



University Executive Board

Minutes of the meeting of 9 November 2021

Attending

Professor Dame Jessica Corner (PVC RKE and Chair), Professor John Atherton (FPVC Medicine and Health Sciences), Dr Paul Greatrix (Registrar), Professor Jeremy Gregory (FPVC Arts), David Hill (CDO), Professor Sam Kingman (FPVC Engineering), Professor Todd Landman (FPVC Social Sciences), Professor Sarah Metcalfe (Interim Provost UNM), Professor Nick Miles (Provost UNNC), Professor Robert Mokaya (PVC GE), Margaret Monckton (CFO), Sarah Speight (PVC ESE), Professor Zoe Wilson (FPVC Science)

Attending

Rowena Hall (Secretary), Caroline Bergmann (Director, BioSupport Unit), Grace Patterson-Mik (Senior Project Manager for the Access and Participation Plan), Professor Paul Houston (Head of School, Mathematical Sciences) for minute 21.137, Professor Bernie Youens (Head of School, Education) for minute 21.137, Jason Carter (Director of Governance and Assurance) for minute 21.138, Jenny Vempati (Director of Internal Audit) for minute 21.139

Apologies

Professor Shearer West, Professor Andy Long, Jaspal Kaur,

21.136 Welcome, Apologies, Quoracy and Declarations of Interest

- .1 The Chair welcomed Caroline Bergmann, Director of the Bio Support Unit and Grace Patterson-Mik, Senior Project Manager for the Access and Participation Plan, to the meeting as observers.
- .2 The Secretary confirmed that the meeting was quorate.
- .3 There were no declarations of interest.

21.137 Partnering to Establish the East Midlands Maths School

- .1 UEB RECEIVED the paper (UEB/21/130) from the PVC ESE which provided details on the Department for Education's intention to establish a specialist 16-19 Maths School in English regions. The paper set out details of current activity to explore options for the University to partner to establish a Maths School in the East Midlands.
- .2 UEB NOTED that the construction of the regional Maths Schools would be funded by the Department for Education. The schools would be set up and operated by further education colleges as part of multi-academy trusts. The University partner would be focused on governance, curriculum, outreach, CPD for teaching and classroom assistances, research and widening participation at both A-level and degree level. There would be an opportunity to input on the admissions policy. Two education Trusts had approached the University with interest in partnering.
- .3 UEB was supportive that the University continue to explore the opportunity. UEB suggested a number of areas which would need to be addressed in any business case that was submitted for further consideration:



- .1 Full disclosure on the financial costs to the University including non-cash elements such as pro bono staff time.
- .2 Detailed assessment of the benefits to be realised through participation.
- .3 Proposal for a robust governance structure to manage the University's involvement.
- .4 Consideration of the capacity of staff to commit to the project given ongoing large scale University projects including full commitment from the Schools of Mathematical Sciences and Education.
- .5 Whilst there was clear alignment between the project and University's strategy and its civic agenda, consideration needed to be given to whether there were more effective and beneficial routes for furthering the University's civic agenda.

| | ACTION | OWNER | DUE |
|----|---|--------------|------------|
| .6 | To keep UEB updated on the progress of discussions. | PVC ESE | Ongoing |

21.138 Proposals for a University Assurance Framework

- .1 UEB RECEIVED the paper (UEB/21/131) from the Registrar which set out a proposal to establish a formal assurance framework at the University.
- .2 The framework would build on the activities of the Director of Governance and Assurance since the role was established and ensure that UEB had full confidence in the arrangements in place to comply with an increasingly complex regulatory landscape. Council and Audit and Risk Committee were both seeking assurance that UEB was well sighted on compliance matters.
- .3 The Director of Governance and Assurance provided an assessment of the University's current assurance provision against the KPMG three lines of defence model identifying a particular gap against the first line.
- .4 The development of the assurance framework would include activity focused on identifying and setting formal accountabilities for key controls across the University which would facilitate the implementation of an organisational RACI matrix, the introduction of a self-attestation process across Faculties, Schools and Professional Service Departments, and the finalisation and roll out of a policy management function. The support of external consultants would be required to ensure initial activity was carried out at pace.
- .5 It was envisaged that a comparable process of assurance would be introduced for Strategic Delivery Plans and major projects. The Director of Governance and Assurance would work closely with the Director of Planning, Performance and Strategic Change to ensure that the processes aligned.
- .6 UEB NOTED that a review of mandatory training provision was underway in Human Resources to ensure the full provision was understood and appropriate.
- .7 The Director of Governance and Assurance emphasised that the support of individual UEB members would be critical to the success of the establishment and implementation of the framework. The framework and its elements would need to be featured and discussed regularly at management board meetings in Faculties and Professional Service Departments.
- .8 There was strong support for the proposal with the caveat that reporting functions associated with the framework must be practical and efficient.



.9 UEB APPROVED the recommendations set out in the paper to establish a formal University Assurance Framework, specifically:

- .1 To adopt the three line of defence model for legal and statutory obligations and the creation of a University RACI matrix.
- .2 To use external support for the development of the framework.
- .3 To implement a comparable process for Strategic Delivery Plans and major projects.
- .4 Human Resources would take on the oversight of the mandatory training provision

| | ACTION | OWNER | DUE |
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| .10 | To provide regular updates to UEB on the development and implementation of the University Assurance Framework | Registrar, Director of Governance and Assurance | Quarterly |

21.139 Internal Audit Six Month Plan and Health Check Proposal

- .1 UEB RECEIVED the paper (UEB/21/132) from the Director of Internal Audit which recommended a small number of audits in the coming six months to be supplemented by a programme of health-checks of services, functions and Schools.
- .2 The approach would provide a one-off high-level view across a broader spectrum of the University. Scoping work for the approach to the health-checks was already underway and Digital Technology Services would be the pilot service area to be reviewed.
- .3 The Director of Internal Audit confirmed that it was intended that the health-check approach would be light touch and efficient using behind the scenes analysis, and supported by discussion with senior leaders and group conversations. The process would be sensitive to the workload of others.
- .4 UEB recommended that the scope and approach to the health-checks would need to be framed carefully to draw out but not focus on unsurfaced tensions.
- .5 UEB APPROVED the introduction of the health-check initiative and the internal audit plan for the next six months.

| | ACTION | OWNER | DUE |
|----|---|---|------------|
| .6 | To report on the progress and the outcome of the health-check review. | Chief Financial Officer, Director of Internal Audit | Ongoing |

21.140 Any Other Business

- .1 The PVC ESE provided an update on the remote study position for semester 2. 1,300 students had been registered for remote study in semester one but Schools were keen that students returned to campus for in-person teaching delivery in semester two.
- .2 Students would be provided with information about accommodation.
- .3 Students who were not able to return to campus would be advised on the options for an interruption of their studies. This would be particularly relevant for students on programmes



that required lab time. There was a large group of Business School students who remained in China and the School had committed to continuing their remote study.

- .4 A task group was meeting weekly in connection with the planned industrial action. The topic would become a standing agenda item at Senior Leader briefings.
- .5 The Chief Financial Officer confirmed that contracts had been exchanged for the acquisition of the Castle Meadow site with completion scheduled for the following week.