



UNITED CENTRE
of
EXCELLENCE

End Point Assessment Policies

Governance Policy
GP19



Document History

Version	Date	Reason for Revision	Issued by
V1.1	Jan 2020	Initial release	Harj Dhanjal GP19
V1.2	Nov 2020	Document review during covid-19 (No updates required)	Alan Bates GP19
V1.3	Jul 2021	Review of the policy for our Ofqual recognition submission. The term Governing body replaced with Senior team to match our organogram description	Alan Bates GP19



Contents

Document History	2
Contents	3
Governance Code of Practice	4



Governance

Governance Code of Practice

Introduction to UCE governance and management, Governance refers to the senior team of UCE

1. For the purpose of this Code, 'governance' is defined as the systems, structures, procedures and rules by which UCE takes decisions on its affairs and is held accountable for them. This includes setting its strategic aims and objectives, monitoring and measuring performance against these, ensuring accountability and effective scrutiny, and appointing and ensuring the effectiveness of the head of the organisation and other senior officers.
2. Governance therefore is distinct from the day-to-day 'management' of UCE, which is more about the pursuit of agreed aims and objectives, the implementation of agreed policies, the preparation of new policy proposals, and the efficient and effective deployment of resources.
3. Despite this distinction there is a critical interface between good governance and effective management and commercial success of UCE is very much dependent upon this interface.
4. The senior team has the responsibility to satisfy itself that the systems, structures, procedures and rules for the running of UCE are appropriate, necessary and fit for purpose. Members of senior team are expected to ask probing, searching questions in relation to these matters and to satisfy themselves that the responses are sound, confident and consistent.
5. Parallel with this, management is concerned with the day-to-day running of UCE; with advising the senior team about policies and objectives; and with devising means of implementing agreed policies and meeting agreed objectives.
6. All members of the Senior team of UCE are required to make a formal declaration that they are 'fit and proper persons' following interview procedures; to take major decisions on behalf of UCE. Each individual is required to complete and sign a Conflicts of interest Declaration Form at the time of their first appointment, and annually thereafter, for the duration of their time in office. Each individual's signed form(s) will be retained by UCE for a period of four years beyond the date at which they cease to be a member of the senior team for governance.



7. It is reasonable and appropriate for the Senior team to endeavour to establish constructive and supportive working relationships with UCE staff and students with whom they come into contact, and this is positively encouraged. However, these relationships are expected at all times to remain both independent and challenging, and they must always observe the proper separation between governance and management.

8. All members of the Senior team are required to bear in mind the overarching principles of openness and transparency in the conduct of business. However, it is incumbent upon members that due regard be given to the observance of confidentiality as and when appropriate, for example, in relation to personal information about named individuals; implementing our data protection policy or to the commercial interests of UCE. Members are asked to acknowledge a duty of confidentiality in such matters upon appointment to the senior team. Confidential matters discussed at meetings are recorded in a separate 'Reserved' section of the minutes. Staff behaviour is documented in our code of conduct and job descriptions.

9. It is expected that members of the Senior team will attend a minimum of two scheduled meetings each, and that they will endeavour to participate in the scheduled meetings of any working groups to which they may have been appointed.

10. From time to time there may arise the need for a Special Meeting of the Senior team to take place. On these occasions notice of the time of the meeting will be given in accordance with the arrangement's members are expected to be willing to make themselves available for such meetings.

11. Outside of these formal meetings regular meetings take place between senior management, heads of departments other staff groups to discuss any current developments, issues or concerns at UCE. The senior staff hold open staff forums from time to time, and if staff have any questions that they would like to be addressed at these meetings there is an opportunity for these to be submitted in advance, to enable full responses to be prepared.

12. Responsibility for the day-to-day running of the affairs of UCE rests with the Heads of Department, who are ultimately accountable to the CEO.



Registration and Declaration of Interests

13. All Members of the senior team, and designated staff with budgetary authority and/or influence over UCE business, are required at all times to adhere to UCE's policies and procedures for the registration and Conflicts of interests. In particular, no person shall be a signatory to a UCE contract in which they also have an interest in the activities of the other party.

14. Members of the senior team must not accept any personal benefit as an inducement or reward for taking action (or specifically not taking action) in their position in UCE or for showing favour (or disfavour) to anyone in their position in UCE.

15. In accordance with the requirements of Financial Reporting all members of the senior team are required to disclose annually the details of any material transactions that take place between UCE and the member (or their close family) or companies or other organisations which they control. Transactions are material if they are significant to the member, or close family member or organisation under their control, rather than being significant to UCE. Transactions in a year are generally regarded as material if they are over £25,000 and/or exceed 10% of the income of the individual or the turnover of the organisation under control.

Gifts and Hospitality

16. It is possible that members of the Senior team may, on occasion, be offered gifts or hospitality simply as a mark of courtesy or gratitude. Such offers can place individuals in a difficult position, since to refuse may cause offence but to accept may, in certain circumstances, be open to misinterpretation. UCE has appropriate arrangements in place, within Financial Regulations, for the provision and receipt of gifts and hospitality, to avoid misunderstanding and to provide a framework for dealing with difficult situations.

Whistleblowing

17. Legal provisions covering Public Interest Disclosure, commonly referred to as 'whistleblowing', offer legal protection to staff, students, and other members of UCE who may be fearful of dismissal or other penalties suffered as a result of confiding in UCE about certain serious concerns which are in the public interest. If a member of UCE discovers information which they believe shows malpractice or wrongdoing within the organisation (or in conjunction with third parties who are external to the organisation, such as suppliers or contractors) they can inform Ofqual without going through their line manager and may choose, if they wish, to remain anonymous.



18. UCE's Whistleblowing Policy explains in detail the procedures to be followed if a member of UCE has a concern which is in the public interest.

19. UCE makes such investigations as are appropriate. In all cases a report of the outcomes of any investigation will be made to the Senior team - in detail where the issue falls within its purview, and in summary in other cases - as a means of allowing the senior team to monitor the effectiveness of the procedure.

20. Although a disclosure made under the Whistleblowing Policy may (at least initially) be investigated under the procedure detailed in the Policy, such investigation may subsequently lead to the invocation of other policies and procedures as deemed necessary or more appropriate, such as those covering grievances, discipline, bullying and harassment, misconduct, and financial irregularities referred to above.

21. The Whistleblowing Policy does not permit or encourage the challenging of legitimate financial or business decisions properly taken by UCE, and it cannot be used to bring about the reconsideration of matters which have already been dealt with under separate harassment, complaint or disciplinary procedures.

22. The Policy is reviewed and updated annually and is presented to the Senior team for approval. Members of staff are advised to consult the latest Whistleblowing Policy before making a disclosure. The Policy features widely on UCE's website, is included on the induction checklist for new members of staff.

Personal Complaints and Grievances.

23. The procedures for handling complaints and grievances by members of staff in relation to their own employment at UCE are set out in detail in the Complaints policy.

Financial Statements

24. UCE's audited Financial Statements, which are published annually and presented formally to the Annual Meeting of Senior staff, with an opportunity for any questions to be raised about their content, provide a comprehensive overview of UCE's governance arrangements.