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Governance effectiveness review

Final Report
November 2022

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Contents

1. Introduction

Nottingham Trent University (NTU) is a large teaching-intensive and research-active University, which throughout its long history, has been committed to enabling its students to transform their life chances and to enhance the social, cultural and economic environment within which they live, study, volunteer and work. NTU's long-standing goals shape their Strategic Plan, the [University Reimagined](#), which was launched in 2019 ahead of it being effective in 2020, and articulates five clear themes: Creating Opportunity, Valuing Ideas, Enriching Society, Connecting Globally and Empowering People.

NTU has enjoyed a highly successful period over the last number of years, growing significantly over this time, and has been recognised nationally in 2017 as the Times Higher Education University of the Year, in 2019 as the Guardian University of the Year and as the 2023 Times and Sunday Times Modern University of the Year (awarded during the period of the review).

In line with expectations from the Office for Students and Committee of University Chairs (CUC) Higher Education Code of Governance, this external review was commissioned following the last review which was undertaken in 2018. The previous review identified a generally sound approach to governance but made 19 minor recommendations for improvement and enhancement. This review commenced in July 2022 with a Board e-survey and with fieldwork (observations and interviews) beginning in September 2022.

The review sought to:

+ be holistic, forward looking, developmental and supports the University in the realisation of its strategic ambitions, and is contextualised within its own vision, strategic goals, purpose, culture and values.

+ be informed by best practice in the HE sector and beyond, with demonstration of knowledge, evidence of relevant examples and the use of benchmarking with relevant organisations (which was not available in the 2018 review).

+ examine how the University's governance culture and ethos supports ethical behaviour and equal, diverse and inclusive practices; and related to this, the commitment to and understanding of embedding equality and diversity of the Board noting the strategic importance of this area to NTU.

+ explore and evaluates the relationships between the Board, its Committees and their interaction with the Executive Team, and how these contribute to the overall effectiveness of governance.

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+ consider the structure, terms of reference and composition of the Board and its Committees, and the approach to management of Board business including. the effectiveness of the new governance structure.

+ draw on the Advance HE Board Diversity Toolkit to look at board recruitment and diversity, including recruitment; induction; development and training; and appraisal of Chair and members; and the use of a progressive and regularly updated skills matrix to inform future need.

+ learn from the pandemic, examines the effectiveness of arrangements established to enable continuity of effective governance and evaluates what worked, what didn't and what should be retained and further developed post-COVID.

+ examine and test confidence in the Board's arrangements for seeking and receiving assurance of robust and effective academic governance through working with the Academic Board, to understand the range of students and their experiences, maintain standards and improve quality, complementary to the recent review of the Academic Board.

+ look at the engagement of the Board and its Committees with key University issues, for example student experience, sustainability, recruitment as well as engagement in and influence over the development and delivery of the institutional mission and strategy and its approach to the management and mitigation of key risks and opportunities for the University

+ evaluate ownership and appropriate assurance of strategic issues, performance against the strategic aims, and decision making protocols, including delegated authorities.

+ examine the quality of communication and interfaces with the wider University community i.e. how it raises awareness about its work, whether there are appropriate and relevant opportunities to hear the staff and student voice, to understand the staff and student experience, to engage with staff and students and to promote their wellbeing).

+ be fully contextualised: the review will take account of relevant guidance, reference points and benchmarks including the Regulatory Framework for Higher Education in England and other publications of the Office for Students (OfS); and the University's use of the Committee of University Chairs' 2020 HE Governance Code, the HE Senior Staff Remuneration Code, and the HE Audit Committees Code of Practice'.

+ deliver evidence-based recommendations and workable solutions that stimulate an informed deliberation of existing practice, structures, processes, behaviours and opportunities for improvement.

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2. Executive Summary

Overall this review found that the approach to governance at Nottingham Trent University (NTU) to be highly effective. An atmosphere of positive challenge and support, a clear commitment to ongoing improvement, a distinctive strategy which shapes Board business and highly committed governors who are supported by an excellent Secretariat. We did not find any issues with compliance, and there is evidence of systematic and ongoing attention to governance effectiveness. Clear attention has been paid to both the individuals and the group collectively to ensure that there are the requisite skills to add value, and since the last review there has been positive improvements in the composition and diversity of the Board.

In our governance e-survey, NTU performed above benchmark in all sections and when the results are summarised were placed 4th (of the 40 benchmarked institutions who have completed the survey) with an overall average rating of 94%. Our interviews and observations generally supported this positive view – with some nuances in the detail – and we explore this in our report. The focus of the findings are very much upon continuous improvement, drawing on existing innovation at NTU and from best practice within and beyond the higher education sector.

It is clearly an important moment of transition for the NTU Board, the Chair and Pro-Chancellor Neil Goulden has now entered his final year, the Deputy Chair (Baroness Diana Warwick) and until recently the Chair of Audit Risk Management committee (Ian Ellis) are also due to finish their terms this academic year, and whilst this transition has been managed carefully by the Membership and Nominations committee there is nonetheless an important period of change ahead. The findings of this review should give a high degree of assurance to the incoming Chair, Caroline Wayman (who was appointed as the Chair-designate during the period of this review) and the wider Board that the foundations are firmly in place for governance to remain at a very high standard.

Overall we make 6 recommendations for improvement and 5 further suggestions (the 2018 review, made 19 recommendations). These recommendations centre around **adapting the current approach to induction for new governors** (recommendation 4), **formalising the process for governor and chair appraisal** (recommendations 5 and 6) and **managing upcoming transition on Board membership** (recommendations 2 and 3).

3. Main Findings

3.1 Strategy and performance

Developing an appropriate strategy and monitoring performance is a crucial role for any Board. The survey results (table below) show that the Board considers itself to perform very well in terms of agreeing, overseeing and monitoring the strategy and performance with all relevant questions scoring above benchmark.

N.	Question	% Agree	Difference to benchmark
10.	The governing body understands the institution's key stakeholders and what is material to each stakeholder group in the context of its strategy	100	+10
11.3	Board papers: Address organisational strategic priorities	100	Not available

It is clear that the University Reimagined strategy frames the approach which the Board takes at NTU. There is a delicate balancing act to strike between strategy and finding the time to monitor performance which we feel is well managed. The structure of Board engagement which typically begins with a presentation, followed by a golden thread discussion on the evening before the formal Board meeting the next day means that there is time and space to consider wider strategic questions, whilst also being appraised on performance across the university. Clear attention is also paid to ensuring that explicit links are drawn to items considered by the Board and wider ambitions of the strategy. The pre-Board sessions have also allowed governors to hear from voices beyond NTU, and this should be maintained as universities need to consider the wider policy landscape and emerging context in which universities operate.

Members of the Board articulated an understanding of the University's role relating to stakeholder engagement and local and regional commitments and activities, which was more developed than observed on many other HE governing boards. This was enhanced by those based in the city or region, or with backgrounds in the area.

There are a clear set of 12 high level key performance indicators (KPIs) which the Board monitors and, where appropriate, by relevant committees. A small number of interviewees suggested that whilst the aggregate performance remains central to the Board's attention, it would be helpful for there to be a similar approach to help monitor School performance. Although the School breakdown is integrated in reporting around

matters like the National Student Survey (NSS) or recruitment, some Board members felt it would be good to see how the Schools perform against the institution wide KPIs. This would also provide context for the pre-Board sessions and a more nuanced understanding of the institution.

A positive development reported through the review is greater transparency by the Executive of emerging issues and plans, which affords members of the Board more visibility and enhances trust and engagement.

Suggestion

A – Consider whether School performance should be added alongside the aggregate performance of the university KPIs to offer a greater depth

3.2 Board and committee structure and support

Board members were satisfied with the committee structure that exists at NTU, and this was supported by the review team. Clear attention has been given to the role and function of the committees and attention paid by the Membership and Nominations committee to ensure relevant skills are placed on each committee. There is an effective approach to ensure that the headlines of committees are drawn out when reporting to the full Board, without the need to re-open decisions which have been taken elsewhere. There is an annual reflection on the terms of committee for each committee, as well as some light touch internal reflection on effectiveness.

Although there were a small number of comments that the role and remit of the Strategy, Policy, Finance and Resources Committee (SPFRC) was significant, there was recognition that there was logic in resource allocation being considered alongside strategy and policy to ensure holistic decision making and that due attention was placed on ensuring the headlines from discussions were conveyed to the main Board.

The example of the Governors Annual Survey we saw, provides a valuable review and feedback mechanism for effectiveness of governance arrangements, including structure, roles and behaviours. This was shared with the Board in the Pro-Chancellor's update and will offer a good opportunity for Board members to discuss effectiveness and consider any themes or issues arising. (See also 3.4 below)

At NTU, independent members of the Board gather together around twice per year. This is not common in the higher education sector and risks reinforcing the false sense that all

governors are not equal which they unequivocally are[1]. Although we recognise that independent members value having an opportunity to share perspectives together, we believe it does serve to somewhat isolate staff and student governors. It is of course common outside of higher education for independent board members to meet this way and we should recognise that the independent governors to whom we spoke about this, wanted to retain the meeting as did the Chair and Chair-designate. However we would still recommend that these meetings are disbanded, or if they continue that staff and student governors should be added. We understand why the Vice Chancellor and Chief Operating Officer may continue to be excluded, to ensure that some discussion can happen without the input from management, but this should not exclude students and staff from participating.

Members were highly complimentary about the Chair and his ability to manage meetings in a highly inclusive and professional manner, and this was reflected in our observations where he was able to facilitate discussion on important matters whilst also ensuring that progress was made through the agenda. This was further evidenced by exceptionally strong scores in the survey relating to the Chair (table below). It was also clear that the Chair engaged with the findings and recommendations from the previous effectiveness review (in 2018) and together with the Executive ensured that recommendations were pursued and implemented.

Q in survey	Measure	% Agree Score	% Disagree	% Don't know
35.1	Board meetings are chaired effectively	100%	0%	0%
35.2	Board meetings are chaired in an inclusive manner	94%	6%	0%
36.1	The Chair has an effective relationship with the VC	100%	0%	0%
36.2	The Chair provides an effective link between UET and the Board	100%	0%	0%
36.3	The Chair is up to date on the strategic issues facing the sector and NTU	100%	0%	0%

[1] See CUC Code 1.4

| 36.4 | The Chair brings these insights (on the strategic issues facing the sector and NTU) to Board meetings | **100%** | 0% | 0% |
| 36.5 | The Chair is an effective Ambassador for NTU | **94%** | 0% | 6% |

Board members reported that the support they receive from the Secretariat is outstanding. This is evidenced by the strong scores in the survey (table below), and was reflected in the highly professional and efficient support we received throughout the review. Given the increasing regulatory demands on higher education governing bodies, coupled with a more demanding policy environment, the requirement to ensure Boards are well supported has become more challenging. The team at NTU should be commended for their exceptional support.

N.	Question	% Agree
11.3	Board papers: Address organisational strategic priorities	100
11.1	Board papers: Are of consistently high quality	94
11.2	Board papers: Are made available in a timely fashion	94
11.4	Board papers: Are succinctly presented with clear recommendations where necessary	94

Although Board papers are of a high standard and have high levels of satisfaction (evidenced by the scores in the table above), the presentation of papers could be further strengthened with more comprehensive cover papers, an example of which is provided at Annex Three.

Recommendation

1 – Recognising that all governors are equal, the practice to only bring together independent governors should end or alternatively the student and staff governors should be added.

Suggestion

B – Consider more comprehensive cover papers for committee and board reports.

3.3 Composition, skills and diversity

Clear attention has been placed to ensure there are a broad range of range of skills and expertise on the Board and committees. The skills matrix drives recruitment, with an equal emphasis around ensuring that individuals who are able to strike an appropriate balance between challenge and support as part of a team. There is a mix of experienced non-executive/trustees, together with others who are still in senior executive careers. NTU does request more time from its governors compared to other universities, and in part this is why your effectiveness is as strong as it is; however, it has meant that there are some individuals who have not quite been able to dedicate the volume of time of others. If circumstances change and governors are not able to dedicate sufficient time to the role, this needs to be actively managed and if appropriate governors may need to be asked to stand down.

We noted there is only one student member on the NTU Board. Feedback on strength and contribution of the student members over time is very positive; however, and as noted elsewhere in this report, there can be particular challenges for the student members of a university governing body. We suggest the Board consider increasing student membership to two, as allowed for in the Instrument of Governance, to provide more balance to the perspectives around the table.

Since the previous review, the Board has put in place a Senior Independent Governor (SIG)[2]. This has been reported as a 'good addition' to governance and supporting effectiveness.

Broadly members were happy with the size of the Board with an appreciation that higher education boards tend to be slightly larger than those in other sectors. There was no appetite to make any immediate reduction in Board size (NTU currently has 19 members, the sector average is 18.7[3]), but given there was a general trend toward slightly smaller Boards in the sector this should be kept under review and may be revisited before the next full Board effectiveness evaluation in 2026.

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[2] See CUC Code 5.8

[3] Based on a mapping exercise of the size of English university governing bodies undertaken by Alison Wheaton in 2019

Good progress has been made on Board diversity and this is clearly taken seriously by the Board as a whole and the Membership and Nominations committee specifically. In order to maintain a diverse range of characteristics this will need to continue to be prioritised in future rounds of recruitment. The one characteristic which was identified for possible improvement was age, although securing people of working age is challenging for the reasons of time commitment identified earlier. The outgoing Chair and Deputy Chair noted that their impending departures will contribute to bringing the average down. The value of a range of lived experiences, beyond protected characteristics, to enrich and inform discussions and decisions, is well understood and supported by Board members, a number of whom are alums of the University/founding institutions.

In future years, the Board may wish to consider engaging with the [Governor Apprenticeship Programme](#), to support board diversity across the sector and learning for the Board[4].

As noted, there is an important moment of transition ahead for the Board with the Chair, Deputy Chair and previous Chair of Audit leaving this year. This transition has been managed carefully, both in terms of being clear about which skills will be needed but also to ensure an appropriate handover. A robust and rigorous external recruitment process was undertaken to secure the new Chair. Because Caroline Wayman is already a member of the Board the period of time allocated for handover will be longer than it would need to have been had the successful candidate been external. We have been told there is a carefully organised transition and handover in place with the outgoing Chair beginning to taper down some formal duties from July 2023, and with the Chair-designate beginning to take up responsibilities from summer 2023 including chairing the annual strategy session in September 2023 and formally commencing in role in autumn 2023. Because of the length of the handover, and the wider policy environment, we would suggest keeping the detail of the handover under review.

One skill area which is about to be lost through Board turnover is in relation to higher education policy and also wider Westminster connections, when the Deputy Chair finishes. We also noted limited knowledge of research on the Board. Whilst this is clearly understood by both the Executive and the Membership and Nominations committee, we are recommending it should be prioritised at the next recruitment opportunity.

Recommendation

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[4] See also https://www.abdn.ac.uk/about/strategy-and-governance/governor-apprenticeship-programme-2061.php and https://www.cardiff.ac.uk/about/organisation/governance/council

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2 – That the Chair and Chair-designate keep the detail and timelines of their handover under review as we approach autumn 2023.

3 – Higher education/sector expertise should be prioritised at the next recruitment opportunity to ensure this is not lost from the Board skill mix.

Suggestion

C – Consider the balance of membership of the Board, to ensure sufficient strength in student membership.

3.4   Induction, training and review

The structure of Board meetings at NTU across 2 days with a presentation and golden thread the afternoon and evening prior to a Board meeting the next day, means that governors at NTU are more prominently engaged with their institution and wider sector issues compared to many other universities.

One area however where governors and the secretariat both felt could be improved was the induction which is provided to new governors. Given there is a significant volume of information which needs to be conveyed to new governors (including understanding NTU, the sector more widely and approaches for good governance) it was felt that this would better done over a longer period, in a more bite sized and personally tailored fashion. Some independent members we spoke with would have welcomed a buddy during the early months of their role. In the sector, this has been found to be more important when opportunities for informal interactions were not available due to Covid restrictions, and continues to be especially effective when independent members are not 'local' to the institution.

At present, whilst there are arrangements for governors to check in with the Chair to reflect on individual performance and expectations, it is somewhat ad hoc. In future there should be an annual appraisal and review for all governors (including staff and students) led by the Chair and Deputy Chair who between them can split out Board members. At the end of the review period, a report should be produced for the Board drawing out common themes and topics covered in the review meetings. This report could be combined with the Annual Survey (see 3.2 above), which the secretariat/Chair may wish to modify to take into account the individual performance reviews.

In addition to the annual review of governors, there should be a light touch annual review for the Chair and a more in-depth 360 review in the run up to the end of their 3-year term.

Given that for the majority of the staff and students being on a university board will be their first board appointment, there is an especially steep learning curve. For student governors in particular, often who typically only serve 1 year, it is especially challenging to support them to maximise their contribution. NTU have, over a number of years, nurtured a positive relationship with the students' union which has led to a succession of impressive student governors. However, staff and student governors would benefit from being offered a board mentor who may be able to help further accelerate their development. The mentor could be drawn from one of the more experienced existing Board members or from an individual with extensive higher education governance experience outside of NTU.

Recommendation

4 – Revamp the approach to induction to be structured in more bite sized chunks, over a longer period, more tailored to the needs of the individual governor.

5 – Formalise the process for governor review to be led by the Chair and Deputy Chair.

6 – Undertake a light touch annual review on the performance of the Chair and towards the end of the 3-year term also undertake a 360 review of performance.

Suggestion

D – Offer student and staff members a Board mentor (either drawn from a more experienced Board members or a suitable external individual). Offer buddies to new independent members of the Board, for the first 12 months in role.

3.5 Academic quality and oversight

Generally, the approach to the oversight of academic quality at NTU is very good. There has been a proactive move to ensure that issues relating to learning, teaching and research are woven into the schedule of business for the year, coupled with pre-Board presentations and golden thread discussions.

In the last year or so, the Academic Assurance and Regulation Committee (AARC) has been established as a committee of the Board to provide additional opportunities for more detailed scrutiny of academic performance and compliance with regulation, including specific academic regulation such as the new B3 conditions introduced by the Office for Students. Members of the committee and the Board more widely have been supportive of

the additional reassurance provided by this committee and it ensures that there is now even more attention paid to the oversight of academic quality, standards and regulation.

As is the case in many institutions, academic governance and assurance is an element of the role of the Board that a number of members were less familiar with, and the understanding of the relationships and responsibilities should be made explicit, at induction and in consideration of the various matters that will come before the Board. In due course, this may be particularly important for the NTU London/Confetti project.

Although Board members at NTU do on the whole engage extensively with the institution, there is room for developing a broader awareness of the student experience. To complement and balance information to the Board and committees, you could look to increase/enhance the opportunities for Board members to connect with students and student activities. Examples include, lunch after Board meetings with some invited students, more involvement from students in the pre-Board deep dive presentations, reverse mentoring (of Board members by students).

Suggestion

E – Look to increase/enhance the opportunities for Board members to connect with students. Examples include, lunch after Board meetings with some invited students, more involvement from students in the pre-Board deep dive presentations, reverse mentoring (of Board members by students).

4. Annex One – Summary of Recommendations and Suggestions

Label	Recommendation	Action tracker
1.	Recognising that all governors are equal, the practice to only bring together independent governors should end or alternatively the student and staff governors should be added.	
2.	That the Chair and Chair-designate keep the detail and timelines of their handover under review as we approach autumn 2023.	
3.	Higher education/sector expertise should be prioritised at the next recruitment opportunity to ensure this is not lost from the Board skill mix.	
4.	Revamp the approach to induction to be structured in more bite sized chunks, over a longer period, more tailored to the needs of the individual governor.	
5.	Formalise the process for governor review to be led by the Chair and Deputy Chair.	
6.	Undertake a light touch annual review on the performance of the Chair and towards the end of the 3-year term also undertake a 360 review of performance.	

Label	Suggestion	Action tracker
A.	Consider whether School performance should be added alongside the aggregate performance of the university KPIs to offer a greater depth.	
B.	Consider more comprehensive cover papers for committee and board reports.	
C.	Consider the balance of membership of the board, to ensure sufficient strength in student membership.	
D.	Offer student and staff members a Board mentor (either drawn from a more experienced Board members or a suitable external individual). Offer buddies to new independent members of the Board, for the first 12 months in role.	
E.	Look to increase/enhance the opportunities for Board members to connect with students. Examples include, lunch after Board meetings with some invited students, more involvement from students in the pre Board deep dive presentations, reverse mentoring (of Board members by students).	

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5. Annex Two – Survey and benchmarking

Board members were invited to undertake a benchmarking survey which was completed by 17 members of the Board (1 chair, 12 lay members, 2 staff members, 1 executive member, 1 student member).

The benchmarking survey was amended slightly in 2020, which explains why a benchmark is not available for all questions in the table below.

N.	Question	% Agree	Difference to benchmark
2.	There is a genuine and shared understanding about, and commitment to ensure effective governance by both the governing body and the executive	100	+8
3.	The governing body is effective in regularly reviewing its own performance	100	+22
4.	There are effective arrangements in place for involving staff and students in the governing body	100	+11
6.	Mechanisms are in place to enable the governing body to be assured as to the organisation's financial resilience and overall sustainability	100	+3
7.	Mechanisms are in place to allow the governing body to be assured that the organisation has effective processes in place to enable the management of risk	100	+10
9.	The respective responsibilities and relative accountabilities of the governing body and academic board/Council/Senate are appropriate, clearly defined and mutually understood	100	+13
10.	The governing body understands the institution's key stakeholders and what is material to each stakeholder group in the context of its strategy	100	+10
11.3	Board papers: Address organisational strategic priorities	100	

13.	The arrangements for the governing body and its committees (such as number, timing, location, duration and administration of meetings) are regularly reviewed and assessed to ensure they allow for adequate discussion and attendance, and that they focus their attention on the important things	100	
14.1	Governing body membership: Reflects the diversity of the organisation (in terms of gender, age and ethnicity)	100	+38
14.4	Governing body membership: Has an appropriate range of skills and experience	100	+10
15.	Discussions at and decisions made by the governing body are informed and challenged by different perspectives and ideas	100	+11
20.	Governing body members' skills and experience are effectively utilised in making decisions and are adding value to the organisation	100	
16.	The governing body demonstrates an understanding of and commitment to the organisation's vision, ethos and culture	100	+5
23.	The governing body is well informed about likely changes in the external environment and any major implications for governance that may result	100	+7
25.	Working relationships between governing body members and the organisation's executive are transparent and effective	100	+10
26.1	The role of the governing body in providing constructive challenge is: Understood and accepted by both members and the executive	100	+9
26.2	The role of the governing body in providing constructive challenge is: . Undertaken effectively	100	+11
34.1	The approach, style and contribution of the head of the organisation supports effective governing body meetings	100	
34.2	The approach, style and contribution of the governing body secretariat supports effective governing body meetings	100	

34.4	All governing body members understand and respect the distinction between governance and management	100	
35.1	Board meetings are chaired effectively	100	
36.1	The Chair has an effective relationship with the VC	100	
36.2	The Chair provides an effect link between UET and the Board	100	
36.3	The Chair is up to date on the strategic issues facing the sector and NTU	100	
36.4	The Chair brings these insights (on the strategic issues facing the sector and NTU) to Board meetings	100	
30.1	the governing body has a positive overall impact on the institution's: Performance	100	+9
5.	Mechanisms are in place for the governing body to be confident in the processes for maintaining the quality and standards of teaching and learning and the standard of awards	94	+9
8.	The scheme of delegation is clear and well understood and applied consistently and correctly	94	+10
11.1	Board papers: Are of consistently high quality	94	
11.2	Board papers: . Are made available in a timely fashion	94	
11.4	Board papers: Are succinctly presented with clear recommendations where necessary	94	
12.	The committee structure and associated accountabilities are clear, understood, fit for purpose and support governance effectiveness	94	
14.	The governing body has an effective relationship with the senate or academic board to the extent that both bodies understand and respect the role of the other, communicate clearly with each other, and work together to support the sustainability and reputation of the organisation	94	

14.2	Governing body membership: Reflects the organisation's key stakeholders	94	+18
14.3	Governing body membership: Provides a range of approaches to problem solving	94	+12
17.	The governing body displays the values, personal qualities, and commitment necessary for the effective stewardship of the organisation	94	-2
20.	The governing body receives the clear and prompt information it needs to be fully informed about its legal and regulatory responsibilities. This includes, but is not limited to, the OFS (where relevant)	94	+2
21.	The governing body communicates transparently and effectively with its stakeholders	94	+13
22.	The governing body is well equipped to support the organisation's long term strategic plans	94	+5
24.	Governing body meetings and business are conducted and chaired in a way which encourages the active involvement of all members in discussions and decision-making	94	+3
27.	The Chair actively establishes, promotes and sustains a governance culture that supports effective stewardship of the organisation	94	+4
33.	Chairs of committees actively establish, promote and sustain a governance culture that supports effective stewardship of the organisation	94	
35.2	Board meetings are chaired in an inclusive manner	94	
36.5	The Chair is an effective Ambassador for NTU	94	
28.	The governing body ensures that planned outcomes agreed as part of the strategic plan are being regularly monitored, assessed and reported	94	+5
29.	The governing body ensures that defined quality levels for the student experience are being achieved	94	+13
30.2	The governing body has a positive overall impact on the institution's: Resilience	94	

			+2
30.3	The governing body has a positive overall impact on the institution's: Reputation	94	+6
32.	Effective mechanisms are in place for ensuring there is assurance of equality diversity and inclusion matters for staff and students, across the governing body	94	+8
33.	The governing body tests the institution's development and delivery of its equality, diversity and inclusion objectives	94	+8
34.	The governing body receives sufficient information to test the equality, diversity and inclusion implications of policy, approaches and initiatives that it decides upon	94	+11
35.	All governing body members demonstrate up-to-date knowledge and confidence in discussions of equality, diversity and inclusion matters	94	+13
12.	Effective reviews of governing body members' individual contributions are conducted periodically	88	+32
13.1	The induction of governing body members is: Effectively managed	88	+9
13.2	The induction of governing body members is: Relevant	88	+9
19.	The governing body has agreed performance measures incorporating leading and lagging indicators against which it receives assurance of institutional performance against the strategic plan	88	+9
34.3	All governing body members are actively involved in discussions	88	
31.	The governing body ensures that external and internal stakeholders have a high degree of confidence in the organisation	88	+9
11.	Recruitment practices to fill board vacancies are effective, transparent, and enable a diverse pool of candidates to be appointed	82	+3

18.	The governing body ensures that effective performance reviews of the head of institution are undertaken	82	+17
13.4	The induction of governing body members is: Tailored to individual need	76	+21
13.3	The induction of governing body members is: Periodically evaluated	47	+6

6. Annex Three – Example Cover Papers

Title	
Purpose	*To provide a proposal/information/data/update/ assurance/report/other*
Confidentiality/other rating	
Strategic relevance	*This document relates to x element of the strategy/objectives/aims*
Regulatory or other compliance considerations	*The document identifies a requirement /condition/compliance/other in relation to relevant conditions*
EDI Impact	*Supports EDI strategy/compliance/best practice OR risk/issue*
Links to performance framework	*The document provides information for KPI no. x*
Risk and opportunities, including link to risk register	*Generic risks, i.e., financial, reputational, regulatory, or specific in relation to risk register or opportunity aligned to e.g., strategy*
Resource implications	*Financial, people, infrastructure and other resources*
Sustainability impacts	*Institutional/environmental/other*
Context – route to this Committee/Board	*Where has the paper been before coming to this meeting, for example, consultation with x and y and via Executive/SMT, X Committee*
Outcome/Action required	*To note/comment/review/endorse/approve*
Brief summary of key points	*Executive summary of the document and note areas for discussion/debate by members*

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