



## AGENDA

The meeting will be held at 13:30 in Room G05, Old Broadcasting House, City Campus

Preliminary Items		Item	Led by
1	Apologies	Verbal	P Marsh
2	Declarations of interest	Verbal	P Marsh
3	Minutes of the last meeting held on 18 October 2019	GON-1920-018 <b>CONFIDENTIAL</b>	P Marsh
4	Matters arising	GON-1920-019 <b>CONFIDENTIAL</b>	K Harvey
GOVERNANCE MATTERS		Item	Led by
5	Governor Recruitment and Appointments	GON-1920-020 <b>CONFIDENTIAL</b>	C Thomas
6	Appointment of the Chair and Deputy Chair	GON-1920-021 <b>CONFIDENTIAL</b>	C Thomas
7	Appointment of Committee Chairs	GON-1920-022 <b>CONFIDENTIAL</b>	C Thomas
8	Governor Feedback and Board Priorities 2019/20 <ul style="list-style-type: none"><li>• Board effectiveness review – action plan</li><li>• Governor Induction</li></ul>	GON-1920-023 <b>CONFIDENTIAL</b>	C Thomas
9	Higher Education Code of Governance Consultation	GON-1920-024 Appendix C to follow	C Thomas
COMPLIANCE & ASSURANCE		Item	Led by
10	Access & Participation Plan Monitoring Statement	Verbal	T Lancaster
11	Student complaints and appeals 2018/19 annual report	GON-1920-025 <b>CONFIDENTIAL</b>	K Giddings

12	Annual Report on subsidiary, associate and investment companies	GON-1920-026 <b>CONFIDENTIAL</b>	C Thomas
13	Ethics Framework	GON-1920-027	C Thomas
14	Students' Union Elections held in October 2018	GON-1920-028 <b>CONFIDENTIAL</b>	C Thomas

<b>OTHER BUSINESS</b>		<b>Item</b>	<b>Led by</b>
15	OfS Regulatory Updates	Verbal	C Thomas
16 *	Use of the University Seal	GON-1920-029 <b>CONFIDENTIAL</b>	P Marsh
17	Schedule of Business 2019/20	GON-1920-030	P Marsh
18	Date of next meeting: 13:30 on Friday 12 June 2020, in Room G05 Old Broadcasting House, City Campus.		P Marsh

*Shaded items indicate that the Committee is being asked to make a decision.*

*\*Starred items will be taken without discussion unless a member notifies the Chair or Secretary in advance that she or he wishes the item to be open for debate*

14 FEBRUARY 2020

## Higher Education Code of Governance Consultation

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### Purpose of Report

To update the Committee on the Committee of University Chairs' (CUC) on-going review of the *Higher Education Code of Governance* (the Code) and to invite Governors' input into the consultation on the draft Code, which closes on Friday 13 March 2020.

### Action Requested

The report is for discussion

### Background

In spring 2019 the CUC launched a review of the *Higher Education Code of Governance* (the Code), first published in 2014 and updated in 2018. A review is undertaken every four years to ensure that the practice and principles contained in the Code are still relevant and that the Code itself remains fit for purpose.

The CUC undertook a consultation with its members and stakeholders across the sector last year, to which the University responded. Specifically, views were sought on:

- a) How the Code should evolve to support HEIs develop their governance arrangements;
- b) How the Code can better support the long-term success and sustainability of HEIs, in light of governance challenges;
- c) The use of the Code in small providers;
- d) Governance of free speech;
- e) The nature of assurance on value for money, academic quality and standards, and key risks; and
- f) The different regulatory regimes in the devolved administrations.

### Consultation on the draft Code

The CUC is now consulting on the draft of new Code, developed during a period of large-scale change in the sector which has emphasised the need for effective stewardship by governing bodies. The new Code aims to ensure governance arrangements are proportionate and can apply to institutions across the sector irrespective of size, complexity and legal form.

The Code identifies six interrelated primary elements underpinned by a set of core values and objectives, which together provide a basis for good governance in the UK higher education sector. Its intention is to be more principles based, shorter and focused on Board culture.

The deadline for responses to the CUC's consultation on the draft Code is 12:00 on Friday 13 March 2020.

### **Recommendations**

The Committee is invited to consider and discuss the draft Code and the questions supplied by the CUC and to input into the University's draft response to the consultation.

### **Appendices**

Appendix A – The Higher Education Code of Governance (Draft)

Appendix B – CUC Consultation Questions

Appendix C – Proposed draft response (To follow)

### **Legal / Regulatory Implications**

The Code is premised on an “apply or explain” basis. Providers can choose which parts of the Code apply to them, but they are expected to explain and justify the reasons behind their choices to their stakeholders, for example in a statement set out in the annual Financial Statements.

### **Author**

Name: Kate Harvey, Secretariat Manager

Date: 21 January 2020

### **Approval Route**

Name: Caroline Thomas, University Secretary

Date: 6 February 2020

# CUC

Committee of University Chairs

## **The Higher Education Code of Governance**

DRAFT

# Consultation: Draft Higher Education Code of Governance

## Consultation Submission Form

### Introduction

The Higher Education Code of Governance was developed to support Higher Education Institutions (HEIs) in delivering the highest standards of governance across their institutions. The Code specifies that, in consultation with the sector, a review is undertaken every four years to ensure that the Code remains fit for purpose and offers a sound framework for governance practice across the sector.

This paper provides information on the context for the recent review, the review approach and the revised Code. It also includes a series of consultation questions.

We would be grateful if you could take the time to complete the consultation questionnaire. The latest date we can accept questionnaires is at **12:00 on Friday, 13 March 2020**.

Please note that all responses to the questionnaire will be treated as confidential and no individual or institution will be named in any analysis or reporting of the findings.

We very much appreciate your support and look forward to receiving your response.

### **General Data Protection Regulation and Data Protection Act 2018, Processing of Personal Information:**

The personal information that you provide (name, email address) will be used purely for the purpose of analysing your response to the questionnaire. Your data is stored on the CUC's secure database and the CUC will not disclose it to any other parties.

**If you have any questions about this consultation or Code of Governance, please contact Amanda Oliver at [office@universitychairs.ac.uk](mailto:office@universitychairs.ac.uk).**

### Context

The current review comes at a time of unprecedented change and uncertainty in the Higher Education operating environment. Brexit, funding pressures, regulatory change, increased competition, technological advances, disruptions, challenging public perceptions about the value of HE and the growing narrative around the need for a market-orientated system are just some of the challenges facing universities. These challenges mean universities are operating in an increasingly commercial way with many becoming more global in their operations and carrying greater risks.

The dramatic and rapid changes in the Higher Education sector has firmly placed the spotlight on governing bodies who need to be alert to, and quickly assess, the myriad of risks and opportunities facing their university in a competitive and volatile market. A different lexicon is now being used in board rooms and 'agile and action-orientated' have been words used to describe behaviours governing bodies will need to adopt to meet the challenges of sustainability, growth and financial diversification whilst still striving for excellence.

Universities are naturally at different stages of evolution depending on their heritage so for some governing bodies, these challenges and expected behaviours will mean a rethink and enhancement of their role; for others it may involve introducing new skills and more diversity; whereas others may simply view it as 'business as usual'.

As the higher education landscape continues to develop, with new and potentially more complex corporate organisational structures and constitutional forms emerging we can expect the diversity in the sector to increase and each institution's response to changes to be equally diverse.

It is against this backdrop that the CUC has developed a revised Higher Education Code of Governance.

## **Draft Code**

In drafting the revised Code, the CUC has undertaken extensive consultation with CUC members and stakeholders to gain feedback and insights on the value of the 2014 Code, how it was used and areas for improvements. More specifically the review methodology comprised:

- A literature review which considered international and global trends in corporate governance; Codes of Governance in the commercial, third and public sectors; and emerging thought leadership on governance practice
- A call for evidence to CUC members and stakeholders to gain feedback and insights on the value of the 2014 Code
- Stakeholder meetings to test ideas
- Data analysis and hypothesis testing with discussion/focus groups.

The draft Code is shorter and more concise than previous editions although many of the values of good governance still endure. There is a changing focus from the processes associated with good governance to the behaviours and relationships required to ensure their effectiveness in practice.

The draft Code also aims to better reflect the richness and diversity of institutions and the need to ensure governance arrangements are proportionate and can apply to institutions irrespective of their size, complexity and legal form. For similar reasons the draft Code does not include references to specific regulators in the devolved nations.

The Code focuses on the foundations for good governance which institutions adopting the Code 'must' apply or explain. More detailed guidance will be provided in a Governance Handbook. A copy of the draft Code of Governance and the proposed content of the Handbook can be accessed [here](#).

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## Personal Details

1. Name *(required)*:
2. Contact telephone *(required)*:
3. Contact email *(required)*:
4. Would you be happy to be contacted to discuss and clarify any of your responses? *(required)*
  - Yes
  - No
5. In what capacity are you responding to this consultation? You may select only one option. *(required)*
  - Member Chair of CUC
  - Publicly funded higher education provider
  - Alternative higher education provider (with designated courses)
  - Alternative higher education provider (no designated courses)
  - Further education college
  - Body representing students in higher education
  - Representative organisation, business, or trade body
  - Central/local government, agency or body
  - Individual
  - Trade union or staff association
  - Charity or social enterprise
  - Other

5a. If you selected other, please specify:
6. Please state the name of your institution or organisation *(required)*. If you are responding as an individual, please enter N/A.

7. Please state your location (*required*):

- England
- Northern Ireland
- Scotland
- Wales
- Other

7a. If you selected other, please specify:

## Consultation Questions

Overall the feedback received on the 2014 Code was positive with the majority of respondents using the Code and believing it provided a robust framework for governance practice. However, concerns were raised about the length of the document and the tendency to conflate principles, mandatory requirements and optional practice. The revised Code has been produced with this in mind and is shorter and more concise than the previous edition. The Code does not try to differentiate mandatory principles from suggested provisions and in this respect is a departure from other Codes. Instead the Code focuses on the foundations for good governance which institutions adopting this Code 'must' apply or explain. More detailed guidance and illustrative practice will be provided in the governance handbook which will include templates and questions for institutions to consider when implementing the various elements of the Code.

**Please indicate whether you agree or disagree with the following statements and provide an explanation in the comments box. There is no word limit on responses.**

8. The revised Code is an appropriate length.

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- No opinion

Comments:

9. The revised Code sets out clearly the foundations of good governance in an appropriate way.

- Strongly Agree
- Agree

- Disagree
- Strongly Disagree
- No opinion

Comments:

The Code objectives are underpinned by views on what future higher education governance will need to deliver if it is to meet the challenges of sustainability, growth and change. The objectives are to:

- Support the delivery of the provider's mission and success;
- Maintain, and enhance, trust in high education providers in delivering public benefit and contributing to economic and social growth;
- Protect institution autonomy;
- Manage risk effectively to sustain reputation and provide the flexibility and agility to respond to opportunities;
- Promote and develop diverse and inclusive practices;
- Have meaningful engagement with relevant stakeholders locally, regionally and nationally.

10. Do you agree these are the right objectives?

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- No opinion

Comments:

11. Do the values outlined in the Code represent an appropriate set of values for the Higher Education sector?

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- No opinion

Comments:

12. Do you agree that the six primary elements of the Code constitute an effective framework for good governance practice across the Higher Education sector?

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- No opinion

Comments:

13. Are there any elements you think are missing in the revised Code?

- Yes
- No
- No opinion

13a. If yes, please state:

14. Broadly, do you agree that the requirements/content listed under each Element constitute a solid framework for good governance practice for all Higher Education providers?

- Strongly Agree
- Agree
- Disagree
- Strongly Disagree
- No opinion

14a. If not, what changes need to be made?

15. Lastly, although we have identified specific issues on which we have invited comment, we are happy to consider any area of the draft Code which you think needs development?

16. Do you have any final comments to make with regards to the draft Code?

17. Do you have any comments with regard to this questionnaire for the CUC?

Thank you very much for taking the time to complete this survey.

If you have any queries, please do not hesitate to contact Amanda Oliver at [office@universitychairs.ac.uk](mailto:office@universitychairs.ac.uk).

# The Higher Education Code of Governance

## Contents

Foreword

Using the Code

Values

Principles

Six Key Elements

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- Element 2 Sustainability
- Element 3 Reputation
- Element 4 Effectiveness
- Element 5 Diversity and Inclusion
- Element 6 Engagement

## Foreword

The contribution of good governance to long term organisation sustainability and success is widely recognised and is evident in the growing expectations and demands placed on governing bodies.

The Higher Education Code of Governance has been developed to support governing bodies deliver the highest standards of governance across their institutions. This Code's primary audience is HE providers governing bodies, however, the thinking that underpins the Code can be applied by any organisation seeking to improve its governance practices.

The purpose of the Code is to identify the key values, principles and elements that form an effective governance framework. However, good governance practice is complex and goes beyond the adoption of the Code. Effective governance requires an organisational culture which gives freedom to act, establishes authorities, accountabilities and at its core has relationships which are based on mutual respect, trust and honesty.

By visibly adopting the Code, governing bodies demonstrate leadership and stewardship in relation to the governance of their own institutions, and in doing so help to protect institutional reputation and provide a level of assurance to key stakeholders, partners including the student community, and society more widely. The Code needs to be read alongside the governing instruments of HEIs and relevant legal and regulatory requirements that, so far as possible, are not repeated in the Code itself.

While this Code takes account of international and national trends and developments, governance does not stand still. As the expectations of governance change, this Code itself will be reviewed regularly to ensure it remains fit for purpose – normally this will take place every four years.

## Using the Code

The Code sets out the key values, principles and elements which enable Higher Education Providers (HEPs) to demonstrate their commitment to good governance.

The autonomy and diversity of Higher Education providers is one of the great strengths of the UK Higher Education sector. Therefore, there is a need to ensure governance arrangements are proportionate and can apply to Institution irrespective of their size, complexity and legal form. Accordingly, this Code is premised on an 'apply or explain' basis, where providers are given a set of values, principles and elements, but they are not mandated to comply with everything. They can choose which parts of the Code apply to them; however, they are expected to explain and be able to justify the reasons behind their choices.

So, each provider will decide how best to implement the Code and adopt a governance model which is proportionate and effective for their set of circumstances. Higher Education Institutions in the devolved nations will need to consider the Code in the context of their legislative and regulatory environment. Scottish institutions, in particular, will need to first look to the Scottish Code of Good Higher Education Governance ([www.scottishuniversitygovernance.ac.uk](http://www.scottishuniversitygovernance.ac.uk)).

While compliance with the Code is voluntary the adoption of the Code is a valuable source of assurance to stakeholders who need to have confidence in the governance arrangements of HE providers. Institutions that adopt the Code confirm that they do so within the framework of publicly available reporting on corporate governance e.g. annual reports or financial statements.

Governing bodies will need therefore to consider how best to communicate to their stakeholders the extent of their compliance with the Code, though many will choose to set out a statement within their annual accounts.

The Code does not address how the Code should be implemented. This is intentional and aims to reflect the diversity of the sector and support flexibility and autonomy. The CUC will collaborate with other organisations to provide more detailed advice on implementation in due course.

## Values

At the heart of higher education delivery across the UK are a set of core values. These are the:

- Provision of high-quality research, scholarship and teaching;
- Protecting the collective student interest and ensuring student outcomes reflect good social, economic and societal value;
- Enabling anyone with an interest in accessing higher education to enter into, succeed in and progress from academic studies;
- Publication of accurate and transparent information that is widely accessible.
- Promotion of inclusive practice and diversity.

These values together with the 'Nolan Principles of Public Life' (reproduced for ease of reference at Appendix 1) provide an ethical framework for the personal behaviour of governors and boards as corporate entities and are the foundations blocks of this Code.

## Objectives

In addition to these principles, the Code is underpinned by an understanding of what future higher education governance will need to deliver if it is to meet the challenges of sustainability, growth and change. The objectives are to:

- Support the delivery of the provider's mission and success;
- Maintain, and enhance, trust in high education providers in delivering public benefit and contributing to economic and social growth;
- Protect institution autonomy;
- Manage risk effectively to sustain reputation and provide the flexibility and agility to respond to opportunities;
- Promote and develop diversity and inclusive practices;
- Engage meaningfully with relevant stakeholders locally, regionally and nationally.

It is important that, within providers the executive, governing body and secretary develop a shared understanding of these values and objectives and how they wish to apply the individual parts of the Code. Good governance requires more than the development of processes, since it is built on strong relationships, honest dialogue and mutual respect.

# The Six Primary Elements of Higher Education Governance

This Code identifies six primary elements that embody the core values, assist in delivering the objectives and provide the basis for good governance in the UK higher education sector. The six elements are all interrelated and should not be read, or applied, as standalone elements.

- 1 **Accountability** - The governing body is unequivocally and collectively accountable for institutional activities, approving all final decisions on matters of fundamental concern within its remit.
- 2 **Sustainability** - Working with the executive, the governing body sets the mission, strategic direction and values of the institution. It receives assurance that delivery of the strategic plan is in line with legislative and regulatory requirements, institution values and wider institutional policies and procedures and that effective systems of control and risk management are in place.
- 3 **Reputation** - The governing body safeguards and promotes institutional reputation and autonomy by operating in accordance with the values that underpin this Code and the principles of public life.
- 4 **Inclusion and Diversity** - The governing body promotes a culture which supports inclusivity and diversity across the provider, including the composition of the governing body. This includes ensuring underrepresentation and differences in outcomes are challenged and where practicable corrective action is taken.
- 5 **Effectiveness** - the governing body ensures that governance structures and processes are robust, effective and agile, by scrutinising and evaluating governance performance against recognised standards of good practice.
- 6 **Engagement** - Governing bodies understand the various stakeholders of the provider (globally, nationally and locally) and are assured that appropriate and meaningful engagement takes place to allow stakeholder views to be considered and reflected in relevant decision-making processes.

## Element 1 Accountability

The governing body is unambiguously and collectively accountable for institutional activities, taking all final decisions on matters of fundamental concern within its remit.

- 1.1 The governing body has overall responsibility for all decisions that might have significant reputational or implications for the providers sustainability (including partnerships or collaborations). It therefore needs assurance that the provider:
  - a) Meets all legal and regulatory requirements imposed on it as a corporate body
  - b) Complies with its instruments of governance such as statutes, ordinances and articles
  - c) Meets the requirements falling upon the provider in respect of public funding issued by funding bodies.
- 1.2 The regulatory and legal requirements will vary depending on the constitution of individual HEPs, but, for most governing bodies, members are charitable trustees and must comply with legislation governing charities and case law in the exercise of their duties. Some institutions are constituted as companies, and governing body members are normally the company's directors; the primary legislation in this case will be the requirements of the Companies Acts.
- 1.3 In both instances members must discharge their duties in line with the accepted standards of behaviour in public life and the values in this Code, accepting individual and collective responsibility for the affairs of the provider.
- 1.4 All members of the governing body (including student and staff members) share the same legal responsibilities and obligations as other members, so no one can be routinely excluded from discussions. All members have a duty to record and declare any conflicts of interest.
- 1.5 Governing bodies must, as far as practicable, conduct their affairs in an open and transparent manner. This includes publishing information on the use of public funding, value for money and other performance information on their websites as well as any other information that supports regulatory compliance and accountability to all stakeholders.
- 1.6 There needs to be a clear separation of roles and responsibilities between the executive and the governing body with delegated authorities to the Head of Institution and any Committees that exist.

## Element 2 Sustainability

Working with the executive, the governing body sets the mission and strategic direction of the institution. It receives assurance that delivery of the strategic plan is in line with legislative and regulatory requirements, institution values and wider institutional policies and procedures and that effective systems of control and risk management are in place.

- 2.1 The governing body is responsible for the mission, character and reputation of the institution and therefore sets the values and standards that underpin the provider's strategy and operation.
- 2.2 The governing body has to be engaged in development of the providers strategy and it will formally approve or endorse the strategic plan in accordance with its constitution and the expectation of stakeholders. It will need assurance that the strategic plan is supported by plans or sub strategies that ensure that there are:
  - Enough financial and physical resources to support the providers aims and objectives, ensure effective delivery and meet any regulatory or funding commitments including the need to demonstrate value for money;
  - Sufficient and appropriate human resources in place to support the business plan;
  - Effective arrangements for the management of information which meets both GDPR and Freedom of Information requirements;
  - Arrangements in place to ensure that all forms of resources are used in a sustainable and effective manner.
- 2.3 The governing body will need to receive regular, reliable, timely and adequate information to monitor and evaluate performance against the strategic plan. The governing body's role is to have oversight of, and be able to constructively challenge performance, encourage quality enhancement, maintain standards, celebrate achievements and learn from difficulties.
- 2.4 The governing body needs to understand the external environment and, along with the executive, identify, understand and manage, strategic risks and opportunities for the provider.
- 2.5 Effective remuneration of all staff, especially the Vice-Chancellor and his/her immediate team, is an important part of ensuring institutional sustainability and protecting institution reputation. The governing body should confirm assurance on the extent of the providers compliance with The Higher Education Senior Staff Remuneration Code (published June 2018 by the CUC), and in particular ensure that no one is responsible for determining or influencing their own remuneration.

- 2.6 Depending on the constitution documents, regulatory requirement of the institution, some governing bodies will be required to establish a Remuneration Committee to consider and determine, as a minimum, the emoluments of the Vice- Chancellor and other senior staff as prescribed in constitutional documents or by the governing body.
- 2.7 All providers will have external auditors and unless exempt under the Companies Act 2006 because of their small size will usually have access to an internal audit function. The appointment and work of auditors will usually be overseen by an Audit Committee, comprising members that have no executive responsibility (although members of the executive may attend by invitation). Further guidance on the role of Audit Committees is published separately by CUC and governing bodies should assess the extent to which they comply with that guidance.
- 2.8 The governing body will consider and, where necessary, act on, an annual audit report and approve the audited annual financial statements.
- 2.9 The governing body must receive assurance that academic governance is robust and effective. Governing bodies also need to provide assurance on academic standards, the integrity of academic qualifications and will work with the Senate/Academic Board or equivalent as specified in its governing instruments to maintain standards and continuously improve quality. Governing bodies will also wish to receive assurance that specific academic risks (such as those involving partnerships and collaboration, recruitment and retention, data provision, quality assurance and research integrity) are being effectively managed.
- 2.10 The governing body must understand and respect the principle of academic freedom, the ability within the law to question and test received wisdom, and to put forward new ideas and controversial or unpopular opinions, without placing themselves in jeopardy of losing their jobs or privileges. The governing body must understand its responsibility to maintain and protect the principle of academic freedom as enshrined in freedom of speech legislation.
- 2.11 The governing body needs assurance that:
- the institution is meeting the conditions of funding as set by regulatory and funding bodies and other major institutional funders. These include:
    - the need to use funds in line with the principles of regularity, propriety and value for money;
    - having robust systems of financial control and governance in place;
    - having assurance on social, financial and environmental objectives e.g. those which support a sustainable environment, widening access and participation and civic engagement.
  - the provider has considered and taken appropriate actions to mitigate the impact of any risks to its students' continuation of study e.g. the closure of a course, campus or location, the discontinuation of a discipline;

- there is an effective and proactive system of risk management in place and risks are rigorously assessed, understood and effectively managed across the organisation;
- high quality and robust data is produced and managed to meet relevant legal and regulatory requirements including GDPR;
- effective control and due diligence take places in relation to institutionally significant external activities e.g. commercial transactions, collaborations with HEPs in other countries. For those providers that are charities, assurance will be needed that commercial transactions conform to the requirements of charity law and regulation. This is particularly the case where institutions have established subsidiary entities, for example separate operating companies or charitable trusts.

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## Element 3 Reputation

The governing body safeguards and promotes institutional reputation and autonomy by operating in accordance with the values that underpin this Code and the principles of public life.

- 3.1 Members of governing bodies must always act ethically in line with the principles of public life (the Nolan principles) and the Providers own ethical framework, and in the interests of the provider, its students and other stakeholders. This applies whether the board members are elected, nominated or appointed. If a governing body member falls short of these standards, they must be dealt with in accordance with the provider's constitution and code of conduct. They must not be ignored.
- 3.2 Members of governing bodies need to act, and be perceived to act, impartially, and not be influenced by social or business relationships. Providers must maintain, check and publish a register of the interests of members and senior executives. A member who has a pecuniary, family or other personal interest in any matter under discussion and which may be seen to conflict with the best interest of the university **must also disclose the interest in advance of any discussion on the topic**. A member does not necessarily have a pecuniary interest merely because he/she is a member of staff or a student.
- 3.3 The governing body must ensure that its decision-making processes are free of any undue pressures from external interest groups, including donors, alumni, corporate sponsors and political interest groups.
- 3.4 If an individual member of the governing body has a view that is not consistent with the collective view of the governing body, they should abide by the principle of collective decision making and avoid putting specific interests or personal views before those of the institution. Individually they must not make any agreement for which they do not have authority. Breaches will be taken very seriously and will be dealt with in accordance with the provider's Code of Conduct.
- 3.5 Promoting trust in providers governing bodies requires assurances that there is effective communication with relevant stakeholders, including the reporting of significant changes in circumstances.
- 3.6 Legislation requires that the governing body must take practical steps to ensure that the students' union or association operates in a fair, democratic, accountable and financially sustainable manner. This requirement is in addition to corporate and charity legislation to which many student organisations are independently subject.

- 3.7 The governing body requires assurance that there is a transparent, effective and published process for making and handling a complaint or raising concerns and that any internal or external complaints or concerns are handled impartially constructively and in accordance with any requirements of the Office of the Independent Adjudicator for Higher Education.
  
- 3.8 If a governing body decides it is appropriate to remunerate governing body members, it must ensure payments are commensurate with the duties carried out, reported in the audited financial statements, have considered charity and employment law and reflect the Institution's values and ethos.

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## Element 4 Inclusion and Diversity

The governing body promotes a culture which supports inclusivity and diversity across the provider, including the governing body's own operation. Diversity, in this context, does not just mean protected characteristics – it includes a diversity of voice, attitude and experience. It is a means of ensuring under-representation and differences in outcomes are challenged and where practicable corrective action is taken.

- 4.1 HE providers are required by law to comply with equality and diversity legislation, and governing bodies are legally responsible for ensuring the HEI's compliance. Legislation in this area does not distinguish between domestic and international students and staff.
- 4.2 The governing body must ensure that there are arrangements in place to:
  - eliminate unlawful discrimination, harassment and victimisation;
  - advance equality of opportunity between people who do and do not share a protected characteristic; and
  - foster good relations between people who share and those who do not share a protected characteristic.
- 4.3 Governing bodies need to review and report on the provider's approach to equality and diversity. As a minimum, they must receive an annual equality monitoring report setting out work done by the provider during the year, identifying the achievement of agreed objectives, and summarising data on equality and diversity that they are required to produce and publish. For most providers this report will include an Equality Impact Assessment and proposals for widening participation in, and increasing access to, Higher Education. It should also normally include consideration of any significant differential educational outcomes by protected groups.
- 4.4 The governing body must routinely reflect on its own composition and consider ways it can encourage diversity in all its forms. This includes consideration of the impact of decisions on equality, diversity and inclusion.

## Element 5 Effectiveness

The governing body ensures that governance structures and processes are robust, effective and agile, by scrutinising and evaluating governance performance against recognised standards of good practice.

- 5.1 The Secretary (or Clerk) is responsible to the governing body for the provision of operational and legal advice in relation to compliance with governing instruments, including standing orders. They are also responsible for ensuring information provided to the governing body is timely, appropriate and enables informed decision making. The Secretary has a duty to keep governing body members briefed in respect of all relevant developments in governance and accountability. All members of the governing body should have independent access to the advice and services of the Secretary who must ensure that governing body members are fully aware of the appropriate rules, regulations and procedures. The Secretary should be senior enough to ensure the governing body and the executive has and acts in a way which is compliant with the Provider's regulations, and independent enough to provide challenge when this is not the case.
- 5.2 The governing body needs the appropriate balance of skills, experience, diverse backgrounds/ independence and knowledge to make informed decisions. Some constitutional documents specify governing bodies must include staff and student members.
- 5.3 The size and composition of the governing body needs to reflect the nature, scale and complexity of the provider and governing bodies need enough time and resources to function efficiently and effectively.
- 5.4 An effective governing body will have a culture where all members are able to question intelligently, debate constructively, challenge rigorously, decide dispassionately and be sensitive to the views of others both inside and outside governing body meetings.
- 5.5 An effective governing body will also ensure the Board culture reflects the values of the organisation and aligns with the articulated values of the culture of the Provider. It will also get assurance that the behaviours prevalent in the Provider are consistent with the values of the Provider.
- 5.6 The governing body will need to focus on strategic risks and emerging opportunities for the provider and have enough flexibility to respond to these quickly and effectively.

- 5.7 The governing body will need a suitable arrangement for the continuation of business in the absence of the Chair. Arrangements for a Deputy Chair may be codified within the Institution's governing instruments; if not, the Nominations Committee or equivalent can advise the governing body.
- 5.8 The governing body should also consider whether it is beneficial to appoint a Senior Independent Director (SID). Their role is seen in other sectors as an important aid to good governance; to help advise the Chair, to be an intermediary for other board members and to help facilitate an annual appraisal of the Chair. The role of the SID is different to the Deputy Chair, who should be part of the leadership of the Board; to deputise for the Chair and to take on specific duties which are assigned to them. The SID should be a voice and a sounding board for other governors to sense check the effectiveness of the governance arrangements, and to formally lead the appraisal of the Chair (and the Deputy Chair).
- 5.9 The governing body needs a formal process to ensure that governing body members are 'fit and proper' persons. The governing body also needs the power and process to remove any of its members from office and must do so if a member breaches the terms of their appointment.
- 5.10 A nominations committee (or similar) is an effective way to advise a governing body on the appointment of new members. The nominations committee can provide advice to the governing body on terms of office, the perceived skills balance required on the governing body, succession planning and skills refreshment. Normally final decisions on appointment are taken by the governing body.
- 5.11 In making decisions about terms of office the governing body needs to ensure there is a planned and progressive refreshing of membership. To facilitate this, and in line with other Codes of Governance, the CUC recommends terms of office should not be more than 9 years (either 2 of 4 or 3 of 3) unless there is good justification.
- 5.12 Governing body members need induction, updates and development which supports understanding of their role and changes in their operating environment.
- 5.13 A regular, full and robust review of governance effectiveness with some degree of independent input provides assurance to internal and external stakeholders and allows a mechanism to focus on improvement and chart progress towards achieving any outstanding actions arising from the last effectiveness reviews.

## Element 6 Engagement

Governing bodies understand the various stakeholders of the provider (globally, nationally and locally) and are assured that appropriate and meaningful engagement takes place to allow stakeholder views to be considered and reflected in relevant decision-making processes.

- 6.1 The governing body needs to ensure the activities of the provider are in the interests of students and other stakeholders and any donations, partnerships and similar activities do not inappropriately influence the provider's independence, mission or academic integrity. All students should have opportunities to engage with the governance of the provider.
- 6.2 The governing body needs assurance that there is regular effective two-way communication with students and relevant stakeholders and that they are advised on any major issues arising.
- 6.3 The governing body must promote and ensure the, social and economic, impact of the Institution, and its successes are reported to stakeholders. The governing body must also advise relevant stakeholders on any material changes, adverse or other, in policy or circumstance.
- 6.4 Governing bodies need to promote a collegiate, collaborative and cooperative approach to liaison with students and other stakeholders and ensure that interactions are guided by the values, ethics and culture of the provider.
- 6.5 Where providers enter into partnership working governing bodies require assurance on the benefits and risks of the partnership and need to be satisfied that there are effective governance arrangements, and risk management strategies in place to support the partnership.
- 6.6 Governing bodies should ensure the provider is accessible to and relevant to its local communities and should be open to, and engage with, their local communities.

## Appendix 1: Nolan Principles of Public Life

The principles have been taken from the [government website](#) and are the basis of the ethical standards expected of public office holders.

1. **Selflessness:** Holders of public office should act solely in terms of the public interest.
2. **Integrity:** Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.
3. **Objectivity:** Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.
4. **Accountability:** Holders of public office are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this.
5. **Openness:** Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.
6. **Honesty:** Holders of public office should be truthful.
7. **Leadership:** Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

## Appendix 2: Statement of Primary Responsibilities

The principal responsibilities of the governing body should be set out in its Statement of Primary Responsibilities, which must be consistent with the institution's constitution. While there may be some variations because of different constitutional provisions, the principal responsibilities are likely to be as follows:

1. To set, and agree, the mission, strategic vision and values of the institution, with the executive.
2. To agree long-term academic and business plans and key performance indicators and ensure that these meet the interests of stakeholders.
3. To ensure that processes are in place to monitor and evaluate the performance and effectiveness of the institution against the strategy and plans and approved key performance indicators, which should be – where possible and appropriate – benchmarked against other comparable institutions.
4. To delegate authority to the head of the institution, as chief executive, for the academic, corporate, financial, estate and human resource management of the institution. And to establish and keep under regular review the policies, procedures and limits within such management functions as shall be undertaken by and under the authority of the head of the institution.
5. To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls, risk assessment, value for money arrangements and procedures for handling internal grievances and for managing conflicts of interest.
6. To establish processes to monitor and evaluate the performance and effectiveness of the governing body itself.
7. To conduct its business in accordance with best practice in HE corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life.
8. To safeguard the good name and values of the institution.

9. To appoint the head of the institution as chief executive, and to put in place suitable arrangements for monitoring his/her performance.
10. To appoint a Secretary to the governing body and to ensure that, if the person appointed has managerial responsibilities in the institution, there is an appropriate separation in the lines of accountability.
11. To be the employing authority for all staff in the institution and to be responsible for establishing a human resources strategy.
12. To be the principal financial and business authority of the institution, to ensure that proper books of account are kept, to approve the annual budget and financial statements, and to have overall responsibility for the institution's assets, property and estate.
13. To be the institution's legal authority and, as such, to ensure systems are in place for meeting all the institution's legal obligations, including those arising from contracts and other legal commitments made in the institution's name. This includes responsibilities for Health, Safety and Security as Equality, Diversity and Inclusion.
14. To receive assurance that adequate provision has been made for the general welfare of students.
15. To act as trustee for any property, legacy, endowment, bequest or gift in support of the work and welfare of the institution.
16. To ensure that the institution's constitution is always followed, and that appropriate advice is available to enable this to happen.
17. To promote a culture which supports inclusivity and diversity across the institution
18. To maintain and protect the principle of academic freedom as enshrined in freedom of speech legislation.
19. To ensure that all students have opportunities to engage with the governance of the institution

## Glossary

- *Clerk* used interchangeably with *Secretary*.
- *HEPs* are Higher Education Providers. This is used interchangeably for Universities and Higher Education Institutions.

- *external members* for all non-executive governing body members from outside the institution irrespective of how they are appointed.
- *governing body* which in some HEPs is called the Council, Court or Board of Governors. It may also be the Board of Directors or equivalent.
- head of institution meaning the Vice-Chancellor, Principal or equivalent.
- *stakeholders*: These are staff, existing and prospective students, funders, regulators, suppliers, local communities, alumni.

DRAFT

14 FEBRUARY 2020

## Ethics Framework

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### Purpose of Report

Under its terms of reference, the Committee advises the Board of Governors on good governance practice. The Committee is invited to consider and approve the proposed amendments to the University's Ethics Framework following a review of its contents.

### Action Requested

The report is **for decision**

### Key Issues

1. The Ethics Framework was developed in 2015 following a recommendation from the last externally-facilitated Board effectiveness review. It was developed in line with the Committee of University Chairs' *Higher Education Code of Governance* (2018) in order to ensure the Board has clear oversight of how ethical issues are addressed as they arise in line with the University's strategic objectives.
2. The Framework brings together the full range of policies, procedures and protocols that frame the University's approach to managing ethical issues throughout the academic lifecycle and with the many stakeholder groups who work with us.
3. The proposed amendments are minor and reflect changes to the higher education regulatory landscape following the establishment of the Office for Students, as well as changes to the structure of the University and its policies and procedures.

### Appendices

Appendix A – Ethics Framework

### Author

Name: Kate Harvey

Date: 23 January 2020

### Approval Route

Name: Caroline Thomas, University Secretary

Date: 6 February 2020

# Leeds Beckett University

## Ethics Framework

### Purpose

- 1 This framework sets out the context, values and associated policy framework through which our University seeks to apply the highest standards of ethical conduct and behaviour in all aspects of our business.

### Context and Values

- 2 Leeds Beckett University's mission is *to ensure we use our knowledge and resources to make a positive and decisive difference to people, communities and organisations. With a vision to be an excellent, accessible, globally-engaged university which contributes positively to a thriving Northern economy.* We are a Higher Education Corporation, established under the Education Reform Act 1998, regulated by the Office for Students (OfS) under the Higher Education & Research Act 2017 and subject to the requirements of charity law. Our primary purpose is the advancement of knowledge through learning, teaching, research and enterprise. Our charitable status relies on ensuring our activities are in line with our charitable aims and thereby the integrity with which we undertake them. The following values are intrinsic to our vision and mission: *Student focus, excellence, inspiration, creativity, professionalism, enterprise, integrity*, all of which underpin our ethical approach to achieving our strategic objectives. This framework with appended list of related policies, procedures and statements demonstrates how and where ethical issues are addressed around the four themes of our Strategic Plan 2016-2021; an excellent education and experience; leading research and academic enterprise; a community of great people; and sustainable resources.

### An Excellent Education and Experience

- 3 We are committed to supporting all our students, regardless of background, to achieve their full potential throughout the student lifecycle. From our open access and outreach activities with schools, colleges and community groups; authentic marketing messages concerning our academic and student life offer; to fair and accessible admissions policies and in the application of our academic standards and all associated support. Our ethical and inclusive approach to supporting and engaging with our students is reflected in our [Student Charter](#), our [Access and Participation Plan](#), and our [Academic Regulations](#) (including our Admissions Policy). The integrity of our academic offer, standards and operations is maintained through our [Academic Integrity Policy](#) which outlines clear oversight procedures for the production and presentation of original academic work with guidelines on the avoidance of plagiarism and the consequences which could ensue. Our undergraduate curricula are informed by our [Graduate Attributes](#) which include reference to ensuring our students develop a clear understanding of responsible engagement in a multicultural and globalising world.

Our Student Regulations provide a range of student-centred policies including clear guidelines for student complaints and a code of practice on freedom of speech. Our Code of Practice on the Approval and Management of Events with External Speakers ensures ethical and legal considerations are applied in the approval of any externally invited speakers who present to audiences on our campus. We are an apolitical organisation and respect the right of all individuals to hold diverse views in our society. We will not give a platform to those individuals or groups who wish to curtail the freedom of others through speech, violence or any other means that subjugates the ethical rights of others.

- 4 Where we work with other partners in the academic provision of our validated programmes in line with our Collaborations and Partnerships Strategy, our due diligence in assuring such partners operate within the same ethical framework as our University is critical to ensuring parity of our students' experience. Through our partnership work with our Students' Union, we ensure student representation is transparently embedded in the structures and processes that oversee the student lifecycle.

### **Leading Research and Academic Enterprise**

- 5 The University is committed to supporting the highest standards of rigour and integrity in all aspects of research. The University's Code of Good Practice for research sets out the standards of good research practice and principles to be understood and observed by all University employees and students and these reflects the principles and commitments set out in the Universities UK Concordat to Support Research Integrity. In compliance with the Concordat, the University publishes an annual Statement on Research Integrity which is considered by the Audit Committee. The Statement provides a summary of actions and activities that have been undertaken to support and strengthen understanding and application of research integrity issues.
- 6 Our Research Ethics Policy outlines the ethical principles through which staff, students and partners will pursue the creation and application of knowledge while applying the highest standards of academic integrity. The policy demonstrates how we ensure the ethical treatment of research subjects, individual participation and the appropriate generation, interpretation and application of research data through ensuring validity and originality of research outputs. The Research Ethics Procedures detail how decisions on the ethics of every research project (undertaken by staff and by students) are made and recorded at local, School and University level. Good practice protocols are agreed and implemented at School and University level, and include protocols on working with children, disclosure of research findings to GPs and guidelines on invasive procedures.
- 7 The Research Ethics Policy and Procedures is supported by our Open Research Policy and Open Access to Research database and the University is signed up to and applies the Vitae Researcher Development Framework (UK) to ensure our staff and research students are developed appropriately as both competent and ethical researchers in the pursuit of the creation of new knowledge and its application and publication.
- 8 Our Leeds Beckett Research Due Diligence Policy establishes and maintains employer partnerships to ensure such relationships are founded upon shared values and ethical principles. We support start-

up organisations where they share our ethical approach towards the customer groups they serve within the business market they are operating in.”

## A Community of Great People

- 9 We are committed to ensuring our University operates the highest standards of ethical conduct through being open and transparent with all our stakeholders and through our commitment to the wider public benefit our services provide across the communities in which we operate. Under the OfS ongoing conditions of registration, the University is committed to upholding the OfS’ *Public Interest Governance Principles*. On joining the Board, our Governors are asked to declare that they are eligible to do so with reference to the OfS’ ‘Fit and Proper’ persons indicators and guidelines from the Charity Commission, and to agree to abide by the Governors Code of Conduct. Governors, senior leaders, managers and staff with budgetary responsibility annually commit to *the Nolan Principles* (Committee on Standards in Public Life 1995) of *selflessness, integrity, objectivity, accountability, openness, honesty and leadership* as part of our oversight of staff interests outside of our University. Furthermore, our Governors work to uphold the values within the *Higher Education Code of Governance published by the Committee of University Chairs*, also based on the Nolan Principles.
- 10 Our University’s Human Resources Policies and Procedures ensures all staff are recruited, inducted and supported fairly and equitably to support their individual requirements to operate effectively in their roles. Our Equality, Diversity and Inclusion Policy sets out the framework within which our equality and diversity activities are delivered and our commitment to providing a vibrant, ethical and sustainable working and learning environment that values equality and diversity. Our supporting codes of practice ensure a consistent ethical approach is taken when supporting individuals who declare any
- 11 of the following protected characteristics (under the Equality Act 2010): age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex and sexual orientation including whether they are lesbian, gay, bisexual and/or transgender; as well as those who do not. We evidence specific compliance with the Equality Act 2010 through our statements of compliance concerning our Public Sector Equality Duty; working practices in line with the Modern Slavery Act 2015 and our Corporate Social Responsibility commitments; all of which demonstrate our policies and practices have due regard to both legal compliance and high ethical standards.
- 12 We continually seek to enhance our relationships with our graduates through the development of our alumni activities, creating opportunities to support our current students through subject focussed communications and to give back to our University. Through our Fundraising Policy we seek to ensure appropriate due diligence is undertaken of any philanthropic donations to our University to ensure the provenance of such donations is compliant with our ethical framework.
- 13 Through our Risk Management Policy, we ensure our University takes a clear and measured approach to managing the many risks we face in conducting our business both strategically and at operational levels. This policy seeks to ensure our associated control measures operate within appropriate ethical standards in order to successfully manage risk. Where any member of staff, student, or Governor

reasonably believes activity has taken place outside of legal, compliant or ethical standards and policies, our Whistleblowing (Public Interest Disclosure) complaints procedure allows for the fair and objective investigation and consideration of such complaints.

## **Sustainable Resources**

### *Finance*

- 14 Our effective and efficient management of resources ensures we are operating within a sustainable and ethical business model. This is evidenced through our Financial Regulations, our Treasury Management Policy and through our Sustainable Procurement Policy which ensures all our financial resources and the goods and services procured with such resources are done so through the highest standards of financial probity. Clarity on such probity can also be found in our Counter Fraud and Anti-bribery Policy and Gifts and Hospitality Policy.

### *Information Technology and Data*

- 15 Our data concerning our community of people and the associated systems within which it is held is managed through our Data Protection Policy and Principal Information Technology Security Policy in order to safeguard personal information and ensure it is accessed and used appropriately and securely. These policies seek to ensure data integrity and security while ensuring the trust staff, students, and governors' place in our University to safeguard their personal data is not compromised.

### *Sustainability*

- 16 In the deployment of our resources to further our business objectives we are committed to reducing the impact our University business has on the environment today by seeking to reduce our carbon footprint through adopting the use of sustainable resources, where possible, for the future benefit of the next generation. Our policies concerning Carbon Management and Sustainability seek to ensure our resources are acquired and utilised to ensure the ethical management of the environment in which our University operates. Our Food and Safety Policy seeks to maintain our Fairtrade Campus status and provides protocols for sourcing and managing our food offer on campus, and through sustainable management of food waste.

### *Safeguarding Staff and Students*

- 17 We apply ethical safeguarding measures for staff and students through our policies and procedures concerning Health and Safety (Policy and Procedures); Safeguarding policy concerning our PREVENT duty and when travelling on University business through our Insurance and Risk Procedures. We operate stringent protocols to ensure our staff and students remain safe and have continuous access to support from our University when travelling overseas representing our University through our Overseas Visit Proposal and Protocols. Student placements, whether in the UK or overseas, are subject to due diligence review before we agree to place a student with an employer in order to ensure fair, safe and ethical treatment of students when they spend periods of time engaged with

work-based learning through placement opportunities. Through our Student Well-being Urgent Support Procedures, we ensure staff can swiftly refer student well-being issues to our central support teams for urgent support at the time of need.

## **Implementation, Communication and Assurance**

18 This framework will be accessible publicly through our website. All associated policies and procedures referenced in this document are subject to review within our governance schedules. Our communications with students will be in line with guidance from the Competition and Markets Authority (CMA). Annual reporting on the implementation of this framework will be provided in our operating and finance review within the annual *Financial Statement* document.

## **References to Sector Guidance**

Office for Students *Initial and General Ongoing Conditions of Registration*

<https://www.officeforstudents.org.uk/advice-and-guidance/regulation/conditions-of-registration/initial-and-general-ongoing-conditions-of-registration/>

Office for Students *Public Interest Governance Principles* and “Fit and proper person” indicators

<https://www.officeforstudents.org.uk/advice-and-guidance/regulation/public-interest-governance-principles/>

Charity Commission *Automatic disqualification: guidance for charities*

<https://www.gov.uk/guidance/automatic-disqualification-rule-changes-guidance-for-charities>

Committee on Standards in Public Life (1995) *The 7 Principles of Public Life*. Available at:

<https://www.gov.uk/government/publications/the-7-principles-of-public-life/the-7-principles-of-public-life-2> (April 2016)

Committee of University Chairs (2014) *The Higher Education Code of Governance*

<http://www.universitychairs.ac.uk/wp-content/uploads/2015/02/Code-Final.pdf> (April 2016)

Competition and Markets Authority (2015) *Higher Education: consumer law advice for providers*

<https://www.gov.uk/government/publications/higher-education-consumer-law-advice-for-providers> (May 2017)

Institute of Business Ethics and The Council for Industry and Higher Education (2005) *Ethics Matters: Managing Ethical Issues in Higher Education*. Available at:

[http://www.ibe.org.uk/userassets/publicationdownloads/ibe\\_cihe\\_report\\_ethics\\_matters.pdf](http://www.ibe.org.uk/userassets/publicationdownloads/ibe_cihe_report_ethics_matters.pdf) (April 2016)

*Version 2 approved by the Governance & Nominations Committee – June 2017*

## **Appendix**

### **Ethics Framework: Leeds Beckett University Associated Policies and Statements**

#### **An Excellent Education and Experience**

[Academic Integrity \(and oversight procedures\)](#)

[Academic Regulations \(including Admissions Policy\)](#)

[Collaborations and Partnerships – strategy, procedures and taxonomy of provision](#)

[Leeds Beckett University Access and Participation Plan](#)

[Leeds Beckett University Graduate Attributes](#)

[Leeds Beckett University Student Charter](#)

[Safeguarding Policy](#)

[Student Regulations](#) (including Student Contract, Student Protection Plan, Student Transfer Plan, complaints, health and safety of students, code of practice on freedom of speech, and the code of practice on the approval and management of events with external speakers)

Student Representation Procedures

#### **Leading Research and Academic Enterprise**

[Concordat to Support Research Integrity](#)

[Open Access to Research \(Leeds Beckett Repository\)](#)[Research Ethics Policy](#)

(including Misconduct in Academic Research Policy) [Research Ethics](#)

[Procedures](#)

[Vitae Researcher Development Framework \(RDF\)](#)

#### **A Community of Great People**

[Code of Practice on the Approval and Management of Events with External Speakers](#)

[Corporate Social Responsibility Statement](#)

[Equality, Diversity Policy and Inclusion Framework](#)

Fundraising Policy

[Human Resources Policies and Procedures](#)

[Modern Slavery Act 2015; Statement of Compliance](#)

[Public Sector Equality Duty; Statement of Compliance](#)

[Risk Management Policy](#)

[Whistleblowing Policy \(Public Interest Disclosure Policy\)](#)

#### **Sustainable Resources**

[Counter Fraud and Anti-bribery Policy](#)

[Carbon Management Strategy](#)

[Data Protection Policy](#)

[Financial Regulations](#)

[Food Sustainability Policy](#)

[Safety, Health and Wellbeing Policy](#)

[Insurance and Risk Procedures](#)

[Overseas Visit Proposal and Protocols](#)

[Information Technology Security Policies](#)

[Student Services Urgent Support Procedures](#)

[Sustainability Policy](#)

[Sustainable Procurement Policy](#)

Treasury Management Policy



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## Schedule of Business 2019/20

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### **Purpose of Report**

The report presents the Governance and Nominations Committee's schedule of business for 2019/20 and will be considered at each meeting across the academic year and updated accordingly.

For this and future meetings members of the Committee will be invited to contribute to the agenda, with items for future meetings added to the schedule.

### **Action Requested**

The report is **for information and to note**

### **Author**

Name: Kate Harvey, Secretariat Manager

Date: 04 February 2020

## Schedule of Business 2019/20

<b>18 October 2019</b> Deadline – 09 October 2019		<b>14 February 2020</b> Deadline – 05 February 2020	<b>12 June 2020</b> Deadline – 03 June 2020
Annual report on data protection and freedom of information 2018/19		Student complaints and appeals 2018/19 annual report	UKVI compliance annual report
Register of Interests		Students' Union Elections held in October 2018	Report on Students' Union Elections held in Spring 2019
Process for the appointment of Chair, Deputy & committee chairs for 2020/21		Annual Report on subsidiary, associate and investment companies	OIA referrals, 2019 Annual Report
Internal effectiveness review of the Board – governor feedback and Board priorities <ul style="list-style-type: none"> <li>- Action plan reporting</li> <li>- Governor recruitment</li> </ul>		Ethics Framework	Committee memberships 2020/21
Corporate Governance Statement for the Year Ended 31 July 2019		Appointment of the Chair	Governor pairing 2020/21
Annual review and remuneration of the Chair and the Committee Chairs 2018/19		Appointment of committee chairs	Appointment of the Chair
Induction, pairing and development update		Governor Recruitment	Appointment of committee chairs
Statement of Primary Responsibilities		Access & Participation Plan Monitoring Statement	Student Safeguarding and Wellbeing
Student's Union Memorandum of Understanding and Code of Practice		Governor Appointments	
Annual report on fundraising and donations			
Changes to LBSU Articles			
<b>STANDING ITEMS</b>	Apologies, Declarations of Interest Membership & terms of reference Minutes of the last meeting Matters arising		Board Effectiveness Review Action Plan OfS Regulatory Updates Schedule of Business 2019/20 Use of the University Seal

<b>OTHER MATTERS</b>	Board Effectiveness Review (external) – September 2021 <i>Access and Participation Plan (tbc)</i> <i>Electoral registration of students (tbc)</i> <i>Student transfer - published information (tbc)</i>
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