

NEWCASTLE UNIVERSITY

GOVERNANCE, MANAGEMENT AND ADMINISTRATIVE STRUCTURES

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1. SENIOR STATUTORY BODIES

The University of Newcastle upon Tyne came into separate existence on 1 August 1963, as a result of the passing of the Universities of Durham and Newcastle upon Tyne Act. The constitutional framework within which the University operates is based upon its Statutes (available at <http://www.ncl.ac.uk/regulations/docs/statutes.pdf>) which were revised most recently in 2005.

The statutory bodies are the Council, the Senate, the Court, the Academic Board, the Boards of Faculty and Convocation. The structure of governance of the University follows the usual pattern for English universities established before 1992, although there are one or two noteworthy features. The Council, which is of modest size, has no representative members, and the Senate, a small body by national comparisons, is almost entirely elected and does not consist of all the senior members of the academic staff.

COUNCIL

Responsibilities of Council

Council is the supreme governing body of the University. It is specifically charged with the management and control of the University's finances and property and with reviewing the work of the University. The Statutes state that Council shall have the custody, control and disposition of all the property and finance of the University and that, subject to the powers of Senate, Council has overall responsibility for advancing the University's interests, maintaining its efficiency, encouraging teaching, learning and research and providing facilities for the recreation and well-being of students.

The Council is responsible for ensuring that the University complies with the terms and conditions of the Financial Memorandum in accordance with which the Higher Education Funding Council for England (HEFCE) makes financial allocations to the University. The Memorandum in effect requires the Council to ensure prudent and proper financial and general management of the University.

Legislation requires all members to declare their personal interests if they are associated, for example, with private sector companies involved in the development of University projects. This Register of Interests is updated annually and may be consulted by arrangement with the Governance Office in the University Executive Office.

In accordance with the guidance to universities from the Committee of University Chairmen in its *Guide for Members of HE Governing Bodies in the UK*, published in 2004, the University has adopted a Statement of Primary Responsibilities on the role of Council. This is attached as Appendix I.

Membership

Council is a small body with no 'representative' category of membership. It is chaired by a lay person, ie someone who is not a member of the salaried staff or a student of the University. There are currently 24 members – 16 lay members, 2 students and 6 University staff.

The Chairman and lay members of Council, who by statute form the majority of the membership, have a vital part to play in the governance of the University and bring a knowledge and experience of particular value, given the nature of the environment in which universities now work. They have always figured prominently in the University's affairs as members of Council itself, as chairmen or members of senior University committees (including Finance Committee, Estate Committee and Audit Committee) and as advisers to the administration and academic schools in a variety of ways.

Operation

Council generally meets six times per year and most meetings include the consideration of a major strategic item. Council reports to Senate on any items with academic implications and to

HEFCE on such matters as the Corporate Planning Statement, the Financial Forecasts and the Financial Statements.

The Minutes of Council meetings are published on the University's website or are available in hard copy on request from the Governance Office of the University Executive Office.

SENATE

Senate is, by statute, the supreme governing and executive body of the University in all academic matters. It normally meets six times per year. Subject to the powers reserved to Court and Council, it is responsible for taking such measures and acting in such a manner as is best calculated to promote the interests of the University as a place of education, learning and research. Its detailed responsibilities include the regulation and control of teaching; the encouragement of research; academic staff training; and the conduct of examinations. Senate has delegated many of its responsibilities in curricular and teaching matters to the University Teaching and Learning Committee. (Appendix II sets out the formal powers and responsibilities of Senate.)

The membership of Senate, which at 42 is small by national standards, is largely elected or appointed and comprises: 11 *ex officio* members (including three students), nine members appointed by the Boards of Faculty, 18 members elected from the University overall, one other student and up to three co-opted members.

Senate reports to Council on the academic implications of, for example, financial, staff, student or property issues.

COURT

Court normally meets twice a year. The role of Court was reviewed recently and it was agreed that its prime purpose should be to provide a channel of communication between the University and the community in Newcastle, the North East of England, and beyond, informing different constituencies of the work of the University, and the University of the needs of these constituencies which were relevant to its activities. Its statutory role is to advise upon and further the work of the University. Its responsibilities include the discussion of any matters relevant to the interests and well-being of the University, the approval of changes to the statutes for submission to the Privy Council, making regulations for the custody and use of the common seal of the University and the appointment of half of the lay membership of Council's Nominations Committee.

Court receives reports from the Vice-Chancellor and generally receives at each meeting a presentation on an aspect of the University's core business which provides a useful forum for discussion. Court may make recommendations to Senate and Council on any matters affecting the University or direct its concerns on issues to national organisations, the government etc.

The maximum membership of Court is 61 and comprises 13 principal officers of the University, 7 members of University staff, 1 student member and between 30 and 40 lay co-opted members.

ACADEMIC BOARD

The membership of Academic Board includes all staff on Grade F and above, and all part-time and hourly-paid teaching staff. The Board is a non-executive body and it may discuss and declare opinions on any matters affecting the University and enter into communication with Senate and Council on such matters. Members are given the opportunity to raise any question with the Vice-Chancellor who chairs the meetings of Academic Board, which are held normally once per year.

CONVOCATION

Convocation is a statutory body consisting of the Vice-Chancellor, the Deputy Vice-Chancellor (if one is appointed), the Pro-Vice-Chancellors, all alumni of the University and all its

predecessor organisations, and five elected academic staff. The Chairman, and Deputy Chairman if there is one, are elected from among the members but must not be members of the salaried staff of the University.

Convocation is responsible for appointing the Chancellor on the nomination of Court and Senate sitting in joint session and is involved in the approval of proposed changes to the statutes. It may also discuss, and if it thinks fit, make representations on any matter whatsoever relating to the University.

An annual meeting of Convocation is held at which the Vice-Chancellor makes a report on University affairs and members are given the opportunity to raise matters of concern. Details of meetings and other information are available on the University's website at: <http://www.ncl.ac.uk/alumni/involved/strategic/convocation/>

2. COMMITTEE STRUCTURE

The statutory bodies may establish committees as they think fit and these committees may be revised or dissolved in response to changing needs. The University's committee structure contributes to meeting institutional aims by providing the means for consultation and comment in all aspects of University business. Council, Senate, Faculties/Boards of Faculty have, in accordance with this principle, delegated major responsibilities to committees, subject to reporting arrangements as appropriate. Whilst each committee or body has a specific remit, which may include an advisory and/or decision-making role, there is generally wider consultation to ensure an integrated and comprehensive decision-making process. This is particularly true in relation to major policy matters, for example the formulation of the University's Business Plan and Annual Operating Statements, which involves an iterative process of discussions at all levels.

Executive Board comprises the senior management team of the University. It has central oversight of the day-to-day business of the University. It meets every week.

Executive Board's remit is to exercise an integrated overview of the University's policies and resources through the implementation of the strategic plan and operating statement, ensure a prompt and strongly co-ordinated approach to the evaluation of academic and business opportunities, and appraise and prioritise proposals for major new initiatives. It makes recommendations to Council on the University's strategy. It monitors the University's key performance indicators and financial performance against its strategic objectives. It has ownership of and management responsibility for key risks. With regard to budgetary responsibility, it reviews the use of resources and financial performance of all budgetary units, approves the annual financial allocations to all units, recommends the framework, timetable and format for the annual planning and budgetary exercise to Senate and Council and reviews the mechanisms for the internal allocation of resources for report to Council.

Executive Board is a joint committee of Senate and Council. It reports to Senate (in particular on the recommendation of appointments to vacancies for Senate-appointed members on committees) and Council, as appropriate.

3. ACADEMIC STRUCTURES

The primary aim of the restructuring review of 2001-02 was to reposition the University to be in the top 10 UK universities. The critical need was to achieve financial headroom through enhanced income generation to support the University's strategic objectives and future academic development. The organisational structure of the University underwent a critical evaluation and creative solutions were sought to achieve a structure which would facilitate moving the institution forward.

FACULTIES

Faculties are defined as a group of schools in which teaching and research are conducted in a number of subjects and in which degrees and other qualifications may be conferred. There are now three Faculties, each led by a Pro-Vice-Chancellor, as follows:

- Humanities and Social Sciences (<http://www.ncl.ac.uk/subjects/schools/index/faculty-fhas/subject-show>)
- Medical Sciences (<http://www.ncl.ac.uk/subjects/schools/index/faculty-fmed/subject-show>)
- Science, Agriculture and Engineering (<http://www.ncl.ac.uk/subjects/schools/index/faculty-sfac/subject-show>)

Each Faculty was given the opportunity to develop governance structures appropriate to its particular needs and situation. Each one has a senior body reporting to the University's Executive Board. In addition, there are committees responsible for teaching and learning, research and the graduate schools, a board of faculty and a promotions committee. They may also appoint other committees with specific remits. Faculty Meetings serve as a forum for the discussion of University policy matters relating to the Faculty. In order to facilitate the progress of business many of the board's responsibilities have been delegated to faculty committees. Curricular and teaching matters, such as the academic and financial review of programmes, have been delegated to the faculty teaching and learning committee. Heads of school and directors of University Research Institutes are deemed equivalent for the purpose of membership on relevant faculty governance bodies.

Three faculty-based graduate schools were created to enhance the graduate profile of the University: to support growth in research student numbers; to create an environment in which research students are treated as young professionals and have clearly-managed and well-supported schemes for taught programme elements, CPD and training; be responsible for, among other things, Masters' and Continuing Professional Development programmes, all doctoral programmes, student admissions, student progression and developing new initiatives/programmes.

SCHOOLS

The academic school is the basic unit for teaching, research and resource management, embodying a coherent area of academic activity. The head of school is the budget holder and is expected to ensure the quality of teaching and research in the school and the efficient use of resources. The flexibility of structures such as institutes, centres and multi-disciplinary research groups ensure that school boundaries do not inhibit research collaboration. Headships of academic schools are normally made for a period of five years and may be renewed.

UNIVERSITY RESEARCH INSTITUTES

University Research Institutes are primarily focused around multi-disciplinary activities and should provide opportunities for interdisciplinary research, enabling research activities to take place that could not occur in any one school, see <http://www.ncl.ac.uk/subjects/research/>.

4. ACADEMIC AND ADMINISTRATIVE SUPPORT STRUCTURES

The academic and administrative support services are under the overall management of a unitary Registrar.

Each Faculty has an overarching head of administration who leads the faculty support team. The head of administration is assisted by dedicated management accounting, human resources and contract support functions, together with administrative support for the graduate schools. All members have a clear area of expertise and combine a University monitoring/regulating

role with a faculty role which demands a strong attachment to the Faculty and a thorough knowledge and appreciation of its activities and objectives.

FINANCIAL PLANNING AND MANAGEMENT

At the highest level Executive Board is responsible for the annual allocation of resources to all faculties and non-faculty services.

Faculties

Faculties have formal financial accountability and management structures. The Pro-Vice-Chancellor for the Faculty, advised by the other members of the relevant faculty body, is annually accountable to Executive Board for the distribution of the Faculty's allocation to its budget centres. In turn, heads of school/institutes are accountable to the Pro-Vice-Chancellor for the use of the funds allocated to them. Faculty allocation mechanisms vary in detail although all allocate a faculty top-slice which may be used, for example, to meet certain fixed costs or used as a strategic fund. Schools/institutes then receive a budget generally based on the formula entitlement but perhaps moderated to assist those which need particular support. Faculty support teams monitor their Faculty allocations to compare them against Faculty and school plans and for financial viability.

Academic and Administrative Support Services

The academic and administrative support services have a devolved budget, which provides for all staff and non-pay expenditure.

Financial devolution serves to illustrate the increasing managerial responsibilities which Pro-Vice-Chancellors and heads of both academic and non-academic units are required to exercise as budget-holders, together with their corresponding need for management support and training which the University is endeavouring to meet.

5. STUDENT PARTICIPATION

The University has a long tradition of formal and informal participation by students in many aspects of the government of the University. Council and Senate both have student membership and there are student members on many other central University committees. Each school has a staff/student committee established to take proper account of the views of students in relation to all matters affecting their interests including the organisation and effectiveness of teaching and proposals to introduce or modify degree programmes. There is also student representation on all boards of studies.

6. THE UNION SOCIETY

The University's block grant from the HEFCE includes an (unspecified) element for the funding of the Union Society, of which all students are eligible to become members. The University determines the annual subvention after discussion with Union Society officers and may decide to earmark a certain proportion for specific items.

The financial operation of the Union Society, the administration of the building and the day-to-day running of all activities and facilities are the responsibility of the Union Society itself. The Society helps to administer and finance a wide range of student societies including the Athletic Union which promotes sport in the University and is an integral part of the organisation.

7. PRINCIPAL OFFICERS

The principal officers assist with the governance of the University. The Visitor to the University is the Queen. The remaining principal officers, listed below, comprise both members of the University staff and non-University officers appointed by the University's statutory bodies. Photographs and further information concerning these officers are available at <http://www.ncl.ac.uk/about/peoplestructures/staff/officers.htm>

THE CHANCELLOR

The Chancellor is the head of the University and is appointed for life (or until his resignation) by Convocation on the nomination of Court and Senate sitting in joint session. By tradition, the Chancellor takes no actual part in the daily affairs of the University, though he may be consulted and offer advice on certain important matters. The Chancellor presides at all meetings of Court when present and confers degrees at certain degree Congregations.

THE CHAIRMAN OF COUNCIL

The Chairman of Council holds the honorary title of Pro-Chancellor by virtue of holding that office. The Chairman of Council is concerned both formally and informally with all the major financial and strategic decisions of the University and works closely with the Vice-Chancellor and other senior officers on broad issues of policy and development. The Chairman has delegated authority to take decisions on behalf of Council which are then reported formally to Council. The Chairman is *ex officio* a member of Finance Committee.

THE VICE-CHAIRMAN OF COUNCIL

The Vice-Chairman of Council acts for the Chairman in his/her absence.

THE HONORARY TREASURER

The Honorary Treasurer is *ex officio* a member of Council and Chairman of the Finance Committee. The Honorary Treasurer's prime function is to ensure that the University pursues a prudent financial policy and to report as necessary to Council. The Honorary Treasurer may ask the Vice-Chancellor and the Executive Director of Finance for any necessary information just as they feel free to consult and seek advice from the Honorary Treasurer on particular questions.

THE VICE-CHANCELLOR

The Vice-Chancellor is the chief academic and administrative officer of the University with responsibility under the statutes for maintaining and promoting the efficiency and good order of the University. He is *ex officio* Chairman of Senate and many other major committees and has delegated authority to take decisions on behalf of Senate which are then reported formally to Senate. He works closely with the Chairman and lay members of Council and has traditionally been a strong voice on Council. The Vice-Chancellor is regarded from within the University and in external relations as the *de facto* head of the institution. The planning and resource allocation mechanisms, with the Vice-Chancellor as Chairman of Executive Board, emphasise this position still further.

PRO-VICE-CHANCELLORS

The Vice-Chancellor is assisted by four Pro-Vice-Chancellors. Currently these are:

- Pro-Vice-Chancellor (Teaching and Learning)
- Pro-Vice-Chancellor (Research and Innovation)
- Pro-Vice-Chancellor (Planning and Resources)
- Pro-Vice-Chancellor (Engagement)

They are academic staff and as chairmen of a number of the University's major committees play a leading role, which is essentially full-time, in many important aspects of the University's business such as academic policy and planning, research, teaching and quality matters,

international relations, regional development and safety. They are normally appointed for a period of three years and may be re-appointed.

PRO-VICE-CHANCELLORS (PROVOSTS)

Each Faculty has a Pro-Vice-Chancellor who acts as the executive head of their particular Faculty. They are appointed, normally for a period of three years although reappointment is possible, by Council after consultation with Senate, following consideration of a report from the Committee. Pro-Vice-Chancellors are charged with ensuring the efficient conduct of their Faculty's affairs.

THE REGISTRAR

The Registrar is a unitary post with explicit responsibility, to Council through the Vice-Chancellor, for co-ordinating all elements of the University's support services. He is secretary to Court, Council and Senate, and his staff service many other Senate and Council committees and the main faculty committees. The Director of Estates is responsible to Council through the Registrar for the management of the estate.

THE EXECUTIVE DIRECTOR OF FINANCE

The Executive Director of Finance is responsible to Council through the Vice-Chancellor for co-ordinating the University's financial services.

THE EXECUTIVE DIRECTOR OF HUMAN RESOURCES

The Executive Director of Human Resources is responsible to Council through the Vice-Chancellor for overseeing the University's Human Resources arrangements.

Governance Office
September 2009

APPENDIX I

Council: Statement of Primary Responsibilities

The Council is the supreme governing body of the University, subject to the provisions of the University's Statutes. The primary responsibilities of the Council are as follows.

GENERAL

1. To be responsible for ensuring the effective management of the University and to take all final decisions on matters of fundamental concern, being decisions that have not been delegated under or in accordance with 7 below.
2. To safeguard the good name and values of the University.
3. To contribute to the development of and approve the mission and strategic vision of the University, long-term academic and business plans and key performance indicators, and to ensure that these meet the interests of stakeholders.
4. Subject to the powers of the Senate, to take such steps as it thinks proper to advance the interests of the University, maintain its efficiency, and encourage teaching, the pursuit of learning and the conduct of research within it.
5. To ensure that processes are in place to monitor and evaluate the performance and effectiveness of the University against the plans and approved key performance indicators, which should be, where possible and appropriate, benchmarked against other comparable institutions.
6. To establish processes to monitor and evaluate the performance and effectiveness of the Council itself.
7. To delegate authority to the Vice-Chancellor, as chief executive, for the academic, corporate, financial, estate and personnel management of the University, whilst recognising the additional accountability of the Vice-Chancellor to the Higher Education Funding Council for England. The Council scheme of delegation shall be kept under regular review.
8. To make such provision as it thinks fit for the general welfare of students, where appropriate through the Senate.
9. To conduct its business in accordance with best practice in higher education corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life embracing selflessness, integrity, objectivity, accountability, openness, honesty and leadership.
10. To ensure procedures are in place for handling internal grievances, whistle-blowing and for managing conflicts of interest.

FINANCE

11. To be the principal financial and business authority of the University, to ensure that proper books of account are kept, to approve the annual budget and financial statements, and to have overall responsibility for the University's assets, property and estate.
12. To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment.
13. As part of the financial governance role:
 - To ensure that funds from the Higher Education Funding Council for England (HEFCE) are used only in accordance with the Further and Higher Education Act 1992, the

Model Financial Memorandum between the HEFCE and institutions, and any other conditions that the HEFCE may from time to time prescribe;

- To ensure that reasonable discretion is exercised in the use of public funds and account taken of any relevant guidance on accountability, sustainability or propriety;
- To be responsible for delivering value for money from public funds, taking into account guidance on good practice.

EMPLOYMENT

14. To appoint, in accordance with the relevant Statutes:

- The vice-chancellor and to put in place suitable arrangements for monitoring his/her performance;
- A registrar, who is also secretary to the Council, ensuring that there is an appropriate separation in the lines of accountability;
- A deputy vice-chancellor;
- One or more pro-vice-chancellors;
- The pro-vice-chancellors/provosts;

and in each case to determine the conditions of appointment.

15. To be the employing authority for all staff in the University. This includes ultimate responsibility for:

- Approving the human resources strategy;
- Determining the conditions of appointment of the staff of the University, after consultation with the Senate when required;
- The welfare of University staff;
- Establishing, suspending or abolishing any post in the University, except those posts specifically created by the Statutes, after consultation with the Senate;
- Appointing members of staff of the University, on the recommendation of the Senate when required.

COMPLIANCE

16. To be the University's legal authority and, as such, to ensure that systems are in place for meeting all of its legal obligations, including those which relate to health and safety and equal opportunities and which arise from contracts and other legal commitments made in its name.

17. To ensure that the University complies with any wishes attached to any property, legacy, endowment, bequest or gift in support of the work and welfare of the University.

18. To ensure that the University's constitution is followed at all times and that appropriate advice is available to enable this to happen.

Approved by Council, 18 July 2005, Minute 88

APPENDIX II

(Extract from the University Statutes)

Powers of the Senate

28. The senate shall be the supreme governing and executive body of the University in all academic matters and shall, subject to the powers reserved to the court and the council by these statutes, take such measures and act in such manner as shall appear to it best calculated to promote the interests of the University as a place of education, learning and research.

29. The powers of the senate shall include the following:

- (1) to regulate and control, in accordance with procedures approved by it, all teaching, courses of study and examinations within the University, and the conditions qualifying for admission to the various titles, degrees and other distinctions offered by the University;
- (2) to act jointly with the council to nominate the vice-chancellor for appointment by the council in accordance with the provisions of statute 9;
- (3) except where other provision is made in these statutes, to recommend to the council the appointment of all academic and research staff of the University;
- (4) to satisfy itself that the duties and conditions of service of all members of the academic staff are satisfactory and to make representations to the council;
- (5) to make recommendations to the council concerning all University fees;
- (6) to determine the dates when terms shall begin and end;
- (7) to regulate the discipline of the University, and to determine in what manner disciplinary powers shall be exercised;
- (8) to regulate the use of academic dress in the University;
- (9) to take such steps as it thinks proper for supervising organizations of students;
- (10) to make recommendations to the council on any matter of interest to the University;
- (11) to discuss and declare an opinion on any academic matter;
- (12) except as otherwise provided, to appoint representatives of the University on other bodies;
- (13) to exercise such powers as are or may be conferred upon it elsewhere in these statutes.