

# UNIVERSITY OF EXETER

## DELEGATION FRAMEWORK

January 2020

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## Delegation Framework

### Introduction

1. This delegation framework sets out the location of authority within the University of Exeter for particular types of decision made in the University's name and on its behalf. The delegation framework supports the governance arrangements for Council, Senate and the Vice-Chancellor's Executive Group (VCEG) and its sub-groups.
2. Within the Framework, lines of delegation are either through the line management hierarchy or operate through functional relationships where there is a senior leader with executive or management responsibility for a strategic area.
3. A full list of the delegations to responsible bodies and individuals is set out in **Annex1**.

### **The Senior Committees and Groups**

#### The Council

4. The Council is the University's supreme governing authority and is responsible for approving the University's Corporate and Sovereign Strategies<sup>1</sup> ("the Strategies"), associated resourcing plans and assuring itself that the University is compliant with relevant legislation and regulation. It also monitors performance.
5. The Council delegates executive management authority to the Vice-Chancellor, who is also responsible for implementing the Strategies and reporting to the Council on progress with its delivery. The Vice-Chancellor is responsible for ensuring that relevant associated strategies and budgets are developed and approved in support of the Corporate and Sovereign Strategies.
6. The University Statutes (section 10 (20)) set out the areas that cannot be delegated by Council. The Office for Students Regulatory Framework sets out particular areas of responsibility for governing bodies. Council has adopted a Statement of Primary Responsibilities, which is set out in **Annex 2** of this framework document.
7. The following University Committees report to Council:
  - Audit Committee
  - Nominations Committee
  - Remunerations Committee

The Powers of Council are contained in the Appendix to the Delegation Framework (p.46)

#### The Senate

8. The Senate is the chief academic body of the University. It is chaired by the Vice-Chancellor, and acts as the representative academic forum for the institution, including all of its constituent Colleges and campuses. It scrutinises and reviews the Education and Research and Impact Strategies of the University and makes recommendations to Council for their approval. The Senate is also responsible for assuring Council of the academic standards, quality and enhancement of education leading to the University of

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<sup>1</sup>The three sovereign strategies of the University are the Education, Research and Impact, and Global Strategies.

Exeter degree awards and qualifications, and for student disciplinary matters.

9. The following University Committees report to Senate:

- The Board of the Taught Faculty
- The Board of the Postgraduate Research Faculty (as part of the Doctoral College Management Board)
- Ethics Committee

The Powers of Senate are contained in the Appendix to the Delegation Framework.

10. The Vice-Chancellor's Executive Group and its Sub-Groups

The Vice-Chancellor's Executive Group (VCEG) acts as the University's senior executive management body and comprises the Vice-Chancellor (Chair), the Provost (Deputy Chair), the Deputy Vice-Chancellors, the Pro-Vice-Chancellors, the Registrar and Secretary and a number of senior Directors of Service. VCEG has responsibility for development and oversight of the Strategies, makes day-to-day business decisions and also ensures that key operational and business issues are directed to the relevant manager or team for detailed scrutiny. It also takes senior management responsibility for the delivery, monitoring and review of the University's strategic delivery programme.

The following management groups act as sub-groups of VCEG and report to VCEG via verbal reporting or written reports as deemed necessary by the (Group) Chair:

- Planning Review Group (via the Provost)
- Provost's Advisory Group (via the Provost)
- Regional Strategy Board (via the Provost)
- Professional Services Leadership Team (via the Registrar and Secretary)
- Internal Fundraising and Campaign Board (via the Provost)
- Research and Impact Executive Group (via the DVC Research and Impact)
- Education Executive Group (via the DVC Education)
- Global Strategy Board (via the DVC Global Engagement)
- Capital Investment Group (via the Registrar and Secretary)

The Terms of Reference and Membership is the Appendix to the Delegation Framework.

11. The Planning Review Group

The Planning Review Group (PRG), which is chaired by the Provost, is responsible for overseeing the University's annual planning and budgetary review process, working with Colleges and Professional Services to ensure the delivery of the University and Colleges' five-year academic strategies and business plans set against the requirements of the internal and external operating environments. PRG also ensures the incorporation of the University strategic delivery programme outputs into the planning process. It reports through the Provost to VCEG.

The terms of reference of PRG are contained in the Appendix to the Delegation Framework.

12. The Provost's Advisory Group

The Provost's Advisory Group is a regular meeting of the Provost and Pro-Vice-Chancellors, bringing together the senior management responsible for the delivery of the institutional strategy through Colleges and through the PVC Cornwall. It reports, through the Provost, to VCEG.

The terms of reference of the Group are contained in the Appendix to the Delegation Framework.

13. The Internal Fundraising and Campaign Board

The Internal Fundraising and Campaign Board supports the development and implementation of the University's 'Making the Exceptional Happen' campaign and supports the development of future campaigns. The Board facilitates cross-college partnership initiatives related to the Global Advancement agenda and includes all Pro-Vice-Chancellors.

The terms of reference for the Internal Fundraising and Campaign are contained in the Appendix to the Delegation Framework.

14. Research and Impact Executive Group

The Research and Impact Executive Group, chaired by the Deputy Vice-Chancellor for Research and Impact, supports and advises on the management and strategic direction of the University in relation to research, impact and innovation. It is responsible for developing and delivering one of the sovereign strategies, the Research and Impact Strategy.

The Group is governed through and reports into Dual Assurance for Research, Impact and Business.

The terms of reference of the group are contained in the Appendix to the Delegation Framework.

15. Education Executive Group

The Education Executive Group, chaired by the DVC (Education), is responsible for oversight, monitoring and delivery of the University's Education Strategy and advises the DVC (Education) on all education, pedagogic and student experience related matters.

The terms of reference of the group are contained in the Appendix to the Delegation Framework.

16. Regional Strategy Board

The Regional Strategy Board, chaired by the Provost, is responsible for development and delivery of an overarching Regional Strategy, overseeing stakeholder engagement related to the Strategy, strengthening the University's role in support of skills development and economic growth of the region and maximising access to regional resources to support the delivery of the University's ambitions to deliver world-class place-based initiatives

The terms of reference of the Board are contained in the Appendix to the Delegation Framework.

17. Professional Services Leadership Team

The Professional Services Leadership Team, which comprises the University's Professional Services (PS) senior managers, advises the Registrar and Secretary on key strategic and operational matters and provides a forum for development and discussion and a means for senior PS managers to input into the VCEG agenda. It also acts as the body through which the professional services requirements needed to deliver college strategic priorities are articulated, agreed and reviewed. PSLT also plays a key role in determining and managing professional services and collegerisks.

The terms of reference of PSLT are contained in the Appendix to the Delegation Framework.

18. Global Strategy Board

The Global Strategy Board, chaired by the DVC (Global Engagement), is responsible for oversight, monitoring and delivery of the University's Global Strategy and advises the DVC (Global Engagement) on all aspects of the University's global activities. The Board directs the work of the Global Strategy Working Group and promotes a coordinated approach across the institution.

The terms of reference of the Board are contained in the Appendix to the Delegation Framework.

19. Capital Investment Group

The Capital Investment Group, chaired by the Registrar and Secretary, implement the Council approved capital budget. They scrutinise project proposals by challenging the appropriateness, design, specification, value for money, impact on business continuity and risk mitigation. They recommend projects for approval to VCEG.

The terms of reference of the Board are contained in the Appendix to the Delegation Framework.

## **The Senior Officers**

### The Vice-Chancellor

20. As the Chief Executive and 'Accountable Officer' under the terms of the Office for Students (OfS) Regulatory Framework, the Vice-Chancellor is appointed by, and is responsible to, the Council for the management of all aspects of University business within:

- (a) The framework set out by the Charter, Statutes and Ordinances,
- (b) The OfS Regulatory Framework
- (c) The wider statutory environment within which Exeter is required to comply, along with the University's internal control environment, which includes risk management and adherence to the University's financial regulations.

21. The Vice-Chancellor delegates responsibility for specific aspects of the University's management to the Provost, the Deputy Vice-Chancellors and the Registrar and Secretary. The Provost delegates authority for management of the University's Colleges to Pro-Vice-Chancellors and Executive Deans. The Provost delegates the management and strategy for the University's Cornwall campuses to the Pro-Vice-Chancellor Cornwall. The Registrar and Secretary delegates authority for the management of the University's Professional Services to Directors of Service.

The Vice-Chancellor is accountable to the Chair of the University Council.

### The Provost and Senior Deputy Vice-Chancellor

22. The Provost and Senior Deputy Vice-Chancellor has delegated power from the Vice-Chancellor to act as the academic leader of the University in all matters. The Provost is specifically accountable for the University's Corporate Strategy (which embodies all the Sovereign Strategies); the University's 'Making the Exceptional Happen' Campaign Plan; the strategic budgeting and planning process. The Provost also has responsibility for regional strategy development as part of a shared portfolio alongside the Deputy Vice-Chancellors. The Provost has managerial responsibility for the University's academic Colleges and

the university's operation in Cornwall via the PVC Cornwall. There is strategic oversight in place of key staff involved in the development and delivery of their strategies (Director of Policy, Planning and Business Intelligence and the Director of Global Advancement).

The Provost is accountable directly to the Vice-Chancellor.

#### Deputy Vice-Chancellors

23. The Deputy Vice-Chancellors have delegated powers from the Vice-Chancellor for oversight and delivery of the Sovereign Strategies as follows:

- Research and Impact - supported by the Assistant DVC Innovation and Business
- Education
- Global Engagement - supported by the Assistant Deputy Vice-Chancellors (Regional)

The Deputy Vice-Chancellors are accountable directly to the Provost.

#### The Registrar and Secretary

24. The Registrar and Secretary has responsibility delegated by the Vice-Chancellor for the effective and efficient operation of the University's Professional Services teams (including overall budgetary authority) and governance arrangements, including acting as Secretary to the University Council.

The Registrar and Secretary is accountable directly to the Vice-Chancellor.

#### The Pro-Vice-Chancellors and Executive Deans

25. The PVCs have responsibility delegated from the Provost for the leadership and management of the academic and business activities and staff of their particular College, within the parameters of the budgetary review and planning process, the capital implementation process and the powers of the Senate with regard to the award of degrees and other qualifications. The PVCs are responsible for supporting the delivery of the Sovereign Strategies led by the Provost and DVCs through College strategies.

The Pro-Vice-Chancellors are accountable directly to the Provost.

#### The Pro-Vice-Chancellor for Cornwall

26. The Pro-Vice-Chancellor for Cornwall has oversight of the delivery of the University's strategy for its Cornwall campuses.

The Pro-Vice-Chancellor for Cornwall is accountable to the Provost.

#### The Directors of Professional Services

27. The Registrar and Secretary delegates responsibility for oversight of the key professional service areas to a team of Directors. The Directors are professionally accountable to the Registrar and Secretary. In addition, the following Directors also have strategic accountabilities to the Provost and DVCs as follows:

##### *Strategic Reports*

The Chief College Operations Officer

to the Provost

The Director of Education and Student Support

to the Deputy Vice-Chancellor  
(Education)

The Director of Global Advancement	to the Provost
The Director of Innovation, Impact and Business	to the Deputy Vice-Chancellor (Research and Impact)
The Director of Policy, Planning and Business Intelligence	to the Provost
The Director of Research Services	to the Deputy Vice-Chancellor (Research and Impact)
The Director of Communications and Corporate Affairs	to the Deputy Vice-Chancellors (Education & Global Engagement) (on the issue of Student Recruitment only)
The Director of Global Exeter	to the Deputy Vice-Chancellor (Global Engagement)

#### The Academic Dean for Students and the Dean of the Taught Faculty

28. The Academic Dean has responsibility for leading and representing the business of the Taught Faculty and is responsible for all taught student matters, including student satisfaction, progression and discipline. The Dean also has a major role to play in oversight and operational management of the University's academic standards and quality assurance and enhancement arrangements for its taught programmes, on behalf of the Deputy Vice-Chancellor (Education). The Academic Dean has delegated authority from the Deputy Vice-Chancellor (Education) to approve taught programmes and modules.

The Academic Dean for Students is accountable to the Deputy Vice-Chancellor (Education).

#### The Dean of Postgraduate Research and the Doctoral College

29. The Dean has responsibility for leading and representing the business of the Postgraduate Research Faculty and is responsible for all postgraduate research matters, including student satisfaction, progression and discipline. The Dean also has a major role to play in the oversight and operational management of the University's academic standards and quality assurance and enhancement arrangements for its postgraduate research programmes, on behalf of the Deputy Vice-Chancellor (Research and Impact).

The Dean is accountable to the Deputy Vice-Chancellor (Research and Impact).

#### The Associate Deans for Education, Research and Global

30. The Associate Deans for Education, Research and Global are responsible to the Pro-Vice-Chancellors for oversight of their specific areas of responsibility within each College. They also have a strategic management line into the relevant Deputy Vice-Chancellor.

#### Other Delegations

31. For financial decisions, Council is responsible for approval of the schedule of delegations of authority to enter into contracts., ~~which forms Annex D of the Universities broader financial regulations which is available on the University's website.~~
32. For matters related to academic standards, awards and students, a series of delegations are made by the Senate as set out in the Senate Authorities Delegation Framework (see **Annex4**).
33. Except as otherwise provided, individuals and bodies in whom authority is vested by the delegation framework may sub-delegate to others provided that such sub-delegation is consistent with the financial

and other regulations. While authority and responsibility can be delegated where appropriate, accountability remains with the individual or body making the delegation.

34. Where sub-delegation occurs and there is further delegation, it should take place on the basis of a cascade i.e. the person with authority delegates it to the next person who may then delegate to another and so on. Sub-delegation should not bypass management tiers in the interests of clarity of responsibility and ensuring that individuals remain accountable even when others further along the chain are performing the task. Wherever feasible, sub-delegations should be recorded.

Mike Shore-Nye  
Registrar and Secretary

# Annex 1

## Responsible Bodies and Individuals

### Strategy

Activity	Responsible Body or Individual
Approval of the Sovereign Strategies <ul style="list-style-type: none"> <li>- Corporate Strategy</li> <li>- Education Strategy</li> <li>- Global Strategy</li> <li>- Research &amp; Impact Strategy</li> </ul>	Council via VCEG (Following scrutiny by Senate)
Approval of College strategies	Planning Review Group/VCEG (Following scrutiny by Senate)
Approval of enabling strategies <ul style="list-style-type: none"> <li>- Finance</li> <li>- HR</li> <li>- Regional Skills</li> <li>- Arts and Culture</li> </ul>	VCEG
Approval of the Business Engagement Strategy	Council via VCEG
Approval of the Capital Strategy including <ul style="list-style-type: none"> <li>- Estates Strategy</li> <li>- IT and Digital Strategy</li> </ul>	Council via VCEG
Approval of the Access and Participation Strategy	Council via VCEG (Following scrutiny by Senate)
Approval of the Environmental Sustainability Strategy	Council via VCEG
Reporting to Council on the approval of strategies and progress towards achieving them.	Vice-Chancellor

### Accountability to the Office for Students

Activity	Responsible Body or Individual
The proper use of public funds received through the Office for Students	Council
Designated accountable officer for the Office for Students	The Vice-Chancellor
Compliance with charity law and other legal requirements	Council
Compliance with the integrated public sector equality duty	Council
Ensuring that there is an adequate system for the management of risk	Council via Audit Committee and Risk Dual Assurance
Reviewing the effectiveness of the systems for obtaining VfM	Council via Audit Committee
Compliance with the Office for Students Regulatory Framework Conditions of Registration	Council via VCEG
The quality of data returned in HESA and HESES returns	The Vice-Chancellor
Ensuring effective arrangements for the management and quality assurance of data returns	Council via Audit Committee

Ensuring an effective framework to manage the quality of learning and teaching and to maintain academic standards	Council via Senate and The Vice-Chancellor
Approval and monitoring of the Access and Participation Plan	Council via VCEG

### Budgets and the allocation of resources

Activity	Responsible Body or Individual
Financial Regulations	Finance Dual Assurance recommends, Audit & Risk Committee reviews, Council approves
Scheme of Delegation of Financial Authority	Finance Dual Assurance recommends Audit Committee reviews,
Approval of the annual budget	VCEG recommends, Council approves
Ensuring the adequacy of Exeter's insurance arrangements as risk mitigation	Council via Audit Committee
Ensuring the quality of insurance arrangements	Council via Audit Committee

### Forward commitments

Activity	Responsible Body or Individual
Agreements that lock Exeter into significant contractual commitments of over 5 years and/or over a value of £1M, other than contracts of employment	Council

### Governance and Organisation

Activity	Responsible Body or Individual
Amendments to the Charter and Statutes	The Privy Council on the recommendation of Council by
Approval of Ordinances and amendments	Council recommended by Senate
Approval of significant Exeter policies and HR codes of practice (i.e. those that have a material impact on the working conditions of staff or materially affect reputation)	VCEG
Approval of other non-academic policies designed for operational purposes which do not determine the terms and conditions of staff or materially affect reputation. However, they may be developed in support of terms and conditions and to protect and enhance reputation.	VCEG
Appointment of Officers of Council and the Secretary to Council	Council

Appointment of independent members of Council	Council on the recommendation of
Appointment of Auditors	Council on the recommendation of Audit
Conferment and revocation of Honorary Degrees and Fellowships	Senate and Council approve
Appointment of the Vice-Chancellor	Council following the recommendation of a Report from a Joint Committee of Council and
Establishment/disestablishment of academic schools and institutes	Council following consideration by Senate
Appointment of the Provost, Deputy Vice-Chancellors and Pro-Vice-Chancellors	Council on the recommendation of Senate and appointment panels
Appointment of College Associate Deans	College Pro-Vice-Chancellors on the recommendation of appointment panels
Major capital projects	VCEG on the recommendation of Capital Investment Group
Under £1M	Council on the recommendation of VCEG
Over £1M	Council on recommendation of VCEG (following recommendation of CIG and PRG)
Review and update of rolling 5 year capital programme	

### Academic Governance and Management

Activity	Responsible Body or Individual
Academic Regulations and regulations for the conduct of students	Senate
Policies and procedures for the approval of programmes and Modules	Senate/ Faculty Boards for general programme regulations
Approval of taught programmes and modules	Academic Dean for Students as Chair of the Board of the Faculty of Taught Programmes under authority from Senate
Approval of research programmes and modules	Dean of Postgraduate Research as Chair of the Board of the Faculty of Graduate Research under authority from Senate
Operational documents for the approval of programmes and modules (description of process, forms etc)	Faculty Boards

Conferment of academic awards for Taught programmes	Academic Dean for Students as Chair of the Taught Faculty Board under authority from Senate
Conferment of research degrees	Dean of Postgraduate Research as Chair of the Board of the Faculty of Graduate Research under authority from Senate
Approval of collaborative partners	Strategic: <ul style="list-style-type: none"> <li>- Global Strategy Board (International)</li> <li>- Education Executive Group (UK / Education)</li> <li>- Research RIEG (UK / Research)</li> </ul> Quality Assurance: Faculty Boards
Approval of collaborative provision	Faculty Boards

## Staff

Activity	Responsible Body or Individual
Setting the framework for determining the pay and conditions of service of staff	Council
Main features of terms and conditions of employment	Council
Process for the approval to recruit to a vacancy	Provost (for posts outside PRG process). All other College posts, Pro-Vice-Chancellors. Approval for Professional Services posts rests finally with the Registrar and Secretary.
Decision to initiate recruitment to posts	Provost (for posts outside PRG process). All other College posts, Pro-Vice-Chancellors. Approval for Professional Services posts rests finally with the Registrar and Secretary.
Appointment of staff to vacancies	Appointing panel constituted in accordance with the relevant HR regulations
Appointment of non-contracted staff	Pro-Vice-Chancellor for Academic Appointments / Director of People Services for non-academic appointments
Promotion of academic staff	VCEG

## Students

Activity	Responsible Body or Individual
Admissions Policy	Senate
Admissions Criteria	Admissions Policy Group on authority from the Senate (reporting to the Faculty Boards, Monthly Admissions and Student Recruitment Group, and Education Executive Group)
Selection of students	Pro-Vice-Chancellors under the direction of the Deputy Vice-Chancellors (Education & Global Engagement)
Award of prizes	Colleges
Approval of new prizes, changes to conditions and nominations for award	Faculty Boards
Award of research degree scholarships and studentships	The Dean of Postgraduate Research and of the Doctoral College
Policy for the allocation of student accommodation	Council
Interface with the Guild of Students and Falmouth and Exeter Students' Union ('the 'SU')	Deputy Vice-Chancellor (Education)
Student recruitment	Deputy Vice-Chancellors (Education & Global Engagement)

## The Vice-Chancellor's Delegations

Activity	Responsible Body or Individual
Delegated to	Delegated to
Leadership of alumni relations and fundraising	The Provost
Leadership of the planning and budgeting process	The Provost
Leadership of the Corporate Strategy	The Provost
The executive management of Colleges	The Provost
The executive management of the Cornwall Campuses and leadership of the Cornwall Strategy	The Provost
Leadership of student experience, teaching and learning and teaching matters, academic standards and quality assurance and delivery of the Education Strategy	Deputy Vice-Chancellor (Education)

Leadership of research, research degree, innovation and business engagement matters, including academic standards and quality assurance for Research degrees, the Doctoral College, the development and delivery of the Research and Impact Strategy and Business Engagement Strategy	Deputy Vice-Chancellor (Research and Impact)
Leadership of global activities, including our global partnerships and delivery of our Global Strategy	Deputy Vice-Chancellor (Global Engagement)
Leadership of Professional Services	The Registrar and Secretary
Strategic oversight of the estate, including the development and delivery of the Estates Strategy	The Registrar and Secretary
Strategic oversight of information technology services, Including the development and delivery of the IT strategy.	The Registrar and Secretary
Strategic oversight of human resources, including the development and delivery of the HR strategy.	The Registrar and Secretary
Strategic oversight of health, safety and wellbeing issues.	The Registrar and Secretary
Strategic oversight of risk management.	The Registrar and Secretary
Strategic oversight of promotion of Equality, Diversity and Inclusion	Chief College Operations Officer
Regional Strategy development	Provost, and Deputy Vice-Chancellors (Education and Research & Impact)

### The Provost's Delegations

Activity	Responsible Body or Individual
Area of responsibility	Delegated to
The executive management of Colleges.	College Pro-Vice-Chancellors and Executive Deans
Oversight of operation in Cornwall	Pro-Vice-Chancellor Cornwall
Responsibility for the delivery of the 'Making the Exceptional Happen' fundraising campaign	Director, Global Advancement
Responsibility for the University's Annual Planning Process	Director, Policy, Planning and Business Intelligence
Appointment to other roles in a College	Pro-Vice-Chancellors

## The Registrar's Delegations

Activity	Responsible Body or Individual
Area of responsibility	Delegated to
Oversight and responsibility for College Operations (including all Directors of College Operations and Director of Cornwall Operations), Education and Student Support, and the Strategic Delivery Unit	Linda Peka
Responsibility for Campus Infrastructure and Operational Support Services	Craig Nowell
Responsibility for IT and Digital services	Alan Hill
Responsibility for Human Resources including Organisational Development	Imelda Rogers
Responsibility for Compliance, Governance and Risk	Chris Lindsay
Responsibility for Finance Services including Procurement and Policy, Planning and Business Intelligence	Andrew Connolly
Responsibility for Global Advancement including Philanthropic activities	Shaun Curtis
Responsibility for Marketing, Recruitment, Communications and Global	Jane Chafer
Responsibility for Research Services and Doctoral College	Astrid Wissenburg
Responsibility for Innovation, Impact and Business	Sean Fielding
Leadership of Vice-Chancellor's office	Vic Alcock

## Annex 2

### Statement of Primary Responsibilities of the Council

The Governing Body is unambiguously and collectively responsible for overseeing the institution's activities, determining its future direction and fostering an environment in which the institutional mission is achieved and the potential of all learners is maximised. It does this through this statement of primary responsibilities:

1. To approve the mission and strategic vision of the University, long-term academic and business plans, key performance indicators (KPIs), and annual budget and financial statements.
2. To appoint the Vice-Chancellor as the University's Chief Executive, and to put in place suitable arrangements for monitoring his/her performance.
3. To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment, and procedures for handling internal grievances and for managing conflicts of interest.
4. To ensure that there are arrangements in place for effective academic governance and the quality and standards of educational programmes.
5. To monitor and evaluate the performance and effectiveness of the University against the plans and approved key performance indicators, which should be, where possible and appropriate, benchmarked against other comparable universities.
6. To ensure compliance with the charter, statutes, ordinances and other provisions regulating the University and its governance framework
7. To be the University's legal authority and, as such, to ensure that systems are in place for meeting all the University's legal and statutory obligations.
8. To conduct its business in accordance with best practice in higher education corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life.

### Effectiveness and Performance Review

9. To monitor and evaluate the performance and effectiveness of the governing body itself – including conducting a full review of Council's effectiveness not less than every five years and a parallel review of Senate's effectiveness.

## Annex 3

### Schedule of Delegations of Authority to Enter into Contracts

#### 1. General Principles

The Vice-Chancellor and Chief Executive, Provost and the Registrar and Secretary can sign any document.

In the absence of the Vice-Chancellor and Chief Executive and Provost for any reason, any of the Deputy Vice-Chancellors (DVCs) can sign any document.

In the absence of the Registrar and Secretary for any reason, the Chief Financial Officer can sign any document.

Any contract (not specified under a theme below) with a value greater than £1m must be signed by any of: Vice-Chancellor, Provost, DVCs, Registrar and Secretary or Chief Financial Officer.

Ordinary contracts for the purchase of goods and services such as catering, stationery and other consumables in budget centres must be made in accordance with Section E of the University's Financial Regulations.

In the case of any conflict between this schedule and the Financial Regulations, the Financial Regulations will take precedence.

Contract values specified in this schedule relate to the gross value of the contract over its specified term, inclusive of VAT (where applicable).

**For the purposes of this delegation framework, Memorandums of Understanding also count as contracts.**

#### 2. Documents by theme

This is not an exhaustive list but covers the most common documents which might be signed over the course of a year.

- Research Contracts <£1m – Director of Research Services or Director of Innovation, Impact and Business or his/her nominees.<sup>1</sup>
- EU Horizon 2020 research contracts and other associated EU contracts > £1m - Head of EU, International and Business Development and Head of Research Accounting
- Research Contracts >£1m – Any of VC, Provost, DVCs, Registrar and Secretary, Chief Financial Officer on the recommendation of the Director of Research Services and the approval of Council.
- IP contracts <£1m – Director of Innovation, IP, Impact & Business or his/her nominees.
- IP Contracts >£1m – Any of VC, DVC, Registrar and Secretary, Chief Financial Officer on the

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<sup>1</sup> Nominees are defined within the authority lists for Research and Impact, Impact and Business. The authority list also provides details for the University's commercial projects relating to licenses, assignments, shareholder agreements and declarations of inventorship.

recommendation of the Director of Innovation, Impact & Business and the approval of Council.

- Material Transfer Agreements – Director of Innovation, Impact & Business or his/her nominees or the Head of Legal Services.
- Non-disclosure/Confidentiality Agreements - Director of Research Services or Director of Innovation, Impact & Business or Head of Legal Services or his/her nominees.<sup>2</sup>

#### *Property*

- Deeds–Seal procedure (Section G5 of the Financial Regulations)
- All other contracts relating to property including sales, purchases, tenancies, leases <£1m – Director of Estates Development or Director of Campus Services.
- All other contracts relating to property including sales, purchases, tenancies, leases >£1m—any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the Director of Campus Services.
- Construction contracts <£1m – Director of Estates Development or in absence, Director of Campus Services.
- Construction contracts >£1m—any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the Director of Estate Services and on the approval of Council.

#### *Employment*

- Employment contracts –Director of HR Services or his/her nominees.
- Compromise agreements –Director of HR Services.
- Awards made as a result of an Employment Tribunal ruling – Registrar and Secretary.

#### *Education*

- Teaching contracts <£1m – Pro-Vice-Chancellor or his/her nominees.
- Teaching contracts >£1m – any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the PVC (NB: The Vice-Chancellor and Chief Executive is the accountable officer with regard to the Office for Students) and on the approval of Council.
- Validation arrangements with other UK education institutions – Deputy Vice-Chancellor (Education) or any DVC.

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<sup>2</sup> Nominees are defined within the authority lists for Research and Impact, Impact and Business. The authority list also provides details for the University's commercial projects relating to licenses, assignments, shareholder agreements and declarations of inventorship.

### *International*

- Agreements with international agencies and institutions, including Memoranda of Agreement and Memoranda of Understanding <£1m – Director of Global Exeter or their nominees.
- Agreements with international agencies and institutions, including Memoranda of Agreement and Memoranda of Understanding >£1m – any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer.

### *Tenders*

- <£1m – PVC, Director of Service, or their nominees.
- >£1m – any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer and on the approval of Council

### *Software licenses*

- <£1m – Chief Information and Digital Officer or his/her nominees.
- >£1m – any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the Chief Information and Digital Officer and on the approval of Council.

### *Donations*

- Deeds of Gift <£1m – Director of Global Advancement or his/her nominee.
- Deeds of Gift >£1m – Any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the Director of Global Advancement.
- Gifts of art <£1m – Director of Global Advancement or his/her nominees.
- Gifts of art >£1m – any of VC, Provost, DVC, Registrar and Secretary, Chief Financial Officer on the recommendation of the Director of Global Advancement.

## Annex 4

### Delegation of Senate Authorities

Authority:	<i>Approval of the Regulations</i>
Delegated to:	Senate (not delegated).
Process:	Documents prepared by various Professional Services staff.

Authority:	<i>Approval of Programme and Module Regulations, including Assessment Regulations</i>
Delegated to:	Taught Programmes Faculty Board/ Management Group of the Doctoral College incorporating the Board of the Faculty of Graduate Research.
Process:	Programme and module approval processes.

Authority:	<i>Suspension of Regulations</i>
Delegated to:	DVC Education.
Process:	Recommendation from College or relevant Services to the Vice-Chancellor.

Authority:	<i>Establishment of Assessment, Progression and Awarding Committees (APACs)</i>
Delegated to:	The Academic Dean for Students as the Chair of the Taught Programmes Faculty Board (and equivalent for Research).
Process	Formal recommendation from Colleges.

Authority:	<i>Consideration of students' achievement, progression and awards.</i>
Delegated to:	Colleges via APACs
Process:	APAC procedures and processes as outlined in the TQA manual.

Authority:	<i>Approval of the Assessment, Progression and Awarding Handbook - Taught Programmes</i>
Delegated to:	DVC Education
Process:	Consideration and approval of a document prepared by APS.

Authority:	<i>Appointment of Chairs and Deputy Chairs of APACs</i>
Delegated to:	College in accordance with the TQA manual (ADE chairs the College APAC, DoE or HoD chairs the Discipline APAC).
Process:	College in accordance with the TQA manual

Authority:	<i>Appointment of External Examiners to APACs</i>
Delegated to:	Academic Dean for Students (or Associate) as Chair of the Taught Faculty Board on behalf of Senate (or equivalent for Research).
Process:	External Examiner appointment process.

Authority:	<i>Work to be considered by external examiners and participation in oral and other examinations by external examiners.</i>
Delegated to:	Colleges
Process:	Agreed through discussion with the external examiner and College staff.

Authority:	<i>Approval of the guidance for External Examiners (in Quality Review Framework document)</i>
Delegated to:	Taught Faculty Board on behalf of Senate
Process:	Consideration and approval of a document prepared by Quality Review

Authority:	<i>Termination of External Examiner contracts</i>
Delegated to:	Vice-Chancellor
Process:	(As outlined in Quality Review Framework document)

Authority:	<i>Student Illness (as outlined in the TQA manual)</i>
Delegated to:	Academic Dean for Students (or equivalent for Research), delegated to the College
Process:	Approval and communication (through student handbooks and TQA manual) of a policy on this issue.

Authority:	<i>Approval of the general entrance requirements for admission</i>
Delegated to:	VC/ Senate (not delegated).
Process:	Approval of recommendations for this purpose from the DVC Education.

Authority:	<i>Approval of admissions requirements for individual programmes</i>
Delegated to:	Academic Dean or Associate Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	As articulated in the Handbook for Approval and Revision of Taught Modules and Programmes within the Teaching Quality Assurance Manual

Authority:	<i>Admission of applicants with advanced standing (APEL)</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	As articulated in the Learning and Teaching Support Handbook within the Teaching Quality Assurance Manual

Authority:	<i>Termination of enrolment where a student is found to have falsified information in the admissions process</i>
Delegated to:	Vice Chancellor on behalf of Senate
Process:	Recommendation of the College and Academic Dean for Students (or equivalent for Research). Consideration on a case-by-case basis.

Authority:	<i>Approval of concurrent study elsewhere</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Consideration on a case-by-case basis.

Authority:	<i>Permission for an individual student's request to change modes of study</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Consideration on a case-by-case basis.

Authority:	<i>Permit part-time study on a programme where this is not normally available</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Formal request from College.

Authority:	<i>Permission for an individual not enrolled with Exeter to use Exeter facilities</i>
Delegated to:	Registrar and Secretary
Process:	Consideration on a case-by-case basis, on the recommendation of the College

Authority:	<i>Replacement of a core or compulsory module with an alternative</i>
Delegated to:	Academic Dean or Associate Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Formal request from College.

Authority:	<i>Permission for an individual student to interrupt their studies for a period of up to two years</i>
Delegated to:	College led process – ADE delegated from the Academic Dean for Students
Process:	Consideration on a case-by-case basis as per the TQA manual guidance.

Authority:	<i>Permission for an individual student to interrupt their studies for a period longer than two years</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Consideration on a case-by-case basis in accordance with the TQA manual guidance.

Authority:	<i>Approval of exceptions to the rule preventing a withdrawn/deregistered student from reapplying within 12 months</i>
Delegated to:	Academic Dean of Students (or equivalent for Research)
Process:	Consideration on a case-by-case basis.

Authority:	<i>Approval of procedures for study abroad and exchange periods</i>
Delegated to:	Taught Faculty Board on behalf of Senate.
Process:	Consideration of recommendations made for these purposes.

Authority:	<i>Approval of procedures for scaling and weighting results from assessments taken during a study abroad or exchange period, in order to align them with Exeter standards</i>
Delegated to:	Taught Programmes Faculty Board on behalf of Senate
Process:	Module and programme approval processes.

Authority:	<i>Approval of programme and module regulations, including assessment regulations</i>
Delegated to:	Taught Programmes Faculty Board on behalf of Senate (or equivalent for Research)
Process:	Programme and module approval processes.

Authority:	<i>Approval of minimum prescribed standards for the production and security of examination papers</i>
Delegated to:	Taught Faculty Board on behalf of Senate
Process:	Consideration of recommendations developed for this purpose.

Authority:	<i>Approval of an extension to the maximum permitted duration of study</i>
Delegated to:	Academic Dean for Students on behalf of the Taught Faculty Board (or equivalent for Research)
Process:	Consideration on a case by case basis. To be granted only in exceptional circumstances, normally in cases of severe and persistent extenuating circumstances.

Authority:	<i>Revocation of an award</i>
Delegated to:	Vice-Chancellor
Process:	Recommendation from the Deans of Faculty (Taught and Research).

Authority:	<i>Approval of field of study</i>
Delegated to:	Taught or Research Faculty Board on behalf of Senate
Process:	Programme and module approval process.

## **Appendix A: Terms of Reference of Senior Committees**

### **The Powers of Council**

Save as otherwise provided by the Charter and Statutes the Council shall exercise all the powers and authority of the University, which shall include without limitation the following powers and functions: -

1. To appoint the Chancellor, Pro-Chancellors, Vice-Chancellor, Deputy Vice-Chancellors, Deans of the Faculties, Registrar and Secretary as provided in the Statutes; and subject in each case to the consideration of such report or recommendation as is provided in the Statutes in regard thereto.
2. To appoint and appraise all members of Staff of the University, or to delegate responsibility for the same.
3. To suspend or remove all members of Staff of the University (such powers being delegated in accordance with Statute 18 and Ordinances made under that Section.)
4. To confer the title of Emeritus Professor subject to conditions prescribed in the Ordinances.
5. To make Statutes provided that the decision to do so has been approved by a two-thirds majority of the members present and voting and that no Statute shall be made without the Senate having an opportunity of reporting thereon to the Council.
6. Subject to the Charter and the Statutes to make Ordinances for any matters in respect of which Ordinances are authorised to be made provided that no Ordinance shall be made without the Senate having an opportunity of reporting thereon to the Council.
7. To govern, manage and regulate the finances, accounts, investments, property, business and all affairs whatsoever of the University and for that purpose to appoint bankers and any other officers or agents whom it may deem expedient to appoint.
8. To invest any moneys belonging to the University including any unapplied income in such stocks, funds, fully paid shares or securities as the Council shall from time to time think fit whether authorised by the general law for the investment of trust moneys or not and whether within the United Kingdom of Great Britain and Northern Ireland or not (subject to the Charter) in the purchase of freehold or leasehold hereditaments in the United Kingdom including chief rents and ground rents with the like power of varying such investments from time to time provided that the Council may in its discretion retain as long as it shall think fit any investment given or bequeathed to the University although not coming within the description of investments authorised as aforesaid.
9. To sell, buy, exchange, lease and accept leases of real and personal property on behalf of the University.
10. To provide buildings, premises, furniture and apparatus and other means needed for carrying on the work of the University.
11. To borrow money on behalf of the University and for that purpose if the Council think fit to mortgage all or any part of the property of the University whether real or personal unless the conditions of any Will, Deed of Gift or other similar instrument are thereby contravened or give such other security whether upon real or personal property or otherwise as the Council think fit.
12. To enter into, vary, carry out and cancel contracts on behalf of the University.
13. To authorise the initiation of legal proceedings or defend or compromise legal proceedings in the name of and on behalf of the University.
14. To review the instruction and teaching of the University.

15. To promote and to make provision for research within the University and to require reports from time to time on such research.

16. To review, amend or refer back any act of the Senate required under these Statutes to be reported to the Council.

17. To refer to the Senate the names of persons proposed as recipients of honorary degrees and to approve or disapprove the names of persons proposed by the Senate as recipients of such degrees provided that no person shall be admitted by the University to an honorary degree whose name has not been approved for that purpose both by the Council and by the Senate.

18. To revoke Honorary Degrees on the recommendation of Senate.

19. To have the sole custody and use of the Seal.

20. To delegate all or any of its functions, powers and duties to any person or body subject to Statute Section 10 (20).

21. The Council shall not delegate responsibility for:

- (a) appointing the Vice-Chancellor
- (b) the variation, amendment or revocation of the Charter or Statutes;
- (c) the approval of the University's annual audited accounts;
- (d) appointing the Auditors of the University
- (e) making or amending Ordinances;
- (f) approving the annual budget

## **The Powers of Senate**

Subject to the Statutes and Ordinances the Senate shall have the following powers:

1. To act as the representative academic forum of the whole University, including all of its constituent Colleges and campuses.
2. To review the Education and Research Strategies of the University and make recommendations to Council for approval.
3. To scrutinise academic performance against targets and measures of success set out in the University Education and Research strategies.
4. To evaluate the implementation of policies and regulations for quality assurance of all University programmes.
5. To assure Council of the academic standards and quality of education leading to the University of Exeter degree awards and qualifications.
6. To scrutinise the strategic plans of the constituent Colleges of the University.
7. To oversee policies and procedures for student health, wellbeing and fitness to study, conduct and disciplinary matters, fitness to practice, academic and research misconduct, academic appeals and students' complaints, and delegate associated operational responsibilities to Faculties, Colleges and Professional Services.
8. To raise issues of major and strategic academic importance to the University.
9. To suspend, permanently expel or withdraw any student following action taken under University Regulations, including Disciplinary Procedures, Health, Wellbeing, and Fitness to Study Procedures, Fitness to Practice Procedures, and Academic and Research Misconduct Procedures.
10. To delegate specific responsibilities to the Faculty Boards and other bodies or committees of the University, as appropriate.
11. To appoint three members of the Senate to be members of the Council.
12. To make representation to the Council on all Statutes or Ordinances or proposed changes of Statutes or Ordinances and on any academic matter.
13. To formulate, modify, or revise schemes for the organisation of the Faculties, Colleges, Institutes, Delegacies, Boards or Departments of the University and to assign to them subjects and also to make recommendations to the Council on the establishment of other Faculties, Colleges, Institutes, Delegacies, Boards of Departments.

## **Vice-Chancellor's Executive Group**

### **Terms of Reference 2019/20**

#### **Purpose**

1. The Vice-Chancellor's Executive Group (VCEG) is the principal management group of the University. Its purpose is to support and advise the Vice-Chancellor in the performance of his duties as the University's Chief Executive Officer, within the delegation framework of the University.
2. It is responsible for developing and delivering the strategic plans of the University and for the effective management of the University, including agreeing core University policies.

#### **Developing and Delivering Strategy**

3. To develop and deliver the University's Corporate Strategy and core academic and enabling strategies for recommendation to Council.
4. To receive and approve from the Planning Review Group (PRG) five-year plans of Colleges and Professional Services, ensuring plans and budgets are consistent with the University's Planning Framework, and strategic priorities and targets. To recommend the University budget and five-year plans to Council.
5. On the recommendation of the Capital Investment Group (CIG), to agree the University's Capital Strategy and Programme for recommendation to Council and to scrutinise all major capital expenditure proposals, and recommend to Council those which pass the thresholds of delegated financial authority.
6. To understand and interpret the strategic environment in which the University operates, including disseminating information and consulting with the University about the strategic choices facing the University, and by identifying and responding to new external opportunities.
7. To receive regular strategic reports from the Provost, Deputy Vice-Chancellors, and the Registrar and Secretary on issues relating to their portfolios and arising from their individual management groups which they Chair. To receive reports from Pro-Vice-Chancellors on issues that arise at their College Executive Groups as required.

#### **Ensuring effective performance monitoring and management**

8. To monitor operating and financial performance and delivery against key performance indicators and implementation plans. This includes monitoring of admissions data; research awards, income and performance; business, commercial and philanthropic income and strategic partnerships; staff and EDI data; cyber security and IT; Strategic Delivery Unit projects.
9. Monitor the implementation of the delivery of the Capital Strategy and Programme on the advice of the Capital Infrastructure Group.
10. Considering an assessment of risk and appropriate mitigation measures and receive internal audit reports at the request of Audit Committee.

#### **Other procedural and regulatory roles**

11. To decide upon cases of academic probation/confirmation of appointment on behalf of Senate and Council, and agree the promotion criteria for recommendation to Senate and Council. A sub-

group of VCEG (the Academic Promotions Panel) will consider all Professorial and Associate Professor Promotion Cases on behalf of VCEG on a biannual basis.

12. To recommend to Council the approval of the University's key statutory returns, including Financial Statements, Annual Prevent Return, Access and Participation Plan, TRAC Return,
13. To put forward proposals for the conferment of honorary degrees to be approved by both the Council and the Senate.
14. To ensure Value for Money across the University.
15. To receive information regarding expenditure against the Provost's and Registrar's Strategic Funds, and the Equipment Fund.
16. Developing and ensuring effective implementation of University policies and HR codes of practice (not hitherto mentioned), namely:
  - a) Equality and diversity
  - b) Ethics
  - c) Workforce planning
  - d) Environment and sustainability
  - e) Health and safety
  - f) Communications
  - g) Corporate social responsibility
  - h) Fundraising
  - i) Due Diligence
  - j) Whistleblowing
  - k) Academic Freedom and Freedom of Speech

### **Membership**

Vice-Chancellor and Chief Executive [Chair]

Provost [Deputy Chair]

Registrar and Secretary (Deputy Chair in the absence of the Provost)

Deputy Vice-Chancellor (Education)

Deputy Vice-Chancellor (Global Engagement)

Deputy Vice-Chancellor (Research and Impact)

Pro-Vice-Chancellor and Executive Dean, College of Engineering, Mathematics and Physical Sciences

Pro-Vice-Chancellor and Executive Dean, College of Humanities

Pro-Vice-Chancellor and Executive Dean, College of Life and Environmental Sciences

Pro-Vice-Chancellor and Executive Dean, College of Social Sciences and International Studies

Pro-Vice-Chancellor and Executive Dean, University of Exeter Business School

Pro-Vice-Chancellor and Executive Dean, College of Medicine and Health

Pro-Vice Chancellor for Cornwall

Chief Financial Officer

Director of People Services

Director of Communication and Corporate Affairs

Director of Campus Infrastructure and Operational Support Services

Chief College Operations Officer

Director of Policy, Planning and Business Intelligence (in attendance)

The Vice-Chancellor's Executive Group will be supported by the Head of the Vice-Chancellor's Office (and deputies) and will meet on a weekly basis (Monday mornings) during academic term-time. It will also meet for a two-day away day in September a half-day away day in January, and may meet for other strategic away days as required.

## Planning Review Group

### Terms of Reference and Membership 2019/20

#### Authority

Planning Review Group (PRG) is an advisory body to the Vice-Chancellor's Executive Group (VCEG). Its role is to guide, scrutinise, challenge and support Colleges and Professional Services in their strategic and financial planning, ensuring delivery plans and financial budgets are aligned with our sovereign strategies and deliver our goals. PRG will make recommendations to VCEG on investments, strategic projects and implications of capital proposals.

PRG will do this by:

- Putting our Institutional strategy and its Sovereign strategies at the heart of the planning process and allocating resources effectively based on strategic decision making.
- Understanding the affordability of strategies through the review of future five-year financial plans.
- Ensuring strategic planning conversations consider step change rather than business as usual
- Maintaining autonomy of seven institutional budget holders (6 Colleges and PS) whilst ensuring resources are channelled strategically using an evidence based methodology to identify priorities.
- Integrating academic, financial, capital and PS planning into a holistic institutional planning process whilst recognising cross cutting functional leadership.
- Utilising existing and agreed governance structures to enable clear approval routes.
- Incentivising increasing levels of academic activity and income generation whilst ensuring growth is managed and sustainable and accompanied by concomitant investment in academic staff and the facilities required to support them.
- Giving VCEG, PVCs and PS flexibility in the way they deploy resources.
- Involving the student voice in the process.

#### Frequency of meetings

There will be up to four sets of PRG meetings during the planning and budgeting cycle:

- **PRG 1 (October)** In light of the VCEG Residential and Senior Management Group (SMG) Planning Day this meeting will focus on institution-level analyses and staff & student considerations. It will be an opportunity to 'set the scene' for the coming year ahead. Proposals for new revenue generation would be reviewed by exception in terms of impacts to business plans.
- **PRG 2 (December):** Guild/SU priorities (showcased at the SMG Planning Day) will also be given priority review. With the December student census completed, PRG will review the institutional financial position.
- **PRG 3 (March):** These meetings will be conducted with each college plus a single PS meeting. Meetings will cover five-year student numbers, research plans, staffing plans, and financial plans. The PS meeting will consider PS support for college strategies. Considerations will include staff and student size and shape.
- **PRG 4 (May):** These meetings will be conducted with the core PRG members with a single PS meeting. These meetings will discuss and agree the final institutional business plan (including staff and student size and shape) to put forward to VCEG and Council.

#### Duties

PRG will undertake activities relating to monitoring and planning. PRG will consider individual Colleges and the Professional Services plans against the background of the University's strategic priorities and targets. The key objectives of PRG are to:

- Enshrine accountability for delivering business plans and review the performance of colleges and professional services in achieving institutional priorities and targets;
- Enable us to allocate resources to areas of highest need;

- Allow us to produce budgets and targets which drive our capital, savings, income, and research plans;
- Inform the development of strategic planning priorities;
- Ensure integrated planning with the Capital Investment Group (CIG) and advise VCEG on the prioritisation of capital and infrastructure spend;
- Consider high level strategies for each college and a consolidated strategy for all professional services;
- Review in-year performance against student number and research targets to inform staffing plans;
- Ensure that the results of institutional change programmes are reflected in business plans and that students' interests are at the heart of our planning process;
- Agree college targets for five-year student numbers, staffing plans, research awards and IIB supported income on behalf of VCEG, ensuring they are on course to deliver the University's overall ambitions for the planning period;
- Agree College earnings targets, ensuring they are on course to deliver the University's overall finance strategy;
- Provide VCEG with update reports advising them of the degree to which agreed targets will deliver the University's ambitions for the end of the planning period;
- Scrutinise each College plan and a consolidated Professional Service plan to ensure that:
  - all plans are challenged and where necessary revised before submission to VCEG
  - they are contributing appropriately to the University's academic and corporate strategies, priorities and targets
  - targets are ambitious but realistic
  - expenditure in all budget centres is justified by the planned activity and is affordable
  - the cost base of all budget centres is rigorously scrutinised for efficiencies
  - investment budgets held by Colleges and the Professional Services are proportionate, and are being used appropriately
  - in-year savings are being redeployed to good effect
- Advise VCEG on the prioritisation of capital and infrastructure spend working with the Capital Investment Group (CIG), ensuring it is linked to academic and support service plans;
- Request the Strategic Delivery Unit, via the Strategic Delivery Group, leads on relevant initiatives as appropriate and received update reports on these;
- Recommend an appropriate budgetary ceiling for the Professional Services.

## **Membership**

Provost (Chair)

Deputy Vice-Chancellor (Global Engagement)

Deputy Vice-Chancellor (Research and Impact)

Deputy Vice-Chancellor (Education)

Registrar and Secretary

Director of People Services

Chief Financial Officer

Chief College Operations Officer

Director of Policy, Planning and & Business Intelligence

Chief Executive of the Student's Guild

For meetings of the PRG with Colleges the College Pro-Vice-Chancellor, Deputy Pro-Vice-Chancellor (where applicable) and Directors of College Operations are invited to attend including College Associate Deans as appropriate.

For meetings of the PRG to discuss Professional Services, the Registrar and Secretary will represent all professional services (PS) inviting individual PS Directors to attend where appropriate.

A member of Policy, Planning and Business Intelligence will attend as Secretary.

## **Attendance at Meetings**

The meetings will be quorate when five members of the Group are present. In the case of members of the Group being unable to attend, there are to be no substitutes. Nominated subject-matter experts could be invited to present on particular agenda items.

## Provost's Advisory Group

### Terms of Reference and Membership 2019/20

The Provost's Advisory Group is a regular meeting of the Provost, Deputy Vice-Chancellors (DVCs), Pro-Vice-Chancellors (PVCs) and Professional Services (PS) Directors. The group will provide a forum for sharing challenges and opportunities in strategy delivery, for exploring synergies and best practice across Colleges and considering collective progress against institutional objectives. One to one meetings between the Provost and PVCs will also be held, as appropriate, including to discuss mentoring and support.

Principal duties of the Provost Advisory Group include:

- a) To discuss, decide, resolve and recommend where appropriate material matters that prevent, threaten or provide opportunities for Colleges, jointly or severally, to deliver their business plans, academic strategies or engagement with professional services.
- b) To report significant issues and opportunities to the Vice Chancellor's Executive Group.
- c) With alternative membership as appropriate, to advise the Provost in delivery of the University Strategy: Making the Exceptional Happen, Global Advancement along with Policy, Planning and Business Intelligence responsibilities.

The Provost's Advisory Group is distinct to, and will avoid duplication with, the Strategic Futures Group which is an Advisory Group to the Planning Review Group and specifically considers how we invest to achieve our strategic priorities.

#### Core Membership

- Provost [Chair]
- Deputy Vice-Chancellor for Global Engagement
- Deputy Vice-Chancellor for Research and Impact
- Deputy Vice-Chancellor for Education
- Pro-Vice-Chancellor and Executive Dean, College of Engineering, Mathematics and Physical Sciences
- Pro-Vice-Chancellor and Executive Dean, College of Humanities
- Pro-Vice-Chancellor and Executive Dean, College of Life and Environmental Sciences
- Pro-Vice-Chancellor and Executive Dean, College of Social Sciences and International Studies
- Pro-Vice-Chancellor and Executive Dean, University of Exeter Business School
- Pro-Vice-Chancellor and Executive Dean, University of Exeter Medical School
- Pro-Vice-Chancellor Cornwall
- Director of People Services
- Chief College Operations Officer
- Director of Policy, Planning and Business Intelligence

#### Extended Membership (as required)

Professional Services Directors or other colleagues will be invited to join the meetings as appropriate. Assistant DVCs may deputise by agreement but are not formal members.

**Meetings: The Provost Advisory Group will be supported by the Vice-Chancellor's Office and will meet on a monthly basis (Mondays 1200-1300) during academic term-time**

## **Internal Fundraising and Campaign Board Terms of Reference**

### **Terms of Reference and Membership 2019/20**

1. To provide advice and support to the Provost and Registrar and Secretary on the University's development agenda.
2. To support the development and implementation of the University 'Making the Exceptional Happen' fundraising campaign and the development of a future campaign.
3. To facilitate cross-college partnership initiatives in furtherance of the development and implementation of the University's Global Advancement agenda.
4. To share and update on progress from across the campaign with updates from the Director, Global Advancement, and Pro Vice-Chancellor's in respect of the University's development agenda.
5. To facilitate consultation between Colleges and the Professional Services in respect of developments affecting the delivery of the development agenda.
6. To be a forum to identify, discuss and agree on priority projects for fundraising across the campaign themes, as well as identifying pathways to donors and advancement 'champions' within colleges.
7. To monitor progress towards the 'Making the Exceptional Happen' fundraising campaign, and consider risks and target setting through Planning Review Group (PRG).
8. The Board shall normally meet termly, with meetings timed (as far as possible) to coincide with reporting to External Campaign Board. The Chair/s may call an Extraordinary Meeting at their discretion.
9. Terms of Reference, Membership and activities shall be reviewed on an annual basis.

### **Core Membership**

Chair: Provost (Prof Janice Kay) and Registrar and Secretary (Mike Shore-Nye)

Secretary: Business Manager to the Provost

Pro-Vice-Chancellor, Business School (Prof David Allen)

Pro-Vice-Chancellor, College of Engineering, Mathematics and Physical Sciences (Prof Ken Evans)

Pro-Vice-Chancellor, College of Humanities (Prof Andrew Thorpe)

Pro-Vice-Chancellor, College of Life and Environmental Sciences (Prof Dan Charman)

Pro-Vice-Chancellor, University of Exeter Medical School (Prof Clive Ballard)

Pro-Vice-Chancellor, College of Social Sciences & International Studies (Prof Wendy Robinson)

Pro-Vice-Chancellor, Cornwall (Prof Dave Hosken)

Director, Global Advancement (Dr Shaun Curtis)

Head of Philanthropy, Global Advancement (Jonathan Snicker)

Head of Supporter Engagement, Global Advancement (Dave Watson)

Head of Operations, Global Advancement (Lisa Williams)

## **Research and Impact Executive Group**

### **Terms of Reference 2019-20**

#### **Purpose**

1. The Research and Impact Executive Group (RIEG) supports and advises the Deputy Vice-Chancellor for Research and Impact on matters relating to the management and strategic direction of the university in relation to research, impact and innovation.
2. The Group is responsible for developing and delivering the Research and Impact Strategy, one of the sovereign strategies in support of delivering Exeter's institutional strategy, and interfacing with relevant management groups to ensure joined up delivery across the University's other sovereign and enabling strategies, including: Global Strategy Board; Education Executive.
3. To identify items requiring consideration by Dual Assurance for Research, Impact and Business, to which the Group reports into and is governed through.

#### **Developing and delivering strategy**

4. To oversee, develop and proactively manage, on behalf of the institution, research, impact and innovation strategies and policies, in conjunction with all academic and relevant professional services communities.
5. To oversee the PGR and ECR strategic plans as an integral part of the Research and Impact Strategy, to receive reports from the ECR Liaison Group, and to receive reports, approve plans, and monitor progress from the Doctoral College Executive Board and the Doctoral College Management Group via the Dean of Postgraduate Research and of the Doctoral College.
6. To develop and monitor implementation plans in support of our Research and Impact Strategy themes and provide leadership with all associated activities, including setting strategic directions for research application and awards ambitions and research capacity building.
7. To receive and discuss reports and recommendations from Funder Advisory Networks, College research committees and other groups as appropriate.
8. To receive and approve the recommendations of nominated task and finish groups, sub groups and make proposals and recommendations to PRG and VCEG where appropriate.
9. Ensuring relevant external and internal intelligence is disseminated and acted upon, including to develop the institutional response for all relevant national consultations.
10. To advise and take note of associated strategies that have an impact on research, impact and innovation activity.

#### **Ensuring effective performance monitoring and management**

11. To monitor the performance, delivery and budgets in relation to implementation plans for research, impact and innovation related activity, to include, but not restricted to those outlined in the research and impact strategy, ensuring timely and appropriate delivery and value for money.
12. To manage the full cycle process of the institutional return to REF 2021 including the annual research monitoring exercise and Impact Case Study development, establishing policies for external review and communications plans.

#### **13. Membership**

Deputy Vice-Chancellor (Research and Impact) Professor Neil Gow (Chair)  
 Deputy Vice-Chancellor (Global Engagement) Professor Mark Goodwin  
 Director of Research Services and Doctoral College Drs Astrid Wissenburg  
 Director of Innovation, Impact & Business Sean Fielding  
 Associate Dean for Research (CEMPS) Professor Mat Collins  
 Associate Dean for Research (SSIS) Professor Anne Barlow  
 Associate Dean for Research (HUMS) Professor James Clark  
 Associate Dean for Research (UEMS) Professor Paul Francis  
 Associate Dean for Research (REF) (UEMS) Professor John Campbell  
 Associate Dean for Research (CLES) Professor Nina Wedell  
 Associate Dean for Research (UEBS) Professor William Harvey  
 Dean of Postgraduate Research and of the Doctoral College Professor Andrew McRae  
 University Librarian James Anthony Edwards  
 Director of College Operations (HUMS) Dr Clare Wydell<sup>3</sup>

#### 14. Co-opted members (in attendance)

The Assistant Directors from the joint division of RS, IIB and DC will be in attendance at relevant meetings, together with any other appropriate colleagues from Professional Services, as required.

#### 15. Early Career Researcher (ECR) and Postgraduate Representation

Representatives from Exeter and Cornwall, and Postgraduate Researcher (PGR) representatives from the Students Guild and the Students Union/FXU, and representatives from the ECR Liaison Forum, will attend termly meetings at which Doctoral College business relevant to ECR and PGR will be scheduled.

#### 16. Attendance and deputies

Attendance by all members is expected on a regular basis, and nominated deputies should attend in circumstances where it is not possible. At the beginning of each academic year, the Associate Deans for Research will provide a nominated individual to act on their behalf in the event that they are unable to make a specific meeting.

#### 2019-2020 nominated deputies for members

Professor Neil Gow	N/A
Professor Mark Goodwin	N/A
Drs Astrid Wissenburg	N/A
Sean Fielding	IIB Assistant Directors
Clare Wydell	TBC
Professor Mat Collins	Professor Beth Wingate
Professor Anne Barlow	Professor William Gallois
Professor James Clark	Professor Esther Reed
Professor Paul Francis	Professor Noel Morgan
Professor Nina Wedell	Directors of Research, CLES
Professor William Harvey	Professor Julian Jamison
James Anthony Edwards	TBC
Professor Andrew McRae	Professor Kim Soin

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<sup>3</sup> Stepping in for Linda Peka, Chief College Operations Officer, for an interim period.

## Education Executive Group

### Terms of Reference and Membership 2019-20

#### Membership

Professor Tim Quine (Chair)	Deputy Vice Chancellor (Education)
Professor Rob Freathy (Deputy Chair)	Academic Dean for Students
Professor Beverley Hawkins	Associate Academic Dean for Students
Linda Peka	Chief College Operations Officer
Ian Blenkharn	Director of Education and Student Support
Roni Roberts	Head of Teaching Quality Assurance & Enhancement
Professor Pete Vukusic	Associate Dean (CEMPS)
Professor Sue Prince	Associate Dean (SSIS)
Professor Jo Gill	Associate Dean (HUMS)
Professor Richard Winsley	Associate Dean (CLES)
Professor David Boughey	Associate Dean (UEBS)
Dr Ian Fussell	Vice-Dean Education (UEMS)
Penny Dinh	Guild Vice-President Education
Joe Rigby	'SU in Cornwall Exeter President
Paul Blackmore	Head of Student Employability & Academic Success
Dr Gillian Auld	Manager, Academic Development and Enhancement
Dr Sarah Dyer	Director of the Exeter Education Incubator
Rick Walker	Programme Manager, EdTech Exeter
Peter Rayment	IT Business Partner (Education)
James Anthony-Edwards	University Librarian
Jonnie Critchley	Business Manager to the DVC Education

#### Attendees:

In addition to the above:

- the Executive PA to the DVC (Education) will attend to take minutes
- A rotating representative of the Education Business Partners (EBPs) will attend each meeting
- Guests will attend to speak to items of business as required

#### Purpose and plans

The Group has been established to:

1. Be an advisory group to the DVC (Education) on all matters related to education and the student experience, with a particular focus on the implementation of the University's Education Strategy;
2. Be accountable to the Vice-Chancellor and the Executive Group for all matters that the Deputy Vice-Chancellor has delegated to Education Executive on education and student experience matters;
3. Lead the implementation of the University's new Education Strategy, launching in September 2019;
4. Oversee and scrutinise continuous improvement to teaching, learning and student experience through Teaching Excellence Action Plans (TEAPs)
5. Provide a forum for sharing best practice across Colleges and Professional Services
6. Provide strategic steer and insight into education and student experience related projects across the institution
7. Consider the student voice when undertaking education decisions and promote the contribution of students to decision-making.
8. Steer the University's preparation for, and participation in, the Teaching Excellence Framework (Provider and Subject-Level) and other external accountability and assessments
9. Steer and lead the University responses to education and student experience related national consultations and input into UUK and Russell Group responses on behalf of the University

### **Relationship with other groups**

As a management Group of VCEG, Education Executive is fundamentally responsible for undertaking the management decisions around the Education Strategy and delivery of education. A summary report will be shared with VCEG following each meeting. The Taught Faculty Board is responsible for overseeing the quality and standards of programmes and approving education related policy (on behalf of Senate). Where items for consideration by Education Executive or the Taught Faculty Board are not clearly defined, then the DVC Education and Academic Dean for Students shall agree the appropriate governance route.

Led the DVC Education, Education Executive will liaise closely with the Research and Impact Executive Group and Global Strategy Board to ensure alignment across the University's sovereign strategies.

As required, Education Executive will receive business from and feed into College Education Strategy Groups, via Associate Deans (Education). Similarly, the Group interacts with others including:

- The Guild's Academic Executive and 'SU in Cornwall's Subject Chairs' Working Group
- Social Mobility Strategy Group
- Degree Apprenticeship Steering Group
- EdTech Exeter Programme Board
- Dual Assurance (Education)
- Management of Academic Representation Working Group
- Education IT Service Owner Board
- Aspire Management Group

**Meeting Frequency:** The Group meets on a monthly basis from September – July, with two Away Days in addition.

**Sharepoint Site:** The Education Executive Sharepoint site hosts all meeting papers and other documents, as well as other supporting information for the group. All members have access, and the Sharepoint site is also shared with Directors of Education (to view only).

**Preparation of papers:** All papers for Education Executive should be discussed and submitted to Jonnie Critchley, Business Manager to the DVC Education, according to the Schedule of Business. Papers should be prepared using the 'Guidance for Drafting Papers', and be submitted with an Education Executive coversheet. The Schedule of Business and meeting agendas are structured with alignment to the Education Strategy, TEF, and Teaching Excellence Action Plans in mind - proposed papers will be considered in this light.

## **Global Strategy Board**

### **Terms of Reference and Membership 2019-20**

#### **Membership**

- Deputy Vice-Chancellor for Global Engagement (Chair)
- All six Associate Deans for Global (ADGs )
- Assistant DVCs (regional)
- Director of Global Exeter
- Head of Global Partnerships
- Academic Dean for Students / Dean of the Faculty of Taught Programmes
- Dean of Postgraduate Research and of the Doctoral College
- Director of Education and Student Support
- Director of Communications and Corporate Affairs
- Director of Global Advancement
- Director of Research Services and the Doctoral College
- Director of IIB
- Director of PPBI
- GCRF Strategy Group representative

**Secretariat:** Business Manager to the DVC Global Engagement

#### **Terms of Reference**

- To oversee progress in delivering the Global Strategy and to address associated opportunities and challenges.
- To support and advise the Deputy Vice Chancellor Global Engagement in leading delivery of the Global Strategy.
- To direct the work of the Global Strategy Working Group in delivering the Global Strategy and receive reports from the Working Group on progress.
- To ensure a coordinated approach across Colleges and Professional Services.
- To oversee global partnership development, helping to shape and recommend proposals for tier 1 partnerships and to monitor and advise on other partnership activity.
- To identify items requiring consideration by Dual Assurance Global Strategy.
- To receive updates from the ADIDs on progress in implementing their College Global Plans.
- To receive updates from, and delegate oversight of the Strategy for priority regions to, the regional strategy boards and groups, to ensure alignment of regional activities to deliver the aims of the Global Strategy.
- To interface with relevant management groups to ensure joined up delivery across the University's sovereign and enabling strategies, including: Education Executive; Student Recruitment Strategy Group; Research and Impact Executive Group; and other Dual Assurance groups.
- To share information with other relevant University groups, such as the Global Challenges Research Fund (GCRF) Funder Advisory Network.
- To review and approve global partnership proposals, with responsibility delegated to the Head of Global Strategy.
- To report to VCEG and Council on progress in implementing the Global Strategy and implement actions as directed by VCEG.
- To meet every two months



## Regional Strategy Group

### Terms of Reference and Membership 2019-20

#### Purpose

The purpose of the Strategy Group is as follows:

- To oversee the development and delivery of the University's overarching Regional Strategy, which will sit above a number of other strategies with regional components already developed and being implemented.
- To develop and oversee the implementation and monitoring of a communications plan for the University's Regional Strategy.
- To develop and oversee a plan of external stakeholder engagement relating to the University's Regional Strategy, including potential inclusion of external stakeholders in the Regional Strategy Group.
- To provide oversight of the Regional Skills Strategy and regional aspects of the University's Widening Participation Strategy.
- To take oversight of our strategic and formal partnerships with other regional educational providers, namely South Devon University Technical College, Exeter Mathematics School, the South West Institute of Technology, Exeter College, and the Ted Wragg Trust.
- To provide oversight of the University's Arts and Culture Strategy.
- To provide oversight of the University's Community Engagement Strategy and Civic University agenda.
- To develop and oversee strategic engagement with the Heart of the South West Local Enterprise Partnership and the Cornwall and Isles of Scilly Local Enterprise Partnership.
- To oversee the University's strategic approach to engagement with regional employers.
- To develop a set of deliverables and targets for the University's regional activity.
- To ensure that regional strategy is informed by, and informs, the College PRG process, the Research and Impact, Education and Global strategies, and our engagement with GW4.
- To ensure that the University's relevant knowledge assets, including our world-class research institutes, are deployed to support regional impact in line with regional aspirations.
- To ensure that the University maximises influence and income from regional growth bodies in order to deliver its Research and Impact, Education and Global strategies.
- To agree a programme of work to ensure the delivery of the Regional Strategy.
- To provide oversight for the ESIF Risk and Compliance Group.

To monitor and maximise funding from regional sources.

#### Membership

Chair: Provost, Professor Janice Kay

Independent Council Member: Glenn Woodcock

Deputy Chair: DVC Education, Professor Tim Quine **(to take over Chair within six months to one year of operation)**

College PVCs:

Professor Ken Evans

Professor Andrew Thorpe

Professor David Allen

Professor Dan Charman

Professor Richard Smith (nominee of Professor Clive Ballard)

Professor Wendy Robinson

Registrar and Secretary  
Director, Innovation, Impact and Business (IIB)  
Assistant Director, IIB  
Assistant Director, Research Services  
Dean of Strategic Development (Cornwall)  
Head of IIB (Cornwall)  
Head of Student Employability and Academic Success  
Deputy to the DVC Research and Impact (tbc)  
Senior Representative from CAMS (Garth Davies)  
Arts and Culture Strategy Lead: Sarah Campbell

Professor Neil Gow (DVC Research and Impact) - ex officio to receive papers and attend where possible.

***Key Smart Specialisation Advisers (to be invited to relevant agenda items only):***

Professor Juliet Osborne (Environment)  
Emma Bland (e-Health/ Healthy ageing)  
Professor Lars Johanning (Marine Renewables)  
Professor Dave Hosken (Agri Tech)  
Professor Richard Everson (Big Data)  
Professor Rob Hicken (Photonics)  
Professor Chris Smith (Aerospace)  
Professor Tim Lenton (Global Environmental Futures)  
Professor Tim Kendall / Professor Stephen Hodge (Arts and Culture)  
SSIS representative TBC (Government and Society/ Social Mobility)

**Secretariat**

The Group will be serviced by the IIB Regional Impact and Innovation Team. Chris Evans, Assistant Director, IIB is the lead officer with Niki Thomas providing administrative support.

**Schedule of meetings**

The Group meets quarterly.

**Specific Tasks include:**

- Ensure that the Regional Strategy is informed by all other related strategies
- Ensure effective communication and join up between the Regional Strategy and college planning process
- Receive briefings and provide input on the work of Exeter City Futures and ExeterLives
- Influence and respond to smart specialisation strategies, higher level skills strategies and local economic plans of the LEPs
- Advise on and the influence the development of the Greater Exeter Economic Plan and Local Industrial Strategies – and the development of a regional innovation ecosystem led by the University
- Support University representation on LEP Boards and related decision-making structures
- Map strategic influence and identify gaps
- Identify a list of key regional stakeholders and customers and develop engagement plans
- Map key knowledge assets that align with regional priorities, with a view to developing a clear University offer
- Support the VC and other VCEG members in their external communications and relationships with key regional players
- Develop a regional impact metrics framework and targets to measure success
- Advise on, and support the delivery of, a vision for the Science Park and Innovation Centre
- Ensure that the linkages between corporate partners and the regional growth agenda are maximised
- Use our regional position to influence related national and international developments
- Provide oversight for bidding opportunities, monitor delivery of projects and manage risk

## **Professional Services Leadership Team**

### **Terms of Reference and Membership 2019-20**

The Terms of Reference in respect of the Professional Services Leadership Team (PSLT) are agreed as follows:

#### **Strategic**

1. To advise the Registrar on emerging issues of strategic importance to the Professional Services of the University
2. To horizon scan across the sector in order to bring matters and recommendations to the attention of SMG and VCEG as appropriate
3. To provide Professional Services with coherent and strong leadership including effective decision making as appropriate
4. To enable culture change in support of continuous improvement

#### **Tactical**

1. To support the personal development of PSLT members
2. To support the creation of an effective PSLT team whose work is aligned with the Institution's strategy and who proactively work together to find effective solutions to operational problems
3. To act as a forum for discussion, escalation of key issues, information sharing and best practice development between Professional Service senior leaders
4. To meet weekly reflecting VCEG meetings and as needed during the summer months
5. To discuss, review and plan inputs and outputs from the VCEG agenda
6. To develop ideas, initiatives and policy proposals for the benefit of the institution to be shared and discussed with VCEG
7. To coordinate PS responses to sector consultations in support of VCEG's institutional response
8. To discuss, review and approve PS communications in relation to projects and initiative that impact directly on College teams

#### **PSLT member commitments**

1. To operate in a way that takes account of the University's commitment to Corporate Social Responsibility, Equality Diversity, Inclusivity and our Values
2. To support the conduct of the meeting as an exemplar of collegiate team working
3. To cascade as appropriate information/action points from PSLT to their teams and relevant stakeholders
4. To prioritise attendance, proactively contribute to the agenda and to the debate within the meeting

#### **Membership**

Mike Shore-Nye (Chair)	Registrar and Secretary
Vic Alcock	Head of Vice-Chancellor's office
Tom Begbie	Director of College Operations, SSIS
Ian Blenkharn	Director of Education and Student Support
Rachel Burn	Director of College Operations, CMH

Jane Chafer	Director of Communications and Corporate Affairs
Andrew Connolly	Chief Financial Officer
Joff Cooke	Chief Executive, Students Guild
Shaun Curtis	Director of Global Advancement
Matt Davey	Director of College Operations, Business School
Cathy Durston	Director of College Operations, EMPS
Sean Fielding	Director of Innovation, Impact and Business
Sophie Hawkes	Business Manager to Registrar & Secretary
Alan Hill	Chief Information and Digital Officer
James Hutchinson	Director of Strategic Delivery Unit
Chris Lindsay	Director of Compliance, Governance and Risk
Craig Nowell	Director, Campus Infrastructure and Operational Support Services
Linda Peka (Deputy Chair)	Chief College Operations Officer
Imelda Rogers	Director of Human Resources
Neal Whitfield	Director of College Operations, CLES
Astrid Wissenburg	Director of Research Services
Clare Wydell	Director of College Operations, HUMS
Michael Wykes	Director Policy, Performance and Business Intelligence
Amie Fulton	Director Cornwall Operations

**Additional CIOSS representatives on rotation**

Hugh McCann, Alison Davidson, Peter Scargill, Gail Reeves

**In attendance on monthly basis:**

Tony Sanders                      Managing Director, FXPlus

**Secretary:**

Rachael Cameron                Executive PA to the Registrar and Secretary

Deputies will only be accepted by prior agreement of the Chair and only in relation to long term absence of the PSLT member or for the personal development of others.

## Capital Investment Group

### Terms of Reference and Membership 2019-20

#### 1. Reporting

- a) The Capital Investment Group (CIG) reports to Vice Chancellor's Executive Group (VCEG).
- b) The Digital and IT Strategy Board, Equipment Fund Portfolio Board, Cornwall Strategic Infrastructure Group (SIG), Long Term Maintenance (LTM) Portfolio Board, St Luke's Strategy Group and Project Monitoring Groups report to CIG.

#### 2. Group Remit

The remit of the group is to:

- a) Consider proposals to invest in new projects that give rise to assets that may be deemed to be financed from capital or revenue budgets. The remit therefore includes major Digital and IT, Research and Teaching Equipment and Long Term Maintenance projects that have a substantial asset or asset-related component whether these are capitalised or not.
- b) Consider proposals that cover all entities within the University Group unless an approval process has been specifically delegated to an entity, which would typically only be done for projects below a de-minimis level.
- c) To receive and review reports from the Digital and IT Strategy Board, Equipment Fund Portfolio Board, Cornwall Strategic Infrastructure Group (SIG), Long Term Maintenance (LTM) Portfolio Board, St Luke's Strategy Group and Project Monitoring Groups.

#### 3. Terms of Reference

- a) To approve and keep under continual review capital procedures, including those relating to project proposals, business cases, approvals, monitoring, dealing with budget variances and change requests.
- b) To develop and produce the Master Plan(s) and Capital Strategy for Streatham, St Luke's and Cornwall Campuses as appropriate.
- c) To align the capital activity with the strategic imperatives of size and shape as defined through the Planning Review Group (PRG) process and feedback into the PRG process.
- d) To ensure all investment projects represent best value and develop benchmarks where possible to evidence best value.
- e) To ensure the 5-year capital programme is contained within the limits of Capital Fund balances, adhering to any agreed policy on minimum levels of balances set by Council.
- f) To ensure the programme portfolio is delivered within budget via proactive monitoring and control of capital expenditure against the annual capital budget. To alert VCEG of over-spends (that exceed the lower of 10% or £1m of approved project budget) and propose remedial action.
- g) To ensure the revenue consequences (both cost and income) of project business cases and capital approvals are reflected in baseline revenue budgets and built into the business planning process.
- h) To review and scrutinize investment proposals, their return(s) on investment and benefits, where appropriate making recommendations for approval by VCEG<sup>4</sup>
- i) To advise and update VCEG and the Dual Assurance partnerships in the development, assessment, review, implementation and delivery of Capital Strategies and Programmes for Exeter and Cornwall Campuses.
- j) To ensure investment business cases are consistent with all relevant University Strategies to enable Our Strategy.
- k) To ensure demonstrable line of sight between corporate, portfolio and project business benefits.

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<sup>4</sup> VCEG can approve projects up to £1m on the recommendation of CIG. Projects over £1m require Council approval.

- l) To consider project proposals at their formative stage, to input into options, solutions, policy considerations and affordability constraints, before formal investment proposals are subsequently presented for consideration.
- m) To commission post project appraisals on all projects whose costs exceed £5m and on any other project the Group consider would benefit from such a review.
- n) To review and prioritise the Long Term Maintenance programme prior to the start of the financial year and to assure VCEG on adequacy of the resources provided for Long Term Maintenance.
- o) To oversee portfolio reporting from Digital and IT Strategy Board and Equipment Fund Portfolio Board.
- p) To establish Project Management Groups to take forward detailed planning of individual projects, and to receive reports from them.
- q) To undertake consultation with relevant internal and external stakeholders and to support negotiation with the local authorities.
- r) To promote and encourage cultural change to improve the efficiency and utilisation of the estate and best use of digital and IT.
- s) To scan the horizon with respect to competitors' capital strategies, plans and developments.
- t) To promote and ensure awareness/delivery of Equality, Diversity and Inclusivity requirements are included within Business Cases.

#### **4. Responsibilities of Membership**

- a) Members must act in a corporate capacity. Whilst they will bring particular insights given their specific job and location, members are not there to represent interests.
- b) Members are required to declare an interest in particular proposals. They may be invited by the Chair to offer factual points of clarification but are not permitted to be part of the detailed discussion.

#### **5. Membership**

**Chair:** Registrar and Secretary – Mike Shore-Nye

##### **Membership:**

Provost – Professor Janice Kay (Deputy Chair)

DVC (Global Engagement) – Professor Mark Goodwin

DVC (Education) – Professor Tim Quine

DVC (Research & Impact) – Professor Neil Gow

Director of People Services – Imelda Rogers

Chief Financial Officer – Andrew Connolly

Director of Campus Infrastructure & Operational Support Services (CIOSS) – Craig Nowell

Chief Information & Digital Officer (CIDO) – Alan Hill

Chief College Operations Officer – Linda Peka

Director of Policy, Planning & Business Intelligence (PPBI) – Dr Michael Wykes

Director of Strategic Delivery Unit – James Hutchinson

President of the Students' Guild – Patrick Hoyle

##### **In attendance:**

Director of Estate Services – Hugh McCann

Director of Estates for FX Plus – Sarah Roby

Head of Projects for FX Plus – Dominic O'Neill

Capital Programme Accountant – Marilyn Grigorey

Business Manager to the Registrar – Sophie Hawkes

##### **Invited attendees:**

Dual Assurance Lead for Infrastructure – Sarah Buck OBE

Dual Assurance Lead for Finance – Alison Reed

**Secretary:**

Estate Services nominee

## **Standing Committee of Council 2019/20**

### **Terms of Reference:**

- The Committee deals with urgent issues at the request of Council between meetings of Council which cannot wait until the next meeting of Council.
- The Committee will not initiate consideration of issues nor will it make major strategic decisions. Where such matters require urgent attention, they shall be dealt with through a special meeting of Council as described in section one of the standing orders.
- Its actions will be reported to the next available meeting of Council.

### **Membership:**

- The Pro-Chancellors
- The Vice-Chancellor and Chief Executive
- The Registrar and Secretary
- The Provost
- An independent member of Council

Officers such as the Chief Financial Officer may attend meetings.

## **Audit Committee 2019/20**

### **Terms of Reference of the Audit Committee**

In these terms of reference, "University" shall be taken to refer to the whole University group, or activities, including subsidiaries and joint ventures.

#### **1. Constitution**

Council has established a Committee (of Council) known as the Audit Committee.

#### **2. Membership**

The Committee (and its chair) are appointed by Council and consists of Independent Members with no executive responsibility for the management of the University. There shall be no fewer than three Members; a quorum shall be at least two Members. The Chair of Council should not be a Member of the Committee and Members should not have significant interests in the University.

The Committee shall consist of at least three Independent Members of Council, and include the Council Dual Assurance Lead for Risk and the Council Dual Assurance Lead for Finance and Investments. At least one Member should have recent and relevant experience in finance, accounting or auditing and not all members are expected to have the same level of accounting expertise. The Committee may, if it considers it necessary or desirable, coopt members with particular expertise.

#### **3. Attendance at meetings**

The Registrar and Secretary, the Chief Financial Officer, the Director of Policy, Planning and Business Intelligence, the Director of Compliance Governance and Risk and representatives of the external and internal auditors shall usually attend meetings where business relevant to them is to be discussed.

However, at least once a year the Committee will meet with the external and internal auditors without any officers present.

#### **4. Frequency of Meetings**

Meetings shall normally be held at least four times each financial year. The external or internal auditors may request a meeting if they consider it necessary.

#### **5. Authority**

The Committee is authorised by Council to investigate any activity within its Terms of Reference. It is authorised to seek any information it requires from any employee and all employees are directed to co-operate with any request made by the Committee.

The Committee is authorised by Council 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 Vice-Chancellor and/or Chair of Council.

The Audit Committee will review the audit aspects of the draft annual financial statements of the University. These aspects will include the external audit opinion, the statement of members' responsibilities, the statement of internal control and any relevant issue raised in the external auditors' management letter (and will include Office for Students' Accounts Direction). The Committee will, where appropriate, receive advice on the appropriateness of the accounting practices and policies. The Committee will, where appropriate, confirm with the internal and external auditors that the

effectiveness of the internal control system has been reviewed, and comment on this in its annual report to Council. Council will review the annual report and the efficacy of Audit Committee.

## **6. Duties**

### **Effectiveness of Financial Control and Governance**

- To review the effectiveness of financial and other control systems
- To ensure that all significant losses have been properly investigated and that the internal and external auditors and the Office for Students have been informed, where appropriate.
- To oversee the University's policy on fraud and irregularity, including being notified of any action being taken under that policy.
- To oversee the University's corporate governance arrangements.
- To monitor annually, or more frequently if necessary, the implementation of approved recommendations relating to both internal and external audit reports and management letters.
- To monitor the performance and effectiveness of internal and external audit services, including any matters affecting their objectivity, and make recommendations to Council regarding their reappointment.
- To promote co-ordination between the internal and external auditors.
- To monitor the University's arrangements to promote economy, efficiency and effectiveness (value for money).

## **7. Risk Management**

To keep under review the effectiveness of the risk management, control and governance arrangements in place across the University, including:

- (a) The role of the Vice-Chancellor's Executive Group as the body responsible to Council for the effective management and monitoring of risk (to include the receipt of regular reports on the Group's consideration of risk);
- (b) The Risk Dual Assurance Group, as the body responsible for risk review (including the identification and scoring of risk and ensuring other Dual Assurance groups are aware of the risks impacting on their particular areas of responsibility)

To advise Council on Risk Management by ensuring appropriate audit work in risk management.

## **8. Internal Audit**

To advise Council on the appointment and terms of engagement of the internal audit service, the audit fee, the provision of any non-audit services by the internal auditors and any questions of resignation or dismissal of the internal auditors.

To consider and advise Council on the risk based strategic and annual plans for the internal audit service, ensuring the internal audit function on a regular basis addresses the University's top risks in the risk register where an internal audit is considered to be the best means of receiving assurance on the management of those risks and receiving presentations on controls and mitigation where the risk is not subject to internal audit.

The Committee will ensure that the resources made available for internal audit are sufficient to meet the University's needs (or make a recommendation to Council as appropriate).

To consider major findings of internal audit investigations and management's responses and to advise Council on internal audit reports.

To receive an annual report from the internal auditors, which should include an opinion on the degree of assurance that can be placed upon the system of internal control.

## **9. External Audit**

- To advise Council on the appointment of the external auditors, the scope of their work, the audit fee, the provision of non-audit services by the external auditors and any questions of resignation or dismissal of the external auditors.
- To discuss with the external auditors, before the audit begins, the nature and scope of the audit.
- To discuss with the external auditors problems and reservations arising from the interim and final audits, including a review of the management letter, informing management responses and any other matters the external auditors may wish to discuss (in the absence of management where necessary), and to advise Council accordingly.
- To consider elements of the University's annual financial statements in the presence of the external auditors, including the auditors' formal opinion, the statement of members' responsibilities and the statement of internal control, in accordance with the Office for Student's Accounts Direction.
- To consider advice from the external auditors on the appropriateness of accounting policies, estimates and adjustments.
- To monitor the level and activity of any non-audit work commissioned by the University to ensuring that external audit independence is not compromised.

## **10. Reporting to the Office for Students, HESA and other funding bodies**

To seek and assess information and evidence from management and auditors on the quality assurance and management of data submitted to HESA, Office for Students and other funding bodies (including the Student Loans Company).

## **11. Other**

- To receive and review reports, inspections and reviews relating to audit, prepared by the funding councils, the National Audit Office, European Commission and other similar bodies.
- To receive and review audit reports, inspections and reviews (which may be produced by auditors engaged by other bodies) in respect of Falmouth Exeter Plus and any other subsidiary or joint venture.
- In the event of the merger or dissolution of the University, to ensure that the necessary actions are completed, including arranging for a final set of financial statements to be completed and signed.
- To be called upon by Council in specific situations to request assurances as appropriate.

## **12. Reporting Procedures**

The Minutes of meetings of the Audit Committee will be circulated to all Members of Council (attached to agenda papers for Council meetings). The publication of Council minutes will include publication of the minutes of Audit Committee in section II.

The Audit Committee will prepare an Annual Report covering the University's financial year and any significant issues up to the date of preparing the report. The report will be addressed to Council and the Vice-Chancellor, summarising the activity for the year. It will give the Committee's opinion on the adequacy and effectiveness of the University's arrangements for the following: -

Risk management control and governance (the risk management element includes the accuracy of the statement of internal control included in the annual statement of accounts). o economy, efficiency and effectiveness(value for money)

Management and quality assurance of data submitted to HESA, Office for Students and other funding bodies.

This opinion should be based upon the information presented to the Committee, taking into account the advice received from the internal and external auditors. The Audit Committee Annual Report should be submitted to Council before the Members' Responsibility Statement in the Financial Statements is signed.

### **13. Clerking Arrangements**

The Deputy Secretary to Council will act as Clerk to the Committee.

## **Nominations Committee 2019/20**

### **Terms of Reference**

1. To make recommendations to Council for:
  - (a) the nomination of the Chancellor;
  - (b) the nomination of the Pro-Chancellors under Class I of Council membership;
  - (c) the nomination of the Chair of Council;
  - (d) nominations for the places under Class II of Council membership;
  - (e) nominations to Council committees and joint committees with Senate.
  - (f) nominations to Trusts associated with the University.
2. To review criteria for appointments from time to time, having regard to Council policy.
3. To promote equality and diversity through its selection of nominations to Council.
4. To review the arrangements for developing future leaders to senior management roles.
5. Responsibility for maintaining a useful and up to date skills matrix for Council membership.
6. Responsibility for reviewing the training and development needs of the governing body.
7. Responsibility for updating role descriptions for Council members and chairs of sub-committees.
8. Responsibility for oversight of reporting and reviewing conflicts of interest of members of Council.

The quorum necessary for the transition of business shall be four members, of which at least two shall be independent members.

### **Membership according to the Constitution**

Pro-Chancellors (ex officio)

Vice-Chancellor (ex officio)

Provost and Senior Deputy Vice-Chancellor (ex officio)

Registrar and Secretary (ex officio)

An Independent Member (not necessarily a member of Council), to be elected by all members of Council

### **In attendance:**

Director of HR Services

Alumnae representation following dissolution of Convocation

## Remuneration Committee 2019/20

1. The Terms of Reference of the Remuneration Committee are - taking account of the requirements of the Office for Students and guidance issued by the Committee of University Chairs - to:

- (a) Develop an overall reward strategy and policy to cover the remuneration, benefits and conditions of employment of the senior officers of the University.
- (b) Review and determine the remuneration, benefits and conditions of employment of the Vice-Chancellor's Executive Group ie:
  - Vice-Chancellor
  - Provost
  - Deputy Vice-Chancellors
  - Registrar and Secretary
  - Director of Human Resources
  - Chief Financial Officer
  - Director of Communications and Corporate Affairs
  - College Pro-Vice-Chancellors
  - Chief College Operations Officer
  - Director of Campus Infrastructure and Operational Support Services

taking account of affordability, comparative information on the remuneration, benefits and conditions of employment in the University sector and elsewhere as appropriate.

- (c) Note the decisions of the Professorial and Senior Salaries Committee, including any discretionary revisions to remuneration made between meetings of the Group.
- (d) Review any severance terms agreed (under the Committee's schedule of delegation for senior executive remuneration and severance) for members of the Vice-Chancellor's Executive Group on the termination of their employment, taking account of guidance issued by the Office for Students and the Committee of University Chairs.
- (e) Promote the University's responsibilities for equality and diversity by ensuring that relevant issues are given full consideration in all matters relating to the remuneration of all staff falling within the remit of the Committee.
- (f) Agree an annual framework of work
- (g) Provide an annual report (for Council and for publication) which is transparent and meets the requirements of good governance in accordance with the CUC Remuneration Code.
- (h) Agree what information about the work of the Committee and executive reward arrangements should be published on the University's Governance webpages (in addition to the annual framework of work and annual report).

## 2. Membership

- (a) The membership of the Remuneration Committee is:
  - Chair of Council
  - Two Pro-Chancellors

- Two other independent members of Council (one of whom will be the Dual Assurance independent lead for Equality and Diversity) appointed by Nominations Committee

(b) The Chair will be appointed by Council from among the independent members of the Committee.

### **3. Procedures**

- (a) The Committee will invite the Vice-Chancellor, the Deputy Registrar & Director of Human Resources, the Provost and the Registrar and Secretary to attend part of the Committee's meetings, in an advisory capacity, as required, to consider the University's Reward Strategy and practices and to provide information and answer any questions from the Committee.
- (b) No member of staff will be present when the Committee makes decisions on the reward of members of the Vice-Chancellor's Executive Group.
- (c) The University Committee Secretariat will act as Secretary to the Committee.
- (d) The Committee will determine its own timetable for meetings but will be expected to meet on a minimum of two occasions each year.