



University of  
St Andrews

## Scheme of delegation

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## **1. Introduction and Scope**

- 1.1 This document supports the proper implementation of the University's Financial Regulations (FRs) as approved by the University Court. It summarises the level of delegation authorised by the FRs.
- 1.2 Any changes to this document, in so far as they apply to the powers of Court or its standing committees must be agreed by the University Court on recommendation of the Audit & Risk Committee.

## 2. Definitions and Interpretations

a. It is agreed as follows:-

Approval Group	A group initiated by the Budget Holder, wherein budget delegation extends to a maximum of two direct subordinates beneath them, aligning with HR reporting and hierarchical management structures.
Approval Hierarchy	The Approval hierarchy is the approval process used for an individual Approval Group. (See Financial Regulations Section 9.1.2)
BTB	Business Transformation Board
BTPO	Business Transformation Portfolio Office
Budget Holder	Head of School or Unit
CFO	Chief Financial Officer
CLO	Chief Legal Officer
Cost Centre Manager	The Cost Centre Manager is first level approver for each cost centre, higher value approvals follow the Approval Hierarchy
Court	The senior University governing body
DDoF	Deputy Director of Finance
DoE	Director of Estates
DoP	Director of Procurement
DTG SFA	Doctoral Training Grant Senior Financial Accountant
DTM	Development Team Member – Estates Project Lead, managing the day to day capital projects
FAS	Financial Support and Advice
FR	Financial Regulations
HR	Human Resources
ITAG	Investment & Treasury Assurance Group
PARC	Planning & Resource Committee
PO	Principles Office
Q&F	Quaestor & Factor
RBD	Research Business Development
RBS	Residential & Business Services
RIS	Research & Innovation Services
SAMC	Space & Asset Management Committee
SI	St Andrews Innovation Ltd
SFA	Senior Financial Accountant in FAS
SMA	Senior Management Accountant in FAS
Spend Controller	As defined at project set up
SPO	Senior Procurement Officer
T&T	Tax & Treasury
TTC	Technology Transfer Centre

### 3. Scheme of Delegation

Ref	Area of Delegation	Authority Delegated to	FR Ref
1.	<p><b>Budgets</b></p> <p><i>The University regards each Head of School / Director of Unit as the designated budget holder for their respective School or Unit. The budget holder may delegate authority to utilise resources within their budget, but they may not delegate their overall responsibility for budget management. Further guidance is found in the <a href="#">Budget Monitoring Financial Operating Procedure (FOP)</a>.</i></p>		6.0
1.1	Budgets		
a)	Approval of Annual Budget	University Court	6.1
b)	Request for additional revenue budget (p.a.)		9.2
	i) Up to £20,000	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• CFO</li> <li>• DDoF</li> </ul>	
	ii) Over £20,000 to £0.5million	Any one of the following <ul style="list-style-type: none"> <li>• The Principal</li> <li>• Deputy Principal</li> <li>• Q&amp;F</li> <li>• CFO</li> </ul>	
	iii) Over £0.5million to £1.0million	One approver from each section A & B  Section A <ul style="list-style-type: none"> <li>• The Principal</li> <li>• Deputy Principal</li> </ul> Section B <ul style="list-style-type: none"> <li>• Q&amp;F</li> <li>• CFO</li> </ul>	
	iv) Over £1.0million to £5.0million	PARC	
	v) Over £5.0million	Court	
2.	<p><b>Treasury &amp; Investment</b></p> <p><i>Treasury management policies and procedures are required to ensure that cash resources are managed securely and efficiently. Further guidance can be found in the <a href="#">Treasury Management FOP</a> and the <a href="#">Cash Handling FOP</a>.</i></p>		7
2.1	Bank Accounts		7.3
a)	Appoint main retail bankers (excludes longer-term deposit accounts)	CFO	

Ref	Area of Delegation	Authority Delegated to	FR Ref
b)	Open new bank account (including deposit accounts)	Any two signatories from the following <ul style="list-style-type: none"> <li>• CFO</li> <li>• DDoF</li> <li>• T&amp;T Manager</li> </ul>	
c)	Amend bank mandate	Principal and Deputy Principal	
d)	Set-up direct debits or standing orders	Any one of the following <ul style="list-style-type: none"> <li>• CFO</li> <li>• DDoF</li> <li>• T&amp;T Manager</li> </ul>	
e)	Add or remove authorised signatories to bank accounts	Any two signatories from the following <ul style="list-style-type: none"> <li>• CFO</li> <li>• DDoF</li> <li>• T&amp;T Manager</li> </ul>	
2.2	<b>Borrowing Arrangements</b>  To enter into new borrowing arrangements of:		7.4
a)	Up to £0.5million	Any one of the following <ul style="list-style-type: none"> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
b)	Over £0.5million and up to £5.0million (with an expected repayment of 3 months or less)	The Principal or Deputy Principal in agreement with either the Q&F or CFO	
c)	Over £0.5million and up to £5.0million (with an expected repayment of over 3 months but not exceeding 12 months)	PARC	
d)	Borrowings with an expected repayment schedule of over 12 months or any borrowings over £5.0million	Court	
e)	To manage existing borrowing arrangements. (Draw down on RCF, sign compliance certificates, authorise capital repayments etc.)	Deputy Director of Finance or T&T Manager in agreement with either Q&F or CFO	
f)	To amend terms and covenants within existing borrowings of a) to d)	Any one of the following <ul style="list-style-type: none"> <li>• Q&amp;F,</li> <li>• CFO</li> </ul>	
2.3	<b>Gaurantees</b>  As part of entering into new borrowing arrangements, under Ordinance 119, the University can grant securities and to give such other security, including the granting of guarantees, as the University Court shall think fit:		
a)	Up to £500,000	Any one of the following <ul style="list-style-type: none"> <li>• Q&amp;F,</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		<ul style="list-style-type: none"> <li>CFO</li> </ul>	
b)	Over £500,000	<ul style="list-style-type: none"> <li>Q&amp;F</li> </ul>	
2.4	<p><b>Payments</b></p> <p>All payroll-related payments will be pre-authorised by Payroll &amp; Pensions Manager or nominated deputy</p>		9.7
a)	Cheque payments		
	(i) Up to £20,000	One authorised signatory per bank mandate	
	(ii) Over £20,000	Two authorised signatories per bank mandate	
b)	BACS payments (made from the main retail bank)	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>DDoF,</li> <li>T&amp;T Manager,</li> <li>Head of Financial Reporting,</li> <li>Senior T&amp;T Accountant,</li> <li>SFA</li> </ul>	
c)	Online and electronic payments made from Bankline		
	(i) Up to £50,000	One authorised signatory per bank mandate	
	(ii) Over £50,000	Two authorised signatories per bank mandate	
d)	Online and electronic payments made from payment service providers (e.g. Fexco)	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>DDoF,</li> <li>T&amp;T Manager,</li> <li>Head of Financial Reporting,</li> <li>Senior T&amp;T accountant</li> </ul>	
e)	Payments from foreign bank accounts	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>DDoF,</li> <li>T&amp;T Manager,</li> <li>Head of Financial Reporting,</li> <li>Senior T&amp;T accountant</li> </ul>	
f)	Payroll BACS	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>Payroll &amp; Pensions manager,</li> <li>Deputy Payroll Manager</li> </ul>	
2.5	<b>Payment Service Providers</b>		7.3
a)	Setting up payment service providers (such as foreign currency trading or other payment facilitation services such as Paypal)	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>CFO,</li> <li>DDoF,</li> <li>T&amp;T Manager</li> </ul>	



Ref	Area of Delegation	Authority Delegated to	FR Ref
2.6	<p><a href="#">Investments in associated companies</a></p> <p><i>Any changes in the University group structure must be notified to the Audit &amp; Risk committee. Investments or other financing of associated University companies may be authorised as follows:</i></p>		13.1
a)	Up to £0.5million	Any one of the following: <ul style="list-style-type: none"> <li>• CFO,</li> <li>• Q&amp;F</li> </ul>	
b)	Over £0.5million and up to £1.0million	CFO and Q&F	
c)	Over £1.0million and up to £5.0million	PARC	
d)	Over £5.0million	Court	
2.7	<p><a href="#">Endowment investments</a></p> <p><i>The University's endowment funds are overseen by the Investment &amp; Treasury Assurance group.</i></p>		12
a)	Authorisation to deal shares on behalf of the University through our nominated broker	Any one of the following <ul style="list-style-type: none"> <li>• CFO,</li> <li>• DDoF,</li> <li>• T&amp;T Manager,</li> <li>• Director of Development,</li> <li>• Head of Development Operations</li> </ul>	
b)	Investments into and withdrawals from the University's endowment funds.	Any one of the following <ul style="list-style-type: none"> <li>• Q&amp;F,</li> <li>• CFO,</li> <li>• DDoF</li> </ul> (ITAG must be notified)	
3.	<p><a href="#">Land &amp; Property</a></p> <p>All L&amp;P transactions must be approved in line with the relevant procurement and <a href="#">capital projects policy</a> and be reviewed by the Space &amp; Asset Management Committee (chaired by the Deputy Principal).</p> <p>Following approval, any of the named individuals can sign relevant legal documents</p>		11
3.1	<a href="#">Acquiring &amp; disposing of land and buildings</a>		11.1
a)	With a value of up to £250,000	Any two of the following: <ul style="list-style-type: none"> <li>• DoE,</li> <li>• CLO,</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		<ul style="list-style-type: none"> <li>• CFO,</li> <li>• Q&amp;F</li> </ul>	
b)	Over £250,000 and up to £1.0million	Any three of the following: <ul style="list-style-type: none"> <li>• DoE,</li> <li>• CLO,</li> <li>• CFO,</li> <li>• Q&amp;F</li> </ul>	
c)	Over £1.0million and up to £5.0million	PARC	
d)	Over £5.0million	University Court	
3.2	<p>Entering into or exiting from leases for land &amp; buildings (amounts represent total exposure i.e. annual cost * lease term for entering a lease and annual cost * remaining lease term plus exit penalty when exiting a lease.)</p> <p>Following approval, any of the named individuals can sign relevant legal documents</p>		11.2
a)	Up to £100,000	Any one of the following <ul style="list-style-type: none"> <li>• DoE</li> <li>• Strategic Asset Manager</li> </ul>	
b)	Over £100,000 but not exceeding £1.0million	Any two of the following individuals required for approval <ul style="list-style-type: none"> <li>• DoE,</li> <li>• CLO</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
c)	Over £1.0million but not exceeding £5.0million	PARC	
d)	Over £5.0million	University Court	
3.3	<p>Renting or leasing University Space</p> <p>The Director of Estates must approve the rental of University space. Lease agreements should be drafted by the University's Chief Legal Officer or Deputy Legal Officer (in consultation with Estates) and should be signed in line with the following limits where the amounts represent the total value of the lease (annual cost x lease term)</p> <p>Following approval, any of the named individuals can sign relevant legal documents</p>		11.2

Ref	Area of Delegation	Authority Delegated to	FR Ref
a)	Up to £100,000	Any two of the following individuals required for approval <ul style="list-style-type: none"> <li>• DoE,</li> <li>• CLO</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
b)	Over £100,000 but not exceeding £1.0million	Any three of the following individuals required for approval <ul style="list-style-type: none"> <li>• DoE,</li> <li>• CLO</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
c)	Over £1.0million but not exceeding £5.0million	PARC	
d)	Over £5.0million	University Court	
4.	<p><b>Income</b></p> <p><i>Standard terms and conditions apply to the provision and sale of University services other than in the instances noted below where individual terms may be negotiated. The following are authorised to contract for and on behalf of the University of St Andrews within the specified capacity. No other members of staff are authorised to enter into bespoke contracts on behalf of the University for the sale of University goods or services</i></p>		8
4.1	Write off of or adjustments to outstanding debt		8.8.2
a)	Write off or adjustments to commercial customer balances (gross)		
	(i) Up to £5,000	Any one of the following <ul style="list-style-type: none"> <li>• T&amp;T Assistant,</li> <li>• T&amp;T Accountant,</li> <li>• T&amp;T Manager</li> <li>• Credit controller</li> </ul>	
	(ii) Over £5,000 but not exceeding £30,000	Any one of the following <ul style="list-style-type: none"> <li>• Credit controller</li> <li>• Operations Manager</li> <li>• T&amp;T Manager</li> <li>• DDoF</li> </ul>	
	(iii) Over £30,000	CFO	
b)	Write off or adjustments to commercial research customer balances (gross)		

Ref	Area of Delegation	Authority Delegated to	FR Ref
	(i) Up to £30,000 (subject to agreement at the Debt Recovery Group)	DDoF  Authorised in Oracle on behalf of DDoF <ul style="list-style-type: none"> <li>FAS SMA</li> </ul>	
	(ii) Over £30,000	CFO  Authorised in Oracle on behalf of CFO <ul style="list-style-type: none"> <li>FAS SMA</li> </ul>	
c)	Return of funding to research funder (gross)		
	Up to £10,000	FAS SMA	
	Over £10,000 but not exceeding £30,000	Head of FAS	
	Over £30,000	Any one of the following <ul style="list-style-type: none"> <li>DDoF</li> <li>CFO</li> </ul> Authorised in Oracle on behalf of DDoF or CFO <ul style="list-style-type: none"> <li>FAS SMA</li> </ul>	
d)	Write off or adjustments to student debt (gross)		
	(i) Up to £5,000	Finance Operations Manager	
	(ii) Over £5,000 but not exceeding £30,000	Any one of the following <ul style="list-style-type: none"> <li>DDoF</li> <li>CFO</li> </ul>	
	(iii) Over £30,000	CFO	
4.2	IP and Technology transfer agreements		8.6
a)	Registration and all subsequent dealings with patents, design rights, trademarks and other intellectual property rights including recordal of agreements relating to such rights	Any one of the following <ul style="list-style-type: none"> <li>Vice-Principal (Research, Collections &amp; Innovation – RC&amp;I),</li> <li>Director of RIS,</li> <li>Head of Commercialisation,</li> <li>Head of TTC</li> <li>Q&amp;F</li> <li>CLO</li> </ul>	
b)	Dealings with copyright, know-how and all other unregistered intellectual property rights (including in relation to software and teaching materials), recordal of agreements relating to.	Any one of the following <ul style="list-style-type: none"> <li>Vice-Principal (RC&amp;I),</li> <li>Executive Director of Research Support,</li> <li>Head of Commercialisation</li> <li>Head of TTC</li> <li>Q&amp;F</li> <li>CLO</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
c)	IP and Technology transfer related agreements up to £500,000 (estimated value over 10 years at time of execution)	Any one of the following <ul style="list-style-type: none"> <li>• Vice-Principal (RC&amp;I),</li> <li>• Executive Director of Research Support,</li> <li>• Head of TTC</li> <li>• Head of RBD</li> <li>• CLO</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
d)	IP and Technology Transfer Agreements over £500,000 (estimated value over 10 years at time of execution)	Any two of the following <ul style="list-style-type: none"> <li>• Vice-Principal (RC&amp;I),</li> <li>• Head of TTC</li> <li>• Q&amp;F</li> <li>• CFO</li> <li>• CLO</li> </ul>	
e)	IP and Technology Confidentiality Agreements	Any one of the following <ul style="list-style-type: none"> <li>• Vice-Principal (RC&amp;I)</li> <li>• Executive Director of Research Support</li> <li>• Head of Commercialisation,</li> <li>• Head of TTC</li> <li>• Head of RBD</li> <li>• CLO</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
f)	Heads of Terms	Any one of the following <ul style="list-style-type: none"> <li>• Vice-Principal (RC&amp;I),</li> <li>• Executive Director of Research Support,</li> <li>• Head of Commercialisation,</li> <li>• Head of TTC,</li> <li>• Head of RBD,</li> <li>• CLO,</li> <li>• CFO</li> <li>• Q&amp;F</li> </ul>	
g)	Agreements related to University spin-out companies including Company formation documents, Shareholder Agreements and other documents establishing investment and equity distributions in such companies.  Applicable to minority shareholdings and those with significant control.	<ul style="list-style-type: none"> <li>• Approval by any one of the following, along with oversight by Business Ventures Group</li> <li>• Q&amp;F</li> <li>• CFO</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
	Where investment is through St Andrews Innovation Ltd (SI), then must comply with SI governance processes  All transactions must first comply with the conflict of interest policy.		
4.3	<b>Research grant applications and awards</b>  <i>Where non-standard legal declarations are required, these should be reviewed and authorised by the Chief Legal Officer</i>		8.4
a)	Requests for matched funding from central university funds	Vice-Principal (RC & I) in agreement with CFO <i>prior</i> to application submission	
b)	Non-EU Research Grants (standard T's & C's)		
	(i) US Government (subject to funder requirements)	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• CFO</li> <li>• DDoF</li> <li>• SMA</li> </ul>	
	(ii) Online submissions (main funders)	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• SMA</li> <li>• FAS SFA</li> </ul>	
	(iii) Manual submissions (subject to funder requirements)	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• CFO</li> <li>• DDoF</li> <li>• SMA</li> <li>• FAS SFA</li> </ul>	
c)	EU Research Grants		
	(i) Financial Reports	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS or delegated SMA,</li> <li>• CFO</li> <li>• DDoF</li> </ul>	
	(ii) Applications (must be costed by FAS)	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS or delegated SMA,</li> <li>• EU Coordinator</li> <li>• EU Senior Finance Assistant</li> </ul>	
	(iii) European contracts	Any one of the following <ul style="list-style-type: none"> <li>• Head of RBD</li> <li>• Appropriate nominated deputy (Designated by Head of RBD),</li> <li>•</li> </ul>	
d)	Other grant applications		

Ref	Area of Delegation	Authority Delegated to	FR Ref
	(i) Approved grant funders (standard University approved T's & C's)	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• SMA,</li> <li>• CFO</li> <li>• DDoF</li> </ul>	
	(ii) Approved grant funders (non-standard University approved T's & C's)	One from each of the following groups <b>Group A</b> <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• SMA</li> <li>• DDoF</li> <li>• CFO</li> </ul> <b>Group B</b> <ul style="list-style-type: none"> <li>• Contracts Manager (or appropriate nominated deputy)</li> <li>• CLO (or appropriate nominated deputy)</li> </ul>	
	(iii) From new funders	One from each of the following groups <b>Group A</b> <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• SMA</li> <li>• DDoF</li> <li>• CFO</li> </ul> <b>Group B</b> <ul style="list-style-type: none"> <li>• Contracts Manager (or appropriate nominated deputy)</li> <li>• CLO (or appropriate nominated deputy)</li> </ul>	
e)	Grant Claims and Final expenditure statements  Note: Head of FAS, Deputy Director of Finance or Chief Financial Officer must authorise any return of monies to funder	Any one of the following <ul style="list-style-type: none"> <li>• FAS SFA</li> <li>• SMA,</li> <li>• Head of FAS,</li> <li>• DDoF</li> <li>• CFO</li> </ul>	
f)	Distribution of income to collaborative research partners		
	(i) Up to £25,000	Budget holder	
	(ii) Over £25,000 but not exceeding £250,000	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS</li> <li>• Delegated SMA (By Head of FAS),</li> <li>• DDoF</li> <li>• CFO</li> </ul>	
	(iii) Over £250,000	Any one of the following <ul style="list-style-type: none"> <li>• Head of FAS,</li> <li>• DDoF</li> <li>• CFO</li> </ul>	
g)	Other non-financial and non-standard research related paperwork such as quotations and government tender responses	Any one of the following <ul style="list-style-type: none"> <li>• Head of RBD,</li> <li>• Appropriate nominated deputy</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		(Designated by Head of RBD),	
h)	Approval of the approach and methodology for Transparent Approach to Costing (TRAC)  <i>(TRAC &amp; fEC Steering Group are responsible for the annual review of the TRAC return and Research Rates with the Principal responsible for final sign off)</i>	PARC	
4.4	<b>Research &amp; Consultancy Contracts</b>  <i>Note that "Private" consultancy contracts will not be signed by the University. University branding or letterheads should not be used in any correspondence with private consultancy clients.</i>  See <a href="#">Consultancy Policy</a> .		8.5
a)	Research and Innovation related contracts including, but not limited to, Material Transfer Agreements, Industrial Studentships, Confidentiality Agreements, Collaboration & Consortium Agreements, Research Services Agreements, and Outgoing University Consultancy Agreements. <i>(in consultation with Finance)</i>	Any one of the following <ul style="list-style-type: none"> <li>• Head of RBD,</li> <li>• Appropriate nominated deputy (Designated by Head of RBD),</li> </ul>	
b)	Clinical Trials		
	(i) Agreements	Any one of the following <ul style="list-style-type: none"> <li>• Head of RBD,</li> <li>• Appropriate nominated deputy (Designated by Head of RBD),</li> </ul>	
	(ii) Ethical Approval	University Teaching and Research Committee (UTREC)	
4.5	<b>Research Related Documents</b>		
a)	Research related tax compliance declarations	Any one of the following <ul style="list-style-type: none"> <li>• T&amp;T Manager</li> <li>• DDoF</li> </ul>	
b)	Research related legal declarations or certifications relating to University staff	CLO or nominated deputy	
c)	NHS Sponsorship declarations	Any one of the following <ul style="list-style-type: none"> <li>• Vice-Principal (RC&amp;I)</li> <li>• Executive Director of Research Support or</li> </ul>	



Ref	Area of Delegation	Authority Delegated to	FR Ref
		<ul style="list-style-type: none"> <li>Head of Research Policy, Integrity and Governance</li> </ul>	
d)	<p>(i) Financial due diligence where required (e.g. GCRF grants)</p> <p>(ii) Non-financial due diligence where required (e.g. GCRF grants)</p>	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>Head of FAS or</li> <li>SMA</li> </ul> <p>(as per agreed due-diligence procedures)</p> <p>Any one of the following</p> <ul style="list-style-type: none"> <li>Executive Director of Research Support Head of Research Policy, Integrity and Governance or nominated deputy</li> </ul>	
4.5	Tuition & accommodation fees		8.2
a)	Tuition Fees (credit bearing )		
	(i) Inflationary, currency-matching, or other market focused changes	PO (notified to PARC)	
b)	<p>Non-credit bearing (e.g. short, digital or summer courses)</p> <p><i>Note that pricing should be in line with the University's pricing policy</i></p>	Head of School / Unit in consultation with Head of Digital Strategic Initiatives, approved by CARSG	
c)	Accommodation fees	PARC	
d)	Student refunds		8.7
	(i) Up to £2,000	Cash Office Supervisor	
	(ii) Over £2,000 but not exceeding £25,000	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>Finance Operations Manager</li> <li>Finance Operations Assistant Manager</li> </ul>	
	(iii) Over £25,000	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>DDoF</li> <li>CFO</li> </ul>	
4.6	University Conference Services		8.1
	Event Contracts with an income value of:		
a)	Up to £50,000	<p>Any one of the following</p> <ul style="list-style-type: none"> <li>Events Managers</li> <li>Sales &amp; Marketing Manager</li> </ul>	
b)	Over £50,000 but not exceeding £150,000	Commercial Services Manager	
c)	Over £150,000 but not exceeding £300,000	Deputy Director of RBS	
d)	Over £300,000 but not exceeding £500,000	Director of RBS	

Ref	Area of Delegation	Authority Delegated to	FR Ref
e)	Over £500,000	Q&F or CFO	
4.7	<b>Gifts and Donations</b>  Accepting gifts of the following values:		12
a)	Up to £5,000	Director of Development	
b)	Over £5,000 but not exceeding £50,000	Director of Development subject to appropriate due diligence and a signed gift agreement	
c)	Over £50,000 but not exceeding £250,000	Director of Development subject to appropriate due diligence, in agreement with the Principal and a signed gift agreement	
d)	Over £250,000	Principal, subject to appropriate due diligence and a signed gift agreement	
4.8	<b>University Collections</b>		12
	<i>University Collections refer to Archives, Rare Books, Museum and Photographic Collections (including artworks), whether acquired by purchase, gift or loan. This includes commissioning or purchase of these types of items using University funds (including grants and donations) and of loans-in or -out of these types of items. . It does not include routine Library acquisitions, such as book purchases which are covered through normal procurement routes (section 5)</i>		
a)	Acquisitions & Disposals:		
	Up to £5,000	Assistant Director, University Collections and Museums	
	Over £5,000 but not exceeding £25,000	University Librarian and Director of Collections and Museums	
	Over £25,000 but not exceeding £100,000	Vice-Principal (RC&I)	
	Over £100,000 but not exceeding £1m	Principal, Vice-Principal (RC&I) and CFO	
	Over £1m	PARC	
b)	Loans in or out		
	Up to £5,000	Assistant Director, University Collections and Museums	
	Over £5,000 but not exceeding £50,000	University Librarian and Director of Collections and Museums	
	Over £50,000 but not exceeding £1m	Vice-Principal (RC&I)	
	Over £1.0m	PARC	

Ref	Area of Delegation	Authority Delegated to	FR Ref
4.9	Provision of other University Services		
	The University's standard terms and conditions will apply to sales of University services. Any bespoke contracts for provision of goods and services outside of our standard terms and conditions should be reviewed by the Chief Legal Officer who has the right to sign off on such contracts following review.	CLO (DLO can be assigned as cover for the CLO)	8.0
5.	<p><b>Purchasing</b></p> <p><i>Procurement procedures as laid out in the <a href="#">Procurement Financial Operating Procedure</a> and the <a href="#">Project Management Operating Procedures</a> must be complied with at all times. Particular attention should be paid to the requirements for best value purchasing and the tendering requirements for purchases in excess of the Public Contracts (Scotland) Regulations thresholds.</i></p> <p>All purchases of goods or services over the Public Contracts (Scotland) Regulations threshold should be signed-off in conjunction with the Chief Legal Officer who must review and approve any contracts over this value.</p> <p><i>Any bespoke contracts for purchasing of goods and services outside of our standard terms and conditions should be reviewed by the Chief Legal Officer who has the right to sign off on such contracts following review.</i></p>		9.4
5.1	Lease Agreements (non-property)		9.4
a)	Leases up to a value of £50,000	DoP	
b)	Leases with an overall value greater than £50,000	Any one of the following <ul style="list-style-type: none"> <li>• CFO</li> <li>• DDoF</li> </ul>	
5.2	Goods & Services (excluding Research, Capital Projects, DTG, Donations, BTPO)		9.0
a)	Up to £5,000	Budget holder or other individual as delegated by the budget holder (as per	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		section 9 of the Financial Regulations)	
b)	Over £5,000 but not exceeding £20,000	Budget holder or other individual as delegated by the budget holder (as per section 9 of the Financial Regulations)	
c)	Over £20,000 but not exceeding £50,000 (at least 3 written quotations must be obtained & ordinarily the lowest price quotation be selected unless otherwise agreed, as stated in the <a href="#">Procurement financial operating procedure</a> )	Two individuals required for approval <ul style="list-style-type: none"> <li>• Budget Holder, and</li> <li>• DoP</li> </ul> DDoF or SPO can be assigned as cover for DoP	
d)	Over £50,000 but not exceeding £1m (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Three individuals required for approval <ul style="list-style-type: none"> <li>• Budget Holder, and</li> <li>• DoP, and</li> <li>• DDoF</li> </ul> CFO can be assigned as cover for either DoP or DDoF	
e)	Over £1m but not exceeding £5m (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	PARC (approval in Oracle follows 5.2 d))	
f)	Over £5m (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	University Court (approval in Oracle follows 5.2 d))	
5.3	<a href="#">Goods &amp; Services (Research)</a>		9.1 9.5
a)	Up to £20,000	Spend Controller or other individual as delegated by the Spend Controller (as per section 9 of the Financial Regulations)	
a)	Over £20,000 but not exceeding £50,000	Two individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller and</li> <li>• DoP</li> </ul> DDoF or Senior Procurement Officer can be assigned as cover for DoP	
b)	Over £50,000 but not exceeding £1m (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Three individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller and</li> <li>• DoP, and</li> <li>• DDoF</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		CFO can be assigned as cover for either DoP or DDoF	
c)	Over £1m (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Three individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller, and</li> <li>• DoP, and</li> <li>• CFO</li> </ul> DDoF can be assigned as cover for either DoP or CFO	
5.4	<p>Goods &amp; Services (Capital Projects)</p> <p><i>An approved Business Case is required for all capital investment projects as per the <a href="#">Capital project operating procedures</a> other than those funded from the annual pre-approved change and enhancement budget in the capital plan (Residencies, Estates, &amp; TSSUPG)</i></p> <p><i>All construction and related services carried out as part of approved capital projects must follow the tendering procedures set out in the Procurement <a href="#">Financial Operating Procedures</a>.</i></p>		9.1 9.2 9.5
	Individual invoices which form part of the tendered services for approved projects may be authorised as follows:		
a)	Up to £100,000 (Over £50,000 must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Spend Controller or other individual as delegated by the Spend Controller (as per section 9 of the Financial Regulations)	
b)	Over £100,000 but not exceeding £250,000 (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Two individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller</li> <li>• DoE (or Assistant DoE as cover only as delegated by DoE)</li> </ul>	
c)	Over £250,000 (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Three individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller</li> <li>• DoE</li> <li>• DDoF</li> </ul> Assistant DoE can be assigned as cover for DoE CFO can be assigned as cover for DDoF	
5.5	Goods & Services (DTG)		9.0

Ref	Area of Delegation	Authority Delegated to	FR Ref
a)	Up to £2,500	Cost Centre Manager (as per section 9 of the Financial Regulations)	
a)	Over £2,500 but not exceeding £20,000	Two individuals required for approval <ul style="list-style-type: none"> <li>• Cost Centre Manager, and</li> <li>• DTG SFA</li> </ul> Head of FAS can be assigned as cover for DTG SFA	
b)	Over £20,000 but not exceeding £50,000	Three individuals required for approval <ul style="list-style-type: none"> <li>• Cost Centre Manager, and</li> <li>• DTG SFA, and</li> <li>• DoP</li> </ul> Head of FAS can be assigned as cover for DTG SFA  DDoF or Senior Procurement Officer can be assigned as cover for DoP	
c)	Over £50,000 (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Four individuals required for approval <ul style="list-style-type: none"> <li>• Cost Centre Manager</li> <li>• DTG SFA</li> <li>• DoP</li> <li>• DDoF</li> </ul> HoFAS can be assigned as cover for DTG SFA CFO can be assigned as cover for either DDoF or DoP	
5.6	Goods & Services (Donations)		9.0
a)	Up to £20,000	Spend Controller or other individual as delegated by the Spend Controller (as per section 9 of the Financial Regulations)	
a)	Over £20,000 but not exceeding £50,000	Two individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller, and</li> <li>• DoP</li> </ul> DDoF or SPO can be assigned as required for DoP	
b)	Over £50,000	Three individuals required for approval	

Ref	Area of Delegation	Authority Delegated to	FR Ref
	(must be tendered in line with Public Contracts (Scotland) Regulations requirements)	<ul style="list-style-type: none"> <li>• Spend Controller, and</li> <li>• DoP, and</li> <li>• DDoF</li> </ul> <p>CFO can be assigned as required for either DoP or DDoF</p>	
5.7	Goods & Services (BTPO)		9.0
a)	Up to £100,000 (Over £50,000 must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Spend Controller or other individual as delegated by the Spend Controller (as per section 9 of the Financial Regulations)	
a)	Over £100,000 but not exceeding £250,000 (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Two individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller and</li> <li>• DoP</li> </ul> <p>DDoF or can be assigned as required for DoP</p>	
b)	Over £250,000 (must be tendered in line with Public Contracts (Scotland) Regulations requirements)	Three individuals required for approval <ul style="list-style-type: none"> <li>• Spend Controller and</li> <li>• DoP, and</li> <li>• DDoF</li> </ul> <p>CFO can be assigned as required for either DoP or DDoF</p>	
5.9	Services (Legal) Unless otherwise agreed in advance with the CLO or DLO, no University member of staff can instruct external solicitors or Counsel on behalf of the University. The CLO or DLO must approve the engagement of all external legal services prior to the commencement of work.		9.0
a)	All values	CLO to be approver in addition to hierarchy at Section 5.2 (DLO can be assigned as cover for the CLO)	9.4
5.10.1	Insurance (Premiums) Unless otherwise agreed in advance with the Director of Planning, no University member of staff can purchase Insurance on behalf of the University.		11.5
5.10.2	Insurance (Claims) Disbursement/settlement of claims		11.5
a)	Up to £5,000	Any one of the following	

Ref	Area of Delegation	Authority Delegated to	FR Ref
		<ul style="list-style-type: none"> <li>Risk and Insurance Co-ordinator,</li> <li>Deputy Director of Planning</li> <li>Director of Planning</li> </ul>	
b)	Over £5,000 but not exceeding £20,000	Any one of the following <ul style="list-style-type: none"> <li>Deputy Director of Planning</li> <li>Director of Planning</li> </ul>	
c)	Over £20,000	As per Section 5.2	
5.11	<p>Capital Projects (Project approval)</p> <p>Delegation restricts itself to investments that alter or adapt the University's built environment in line with the <a href="#">Capital Project Policy</a>. Investment in process or system change are referred to the <a href="#">Business Transformation Policy</a>.</p> <p>Proposals must be made via the Project Development Team in Estates</p>		9.3 9.5
	Up to £250,000	DoE or SAMC if referred by DoE  Authorised in Oracle on behalf of DoE or SAMC (Finance Manager) <ul style="list-style-type: none"> <li>Capital &amp; Treasury Accountant</li> </ul>	
	Over £250,000 but not exceeding £1.0m	Approval by SAMC  Authorised in Oracle on behalf of SAMC (Finance Manager) <ul style="list-style-type: none"> <li>Capital &amp; Treasury Accountant</li> </ul>	
	Over £1.0m but not exceeding £5.0m	PARC following approval by SAMC  Authorised in Oracle on behalf of PARC (Finance Manager) <ul style="list-style-type: none"> <li>T&amp;T Manager</li> </ul>	
	Over £5.0m	Court following approval by SAMC & PARC  Authorised in Oracle on behalf of Court (Finance Manager) <ul style="list-style-type: none"> <li>T&amp;T Manager</li> </ul>	
5.12	Capital Projects (Contingency budget)		9.3 9.5



Ref	Area of Delegation	Authority Delegated to	FR Ref												
	<p><i>An approved Business Case is required for all capital investment projects as per the <a href="#">Capital project operating procedures</a> and <a href="#">Capital Project Policy</a></i></p> <p>The oversight of any approved contingency expenditure falls under the purview of the Project Sponsor and Project Managers. This responsibility entails overseeing the cumulative impact of individual variations.</p>														
5.12.1	<b>Standard Project Contingency</b>														
a)	<p>Standard contingency budget levels specific to each project should be introduced as components of the Investment Business Case and approval in accordance with the capital project approval process. Unless specified the standard project contingency default levels will be employed.</p> <p>The standard contingency budget is determined as a percentage of the total investment business case budget, contingent upon the project phase, as outlined below:</p> <table border="1"> <thead> <tr> <th>Project Phase</th> <th>Contingency budget (as a % of approved budget)</th> </tr> </thead> <tbody> <tr> <td>Propose</td> <td>0%</td> </tr> <tr> <td>Appraise</td> <td>30%</td> </tr> <tr> <td>Define</td> <td>20%</td> </tr> <tr> <td>Deliver</td> <td>10%</td> </tr> <tr> <td>Benefits</td> <td>0%</td> </tr> </tbody> </table>	Project Phase	Contingency budget (as a % of approved budget)	Propose	0%	Appraise	30%	Define	20%	Deliver	10%	Benefits	0%		
Project Phase	Contingency budget (as a % of approved budget)														
Propose	0%														
Appraise	30%														
Define	20%														
Deliver	10%														
Benefits	0%														
b)	<p>Spend of Standard Project Contingency outlined in a) above</p> <p>Up to £10,000 Over £10,000 up to Standard Project Contingency Limit</p>	<p>Any one of the following:</p> <ul style="list-style-type: none"> <li>Project Manager</li> <li>Project Sponsor</li> </ul>													
5.13	<b>Capital Projects (Additional Contingency Approval)</b>														
5.13.1	<p>Additional Contingency refers to the wider capital plan contingency which is separate to the Standard Project Contingency. The utilisation of contingency funds must be documented in project updates provided to PARC</p>														
a)	Up to £1.0m	Approval by SAMC													

Ref	Area of Delegation	Authority Delegated to	FR Ref
		Authorised in Oracle on behalf of SAMC <ul style="list-style-type: none"> <li>T&amp;T Manager</li> </ul>	
c)	Over £1.0m but not exceeding £5.0m	PARC following approval by SAMC  Authorised in Oracle on behalf of PARC <ul style="list-style-type: none"> <li>T&amp;T Manager</li> </ul>	
d)	Over £5.0m	Court following approval by PARC & SAMC  Authorised in Oracle on behalf of Court <ul style="list-style-type: none"> <li>T&amp;T Manager</li> </ul>	
6.	<b>Tax &amp; Duties</b> <ul style="list-style-type: none"> <li><i>All taxation matters should be managed in line with the universities agreed taxation strategy.</i></li> </ul>		13.0
6.1	<b>VAT Returns</b>		13.3
	Approval of VAT returns	Any one of the following <ul style="list-style-type: none"> <li>DDoF,</li> <li>T&amp;T Manager</li> </ul>	
	Notification of errors or any one off adjustments required under regulation of VAT Act 1994 (excluding annual partial exemption adjustments)	Any one of the following <ul style="list-style-type: none"> <li>DDoF,</li> <li>T&amp;T Manager</li> </ul>	
	Alteration of the partial exemption special method with HM revenue & Customs	Any one of the following <ul style="list-style-type: none"> <li>CFO,</li> <li>DDoF</li> </ul>	
	Authorisation of Option to tax forms over land controlled by the University or its subsidiaries	Any one of the following <ul style="list-style-type: none"> <li>CFO,</li> <li>DDoF,</li> <li>T&amp;T Manager</li> </ul>	
6.2	<b>Payroll Taxes</b>		
	Authorisation of payroll taxes liabilities	Any one of the following <ul style="list-style-type: none"> <li>Payroll and Pension Manager,</li> <li>Deputy Payroll Manager</li> </ul>	
	Authorisation of overseas payroll registrations and liabilities	Any one of the following <ul style="list-style-type: none"> <li>Human Resources Director,</li> <li>Deputy HR Director,</li> <li>Nominated HR Business Partner,</li> <li>Payroll and Pension Manager,</li> <li>Deputy Payroll Manager</li> </ul>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
	Overseas taxation compliance	Any one of the following: <ul style="list-style-type: none"> <li>• Human Resources Director,</li> <li>• Deputy HR Director,</li> <li>• Nominated HR Business Partner,</li> <li>• Payroll and Pension Manager</li> </ul>	
6.3	Corporation Tax		
	Approval of the university and subsidiary corporation tax returns	Any one of the following <ul style="list-style-type: none"> <li>• CFO,</li> <li>• DDoF,</li> <li>• T&amp;T Manager</li> </ul>	
	Acceptable level of risk with regards to permanent establishment risk for overseas operations  <i>Note: Anything other than low risk should be referred to CFO. CFO should be periodically notified of all decisions made</i>	Any one of the following <ul style="list-style-type: none"> <li>• CFO,</li> <li>• DDoF,</li> <li>• T&amp;T Manager</li> </ul>	
6.4	Import taxes		13.0
	Apply for import taxation reliefs  <i>(Support provided by Tax &amp; Treasury Team on <a href="mailto:vatenquiries@st-andrews.ac.uk">vatenquiries@st-andrews.ac.uk</a>)</i>	Devolved to staff member who has instructed the importation of goods	
6.5	Non-resident landlord scheme		
	Submission of non-resident landlord scheme return	Any one of the following <ul style="list-style-type: none"> <li>• DDoF,</li> <li>• T&amp;T Manager</li> </ul>	
6.6	Gift Aid		
	Authorisation of Gift Aid claims	Any one of the following <ul style="list-style-type: none"> <li>• Director of Development,</li> <li>• Head of Development Operations</li> </ul>	
7.	<b>Staff Related</b>  <i>The process of staff appointment follows a pattern where authorisation is given to proceed to advertise and interview. This delegated authority to provide this authorisation is outlined in 7.1 to 7.5 below. An interview panel is then convened to determine the most suitable candidate(s) and to make appointment. However, in the case of academic appointments, it is the role of the Master to make the formal offer of appointment and to agree a remuneration package.</i>		5.1

Ref	Area of Delegation	Authority Delegated to	FR Ref
7.1	Recruitment of staff		
a)	Like for like maternity cover and all acting up cover (including long-term sickness cover)	Director of HR	10.2
b)	Externally funded academic staff (lecturers, senior lecturers, readers & professors) <sup>1</sup>	Head of School/Unit together with relevant FAS SMA / supervisor (to check budget / finances)	
c)	Externally funded academic staff (excluding above group) <sup>1</sup>	Head of School and Budget holder together with relevant FAS SMA / supervisor (to check budget / finances)	
d)	Academic Staff – unfunded posts	Master together with Workforce Planning Group	
e)	Non-Academic Staff – in budgeted complement <sup>1,2</sup>	Head of School/Unit and Budget holder together with relevant FAS SMA / supervisor (to check budget / finances)	
f)	Non-Academic Staff – not in budgeted complement	Workforce Planning Group. Q&F or Master in exceptional circumstances	
g)	BTB approved posts/Restructures	BTB	
	<ol style="list-style-type: none"> <li>1. Subject to budget-check by relevant senior management accountant in FAS</li> <li>2. Straight replacements for front-line posts for Estates / RBS / Library &amp; rolling posts do not need WPG approval as long as they are approved posts within the complement.</li> </ol>		
7.2	<p>Salaries</p> <p><i>In support of the University's commitment to the principle of equal pay for work of equal value, all salary offers must be made within the standard incremental points of the grade at which the role has been evaluated. In addition, to ensure equity and consistency in approach to starting salaries across the University, employees should normally be appointed on the first incremental point of the designated grade as outlined in the <a href="#">Starting Salary policy</a>.</i></p>		
a)	Academic New Starts – in excess of advertised salary band (including contribution points) up to £130,000 pa.	Master	10.3
b)	Professional Services New Starts - in excess of advertised salary band (including contribution points) up to £130,000 pa.	Relevant Principal's Office member	

Ref	Area of Delegation	Authority Delegated to	FR Ref
c)	All salaries in excess of £130,000 pa and all Principal's Office and Principal's salary	Remuneration Committee	
7.3	Re-gradings and promotions		
a)	Academic – all job families (promotion to G6-G9)	Promotions Panel	10.3
b)	Academic-related	Workforce Planning Group together with grading review panel.	
c)	Non-academic	Workforce Planning Group together with grading review panel	
7.4	Retention & recognition  <i>The thresholds set out below apply to one-off payments and to permanent increases</i>		
a)	Academic staff – up to 3 incremental points (or 6%) within a 12 month period	Master or Q&F if not available	10.3
b)	Academic-related / Non-academic – up to 3 incremental points (or 6%) within a 12 month period	Q&F or Master if not available	
c)	All staff – more than 3 incremental points (or 6%) or any recognition and retention payment for Staff at Grade 9	Principal	
7.5	Termination of employment		
a)	For disciplinary / capability reasons	Chair of the appropriate panel (notice entitlement and holiday pay)	10.6
b)	Voluntary Severance Arrangements (VSER)	Workforce Planning Group	
c)	Severance arrangements out-with the Workforce Planning Group  Please note that in addition to the authorisation routes listed below, if the arrangement falls into any of the following categories:  <ul style="list-style-type: none"> <li>• More than £100,000</li> <li>• A member of the Principal's Office</li> <li>• Departing from the Severance Policy</li> </ul> Approval must be sought from the Remuneration Committee along with seeking the view of the University's external auditor.	<b>Authorisation Routes:</b>	

Ref	Area of Delegation	Authority Delegated to	FR Ref
	<p>For any member of staff at Professorial/ Professional Grade 9 level, or where there is considered to be a reputational risk to the University, the Principal's approval will always be sought before any package is agreed.</p> <ul style="list-style-type: none"> <li>• In the case of the Principal</li> <li>• For Principal Office members</li> <li>• For academic staff</li> <li>• For non-academic staff</li> </ul>	<ul style="list-style-type: none"> <li>• The Senior Lay Member (who will have sought approval from the Remuneration Committee)</li> <li>• The Principal (who will have discussed with the Senior Lay Member and sought approval from Remuneration Committee)</li> <li>• The Master, in discussion with the Principal.</li> <li>• The Q&amp;F, in discussion with the Vice Principal (Governance) or Director of HR.</li> </ul>	
7.6	<p><a href="#">Personal expenses (including invoices &amp; credit cards)</a></p> <p><i>Personal expenses are defined as costs which the University pays for, but where the individual derives a direct benefit (such as travel or subsistence). The payment of these is governed by the <a href="#">expenses policy</a>.</i></p> <p><i>In line with HMRC requirements, the University will reimburse only business related expenses that are <b>wholly, exclusively and necessarily</b> incurred as part of University business - whatever the source of the funding. Any queries or ambiguities should be checked with the Payroll &amp; Pensions manager before incurring spend.</i></p> <p><b>No individual can authorise their own business expenses. Business expenses must always be reviewed and approved by someone with sufficient seniority and budget authority.</b> Specific details re authorisation are set out in the Financial Regulations– section 10.5.</p> <p><i>In cases where staff have charged expenses directly to the university through purchase invoices or via credit cards, and this spend is</i></p>		

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	<i>deemed not to be appropriate by reference to the principles and guidelines laid out in the <a href="#">expenses policy</a>, the University retains the right to recover these costs directly from staff.</i>		
a)	Non-Executive Court Members	Any one of the following <ul style="list-style-type: none"> <li>• Deputy Principal,</li> <li>• Vice-Principal (Governance),</li> <li>• Q&amp;F,</li> <li>• CFO</li> </ul>	10.5
b)	The Principal	The Senior Governor	
c)	The Deputy Principal	The Principal	
d)	Office of the Principal members (excluding the Principal & Deputy Principal)	The Principal or the Deputy Principal	
e)	Heads of School / Directors of Unit	Office of the Principal or designated other with management responsibility	
f)	Individual Staff member	Budget holder with appropriate level of seniority (i.e. grade 7 or above) as per section 10.5 of Financial Regulations	
8	<p>Legal agreements (no financial impact)</p> <p><i>Any bespoke contracts for services outside of our standard terms and conditions should be reviewed by the Chief Legal Officer who has the right to sign off on such contracts following review.</i></p>		
	Legal agreements with no financial impact include all agreements not covered elsewhere in this document.	CLO, or DLO or Service Unit Head/Project Manager as delegated by the CLO	

Version Number	Purpose / Changes	Document status	Author, role & School / Unit	Date
2024.05	<ul style="list-style-type: none"> <li>2.1(e) – new section for authorisation to add/remove bank signatories</li> </ul>	Published	HoFR	24/07/2024
2024.04	<ul style="list-style-type: none"> <li>2.3 - Update to include provision for approving guarantees as not specifically noted in previous draft</li> <li>3 - Update SAMG to SAMC and replace Chair from Master to Deputy Principal</li> <li>3.2 - Clarification of how total exposure for entering into or exiting a lease is calculated</li> <li>4.2a/b - Change licensing and outright transfer to recordal of agreements, include CLO as authorised signatory</li> <li>4.2b/c/e/f &amp; 4.5c/d - Change Director of RIS to Executive Director of Research Support from 8/1/24 due to new role</li> <li>4.2c-d - Clarify the value of contract is over 10 years from execution</li> <li>4.2f – change approval from two to one</li> <li>4.2g - Update to the wording and approval where we are minority sharholders and those with significant control</li> <li>4.3c (iii)/g, 4.4a, 4.4b (i)</li> <li>4.3d - Remove "from approved grant funders list" as headers already say this and clarify T's &amp; C's refer to "University Approved" T's &amp; C's. Include ability for Group B individuals to delegate authority as necessary</li> <li>4.4a - Include "and innovation" when referring to Research related contracts and include Consultancy Agreements under this remit</li> <li>4.5b - Change Global Office to Head of Digital Strategic Initiatives as now Digital Course with final approval being through CARSG</li> <li>4.8 - Update to clarify this covers artworks and loans into and out of the University</li> <li>4.8(a) - Change Director of Libraries and Museums to University Librarian, and Director of Collections and Museums and Assistant Director, University Collections and Curation to Assistant</li> </ul>	Published	HoFR	24/01/2024



	<p>Director, University Collections and Museums</p> <ul style="list-style-type: none"> <li>• 4.8(a) – Update to include Principal for acquisitions between £100k and £1m</li> <li>• 4.8(b) - New section added for guidance on loans of assets into and out of the University</li> <li>• 4.9 - Update to allow Deputy Legal Officer to cover for Chief Legal Officer as necessary</li> <li>• 5.2c - Update wording to be in line with Procurement procedure which allows less than 3 quotations in some instances</li> <li>• 5.9 - Update to allow Deputy Legal Officer to cover for Chief Legal Officer as necessary</li> <li>• 7.1e - Update to state School/Unit for non-academic post</li> <li>• 7.3a - Change from grade7-9 to grade 6-9</li> <li>• 7.5c - Change Senior Governor to Senior Lay Member</li> <li>• 8 - Update to allow Deputy Legal Officer to cover for Chief Legal Officer as necessary</li> </ul>			
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2024.03	<ul style="list-style-type: none"> <li>• 4.1 (a-d) – new section inserted for write-off or adjustments to outstanding debt</li> <li>• 4.3b – update to clarify subject to funder requirements and to include Head of FAS for online submissions</li> <li>• 4.3c – update Principal Investigator to relevant FAS members and include Senior Business Development Manager and Head of TTC for European contracts</li> <li>• 4.3d – split of responsibilities into different authorisation groups</li> <li>• 4.3e – update to include Head of FAS</li> <li>• 4.3g - update to include Senior Business Development Manager and Head of TTC for European contracts</li> <li>• 4.3h – include approval section on TRAC</li> <li>• 4.4a&amp;b - update to include Senior Business Development Manager and Head of TTC for European contracts</li> <li>• 5.4 – include reference to Capital project operating procedure and updated to included spend controller as available authoriser</li> </ul>	Draft	DDoF	16/11/2023

	<ul style="list-style-type: none"> <li>• 5.5c – updated to include DDoF as available authoriser</li> <li>• 5.9 – remove the split of authority &lt;£20k and &gt; £20k to all one authorisation process</li> <li>• 5.10.1 – added narrative to clarify who can purchase insurance</li> <li>• 5.11 – updated to specify Capital &amp; Treasury accountant can authorise spend in Oracle on behalf of relevant parties</li> <li>• 5.12 – updated to specify Capital &amp; Treasury accountant or T&amp;T Manager can authorise spend in Oracle on behalf of relevant parties</li> <li>• 7.2a&amp;b – clarified wording around “off scale” academic and non-academic</li> <li>• 7.2c – changed to in excess of £139k rather than up to</li> </ul>			
2024.02	<ul style="list-style-type: none"> <li>• Clean version sent to ARC for review</li> </ul>	Draft	DDoF	14/09/2023
2024.01	<ul style="list-style-type: none"> <li>• 2.0 new table of definitions</li> <li>• 1.1b (iii) – update to state one approver from group A&amp;B</li> <li>• 3.0 &amp; 3.2 insert about who can sign legal docs after approval</li> <li>• 3.1 a Land disposals - remove director of estates from below £250k disposal</li> <li>• 3.1b change to any 3 individuals</li> <li>• 3.2b &amp; 3.3a include any 2 approvers, include DoE &amp; CLO as approvers</li> <li>• 3.b include any 3 approvers, add in CLO &amp; DoE</li> <li>• 4.1c split out authority into bandings of value, remove Head of Commercialisation</li> <li>• 4.1d new category &amp; approvers</li> <li>• 4.5 removed (ii), (i) category approved by PO notified to PARC, removed CFO &amp; Q&amp;F approval</li> <li>• 4.5 (b) in consultation with Global (removed Registry)</li> <li>• 4.8 moved University collections (9) next to Gifts &amp; Donations</li> <li>• Section 5 complete re-write new section reflecting Oracle set up for purchasing</li> <li>• 5.11 include capital projects approvals &amp; contingency approvals</li> <li>• 9.0 update to legal agreements with no financial impact (and changed to (8) following removal of Collections</li> </ul>	Draft	DDoF	30/08/2023

