

## SOAS, University of London

### Schedule of Delegation

Subject to the provisions of the School's Charter, the Board of Trustees has 'absolute power within the School with overall responsibility for the general supervision, direction and control of all aspects of the School' (Article IV of the School's Charter, Articles and Standing Orders).

However, it is not possible for the Board of Trustees to make every decision that is required, and the Board of Trustees has agreed to delegate certain areas of responsibility to some of its sub-committees or to individuals within the School. Where this is the case, it is recognised that the Board of Trustees retains the ultimate accountability and corporate responsibility for the decisions made on its behalf.

The School's Charter, Articles and Standing Orders  
<http://www.soas.ac.uk/admin/governance/standingorders/>  
sets out the governance arrangements for the School.

Within this document (Annex XVII) the Board of Trustees has agreed a 'Statement of Primary Responsibilities' which lists the 10 core areas of responsibility covered by the Board of Trustees and its sub-committees. Within these responsibilities there are some areas which only the Board of Trustees itself has responsibility for. These are known as 'Reserved Powers' (Annex XVIII).

The purpose of this document is to bring together in one place information about the authority and responsibilities which have been delegated to

- (i) those Committees which appear in Standing Orders and report directly to the Board of Trustees, and
- (ii) senior office-holders.

Most of the information is set out in the Charter, Articles and Standing Orders. Additional information about responsibilities delegated to individuals is provided by the School's Financial Regulations and documents setting out the role and responsibilities of those individuals, which have been agreed by the Board of Trustees.

The Board of Trustees may choose to review and rescind delegated authority at any time, unless this delegation is specifically stipulated in the Charter and its Articles, as an amendment to the Charter and Articles requires the approval of the Privy Council.

This document does not list all of the powers and responsibilities of the Board of Trustees, whether delegated or not, as this information is clearly set out in Article IV, Standing Order I, Annex XVII and Annex XVIII of the Charter, Articles and Standing Orders.

While this Schedule of Delegation has been prepared with careful reference to the source material, should there be any conflict between the information contained within this document and that provided within the Charter, Articles and Standing Orders and the documents outlining individual roles and responsibilities, it should always be assumed that the latter documents are correct.

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## 1. Delegation to Committees

<b>Academic Board</b>	
To make arrangements for the delegation of responsibility as necessary to Standing Committees, the Chair and other School Officers.	Standing Order II
To approve strategies/sub-strategies with this responsibility has been delegated from the Board of Trustees.	
To receive reports in respect of educational developments and to approve recommendations as appropriate.	
To receive reports on other issues which fall within its remit and to approve recommendations as appropriate.	
To receive reports on Regional Centres and other School Centres and to approve recommendations as appropriate.	
To determine academic policy where this responsibility has not been devolved.	
To receive reports on quality assurance and quality assessment measures employed by the School, to approve recommendations as appropriate, and to review outcomes.	
To establish regulations and procedures for compliance with the Statutes and Ordinances of the University of London, and to award degrees	
To establish regulations and procedures for School awards and to award School qualifications.	
<b>Audit Committee</b>	
To investigate any activity falling within the terms of reference of the Board of Trustees. It is authorised to seek any information it requires from any employee, and all employees are directly to co-operate with any request made by the Committee. The Committee is authorised to obtain outside legal or other independent professional advice and to secure the attendance of non-members with relevant experience and expertise if it considers this necessary, normally in consultation with the Director.	Standing Order III
To review the Internal Auditor's annual audit risk assessment and strategy; to consider major findings of internal audit investigations and management's response; to promote coordination between the Internal and External Auditors. To ensure that the resources made available for internal audit are sufficient to meet the School's needs.	
To keep under review the effectiveness of the risk management, control and governance arrangements, and in particular review the	

risk register, the External Auditors' management letter, the Internal Auditor's termly and annual reports and management responses.	
To ensure that all significant losses have been properly investigated and that the Internal and External Auditors, and where appropriate the HEFCE Account Officer, have been informed.	
To oversee the School's policy on fraud and irregularities, including being notified of any action taken under that policy.	
To satisfy itself that satisfactory arrangements are in place to promote economy, efficiency and effectiveness.	
To review the School's data quality policy and to satisfy itself that appropriate arrangements are in place to ensure the quality of the School's data.	
To ensure that, in the event of a merger or dissolution of the School, the necessary action is completed, including arranging for a final set of accounts to be completed and signed.	
<b>Executive Board</b>	
To act within delegated authority on behalf of other Standing Committees and to coordinate and progress School business.	Standing Order IV
To coordinate the academic and non-academic management of the School.	
To oversee the conduct of business between major Committees.	
To lead and coordinate the strategic planning process and HEFCE returns and initiatives	
To approve strategies/sub-strategies where this responsibilities been delegated from the Board of Trustees	
To consider and prioritise strategic issues, taking account of the resource implications, setting appropriate budgets to enable the School to deliver its priorities and approving expenditure as delegated by the Board of Trustees.	
To approve the School's non-academic policies, making recommendations for approval to the Board of Trustees where Board of Trustees approval is required.	
To determine, in consultation with the Chair of the Board of Trustees which strategies and sub-strategies require approval by the Board of Trustees, and agree the appropriate route through the committee structure for those strategies/sub-strategies which do not require Board of Trustees approval	Annex XVIII
To vary revenue budgets up to £100,000 and vary capital budgets up	Annex XXII

to £200,000, under delegated authority from Resources & Planning Committee. All variations to budget should be reported to the next meeting of Resources & Planning Committee.	
If decisions are necessary before the next meeting of Executive Board, the Chair of Executive Board, and the Director of Finance & Planning or at least one other member of Executive Board, may vary revenue and capital budgets by up to £100,000 and £200,000 respectively. In the absence of the Chair, the Director of Finance & Planning and one member of Executive Board may exercise this power. All such Chair's actions should be reported to the next meeting of Executive Board.	
Executive Board must give its express permission for all virements from a non-permanent staffing budget to a permanent staffing budget.	
Executive Board must approve all virements which fall outside of the ranges outlined in 2.4 to 2.9 of Annex XXII.	
If necessary, the Chair of Executive Board, and the Director of Finance & Planning or at least one other member of Executive Board, may approve such virements. In the absence of the Chair, the Director of Finance & Planning and one member of Executive Board may exercise this power. All such virements should be reported to the next meeting of Executive Board.	
Executive Board may approve virements from the School's general contingency budget and academic development fund.	
The Registrar and the Director of Finance & Planning or in his/her absence the Chair of Executive Board, may approve virements of up to £50,000 between administrative budgets.	
All non-research contracts or purchase orders that commit the School to £250,000 or more in the current or subsequent financial year must be approved by the relevant budget holder, the Chair of Executive Board, and the Director of Finance & Planning or his/her absence at least one other member of Executive Board.	
Executive Board has authority to write off individual bad debts up to £50,000, up to £250,000 in any one year. A report of all bad debts written off should be submitted to Resources & Planning Committee.	
To determine the basis on which the global budgetary provisions agreed by Resources & Planning for Faculties and Directorates should be de-segregated	Financial Regulation 2.1.6
To approve, in the context of the School's budget, changes in the staffing establishment.	Financial Regulation 10.1
<b>Nominations Committee</b>	

To approve minor amendments to the School's procedure for recruiting Board of Trustees members, and to recommend to the Board of Trustees any major changes to these procedures.	Standing Order VII
<b>Resources &amp; Planning Committee</b>	
To approve expenditure proposals within the Committee's delegated authority.	Standing Order VIII
To approve financial regulations.	
To approve banking arrangements.	
To take emergency action on behalf of the Board of Trustees on any matter referred to it by the Chair or Vice-Chair of the Board of Trustees.	
To ensure that Academic Board is informed about the financial affairs of the School.	
To coordinate the development of the School's strategic and related plans, and to approve strategies/sub-strategies where this responsibility has been delegated from the Board of Trustees.	
To authorise senior School Officers to act on its and the Board of Trustees' behalf.	Annex XV
To vary revenue budgets by up to £150,000 and vary capital budgets up to £300,000. All variations to budget should be reported to the next meeting of the Board of Trustees.	Annex XXII
To approve the writing off of individual bad debts above £50,000, and more than £250,000 in any one financial year (the approval of Resources & Planning Committee is a requirement before such debts can be written off).	
To determine global provisions within the budget for expenditure within Faculties/Directorates/Departments, acting on the advice of the Director of Finance & Planning.	Financial Regulation 2.1.6
To appoint and revoke or vary the terms of appointment (in writing) of investment advisers or investment managers and permit any monies, investments or other properties belonging to or in the hands of the School to be registered or held in the name(s) of any nominee(s) within the UK on behalf of the School, without being liable for any loss occasioned thereby, in each case subject to terms and conditions (including the payment of remuneration) agreed in writing between the Resources & Planning Committee and investment advisers or managers.	Financial Regulations 9.1 and 9.2
The investment fund shall be carried out by firms(s) of investment managers appointed by the Resource & Planning Committee on the recommendation of the Investment Advised Panel.	

To agree the Powers and Restrictions governing the actions of the firm(s) of investment managers.	Financial Regulation 9.2
Arrangements for exercising borrowing powers may only be made upon the authority of the Resources & Planning Committee.	Financial Regulation 9.3
All insurances of the School shall be under the direction and control of the Resource & Planning Committee	Financial Regulation 19.1
<b>Senior Staff Remuneration Committee</b>	
To decide the remuneration and terms and condition of service of the Director, the Registrar, the Secretary, the Pro-Directors, the Dean of the Faculty of Arts & Humanities, the Dean of the Faculty of Languages & Cultures and the Dean of the Faculty of Law & Social Sciences, taking due account of the performance of the individual post-holder in the preceding 12 months. The Committee also decides any severance payment for the staff listed above.	Standing Order IX

## 2. Delegation to Senior Office Holders

<b>Chair of the Board of Trustees</b>	
The Chair is responsible for the leadership of the Board of Trustees, ensuring that the necessary business of the Board of Trustees is carried on	Chair's role/ responsibilities
<ul style="list-style-type: none"> <li>i) efficiently, effectively, and in a manner appropriate for the proper conduct of public business,</li> <li>ii) in accordance with the instruments of governance of SOAS, and with SOAS' internal rules and regulations</li> <li>iii) in a way which ensures that the Board of Trustees exercises collective responsibility,</li> </ul>	
taking advice from the Clerk of the Board of Trustees as necessary	
The Chair should ensure that the Board of Trustees approves and operates a procedure for the regular appraisal/review of the performance of individual members of the Board of Trustees, and should participate as appraiser/reviewer in that process.	
The Chair will be responsible for the appraisal/review of the performance of the Director, and will make recommendations to the Senior Staff Remuneration Committee accordingly.	
The Chair will be responsible for the appraisal/review of the performance of the Clerk to the Board of Trustees, taking care to ensure that other duties the Clerk may perform for the institution are excluded from consideration, and will make recommendations accordingly.	

The Chair shall ensure that the Clerk maintains an up-to-date Register of the Interests of members of the Board of Trustees, and shall make a full and timely personal disclosure. The Chair shall ensure that any conflict of interest is identified, exposed, and managed appropriately, in order that the integrity of the Board of Trustees business shall be and shall be seen to be maintained.	
Since SOAS is a Charity, the Chair shall be responsible for ensuring that the Board of Trustees exercises efficient and effective use of the resources of SOAS for the furtherance of its charitable purposes, maintains its long-term financial viability, and safeguards its assets, and that proper mechanisms exist to ensure financial control and the management of risk, and for the prevention of fraud	
The Chair will represent the Board of Trustees and SOAS externally. The Chair will be a member of the Committee of University Chairs.	
The Chair will have power to act on behalf of the Board of Trustees in matters of urgency not admitting of delay provided that he/she will report any exercise of these powers to the next meeting. This authority may in extremis be exercised by the Vice-Chair or the Honorary Treasurer.	Annex XV
The Chair will determine, in consultation with Executive Board which strategies and sub-strategies require approval by the Board of Trustees, and agree the appropriate route through the committee structure for those strategies/sub-strategies which do not require Board of Trustees approval	Annex XVIII
All documents to which the School Seal will be required to be fixed will be sealed in pursuance of a resolution of the Board of Trustees or under delegated authority, provided that during vacation, and in the case of urgency, the Chair of the Board of Trustees or Vice-Chair may give authority for the sealing of any such document in conjunction with another lay member of the Board of Trustees.	Standing Order XII
If decisions are necessary before the next meeting of the Board of Trustees, the Chair and Treasurer may approve amendments to capital and revenue budgets. All such Chair's actions should be reported to the next meeting of the Board of Trustees.	Annex XXII
<b>Vice-Chair of the Board of Trustees</b>	
The Chair will have power to act on behalf of the Board of Trustees in matters of urgency not admitting of delay provided that he/she will report any exercise of these powers to the next meeting. This authority may in extremis be exercised by the Vice-Chair or the Honorary Treasurer.	Annex XV
All documents to which the School Seal will be required to be fixed will be sealed in pursuance of a resolution of the Board of Trustees or under delegated authority, provided that during vacation, and in the case of urgency, the Chair of the Board of Trustees or Vice-Chair may give authority for the sealing of any such document in	Standing Order XII

conjunction with another lay member of the Board of Trustees.	
<b>Honorary Treasurer</b>	
The Chair will have power to act on behalf of the Board of Trustees in matters of urgency not admitting of delay provided that he/she will report any exercise of these powers to the next meeting. This authority may in extremis be exercised by the Vice-Chair or the Honorary Treasurer.	Annex XV
If decisions are necessary before the next meeting of the Board of Trustees, the Chair and Treasurer may approve amendments to capital and revenue budgets. All such Chair's actions should be reported to the next meeting of the Board of Trustees.	Annex XXII
If decisions are necessary before the next meeting of Resources & Planning Committee, the Treasurer / Chair of R&PC may approve recommendations by Executive Board, to vary revenue and capital budgets by £150,000 and £300,000 respectively. All such Chair's actions should be reported to the next meeting of Resources & Planning Committee.	
<b>Director</b>	
The Director of the School is the School's chief executive officer. The Director is responsible for providing academic leadership; ensuring the achievement of the objects of the School; providing effective administration of the School's affairs and representing the interests of the School generally.	Article VII, Standing Orders
To act on behalf of the Board of Trustees at any time in routine matters not involving decisions on questions of principle. In matters of urgency not admitting of delay he/she will have power to act on behalf the Board of Trustees, consulting the Chair, Vice-Chair or Honorary Treasurer where possible, who should otherwise be informed of the action taken at the earliest opportunity. Such action will be reported to the next meeting of the Board of Trustees.	Standing Order XI, and Annex XV
The Director is responsible for the discipline of the School and has the power at all times to take disciplinary action in accordance with any specific regulations relating to discipline which may from time to time be made by, or with the authority of the Board of Trustees.	
To act on behalf of Academic Board and any other Committee of the School in matters of urgency not admitting of delay, providing that he/she reports any exercise of this power to the next meeting of Academic Board or relevant Committee as the case may be. He/she may delegate this reporting to the Chair of the relevant Committee. He/she will, by virtue of his/her office, be a member of every Committee or Sub-Committee of the School with the exception of Audit Committee.	
The specific responsibilities of the Director in relation to the Board of Trustees include:	



<ul style="list-style-type: none"> <li>i) implementing the decisions of the Board of Trustees or ensuring that they are implemented through the relevant part of the School's management structure;</li> <li>ii) initiating discussion and consultation including, where appropriate, consultation with staff and the Academic Board on proposals concerning the institution's future development, and ensuring that such proposals are presented to the Board of Trustees;</li> <li>iii) fulfilling the duty as the officer designated by the Board of Trustees under the terms of the Board of Trustees' Financial Memorandum, to alert the Board of Trustees if any actions or policy under consideration would be incompatible with the terms of the Financial Memorandum. If the Board of Trustees nevertheless decides to proceed, then the Director has a duty to inform the Chief Executive of the Funding Council, or the Permanent Secretary of the Department for Business, Innovation and Skills.</li> </ul>	
<p>To inform the HEFCE Accounting Officer, the Chair of Audit Committee and the Chair of the Board of Trustees of any serious weakness, significant fraud or major accounting breakdown.</p>	<p>Financial Regulation 23.1</p>
<p>The Director and the Pro-Directors are responsible for appointing Heads of Department on the recommendation of the appropriate Dean.</p>	<p>Annex XII</p>
<p><b>Registrar</b></p>	
<p>The Registrar is responsible to the Director for all matters relating to the administration of the School and its planning processes not delegated to others reporting directly to the Director. He/she will advise the Director regarding any such matters.</p>	<p>Standing Order XI</p>
<p>The Registrar will maintain all necessary administrative contacts with the University of London, its constituent colleges, with HEFCE and other organisations relevant to the work of the School and with the School's professional advisers.</p>	
<p>The Registrar, and the Director of Finance &amp; Planning or in his/her absence the Chair of Executive Board, may approve virements of up to £50,000 between administrative budgets.</p>	<p>Annex XXII</p>
<p>Specified members of staff (see 'Others' below), and the Director of Finance &amp; Planning or in his/her absence the Registrar, may make virements of specified amounts between budgets under their control.</p>	
<p>All non-research contracts or purchase orders that commit the School to between £75,000 and £249,999 in the current or subsequent financial year must be approved by the relevant budget holder and the Registrar or the relevant budget holder and the Director of Finance &amp; Planning.</p>	

<b>Secretary</b>	
The Secretary is responsible for the control of the School Seal.	Standing Order XII
<b>Clerk to the Board of Trustees (normally the Secretary)</b>	
The Clerk is responsible for providing guidance to the Chair and members of the Board of Trustees concerning their responsibilities under the Charter, Articles, Standing Orders and regulations to which they are subject, including legislation and the requirements of the Funding Council, and on how these responsibilities should be discharged. It is the responsibility of the Clerk to alert the Board of Trustees if he/she believes that any proposed action would exceed the Board of Trustees' powers or be contrary to legislation or to the Funding Council's Financial Memorandum.	Sec GB role/ responsibilities
The Clerk should be solely responsible for providing legal advice to or obtaining it for the Board of Trustees, and advising on all matters of procedure.	
The Clerk should advise the Chair of the Board of Trustees in respect to any matters where conflict, potential all real, may occur between the Board of Trustees and the Director. The Clerk is also responsible for drawing the Board of Trustees' attention to any conflict of interest, actual or potential, on any matter between the Clerk's administrative or managerial responsibilities within the institution and his/her responsibilities as secretary to the Board of Trustees.	
The Chair shall ensure that the Clerk maintains an up-to-date Register of the Interests of members of the Board of Trustees.	
<b>Pro-Directors</b>	
In the absence or temporary incapacity of the Director, one or other of the Pro-Directors will exercise the powers and discharge the responsibilities of the Director	Standing Order XI
The Director and the Pro-Directors are responsible for appointing Heads of Department on the recommendation of the appropriate Dean.	Annex XII
The Pro-Directors are responsible for appointing Associate Deans on the recommendation of the appropriate Dean.	
<b>Director of Finance &amp; Planning</b>	
The Director of Finance & Planning may approve virements of up to £30,000 between administrative budgets, (including the contingency budget).	Annex XXII
Specified members of staff (see 'Others' below), and the Director of Finance & Planning or in his/her absence the Registrar, may make virements of specified amounts between budgets under their control.	

The Registrar, and the Director of Finance & Planning or in his/her absence the Chair of Executive Board, may approve virements of up to £50,000 between administrative budgets.	
All non-research contracts or purchase orders that commit the School to £250,000 or more in the current or subsequent financial year must be approved by the relevant budget holder, the Chair of Executive Board, and the Director of Finance & Planning or his/her absence at least one other member of Executive Board.	
All non-research contracts or purchase orders that commit the School to between £75,000 and £249,999 in the current or subsequent financial year must be approved by the relevant budget holder and the Registrar or the relevant budget holder and the Director of Finance & Planning.	
Budget holders may commit funds (raising an official purchase order or offering a part-time contract in accordance with financial regulations and procedures) to the full extent of the uncommitted balance on their respective budget subject to points 3.2 & 3.3 in Annex XXII. Should the commitment fall below £75,000 but exceed 25% of the annual budget for that specific departmental account, the approval of the Director of Finance & Planning is required.	
The Director of Finance & Planning has authority to write off individual bad debts up to £15,000 and up to £20,000 with a second signature from a member of the cheque-signing panel who is outside the Finance Department and up to £100,000 in any one financial year. A report of all bad debts written off should be submitted to Executive Board.	
<b>Others</b>	
The Faculty Dean, and the Director of Finance & Planning or in his/her absence the Registrar, may make virements of up to £50,000 between budgets under his/her control. All such virements should be reported to the next meeting of the Faculty Board.	Annex XXII
The Director of Library & Information Services, and the Director of Finance & Planning or in his/her absence the Registrar, may make virements of up to £25,000 between budgets under his/her control.	
The Director of Estates & Facilities, and the Director of Finance & Planning or in his/her absence the Registrar, may make virements of up to £20,000 between budgets under his/her control.	
All other budget holders, and the Director of Finance & Planning or in his/her absence the Registrar, may make virements of up to the lower of £15,000 or 20 per cent of the specific budget from which the monies are to be vired.	
All research grants and contracts must be approved by the Director of Research & Enterprise or the Research Manager.	

Budget holders may commit funds (raising an official purchase order or offering a part-time contract in accordance with financial regulations and procedures) to the full extent of the uncommitted balance on their respective budget subject to points 3.2 & 3.3 in Annex XXII. Should the commitment fall below £75,000 but exceed 25% of the annual budget for that specific departmental account, the approval of the Director of Finance & Planning is required.	

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