

## LSHTM: SCHEDULE OF DELEGATION

### Introduction

1. This schedule of delegation sets out the location of authority within the London School of Hygiene and Tropical Medicine (LSHTM) for particular types of decisions made in LSHTM's name and on its behalf. It provides a reference point to inform the locus of responsibility for categories of decisions. The delegation framework supports the governance arrangements for Council, Senate and the School's executive.

### Overarching schedule of delegation

2. The Council is responsible for approving the Strategy. The Director is responsible for implementing the Strategy, reporting to Council on progress towards achievement of the Strategy. The Director is responsible for ensuring that relevant associated strategies and budgets are developed and approved in support of the Strategy. The Council monitors institutional performance in the delivery of the Strategy and holds the Director to account for its implementation. The Charter sets out the areas that cannot be delegated by Council. In addition, some matters are reserved to Council to ensure its effective functioning and oversight. The terms and conditions of funding for higher education institutions between the Office for Students (OfS) and institutions also set out particular areas of responsibility for governing bodies. Council has adopted a Statement of Primary Responsibilities which is set out in Ordinance B.1.
3. The Director is appointed by, and is responsible to, the Council for the operational management of all aspects of LSHTM's work within the framework set out by the Charter, Statute and Ordinances, the terms and conditions of funding for higher education institutions and the wider statutory environment with which LSHTM is required to comply along with LSHTM's internal control environment which includes risk management and adherence to the LSHTM Financial Regulations. The Director has been designated by Council as the Accountable Officer under the terms and conditions of funding for higher education institutions: that is, the officer who reports to the OfS on behalf of the HEI. The Director delegates responsibility for specific aspects of LSHTM's management to the Deputy Director and Provost, the Pro-Director for Education, other senior academic leaders and senior administrative officers.
4. The Senior Leadership Team (SLT) advises the Director and is LSHTM's senior management team, comprising the Director, the Deputy Director and Provost, the Pro-Director of Education, Deans of Faculty and the Unit Directors, HR Director, the Chief Operating Officer and the Secretary and Registrar. SLT, in conjunction with senior administrative officers, advises the Director and makes executive decisions and also ensures that strategic issues are directed to the relevant committee, group or board for detailed scrutiny. It meets fortnightly and is responsible for: planning, co-ordinating and managing research, teaching and support services; scanning the external environment and analysing its impact on LSHTM; and considering and planning for the future. SLT undertakes regular reviews of the financial position of LSHTM and adjusts activities accordingly. SLT members, individually and collectively, advise the Director on the management of day-to-day business as well as its long-term future. Typical meetings review ongoing developments as well as considering specific topics arising from external stakeholders such as the OfS, Research England and the Department for Education. SLT also receives, for consideration, substantive agenda items for Council and its committees and for Senate. SLT receives proposals and recommendations from Management Board and approves as appropriate.

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5. Management Board oversees the day-to-day management of the School's academic and professional services functions, including monitoring operational plans, monitoring and mitigating risks, alerting the Senior Leadership Team to areas of concern and advising the Senior Leadership Team on scope for improving efficiency, reducing costs, generating income and increasing surplus. The Board is chaired by the Deputy Director and its membership comprises the Chief Operating Officer, the Registrar and Secretary, heads of professional services, the Faculty Operating Officers, the Unit Chief Operating Officers and a representative of the academic teaching staff. It advises SLT and Council and its committees on policies and procedures and approves internal policies for publication where such policies are not delegated to SLT or Council and its Committees. It provides regular updates on operational matters to SLT.
6. The senior academic authority at LSHTM is the Senate which is responsible, under the general superintendence of Council, for academic governance. It is responsible for setting the academic framework for research, teaching, learning and training at the School. The Senate has specific responsibility for matters relating to academic standards and academic freedom and is established in the Charter with its membership and terms of reference approved by Council through Ordinance C8. Matters relating to the establishment of academic standards and agreement of students' achievement of academic standards are managed by sub-committees and boards of Senate, including the Post Graduate Taught Committee, the Research Degrees Committee, the Student Experience Committee and the Boards of Examiners.
7. LSHTM possesses degree awarding powers but has not chosen to exercise them to date and continues to award degrees of the University of London. Consequently, awards should have regard to the provisions of the QAA's UK Quality Code for Higher Education and meet the requirements specified for University of London degrees, diplomas and certificates.
8. The academic organisation of the School comprises three Faculties and two Units. The academic structure of each Faculty and Unit may consist of academic departments, facilities, divisions, centres and other such groups as are contained therein. Council retains the authority to create, close, and approve the names of all Faculties and other equivalent groupings. The Director has delegated authority to make all other decisions on the academic organisational structure.
9. The Dean of each Faculty is responsible to the Deputy Director and the Unit Directors accountable to the Director for the leadership and overall management, including financial management, of their respective faculties and units in accordance with their remits and the School's policies and the Financial Regulations. They may delegate specific aspects of faculty management to Faculty Operating Officers, the Unit Chief Operating Officers, or to members of faculty and Unit academic leadership teams, but retain overall responsibility for their faculty.
10. The Deputy Director and Provost and the Pro-Director for Education provide leadership across LSHTM in relation to their remits. They are accountable, through the Director, for the delivery of the Strategy as it relates to their responsibilities and collectively through their contributions to SLT.

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11. The Chief Operating Officer (COO), the Secretary and Registrar (S&R) and other senior administrative officers are responsible to the Council, through the Director, for the oversight and leadership of the professional administrative and support services in accordance with their remits and the Financial Regulations. The Director of Finance is responsible through the COO and the Director for the financial management of LSHTM.

12. The Secretary and Registrar acts as the Secretary to Council.

### *Organisation of the professional services*

13. The professional services comprises a number of directorates and departments and deliver administrative and support services to LSHTM staff and students. The Directors and Heads of professional service departments are responsible for the organisation, delivery and quality of services in their remit. This remit normally extends to all areas within LSHTM, including the Units.

14. The Faculty Operating Officers and the Unit Chief Operating Officers report to the Chief Operating Officer and are responsible for most of the professional services staff employed directly by the Faculty or Unit.

15. Associate Deans for Research have cross-cutting responsibilities within their faculties for providing leadership on matters related to research.

16. Taught Programmes Directors have cross-cutting responsibilities within their faculties for providing leadership on matters related to student experience, teaching and learning, academic standards and the quality of the student experience on taught programmes.

17. Research Degree Programmes Directors have cross-cutting responsibilities within their faculties for providing leadership on matters related to student experience, teaching and learning, academic standards and the quality of the student experience on research degree programmes.

18. The Associate Deans for Student Experience, Quality and Standards, Head of the Doctoral College report to the Pro-Director for Education and have cross-cutting responsibilities within the School for providing leadership on these matters.

19. Heads of Department are responsible to Deans of Faculty for the activities, in particular relating to knowledge creation and dissemination, within their department/centre.

20. The Directors of Centres are responsible to the Deputy Director for the activities within their Centre.

21. For financial decisions, Council is responsible for approval of the Scheme of Delegation of Financial Authority contained within the Financial Regulations on the recommendation of the Finance and Development Committee. The Scheme of Delegation of Financial Authority contains the locus for the decision-making and the associated financial thresholds.

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22. For matters related to academic standards, awards and students, a series of delegations are made by the Senate as set out in the Academic Regulations Delegation Framework
23. 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.
24. 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.

### *The Units*

25. In February 2018, the MRC transferred two of its research units to the LSHTM. The Strategic Alliance Agreement between the School and MRC dated 31 January 2018 sets out the agreed terms for the transfer of the Units. The Units should operate similarly to the Faculties, subject to the same policies, modified only as required to take account of location and other specific local conditions and the continuing requirements and oversight from the MRC which would remain the primary funder.
26. The Units are headed by a Director whose appointment is made jointly between the School and the MRC. The process for appointing a Director is set out in Schedule x of the Strategic Alliance Agreement.
27. The role of the Unit Director is set out in Schedule 3 of the Strategic Alliance Agreement document.

### *Relationship with and ongoing commitments to the MRC*

28. The Units have ongoing commitments to the MRC. Clear expectations for management, finance, accountability, branding and translation, and for regular communication with MRC Head Office, are laid out in the Strategic Alliance Agreement and Unit Transfer Agreements.
29. The MRC remains the primary funder and reserves the right to withdraw or cease funding activities at quinquennial reviews.
30. The first Quinquennial review post-transfer will take place for the Gambia Unit in 2020 for the Gambia Unit taking effect from 2021, and for the Uganda Unit in 2022 overseen by SLT. Quinquennial reviews and reports will be presented to and approved by SLT before submission.

### *Capital funding and governance*

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31. The Unit Director can from time to time be invited by the MRC to bid for capital funding subject to any bid being approved through normal School processes. This will normally be through the annual planning and budget processes. The approval process for securing funding from either body is set out in the PMO Governance Model– LSHTM/MRCs Units Strategic Projects document. If the bid is successful, the project will be governed by the LSHTM Project Governance Framework.

### *Research ethics*

32. All research projects undertaken at LSHTM require ethics approval.

33. Neither the MRC/UVRI and LSHTM Uganda Research Unit, nor the MRC Unit The Gambia at LSHTM have their own ethics committee/Institutional Review Boards, but do have statutory obligations to seek ethics approval through their respective national government organisations. Both Units also have a mandatory scientific review prior to submission to the ethics committee (which LSHTM currently does not have).

34. Unit research projects will be subject to the 'fast-track' LSHTM ethics approval process once the relevant national approval has been obtained.

### *Staff*

35. Staff, employed directly by LSHTM on international contracts are subject to LSHTM policies.

36. Locally-employed staff are subject to local employment law and local HR policies.

### *Organisation of professional services in the Units*

37. The Chief Operating Officer, the Secretary and Registrar and the Directors and Heads of the Professional Services are responsible for the delivery and quality of services within their remit across LSHTM, including in the Units.

38. Professional services were established in the Units prior to joining LSHTM. These services included, finance, estates, human resources, IT, communications and research support. The heads of service report to the Unit Director or the Unit COO.

39. The heads of department in the Units will continue to be managed by the Unit COO or Director for 'pay and rations' but will be accountable to the relevant LSHTM head of service for the delivery of that service.

40. The practical arrangements for service delivery and reporting will be worked out between the relevant parties including through the use of Service Level Agreements.

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### Strategy

<b>Activity</b>	<b>Responsible Body or Individual</b>
Approval of the LSHTM Strategy	Council
Approval of LSHTM Key Performance Indicators	Council
Approval of Faculty and Unit strategies for Epidemiology and Population Health (EPH), Infectious and Tropical Diseases (ITD), Public Health and Policy (PHP), the MRC Unit The Gambia at LSHTM and MRC/UVRI the LSHTM Research Unit Uganda	SLT
Approval of Financial Strategy	Council on the recommendation of Finance and Development Committee and SLT
Approval of other enabling strategies (e.g. Estates, HR, IT)	SLT
Approval of academic strategies (including research, education, innovation)	Council on the recommendation of Senate and SLT
Reporting to Council on the approval of strategies and progress towards achieving them.	Director
Oversight of financial and business activities and LSHTM assets	Council

### Accountability for compliance with statutory and regulatory frameworks

<b>Activity</b>	<b>Responsible Body or Individual</b>
Compliance with the OfS regulatory framework and conditions of registration	Council
The proper use of public funds received through OfS, Research England and other funders	Council
Designated accountable person for OfS	The Director
Compliance with charity law	Council
Compliance with the integrated public sector equality duty	Council
Compliance with legislation and regulatory frameworks relevant to the higher education sector (including UKVI, Competition and Markets Authority, Information governance and the ICO)	The Director
Ensuring that there is an adequate system for the management of risk	Council through Audit and Risk Committee
Setting Value for Money (VfM) targets	The Director and Finance and Development Committee
Approving and monitoring progress against the Value for Money (VfM) Strategy and targets	Council through Finance and Development Committee
Reviewing the effectiveness of the systems for obtaining VfM	Council through Audit and Risk Committee
Compliance with OfS Audit Code of Practice	Council through Audit and Risk Committee

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The quality of data returned to statutory and regulatory bodies. This includes but is not limited to the Higher Education Statistics Agency (HESA), the HESES and other data returns submitted to the OfS, and Research England	The Director
Ensuring effective arrangements for the management and quality assurance of data submitted in HESA and HESES returns and data returns to other external agencies and funders.	Council through Audit and Risk Committee
Ensuring an effective framework to manage the quality of learning and teaching and to maintain academic standards	The Deputy Director as Chair of Senate, subject to review by Council

### Budgets and the allocation of resources

Activity	Responsible Body or Individual
Financial Regulations incorporating Scheme of Delegation of Financial Authority	Finance and Development Committee recommends, Council approves
Approval of the annual budget	Finance and Development Committee recommends, Council approves
Approval of the annual capital expenditure plan and prioritisation	Finance and Development Committee recommends, Council approves
Ensuring the adequacy of LSHTM's insurance arrangements as risk mitigation	Council through Finance and Development Committee
Ensuring the quality of insurance arrangements	Council through Finance and Development Committee
Property purchases exceeding £500K, leases exceeding a rental value of £500K per annum)	Council
Property purchases below £500K, leases below a rental value of £500K per annum)	Finance and Development Committee

For further information see the Financial Regulations and Scheme of Delegation of Financial Authority

### Forward commitments

Activity	Responsible Body or Individual
Agreements that lock LSHTM into significant contractual commitments of over 5 years and over a value of £3m per year other than contracts of employment	Council
Major building capital expenditure projects over a value of £3m	Council
Research contracts	Dean of Faculty/Unit Director for contracts up to £1m

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	Director for contracts exceeding £1m, unless they have a conflict of interest or judges that Council would wish to be involved in the decision
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### Governance and organisation

Activity	Responsible Body or Individual
Amendments to the Charter	The Privy Council on the recommendation of Council by Special Resolution
Approval of Ordinances and amendments	Council
Approval of significant LSHTM policies and HR codes of practice (i.e. those that have a material impact on the working conditions of members of LSHTM or materially affect reputation, e.g. Anti-Bribery, Whistle-blowing)	Review by Audit and Risk Committee and approval by Council on the recommendation of SLT
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.	SLT on the recommendation of Management Board
Appointment of Officers of Council and the Secretary to Council	Council on the recommendation of the Nominations Committee
Appointment of external members of Council	Council on the recommendation of the Nominations Committee
Appointment of Auditors	Council on the recommendation of Audit and Risk Committee
Conferment of Honorary Fellowships	Council on the recommendation of Senate
LSHTM Medal(s)	Council/Senate upon recommendation from individual medal selection panels
Appointment of the Director	Council
Appointment of the Secretary and Registrar	Council
Establishment/disestablishment of faculties and other equivalent groupings	Council following consideration by Senate and SLT



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Appointment of Senior Office holders (Deputy Director and Provost, Pro-Director of Education, COO, Deans of Faculty)	The Director on the recommendation of the appointment panels as appropriate
Appointment of Senior Office holders (Unit Directors)	The Director on the recommendation of the appointment panels as appropriate and with the approval of the MRC
Appointment of Heads of Department (academic), Directors of Centres and heads of Professional Services	Deans of Faculty/Unit Directors
Appointment of Directors of Centres	Deputy Director and Provost
Appointment of heads of Professional Services	Chief Operating Officer/Secretary & Registrar
Appointment of directors or trustees to the board of any subsidiary entity	Finance and Development Committee

### Capital and major project governance

Activity	Responsible Body or Individual
Project approval as part of annual planning and budget process	SLT on the recommendation of Management Board
Project approval for emergent projects	<p>Initial review by SLT on the recommendation of SDA and CITSB (IT projects) and Capital Projects Steering Group (Estates projects)</p> <p>Within the approved capital investment plan:</p> <p>Individual projects            up to £100k – SLT;            &gt;£100k – FDC;            &gt;£500k – Council)</p> <p>Individual projects outside of the approved capital investment plan - Council</p>
Monitoring projects	SLT and CPSG (Estates projects) and onward to Finance and Development Committee

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	<p>SLT and CITSB (IT projects)</p> <p>SLT – other major projects</p>
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### Research governance

<b>Activity</b>	<b>Responsible Body or Individual</b>
Oversight of research, governance and integrity	Research Governance Committee under authority of Senate
Policies and procedures for research governance	Senate on the recommendation of Research Governance Committee
Ethics approval (London)	Research Governance Committee through the LSHTM Ethics Committees: Interventions, Observational A, Observational B, Commercialisation and Rapid Response (CARR) and MSc. There is a single Chair of all the Committees except the MSc committee appointed by the Director.
Ethics approval in the Units	<p>LSHTM Ethics Committee on the recommendation of:</p> <p>Uganda: UVRI Research Ethics Committee followed by Uganda National Council of Science and Technology (UNCST)</p> <p>The Gambia: The Gambia Government/MRC Joint Ethics Committee responsible to the Ministry of Health following approval from the Scientific Coordinating Committee at MRCG.</p>

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	Once requisite approvals sought locally, all Unit research projects will be subject to fast-track review by Chair of Ethics Committee ( <i>proposal subject to approval</i> )
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### Academic governance, management and control

Activity	Responsible Body or Individual
Academic Regulations (as referenced in Ordinance C.8.2) and regulations for the conduct of students (as referenced in Ordinance C4).	Senate
Policies and procedures for the approval of programmes and modules	Senate
Approval of taught programmes and modules	Post Graduate Taught Sub-Committee under authority of Senate
Approval of research programmes and modules	Research Degrees Sub-Committee under authority of Senate
Conferment of academic awards for taught programmes	Board of Examiners under authority from Senate
Conferment of research degrees	Research Degrees and Examinations Board under authority from Senate
Approval of collaborative partners	Research - Senate/SLT Collaborative taught or research degree provision – Senate Other- SLT with referral to Senate and Council as appropriate
Approval of collaborative provision	Senate

### Staff

Activity	Responsible Body or Individual
Setting the framework for determining the pay and conditions of staff	Council.  For Senior Office Holders and highly paid staff, Council is advised by Remuneration Committee.

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Main features of terms and conditions of employment	Council
Process for the approval to recruit to a vacancy	SLT
Decision to initiate recruitment to posts	SLT/Management Board
Appointment of staff to vacancies (including the through the Single Nomination Procedure)	Appointing panel constituted in accordance with the relevant HR policy or procedure.
Appointment of non-contracted staff	Dean of Faculty, Unit Director and/or Head of Professional Service department
Appointment of locally employed staff in the MRC Units	Unit Director
Promotion of academic staff	SLT through the LSHTM Staff Review Committee established for that purpose

### Students

Activity	Responsible Body or Individual
Admissions Policy	Senate
Admissions criteria	Minimum entry requirements set out in Admissions policy approved by Senate.  Local variations approved through programme approval and review processes
Selection of students	Taught Programme Directors and individual Programme Directors based on published admissions criteria
Award of prizes	Boards of Examiners and ratified by Senate.
Criteria for the award of bursaries and hardship funds	Management Board
Award of research degree scholarships and studentships	Deputy Director
Interface with the Students' Representative Council	Secretary and Registrar

The Director's Delegations to Deputy Director, Pro-Director, Deans, Unit Directors and Senior Administrative Officers<sup>1</sup>

<sup>1</sup> This section will be updated on an annual basis as these areas of responsibility may be subject to change.

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Area of Responsibility	Delegated to Whom	
	Ex-Officio Responsible Role	Responsible Individual
Leadership of cross-LSHTM student experience, teaching and learning matters, including academic standards and delivery of the associated strategies	Pro-Director (Education)	Taught Programme Directors, Associate Dean (Student Experience), Head of Doctoral School
Leadership of cross-LSHTM research and research, including academic standards and the development and delivery of the LSHTM Research Strategy.	Deputy Director	Faculty Deans and Unit Directors
Leadership of cross-LSHTM International matters, including collaborative provision and the development and delivery of the LSHTM International Strategy.	Director	Deputy Director
Leadership of central Professional Services functions and ensuring co-ordination with administrative activity in Faculties and the Units	Chief Operating Officer and Secretary and Registrar	Directors and Heads of Service, Faculty Operating Officers and Unit Chief Operating Officers
Strategic oversight of the estate, including the development and delivery of the LSHTM estates strategy, including the MRC Units	Director	Chief Operating Officer and the Director of Estates
Strategic oversight of information technology services, including the development and delivery of the LSHTM IT strategy, including the MRC Units.	Director	Chief Operating Officer and the Director of IT
Strategic oversight of human resources, including the development and delivery of the LSHTM HR strategy and well-being issues, including the MRC Units	Director	Chief Operating Officer and the Director of HR
Strategic oversight of health and safety including the MRC Units	Director	Chief Operating Officer and the Director of Estates and the Head of Health and Safety
Strategic oversight of risk management.	Director	Secretary and Registrar and Chief Operating Officer
Strategic oversight of LSHTM's promotion of equality and diversity issues.	Deputy Director	Secretary and Registrar

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Academic leadership roles

Activity	Responsible Body or Individual
Area of responsibility	Delegated to whom
The operational management of departments and centres schools including budgetary control and staffing matters.	Heads of Department and Centres
Operational responsibility for the Doctoral College	Pro-Director (Education) delegated to the Head of the Doctoral College
Leadership of cross-faculty research and delivery of the faculty Research Strategy.	Faculty Associate Deans for Research
Leadership of student experience, teaching and learning matters across LSHTM	Associate Dean (student experience)
Leadership of cross-faculty taught programmes and student experience	Faculty Taught Programme Directors
Leadership of cross-faculty research degree programmes and student experience	Faculty Research Degree Directors
Appointment of individuals to Taught Programmes Directors, Research Degree Directors and Associate Deans for Research	Pro-Director (Education)