

## Statutory and Non-statutory Approvals retained by Council and its Committees

| Theme      | Approval   | Proposed level | Rationale  |
|------------|--|----------------|--|
| Strategic  | Scheme of Delegation – Part 1  | Council        | Part 1 covers statutory functions delegated from Council to CEO & Registrar. Part 2 covers delegation of Registrar functions.  |
|            | Strategic Plan   | Council        | No change  |
|            | Equality, Diversity & Inclusion (EDI) policy   | Council        | Considered a key policy for all Charity Trustees to approve.   |
|            | EDI strategy   | Council        | Considered a key strategy for all Charity Trustees to approve.   |
|            | Annual Business Plan   | Council        | No change  |
|            | Annual Report & Accounts   | Council        | No change  |
|            |  |                |  |
| Regulatory | Individual standards   | Council        | No change  |
|            | Business standards   | Council        | No change  |
|            | Rules  | Council        | Cannot be delegated.   |
|            | Maximum financial penalty order for consideration by Privy Council   | Council        | No change  |
|            | Competencies to be granted a qualification   | Council        | No change for the moment given the changes in train, but once we achieve the objective of rolling review and incremental change, this could be delegated to the Registrar. |
|            | Requirements for the content and standard of education and training  | Council        | As above.  |
|            | To withdraw the approval of a training establishment or qualification, following Serious Case Review (SCR) | Council        | These withdrawals are likely to have significant impact on learners and potential reputational impact for the GOC.   |

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|         |   |         | Other, less contentious withdrawals delegated to the Registrar as per Scheme of Delegation.  |
|         | To withdraw partially the approval of a training establishment or qualification following Serious Case Review (SCR) | Council | As above.  |
| Legal   | To initiate judicial review proceedings.  | Council | This would not extend to any case related matter (ftp or illegal practice) or defending a JR brought against the GOC.  |
| Finance | Annual budget   | Council | No change  |
|         | Decisions reserved via financial policies.  | Council | This may include decisions to be signed off by Council in full, the Chair of Council and/or the Chair of ARF.  |
|         | Reserves policy   | Council | Considered a key policy for all Charity Trustees to approve.   |
|         | Investment policy   | Council | This could be delegated to the Investment Committee but in view of the current climate and level of investments think it most appropriately sits with Council. |
|         | Contracts and Procurement policy  | ARF     | No change  |
|         | Working capital policy  | ARF     | No change  |
|         | Annual accounting policies  | ARF     | No change  |
|         | Financial regulations   | ARF     | No change  |
|         | Anti-financial crime policy   | ARF     | No change  |
|         | Working Capital policy  | ARF     | No change  |
|         | Credit cards policy   | ARF     | No change  |
| Audit   | External auditors (approval and removal)  | Council | No change  |
|         | External auditor fees   | Council | No change  |
|         | External audit terms of engagement  | ARF     | No change  |

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|  | External audit annual plan               | ARF | No change |
|  | Internal auditors (approval and removal) | ARF | No change |
|  | Internal auditor fees                    | ARF | No change |
|  | Internal audit plan                      | ARF | No change |

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| Governance | Code of Conduct   | Council | Considered a key policy for all Charity Trustees to approve.  |
|            | Management of Interests policy                                    | Council | As above  |
|            | Gifts and hospitality policy                                      | Council | As above  |
|            | Health & Safety policy  | Council | As above  |
|            | Speaking up in the GOC policy                                     | Council | As above  |
|            | Raising Concerns with the GOC (external) policy                   | Council | Registrant facing policy is a strategic issue.  |
|            | Corporate Complaints and Feedback policy                          | Council | Considered a key policy for all Charity Trustees to approve.  |
|            | Serious incident reporting policy                                 | Council | Considered a key policy for all Charity Trustees to approve.  |
|            | Set up additional committees of Council                           | Council | No change   |
|            | Standing orders   | Council | No change   |
|            | Appointment of CEO & Registrar                                    | Council | Council to approve process and appoint the selection panel.   |
|            | Information Governance Framework                                  | ARF     | No change   |
|            |   |         |   |
| Risk       | Risk appetite   | Council | No change   |
|            | Risk Management policy  | ARF     | Although this is a key policy, expertise lies in ARF and this is thought to be the most appropriate forum for approval. |
|            | Annual Report statements re internal controls and risk management | ARF     | No change   |
|            | Anti-financial crime policy                                       | ARF     | No change   |
|            | Information Governance policies                                   | ARF     | No change   |

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| Investments | Investment Managers (appoint & remove)  | Council              | On advice from the Investment Committee. Parallels approach with external auditors. |
|             | Investment policy   | Council              | No change   |
|             | Investment Manager's terms of engagement, including fees  | Investment Committee | Parallels position on external auditors   |
|             |   |                      |   |
| HR          | CEO & Registrar and Director pay & pensions, gratuities or superannuation schemes   | RemCo                | No change.  |
|             | CEO & Registrar and Director appraisal process  | RemCo                | No change   |
|             | Annual Report statements re Council remuneration and expenses.  | RemCo                | No change   |
|             |   |                      |   |
| Members     | Member fees   | Council              | No change   |
|             | Vacancy requirements for Council Member appointments  | Council              | No change   |
|             | Matters relating to the continuation in office of any Council Member including the retraction of resignation, disqualification, suspension and removal from office. | Council              | No change.  |
|             | Re-appointment of members (Council Members)   | Council              | Subject to approval by Privy Council.   |
|             | Member extensions and emergency appointments (Council Members)  | Council              | Subject to approval by Privy Council.   |
|             | Appointment of Committee Chairs on recommendation of Council Chair  | Council              | No change   |

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|  | Appointment of members to non-statutory committees  | Council | No change  |
|  | Appointment of Senior Council Member on recommendation of Council Chair   | Council | No change  |
|  | Member appointment and re-appointment <i>process</i>  | NomCo   | No change  |
|  | Member review <i>process</i>  | NomCo   | No change  |
|  | Annual process for Council evaluation   | NomCo   | No change  |
|  | Plans for member development including induction  | NomCo   | No change  |
|  | Arrangements for member appointment (excluding Council Member)<br>-   | NomCo   | No change  |
|  | Arrangements for Council Member appointment <i>following a review by Council of the vacancy requirements</i>  | NomCo   | Final appointment subject to privy Council approval. |
|  | Re-appointment of members (excluding Council)   | NomCo   | No change  |
|  | Member extensions and emergency appointments (excluding Council Members)  | NomCo   | No change  |
|  | Matters relating to the continuation in office of any member (excluding Council Members) including the retraction of resignation, disqualification, suspension and removal from office. | NomCo   | No change  |

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|  | Appointment of independent members to non-statutory committees | NomCo | No change |
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