

**Schedule of Head of School and Director of Professional Service Financial Control Responsibilities – responsibilities that cannot be delegated - June 2020**

<p><b>Head of School and Director of Professional Service Financial Control Responsibilities</b> (over and above general responsibilities as a member of staff)</p> <p><i>The Head of School or Director of Professional Service retains overall responsibility for the actions of the person to whom authority has been delegated</i></p>	<p><b>Head of School or Director of Prof Service only</b></p> <p>No onward delegation or substitution</p>	<p><b>Delegation to Senior Budget Holders only</b></p> <p>(Level 3)</p>	<p><b>Delegation to Senior Budget Holders and Budget Holders/PIs</b></p> <p>(Level 3 and 2)</p>	<p><b>Delegation to Senior Budget Holders, Budget Holders, PIs and requisitioners</b></p> <p>(Level 3,2 and 1)</p>	<p>Finance system facilitated</p>
<b>General</b>					
1.	Provide the Director of Finance with necessary information	Depends on nat			Yes
2.	Ensure that the Director of Finance and the Director of Human Resources are provided promptly with all information they may require in connection with the appointment, resignation or dismissal of members of staff, and on any contractual change	Yes			No
3.	Consult the Director of Finance for advice regarding VAT and taxation implications	Yes			No
<b>Control environment</b>					
4.	Ensure compliance with the Financial Regulations and associated policies within their areas of responsibility. This includes ensuring that members of staff are made aware of the existence and provisions of the Financial Regulations, the responsibilities the Regulations place upon them and the implications of non-compliance.	Yes			No
5.	Carry out annual review of delegations	Yes			No
<b>Budgeting and financial management</b>					
6.	Consult with the Director of Finance and University Executive Group regarding budget allocations	Yes			No
7.	Decide to fund building works from their delegated budget (subject to University requirements and approval process)	Yes			No
8.	Decide to exceptionally contribute from their School or Divisional budget to a farewell party for a member of staff who is retiring or leaving after highly valued service	Yes			No
9.	Decide to fund the cost of teamwork-based training events to a total maximum cost of £50 per head	Yes			No
<b>Tuition fees</b>					
10.	Consult with the Director of Student Recruitment re individual fees	Yes			No
11.	Seek approval of procedures for the application of fee waivers and discounts	Yes			No
<b>Research, consultancy and other income</b>					
12.	If acting as PI ensure that their line manager carries out '7' above	Yes			No
13.	Approve proposed consultancy activity of a member of staff in their School or Service	Yes			No
14.	Formally approve the terms of funding of successful bids for external funding	Yes			No
15.	Be responsible for any loss to the University resulting from a failure to meet conditions of funding	Yes			No
16.	Ensure that best value (normally expected to be market value) is obtained for the sale of any goods, including obsolete stock, to external bodies or to members of staff	Yes			No
17.	Ensure that an approved commercial agreement is put in place for the use of University premises or facilities in their control for non-University activities, and for the granting of leases or licences for the use of University space for any purpose where advised by the Chief Operating Officer	Yes			No
18.	Ensure that any agreements entered into by their Schools or Divisions with external bodies mitigate commercial risk and cover any legal liabilities to which the University may be exposed	Yes			No
19.	Take advice from the Director of Finance to ensure that any agreements negotiated within their Schools and Divisions with external bodies contain adequate insurance provisions to cover legal liabilities and indemnities to which the University may be exposed.	Yes			No
<b>Purchasing and VFM</b>					
20.	Overall responsibility for achieving VFM and ensuring the requirements of the purchasing policy are met in their area	Yes			No
21.	Monitor purchasing cards annually to ensure cards re still required/have the correct limits.	Yes			No
22.	Ensure that out of pocket expense claims from budget holders, Principal Investigators and other senior staff are authorised by their line manager and that their personal claims are authorised by their own line manager	Yes			Yes
<b>Stewardship of university assets</b>					
23.	Ensure the care, custody and security of the assets within their control including <ul style="list-style-type: none"> <li>• buildings (in conjunction with Sussex Estates and Facilities), plant, equipment and furniture, IT equipment, vehicles, stocks and stores.</li> <li>• assets purchased from all sources, including research grants and contracts and residue accounts.</li> </ul>	Yes			No
24.	Maintain a record of authorised drivers of University vehicles and ensure that all University vehicles and persons authorised to drive these vehicles are appropriately insured	Yes			No
<b>Risk management and insurance</b>					
25.	Promptly notify the Director of Finance of any potential new risks and additional property and equipment that may require insurance and of any alterations affecting existing risks	Yes			No
26.	Advise the Director of Finance immediately of any event that may give rise to an insurance claim and prepare a claim in conjunction with the Director of Finance for submission to the insurers	Yes			No

**Schedule of Head of School and Director of Professional Service Financial Control Responsibilities – responsibilities that can be delegated to senior budget holders only - June 2020**

	<b>Head of School and Director of Professional Service Financial Control Responsibilities</b> (over and above general responsibilities as a member of staff)	<b>Head of School or Director of Prof Service only</b>	<b>Senior Budget Holders only</b> (level 3)	<b>Delegation to senior budget holders, budget holders and PIs</b> (Level 3 and 2)	<b>Delegation to all Budget Holders, PIs and requisitioners</b> (level 3, 2 and 1)	
	<i>The Head of School or Director of Professional Service retains overall responsibility for the actions of the person to whom authority has been delegated</i>	No onward delegation or substitution				Finance system facilitated
	<b>Budgeting and financial management</b>					
27.	Report significant departures from agreed budgets to the Director of Finance and take corrective action if necessary		Yes			No
28.	Assume devolved responsibility for the proper management, control and spending of any gift or donation as confirmed by Director of DARO		Yes			Yes
	<b>Research, consultancy and other income</b>					
29.	Ensure that externally funded work is appropriately priced with reference to the terms of funding, Full Economic Costing (FEC) principles, and University resources and provide written justification to the Director of Research and Enterprise prior to submission where they wish to price below full cost		Yes			No
	<b>Purchasing and VFM</b>					
30.	Be responsible for the purchasing arrangements in a School or Division and recommend the appropriate access to the Finance System for staff who undertake purchasing		Yes			No
31.	Be responsible for the oversight and management of supply contracts in their areas of responsibility unless alternatives have been agreed with the Director of Finance		Yes			Yes
32.	Determine the appropriate number and distribution of purchasing cards and the use of specific cards and the role of cardholders within the purchasing policy		Yes			No
33.	Authorise an application by a member of staff for a purchasing card where he/she judges it appropriate to the business needs of the School or Division		Yes			No
34.	Provide advance authorisation for travel other than in the cheapest available class of travel		Yes			No
35.	Approve purchase order requisition and invoices up to £50k providing University terms and conditions are in place		Yes			Yes
36.	Approve (sign) contracts up to £50k providing University terms and conditions are in place		Yes			Yes
37.	Certify an invoice between £10k and £25K where it cannot be matched to an order and receipt information (over £25k requires further authorisation)		Yes			Yes
38.	Authorise invoice > £10k which exceeds the purchase order value by £20 or more. (Invoice >£25k requires further approval)		Yes		(Comment only)	Yes
39.	Approve expense claims with a value of over £500 (to any maximum value)		Yes			Yes
40.	Make written request for a petty cash float to the Director of Finance		Yes			No
	<b>Stewardship of university assets</b>					
41.	Ensure the security and administration of petty cash in accordance with the petty cash process		Yes			No
42.	Record all University plant, equipment and furniture with a unit cost over £5,000 (including items donated or held on trust) in an asset inventory as prescribed by the Director of Finance		Yes			No
43.	Ensure that suitable records are kept of plant which is subject to inspection by an insurance company and ensure that inspection is carried out in the periods prescribed.		Yes			No
44.	Provide written authorisation for personal use of University assets over and above limited incidental personal use of assets supplied to individuals to assist them in their work. Ensure a taxable benefit is not incurred. Refer any cases of doubt to the Director of Finance or Director of Human Resources		Yes			No

**Schedule of Head of School and Director of Professional Service Financial Control Responsibilities – responsibilities that can be delegated to budget holders and PIs - June 2020**

45.	<b>Head of School and Director of Professional Service Financial Control Responsibilities</b> (over and above responsibilities as a member of staff)  The Head of School or Director of Professional Service retains overall responsibility for the actions of the person to whom authority has been delegated	<b>HoS or DoPS only</b>	<b>Delegation to Senior Budget Holders Only</b> (level 3)	<b>Delegation to all budget holders and PIs</b> (Level 3 and 2)	<b>Delegation to all budget holders, PIs and requisitioners</b> (level 3, 2 and 1)	Finance system facilitated
<b>Purchasing and VFM</b>						
46.	Consider whether to put in place their own procedures regarding the authorisation of expenses within the minimum controls set out in the purchasing policy			Yes		No
47.	Authorise invoice < £10k which exceeds the purchase order value by £20 or more (Invoice >£10k requires further approval)			Yes	(Comment only)	Yes
48.	Certify an invoice below £10k where it cannot be matched to an order and receipt information (over £10k requires level 3 authorisation)			Yes	(Comment only)	Yes
<b>Budgeting and financial management</b>						
49.	Ensure financial management of the areas or activities they control and the proper and effective use of University funds in accordance with their approved budget			Yes		Yes
50.	Ensure that net income and expenditure remains within budget and that expenditure does not exceed funds available so that the financial target set for their School or Division is achieved in any given financial year			Yes		Yes
51.	Monitor and control any incentive budgets delegated to individual members of staff to incentivise or reward certain activities			Yes		Yes
52.	Accountable for the proper use of residue balances from PI account			Yes		Yes
<b>Research, consultancy and commercial income</b>						
53.	Ensure that appropriate records are kept, performance requirements met and that no actions are taken that may prejudice the ability to recover debt			Yes		No

**Schedule of Head of School and Director of Professional Service Financial Control Responsibilities – responsibilities that can be delegated to budget holders,PIs and requisitioners - June 2020**

	<b>Head of School and Director of Professional Service Financial Control Responsibilities</b> (over and above responsibilities as a member of staff)  The Head of School or Director of Professional Service retains overall responsibility for the actions of the person to whom authority has been delegated	<b>HoS or DoPS only</b>	<b>Delegation to Senior Budget Holders only</b>  (level 3)	<b>Delegation to Senior Budget Holders and Budget Holders/PIs</b>  (level 2 and 3)	<b>Delegation to all budget holders/PIs and requisitioners</b>  (level 3, 2 and 1)	Finance system facilitated
54.	<b>Budgeting and financial management</b>					
55.	Ensure the propriety of transactions in their area of responsibility				Yes	Yes
56.	<b>Purchasing and VFM</b>					
57.	Use the defined procedures and authorise commitments to ensure that they are appropriate business expense against an approved budget, that there are sufficient funds to accommodate this cost and any future commitments				Yes	Yes
58.	<b>Research, consultancy and commercial income</b>					
59.	Follow the standard University procedure for accounting for a sale and the receipt of sales proceeds				Yes	Yes
60.	<b>Stewardship of university assets</b>					
61.	Establish procedures to ensure that local stocks and store items are ordered only in appropriate quantities of suitable quality at the best terms available, after appropriate requisition and approval and are adequately protected against loss, misuse or obsolescence				Yes	No
62.	Ensure that procedures are in place to account for all stock movements and the correct allocation to the appropriate user.				Yes	No
63.	Ensure that there is an annual stock-take and valuation of items requested by the Director of Finance according to procedures approved by the Director of Finance				Yes	No