



# **Corporate Governance Handbook**

**Third Edition: November 2010**



## Sections

- 1 General Information
- 2 List of Annexes (referred to by footnotes in section 1)

## Index to Section 1: General Contents

Page

### Legal and Constitutional Arrangements

The University College's Legal Framework	1
Reviews of Governance Arrangements	1

### The Board of Governors

The Board of Governors	2
The Nominations Committee	3
Officers of the Board	4
The Conduct of Governors	4
Induction Arrangements for Governors	5
Personal Liability of Governors	5
Committees of the Board of Governors	6
The Relationship Between the Academic Board and the Board of Governors	7
The Role of the University College Executive and the Board of Governors	7
The Role of the Academic Planning and Resources Committee	8
The Remuneration Committee	9

### Management Structure

The Senior Management Structure	10
Roles and Responsibilities of Senior Managers	10
Line Management and Organisational Structure	11
Internal Communications	12
Staff Representation in Decision Making	13

### Planning Systems

Roles and Responsibilities in the Production of Corporate Plans and Sub Strategies	13
The Structure of the University College's Planning System	14
The University College's Planning Cycle	14
The Relationship between Academic and Corporate Planning	14

### Audit Arrangements

The HEFCE Audit Code of Practice	15
The Audit & Risk Management Committee	15
External Audit	15
Appointment of Auditors	
Conduct of the Audit	
Reporting Requirements	
Internal Audit	16
Appointment of Auditors	
Audit Planning and Conduct of the Audit	
Reporting Requirements	
The Fraud Register	16
Public Interest Disclosure Policy	16
Risk Management	16
Compliance with External Guidance on Corporate Governance	17

### Finance

The Finance and General Purposes Committee	17
The Remuneration Committee	17
Financial Management Structure	18
The Production of Annual Accounts and Estimates of Income and Expenditure	18
Financial Regulations and Procedures	19
The University College's Funding Relationship with HEFCE	19

The University College's Funding Relationship with Partner Institutions	19
Guidance on the Conduct of Projects	19
Insurance Arrangements and the Provision of Guidance to Staff	20
Tendered Professional Services and Tendering Arrangements	20
Staff Pension Arrangements and the Management of Pension Schemes	20
<b>Staffing Matters</b>	
Staffing Matters and the Board of Governors	21
Staffing Policies, Handbooks and Consultation	21
The Personnel and Staff Development Web Site	21
Compliance with Employment Law	21
The Development of Staff, Leadership and Management	22
<b>Health &amp; Safety</b>	
Governors Health & Safety Policy Statement	22
Health & Safety Committee	22
Health & Safety Management Structure	23
Audit and Risk Management Systems	23
Health & Safety Arrangements for Students	23
<b>Student Matters</b>	
The Constitution of the Students' Union	24
Student Matters and the Board of Governors	24
Student Policies and Student Handbooks	24
Student Representation in Decision Making	24
Communications with the Students' Union	24
Compliance with Relevant Legislation	25
<b>Academic Decision Making, Planning and Quality Assurance</b>	
The Academic Board and its Committees	25
Quality Assurance Systems in Academic Matters	26
Roles and Responsibilities in the Management of Learning & Teaching	26
Roles and Responsibilities in the Management of Research and Reach-Out	27
The Role of the Academic Registrar's Department	27
Academic Planning and Resources Committee (APRC)	28
<b>Other Legal Matters</b>	
Review of Compliance and Use of Legal Advice	28
Roles and Responsibilities in Relation to Legal Matters	28
The Management of Property and Related Legal Obligations	28
The Production of Statutory Statistical Returns	28
<b>The Management of External Guidance</b>	
HEFCE Circulars	28
HEFCE Good Practice Guidance	29
UUK/SCOP/UCEA Guidance	29

## **Section 1: General Information**



## LEGAL AND CONSTITUTIONAL ARRANGEMENTS

### The University College's Legal Framework

1. Harper Adams University College is a registered charity<sup>1</sup> and an institution of higher education governed by an Instrument and Articles of Government approved by the Privy Council. The Instrument and Articles were prepared in accordance with Section 129A of the Education Reform Act 1988, as inserted by Section 73 of the Further and Higher Education Act 1992, comprised in a Scheme of the Charity Commissioners of 3 February 1988 which was modified by an Order of the Secretary of State and confirmed on 13 August 2010 and by an Order of the Council dated 18 December 2000.<sup>2</sup> The Instrument and Articles were approved by the Privy Council in June 2010<sup>3</sup>.
2. The Instrument sets out the object of the University College, the powers of the Board of Governors ('the Board'), details of the membership of the Board, the way in which members are appointed and powers for the Board to establish sub committees and appoint officers of the Board. The Articles set out the responsibilities of the Board, the Principal and the Academic Board, the delegation of functions from the Board (and specifically which functions should not be delegated), procedures for meetings, procedures for the appointment, promotion and conduct of staff, the establishment of a Students' Union, procedures for student conduct and the power of the Board to create further regulations or bye-laws.
3. Alterations to the Instrument and Articles of Government require the approval of the Privy Council and, where appropriate, the Charity Commission must also be consulted. The Instrument and Articles provide a framework for more detailed University College regulations for staff and students, and must be followed where they contain relevant procedures. They are therefore a reference point for the governance of the University College and are freely available to staff and students on request to the office of the University Secretary.
4. Four other documents are of importance in the legal framework of the University College. The first is an Order of Council dated 4 September 1996<sup>4</sup>, which grants the University College the power to award taught degrees, and which are confirmed in the second document, The Education (Recognised Bodies) Order 1999<sup>5</sup>. The third is an Order of Council dated 18 December 2000 which, in addition to approving the new Instrument and Articles of Government and object of the University College, confirmed approval of the change in its title from Harper Adams Agricultural College to Harper Adams University College. The fourth is an Order of Council dated 19 July 2006 which confirms that the University College may award its own research degrees<sup>6</sup>.
5. The University College must also meet the requirements of a wide range of other legislative provisions governing the actions of public institutions and 'business' entities. These, and the University College's policy responses, are listed in Section 2 of this handbook.

### Reviews of Governance Arrangements

In 1999/2000, the University College undertook the first of a series of reviews of its Governance arrangements. This was intended to address best practice guidance that had been prepared by the Committee of University Chairmen (now Committee of University Chairs) in its Guide for Members of Higher Education Governing Bodies in the UK<sup>7</sup>, the Dearing Report<sup>8</sup> and the Government's response, entitled 'The Learning Age'<sup>9</sup> and HEFCE guidance on Effective Financial Management in Higher Education<sup>10</sup>. The review resulted in the publication of the Report of the Governance Working Party, 4 December 1998<sup>11</sup> which recommended a number of major revisions to the constitution of the Board of

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<sup>1</sup> Scheme of the Charity Commissioners, 3 February 1988

<sup>2</sup> Scheme of the Charity Commissioners as amended and confirmed 13 August 2010\*\*/Order of Council dated 18 December 2000.

<sup>3</sup> HAUC Instrument and Articles of Government, June 2010

<sup>4</sup> Order of Council 4 September 1996

<sup>5</sup> Statutory Instrument 1999 No 833

<sup>6</sup> Order of Council 19 July 2006

<sup>7</sup> Guide for Members of Governing Bodies of Universities and Colleges, CUC, 2001

<sup>8</sup> The Dearing Report

<sup>9</sup> The Learning Age, The Government Response to the Dearing Report

<sup>10</sup> Effective Financial Management in Higher Education, HEFCE Circular 99/29

<sup>11</sup> Report of the Governance Working Party, 4 December 1998

All footnotes refer to the documents listed in section 2

Governors and the operation of the Board. These changes also introduced new concepts of corporate governance to the way in which the Board functioned which are detailed in later sections of this handbook. Further reviews of arrangements to promote Board effectiveness were conducted in 2004 and 2005 as a response to new guidance from the Committee of University Chairs<sup>12</sup> and in 2010 as part of a LFHE Governing Body Effectiveness Pilot<sup>13</sup>.

6. The CUC guidance recommended the adoption of a Code of Governance Practice, the need for which had originally been identified in the Lambert Review<sup>14</sup>. The University College has adopted the Code. Governors are expected to help ensure that the University College monitors its performance against the provisions of the Code<sup>15</sup>.

## THE BOARD OF GOVERNORS

### The Board of Governors

7. The Board of Governors has a minimum of 19 and a maximum of 23 members. Of the appointed members, there are 2 ex-officio Governors (the Principal and the President of the Students' Union), 12 Independent Members and at least 3, but not more than 8 Co-opted members. Two Co-opted places are used for elected academic staff representatives and one for a member of support staff, but as the remainder are used for external appointees, there is nothing, in practice, to distinguish between the Independent and external Co-opted categories of membership. Before the Review of Governance, the University College was obliged to seek nominations for members from the CLA, the NFU, MAFF (now DEFRA) and the RASE. The Board is no longer required to seek such nominations, but has agreed that a continued link with these organisations is desirable and that it will continue to appoint members who have, or have recently had, connections with these bodies.
9. The Board of Governors exists to ensure that the mission of the University College is fulfilled. To do this, members of the Board need to keep themselves informed of developments in the University College, and in higher education, and of the performance of the University College. Members of the Board are expected to participate fully in the development of the University College's corporate and operating plans and to ensure the proper allocation and use of the University College's resources in meeting the objectives of those plans.
10. Governing bodies are entrusted with public funds and therefore have a particular duty to fulfil the highest standards of corporate governance at all times and ensure that they are discharging their duties with due regard for the proper conduct of public business. Institutions of higher education were included among the public spending bodies examined by the Committee on Standards in Public Life (the Nolan Committee), and consequently members of governing bodies, such as the Board of Governors, need to observe the Seven Principles of Public Life drawn up by the Committee.
11. These principles are as follows:
  - 1) **Selflessness.** Holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefit for themselves, their families or their friends
  - 2) **Integrity.** Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties
  - 3) **Objectivity.** In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choices on merit
  - 4) **Accountability.** Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office

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<sup>12</sup> Guide for Members of Higher Education Governing Bodies in the UK, CUC, March 2009

<sup>13</sup> LFHE Governing Body Effectiveness Pilot, March 2010

<sup>14</sup> Report of the Lambert Review of University-Business Collaboration, HM Treasury, December 2003

<sup>15</sup> The CUC Code of Governance Practice

All footnotes refer to the documents listed in section 2

- 5) **Openess.** Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands
- 6) **Honesty.** Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest
- 7) **Leadership.** Holders of public office should promote and support these principles by leadership and example
12. The University College is a registered charity so members of the Board of Governors are also trustees of the Charity. The charitable objects of the University College are the same as those in the Instrument of Government, namely the provision, conduct and development of the University College to provide higher education for the industries, professions and communities associated with rural land.
13. The Board of Governors has procedures for the conduct of its meetings. These are set out in the University College' Instrument and Articles of Government. In addition, the relevant provisions of the Instrument (the powers of the Board of Governors), the Articles (on, for example, the Board's responsibilities and procedures for meetings) and the Charity Commission Scheme have been drawn together in terms of reference for the Board<sup>16</sup>. The CUC Code (see footnote 13) advises the Board to adopt a statement of primary responsibilities<sup>17</sup>.
14. The Board of Governors is expected to exercise its responsibilities in a corporate manner; that is to say decisions must be taken collectively by the members acting as a body. Members must not act individually or meet in informal groupings to take decisions on Board business on an ad hoc basis outside the constitutional framework of the meetings of the Board and its committees. A role description has been prepared to set out the major areas of responsibility for members of the Board of Governors<sup>18</sup>.

### The Nominations Committee

15. The University College's Nominations Committee was established as a result of the first Governance Review. The Committee has determined:
  - Criteria for Membership of the Board of Governors, which sets out priority areas and subject coverage sought from new members of the Board<sup>19</sup>
  - Procedure for Invitations to New Members, to provide a clear timetable and modus operandi for approaching potential new Governors<sup>20</sup>
  - A succession plan for the Board which sets out the anticipated turnover of Board members to assist the planning of nominations
16. The Committee usually meets as a minimum in March each year, and makes its recommendations to the Board meeting in the following July. Retiring Governors normally leave the Board after the July meeting, and new Governors take up their appointment at the same point.
17. Members of the Board will normally be appointed for an initial term of office of 4 years. The Board may formally consider appointment to a second term of office of 4 years at the July meeting during the last year of the initial term. At the time of writing in 2010, the Board will only consider appointments beyond two terms of office, or beyond the normal age of retirement of 70 years, in exceptional circumstances or if a member holds office (i.e .is Chairman or Vice Chairman). This stipulation will be reviewed in light of equality and diversity legislation.
18. The University College's Annual Report contains a statement on corporate governance that explains that nominations of potential Governors should be made to the Clerk to the Board for consideration by the Nominations Committee.
19. On the retirement from the Board of an academic or support staff representative, an election is held to appointment a new staff Governor. The elections are conducted in accordance with a

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<sup>16</sup> Terms of Reference for the Board of Governors

<sup>17</sup> Statement of Primary Responsibilities of the Board of Governors

<sup>18</sup> Role description for members of the Board of Governors

<sup>19</sup> Criteria for Nomination of new Governors

<sup>20</sup> Procedure for Invitations to New Governors

All footnotes refer to the documents listed in section 2

written procedure<sup>21</sup> and the terms of appointment, and period of office, are those applicable to external members of the Board.

## Officers of the Board

20. The role and responsibilities of the Chairman of the Board, the Vice Chairman, and the Principal and Clerk in relation to their Board duties, are set out in 'job descriptions' for each of these roles<sup>22</sup>
21. Elections to the Chairmanship and Vice Chairmanship of the Board are held annually at the November/December meeting of the Board. A postal ballot of Governors is held in the preceding month<sup>23</sup>. The nominated candidates are expected to leave the room during the election process. The Clerk to the Board chairs the meeting for the duration of this item of the agenda. The appointment of the Chairman and Vice Chairman can sometimes occur towards the end of the full term of office of a Governor. In such cases, and subject to compliance in other respects with the Instrument of Government, the Governor concerned may have his/her appointment extended for a further period of up to 8 years (ie two 4 year terms), depending on the length of previous service on the Board. The aim of this approach is to ensure continuity of service of key members of the Board whilst ensuring that the spirit of guidance on length of service on the Board is maintained.
22. The Board is required to appoint a Clerk to act as its secretary. This role is performed by the University College's University College Secretary (UCS). The Clerk also acts as secretary of committees of the Board. Provision is made within the terms of reference of the relevant committees for procedures to avoid conflicts of interest between the roles of Clerk and UCS. The last HEFCE Audit recommended that a joint description of duties for this post be made available as a further measure to increase transparency in the conduct of the role of Clerk<sup>24</sup>. The Audit & Risk Management Committee has a role to review from time to time the joint role of the Clerk and the UCS to ensure that it remains appropriate for the University College. The issue of potential conflicts of interest, and the overall role of the Clerk, are also addressed annually in Governor-led performance reviews with the postholder.

## The Conduct of Governors

23. A number of the provisions contained in the Articles of Government require further explanation in respect of the expected conduct of members of the Board of Governors.
24. It is central to the proper conduct of public business that chairmen and members of public bodies should act, and be perceived to act, impartially and not be influenced in their role as governors by social or business relationships. A member of the Board of Governors who has a pecuniary, business, family or other personal interest in any matter under discussion at any meeting of the Board or one of its committees at which s/he is present is expected, as soon as practicable, to disclose the fact of his/her interest to the meeting and, if required by the Chairman, to withdraw from that part of the meeting. A member of the Board is not, however, considered to have a pecuniary interest in matters under discussion merely because s/he is a member of staff or a student of the institution. Nor does the restriction of involvement in matters of direct personal or pecuniary interest prevent members of the Board from considering and voting on proposals to insure the members of the Board against liabilities it might incur.
25. The University College has a register of interests of members of the Board of Governors and selected senior staff. The Register, maintained by the Clerk to the Board, is a public document and available to staff, students, or any member of the public who wishes to consult the document, on application to the Clerk. Members of the Board are expected to discuss with the Clerk any potential interests or conflict of interests that may need to be declared in the Register, and to keep their entry in the Register up-to-date and complete. Guidance notes on matters that might need to be entered into the Register of Interest are held with the Register<sup>25</sup>.
26. Members of the Board who have been sought from particular constituencies are required not act as if delegated by that group or constituency. Article 7.1 is relevant in this respect. The Article says that:

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<sup>21</sup> Election Procedure for Staff Governors

<sup>22</sup> The Role of Chairman of the Board, and the Principal and Clerk in relation to the Board

<sup>23</sup> Ballot procedure for the election of Chairman and Vice Chairman of the Board of Governors

<sup>24</sup> Role of the Clerk to the Governors (University College Secretary), 2010

<sup>25</sup> Guidance Notes for the Register of Interests

All footnotes refer to the documents listed in section 2

*Every member shall speak and act in propria persona contributing to the deliberations of the Board whatever special knowledge and advice relevant to the matter in hand is available to him by reason of the circumstances of his membership, but exercising his own judgment to the best of his ability, in the interests and for the good of the University College as a whole, in all matters committed to the Board of Governors*

27. The Board has no power to remunerate its members, but it may pay travelling, subsistence or other allowances as it may determine from time to time, in accordance with its written procedure<sup>26</sup>. Further details of such allowances may be obtained from the Clerk.

## **Induction Arrangements for Governors and Governor Development**

28. Members of the Board, when taking up office, are briefed by the Clerk on the terms of their appointment and the responsibilities placed on them for the proper management of the University College. Members are given copies of relevant background documents, for information about the way in which the Board operates and the University College is managed. Information on developments at the University College may be sent to members of the Board in between meetings. There is, however, an onus on members to keep themselves informed about the University College. The Chairman, Principal or Clerk may be contacted for such information if required.
29. A brief resume for each member of the Board will be requested by the Clerk shortly after appointment so as to provide background information on the interests of the member and to ensure that records of members contact details etc are kept up to date. Photographs of the current Governors are maintained in the Main Building so that staff and students may familiarise themselves with the members of the Board.
30. From time to time, Governors will be offered opportunities to attend courses and other events to assist their development in their role, in accordance with the University College's Policy on Governor Training and Development<sup>27</sup>. Many of these events are offered as part of the sector's Leadership Foundation for Higher Education Governor Development Programme<sup>28</sup>

## **Personal Liability of Governors**

31. The law relating to personal liability of members of governing bodies is complex and its interpretation is ultimately a matter for the courts. The following information is not an attempt at a statement of law and should not be relied upon as such. It does, however, offer general guidance on conduct which might help avoid actions which could involve personal liability. Members of the Board should satisfy themselves that they understand their own position in the University College and should:
- act honestly, diligently and in good faith
  - be satisfied that the course of action proposed by the Board is in accordance with the University College's Instrument and Articles of Government and the Charity Commission Scheme
  - not bind the University College to a course of action it cannot carry out
  - seek to ensure that the University College does not continue to operate if it is insolvent
  - seek to persuade colleagues by open debate and register dissent if they are concerned that an action of the Board would be contrary to any of the above statements
  - avoid putting themselves in a situation where there is actual or potential conflict between their interests and those of the University College
31. Whilst the responsibilities of the Board are exercised in a collective manner and decisions are made by formal resolution, claims involving the collective decisions and actions of the Board could be made. The Funding Councils have drawn the attention of governing bodies to the desirability of taking out insurance against the cost of any claims of negligence that may be

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<sup>26</sup> Policy on Travel, Subsistence and Other Allowances

<sup>27</sup> Policy on Governor Training and Development

<sup>28</sup> Further details of the programme can be found at: [www.lfhe.ac.uk/governance/](http://www.lfhe.ac.uk/governance/)

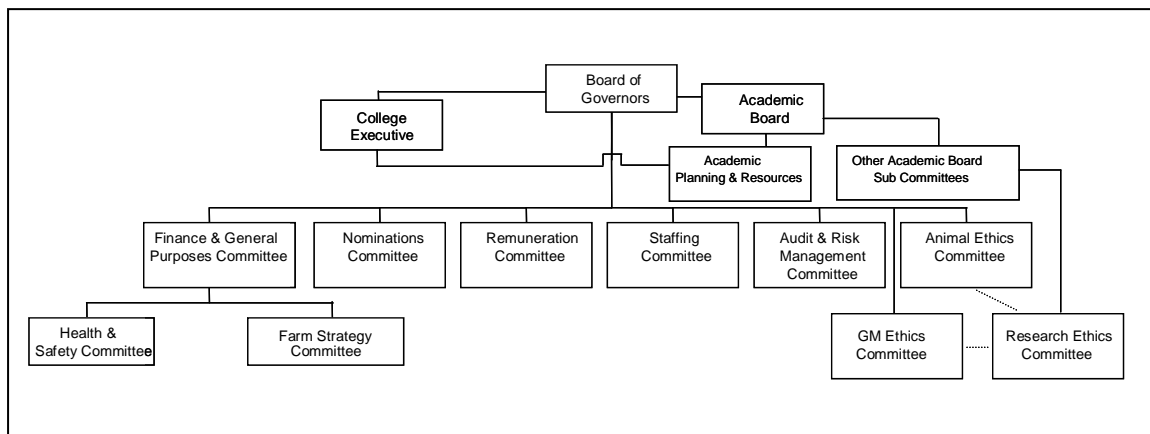
All footnotes refer to the documents listed in section 2

made against members of the Board in carrying out their duties. The University College has such insurance cover, the details of which may be obtained from the Clerk.

33. Certain areas of liability, for example, criminal acts, are difficult or impossible to insure against and could leave individual Governors open to personal liability. Governors need to be aware of this risk because the University College is, at present, not an incorporated body. Methods to secure incorporation are under investigation at the time of writing. The Board has agreed that preparations for becoming a company limited by guarantee or a Charitable Incorporated Organisation should be progressed.

### Committees of the Board of Governors

34. The Articles of Government allow the Board to establish committees for any purpose or function, other than those assigned within the Articles to the Principal or to the Academic Board. The Board may also delegate powers to such committees (or to the Chairman of the Board or to the Principal). The Articles add, however, that the Board is must establish an Audit Committee according to the requirements of the Higher Education Funding Council for England (HEFCE) taking account of any guidance given by the Council. The Board is also required to establish a committee or committees to determine or advise on such matters of finance or employment policy as the Board remits to them, and a Nominations Committee as described earlier in this handbook.
35. The Board is not permitted to delegate any of the following:
- The determination of the educational character, mission and corporate plans of the University College
  - The approval of the annual accounts and annual estimates of income and expenditure
  - Ensuring the solvency of the University College and the safeguarding of its assets
  - The appointment or dismissal of the Principal
  - The varying or revoking of the Articles
36. The proceedings of the Academic Board and any committee established by the Board of Governors or the Academic Board are the same as the regulations laid out in the Articles of Government for the meetings and proceedings of the Board of Governors unless they have been superseded by regulations made by the Board of Governors specifically for that committee. In practice, although each committee has formal terms of reference approved by the Board, the proceedings and arrangements for meetings are operated in the same way as those of the Board of Governors.
37. The Board has the following committee structure (see Diagram 1). Terms of Reference<sup>29</sup> for the committees are available in a common format. These set out the constitution of the committee, its delegated authority and powers, detailed terms of reference and reporting requirements. The current membership of each committee is also provided.



**Diagram 1: The Board committee structure**

<sup>29</sup> Terms of Reference for Committees of the Board of Governors

The terms of reference, and committee membership, are reviewed regularly by the Board. The Chairman is responsible, with the assistance of the Clerk, for ensuring that committees of the Board have sufficient Governor members and that the functions of the Committees remain current, and relevant, to the needs of the University College.

38. Whilst most of the Committees cover areas normally represented in university constitutions, the University College has two that are related to its specialist status. In 2000, the Board established a GM Ethics Committee to consider the implications for the University College, and for the progress of studies in genetically modified materials, of conducting trials in the use of these materials. An Animal Ethics Committee has also been established. The Committees meet only when required, to consider specific project proposals, but their role in helping improve the public understanding of science, and dealing with ethical issues, has nonetheless been important. The University College also has a Farm Strategy Committee, established as a joint committee with the University College Executive, which monitors and helps improve the financial and farming performance of the University College Farm.

### **The Relationship Between the Academic Board and Board of Governors**

39. The responsibilities of the Academic Board are set out in the Articles of Government. The Academic Board must have no more than 27 members, comprising the Principal (who is the Chairman) and such other numbers of staff and students as may from time to time be approved by the Board of Governors. The Principal is able to nominate a Deputy Chairman from among the members of the Academic Board to take the chair in his place. Subject to the provisions of the Articles and the overall responsibility of the Board of Governors and the responsibilities of the Principal, the Academic Board is responsible for:
- General issues relating to the research, scholarship, teaching and courses at the University College, and related procedures as set out in the Articles
  - Considering the development of the academic activities of the University College and resources needed to support them and for advising the Principal and the Board of Governors thereon
  - Advising on such matters as the Board of Governors or the Principal may refer to the Academic Board
40. The Articles of Government empower the Academic Board to establish such committees as it consider necessary to carry out its responsibilities provided that each committee is first approved by the Principal and the Board of Governors. The committees are expected to report to the Academic Board. The number of members and the terms on which they hold and vacate office may be determined by the Academic Board.
41. The Academic Board has the following committee structure (see Diagram 2). Terms of Reference<sup>30</sup> its committees are available in a common format. These set out the constitution of each committee, its delegated authority and powers, detailed terms of reference and reporting requirements. The current membership of each committee is also provided.
42. It is important for the Board of Governors and Academic Board to have a close understanding of their respective roles and responsibilities. The Principal chairs the Academic Board and is an ex officio member of the Board of Governors. Since 2004, a non-executive governor has been nominated by the Board of Governors to become a member of the Academic Board, in order to improve information flow between the Boards. The Board of Governors receives reports on the work of the Academic Board on a routine basis.

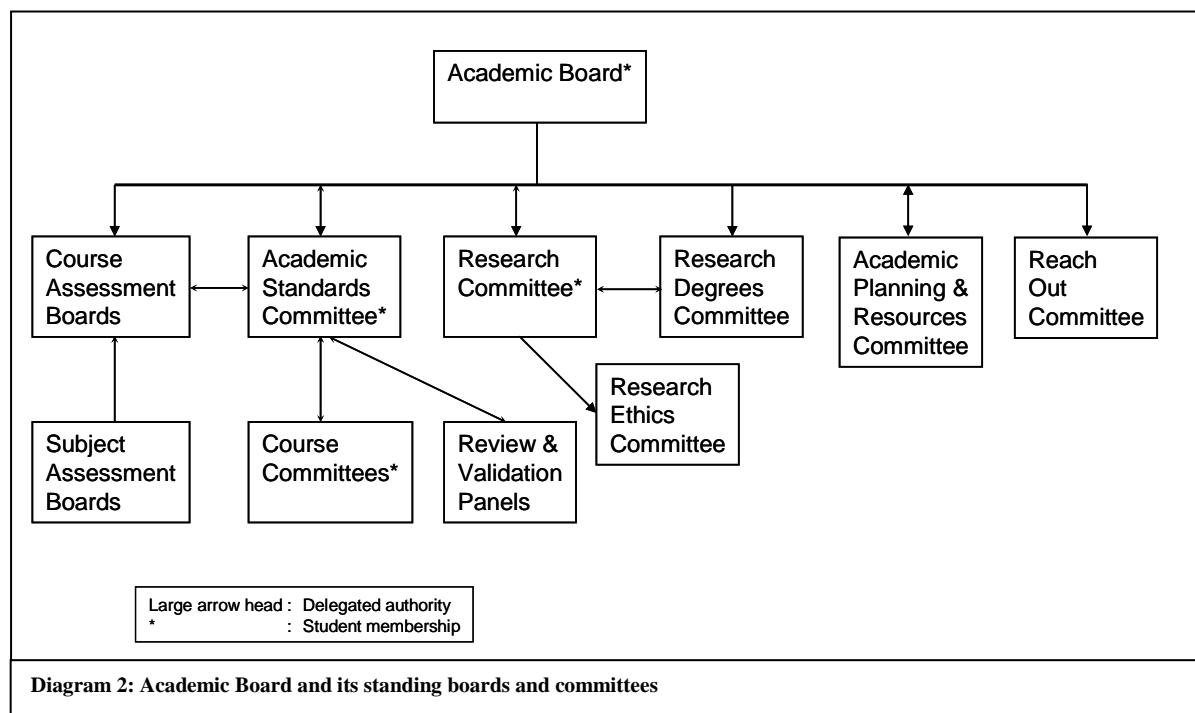
### **The Role of the University College Executive and the Board of Governors**

43. The University College Executive is a committee authorised by the Board of Governors to deal with operational matters relating to the management of the University College and the management of the University College's relationship with HEFCE and other external agencies. The Committee is also charged with the responsibility for the preparation and implementation of the University College's strategic plan, related sub strategies and associated resource management.
44. The University College Executive is chaired by the Principal and has a core membership that includes the senior management team. This core group meets twice a month, but at alternating meetings is supplemented by the Heads of Academic Departments and the Heads of certain

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<sup>30</sup> Terms of Reference for Committees of the Academic Board

support services (I.T., Educational Development and Quality Enhancement, Liaison and Marketing and Business Services). The aim of the alternating meetings is to ensure that there is a wider opportunity for debate and information flow on key operational issues.

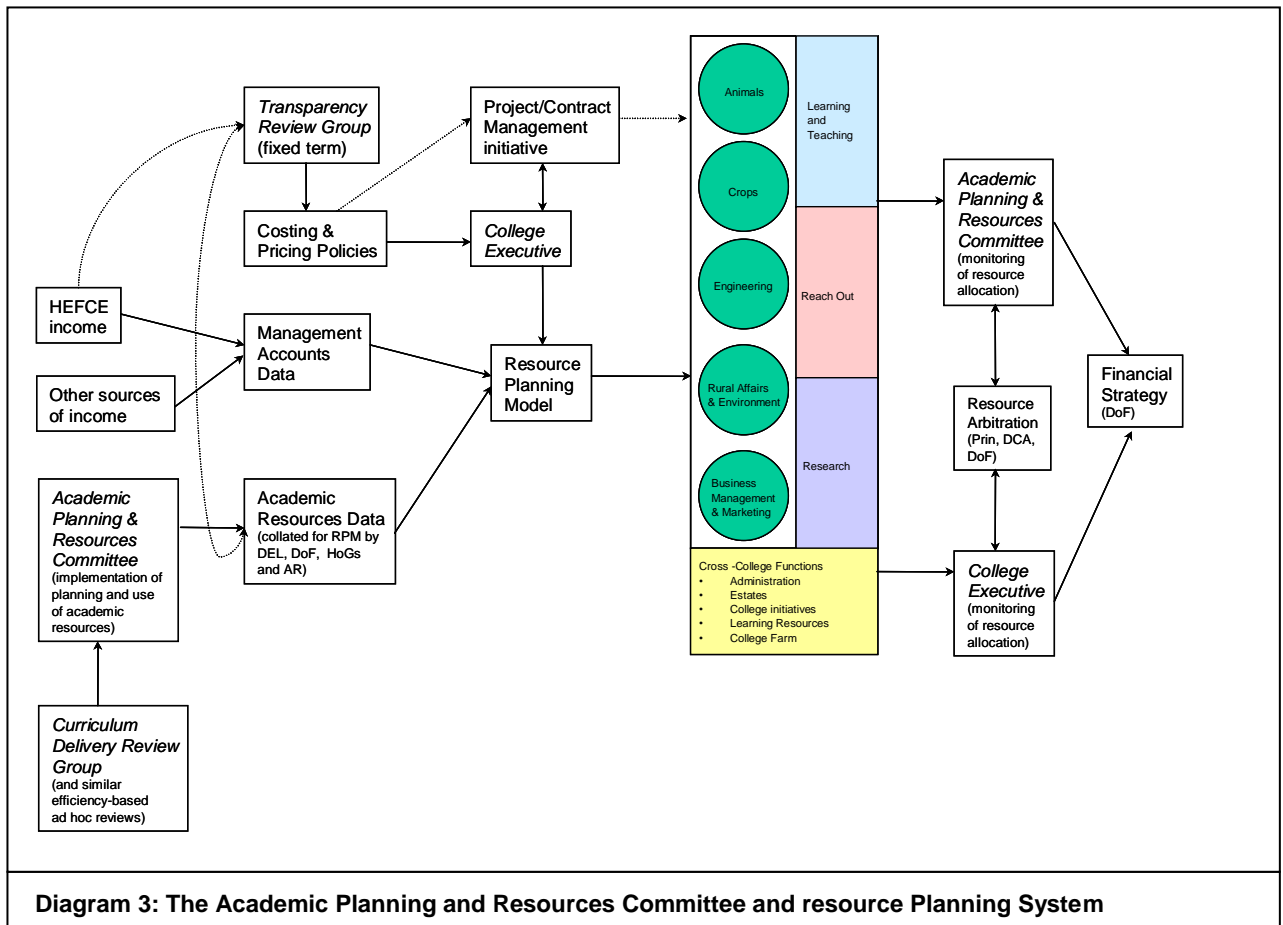


45. Notes of meetings of the University College Executive (in the form of action minutes) can be obtained from the University College Secretary. Although the University College Executive does not routinely report to the Board of Governors, its activities involve steering policy towards implementation and acting as a first point of internal discussion on the development of new policies. The work of the University College Executive is presented to the Academic Board and/or Board of Governors (or their relevant sub-committees) in the form of briefing papers and reports on major issues of concern to the University College and the senior management team.
46. The University College Executive organises the production of major planning documents and assesses them in their early stages of development to ensure that they can be put into operation and are consistent with other University College activities and objectives. These documents include the University College's Strategic Plan and associated sub strategies (see later section on Planning Systems). Over the last 4 years, the University College Executive has met with the Finance & General Purposes Committee and the Board to consider the development of annual/strategic plans and as a means to help set the strategic priorities of the University College and inform later debate on these issues at the Academic Board and Board of Governors.

### The Role of the Academic Planning and Resources Committee

47. The University College's preparations for the QAA Institutional review in 2002 identified the need for a clearer definition of responsibility for developing, planning and resourcing academic activity and for providing improved strategic advice on academic matters to the Academic Board and, thereafter, to the Board of Governors. The essence of this approach was that if the Academic Board and Board of Governors were to deal with strategic policy matters, and the University College Executive was to handle operational matters, there was a need for a group to consider, in more depth, the middle ground - the implications of academic developments on the coherence of the University College's academic portfolio and on associated resourcing issues.
48. The Academic Planning and Resources Committee was created with this role in mind. The relationship between the committee and the University College's resource allocation system is outlined in Diagram 3. It has the remit to prepare policies and conduct academic strategic planning on behalf of the Academic Board and the Board of Governors and to make such recommendations as are required to the Academic Board on policy and planning matters. Major functions of the Committee include assessing the resource implications of new academic developments (including, for example, new course proposals, new methods of course delivery

and collaborative arrangements) and monitoring the operation of the resource allocation system and its impact on academic planning and policy making.



### The Remuneration Committee

49. The Remuneration Committee is authorised by the Board of Governors to set the salaries (and where appropriate, severance payments) of senior University College staff. The Committee may also review and recommend alterations to terms and conditions of service for Senior University College staff having regard to University College employment policies established by the Staffing Committee. The category of Senior University College staff is defined in the Articles of Government as the Principal, the Vice Principal, the University College Secretary and the Director of International Policy, but has been supplemented by the Director of Finance, the Academic Registrar and the Director of Communications.
50. In conducting its role, the Remuneration Committee is expected to seek comparative information on salaries, other emoluments and conditions of service in the Higher Education sector. It does this by the University College's participation in the national review of salaries of senior staff conducted by the Universities and University Colleges Employers Association (UCEA). In considering severance arrangements, and particularly payments made in association with severance, the Committee is expected to comply with relevant HEFCE guidance<sup>31</sup> and should bear in mind that it represents the public interest and should avoid any inappropriate use of public funds.
51. University College staff take part in an annual staff development review. In the case of the Principal, this is conducted by the Chairman of Governors and the Vice Chairman. In the case of the six other Senior Staff, the review is conducted by the Principal. For the University College Secretary, Vice Principal, Director of Finance and Director of International Policy this has been supplemented by a further annual review by Governors. The intention of the Governor-led review is to undertake an assessment of performance of each of the Senior Staff to inform the decisions of the Remuneration Committee as well as to discuss plans on future priorities. To

<sup>31</sup> Severance payments to senior staff, HEFCE Circular Letter 06/2009

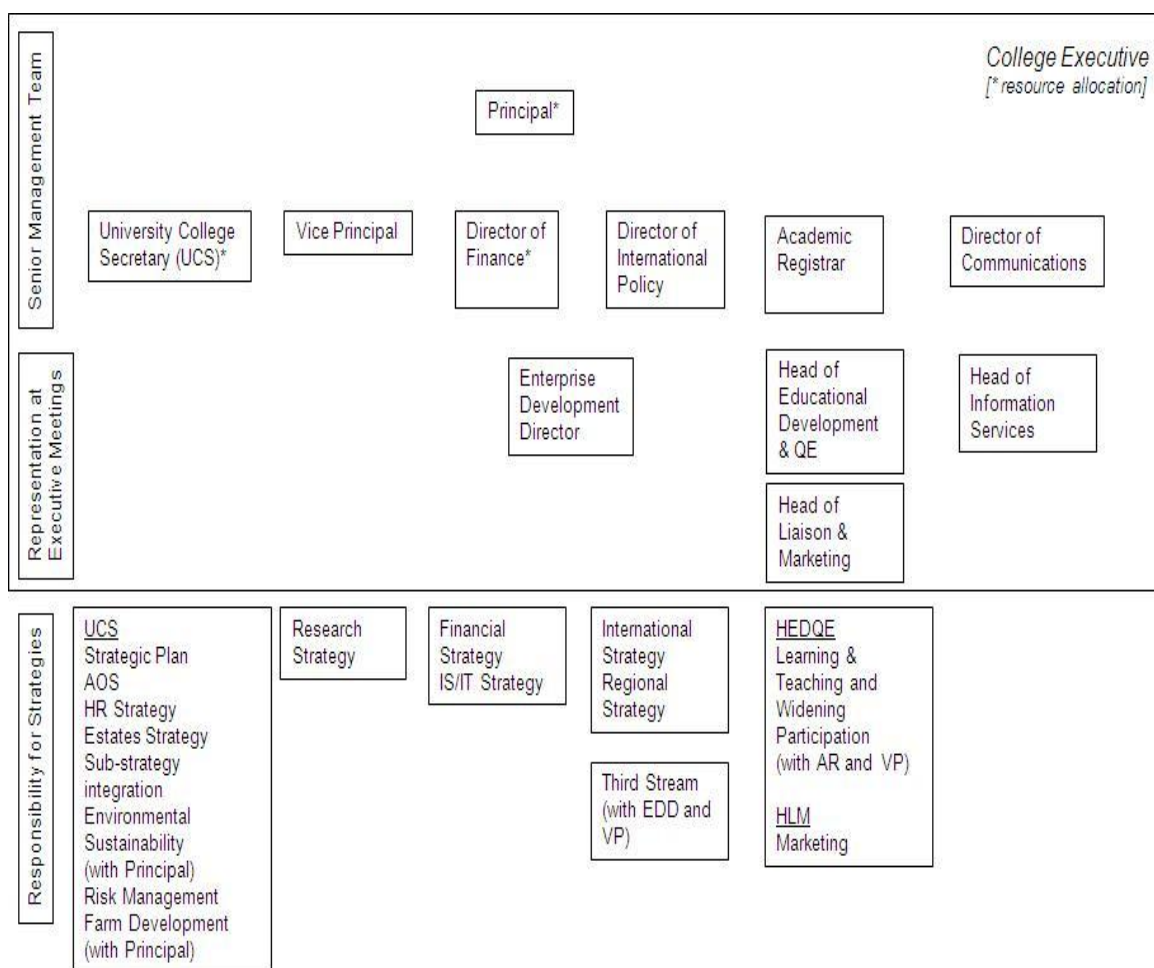
ensure a degree of separation between the Governor-led reviews and the Committee, the third governor serving on the Remuneration Committee does not take part in the senior staff reviews.

## MANAGEMENT STRUCTURE

### The Senior Management Structure

52. The University College Principal is identified in the Instrument of Government as the Chief Executive Officer of the University College. The Principal has general responsibility to the Board of Governors for ensuring that the object of the University College is fulfilled and for maintaining and promoting the efficiency, discipline and good order of the University College. The Board of Governors may entrust to the Principal such powers and duties as are required to fulfil the above requirements, a number of which are spelt out in the Articles of Government. These include the organisation, direction and management of the University College and leadership of the Staff, and the appointment, assignment, grading, appraisal, suspension, discipline, dismissal and determination, within the framework set by the Board of Governors, of the terms and conditions of service of staff other than holders of senior posts (who are dealt with by the Remuneration Committee). The Principal is responsible and accountable to HEFCE (and ultimately to Parliament) for ensuring that the University College uses HEFCE funds in ways that are consistent with the purposes for which those funds were given, and complies with the conditions attached to them. These include the conditions set out in the Further and Higher Education Act 1992 and in the financial memorandum that sets out the terms accompanying the annual grant made to the University College by HEFCE.

53. The management structure immediately below the Principal is set out in Diagram 4.



**Diagram 4: The Structure of the Senior Management Team and University College Executive**

## **Roles and Responsibilities of Senior Managers**

54. The Articles of Government require the Board of Governors to appoint a Clerk to the Board. This position is held by the University College Secretary and carries with it general responsibility for corporate governance systems and arrangements for the University College. The University College Secretary also has overall responsibility for the University College's administration, and particular responsibility for strategic planning and personnel, estates, general office services, health and safety, catering, and the University College Farm. Other matters dealt with in the University College Secretary's office include the management of the University College's Development Trust, the management of University College property, legal affairs, internal audit and general liaison with HEFCE.
55. The Director of Finance reports directly to the Principal on matters of concern to the Principal's role as designated officer under the HEFCE Financial Memorandum, and otherwise on financial operations and the allocation of resources. The Director of Finance also works closely with the University College Secretary on financial matters, financial planning and other financial issues, including liaison with the finance team at HEFCE. The Director of Finance takes the lead role in matters concerning superannuation, insurance arrangements, the Conference Office and, with the Head of IS/IT, the development of the University College's information systems.
56. The Vice Principal has a co-ordinating role for all academic matters concerning the University College's 5 academic departments. The Heads of Academic Departments report to the Vice Principal. The Vice Principal also develops research strategy and co-ordinates the implementation of teaching and reach-out strategies and their development.
57. The Director of International Policy is responsible for co-ordination of activities with regional agencies and DEFRA, as well as a series of other developmental projects. The Director of International Policy plays a leading role in the University College's reach-out work and the development of reach-out strategies and systems. The Director of International Policy also leads on the University College's internationalisation strategy.
58. The Academic Registrar is responsible to the Principal for the management of the University College Registry, academic support services and the marketing function. The Academic Registrar is secretary to the Academic Board and its sub committees. The Registrar's team includes the Head of Educational Development and Quality Enhancement, who takes the lead on such matters as the University Colleges' quality assurance systems and compliance with external guidance, the University College's approach to provision for disabled students and general development of the University College's educational portfolio.

## **Line Management and Organisational Structure**

59. The relationship between the University College's Academic Departments, functional roles and related committees was established as part of a review of the line management structure in 2002.
60. The 5 Academic Departments function as departments in terms of resource allocation and management but are expected to work in a multidisciplinary approach to deliver teaching, research and reach-out activities<sup>32</sup>. Each group has a Head of Department and a lead member of staff responsible for its provision of courses (the Course Managers) and may also have a senior tutor who works with the Course Manager to support students and the general management of the Group's courses. The groups also have staff assigned to take lead roles for research and reach-out work. Lead personnel are brought together in Course Management, Research and Reach-Out committees to assist cross-University College work and to coordinate activities with other support services and general University College planning arrangements.
61. The University College has been extremely successful in gaining funding from the Higher Education Innovation Fund (HEIF). This has enabled it to appoint staff to develop a series of Business Clubs in specific topics, to assist the University College's reach-out agenda and to encourage Academic Departments to channel their reach-out work to specific markets. The Business Clubs are managed by the Enterprise Development Director, who also represents the University College at regional meetings of University Industrial Liaison Officers and more generally on HEIF related activities.

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<sup>32</sup> The Relationship between Academic Departments, Functional Roles and Related Committees

All footnotes refer to the documents listed in section 2

62. A number of Academic Departments have research or reach-out centres which, alongside the Business Clubs, are aimed at developing and maintaining external contracts with industry, commercial partners or appropriate government agencies
63. The University College's main administrative sections, and sub-sections, are arranged as follows:
- University College Secretary
    - Personnel Office
    - Staff Development
    - Estates and Facilities Office
      - Maintenance
      - Domestic Services
      - Grounds
      - Security
    - Office Services including
      - Reprographics
      - Procurement
      - Reception and Telephones
    - Catering
    - Health and Safety
    - Farm
  - Director of Finance
    - Management and Project Accounting
    - Payroll and Accounts Office
    - IS/IT
    - Conferences and Short Courses Office
  - Academic Registrar
    - University College Registry
    - Examinations and Timetabling Office
    - Educational Development and Quality Enhancement
      - Learning Support Services
      - Teaching Support Services
      - Careers Office
      - Placement Office
    - Student Services
      - Residential Accommodation
      - Off-campus Accommodation
      - Student Warden Team
    - Marketing and Liaison
      - Press and Publications
      - Schools and Colleges Liaison
      - Web-Site Development
64. The Principal has appointed a number of academic staff to lead and develop specific cross University College initiatives. These include the development and implementation of the University College's sustainability strategy and the development of specific educational projects. The Principal is responsible for the strategic development of the Farm. The University College Secretary is responsible for the day to day oversight of the University College Farm and its commercial and educational activities.

### **Internal Communications**

65. The University College takes internal communications extremely seriously, and has developed a number of methods for the exchange of information with all sections of the University College community. An internal communications policy statement has been prepared<sup>33</sup>
66. Regular communications are maintained via the Weekly Diary, a short newsletter which contains recent news and information about forthcoming events and activities at the University College. Open meetings for all staff are held at least twice a year to consider strategic issues facing the University College, and enable information about financial and planning matters to be discussed. Question and answer sessions are encouraged in these meetings. Line Managers are further encouraged to hold regular meetings with their staff in order to ensure that communication lines

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<sup>33</sup> Internal Communications Policy Statement

All footnotes refer to the documents listed in section 2

are maintained. The University College's intranet provides a source of information and policy documentation. A regular staff development newsletter is also circulated.

67. During the development of the University College's strategic plan (and subsequently when dealing with major strategic external developments) the Principal and University College Secretary hold open sessions for all staff to attend so that information about these external developments can be relayed and considered by as many University College staff as possible. Staff are invited to meet once a month with the Principal to discuss current developments and any other issues they wish to raise. These events are important in developing a greater awareness of policy impacts upon the University College from a wide range of higher education and rural sources.
68. The University College established a Staff Consultative Group in 2000, to which members representing various categories of staff were initially appointed. The Group worked on the development of new Staff Handbooks and related University College policies, taking an active role in seeking feedback from staff and helping prepare advice for the Governors Staffing Committee. Since 2002, members of the Staff Consultative Group have been elected. The Group was instrumental in the University College's approach to Investors in People, and continues to provide an important sounding board on personnel matters.
69. The University College recognised the Association of University Teachers (AUT) as the trades union representing academic staff in 2002. The local branch of the AUT represents, in local negotiations, academic members of the AUT only (not academic-related members as would be common in larger universities) and provides another conduit for communication with this particular group of staff. No other trades unions are currently recognised by the University College.

### **Staff Representation in Decision Making**

70. The constitution of the Board of Governors provides for a number of staff representatives. The Principal holds an ex-officio position. Two other members of academic staff and one member of support staff are elected to a 4 year appointment, and are eligible for election for a further term of office of 4 years, following which they retire from the Board.
71. The Academic Board consists of elected members of academic staff, a Governor and a number of senior administrative staff and is chaired by the Principal. Other staff may attend meetings as observers to ensure that information about administrative and resource matters is available to the wider academic community.
72. Two members of staff are appointed to the Governors Staffing Committee. One has been appointed from amongst the academic staff and one from amongst support staff, in order to provide views from these groups of staff in the determination of University College personnel policies and systems.
73. Staff are consulted on a regular basis during the preparation of strategic documents and the University College's response to external reporting or regulatory requirements, consistent with the need to ensure that progress on these activities is maintained. Informal means of communication mean that there are many other ways, including day -to-day communication, where the views of staff are taken into account in the development of University College policies and procedures.

## **PLANNING SYSTEMS**

### **Roles and Responsibilities in the Production of Corporate Plans and Sub- Strategies**

74. The University College's strategic planning system is maintained by the University College Secretary (UCS). The UCS is responsible for the preparation of a 5-yearly strategic plan, and for the preparation of annual monitoring and corporate planning statements required by HEFCE each year to monitor the implementation of the plan and provide a statement of planned direction in the intervening period between the production of strategic plans. The Director of Finance compiles annual financial forecasts that accompany the strategic plan in relevant years, or the annual submissions to HEFCE in other years. The University College Executive is responsible for ensuring that the University College's strategic plan, annual monitoring and corporate planning statements and financial forecasts take into account relevant considerations from across the University College.

All footnotes refer to the documents listed in section 2

75. The University College's range of sub-strategies is produced by senior University College staff according to the area in which the strategy is required and their management responsibilities. Many sub-strategies must be submitted to HEFCE on a regular basis. It is important for sub strategies and the main strategic plan to be coordinated, so a system of integrated planning has been adopted by the University College. The following staff are responsible for the compilation of sub strategies:

<b>Sub-strategy:</b>	<b>Compiled by:</b>	<b>Required by HEFCE</b>
HR Strategy	University College Secretary	Yes
Estates Strategy	University College Secretary	Yes
Financial Strategy	Director of Finance	Yes
Learning & Teaching Strategy	HEDQE	Yes
Widening Participation Strategy	Academic Registrar	Yes
IT Strategy	Head of IS/IT	No
Research Strategy	Vice Principal	No
Reach-out (Third Stream) Strategy	Director of International Policy	Yes (from 2004)
Marketing Strategy	Academic Registrar	No
International Strategy	Director of International Policy	No

76. The University College's annual monitoring and corporate planning statements are subject to review and comment by the University College's HEFCE regional team at liaison meetings held at least twice a year. More formal feedback is also provided by the regional team, at which point the University College may be asked to provide additional information in support of either statement.

### **The Structure of the University College's Planning System**

77. The University College's planning structure is outlined in Diagram 5.

### **The University College's Planning Cycle**

78. The University College's planning cycle typically involves the production of a planning framework statement at the start of each calendar year. This is intended to take into account academic developments and plans within the University College and external developments from a review of the external environment. This document is circulated within the University College and considered at relevant committees of the Board of Governors and Academic Board. The framework is also used by Academic Departments to develop their academic plans for the next academic year, and to inform them of University College priorities over that same period. The framework can also then be used in staff development reviews, held in the spring/early summer each year, during which staff can be guided on the contribution that they can make to help deliver the University College's priority developments. Feedback from staff development reviews can be submitted by academic departments to inform the University College planning process. The University College's plans for the following academic year are considered by the University College Executive and then by the Academic Board and Board of Governors in the summer term before being submitted to HEFCE<sup>34</sup>.

### **The Relationship between Academic and Corporate Planning**

79. The University College's planning cycle is intended to provide opportunity for academic issues (with appropriate financial considerations) to be at the forefront of the University College's planning priorities. The Academic Department Plans are an extremely important 'bridge' in this respect, and should be informed by general University College priorities as well as providing direction for staff within the groups on their teaching, research and reach-out activities. Academic Departments are encouraged to think about the future direction and development of their subject area, and to look at novel ways of combining subjects to build new discipline areas. The Board of Governors has nominated a Governor to be a member of the Academic Board to monitor academic developments and concerns of the Academic Board and to relay these to the Board of Governors as required.
80. The University College organizes annual joint planning sessions involving Heads of Departments, senior managers and members of the Board of Governors. The Annual Planning Meeting usually takes the form of meetings involving the whole Board and the College Executive.

<sup>34</sup> University College Strategic Plan 2008-2013

On some occasions other planning meetings may include the members of the F&GP Committee, because this committee has a particular role in the oversight of the planning function within the University College.

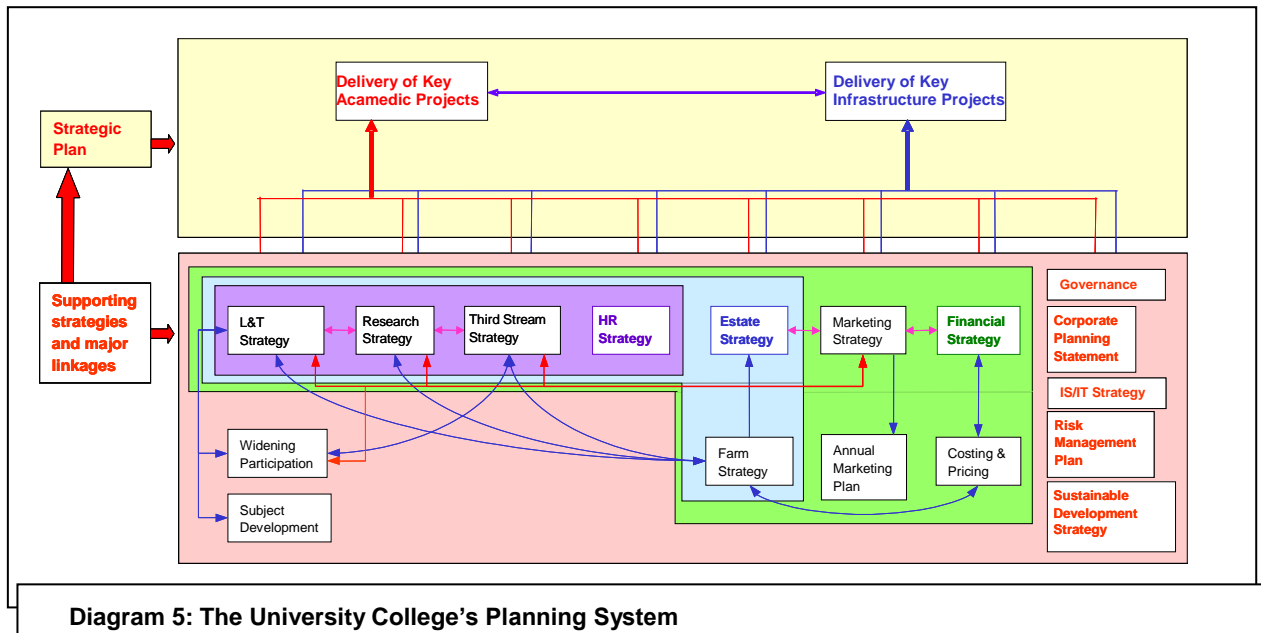


Diagram 5: The University College's Planning System

## AUDIT ARRANGEMENTS

### The HEFCE Audit Code of Practice

81. The University College is required, as a condition of its Financial Memorandum with HEFCE, to follow audit arrangements set out in the Funding Council's Audit Code of Practice. The Audit Code of Practice can be found at [www.hefce.ac.uk/](http://www.hefce.ac.uk/).

### The Audit & Risk Management Committee

82. The Board of Governors is required by the University College Articles of Government to establish an Audit Committee. The Committee, which in the case of the University College also monitors risk management issues, is required to operate in accordance with the HEFCE Audit Code of Practice. The Committee consists of governors and other external representatives appointed because of their expertise in audit, financial or business matters. No member of the Audit & Risk Management Committee is able to serve on the F&GP Committee so as to provide independence between the two bodies. Representatives of the external and internal audit service providers attend the meetings to present reports and answer questions from the Committee. The Clerk to the Board of Governors acts as Clerk to the Committee.
83. The Audit & Risk Management Committee meets three times a year. The autumn meeting typically involves consideration of the external audit of the University College accounts for the previous year, the annual report of the internal auditors for the previous year, the annual Value for Money Strategy report and the annual report of the Audit & Risk Management Committee to the Board of Governors, covering the major issues addressed by the Committee during the course of the previous year. The Internal Audit plan for the forthcoming year is also considered at this meeting. The spring and summer term meetings are principally concerned with addressing internal audit reports and management responses.

### External Audit

84. External auditors are appointed annually on the recommendation of the Audit & Risk Management Committee to the December meeting of the Board of Governors. The appointment of external auditors is tendered or benchmarked on a 5 year basis to ensure that value for money is obtained in the audit commissioning process. The Audit & Risk Management Committee pays due regard to the need to ensure that the external audit service is challenging and robust in the conduct of its duties. The lead external audit partner is changed every 7 years to ensure that an

All footnotes refer to the documents listed in section 2

appropriate degree of independence exists between the external audit provider and the University College. The external auditor is expected to comment not only on the University College's accounts and accounting systems but also on the conduct of internal audit and reliance placed upon internal audit as a source of information to the external audit, the University College's corporate governance systems (including risk management) and the University College's approach to securing value for money in its activities.

85. The conduct of the external audit is managed by the Director of Finance and the external audit provider.
86. The external auditors are also expected to provide input to financial arrangements on capital projects supported by HEFCE grant, where they audit the use of funds provided by grant and certify that they have been applied for the approved purpose. The external auditors may on occasion, at the request of the Audit & Risk Management Committee, undertake specific audit-related projects to verify external audit requirements. These have included spot-check validations of the University College's inventory system. The external audit service providers are not otherwise usually engaged on University College business, and if they are, a statement to this effect must be made by the Audit & Risk Management Committee in its annual report to the Board of Governors.

### **Internal Audit**

87. Internal auditors are appointed on a 5 year basis following a tender and selection process organised by the University College Secretary and involving representatives of the University College's senior management and the Audit & Risk Management Committee. The internal auditors are expected to undertake in the region of 40-45 days of audit each academic year on a variety of systems and procedures which are not restricted to financial processes.
88. The internal audit plan is considered in the summer each year on the basis of the University College's assessment of current risks and the internal auditors needs assessment and overall audit planning cycle. The plan is presented to the Audit & Risk Management Committee at its first meeting each academic year. The plan is developed in conjunction with the Principal and senior University College officers. A work programme is established to enable blocks of internal audit to take place each term, with the intention that reports and management responses are presented to the next meeting of the Committee. Management responses are then followed up at subsequent meetings to make sure that appropriate action has been taken. The internal auditors present a round-up of action in the previous year by way of their annual report to the Committee in the autumn term.
89. The internal auditors are expected to work in conjunction with the HEFCE audit service to determine priorities within HEFCE for audit attention. They are also expected, as are the external auditors, to take due account of HEFCE accounting and auditing directions that are issued from time to time. The internal audit service providers are not otherwise engaged on University College business.

### **The Fraud Register**

90. The University College maintains a Fraud Register that is made available to the Audit & Risk Management Committee at each meeting. The register contains details of fraud events, or related 'near misses' that can be used to guide internal audit activities or as a reference point for systems improvement.

### **Public Interest Disclosure Policy**

91. The University College maintains a Public Interest Disclosure Policy to provide guidance to, and protection for, whistleblowers concerned about the conduct of the University College or an individual member of staff. Reports on the use of the system, and any subsequent action, are expected to be made to the first available meeting of the Audit & Risk Management Committee. The Committee may require further investigation or action depending on the circumstances of the case.<sup>35</sup>

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<sup>35</sup> Public Interest Disclosure Policy (Whistleblowing)

## **Risk Management**

92. The University College has a comprehensive system of risk management developed in accordance with the recommendations of the Turnbull Committee<sup>36</sup> and subsequent HEFCE accounting directions. The Audit & Risk Management Committee oversees the operation of the University College's Risk Management Policy which is reviewed and updated at least annually. The University College's Disaster Recovery and Business Continuity Plan sets out systems for dealing with a wide range of emergencies that the University College might experience<sup>37</sup>.

The University College's Risk Analysis and Action Plan<sup>38</sup> (RAAP) which is also reviewed annually sets out the University College's assessment of major risk items, graded in terms of their potential impact and likelihood. The RAAP also contains the Risk Appetite Statement and a mapping of how the University College's RAAP relates to its major strategies.

93. The Risk Analysis and Action Plan is updated annually to take account of the University College's changing priorities, opportunities and perceived risks. The Plan forms one element of the internal audit plan each year. The Plan assigns responsibility for dealing with risks to key members of staff, and responsibility for monitoring action to a range of committees of the Board of Governors and to the Academic Board. Regular reports on risk items are made to these committees so that progress can be overseen. These are consolidated in a regular risk management report to the Board of Governors.
94. The risk management system is supported by numerous procedures within the University College that aim to ensure that major risks are prevented insofar as this is possible. The aim of the system is not to eliminate risk, but to understand and manage it as part of regular processes and procedures, so that risk management becomes embedded in normal University College activities. These include, for example, routine practices of risk assessment (for activities and events), health and safety requirements and the financial assessment of major University College developments and projects.

## **Compliance with External Guidance on Corporate Governance**

95. The Audit & Risk Management Committee monitors external developments in corporate governance to ensure that the University College is following best practice in its approach to governance and audit issues. Most recently this has included consideration of the Higgs Report on the role of non-executive directors on company boards<sup>39</sup> and the accompanying Smith Report on the conduct of Audit Committees<sup>40</sup> as well as the CUC guidance noted earlier in the handbook.

## **FINANCE**

### **The Finance and General Purpose Committee**

96. The Finance and General Purposes Committee (F&GP Committee) has responsibility for advising the Board of Governors on financial and planning matters. The Committee has two sub-committees (Health and Safety and Farm Strategy) that routinely provide reports on their activities.
97. The Committee's terms of reference are available in Annex 29. The Committee meets 4 times a year. In the autumn meeting the Committee considers the annual accounts for the previous financial year, together with the report of the Audit & Risk Management Committee on the conduct of the external audit and any matters arising from it. The Committee recommends acceptance (or otherwise) of the annual accounts to the Board of Governors. The spring meeting will usually consider the outline planning framework for the forthcoming year. Joint meetings are occasionally held between the F&GP Committee and the University College Executive to consider wider strategic planning matters.

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<sup>36</sup> The Turnbull Committee October 2005

<sup>37</sup> Disaster Recovery and Business Continuity Plan

<sup>38</sup> Risk Analysis and Action Plan

<sup>39</sup> The Higgs Report January 2003

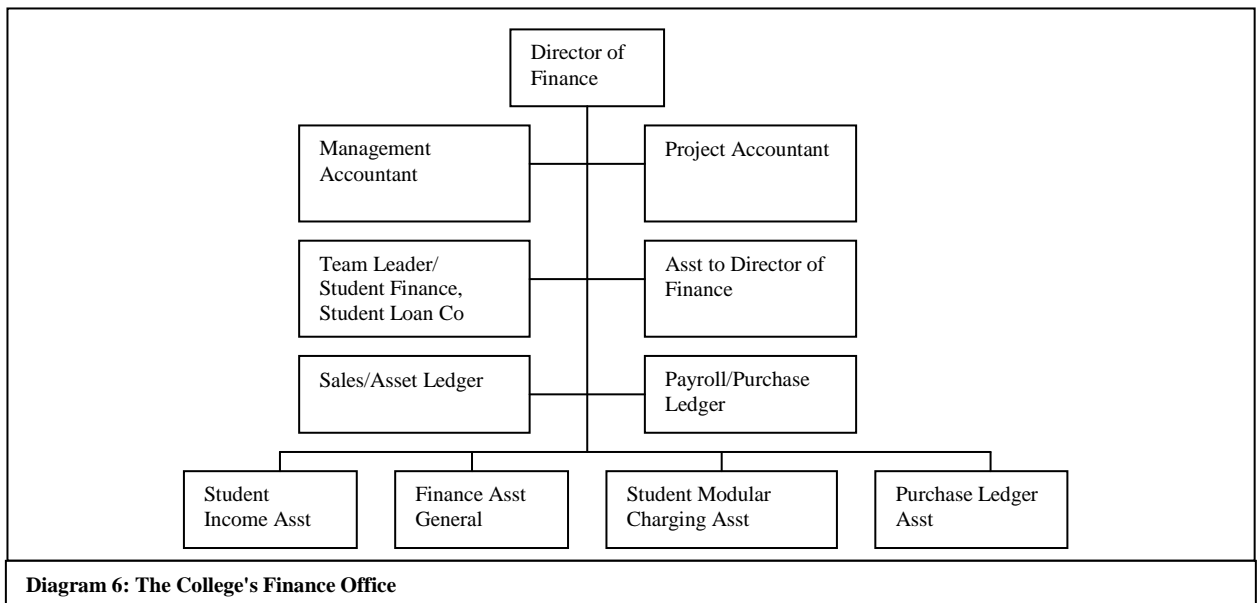
<sup>40</sup> The Smith Report January 2003

### The Remuneration Committee

98. The Remuneration Committee is responsible for setting the salary of the Principal and other senior members of University College staff. The Committee's terms of reference are available in Annex 29. The Committee uses a variety of means in order to benchmark remuneration packages and consider performance. These include the national annual survey of salary levels of senior staff in universities and colleges, other publications on salary levels and feedback from the annual review exercise held with the senior staff concerned. The Committee also takes into account the recommendations of the Principal when setting the salary levels of senior staff, though, in the case of the University College Secretary, who also holds the role of Clerk to the Board, the Committee considers the view of Governors on performance in the Clerk's role. The Committee also takes into account relevant guidance from HEFCE on the remuneration of senior members of staff.
99. The Committee meets once a year, usually during the summer term. The recommendations of the Remuneration Committee are considered as reserved business (ie without the Principal and senior members in attendance whilst their case is considered) at the July meeting of the Board.

### Financial Management Structure

100. The structure of the University College's Finance Office is shown in Diagram 6.



101. The Director of Finance is supported by two accountants, one with responsibility for financial accounting and the other for management and project accounting systems, and the development of the University College's finance systems. The University College operates the DREAM financial accounting software system in a distributed way, such that account holders are able to interrogate accounts and other financial information from their desktop. The Finance Office handles all other financial arrangements, including payroll (an outsourced system is used for this), the management of ledgers, income and expenditure, etc.
102. The Principal, as the designated officer under the University College's Financial Memorandum with HEFCE, is responsible for the proper financial conduct of the institution. The Director of Finance supports the Principal in this role, and reports directly to the Principal on matters related to finance. The Director of Finance is also expected to liaise regularly with finance representatives at HEFCE in order to understand and work with HEFCE funding methods and to address issues of concern over funding arrangements with the Funding Council.

### The Production of Annual Accounts and Estimates of Income and Expenditure

103. Annual accounts are produced by the Finance Office in accordance with the relevant Statements of Recommended Practice (SORPs), other guidance issues by the Funding Council, including provisions in the University College's Financial Memorandum and other relevant accounting

codes and standards of practice. The annual accounts are audited, and the auditors present a report on their findings, and any recommendations arising from the audit, to the Board of Governors at its annual general meeting. The accounts are then required to be submitted, along with the annual report of the Audit Committee to the Board of Governors, to HEFCE.

104. Estimates of income and expenditure for the following financial year are prepared in the period March-June each year. The estimates are produced by the Finance Office for consideration by the University College Executive and the F&GP Committee during summer term meetings. The F&GP Committee approves the estimates and recommends them to the Board of Governors where they are considered at the July meeting of the Board. The estimates form the basis of annual financial forecasts which, again, are considered by the Board at its July meeting. The financial forecasts cover a 5 year period, and are produced in accordance with HEFCE guidelines. The forecasts not only provide estimated financial data, but an accompanying statement on major features, and a risk analysis of factors built into the forecasts.

### **Financial Regulations and Procedures**

105. The Finance Office maintains a set of Financial Regulations<sup>41</sup> approved by the F&GP Committee on behalf of the Board. The Financial Regulations are subject to periodic review by the Director of Finance and to routine internal audit, to gain a picture of compliance with the regulations and procedures in other parts of the organisation. The Regulations contain guidance on the conduct of financial matters including the tendering of contracts, the management of financial accounts, bank mandates along with more detailed operational notes for guidance on the use of financial systems by budget holders.

### **The University College's Funding Relationship with HEFCE**

106. The funding relationship with HEFCE is governed by a Financial Memorandum<sup>42</sup> (FM) that consists of two parts. The first is a generic statement of funding rules and the obligations placed on the institution in receipt of HEFCE grant. These might include reporting to HEFCE on annual accounts, the responsibilities of the designated officer the rules for borrowing and reporting that borrowing to HEFCE and related matters. The second is the actual allocation of grant to the University College, the method adopted to compute the grant and any specific reporting obligations arising from specific funding streams. Together, these form the funding agreement between the HEFCE and the University College. The University College's auditors are expected to report on whether the University College has applied the funding in an appropriate way, taking into account the FM and the obligations set out within it.
107. Other funding streams may be awarded from time to time, for example by way of competitive bids to the HEFCE. The reporting requirements placed upon the University College are usually addressed in the letter announcing the grant (much of which will have already been spelt out in the relevant HEFCE Circular inviting applications for funding). Typically this will involve reporting progress with the project in the Annual Monitoring Statement submitted to HEFCE each year, although in the case of capital funding there are other reporting requirements at the point of entering into a contract for the scheme and to claim the final instalment of grant. The latter must include a statement by the University College's auditors that the grant has been applied to the project for which it was awarded.
108. Guidance on financial matters is often contained in Circular Letters issues by the Funding Council. These letters are the equivalent of mini-HEFCE Circulars, but are nonetheless important in that they may contain information on the way in which the University College's financial reporting obligations should be met.

### **The University College's Funding Relationship with Partner Institutions**

109. The University College applies a similar approach to the FM model in its funding relationship with partner institutions. The agreements governing these relationships are typically in two parts, the first setting out general governance issues and the second more detailed financial matters. The second part of the agreement is negotiated annually in the light of the University College's overall grant position. The negotiations are led by the Director of Finance and Principal, with input from the Academic Registrar and University College Secretary or Vice Principal as required. Copies of the agreements are held in the office of the University College Secretary.

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<sup>41</sup> Financial Regulations

<sup>42</sup> Financial Memorandum (latest edition Summer 2010)

## Guidance on the Conduct of Projects

110. The University College provides guidelines and support for staff who are conducting projects for which external funding has been obtained. The projects might include research, consultancy or training contracts, and the guidance deals with the costing and pricing of the contract and the distribution of income following the successful completion of the project. The Project Office is available to provide advice and support to staff dealing with project management issues. The Management Accountant is responsible for ensuring that the guidance is followed, the relevant distribution of income is applied and that regular management accounts are produced for budget holders on the financial status of the project. Budget holders are, in turn, expected to liaise with the Management Accountant during the period prior to launching a project in order to ensure that the Finance Office is aware of the project, that a project account code has been established and that the necessary financial procedures have been followed, and approvals obtained, in the costing and pricing of the scheme.
111. The University College Secretary is the University College's authorised representative for the signing of project contracts and must be consulted on the terms of contract being offered to the University College in sufficient time for the contract to be considered and, if necessary, for legal advice to be obtained.

## Insurance Arrangements and the Provision of Guidance to Staff

112. Insurance arrangements are dealt with by the office of the Director Finance. The University College maintains a full range of insurances to cover its staff, property and potential operating liabilities. The University College uses a national insurance agent to provide this cover, and is part of a consortium of universities and colleges that is intended to provide value for money in terms of securing competitive insurance premiums. The University College regularly seeks alternative insurance quotations through its agent or other sources to ensure that value for money is still achieved through the consortium route.
113. University College staff are advised, from time to time, on developments in insurance arrangements that have an impact on their day to day activities. These might include issues as diverse as the provision of training for driving, the commissioning of contracts or the process for obtaining insurance for overseas travel. In the latter case members of staff are expected to obtain authority for their overseas visit from their line manager and to register the visit with the office of the Director Finance so that appropriate insurance arrangements can then be made.
114. Insurance arrangements are reported, as required, to the University College's F&GP Committee.

## Tendered Professional Services and Tendering Arrangements

115. The University College's Financial Regulations set out the procedure for tendering major capital projects. Further guidance on the development, commissioning, management and oversight of capital projects has also been produced<sup>43</sup> and approved by the F&GP Committee. Similar guidelines are in place for the commissioning of professional services and services/supplies other than building projects<sup>44</sup>.
116. The University College tenders external services on a 5-yearly cycle, but takes into account the need to maintain continuity of service in particular circumstances where a change of supplier would be unduly disruptive to the requirements of the University College. The tendering process is, in certain circumstances, and with the approval of the Board of Governors, replaced by a benchmarking exercise where this is thought to be more relevant to the needs of the University College. The range of professional service, current suppliers and next tender date is set out in the following table:

Service	Current supplier	Next tender/benchmark date
External audit	Grant Thornton	Summer 2011
Internal Audit	RSM Tenon	Summer 2012
Banking	Lloyds TSB	Summer 2012
Insurance	AoN Insurance Ltd (Brokers)	Summer 2014
Legal Services	MFG Solicitors LLP	Summer 2010
Medical Services	Linden Hall Surgery, Newport	Autumn 2015

<sup>43</sup> Guidelines for the Management of Building Projects

<sup>44</sup> Guidelines for the Tendering of College Services and Supplies

## **Staff Pension Arrangements and the Management of Pension Schemes**

117. Pension arrangements are managed by the Director of Finance. Teaching staff are generally members of the Teachers Pension Scheme (TPS), a national government scheme. Other members of staff are generally members of the Local Government Pension Scheme (LGPS) managed by the Shropshire County Council. Both schemes involve employers and employee contributions at rates determined by the scheme actuaries and governing bodies. The local governance of the LGPS means that the University College is able to take part in regular open meetings about the conduct and future arrangements for the scheme. The Director of Finance represents the University College on such occasions. Pension scheme liaison is maintained by the Finance Office and members of staff can access pension information via this route. Additional voluntary contribution (AVC) arrangements exist for both schemes whereby staff can make additional payments from salary into the relevant scheme.
118. The University College does not normally offer arrangements for voluntary early retirement with enhanced pension contributions (as has been the case in some institutions) because these arrangements are not economically viable and are now being discouraged by government.

## **STAFFING MATTERS**

### **Staffing Matters and the Board of Governors**

119. The Principal is responsible to the Board of Governors for the management of staff, their development and conduct, in accordance with general procedures set out in the University College's Instrument and Articles of Government. The Board of Governors has established a Staffing Committee that oversees more detailed aspects of the development of staffing policies and procedures and the direction of the University College's HR Strategy. The Committee includes two members of staff, one academic and one support, to provide a means of communication of staff interests and observations on the Committee's work.
120. The Personnel Office manages the day-to-day activities associated with staffing matters. The Head of Personnel heads a small professional team, and reports to the University College Secretary. The team is responsible for the recruitment and contracting of staff (in conjunction with the relevant department), management of staffing issues, consultation with staff on HR matters, the development of staff and disciplinary and grievance matters. The Personnel Office works closely with the Finance Office on payroll related matters, and with a wide range of other departments across its full range of responsibilities.
121. The Personnel Office also manages the Staff Consultative Group, which consists of staff representatives and which is a forum for the discussion of emerging policy and procedural issues relating to staff.

### **Staffing Policies, Handbooks and Consultation**

122. The Personnel Office manages a full range of staffing policies. The policies are issued to all staff in the form of a Staff Handbooks<sup>45</sup> in two versions - one for academic staff and one for support staff - to reflect differences in terms and conditions of service. Policy developments are considered by the Staff Consultative Group and by the Staffing Committee, before being implemented. Where staffing policies are of direct concern to academic staff, the above system is supplemented by negotiation with the local branch of the trades union, the Association of University Teachers in a Joint Negotiating Committee (JNC) which is governed by the terms of the Recognition Agreement between the AUT and the University College<sup>46</sup>. The University College's staffing procedures in relation to the appointment, promotion and conduct of staff, and staff grievance procedures, are set out in the Articles of Government.

### **The Personnel and Staff Development Website**

123. Information about University College policies and procedures and Staff Development arrangements is contained on the website at [www2.harper.adams.ac.uk/personnel/index.htm](http://www2.harper.adams.ac.uk/personnel/index.htm).

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<sup>45</sup> Staff Handbooks

<sup>46</sup> AUT Recognition Agreement

## **Compliance with Employment Law**

124. The Head of Personnel, with the University College Secretary, is responsible for ensuring that the University College operates within the requirements of relevant employment legislation and guidance. Guidance is obtained on legislative matters from the Universities and University College's Employers Association (UCEA) and other legal and professional sources. A regular process of monitoring takes place to ensure that case law is taken into account in the planning of the University College's employment policies and systems. This is backed up by attendance by Personnel Office staff at employment law seminars and annual SCOP conferences of Personnel Officers and subscription to employment legislation information services. Advice on employment law cases is obtained, as required, from the University College solicitors.

## **The Development of Staff, Leadership and Management**

125. The University College is committed to staff development at all levels as a means of ensuring that staff fulfil their full potential in their roles and are able to contribute to the University College's activities to the highest possible standard. Staff development activities include a focus on leadership and management skills, to ensure that all managers within the institution are adequately trained for their role. The University College first achieved the Investors in People standard in 2003 and had been successful in maintaining the standard to date.
126. The Staff Development programme is organised by the Staff Development Officer who is located within the Personnel Office. The programme, that takes account of requirements arising from staff development reviews in the spring/summer terms, operates over the academic year, and typically begins with an induction session for new staff in September each year. Many different programmes are offered, some in-house, either provided by local or external programme leaders, and some provided externally.

## **HEALTH AND SAFETY**

### **Governors Health and Safety Policy Statement**

127. The University College has legal obligations placed upon it by the Health and Safety at Work Act 1974, and subsequent legislation, to provide a safe working environment for its staff, students and visitors. The Board of Governors annually approves a Health and Safety Policy Statement<sup>47</sup> which is issued to staff as a way of communicating the respective obligations of the Board and staff in achieving and maintaining this objective.
128. The Health and Safety Policy Statement is approved by the Board at its spring meeting each year. It contains details of the organisational structure for health and safety arrangements in the University College, including line manager responsibilities for health and safety management. The Statement also sets out the roles of the Principal, who is responsible overall for health and safety matters across the University College, and the University College Secretary, who is responsible for ensuring the co-ordination of health and safety systems, their auditing and their improvement.

### **Health & Safety Committee**

129. The Board of Governors has established a Health and Safety Committee as a sub-committee of the F&GP Committee. The Health and Safety Committee meets once each term under the chairmanship of the University College Secretary. The Committee considers a wide range of emerging health and safety legislation, how it might be enacted at the University College, issues of health and safety training, the improvement of health and safety systems and the engagement of staff and students in health and safety matters. The Committee consists of representatives of various areas of the University College, so that a sectoral approach is taken to consultation on, and implementation of, health and safety guidance and systems.
130. The Health and Safety Committee is supported by an Academic Departments Health and Safety Sub Committee chaired by the Vice Principal, which provides termly reports to the Health and Safety Committee. The Academic Departments Sub Committee considers more detailed operational health and safety issues of concern to academic operations.

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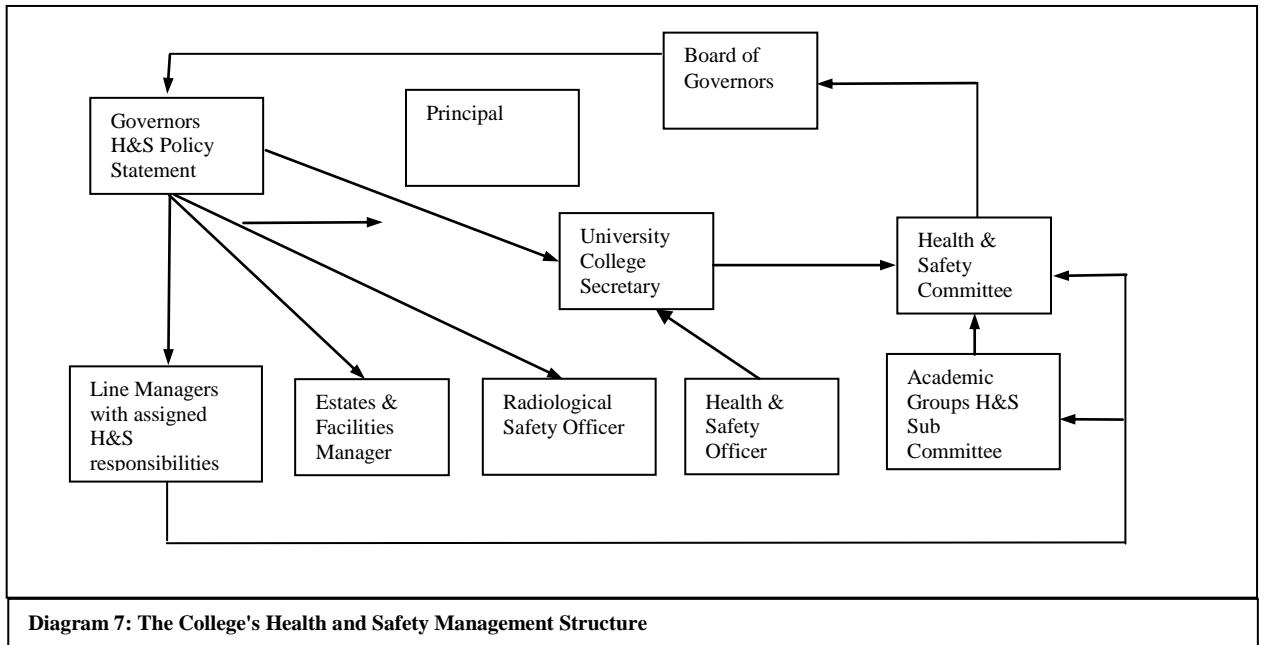
<sup>47</sup> Governors Health and Safety Policy Statement

All footnotes refer to the documents listed in section 2

131. A range of health and safety policies has been developed and issued to staff in their Staff Handbooks.

### Health and Safety Management Structure

132. The structure of the University College's health and safety management is shown in Diagram 7.



### Health and Safety: Audit and Risk Management Systems

133. The University College's Health and Safety Officer conducts audits of its health and safety systems and to provide further professional advice and guidance on health and safety matters. This approach is intended to supplement other externally provided services for the management and auditing of fire safety systems and security arrangements. The results of these exercises, and other internally managed health and safety audits, are considered by the Health and Safety Committee.

134. The University College has a range of systems in place with which staff can engage to improve health and safety performance. These include risk assessment procedures, an accident reporting system, the provision of training in first aid to staff and student wardens, a system for fire evacuation drills and alarm testing, procedures to minimise risk in the estates area (contractors' passes, confined space work, use of equipment etc). Accident and near miss reports are co-ordinated through the office of the University College Secretary and have been analysed to identify areas requiring follow-up audits. The system includes a feedback element so that line managers are asked what action they have taken with regard to any injured student or member of staff and what they have done to prevent a reoccurrence of the accident. Serious accidents are reported through the RIDDOR system to the Health and Safety Executive by the Health and Safety Officer. Statistical reports on accidents and near misses are presented to the Board of Governors on a regular basis, so that the issue of health and safety is monitored at the highest levels within the University College.

### Health and Safety Arrangements for Students

135. On arrival at University College, students are issued a Health and Safety handbook<sup>48</sup>, which contains information about relevant policies and procedures with which they must comply. These are reinforced through presentations to students during their induction programme. Health and safety matters, related to likely future employment, also form part of the curriculum on a number of courses. Regular liaison is maintained with the Head of Student Services and President of the Students Union on health and safety concerns within the student community and how they might be addressed. These include the provision of medical and other support services to students.

<sup>48</sup> Student Health and Safety Handbook

## **STUDENT MATTERS**

### **The Constitution of the Students Union**

136. The University College's Articles of Government provide for there to be a students' union society of the University College. The rules governing the establishment and membership of a students' union are set out in the Education Reform Act 1994. The Act allows students not to become members of the students' union and, if they choose this course of action, for them not to be unfairly disadvantaged, with regard to the provision of services or otherwise, by reason of their having done so.
137. The Constitution of the University College's Students' Union<sup>49</sup>, which must be approved by the Board of Governors, reflects the provisions of the Act and establishes the structure of the Union and the way in which it should operate. The Union is required to present audited accounts annually to the Board of Governors and to refer any proposed amendment of the Constitution to the Board for its approval, without which the change will not be allowed.

### **Student Matters and the Board of Governors**

138. The Principal is responsible for maintaining student discipline and, within the rules and procedures provided within the Articles of Government, for the suspension or expulsion of students on disciplinary grounds and for implementing the decision to expel students for academic reasons. The Board of Governors, as required by the Articles of Government, has made regulations for the conduct of students that are administered by the Academic Registrar's department.
139. The Articles of Government also require the Board to make regulations and procedures for the representation of students on matters of proper concern, including to the Board of Governors, the Academic Board and to the Principal. In practice, the President of the Students' Union is a member of the Board of Governors and there are student members of the Academic Board. The Principal holds regular meetings with representatives of the Students' Union Executive, the University College Secretary and the Head of Student Services to ensure that good levels of communication with students are maintained.

### **Student Policies and Student Handbooks**

140. The University College produces annually a student handbook<sup>50</sup> which provides information to students on systems and procedures within the University College. University College Regulations are included within the student handbook and are provided to each student to set out University College policies and codes of conduct/guidelines on a wide range of academic and University College community matters. These documents are produced by the Academic Registrar's department. Regular communication with students is maintained via the University College e-mail system and the Students' Union.

### **Student Representation in Decision Making**

141. In addition to representation on the Board of Governors and Academic Board, students are engaged in many other committees within the University College. These include, for example, course committees. The purpose of this representation is so that students, as members of the University College community, are able to take part in decision making in relation to academic matters.
142. The Students' Union is consulted on many University College decisions via the President of the Students' Union, and regular contact is maintained between other members of the Students' Union Executive and University College officers. Open meetings of the Students Union are held once a term and are attended by the Principal, University College Secretary and other University College officers in order to gain feedback from students on issues of concern.

### **Communications with the Students Union**

143. The major route for dealing with student matters is via the Head of Student Services. The Head of Student Services is the chief liaison point with the student community, and her office also

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<sup>49</sup> Constitution of the Students' Union July 2010

<sup>50</sup> Student Handbook

All footnotes refer to the documents listed in section 2

manages the provision of residential accommodation and other welfare and support services. The Head of Student Services and President of the Students' Union are expected to work closely on matters of mutual concern, including student discipline and welfare issues.

144. The Head of Student Services is the license holder for bar facilities on the University College campus and has undertaken relevant training in respect of licensing and the management of such facilities.

### **Compliance with Relevant Legislation**

145. The Head of Student Services reports, in the first instance, to the Academic Registrar. On issues of legal concern, the Head of Student Services and Academic Registrar are expected to liaise with the University College Secretary.

## **ACADEMIC DECISION MAKING, PLANNING AND QUALITY ASSURANCE**

### **The Academic Board and its Committees**

146. The Articles of Government require there to be an Academic Board of no more than 27 members, comprising the Principal (who shall be Chairman) and such other numbers of staff and students as may from time to time be approved by the Board of Governors. The responsibilities of the Academic Board are set out in the Articles and the Board's terms of reference<sup>51</sup>. The Academic Board is responsible to the Board of Governors for considering general issues relating to academic matters (as set out in the Articles), the development of the academic activities of the University College and advising on such other matters as the Board of Governors or Principal may refer to it. The Academic Board is permitted by the Articles to establish such committees as it considers necessary to carry out its responsibilities, provided that each committee is first approved by the Principal and the Board of Governors. The structure of Academic Board committees is shown in Diagram 2.

147. The Academic Board has members, as follows:

Ex-officio (8):

Principal (Chair)  
Academic Registrar (Secretary)  
Vice Principal  
Director of International Policy  
Head of Educational Development and Quality Enhancement  
University College Secretary  
Board of Governors' representative  
Chair of the Academic Standards Committee

in addition to:

Heads of Department (2)  
Course Management representatives (3), drawn from Course Managers, Senior Tutors and Placement Managers  
Representatives of academic staff (3)  
Representatives of the students (3): the Academic Representative on the SU Executive Committee, the President of the Students' Union and the Vice-President of the Students' Union  
Co-opted members drawn from institutions offering courses validated by the College  
Member of non-academic staff (1)  
Co-opted members in line with current strategic imperatives, within the maximum membership limit

148. The period of appointment of members and the selection or election arrangements shall be subject to the approval of the Governing Body. Non ex-officio members of the Academic Board shall serve for a period of 3 years and are eligible for re-election for one further 3 year period only. Co-opted members drawn from institutions offering courses validated by the College are appointed for a period of 3 years. Members, representing the Heads of Department, Course Management teams, the academic staff and the non-academic staff shall be nominated and elected by members of their constituency who are not ex-officio members of the Academic

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<sup>51</sup> Terms of reference of the Academic Board

All footnotes refer to the documents listed in section 2

Board. Co-opted members shall be nominated by the Chair for the approval of the Board. The Principal may nominate a Deputy Chair from among the members of the Academic Board to take the Chair in his place. One Academic Board member should be appointed as a monitor of the quality of the research experience and attend the Research Degrees Committee meeting at which the annual report is discussed.

149. Subject to the provision of the Articles of Government of the College, to the overall responsibility of the Governing Body and to the responsibilities of the Principal, the Academic Board shall be responsible for agreeing academic policy and ensuring the quality and standards of the academic work of the College. In particular the Board is responsible for:
- a) research, scholarship, teaching and courses at the College, including criteria for the admission of students;
  - b) monitoring the appointment and removal of internal and external examiners;
  - c) policies and procedures for assessment and examination of the academic performance of students;
  - d) the content of the curriculum, academic standards and the validation and review of courses;
  - e) the procedures for the award of qualifications and honorary academic titles;
  - f) the procedures for the expulsion of students for academic reasons;
  - g) considering the development of the academic activities of the College and the resources needed to support them and for advising the Principal and the Governing Body thereon;
  - h) approving the academic elements of the Strategic Plan and the Annual Operating Statement;
  - i) advising on such other matters as the Governing Body or the Principal may refer to the Academic Board;
  - j) keeping under review the academic standards and quality of research degree programmes.
150. The Academic Board can establish such committees as it considers necessary in order to carry out its responsibilities, subject to the provisions set out in paragraph 146. The number of members of any such committee and the terms on which they are to hold and vacate office are determined by the Academic Board.

### **Quality Assurance Systems in Academic Matters**

151. Quality assurance in the content and delivery of academic matters is the responsibility of the Head of Educational Development and Quality Enhancement in relation to educational provision and the Vice Principal in relation to the conduct of research. The Enterprise Development Director is responsible for ensuring that project related quality assurance systems are in place and are operating effectively.
152. The Academic Board has established a number of committees to assist with the maintenance of quality in its academic operations. The Academic Standards Committee is the major committee in this area of work. The terms of reference of the Academic Standards Committee, the Accreditation and Validation Sub-Committee, the Employer Engagement, Accreditation and Validation Committee, Subject and Course Assessment Boards, Course Teams and Committees and the Research Committee and the Research Degrees Committee are set out in section 2 of the University College's Academic Quality Assurance Manual<sup>52</sup>.
153. Procedures for course monitoring, course validation and the appointment of external examiners, and the responsibilities of the Academic Standards Committee in these processes, are set out in the University College's Academic Quality Assurance Manual<sup>53</sup>

### **Roles and Responsibilities in the Management of Learning and Teaching**

154. The Vice Principal is responsible for the day-to-day co-ordination and management of the activities of the University College's Academic Departments. An Academic Departments Executive, consisting of the Heads of the Academic Departments is chaired by the Vice Principal and has an operational role in sharing information, discussing draft papers and agreeing matters of operational delivery. Co-ordination is maintained between the Vice Principal, the Head of Educational Development and Quality Enhancement (HEDQE) and Academic Registrar in the

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<sup>52</sup> Academic Quality Assurance Manual, June 2010, Section 2

<sup>53</sup> Academic Quality Assurance Manual, September 2009, Section 5

All footnotes refer to the documents listed in section 2

management of the University College's learning and teaching systems and educational quality assurance systems. Overall responsibility for academic matters within the University College rests with the Academic Board.

### **Roles and Responsibilities in the Management of Research and Reach-out**

155. The University College has established a Research Committee and a Reach-out Committee to assist the development of policies and procedures in these major areas of academic activity. Each Academic Department has a 'lead-role' in research and in reach-out, and these are co-ordinated, in terms of research, by the Vice Principal, and in terms of reach-out, by the Director of International Policy.
156. The Enterprise Development Director is responsible for the management of the Higher Education Innovation Fund programme, and for the development of quality assurance processes in relation to the University College's reach-out (third stream) activities.

### **The Role of the Academic Registrar's Department**

157. The Academic Registrar's Department has a range of responsibilities, and provides support services for educational provision within the University College, and to the student community in general. The major sections within the Department are as follows:
- Academic Registrar
    - University College Registry
    - Examinations and Timetabling Office
    - Educational Development and Quality Enhancement
    - Learning Support Services
    - Careers Office
    - Placement Office
    - Student Services
      - Residential Accommodation
      - Off-campus Accommodation
      - Student Warden Team
    - Marketing and Liaison
      - Press and Publications
      - Schools and Colleges Liaison
      - Web-Site Development
158. The Department has been established as a 'one-stop-shop' for student support services. It also has a key role to play in academic policy determination, and in the operation of those policies. The Department provides management information on student and academic performance, quality assurance processes and a wide range of other issues. It is responsible for the development and management of the Learning and Teaching and Widening Participation Strategies, as well as the delivery of a number of sub-strategies for which the University College occasionally receives additional funding.
159. Learning support services provide support to students who need additional academic assistance, or support for other needs, such as a disability.
160. The Student Services section works closely with the Students' Union to manage social, communal and pastoral support for students. The section also manages the Student Wardens, who provide student support in University College residences, and the provision of accommodation, either on the University College site or, through a network of landlords, in the community. The section also works closely with the Principal on issues of student discipline and the University College's relationship with the local community.
161. The University College Registry and Examinations and Timetabling Office manage student and assessment processes and student records, from admissions to final examinations. The Examinations and Timetabling Office also manages the University College's teaching timetable and term-time room allocations.
162. The Marketing and Liaison Unit is responsible for all aspects of the marketing of the University College. These activities include student recruitment, promotion of the University College's work, the production of marketing materials and liaison with the press and other media.

All footnotes refer to the documents listed in section 2

### **Academic Planning and Resources Committee (APRC)**

163. The Academic Planning and Resources Committee (APRC) is chaired by the Vice Principal. The Academic Registrar is secretary to the Committee. The Committee is intended to 'join-up' academic planning with resource considerations, and to ensure that available resources are taken into account in Academic Department and other academic plans. To ensure that aspects of academic planning feed into Board of Governors decision-making, the Chair of the APRC attends F&GP Committee meetings as an observer.

### **OTHER LEGAL MATTERS**

#### **Review of Compliance and Use of Legal Advice**

164. The University College Secretary is responsible for ensuring that the University College is in compliance with relevant legislation and that contracts entered into by the University College are appropriate. Legal advice must only be commissioned by the Director of Corporate Affairs.

#### **Roles and Responsibilities in Relation to Legal Matters**

165. University College staff and students are expected to conduct themselves in accordance with relevant legislative requirements when engaged in University College business. This includes compliance with relevant health and safety legislation, employment legislation and equality and diversity regulation, on all of which University College policies are in place and widely distributed.
166. Governors, members of staff or students who are aware of a breach of legislation in relation to any University College activity are expected to raise the matter with the University College Secretary who will consider whether further action is required and what advice should be obtained. The University College's whistleblowing procedure is available for use in circumstances where confidentiality is required.
167. The University College Secretary will ensure that regular communication on legal matters is maintained with the Principal and Chairman of the Board and, where relevant, the staff or students involved in the case.

#### **The Management of Property and Related Legal Obligations**

168. The University College has a range of property holdings for which a range of legislation needs to be addressed. The Head of Student Services is expected to handle legislative requirements for off-site student accommodation owned by the University College, and to oversee compliance with legal requirements imposed on landlords for private rented accommodation. University College accommodation on campus, and off-campus but rented to staff, together with all other University College property, is the ultimate responsibility of the University College Secretary. The Estates and Facilities manager is expected to ensure that University College property, in whichever location, is managed to meet appropriate legal requirements.

#### **The Production of Statutory Statistical Returns**

169. The University College is obliged to return data on its activities to HEFCE and other government departments (including, for example, information on the number of staff it employs for the Department for Work and Pensions). The Principal determines overall responsibility for the completion and return of the relevant data. Where required, data must not be returned without the Principal's signature, or that of another authorised officer of the University College.

### **THE MANAGEMENT OF EXTERNAL GUIDANCE**

#### **HEFCE Circulars**

170. HEFCE Circulars and Circular Letters are normally sent to the Principal's Office. The Principal will determine who should deal with the Circular and prepare a report on the topic, prepare a funding bid or supply the requested data. The information prepared in response to the Circular is normally considered by the University College Executive and/or a committee of the Board of Governors or the Board itself. The Principal's Assistant is responsible for ensuring that responses to HEFCE Circulars are tracked through the University College system and that they are submitted by the required deadline.

All footnotes refer to the documents listed in section 2

### **HEFCE Good Practice Guidance**

171. HEFCE publishes a range of good practice guidance on its web site. The HEFCE Audit Service monitors use of the guidance in audit visits and it is advisable for University College officers to refer to this guidance in the conduct of University College affairs.

### **UUK/GuildHE/UCEA Guidance**

172. Universities UK (UUK) and/or GuildHE guidance is usually directed to the Principal who will decide how and who will deal with it. Both bodies are recognised as the UK's representative bodies for Universities and University Colleges. The Universities and Colleges Employers Association (UCEA ) also provides regular guidance which is sent direct to the Head of Personnel and University College Secretary (as well as the Principal) and the Head of Personnel will determine an appropriate response in consultation with appropriate members of staff.
173. A routine report on HEFCE Circulars and guidance is made to the Board of Governors. Further information on any of these documents is available from the University College Secretary.

All footnotes refer to the documents listed in section 2

## Section 2: List of Annexes - referred to by footnotes in section 1

**Members are asked to note that paper copies of all documents are available from the University College Secretary's office, the University College's intranet or at relevant web pages where indicated. Copies of key documents that are included with printed copies of the Handbook for ease of reference are indicated \*\***

1	Scheme of the Charity Commissioners, 3 February 1988**	
2	Scheme of the Charity Commissioners as amended and confirmed 13 August 1991**/Order of Council dated 18 December 2000**	
3	HAUC Instrument and Articles of Government, June 2010**	
4	Order of Council 4 September 1996**	
5	Statutory Instrument 1999 No 833**	
6	Order of Council 19 July 2006**	
7	Guide for Members of Governing Bodies of Universities and Colleges, CUC, 2001	
8	The Dearing Report (on-line only)	<a href="http://leeds.ac.uk/educol/ncihe/">leeds.ac.uk/educol/ncihe/</a>
9	The Learning Age, The Government Response to the Dearing Report	<a href="http://lifelonglearning.co.uk/dearing/index.htm">lifelonglearning.co.uk/dearing/index.htm</a>
10	Effective Financial Management in Higher Education, HEFCE Circular 98/29	<a href="http://hefce.ac.uk/pubs/hefce/1999/99_29.htm">hefce.ac.uk/pubs/hefce/1999/99_29.htm</a>
11	The Report of the Governance Working Party, 4 December 1998	
12	Guide for Members of Higher Education Governing Bodies in the UK, CUC, 2009	<a href="http://www.hefce.ac.uk/pubs/hefce/">www.hefce.ac.uk/pubs/hefce/</a>
13	LFHE Governing Body Effectiveness Pilot, March 2010	
14	Report of the Lambert Review of University, Business Collaboration	
15	The CUC Code of Governance Practice	<a href="http://www.hefce.ac.uk/pubs/hefce/2009/09_14/">www.hefce.ac.uk/pubs/hefce/2009/09_14/</a>
16	Terms of Reference for the Board of Governors**	
17	Statement of Primary Responsibilities of the Board of Governors**	
18	Role Description for members of the Board of Governors**	
19	Criteria for Nomination of New Governors**	
20	Procedure for Invitations to New Governors**	
21	Election Procedure for Staff Governors**	
22	The Role of Chairman and Vice Chairman of the Board and the Principal and Clerk in Relation to the Board**	
23	Ballot procedure for the election of Chairman and Vice Chairman of the Board of Governors**	
24	Role of the Clerk to the Governors and the University College Secretary**	
25	Guidance Notes for the Register of Interests**	
26	Policy on Travel, Subsistence and Other Allowances**	
27	Policy on Governor Training and Development**	
28	Leadership Foundation for Higher Education	
29	Terms of Reference for Committees of the Board of Governors**	
30	Terms of Reference for Committees of the Academic Board**	
31	Severance payments to senior staff, HEFCE Circular Letter 06/2009	<a href="http://www.hefce.ac.uk/pubs/circlets/2009/cl06_09/">www.hefce.ac.uk/pubs/circlets/2009/cl06_09/</a>
32	Relationship between Academic Departments, Functional Roles and Related Committees	
33	Internal Communications Policy Statement	
34	University College Strategic Plan 2008-2013	
35	Public interest Disclosure Policy (Whistleblowing) **	
36	The Turnbull Report	<a href="http://icaew.co.uk/internalcontrol">icaew.co.uk/internalcontrol</a>
37	Disaster Recovery and Business Continuity Plan	
38	Risk Analysis and Action Plan	
39	The Higgs Report	<a href="http://dti.go.uk/cld/non_exec_review">dti.go.uk/cld/non_exec_review</a>
40	The Smith Report	<a href="http://frc.org.uk/combined.cfm">frc.org.uk/combined.cfm</a>
41	University College Financial Regulations 2010	
42	HEFCE Financial Memorandum (hefce.ac.uk)	<a href="http://www.hefce.ac.uk/pubs/hefce/2009/09_46/">www.hefce.ac.uk/pubs/hefce/2009/09_46/</a>
43	Guidelines for the Management of Building Projects	
44	Guidelines for the Tendering of University College Services and Supplies	
45	Staff Handbook	
46	AUT (now /UCU )Recognition Agreement	
47	Governors Health and Safety Policy Statement	
48	Student Health and Safety Handbook	
49	Constitution of the Students' Union	
50	Student Handbook	
51	Terms of Reference of the Academic Board	
52	Academic Quality Assurance Manual, June 2010 Section 2	
53	Academic Quality Assurance Manual, September 2009 Section 5	

All footnotes refer to the documents listed in section 2

## **Section 2: Footnote References**