Chancellor / University Secretary	<p>The University Secretary to be responsible for the interpretation of the Delegated Authority Framework.</p> <p>In instances of dispute, queries to be escalated, by the University Secretary to the Vice-Chancellor, who will consult on interpretation with the Chair of Council where appropriate.</p>	
1.7c	Delegated Authority Framework – Amendments between review periods.	Chair of Council/Vice-Chancellor	University Secretary	University Secretary	<p>Amendments to the Framework – to ensure its smooth implementation – to be agreed by both the Chair of Council and the Vice-Chancellor where required between review periods. Council to be advised of changes at the next available opportunity.</p>	
1.8	Control and Accountability	Vice-Chancellor	Vice-Chancellor	Vice-Chancellor	<p>The Vice-Chancellor, as Accountable Officer, to have overall responsibility for control and accountability.</p> <p>In the event of a prolonged absence or sudden departure, Council to identify an Interim Accountable Officer and to ensure that its sponsoring Department is notified accordingly.</p>	

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1.9	Approval of Financial Memorandum with sponsoring Department and oversight of associated compliance.	Council	Resources Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Council, on the recommendation of the Resources Committee, to consider and approve any new/revised Financial Memorandum, or equivalent document, put in place to govern the relationship between the University and its sponsoring Department.</p> <p>The Vice-Chancellor, as Accountable Officer, to have overall responsibility for compliance with the terms of the Financial Memorandum between the University and its sponsoring Department.</p> <p>Chief Strategy and Finance Officer and University Secretary to put systems in place to facilitate compliance with the terms of the Financial Memorandum on a day-to-day basis.</p> <p>The Audit and Risk Committee to receive assurances in respect of compliance and to include these in the Committee's Annual Report to Council.</p>	
1.10	Exceptional Circumstances	Vice-Chancellor	Vice-Chancellor, in consultation with the Chair of Council where timescales permit.	Vice-Chancellor, in consultation with the Chair of Council where timescales permit.	<p>The Vice-Chancellor to have general accountability to the Council for maintaining and promoting the efficiency and good order of the University.</p> <p>Where the Vice-Chancellor considers there to be occasions of necessity, they may, in consultation with the Chair of Council where timescales permit, take such exceptional steps as they may deem expedient for safeguarding the interests of the University, provided that in all such cases, a report shall be made to the Council at its next meeting.</p>	
1.11	Execution of the responsibilities of the Council/Council Committees through Chair's Actions.	Chair of Council	Chair of Council/Vice-Chancellor/relevant Committee Chair	University Secretary	<p>The Chair of Council to consider and approve, following consultation with the Vice-Chancellor, any matters of importance requiring urgent decisions, which would normally be referred to the Council.</p> <p>The Chair of Council to consider and approve, following consultation with the Vice-Chancellor and the relevant Committee Chair, any matters of importance requiring urgent decisions, which would normally be referred to that particular Council Committee. Such decisions to be reported to Council/the relevant Committee at the next available opportunity.</p>	

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1.12	Executive authority – outside the line management structure – to suspend/close an activity/facility (e.g. a laboratory) on health and safety grounds.	Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer	Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer	Chief People Officer	The Vice-Chancellor, Deputy Vice-Chancellor or Chief People Officer (or nominees as appropriate) to suspend/close any activity/facility (e.g. a laboratory) on health and safety grounds. Executive Deans to act with autonomy, where required in the absence of stated officers. Action to be taken in consultation with the Head of Health, Safety and Wellbeing, where timescales permit.	
1.13	Institution or discontinuation of Faculties and other academic sections of the University	Council	Senate	Deputy Vice-Chancellor	Council to approve the institution or discontinuation of Faculties and other academic sections of the University, based on a recommendation from Senate. Deputy Vice-Chancellor to develop relevant proposals, in consultation with Faculty Boards.	
1.14	Approval of Annual Accountability Returns, including Financial Statements and Financial Forecasts	Council	Resources Committee	Chief Strategy and Finance Officer	Resources Committee to consider and make a formal recommendation to Council, seeking its approval for the following: <ul style="list-style-type: none"> Financial Statements Annual Financial Return Commentary At the Chairs' discretion, the signing of the Financial Statements to be supported by a joint meeting between the Chairs of the Resources and Audit and Risk Committees and the External Auditors. Reference to any such meeting to be included in the minutes of the next scheduled meeting of each Committee. Resources Committee to consider and approve: <ul style="list-style-type: none"> Financial Forecasts. The process used to ensure compliance with TRAC requirements. 	

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		Council	Audit and Risk Committee	Chief Strategy and Finance Officer	<p>Audit and Risk Committee to consider and endorse the following:</p> <ul style="list-style-type: none"> Financial Statements <p>Audit and Risk Committee to approve the following:</p> <ul style="list-style-type: none"> Internal Audit Annual Report External Audit Management Letter/Management Response Value For Money Report <p>Audit and Risk Committee to consider and make a formal recommendation to Council, seeking its approval for the following:</p> <ul style="list-style-type: none"> Annual Efficiency Return Annual Report of the Audit Committee 	
		Council	Audit and Risk Committee	PVC Academic Quality and Student Experience	<p>Audit and Risk Committee to consider and make a formal recommendation to Council, seeking its approval for the Annual Assurance Report on Academic Quality.</p> <p>This report will be considered and endorsed by Senate, prior to consideration by the Audit and Risk Committee.</p>	
		Vice-Chancellor	Vice-Chancellor	Chief Strategy and Finance Officer	<p>Vice-Chancellor to consider and approve the following:</p> <ul style="list-style-type: none"> Annual Assurance Return Annual Financial Return Workbook HESA Financial Statistics Return <p>The Vice-Chancellor, as the Accountable Officer, to also approve all Annual and Mid-Year Assurance Returns, providing assurances to the sponsoring Department in respect of the University's financial and governance arrangements. Such returns to be shared with the Audit and Risk Committee for information.</p>	
1.15	Conflicts of Interests	Audit and Risk Committee	Audit and Risk Committee	University Secretary	<p>Audit and Risk Committee to approve the University's Conflicts of Interest Policy and related arrangements, together with an annual report regarding the policy's implementation and associated levels of compliance. The University Secretary to maintain a register of interests for Council/co-opted Committee members and members of the Senior Leadership Team.</p>	

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		Chairs of Committees	University Secretary	Council/ Committee Members	Members of Council/Committees to disclose potential/real conflicts to the Chair/wider membership at the start of each meeting.	
		Chair of Council (Council /Committee Members)	University Secretary	Council/ Committee Members	Members of Council/Committees to disclose potential/real conflicts to the Chair of Council, through the University Secretary, on appointment and as these arise. Chair of Council, in discussion with the University Secretary, to determine whether conflict can be appropriately managed/mitigated.	
		Vice-Chancellor (members of staff)	University Secretary	Senior Leadership Team Members	University Secretary to ensure Senior Leadership Team members oversee the implementation of the policy within their own areas of responsibility. Substantive queries regarding the management of conflicts to be escalated by the University Secretary, for final determination, to the Vice-Chancellor (members of staff).	
1.16	Raising Concerns – (Whistleblowing) Policy - Approval and Implementation	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Audit and Risk Committee to consider and approve the Raising Concerns (Whistleblowing) Policy and to receive an annual update on its implementation.</p> <p>The Chair of the Audit and Risk Committee to be informed of any Whistleblowing disclosures received, with (anonymised) updates on progress in their investigation/lessons learned to be brought to the next meeting of the Committee for noting.</p> <p>Where the Chair of the Audit and Risk Committee or Vice-Chancellor considers it appropriate, the disclosure to be notified to the Chair of Council/full Council.</p> <p>University Secretary to oversee the investigation of disclosures. University Secretary to provide a report on any disclosure to the Chief Strategy and Finance Officer to facilitate reporting of disclosures to DfE where required under the terms of the Financial Memorandum.</p>	

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1.17	Fraud and Theft Response Plan - Approval and Implementation	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer	<p>Audit and Risk Committee to consider and approve the Fraud and Theft Response Plan and to receive an annual update on its implementation.</p> <p>The Chair of the Audit and Risk Committee to be informed of any Frauds/Thefts, with (anonymised) updates on progress in their investigation/lessons learned to be brought to the next meeting of the Committee for noting.</p> <p>Where the Chair of the Audit and Risk Committee or Vice-Chancellor considers it appropriate, the fraud or theft to be notified to the Chair of Council/full Council.</p> <p>Chief Strategy and Finance Officer to oversee the investigation of allegations and to report all cases to DfE where required under the terms of the Financial Memorandum.</p>	
1.18	Audit and Risk Policies	Audit and Risk Committee	Audit and Risk Committee	Chief Strategy and Finance Officer/ University Secretary	<p>Audit and Risk Committee to consider and approve the following and to receive an annual update on their implementation and on any material actions taken under these policies:</p> <ul style="list-style-type: none"> • Anti-Bribery Policy • Policy on the Acceptance of Gifts and Hospitality 	
1.19	Gifts, donations and endowments received in the name of the University	Director of Development and Alumni Relations	Director of Development and Alumni Relations	University Provost	<p>Director of Development and Alumni Relations to review gifts, donations and endowments (and refunds of gifts, donations and endowments) received in the name of the University up to £10k.</p> <p>The University Provost to review those received in the name of the University between £10k and £100k.</p>	
		Vice-Chancellor	University Provost	University Provost	Vice-Chancellor to review gifts (and refunds of gifts, donations and endowments) received in the name of the University above £100k, informed by a comprehensive due diligence report.	
		Audit and Risk Committee	Audit and Risk Committee	University Provost	Audit and Risk Committee to receive assurances, through reporting and Internal Audit reviews, on the robustness of the University's arrangements for philanthropy and fundraising, to include a summary of the level and range of gifts, donations and endowments received.	

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1.20	Independent professional or legal advice for the Audit and Risk Committee	Audit and Risk Committee	Audit and Risk Committee	University Secretary	Audit and Risk Committee to be entitled to obtain legal/professional advice as necessary. Where costs are expected to exceed £25k, approval to be sought from the Resources Committee.	<£25k
1.21	Custody and use of the Seal	Vice-Chancellor	Chief Strategy and Finance Officer / University Secretary	Chief Strategy and Finance Officer	Chief Strategy and Finance Officer to oversee the use of the Seal in accordance with the approved Financial Regulations. University Secretary to report annually on the use of the Seal to the Vice-Chancellor.	
1.22	Establishment and naming of University Committees	Council	Chair of Council/Vice-Chancellor	University Secretary	Council to approve the establishment, name, composition and duration of all new University Committees.	
1.23	Appointment of Chairs to University Committees	Council	Chair of Council/Vice-Chancellor	University Secretary	<p>University Committees to be chaired as follows:</p> <ul style="list-style-type: none"> • Council – First Pro-Chancellor • Audit and Risk Committee – Second Pro-Chancellor • Resources Committee – Honorary Treasurer <p>People Committee to consider and recommend to Council any proposed deviation from this practice, together with the Chair positions on any other Council committees.</p>	
1.24	Approval of Council and Committee Terms of Reference	Council	Relevant Committee	University Secretary	<p>Council to review its Terms of Reference annually and to approve any required amendments arising from such a review.</p> <p>Each Committee to review annually, and recommend to Council any required amendments to, its Terms of Reference.</p>	
1.25	Council Effectiveness Review	Council	Chair of Council	Chief People Officer/ University Secretary	Council to undertake, with some degree of independent input, a review of its own effectiveness at least every three years and oversee the implementation of actions arising from this review as appropriate.	