

<b>Meeting Date: 07 July 2020</b>	
<b>Item Code:</b>	
<b>Item Classification:</b>	



## University Executive Board (UEB) Governance Arrangements – Phase I

<b>Name of Committee/Body : UNIVERSITY EXECUTIVE BOARD (UEB)</b>			
<b>1.1</b>	<p><b>Purpose of Paper</b></p> <p>The purpose of this paper is to provide UEB with core material developed to support the effectiveness of its own arrangements and operations.</p>		
<b>1.2</b>	<table border="1"> <tr> <td> <p><b>Item Sponsor</b></p> <p>Professor Charlie Jeffery Vice-Chancellor and President</p> </td> <td> <p><b>Item Author</b></p> <p>Dr Adam Dawkins Head of Governance and Assurance</p> </td> </tr> </table>	<p><b>Item Sponsor</b></p> <p>Professor Charlie Jeffery Vice-Chancellor and President</p>	<p><b>Item Author</b></p> <p>Dr Adam Dawkins Head of Governance and Assurance</p>
<p><b>Item Sponsor</b></p> <p>Professor Charlie Jeffery Vice-Chancellor and President</p>	<p><b>Item Author</b></p> <p>Dr Adam Dawkins Head of Governance and Assurance</p>		
<b>1.3</b>	<p><b>Recommendation(s)</b></p> <p>UEB is asked to:</p> <ol style="list-style-type: none"> <li><u>approve</u> for publication the UEB requirements for producing, reporting and submitting UEB papers, subject to any feedback from members;</li> <li><u>approve</u> the draft revised terms of reference for UEB. See Annex 1;</li> <li><u>note</u> the draft taxonomy of document types, which provides working definitions of document types and general guidance on which formal bodies are responsible for consideration and approval of such items.</li> </ol>		
<b>1.3</b>	<p><b>Executive Summary</b></p> <p>It was agreed with Council that we would prioritise strengthening UEB governance arrangements. <b>Phase I</b> of this work includes improving the information provided to UEB Sponsors and Authors of Papers to help ensure consistency and quality in what is presented to UEB, and help clarify what is reported, and why. The requirements for producing, reporting and submitting UEB papers is a first stage in this process, to replace the existing guidance on UEB. The Phase also encompasses a review of UEB’s terms of reference for members’ consideration, which are provided in <b>Annex 1</b> of the document on the <b>Category II Agenda</b>. The revised terms of reference are intended to more accurately reflect the reality of UEB’s purpose in setting and modelling the tone and culture for the University, as well as improved clarity on its function. <b>Annex 2</b> on the <b>Category II Agenda</b> is draft taxonomy which provides working definitions of document types and general guidance on which formal bodies are responsible for consideration and approval of such items. This requires further work, development and consultation (with approval from a wider set of bodies, including Council), but is intended to sit above a more detailed, revised University scheme of delegation as a set of principles. The detailed scheme is best reviewed once the University’s committee structure has been subject to reform. An emphasis on avoiding default escalation to a senior body to take a decision is central to the proposals, in the interest of improved agility and streamlined decision-making. A revised cover sheet for UEB items (to be rolled out across Council and its sub-committees) has been produced and is being trialled on a small number of UEB items. You are currently reading the draft cover sheet template. See also the City College Thessaloniki item.</p> <p><b>Phase II</b> work centres on proposals in train to clarify and reconfigure the UEB sub-committee structure, including a Strategic Capital Infrastructure Board. The Plan is to bring elements of these proposals to UEB at its 18 August 2020 or early September 2020 meeting.</p>		

1.4	<p><b>Individuals or groups consulted for the paper</b> Vice-Chancellor and President. Indirect consultation has been sought to inform the guidance based on feedback and practice evidencing what is and is not working well. Consultation on this new cover sheet has been undertaken with a number of colleagues who have been invited to trial its population for their committee papers, e.g., see City College Thessaloniki paper for this meeting of UEB.</p>	<p><b>Consideration and approval route so far/to date</b> UEB is the final approving body, with the exception of the taxonomy of document types in Annex 2.</p>
1.5	<p><b>Strategic Vision, Aims and Objectives: How does this item support the strategic vision principles of the University?</b></p>	
	Public Good	UEB's role is to model and deliver the public good purpose of the University. This is reflected in the revised terms of reference in Annex 1.
	Community of Shared Purpose	As above.
	Agility/Responsiveness of Operations	These proposals are intended to support the agility of UEB and senior managers in the organisation, through a clearer steer on what should and should not be escalated to UEB, and more effective and focused reporting.
	Renewing our Estate	N/A.
1.6	<p><b>Equality, Diversity, Inclusion, ethical and sustainability considerations</b> The introduction of the cover sheet is intended to invite colleagues sponsoring or wiring UEB papers to consider EDI, ethical and sustainability considerations. They are also integral to UEB's purpose and implied in the public good and community of shared purpose components of its terms of reference.</p>	
1.7	<p><b>Legal, Regulatory and/or Policy: How does this item comply with requirements?</b> Section 2.2 of the UEB requirements and the revised terms of reference emphasise UEB's oversight of legal and regulatory matters. The item also clarifies the wider consideration and reporting of policy to UEB. Specifically, the attached paper is intended to amount to governance-related policy.</p>	
1.8	<p><b>Resource Implications: financial, human, physical, virtual (including how it represents economic and efficiency and/or effectiveness)?</b> There are no direct financial or human, physical or resource implications attached to the proposals. However, the proposals are intended to bring about improved efficiency and effectiveness for Sponsors/Authors of items and UEB members in considering them.</p>	
1.9	<p><b>Strategic/Corporate Risks and Key Performance Indicators or Performance Indicators or other targets</b></p> <ul style="list-style-type: none"> <li>Corporate Risk Register Reference 4 (November 2019) – Governance: the proposals are intended to mitigate against a failure of governance arrangements.</li> </ul>	
1.10	<p><b>Responsibility and key dates for implementation of outcomes</b></p> <ul style="list-style-type: none"> <li>UEB Secretary/Head of Governance and Assurance: Publication and roll out for UEB in August 2020, subject to UEB approval. Elements such as this cover sheet</li> </ul>	
1.11	<p><b>Onward Internal and/or External Engagement and Communication</b> Via the UEB webpages and circulation to Sponsors and Authors of Items.</p>	



## UNIVERSITY EXECUTIVE BOARD (UEB)

### Sponsors and Authors of Business Items for UEB Meeting: Requirements

#### 1. Context

- 1.1 These requirements are for **Sponsors** (normally the UEB member accountable for the work and presenting the item) and **Authors** (those with day-to-day management or involvement, and who draft the item) of items/papers bound for a formal meeting of the University Executive Board (UEB). The document hold the status of 'requirements' rather than 'guidance' as there is an expectation that colleagues will follow these in producing UEB items, to ensure a baseline level of consistency and quality.
- 1.2 UEB is the senior leadership team of the University: its executive function means that it shapes, decides upon, steers and ensures delivery of decisions on all aspects of strategy, corporate management, resources in all senses, legal compliance (noting final statutory and some regulatory accountability rests with Council) organisational structures and functions. The Vice-Chancellor and President chairs UEB, and is the chief academic and administrative officer of the University: the 'Accountable Officer' to use the Office for Students' phrase, and answerable to Council for the effective leadership of the University, to external bodies and regulators and the University community. The revised Terms of Reference for UEB are provided in **Annex 1** of this document.
- 1.3 UEB operates in a triangle of co-ordination with the Senate and Council as the three senior decision-making bodies of the University. Council is the ultimate decision-making body of the University, as its governing and trustee board, given the University's status as an exempt charity. Where Senate oversees the academic matters: academic governance, policy and regulation and can receive from, and offer advice to, Council on any matter of business, Council holds ultimate oversight of strategic, corporate, resources and reputational matters and is ultimately accountable for the strategy and stewardship of the University's reputation and resource framework.

#### 2. Which items should be brought to UEB and how should they be presented?

- 2.1 It is critical that UEB spends finite, formal time as a collective body discussing and deciding upon strategic and other significant matters. This is with the intention of making decision-

With this in mind, items presented to UEB:

- which are **predominantly operational, procedural OR pertaining to academic governance, regulation** and policy, whether for note, review or decision, will **not secure a place on UEB agenda unless there are evident or likely major corporate, commercial, statutory or resource impacts in its widest sense**
- for the purpose of **information-sharing** and solely for note will **not find a place on UEB agenda, unless there is a compelling requirement** to provide a 'heads-up' to UEB on a significant future matter, or to satisfy audit or assurance trail requirements
- should be **relevant, concise, focussed, evidence-based**, underpinning and informing proposals in the item
- should provide **clear and focussed recommendations to UEB which are unpacked**, and present a steer where several options or scenarios are posed.



making more agile and effective for all colleagues, and that University 'business' can be moved forward in the most effectively and timely way:

Seek the views of the Secretary to UEB [adam.dawkins@york.ac.uk](mailto:adam.dawkins@york.ac.uk), or the Governance and Regulation Officer [Gillian.gibbins@york.ac.uk](mailto:Gillian.gibbins@york.ac.uk) who can advise on the journey of the item between various University bodies, on the basis of a clear rationale and intended content of the item. If the item is referred back it is not a signal that is not important, just not within the remit of UEB, and a more appropriate place, or person(s) to discuss and decide upon it exists.

2.2 The University's Scheme of Delegation is ripe for review as part of a wider review of your governance structure, and identifies only a limited number of items of business which UEB is responsible for reviewing or deciding upon. In summary, items of the following type (column one) and meeting key features should be brought to UEB for **consideration, approval or endorsement or note** (where UEB is not the final approving body). More information is provided in Section 4 of this paper:

Business Item Type	Key Features requiring UEB consideration or approval
<b>Strategic Plan/Strategic Plans and annual, medium and longer-term financial or resourcing plans.</b>	University-level plans requiring strategic positioning and major resourcing and decisions to be taken, and performance outcomes and implications to be monitored and evaluated.
<b>Regulations and Policies</b>	<p>Regulations and Policies with major corporate, financial or wider financial and staff and physical/virtual resourcing implications, or significant external legislative impacts.</p> <p><i>UEB will be the final approving point for many Regulations or Policies fitting this criteria. However, there are some policies and Regulations which require escalation into committees of Council, or even to Council. Advice should be sought from the Secretary. UEB should <u>not</u> be asked to approve predominantly academic or academic related regulations policy (such as relating to student entry, progressions awards, assessment, discipline etc) unless there are major resource or organisational implications.</i></p>
<b>Specific financial expenditure or revenue or income generating levels and related matters (many of these will be incorporated into a business case item as per below)</b>	<ul style="list-style-type: none"> <li>- Capital Expenditure at the level set in the Financial Regulations</li> <li>- Student Tuition Fees</li> <li>- Entering into high value and/or high profile leases</li> <li>- Disposal of assets</li> <li>- Pension Arrangements</li> </ul>
<b>Business Cases (Summarised) for major projects or partnerships</b>	<p>Where the strategic scale of the case for the investment or partnership is significant, and known or expected expenditure for major projects and partnerships and return exceeds the amount set in the Financial Regulations. See row above. UEB should <i>not</i> normally be asked to approve detailed:</p> <ul style="list-style-type: none"> <li>- tender evaluations for major projects (delegated to a Project Board or other body led by a UEB or other senior staff member)</li> <li>- contractual particulars (unless this is a condition of entering the contract).</li> </ul> <p>Instead it should receive summary assurance on these as part business case or final approval proposals.</p>



Business Item Type	Key Features requiring UEB consideration or approval
<b>Internally or externally commissioned reports</b>	<ul style="list-style-type: none"> <li>- outcomes of an internal working/task and finish group to address a specific issue or tactical or strategic response/intervention OR</li> <li>- an external investigation, audit or consultancy commissioned by, on behalf of, or with the cooperation of UEB, which will have regulatory or policy implications at a University-wide level.</li> </ul>
<b>Monitoring Reports or Reviews (e.g., quarterly annual reviews and Reports)</b>	Strategic, University-wide or other corporate activity, e.g., Faculty Dean’s Report, Financial performance (annual, quarterly), Health and Safety, Equality, Diversity and Inclusion, Corporate/Strategic Risk Registers, Estates, OPPA; other accountability reports, as required by OfS (Access and Participation, Prevent Duty)
<b>Consultation Exercises</b>	<ul style="list-style-type: none"> <li>- Where the consultation relates to institution-wide matters, e.g., OfS, UKRI or USS, these should be co-ordinated by/on behalf of a member of UEB.</li> </ul> <p><i>It is not expected that UEB would approve consultations at this level, depending on the significance and impact of that being consulted on, but as a minimum should receive these for information as part of its horizon scanning role.</i></p>

2.3 **Annex 2** provides full definitions of document types listed in Item 1 (which should encompass most items brought to UEB), and provides an indication of the route of such items, including the role of UEB.

2.4 It is expected that items reviewed by UEB may be referred back to the Sponsor and Author for further work and clarification. Sometimes this will be:

- with a view to the item being brought back to UEB for re-consideration, normally within a short timeframe
- where minor modifications or clarifications are required, which do not need to be brought back, but may need to be recorded as a follow on action which has been completed.

We will endeavour to clarify this in the meeting itself, and reflect in the Minutes. Please liaise with the Secretary if, as a Sponsor or Author, you are unclear.

2.5 Items which are presented to UEB which have multiple phases or stages, such as projects or developing strategic partnerships, may need to be brought to UEB at more than one stage for discussion or decision of different elements. However, given UEB should not be reviewing contract particulars, it is important that initial papers summarising a business case, present as accurate and capped expenditure and wider resource or other commitments, liabilities etc as possible for UEB approval, to minimise the need for items to be brought back to UEB at all stages of progress. The Secretary can advise on this in advance of the final submission of the paper for UEB review.

**3. Key requirements for an item of business bound for UEB**

3.1 As with Council, UEB Meeting Agenda are divided into **Category I** and **Category II**. **Category I** is the Agenda **containing items for active discussion and/or decision**, noting that the Category I agenda should contain items whose main purpose is for UEB ‘to note’ or ‘for information’ by exception only. Your item will be located in a relevant section of this Agenda depending on the nature of the content, e.g., whether it is strategic, monitoring, policy,



regulation etc. The **Category II agenda** contains **supplementary items** such as appendices containing detailed data or narrative linked item on the Category I agenda, OR **any other item for information** or note, not to be discussed at the Meeting.

- 3.2 **Category I** items should be **no more than a total of five sides in length, excluding the cover sheet (which should be no more than two sides when populated)**. There will be exceptions to the maximum, such as when a full report or Policy which needs to be longer than five sides needs to be presented for comprehension, completeness of compliance purposes in its entirety to UEB. Where there are necessary appendices and annexes to your paper which exceed the seven side limit, and where you *need* to provide the Committee with *key* additional information, data and analysis, commentary, they should be submitted as a standalone, i.e., separate document to the main paper. These will then become an item on the **Category II Agenda** - For information. Items here can be longer than seven sides, but should still be kept to a minimum. All critical points for discussion or decision need to be on the Category I Agenda.
- 3.3 Please refer to the University [style guide](#) and [brand guidance](#) more generally in writing your papers. The **font** used for items should either be **Calibri** (as per this document) or **Cambria**, **Font sizes 11, 11.5 or 12**. Embedded tables, footnotes etc can be a smaller font size.
- 3.4 There is a new cover sheet template for UEB which should be used for all items presented to formal UEB meetings. Sponsors or Authors are expected to complete the cover sheet in line with this guidance prior to submission to [gillian.gibbins@york.ac.uk](mailto:gillian.gibbins@york.ac.uk).
- 3.5 The structure of the content of the item itself following the cover sheet should adopt the following headings: Section 1 (this is the cover sheet); Section 2 (Background and Context); Section 3 (Discussion); Section 4 (Proposals and Recommendations) and Section 5 (Next Steps).
- 3.6 All paragraphs in the item following the cover sheet should be clearly numbered. If you are writing paragraphs under Section of the paper, the heading is Section 2, with all paragraphs 2.1, 2.2., 2.3 onwards until you reach the end of that section, as per the format of this document.
- 3.7 The paper will be coded and its content classified by the Secretary if the sponsor/author has not done so in line with the University's [Information Classification and Handling Scheme](#).

#### **4. What are you asking the Committee to do with the Item?**

- 4.1 Central to a paper being clear is that the recommendations made in it are specific, accurate, not unduly complex or multiple in nature, and within UEB's authority. If recommendations are not clear, the clarity of the feedback or decision you receive, and the corporate record evidencing the decision is also unlikely to be.
- 4.2 Committee Items should be 'for discussion', 'for decision' or 'for information', noting that 'for information' items should be kept to a minimum. Each recommendation, if there is more than one in your item, should be formulated using **one of the four verbs** below: 'approve', 'endorse', 'consider', 'note'. **Don't use more than one in a single recommendation**. For



example, to state 'UEB is asked to consider and approve XXX' does not need include 'to consider' as we will assume that is part and parcel of approving the recommendation(s)!

What is asked of UEB in an item	Example and Explanation
<p><b>'To approve':</b></p> <p><i>There is normally only <u>one</u> approving body, unless in a rare situation joint approval is required, e.g., of Senate and Council. In the case of UEB, if you are asking for an item to be approved by UEB this means it is the <u>final approving point</u> for the item, and is not then subject to approval by a higher body in the committee system, such as Finance Committee. If the item needs to go upwards for approval then you are <u>not</u> asking UEB to approve it. See 'endorse' below.</i></p>	<p>'UEB is asked to <u>approve</u> the Due Diligence Policy'.</p>
<p><b>'To endorse':</b></p> <p><i>Endorsement becomes a recommendation and a green light <u>to support subsequent approval by another body</u>. Bodies should <u>not</u> be endorsing an item if it has already been approved by a body senior or junior to it, unless there are exceptional reasons for this, such as the fact it should have been considered by another body ahead of its approval.</i></p>	<p>'UEB is asked to <u>endorse</u> the Treasury Management Policy for onward approval by Finance Committee'.</p>
<p><b>'To consider':</b></p> <p><i>To consider an item implies active reflection and some discussion, but falls sort of the need for 'endorsement' or 'approval'.</i></p>	<p>'UEB is asked to <u>consider</u> access and participation data for the period XX to XX'.</p>
<p><b>'To note':</b></p> <p><i>As stated elsewhere on this guidance, items and recommendations which ask UEB 'to note' should be kept a minimum as it is a largely redundant recommendation, unless a specific point needs to be acknowledged on record. If an item is produced where the intention is to 'note', and there are no specific areas for UEB discussion or decision which need to be drawn out, then Sponsors and Authors may wish to consider whether it needs to be laid before UEB in the first place, or whether it should be shared with relevant members of UEB on a 'need to know' basis.</i></p>	<p>'UEB is asked to <u>note</u> UUK International Unit's Annual Report for 2020'.</p>

- 4.3 The 'recommendations' cell - Item 1.3 on the cover sheet in - gives more information on how to formulate the recommendation(s) you include in your item, so they are consistent within your paper and across all papers. Please make the recommendation(s) specific. It is not enough to say, 'UEB is asked to 'consider this paper' for example, with no further up front detail, steer or area which UEB should focus in on. Draw readers to specific points to note, consider, endorse or approve as appropriate. **Avoid multiple and recommendations in a paper (more than 3 recommendation will normally lose the reader)**. If you are unsure which recommendations to lose, any recommendations which ask UEB to 'note' a general or specific point, they should be removed from your list of recommendations. Where you do have more than one recommendation, all types of recommendation, e.g., 'to approve' should be clustered together in the recommendations list, even if that does not follow the flow of the item. It is good practice to place the paragraph reference from the paper after each recommendation on the cover sheet to aid navigation. **Always provide a direct and clear steer to UEB as part of the recommendation, particularly where a choice of options**



**or scenarios are posed in your paper. Your professional opinion is sought, and should come through in what is written, in the context of alternative options.**

**5. Process for Submitting Papers to UEB**

- 5.1 UEB meets on a fortnightly basis (Tuesday mornings) as per the online schedule. Advance notice of an item required of a Sponsor or identified by the Sponsor for submission should be flagged by the Secretary or Governance and Regulation Officer, or the the Sponsor and Author to the Secretary or Governance and Assurance Officer as soon as is possible.
- 5.2 Reminders will be sent in advance to Sponsors and Authors, but it a UEB meeting date to present a paper has been agreed we will assume you are working to the deadlines. If a paper requires deferral please discuss with the [adam.dawkins@york.ac.uk](mailto:adam.dawkins@york.ac.uk) or [gillian.gibbins@york.ac.uk](mailto:gillian.gibbins@york.ac.uk).
- 5.3 Please let [gillian.gibbins@york.ac.uk](mailto:gillian.gibbins@york.ac.uk) know *in advance of final submission of your item*:
  - the working or confirmed title of your item as soon as possible
  - an indication of the purpose and content of the paper to help us determine in which section of the Agenda it should be located
  - whether the paper is for ‘approval’, ‘endorsement’, ‘consideration’ or ‘note’. See Section 4 above
  - likely or known authors and those who may be invited to attend a virtual or physical UEB meeting to attend it.
- 5.4 **Sponsors of items are responsible for finalising and signing off their papers UEB and confirming this, ensuring necessary consultation is undertaken with senior colleagues, including the Vice-Chancellor ahead of final submission to [gillian.gibbins@york.ac.uk](mailto:gillian.gibbins@york.ac.uk)**
- 5.5 **Sponsors are encouraged to seek, or may be offered advice on the content of their paper pre-submission of their final paper from the Secretary or the Vice-Chancellor. The reason we ask for the paper to be submitted in advance of the meeting is to allow for post-submission review.** Items may be referred back or withdrawn from the meeting if they are not considered ready or relevant for circulation. The final decision on this is the Vice-Chancellor as Chair of UEB.

Key activity	Timelines and Deadlines
Notification provided from Gillian or another person e.g., the VC of the need to produce a paper in line with the cycle.	Ideally, this will be in line with the UEB annual cycle, but may be requested at short notice, e.g., 4-1 weeks (or even less on occasions) ahead of the scheduled meeting.
Notification provided to Gillian from the Sponsor/Author, the VC or other senior UEB of the need to produce a paper in line with the cycle.	Ideally, this will be in line with the UEB annual cycle, but may be requested at short notice, e.g., 4-2 weeks ahead of the scheduled meeting.
Reminders sent to Sponsors/Authors of scheduled items	-13 days before the UEB meeting.





Key activity	Timelines and Deadlines
Deadline for submission of final papers to <a href="mailto:gillian.gibbins@york.ac.uk">gillian.gibbins@york.ac.uk</a>	- 8 days before the UEB meeting. Monday AM, five full working days before the scheduled UEB Meeting at which the item will be considered.  <i>Example = Monday 13 July 2020 submission deadline for the UEB meeting on Tuesday 21 July 2020.</i>
Final review of items	Between Monday PM and Thursday AM in the week prior to the scheduled UEB meeting.
Circulation of Category I and II Agenda to UEB members and attendees	Thursday PM, close of standard business - 4 days ahead of the scheduled meeting.

5.6 Late papers after the deadline will be considered via [adam.dawkins@york.ac.uk](mailto:adam.dawkins@york.ac.uk). For the benefit of all colleagues, we hope that late papers are exceptional but necessary feature of agile and responsive decision-making by UEB

Dr Adam Dawkins  
Secretary to University Executive Board  
Head of Governance and Assurance  
Final draft: 01 July 2020

**Annex 1: Proposed Revised Terms of Reference for University Executive Board (UEB)**

<b>Current Terms of Reference:</b> <a href="#">here</a> and replicated in the column below	<b>Proposed Terms of Reference</b>
The University Executive Board:	The University Executive Board (UEB) is the senior leadership team led by the Vice-Chancellor and President, responsible for steering and supporting the strategic direction of the University, and the executive decision-making this entails. UEB collectively promotes and models the public good purpose, reputation and profile of the University, including to a wide range of stakeholders, ensuring its own decisions and conduct reflection the University Vision and values. The UEB:
<ul style="list-style-type: none"> <li>Ensures the effective leadership, coordination and management of the activities of the University</li> </ul>	<i>The term of reference to the left is addressed in the preamble above.</i>
<ul style="list-style-type: none"> <li>Ensures effective communication with and support for the Council, Senate and other key University committees</li> </ul>	-is accountable to the Council, through the Vice-Chancellor and President, for all aspects of the effective and efficient executive and academic leadership of the University  -is accountable for ensuring resources and independent advice are provided for the proper governance of the University  - facilitates constructive relationships and timely and accurate two-way information flow and advice with faculties, schools, departments and formal groups and bodies.
<ul style="list-style-type: none"> <li>Prepares draft plans, strategies and budgets for consideration and approval by Council, Senate and other key committees</li> </ul>	-oversees and directs the development and review of the University Strategy and all major strategic partnerships, for onward Council or sub-committee approval, where required.
<ul style="list-style-type: none"> <li></li> </ul>	-considers all major transactions, and capital, budgetary, forecasting and investment, borrowing or revenue-generating frameworks and initiatives and commitments for onward Council or sub-committee approval, where required.
<ul style="list-style-type: none"> <li>Ensures that the University Plan and associated strategies are implemented</li> </ul>	<i>The term of reference to the left is addressed above.</i>
<ul style="list-style-type: none"> <li>Sets policy and takes executive decisions in accordance with an agreed scheme of delegation and decision making</li> </ul>	-Approves institution-wide or other significant policy to comply with University and/or external statutory or regulatory requirements, recommending this to Council or one of its sub-committees for approval, where required.  -Seeks assurance on the effectiveness and enforcement of University policy.
<ul style="list-style-type: none"> <li>Monitors the performance of the University against a range of performance indicators and where</li> </ul>	Monitors the performance of the University Strategy and associated strategies and plans, against a range of key performance indicators and other contextual information and data, and steers or confirms actions to improve performance.

<b>Current Terms of Reference:</b> <a href="#">here</a> and replicated in the column below	<b>Proposed Terms of Reference</b>
necessary takes corrective action	
<ul style="list-style-type: none"> <li>Maintains a high-level understanding of the wider context and environment in which the University operates</li> </ul>	<ul style="list-style-type: none"> <li>-Engages with, and seeks to influence the external environment in which the University operates.</li> <li>-Undertakes scenario-planning and horizon scanning on activities with a likely or known impact on the University and its ability to deliver the University Strategy.</li> </ul>
<ul style="list-style-type: none"> <li>Ensures that the University responds in a timely way to emerging threats and takes advantage of new opportunities</li> </ul>	Advises Council on the delivery of risk management strategy and policy, and the risk appetite to manage major threats and seize opportunities.
<ul style="list-style-type: none"> <li>N/A</li> </ul>	Delegates responsibility for strategic programme management, aspects of policy and operational planning and decision-making to: <ul style="list-style-type: none"> <li>- a number of sub-committees and bodies of UEB</li> <li>- through the thematic or specific portfolio responsibilities of individual UEB members.</li> </ul>

**Annex 2: Draft Policy Taxonomy and headline routes for approval by University bodies (this will be supplemented by a revised Scheme of Delegation once a new committee structure is devised)**

Formal Document Type	Working definition	Final Approving Body	Role of other bodies
<b>Charter of Incorporation</b>	The document incorporating the University as a legal entity, defining its core tenets, objects, constitution and powers to run itself.	Privy Council as an Order of Council on the recommendation of the University Council.	Council is the final internal approval route, with prior consultation with a range of key bodies (eg, Senate, SLM, Departments, Trade and Students Union representatives).
<b>Statutes</b>	The document setting out the prevailing, enduring powers, obligations and core constitutional arrangements for key University bodies and role-holders.	Privy Council as an Order of Council on the recommendation of the University Council.	Council is the final internal approval route, with prior consultation with a range of key bodies (eg, Senate, SLM, Departments, Trade and Students Union representatives).
<b>Ordinances</b>	The documented arrangements for the detailed exercise of powers and application of the Statutes (including Standing Orders).	Council (and Senate where relevant), with prior consultation and development.	Prior consultation with a range of key bodies (eg, Senate, SLM, Departments, Trade and Students Union representatives).
			<b>UEB</b> would <u>not</u> normally be involved collectively in reviewing Ordinances, but may be involved in policy and regulatory decisions feeding into/from them.
<b>Vision</b>	Sets the highest level of strategic intent and purpose for the University, encompassing its Mission and Values	Council	Consultation with a range of key bodies for consultation (eg, Senate, SLM, Departments, Trade and Students Union representatives)
			<b>UEB</b> collectively steer development and endorse the Vision.
<b>Strategy/ Strategic Plan</b>	A document setting out the strategic objectives, and high-level outcomes (partially measured through key performance indicators) to deliver the University's Mission and Values	Council	Consultation with a range of key bodies for consultation (eg, Senate, SLM, Departments, Trade and Students Union representatives)
			<b>UEB</b> collectively steer development and endorse the Strategy.
<b>Subsidiary Strategies and Plans and short, medium and long-term financial plans</b>	A Plan stemming from the University Strategy (these may cover specific themes or activities, e.g., Learning and Teaching or Estates) OR	Council  <i>All subsidiary strategy plans which feed directly into the University Strategy should be approved by Council on the advice of the</i>	Consultation with a range of key bodies for consultation (eg, Senate, SLM, Departments, Trade and Students Union representatives).

	Financial and resourcing plans at University wide level, e.g., the annual University budget, the Medium Term Plan or other forecasts.	<i>relevant Council sub-committee, Senate or Senate sub-committee.</i>	<b>UEB</b> collectively steer the development and endorse subsidiary strategies and plans, with leadership and co-ordination by the relevant UEB sponsor(s)
<b>Regulations</b>	Binding, non-negotiable rules and requirements (for variation or suspension by exception) made on behalf of formal University bodies to govern the conduct of students, staff or third parties. <i>Non-University 'Regulations' e.g. The Money Laundering Regulations have a statutory force, will apply to the University and be translated into Policy.</i>	Council where external regulation or legislation requires this.	
		Senate, or delegation to its relevant sub-committees for academic (teaching, learning, assessment, student experience) regulations.	
		<b>UEB</b> for known or likely corporate, organisational, major financial or wider resourcing implications or external legislative impact outside pre-approved arrangements.	
<b>Policy</b>	The University position, principles and precepts/rules made under the internal authority of a formal University body and/or external statutory or regulatory requirements.	Council:	
		<ul style="list-style-type: none"> <li>where policy introduced creates a major organisational change such as the character of the University being fundamentally reformed or altered</li> <li>for specific policy provisions e.g., a proposal to make redundant 10% of the total FTE of employees within a department as part of a restructuring or single exercise involving a significant change in service provision.</li> </ul>	
		<b>UEB</b> for policy: <ul style="list-style-type: none"> <li>articulating fundamental University value statements and stances</li> <li>which steers/sets major organisational change, such as significant organisational restructuring</li> <li>meeting high-profile corporate or legal obligations, and significant impacts such as non-compliance (reputational, financial, regulatory/registration).</li> </ul> All other policy (based on definition) <u>except</u> specific academic policy (Senate and its sub-groups) or constitutional/governance policy (bound for Council or one its 'corporate' sub-committees, such as Nominations Committee)	
		Senate:	
		<ul style="list-style-type: none"> <li>for policy relating to the application of academic regulatory or legal obligations (e.g those stemming from HERA 2017 which might relate to QAA requirements) or one/more of its sub-committees as determined by terms of reference.</li> </ul>	
<b>Code of Practice</b>	Details precepts for the practical application of, and adherence to, the standards set out in a Policy, which may be based on the internal authority of a formal University body and/or external statutory or regulatory requirements. <i>On occasions Codes of Practice may contain procedures and guidance.</i>	Codes of Practice: <ul style="list-style-type: none"> <li>the relevant corporate or academic sub-committee e.g., H, S&amp;W Committee for a specific CoP relating to an aspect of H&amp;S or UTC on the Standing Committee on Assessment for a Code of Practice linked to Assessment</li> <li>the Board of Studies or Departmental Teaching Committees where it has discipline/teaching specific professional and statutory body requirements attached to it.</li> </ul>	
<b>Document/Item Type</b>	<b>Working Definition</b>	<b>Final Approving Bodies</b>	
<b>Business Case or Business Plan</b>	A strategic and operational justification and evaluation to undertake a project, enter into a major project or partnership, programme or portfolio, setting out the strategic context, economic and commercial analysis and case and management and governance model. It may include	<i>Council would <u>not</u> expect to consider or receive business cases or plans for strategic projects and partnerships, but receive high level assurance on the strategic, reputational, regulatory, risk features of only the most significant, University-wide strategic projects or partnership. This may be dictated by the Financial Regulations expenditure thresholds, but may involve minimal expenditure but still merit Council consideration where it is strategic in reach.</i>	
		Finance Committee: <u>by exception</u> on a UEB recommendation for major projects and partnerships. <i>Its principal role should be to receive summary information and assurance and then monitor, the</i>	

	tender evaluation outcomes or contractual heads of terms.	<p><i>commercial proposition financial compliance and reporting considerations (including covenants and treasury) and key contractual risks.</i></p> <p><b>UEB:</b> for summary business cases where the scale of the project and partnership and known or expected expenditure exceeds a material amount (based on the current Financial Regulations, or material revenue and income.</p> <p>Department-level or lower level business plans at Project Board or Management Team level, within agreed financial parameters, where there is not a wider University reach in terms of policy or resources.</p>
<b>Heads of Terms, MoU or MOC</b>	A documented expression of intent which set out the terms, or principles of a commercial or other partnership.	<b>Sub-UEB:</b> <i>Council, Finance Committee or UEB should <u>not</u> be asked to formally consider or approval specific contracts (in terms of receipt of the formal contract requirement) or Heads of Terms unless this is a condition of the agreement to be entered into, such as a designated MoU/Relationship Agreement between two or more bodies.</i>
<b>Contract</b>	A formal agreement between two parties; in the case of the University this would normally be a formal educational, civic or services agreement,	<b>Sub-UEB:</b> <i>Council, Finance Committee or UEB should <u>not</u> be asked to formally consider or approval specific contracts (in terms of receipt of the formal contract requirement) or Heads of Terms unless this is a condition of the agreement to be entered into. The role of UEB upwards is to understand and test the principles, risks and performance implications of contracts for major partnerships and projects. The requirement to escalate beyond UEB will be based on expenditure thresholds as set out in the Financial Regulations, or other judgments about the significant and reach of the Project.</i>
<b>Operational Plan</b>	A detailed delivery plan and measures for implementing a strategic, or other plan or major report findings.	<p>Operations Group: under the oversight or delegated authority of, or other relevant UEB sub-committee for University-wide operational matters, or designated task and finish group body.</p> <p>Faculty Board for Faculty-wide or multi-departmental operations oversight or under its delegated authority, on the advice of the Executive Dean and Operations Manager.</p> <p>Departmental Operations under the oversight or delegated authority of, the Departmental Management Team.</p>
<b>Commissioned Plan, Report</b>	Sets out findings and recommendations on a specific issue, investigation or intervention: i. internally commissioned by UEB as a group, a member of it, or other senior staff member (e.g. internal working group, internal or external audit etc) to address a specific issue; ii. commissioned by an external body by, or with the co-operation of the University, such as a regulatory, enforcement or research body.	<p><b>UEB:</b></p> <ul style="list-style-type: none"> <li>for internal Audit and External Audit annual plans or individual reports, 'High' risk or other potentially adverse findings. Medium risk reports may be presented in summary form. 'Low' risk reports do <u>not</u> need to be presented.</li> <li>other internally or externally commissioned investigations/audit with adverse findings: Upward reporting to Audit and Risk Committee, other Council sub-committee or Council itself where findings are adverse and likely to attract regulatory or media censure.</li> <li>for market intelligence or other consultancy where this directly informs a policy position or stance. Full reports do not need to be presented but extracts of them.</li> </ul>
<b>Monitoring Reports or Reviews (e.g., quarterly annual reviews and Reports)</b>	Internally or externally periodic reporting on (e.g. annually) and reviewing and monitoring for the University performance and achievements in a specific or general area.	<p>Council (from UEB via a corporate Council sub-committee):</p> <ul style="list-style-type: none"> <li>as below, with the exception of Faculty Reports, normally provided in a distilled format unless statutory or regulatory requirements dictate.</li> </ul> <p><b>UEB:</b></p> <ul style="list-style-type: none"> <li>Faculty Dean Reports and other strategic level annual, quarterly or other interval reports.</li> <li>Student recruitment and admissions</li> <li>KPIs</li> <li>Financial performance (annual accounts, quarterly reports etc)</li> </ul>

		<ul style="list-style-type: none"> <li>• other critical and strategic and accountability activities (estates, OPPA, risk, international, major partnerships, health and safety, EDI)</li> <li>• Risk Registers</li> </ul>
<b>Consultation Exercises</b>	<p>An invitation or requirement to respond to a series of questions on a proposal from:</p> <p>i. UEB or another body of/representing members of the University to colleagues within the University community</p> <p>ii. an external body such as a regulator, negotiating or membership body requiring a response on behalf of a specific formal body (e.g., UEB, Council)</p>	<p><i>The locus of final approval for a consultation document will depend on the scale and scope of the consultation and any: requirements of the consulting body.</i></p> <p>Council/UDG:</p> <ul style="list-style-type: none"> <li>• UUK, USS, CUC consultations</li> <li>• Other consultations where they may be a specific requirement to sight Council (some OfS consultations may require this)</li> </ul>
		<p><b>UEB:</b></p> <p>Where the consultation relates to institution-wide matters, e.g., OfS, UKRI or USS, these should be co-ordinated by/on behalf of a member of UEB.</p> <p>It is not expected that UEB would approve consultations at this level, depending on the depth and influence of the consultation, but as a minimum should receive these for information as part of its horizon scanning role.</p>
		<p><u>Other bodies:</u></p> <p>Activity/function specific consultations (e.g., in areas such as academic subject disciplines, estates, finances, health and safety, etc) would normally be responded to by the relevant Director/Head of Department with Faculty Dean input or awareness. Where wider policy positions, commitments are being made which may be public or have known resource implications attributed to York, these should be shared with the relevant UEB member to determine wider dissemination to UEB members.</p>
<b>Procedures</b>	Identified steps, stages and related processes for implementing policy or regulation.	Procedures should be determined and agreed at the appropriate Professional Support Department or Academic Departmental level. Bodies such as UEB, Council, Senate and other sub-committees may seek assurance that procedures are in place, and these may be tested through internal or external audit or external inspection visits, for example. However, procedures should <u>not</u> be routine matters for formal body review. Where procedural failings lead to external notices or sanctions, this may need to be escalated for attention of UEB or one of its sub-groups, or Audit and Risk Committee where the breach is serious or there is a requirement to report a breach.
<b>Guidance</b>	Advisory material and best practice to deliver procedure.	Guidance should be determined and agreed at the appropriate Professional Support Department or Academic Departmental level. In exceptional circumstances 'Regulatory guidance' may be presented to UEB, where it has institution-wide impacts and derived from legislation, regulation or government (e.g., covid-secure guidance).