

Governance Effectiveness Framework 2020

Briefing document

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20/11/2020

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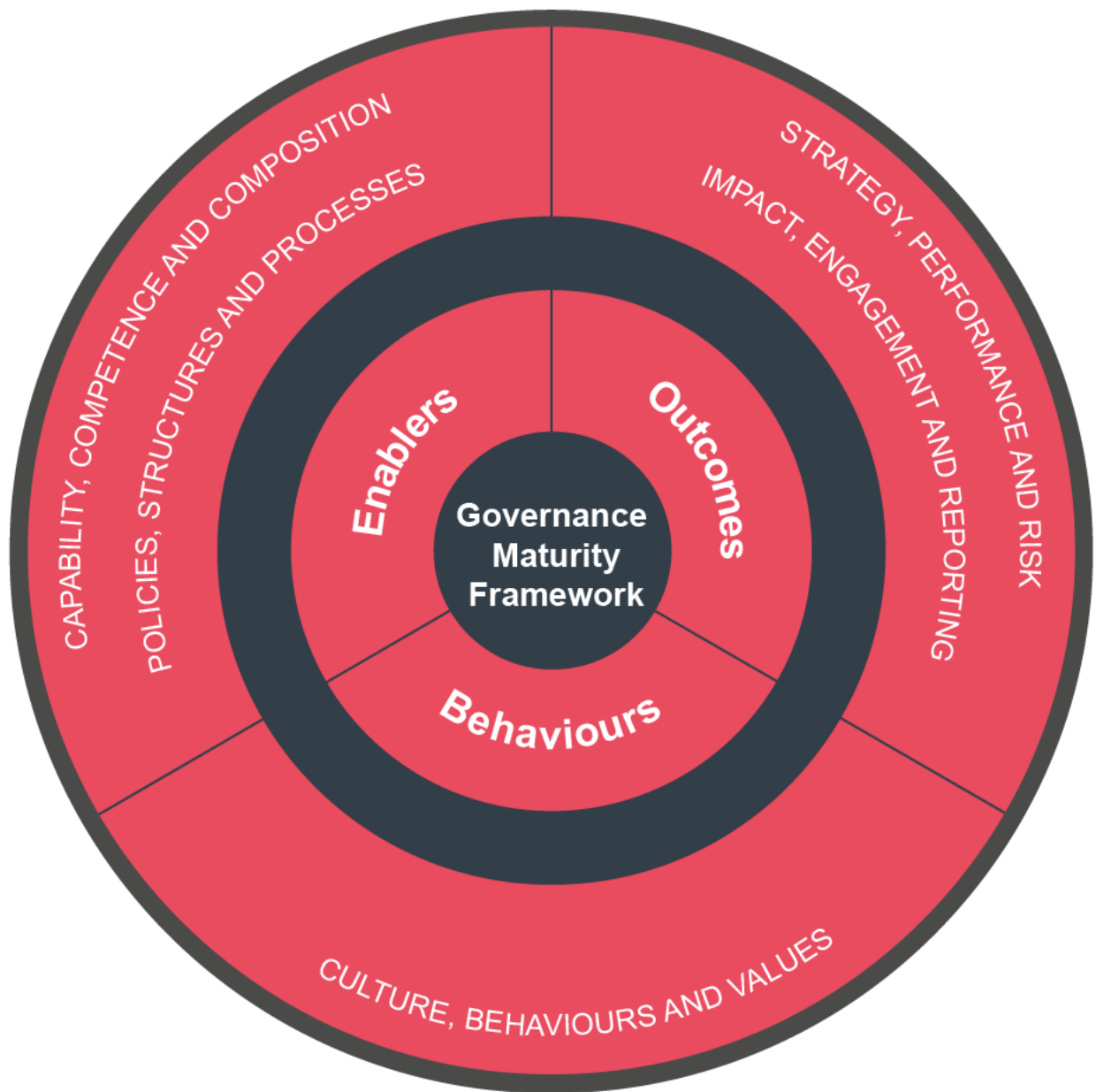


Figure 1. Advance HE Governance Effectiveness Framework 2020

1. Introduction

1.1 Overview

All members of Advance HE are able to make use of this framework to assess their governance effectiveness. This may be part of an institutionally-managed self-review process or as recommended, through an independent governance effectiveness review (GER) undertaken by Advance HE that would enable a genuine, impartial view of effectiveness coupled with wider external insights and benchmarking.

The higher education sector is diverse and the 2020 Framework for supporting governing body effectiveness reviews has been developed with this in mind.

Every provider's governing body effectiveness review will be different to that of their peers, and may also vary from their own past reviews. Individual governing bodies have to consider and decide what type of governing body they aspire to be and will judge their own effectiveness through reviews in this light. Although there is no one standardised approach this Framework sets out the key factors for consideration of higher education governing body effectiveness, and offers a tool to support providers when they are conducting their effectiveness reviews.

1.2 Types of GERs

The 2020 CUC Code states that institutions applying the code... *'must conduct a regular, full and robust review of governance effectiveness with some degree of independent input. This will provide assurance to internal and external stakeholders and allow a mechanism to focus on improvement and chart progress towards achieving any outstanding actions arising from the last effectiveness review. It is recommended this review takes place every three years'*.

In practice therefore Advance HE's involvement in GERs can span a variety of forms all of which can involve a degree of tailoring. The main types are:

- + **Full Review:** comprehensive independently conducted review involving all key methodological elements that is documentary review, a survey including comparator benchmarking, interviews and observation of a meeting of the Governing Body and all key committees. This may also include one or more group interviews with key stakeholders such as executive staff and or student representatives. It can also encompass one or more workshops that may both explore key issues and or emerging findings.
- + **Academic governance review:** This involves a focussed and holistic consideration of academic governance effectiveness and will examine much more closely the work of the academic board/Senate/equivalent its various committees and the relationship with and dynamics between these structures and the full governing body.

- + **Facilitated:** This will have some of the features of the full review but typically involves Advance HE providing expert input into a review process managed by the institution itself. Our involvement may be limited conducting the survey/interpreting the results, a few key interviews and the provision of advice and input to a university chaired review group (usually comprising members of the governance and nominations committee).
- + **E Survey:** 'light touch' and a minimalist approach, involving the use of the short form survey without additional questions with time included for the lead consultant to debrief the institution usually by means of a workshop / presentation / feedback session held in the course of board strategy / away day event.
- + **Workshop / Developmental:** where there is no attempt to conduct any form of review, typically there are discussions concerning issues of interest to the university and a tailored workshop is devised often (as above) scheduled as part of the governing body's away day so as to provide external stimulus and challenge in examining (for example) key 'environmental' issues impacting upon HE (typically through the lens of both opportunity and threat) and or the main topics other governing bodies are considering (i.e. is this governing body 'talking about the right issues').

1.3 Review resources

There are multiple resources that are of value when undertaking an effectiveness review. These, at the time of writing, include the following published items:

On Governance, The CUC HE code of Governance <https://www.universitychairs.ac.uk/wp-content/uploads/2020/09/CUC-HE-Code-of-Governance-publication-final.pdf> [2020]

The Scottish Code of HE Governance <http://www.scottishuniversitygovernance.ac.uk/wp-content/uploads/2017/10/Scot-Code-for-HE-governance.pdf> [2017]

Advance HE resources including Getting to Grips Guides and IPNs: <https://www.advance-he.ac.uk/guidance/governance/good-governance>

On board diversity:

Diversity of UK GB's: <https://www.advance-he.ac.uk/knowledge-hub/diversity-governors-higher-education>

Board recruitment framework: <https://www.advance-he.ac.uk/knowledge-hub/board-recruitment-framework>

Diversity principles framework: <https://www.advance-he.ac.uk/knowledge-hub/diversity-principles-framework-0>

Board vacancies portal: <https://www.advance-he.ac.uk/guidance/governance/board-diversification#board-vacancies-portal>

On senior staff remuneration and the work of the RemCo: <https://www.universitychairs.ac.uk/wp-content/uploads/2018/06/HE-Remuneration-Code.pdf>

On Audit: HE Committees code of practice: <https://www.universitychairs.ac.uk/wp-content/uploads/2020/06/CUC-HE-Audit-Committees-Code-of-Practice-doc-FINAL-260520.pdf>

1.4 Regulatory compliance

A review of maturity and effectiveness making use of this framework is **not the same** as an assessment regarding regulatory compliance against specified requirements. Only the regulator can and should form a view about compliance with its own requirements especially when approaches are 'principles' rather than 'rules' based, as is the case in England and Australia. Regulators often make highly-nuanced judgements taking into account factors which are unlikely to be part of an effectiveness review, such as an in-depth focus on student outcomes or financial sustainability, timely progress or engagement over certain issues with the regulator. While a governance effectiveness review can and should identify where areas may need to be addressed and governance strengthened in order to create the conditions for compliance, it cannot provide a guarantee of regulatory compliance.

1.5 Assessing effectiveness

The extent to which a governing body 'adds value' lies at the heart of any review of effectiveness. However, the value added by a governing body is not synonymous with the performance of the institution itself; that would be to place the totality of the institution's accomplishments at the door of the governing body. It would also call into question what value the governing body is bringing over and above that provided by the staff and students.

Some outcomes should be relatively generic and uncontentious, for example the governing body ensuring institutional financial sustainability and that planned outcomes agreed as part of the strategic plan are regularly monitored, assessed and reported.

These examples place an emphasis upon the assurance role of the governing body. There will also always be a range of other assurance related outcomes specific to a provider's context, for example as regards major capital investment programmes and or international partnerships and ventures.

Activist governing bodies not only discharge their role as regards assurance but also materially shape the institution's future strategy and direction of travel. They seek to have a positive overall impact on the institution's performance, resilience and reputation such that external and internal stakeholders have a high degree of confidence in the organisation. They offer value to the executive through **informed externality**, that combines critical insight, and relevant expertise harnessed in the interests of the University.

It is therefore evident that prior to embarking on an effectiveness review governing bodies should consider what type of governing body they wish to be as this will inform the emphasis of the review and what criteria they use to assess their level of effectiveness against. They should consider where on a spectrum they wish to sit as a governing body, for instance whether their focus is on accountability or with more of an emphasis on strategic engagement (challenge) or on being value-adding.

2. The 2020 effectiveness framework

2.1 Context

The Advance HE governance effectiveness framework and supporting toolkit has been revised during 2020 in order to respond to a range of developments relevant to higher education governance including:

- + Updated commonly-used codes of practice such as the HE Code of Governance (CUC, 2020) and the UK Corporate Code of Governance (2018), the Scottish Code of Good Higher Education Governance (2017) and the Charity Code of Governance (2017)
- + Relevant reviews such as the Camm review of governance in Wales HE (2020) and lessons learned from high profile university governance matters in recent years.
- + In-nation regulatory developments such as the 2018 Regulatory Framework for Higher Education and the creation of the Office for Students (England)
- + Emerging trends and themes in global good governance practice across sectors, and HE developments.

The 2020 framework supports:

- + A renewed focus on the need for inclusive board culture and behaviours to enable appropriate challenge, assurance and decision making
- + The vital, urgent importance of board diversity – of all forms - to effect sound strategy, inclusive leadership and stakeholder confidence
- + A higher degree of global governmental and regulatory interest in institutions critical to social mobility and successful economies, requiring new ways of evidencing impact and effectiveness (as well as navigating compliance regimes)
- + The move towards a broader concept of understanding and measuring stakeholder value, from financial to social, for example through the adoption of the UN Sustainable Development Goals and the approach of Integrated Thinking and Reporting.

The 2020 framework has been developed to enable all higher education providers, regardless of their form, to understand the key components of good governance practice and their current performance in relation to them.

2.2 Overview

The 2020 framework recognises that every provider's governing body effectiveness review will be different to that of their peers, and may also vary from their own past reviews. Moreover, individual governing bodies have to consider and decide what type of governing body they aspire to be and will judge their own effectiveness through reviews in this light. The 2020 framework sets out the key factors for consideration of higher education governing

body effectiveness, and offers an e survey to support providers when they are conducting their effectiveness reviews.

The 2020 framework describes three inter-related **Factors** that underpin higher education governing body effectiveness reviews: working relationships and boardroom **behaviours**, the **outcomes** (or added value) of an effective governing body and the **enablers** of effective governance (the processes). It then describes in further detail the key elements of effective practice that underpin each Factor.

Factors	Elements of practice
1. Behaviours	1. Culture, behaviours and values
2. Outcomes	2. Strategy, performance and risk
	3. Impact, engagement and reporting
3. Enablers	4. Capability, competence and diversity
	5. Policies, structures and processes

Figure 2. Five elements of governance practice

2.3 Behaviours

The first Factor comprises working relationships and boardroom behaviours that enable effective governance includes well recognised issues such as the importance of the relationship between the governing body chair and the head of the organisation. There are potential sensitivities here, but when things 'go wrong' in governance they often do so because of the people and the associated behaviours. The elements of practice support this factor comprise culture, behaviours and values

2.3.1 Culture, behaviours and values

- + Culture: Awareness and promotion of the importance of governance culture on organisational stewardship and how this is expressed, modelled and promoted. An inclusive working environment which promotes and aids equality and diversity.
- + Behaviours: Individual and collective and 'boardroom behaviour', engagement and commitment. How this is modelled through individual and collective action in particular the Chair and the Vice Chancellor/Principal/CEO.
- + Values: The approach taken to identifying, aligning with, exemplifying and promoting the core ethics and values of the organisation and of good governance practice. Awareness of, adherence to relevant nationally recognised principles (e.g. The seven Nolan Principles of Public Life, and/or demonstrating leadership by 'fit and proper persons').

2.4 Outcomes

The second factor assesses the **outcomes** of a governing body in order to determine the extent to which a governing body 'adds value'. In this respect the real value of governing bodies lies in what they achieve in terms of outcomes. Some outcomes are relatively generic and uncontentious, such as the need for financial sustainability. Other outcomes specific to each provider's context can be added. They might include for example the successful implementation of a major capital project or an overseas campus. The elements of practice supporting this factor comprise:

- + Strategy, performance and risk
- + Impact, engagement and reporting

2.4.1 Strategy, performance and risk

- + Strategy: Engagement in and influence over the organisational mission and strategy. Determination, promotion and protection of the organisation's educational character and vision. Agility and capacity to respond to changing circumstances.
- + Performance: Relevant performance measures, the provision information on performance and alignment to the strategic goals of the organisation. The monitoring of organisational performance. The effect (feedback loop) of GB monitoring on the ongoing performance of the organisation.
- + Risk: Systems of control, risk management, audit, including institutionally significant external activities and legal or regulatory obligations. Organisational resilience to external shocks.

2.4.2 Impact, engagement and reporting

- + Impact: The overall effect of governance arrangements on the organisation's performance, success, resilience and reputation. The difference governance actually makes.
- + Engagement: The ability to communicate information regarding governance issues to all the relevant parties. The reach and impact of engagement with key external stakeholders.
- + Reporting: Integrated reporting requirements includes representation of the organisation's performance in terms of both its finance and its wider social capital and sustainability to internal and external stakeholders.

2.5 Enablers

The third factor concerns the **enablers** of an effective governing body. These provide the foundations for effective governance and the building blocks on which governance rests. Without these enablers being in place it is highly unlikely that a governing body could be effective. However, the enablers by themselves do not ensure effectiveness but rather

create the necessary conditions for effectiveness. The real test is in reviewing how they are actually used.

The elements of practice support this factor comprise:

- + Capability, competence and diversity
- + Policies, structures and processes

2.5.1 Capability, competence and diversity

- + **Capability:** The collective ability of the governing body to lead and govern, making informed decisions, encompassing ethical leadership and corporate citizenship Leadership by the Chair of the governing body (and chairs of committees) and the Vice Chancellor/Principal/CEO as exercised through the governance structures of the organisation. The dynamics of and interaction between the GB and the Executive. The appropriate independence of a secretary/clerk.
- + **Competence:** The individual skills, professional/career expertise, knowledge, experience, engagement and aptitude of individual members of the governing body and its committees and the application of these competencies in support of organisational governance. The collective blend and balance of skills expertise available to the governing body.
- + **Diversity:** The membership of the governing body and committees by reference to gender, age, ethnicity and other protected characteristics, being reflective of the organisation's key stakeholders (e.g. students and staff). Cognitive diversity as it impacts decision making and problem solving.

2.5.2 Policies, structures and processes

- + **Policies:** The policies required to support effective governance; clarity of accountability supported by schemes of delegation, protection of institutional reputation, compliance with laws and regulations and the application of relevant Codes of Governance (e.g. that published by the Committee for University Chairs).
 - + **Structures:** The existence, utility and suitability of GBs, committees and 'short life' working groups and the delineation of relevant roles within these structures. The effectiveness of these structures given the size, nature and complexity of the organisation in particular those concerning academic governance.
 - + **Processes:** The existence, application and adherence to key processes supporting the effective governance within the organisation. Organisational examples include performance management, ethics management, academic quality, the student experience, financial and risk management and managing stakeholder relationships. Governance examples include provision of information, arrangements of meetings and quality of papers.
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2.6 Relationship to the HE Code of Governance (CUC, 2020)

The purpose of the [HE Code of Governance](#) is to *identify the key values, principles and elements that form an effective governance framework*.

The most recent edition published on 16th September 2020 reflects further developments in the framework against which the majority of UK HE providers are expected to establish and implement governance arrangements; it is the most widely adopted Code of Governance among HE providers in the UK. Recognising this, we have sought to ensure that our own framework clearly responds to the Code, while also drawing on themes and trends in governance good practice generally.

Of note is that the revised Code:

- + Places more responsibility on academic governance.
- + Generally speaking, promotes a more activist approach by governing bodies with more “musts” and fewer “coulds.”
- + Gives particular emphasis to the importance of establishing and promoting an effective governance culture.

The HE Code of Governance sets out **what**, HEIs should do to ensure they have effective governance. It explains **why** and explores to some degree, **how**.

Advance HE’s framework for governance effectiveness and maturity addresses the question ‘**how well**.’ Although it is aligned to the 2020 Code (and has been informed by the latter’s recent revisions) it is universally applicable to any HE (or indeed alternative) provider whether the latter has adopted to the ‘CUC’ Code or any one of the several other Codes available.

2.7 E survey and benchmarking

The 2020 framework is supported by a number of tools, key of which is an esurvey. The survey questions are grouped by reference to the three elements within the framework. The main questions in the survey use a 7-point Likert scale which enables anonymised institutional benchmarking and are supplemented by a small number of free text questions designed to elicit an explanation for the scores given.

HEIs completing the survey get their own results and a comparative benchmark analysis report which assesses the results on a peer to peer basis against the mean average of the benchmark.

In early 2020 Advance HE published a report for members on the insights of value from the anonymised data we now hold (and we envisage refreshing this every few years).

<https://www.advance-he.ac.uk/news-and-views/Insights-on-effective-governance-in-HE-published>

The survey has two elements – the core questions and (in order to address demand for additional questions typically sought by three quarters of universities completing the survey) a ‘Question Bank’ has been created of a further c50 questions from which universities may draw if they so wish.

A copy of the survey questions can be found at Appendix One.

Appendix One [2020] GER e survey

Revised UK HE governance effectiveness e survey: most closed questions (unless specified otherwise) are on a 'agree or disagree' 7pt Likert scale – no changes proposed to this approach.

- Open questions are colour coded in blue
- The majority of questions are preceded with the statement “to what extent do you agree or disagree” unless clarified otherwise

PRIVACY STATEMENT	
1	I give my consent to my personal data being used in the ways described in the privacy statement <ul style="list-style-type: none"> • Yes (required to continue)
CORE QUESTIONS	
1 Commitment to effective governance	
2	There is a genuine and shared understanding about and commitment to ensure effective governance by both the governing body and the executive
3	The governing body is effective in regularly reviewing its own performance <ul style="list-style-type: none"> • In what ways does the governing body demonstrate its commitment to effective governance and continuous improvement?
2 Effective governance structures and processes	
4	There are effective arrangements in place for involving staff and students in the governing body
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
6	Mechanisms are in place to enable the governing body to be assured as to the organisation's financial resilience and overall sustainability
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 <ul style="list-style-type: none"> • Are there any issues arising from, or improvements that can be made to, these mechanisms and arrangements?
8	The scheme of delegation is clear and well understood and applied consistently and correctly.
9	The respective responsibilities and relative accountabilities of the governing body and academic board/Council/Senate are appropriate, clearly defined and mutually understood
10	The governing body understands the institution's key stakeholders and what is material to each stakeholder group in the context of its strategy
3 Governing body membership, quality and diversity	
11	Recruitment practices to fill board vacancies are effective, transparent and enable a diverse pool of candidates to be appointed
12	Effective reviews of governing body members' individual contributions are conducted periodically <ul style="list-style-type: none"> • In which way is the commitment, contribution and performance of members reviewed and how regularly?
13	The induction of governing body members is: <ul style="list-style-type: none"> • effectively managed, • relevant, • periodically evaluated

	<ul style="list-style-type: none"> tailored to individual need
14	<p>Governing body membership:</p> <ul style="list-style-type: none"> Reflects the diversity of the organisation (in terms of gender, age and ethnicity) Reflects the organisation's key stakeholders Provide a range of approaches to problem solving Has an appropriate range of skills and experience <ul style="list-style-type: none"> What are the main reasons for your answers?
15	Discussions at and decisions made by the Governing body are informed and challenged by different perspectives and ideas
	4 Governing body commitment to organisational vision, culture and values
16	The governing body demonstrates an understanding of and commitment to the organisation's vision, ethos and culture
17	<p>The governing body displays the values, personal qualities and commitment necessary for the effective stewardship of the organisation</p> <ul style="list-style-type: none"> Thinking across the two questions above, how does the governing body demonstrate this commitment in practice?
	5 Effective strategic development and performance measurement
18	<p>The governing body ensures that effective performance reviews of the head of institution are undertaken</p> <ul style="list-style-type: none"> How is this review undertaken?
19	<p>The governing body has agreed performance measures incorporating leading and lagging indicators against which it receives assurance of institutional performance against the strategic plan</p> <ul style="list-style-type: none"> Are there any issues arising from, or improvements that can be made, to performance monitoring and measurement to better deliver effective governance?
	6 Effective governing body information and communication
20	The governing body receives 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).
21	<p>The governing body communicates transparently and effectively with its stakeholders</p> <ul style="list-style-type: none"> Are there any issues arising from, or improvements that can be made, to better enable effective governance?
	7 Future governance
22	<p>The governing body is well equipped to support the organisation's long-term strategic plans?</p> <ul style="list-style-type: none"> What are the main reasons for your answer?
23	The governing body is well informed about likely changes in the external environment and any major implications for governance that may result?
	8 Working Relationships and Board room behaviours
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?
25	Working relationships between governing body members and the organisation's executive are transparent and effective?
26	<p>The role of the governing body in providing constructive challenge is:</p> <ul style="list-style-type: none"> Understood and accepted by both members and the executive Undertaken effectively

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27	<p>The Chair actively establishes, promotes and sustains a governance culture that supports effective stewardship of the organisation?</p> <ul style="list-style-type: none"> • Are there any issues arising from, or improvements that can be made, to working relationships and behaviours?
9 Outcomes of effective governance	
28	The governing body ensures that planned outcomes agreed as part of the strategic plan are being regularly monitored, assessed and reported?
29	The governing body ensures that defined quality levels for the student experience are being achieved?
30	<p>The governing body has a positive overall impact on the institution's:</p> <ul style="list-style-type: none"> • Performance • Resilience • Reputation
31	<p>The governing body ensures that external and internal stakeholders have a high degree of confidence in the organisation</p> <ul style="list-style-type: none"> • Thinking across the four questions in this section, what are the main reasons for your answers • Do you have any further comments on the outcomes of an effective governing body?
DEMOGRAPHIC QUESTIONS	
32	<p>Which of the following best describes your role?</p> <ul style="list-style-type: none"> • Chair/convener of governing body • External/lay member of governing body • Executive/senior manager member of governing body • Staff (including Senate/Academic Board) member of governing body • Student member of governing body • Former member of governing body • Executive/senior manager (not a member of governing body) • Staff (not member of governing body) • External/lay member of governing body subcommittee • Other (please specify)
33	How long have you been a member of the institution's governing body? (1 year/ 2/3/4/5/6/7/8/9/10/ More than 10 years/Former member of the governing body/Not a member of the governing body)
34	<p>How would you describe your gender?</p> <ul style="list-style-type: none"> • Man • Non binary • Woman • Prefer not to say <p>In another way (you may specify if you wish)</p>
35	<p>What is your ethnic group? Please choose one option that best describes your ethnic group or background.</p> <p>White/ White Gypsy or Traveller/ Black or Black British: Caribbean/ Black or Black British: African/ Any other Black background/ Asian or Asian British: Indian/ Asian or Asian British: Pakistani/ Asian or Asian British: Bangladeshi/ Chinese/ Any other Asian background/ Mixed: White and Black Caribbean/ Mixed: White and Black African/ Mixed: White and Asian/ Mixed: Any other mixed background/ Arab/ Any other ethnic background/ Not known/ Prefer not to say</p>
36	<p>Please indicate your age range</p> <p>Under 30 years/ 31-39/ 40-49/ 50-59/ 60-69/ 70+</p>
37	<p>Do you consider yourself to have a disability?</p> <p>Yes/ No/ Prefer not to say</p>

ADDITIONAL OPTIONAL QUESTIONS ('QUESTION BANK')	
1 Commitment to effective governance	
38	The governing body demonstrates a commitment to continuously improving its effectiveness?
39	Approximately how regularly does the governing body review its own performance?
40	The interaction between the following is based on mutual respect, openness and honesty which enables effective governance to occur? <ul style="list-style-type: none"> • Between the governing body chair and head of institution • Between the governing body chair and clerk / secretary • Between the head of institution and clerk / secretary
41	Roles, responsibilities and accountabilities of the governing body and its committees are well understood?
42	The professional advice and support provided by the governing body secretariat is timely?
43	The professional advice and support provided by the governing body secretariat is informed?
44	The professional advice and support provided by the governing body secretariat is suitably independent?
2 Effective governance structures and processes	
45	Board papers: <ul style="list-style-type: none"> • Are of consistently high quality, • Are made available in a timely fashion, • Address organisational strategic priorities • Are succinctly presented with clear recommendations where necessary?
46	Mechanisms are in place for the governing body to be confident in the processes for maintaining the quality and standards of research?
47	The governing body's decision making structure (including its committees) is regularly reviewed and assessed to ensure it is fit for purpose?
48	The committee structure and associated accountabilities are clear, understood, fit for purpose, and support governance effectiveness
49	There is a clear system of delegated authority with appropriate reporting mechanisms to the governing body?
50	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?
51	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?
52	Mechanisms are in place to enable the governing body to be assured as to the integrity of the data submitted by the institution to the relevant external agencies?
53	Mechanisms are in place to enable the governing body to be assured as to the quality of the student experience
54	Mechanisms are in place to confirm that the responsibilities of members as trustees and, where applicable, their duties as company directors are being effectively discharged
55	The governing body understands the institution's portfolio of activities Under 'More info': The portfolio of activities includes its subjects, courses, areas of research, the context in which it operates, including the perception of its "brand", demand for its services and challenges of competition

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3 Governing body membership and quality	
56	Considering diversity and inclusion, the membership of the governing body is reflective of staff, student and stakeholder groups
57	The succession planning for governing body membership is effectively managed
58	The provision of ongoing development/support is <ul style="list-style-type: none"> • Effectively managed, • Relevant, • Periodically evaluated • Tailored to individual need?
59	Have you completed induction training as a member of the governing body? Please choose one response <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> No, but it is planned
60	Have you undertaken any professional development training as a member of the governing body? Please choose one response <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> No, but it is planned
61	To what extent do you agree or disagree that all governing body members: <ul style="list-style-type: none"> • Are motivated? • Attend regularly? • Actively participate in decision-making?
62	Governing body members' skills and experience are effectively utilised in making decisions and are adding value to the organisation?
4 Governing body commitment to organisational vision, culture and values	
63	The governing body actively supports core organisational values, and principles e.g. autonomy, diversity and academic freedom?
64	The governing body demonstrates an active implementation of the Nolan principles of good conduct in public life?
5 Effective strategic development and performance measurement	
65	The governing body receives assurance that regular performance reviews of all academic departments and professional services are undertaken?
66	The governing body where necessary receives assurance that recommendations arising from performance reviews of academic departments or professional services are implemented?
67	Appropriate, relevant and timely benchmarking is used to inform the governing body as to institutional performance relative to key peers and competitors
68	The Governing Body receives assurance on the organisation's approach to people management and underpinning HR strategic plans
69	The Governing body receives assurance on the organisation's approach to environmental sustainability
70	The governing body receives assurance of the organisation's holistic capacity and capability to deliver the strategy. Including but not limited to financial, people, estates/environment, infrastructure and relationships.
71	To what extent do you agree or disagree that the governing body does the following: <ul style="list-style-type: none"> • Actively involved in the formulation, approval and review of the institutional strategy? • Is carried out to monitor institutional performance, including through the use of agreed KPIs, which are stretching and attainable? • Regularly reviews comparative performance with relevant peer institutions through processes such as benchmarking?
6 Effective governing body information and communication	

72	The governing body balances its time effectively in reviewing the organisation's performance (looking back) alongside considering its strategic direction (looking forwards)
73	The role and work of the Governing body is communicated to and understood by key internal stakeholders especially staff and students
74	That: <ul style="list-style-type: none"> • The governing body receives timely and accurate information for all areas for which it is responsible, and has confidence in the robustness of this data? • Governors receive adequate information to inform their decisions?
7 Future governance	
75	The Governing Body actively draws on and learns from practice and relevant trends from within and beyond the sector to inform its own effectiveness
76	The governing body actively ensures it receives assurance on the standards of the organisation's Academic awards?
77	The governing body actively ensures it receives assurance on the standards of the organisation's Student experience?
78	The governing body conducts its affairs in a way that is responsive to changing circumstances and the need for responsive decision-making and governance?
79	Overall, governance effectiveness is on a trajectory that indicates it is: <ul style="list-style-type: none"> • Improving • Staying the same • Weakening
8 Working Relationships and Board room behaviours	
80	Chairs of Committees actively establish, promote and sustain a governance culture that supports effective stewardship of the organisation?
81	That: <ul style="list-style-type: none"> • The approach, style and contribution of the head of institution supports effective governing body meetings? • The approach, style and contribution of the governing body secretariat supports effective governing body meetings? • All governing body members are actively involved in discussions? • All governing body members understand and respect the distinction between governance and management?
9 Outcomes of effective governance	
82	The governing body, including via committees where appropriate, receives regular information about the institutions' ongoing compliance with regulatory requirements such that it ensures that they continue to be met
83	The governing body ensures that the organisations reporting speaks authentically to all stakeholders.

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