

CODE OF PRACTICE

FOR

MEMBERS OF COUNCIL

August 2013

CODE OF PRACTICE FOR MEMBERS OF COUNCIL

CONTENTS

1. Purpose of Document
2. Governance Documents
3. Royal Charter and Mission of the Council
4. Relationship with the sponsoring Department
5. Role of the Chair
6. The Role and operation of Council
7. Responsibilities of Individual Members of Council
8. Role of the Chief Executive Officer

Annexes

1. Seven Principles of Public Life
2. Declaration of Interests
3. Declaration of Interests form

CODE OF PRACTICE FOR MEMBERS OF COUNCIL

1. PURPOSE OF DOCUMENT

- 1.1 This Code of Practice sets out the basis on which members of the Natural Environment Research Council (NERC) ("the Council") should seek to discharge their responsibilities.
- 1.2 The document sets out the constitutional context in which Council operates and describes the responsibilities of members of Council.
- 1.3 This Code of Practice is informed by the guidance on corporate governance for government departments provided by HM Treasury and the Cabinet Office (http://www.hm-treasury.gov.uk/d/corporate_governance_good_practice_july2011.pdf).

1.4 Definitions:

"Council" or "the Council" refers to the decision-making, strategy-setting body.

"Research Council" refers to the chartered organisation.

"Executive staff" or "the Executive" refers to the non-Board employees of the organisation, responsible for the day-to-day operation of the Research Council.

2. GOVERNANCE DOCUMENTS

- 2.1 Members of Council will be provided with copies of the governance documents which describe the direction, management and control of the Council's business in accordance with its mission. These documents are:

- i) Management Statement*
- ii) Financial Memorandum*

- 2.2 Members of Council should read and familiarise themselves with these documents.

3. ROYAL CHARTER AND MISSION OF THE RESEARCH COUNCIL

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- 3.1 The Royal Charter and Mission of NERC are included at Annex 1 of the *Management Statement*.

4. RELATIONSHIP WITH THE SPONSORING DEPARTMENT

- 4.1 The Research Council is a partner agency of the Department for Business, Innovation and Skills (BIS). The Secretary of State for BIS is answerable to Parliament for all the policies and performance of public bodies sponsored by BIS, including their use of resources and the policy framework within which they operate. The respective roles of BIS, the Research Council and its Council are set out in the *Management Statement* and *Financial Memorandum* which specify the terms on which funds provided by the Secretary of State are received and spent.

Research Councils UK (RCUK)

- 4.2 The Research Councils work in partnership as RCUK, which was set up to enhance the collective leadership and influence of the Research Councils and to encourage cross-Council collaboration at strategic and operational levels. RCUK is led by an Executive Group comprising the Chief Executive Officers of the Research Councils, one of whom chairs.

5. THE ROLE OF THE CHAIR

- 5.1 The Chair of the Council is the normal channel of communication between the Council and the Secretary of State. The main point of contact between the Council and the sponsor department on day-to-day matters will normally be the Chief Executive or members of staff duly authorised to act on behalf of the Council.
- 5.2 The Chair should ensure that all new members of the Council are properly briefed on the terms of their appointment, and on their duties and responsibilities. This should be supported by an appropriate induction programme from the Executive, including, where relevant, any specialist training (e.g. on the duties of members of public bodies). Induction should include the provision of appropriate background which may include the Strategic and Delivery Plans.
- 5.3 The Chair, with the assistance of the Chief Executive, has particular responsibility for providing effective strategic leadership on matters such as:

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- formulation of the Council's strategy for discharging its mission as set out in the Royal Charter;
 - effective execution, through the Chief Executive, of Council's decisions;
 - ensuring that the Council, in reaching decisions, takes proper account of guidance provided by the responsible Minister or sponsor department;
 - encouragement of high standards of propriety, and the promotion of efficient and effective use of staff and other resources throughout the organisation; and
 - representation of the views of the Council to its stakeholder publics.
- 5.4 The Chair will undertake an annual appraisal of individual members to ascertain whether each continues to contribute effectively and corporately and demonstrates commitment to the role (including time commitment for Council meetings and other requirements). The Chair will also provide an assessment of performance in the event of members of Council being considered for reappointment to the Council, or appointment to some other public body.
- 5.5 The Chair will ensure that the Council undertakes a formal and rigorous annual evaluation of its performance.
- 5.6 The Chair should ensure that the Council meets at regular intervals throughout the year; and that minutes of meetings accurately record decisions taken.
- 5.7 Other aspects of the Chair's role and duties are set out in the *Management Statement*.

6. THE ROLE AND OPERATION OF COUNCIL

The Council

- 6.1 The Council is a body corporate with executive responsibilities established under the Science and Technology Act of 1965 and by Royal Charter, thus ensuring that it has separate legal status. Members of Council have corporate responsibility for all the Council's actions and those of its staff, and should operate collectively at all times.
- 6.2 Members of Council are drawn from the academic and user communities served by the Council, including, where appropriate, government departments. Members should be able to reflect and express authoritatively the perspective and views of their respective

communities, while contributing corporately to the Council's successful pursuit of its mission.

- 6.3 Honoraria are payable to members of Council. Representatives of the Council are also entitled, within guidelines, to claim reasonable travel and subsistence expenses accrued in the performance of their duties, consistent with stated policies.

The Council's Public Service Role & Duties

- 6.4 The Council must at all times:

- observe the highest standards of propriety involving impartiality, integrity and objectivity in relation to stewardship of public funds and management of the Research Council in accordance with extant government accounting guidance;
- comply fully with Government policy and guidance on corporate governance, openness and responsiveness;
- be accountable to Parliament, users of services, individual citizens and staff for the activities of the Research Council, its stewardship of public funds, complying with any statutory or administrative requirements for their use (including the limits of delegated authority agreed with the sponsoring department), and for the extent to which key performance targets and objectives have been met;
- maximise value for money through ensuring that services are delivered in the most efficient and economical way, within available resources, and with independent validation of performance achieved wherever practicable.
- ensure that public funds received by the Research Council, which for this purpose should be taken to include all forms of receipts for fees, charges and other sources, are properly safeguarded. Council should ensure that, at all times, it conducts its operations as economically, efficiently and effectively as possible, with full regard to the Royal Charter and relevant statutory provisions and to relevant guidance in *Managing Public Money*¹ (http://www.hm-treasury.gov.uk/psr_mpm_index.htm).
- ensure that the Research Council operates equal opportunities and environmental policies and practices in accordance with relevant legislation and/or government guidance;

¹ <https://www.gov.uk/government/publications/managing-public-money>

- ensure that the Research Council does not exceed its powers or functions, whether defined in statute or otherwise, or through any limitations on its authority to incur expenditure. They are normally advised on these matters by the Chief Executive;
- ensure that the Research Council has appropriate policies in place for the management and conduct of its staff.

Council's Functions

- 6.5 Council is responsible for all issues of major importance including the setting of corporate strategy, key strategic objectives and targets, major decisions involving the use of financial and other resources, the review of risks and benefits and the monitoring of outcomes against plans, within the policy and resources framework agreed with the responsible minister.
- 6.6 One of the main tasks of the Council is the oversight of the production of a Strategic Plan and Delivery Plan. These documents should be the main vehicle for agreeing with the Secretary of State, or officials of BIS acting on his or her behalf, the policy and resources framework within which the Research Council will seek to discharge its duties; and for determining its key targets. Such targets should normally cover the delivery of the Research Council's mission, its financial performance and the efficiency and effectiveness of its operations.
- 6.7 As part of its responsibilities for the stewardship of public funds, the Council must ensure that it provides a full statement of its use of public funds in its Annual Report and in its Accounts. Such accounts shall be prepared in accordance with the Financial Reporting Manual (FReM)² issued by the Secretary of State and such other guidance as may be issued, from time to time, by BIS and the Treasury.
- 6.8 The Annual Report should provide a description of the Research Council's activities, state the extent to which agreed strategic objectives and agreed financial and other performance targets have been met; list the names of the current members of the Council and senior staff, and their attendance at Council meetings; and provide details of remuneration of members of Council and senior staff within the range of prescribed salary bands. The Annual Report should also contain a Governance Statement and information about the register of declared interests.

² <https://www.gov.uk/government/publications/government-financial-reporting-manual>

PROTECT - POLICY

- 6.9 Council must ensure that high standards of corporate governance are observed at all times, and that, in reaching decisions, the Council has taken into account any guidance issued by BIS and the Treasury.
- 6.10 Council should meet at regular intervals throughout the year and should exercise full and effective control over the activities of the Research Council including those of its staff. Members should be present in person and may not send representatives.

Audit

- 6.11 Council should establish an Audit Committee as a committee to oversee its arrangements for internal audit. Normally this committee will be chaired by a member of the Council, other than the Chair, who has some experience of or interest in aspects of organisational governance. The Audit Committee should meet regularly, and report to Council on the adequacy of its internal financial control systems and any major issues raised by the external auditors. The responsibilities of the Audit Committee overlap with those of the Chief Executive as Accounting Officer. The Chief Executive may, therefore, attend meetings of the Audit Committee.
- 6.12 Terms of Reference of the Audit Committee are set out at <http://www.nerc.ac.uk/about/organisation/boards/audit/tor/>

The Research Council as Employer

- 6.13 The Council should ensure that:
- the Research Council complies with all relevant employment legislation and employs suitably qualified staff who will discharge their responsibilities in accordance with the high standards expected of staff employed by public bodies. All staff should understand the Research Council's main aims and objectives, the corporate strategy, and the internal management and control systems that relate to their work;
 - the Research Council adopts management practices which use resources in the most effective, efficient and economical manner;
 - the rules for the recruitment and management of staff provide for appointment and advancement on merit, on the basis of equal opportunity for all applicants and staff. In filling senior staff appointments, the Council should satisfy itself that an

PROTECT - POLICY

adequate field of qualified candidates is considered, and should always consider the merits of open competition which should normally be used for recruitment of external candidates;

- its own members, and the Research Council staff, have access to expert advice and training opportunities which enable them to exercise their responsibilities effectively.

- 6.14 The Council should adopt a Code of Conduct for the Research Council employees using the model provided by Cabinet Office in Public Bodies: A Guide for Departments Annex A (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/80077/PublicBodiesGuide2006_overview_0.pdf) (subject to any relevant modifications). This should cover arrangements which enable employees to raise concerns about propriety with a nominated Council member and a senior official in the sponsor department. It should also contain safeguards to prevent conflicts of interest when employees leave.
- 6.15 The Council should establish a Remuneration Committee to assess, annually, the individual performance of the Directors, and decide, in the light of these assessments, the level of performance-related pay they shall receive. The Remuneration Committee should ensure that it has the information and advice needed to make these judgements. The performance of those staff with salaries in excess of £100k will be subject to the departmental Senior Remuneration Oversight Committee.

Delegation

- 6.16 Notwithstanding the above functions, Council, whose members normally serve on a part-time basis, should delegate responsibility to the Chief Executive and executive staff to the maximum extent possible, as permitted by the Royal Charter and the Science and Technology Act 1965, and within a clearly understood framework of strategic control.
- 6.17 The Council may also decide to delegate responsibility for specified matters to individual members, or committees of the Council. Care must be taken to ensure that delegations do not in any way dilute the ultimate responsibility of the Council for actions undertaken under these delegated powers. Any decisions taken by individual members of Council, or committees of the Council, should be recorded in written minutes and made available to the Council as a whole. The arrangements for delegation should also be properly documented, and the documentation should make clear matters reserved for decision by the Council. The latter are likely to include

issues of corporate strategy; key strategic objectives and targets; major decisions involving the use of financial and other resources; and personnel issues including key appointments and standards of conduct. The scheme of delegations is available from the Council secretariat on request.

7. THE RESPONSIBILITIES OF INDIVIDUAL MEMBERS OF COUNCIL

- 7.1 Members of Council are appointed by the Secretary of State of the sponsoring department, typically serving for four years in the first instance, with the possibility of an extension to their term. Members are expected to commit to up to twenty-five days per year to the Research Council's business. In addition to the Council's formal meetings, members are expected to contribute to and/or attend ad hoc strategy discussions or working groups or to participate in the Council's subsidiary bodies.
- 7.2 Like others who serve the public, individual Council members should follow the **Seven Principles of Public Life** set out by the Committee on Standards in Public Life – these are listed as Annex 1 to this Code. Members have a duty to bring an independent judgement to bear on all issues considered by the Council, and must:
- comply at all times with this Code of Practice and rules relating to the use of public funds;
 - act in good faith and in the best interests of the Research Council;
 - not misuse information gained in the course of their public service for personal gain or for political purposes, nor seek to use the opportunity of public service to promote their private interests or those of connected persons, businesses or other organisations;
 - ensure that they do not accept gifts or hospitality in any circumstances where it could impact on their ability to function as a Council member or where it could give rise to questions of impartiality.
- 7.3 Members of Council are expected not to occupy paid party political posts or play particularly sensitive or high profile roles in a political party, although membership of either of the Houses of Parliament or of local councils is permitted. Subject to that, members are free to engage in political activities, provided they are conscious of their general public responsibilities and exercise a proper discretion, particularly in regard to the work of the Council. On matters relating to the business of the Council, they should not make political

speeches or engage in other public political activities. This subject is covered more fully in Public Bodies: A Guide for Departments (https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/80077/PublicBodiesGuide2006_overview_0.pdf).

- 7.4 Members of Council should not normally deal directly with the responsible Minister or the sponsor department without prior knowledge of the Chair and the Chief Executive. Nevertheless, individual members have the right of access to Ministers on any matter which they believe raises important issues relating to his or her duties as a member of the Council. In such cases the agreement of the rest of the Council would normally be sought.

Liability

- 7.5 Although any legal proceedings initiated by a third party are likely to be brought against the Research Council, in exceptional cases proceedings (civil or, in certain cases, criminal) may be brought against the Chair or other individual members of Council. For example, a Council member may be personally liable if he or she makes a fraudulent or negligent statement which results in loss to a third party. A Council member who misuses information gained by virtue of his or her position may be liable for breach of confidence under common law or under insider dealing legislation. The Government has indicated, by analogy with normal directors' and officers' liability cover, that individual Members of Council who have acted honestly and in good faith will not have to meet out of their own personal resources any personal civil liability which is incurred in the execution or purported execution of their Council function, save where the persons have acted recklessly.
- 7.6 The arrangements for appointing individual members of Council normally make it possible to remove him or her from office if he or she fails to perform the duties required of a Council member to the standards expected of persons who hold public office. Any such process will be in line with the code of conduct for staff.
- 7.7 Members of Council should ensure that they understand fully the terms of their appointment, and their duties and responsibilities. The Chief Executive should be consulted if further advice is required.

Conflicts of Interest of Members of Council

- 7.8 To observe the high standards of integrity expected by the public and Parliament, the proper conduct of public business requires the Chair and members of Council to avoid situations in which their

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duties and other interests conflict or where members of the public might reasonably think that an interest could influence the judgement of the individual or of others present.

- 7.9 All personal and business interests of an individual, including actual, potential or perceived interests which conflict with his or her responsibilities as a member of Council, must be declared and these will be recorded in a Register, and be available to public scrutiny.
- 7.10 The Chair will be briefed on declared interests of members and will draw Council's attention to these during meetings. In general, members of Council should not participate in any discussions about matters in which they might be perceived to have such an interest, although the Chair may use discretion to allow a member to contribute factually to the discussion. The minutes of a meeting should record declarations of interest, any withdrawals from the meeting and the reasons for them.
- 7.11 A fuller exposition of this subject, including details of the procedures to be followed in handling conflicts of interest, and the pro-forma for the registering of interests, are included in Annexes 2 and 3, respectively.

Confidentiality and Protective marking

- 7.12 All Council papers and correspondence must be treated in confidence unless otherwise stated. In some cases the contents may be discussed with colleagues, but this should be done in accordance with the protective marking scheme and with utmost discretion on the part of the recipient of the papers. When, exceptionally, a higher classification is necessary, special circulation arrangements will normally be made. Members of Council must respect such classification.
- 7.13 Members of Council should observe the requirement for confidentiality and are asked to keep secure all documents that come to them in their official capacity, including in electronic form, and, when their term of office has come to an end, to make sure that all papers are returned or destroyed, and report any losses to the Executive.

Communication of Decisions

- 7.14 Only the Chair or Chief Executive of Council, or those members of staff authorised to act on their behalf, may communicate Council decisions or recommendations made to Council. In reporting Council business they will take special care to keep confidential any part

played in discussion by individual members, to maintain the convention that any decision is the collective responsibility of the whole Council and to safeguard the anonymity of any referees. Members should resist any requests for information or for explanation of how a particular decision was reached. All Council discussions should therefore be treated in confidence and any such requests referred to the Chief Executive.

Openness and Responsiveness

7.15 Members of the Council are responsible for providing Parliament (including its Select Committees) and the public with as full information as may be requested concerning their policy decisions and actions. They should ensure they can demonstrate that they are using resources to good effect, with probity, and without grounds for criticism that public funds are being used for private, partisan or party political purposes. Members of Council and executive staff should conduct all their dealings with the public in an open and responsible way, and ensure full compliance with the principles of freedom of information, data protection, and the Code of Practice on Access to Government Information. There should be internal procedures for dealing with complaints, including those on failure to provide information, and whistle-blowing.

8. THE ROLE OF THE CHIEF EXECUTIVE OFFICER

- 8.1 The Chief Executive has responsibility, as delegated by Council, for the overall organisation, management and staffing, and for The Research Council's procedures in financial and other matters, including conduct and discipline. This involves the promotion, by leadership and example, of the values embodied in the Seven Principles set out by the Committee on Standards in Public Life. The Chief Executive should be supported by members of Council in undertaking this responsibility.
- 8.2 The Permanent Secretary for BIS has designated the Chief Executive as the the Research Council Accounting Officer. This role carries with it personal responsibility for the propriety and regularity of the Research Council's finances; for the keeping of proper accounts; for prudent and economical administration; for the avoidance of waste and extravagance, and for the efficient and effective use of resources. The Chief Executive must ensure that appropriate advice is given to Council on all these matters.
- 8.3 As Accounting Officer, the Chief Executive is responsible directly to Parliament for the resources under his or her control, and is liable to

PROTECT - POLICY

be examined on the execution of these responsibilities by the House of Commons Public Accounts Committee.

- 8.4 A more detailed description of the role of the Chief Executive, including his/her role as Accounting Officer, is included in the *Management Statement*.

ANNEX 1: THE SEVEN PRINCIPLES OF PUBLIC LIFE

The Committee on Standards in Public Life set out seven principles that apply to anyone who works as a public office-holder. This includes all those who are elected or appointed to public office, nationally and locally, and all people appointed to work in the civil service, local government, the police, courts and probation services, NDPBs, and in the health, education, social and care services. All public office-holders are both servants of the public and stewards of public resources. The principles also have application to all those in other sectors delivering public services.

Selflessness

Holders of public office should take decisions solely in terms of the public interest.

Integrity

Holders of public office must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships.

Objectivity

Holders of public office must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias.

Accountability

Holders of public office are accountable for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this..

Openness

Holders of public office should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing.

Honesty

Holders of public office should be truthful.

Leadership

Holders of public office should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs.

ANNEX 2: DECLARATIONS OF INTEREST OF MEMBERS OF COUNCIL, ITS COMMITTEES AND PANELS

1. All members of Council of the Natural Environment Research Council, its Committees and Panels are required, on taking up their appointments, to declare any private, professional or commercial interests that might conceivably conflict with the interests of the Research Council. These interests may be direct or indirect, monetary or non-monetary, which members of the public might reasonably think could influence judgement. Such interests will include company appointments, directorships, consultancies, honorary appointments, and significant shareholdings. Indirect interests can arise from a member's connections with organisations or individuals who have a direct interest or from being a partner of, or being employed by, a person with such interests. Non-monetary interests can also arise from membership of clubs and other organisations. Any declaration should include the interests of immediate family members and any persons living in the same household. Members should also consider whether they need to disclose relevant interests of other connected persons.
2. In most cases only current interests need to be declared, but it is possible that, on occasions, past interests will or could influence present behaviour in which case a continuation of a declaration of that interest may be appropriate. When an interest that has been declared ceases to have any effect or influence, it should be removed from the register of interests.

Personal Remuneration

3. The key test must be to relate the remuneration and its source to the activities of the Research Council. Members of Council should declare the names of the body or company concerned where they receive personal remuneration from:
 - Any appointment at a university or research institute or similar body;
 - Any directorships or employment or other connection with companies in any field where the company might benefit from support by the Research Council either as a collaborator or in some other way;
 - Any position of authority in charities or other bodies providing research funding.

In all cases, interests in bodies which are directly supported by the Research Council, or benefit as collaborators or licensees etc from

which income is received, should be declared however small the amount.

If a member receives a pension (and possibly, where it is to be received at some point in the future), either from any body that falls within the above categories or from a closely related body that manages its pension scheme, the name of the body and the fact that a pension is received (or to be received) should be declared.

Shareholdings

4. Members of Council should declare shareholdings or other financial interests in any company involved or planning to be involved in scientific or technological areas that fall within the remit of the Research Council.

Shareholding, options etc in a single company listed on the main market of a recognised stock exchange with a market value of less than £10,000 need not be disclosed unless they are known to benefit as a participant in collaborative research or other projects funded by the Research Council or are known to be significant suppliers of goods and services.

Holdings in unit trusts, investment trusts, pension schemes or other similar arrangements under which the investor has an interest in a large number of enterprises need not be disclosed unless they specialise in scientific or technological areas within the Research Council's remit and have a market value of greater than £10,000. Share portfolios need not be disclosed if the management arrangement is in the form of a blind trust or similar arrangement where the individual has no control whatever over management.

Non-Financial Interests

5. In line with the advice on personal remuneration, Members of Council should declare any unremunerated involvement with any other body or company which has connections with the Research Council funded activities. This should include:
 - Appointments at a university or research institute or similar body;
 - Directorships or employment or other connections with companies in any field where the company may benefit from support by the Research Council either as a collaborator or in some other way;
 - Position of authority in charities or other bodies providing research funding;

PROTECT - POLICY

- Membership of clubs and associations should be registered if they come within the scope of the above.

In addition members should declare the university and department or institute or similar body with whom they are significant collaborators outside of the member's own institution or organisation. The nature of the relationship should also be stated eg research collaboration. Members will need to make a judgement to what is "significant". As a general rule the smaller the number of collaborators and the larger the project the greater the need for disclosure. For example, fellow investigators in major projects should be disclosed, but in most cases there would be no need to disclose the names of collaborators in large multi-collaborative projects, including the names of all industrial partners, unless the collaborator was involved in a specific or significant piece of research with them.

Research Income

6. In all cases bodies from which research income is received should be declared, particularly those supported by the Research Council or which benefit as collaborators or licensees from whom income is received. The size of the sum does not need to be quantified or declared.

Family Interests

7. The above should also be taken to apply to close family members, e.g. spouse, parent, child.

Publication

8. Declarations of interest (pro-forma can be found at Annex 3) will be held centrally. Members are approached annually to confirm their declaration of interest, but any new interests should be reported to the Council Secretariat as and when they occur.
9. Corporate governance best practice suggests that declarations of interest should be placed in the public domain. Once you have returned your declaration of interest form, the Council Secretariat will place your current register of interests on the the Research Council website. If you have any objections to this, please let the Secretariat know.

Managing conflicts of interest

PROTECT - POLICY

10. The register of interests will be used to provide briefing, to the Chair of a meeting, on any potential conflicts of interest that may be generated by items on the agenda. The Chair will draw attention to any potential conflict of interest at the beginning of each agenda item. Members must also declare any potential conflict of interest which has not been identified by the Chair. In certain cases, perhaps due to a change of job that creates a substantial and on-going conflict, it may be appropriate for a member to tender their resignation from the Council.
11. Members should not take part in, and normally should not be present for, discussions or decisions if they have a monetary interest in the matter under consideration or some other interest which is clear and substantial. The issue to be addressed in deciding whether a member should be excluded from participation is whether a member of the public, knowing the facts of the situation, might reasonably think that the particular interest could influence the judgement of other members present. In the case of studentships, grant or other funding applications it will be normal practice for any member whose own application is under consideration or who is from the same department as an applicant, to be asked to withdraw from the meeting for that item. Note that whilst a conflict of interest does not necessarily apply in the case of a member from a different department in the applicant's university, it will still be a matter to be drawn to the Chair's attention and for the meeting to decide what action to take.
12. The minutes of the meeting will record decisions about conflict of interest, any withdrawal from the meeting for particular items and the reasons for them.
13. It is the responsibility of the Chair of a meeting to ensure that these foregoing procedures are followed.

Advice

14. We are aware of the sensitive and confidential nature of some aspects of these declarations particularly those involving personal remuneration, shareholdings and other financial interests. If you are particularly concerned about this we are prepared to consider merely stating the nature of the interest and the parties involved, without revealing sensitive information. Should you wish to discuss any aspect of this, please contact the Council Secretariat.



**Annex 3:
Form for REGISTER OF DECLARED PRIVATE,
PROFESSIONAL, COMMERCIAL AND OTHER
INTERESTS**

Please refer to the guidance notes³ before completing this register entry. In addition to guidance on each section, examples of information required are also provided. Where you have no relevant interests in the relevant category, please enter 'none' in the register entry.

Name:	
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<p>Please list all NERC bodies you are a member of: E.g. Council, Science & Innovation Strategy Board, Expert Panel etc and your position (e.g. chair, member).</p>

<p>Main form of employment: Name of University and Department or other employing body (include location), and your position.</p>

<p>Research group/department web page: Provide a link to any relevant web pages for your research group or individual page on your organisation's web site.</p>

Please give details of any potential conflicts of interests arising out of the following:

<p>1. Personal Remuneration: Including employment, pensions, consultancies, directorships, honoraria. See section 1 for further guidance.</p>

<p>2. Shareholdings and Financial Interests in companies:</p>

<p>3. Research Income during current session (1 April 2012-31 March 2013): Declare all research income from bodies supported by the NERC and research income from other sources above the limit of £50k per grant for the year. See section 3 of the guidance for further information.</p> <p>You do not need to provide the total value of the award or your total anticipated grant income within the year though you may wish to do so.</p>

³ Include link to guidance when this is published on the web.

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4. Major academic collaborators [national and international]: Declare all significant collaborations outside your primary institution or organisation. See section 4 of the guidance for further information.

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5. Non-Financial Interests: In line with the advice on personal remuneration, Members of Council should declare any unremunerated involvement with any other body or company which has connections with the Research Council funded activities

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6. Political/pressure group associations: Members are expected not to occupy paid posts, or hold high-profile unpaid roles within a political party, pressure group or similar organisation. Any political/pressure group association should be declared. See section 6 of the guidance for further information.

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7. Family: Provide details of any potential conflicts that may arise out of any known interests of immediate family. See section 7 of the guidance for further information.
Please indicate which section (1-6) above applies. Family members do not need to be identified, either by name or their relationship to you.

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Declaration

I have read the NERC Code of Practice for Members of Council and agree to abide by the principles and terms of the Code as they apply to members of Council, its Subcommittees, Standing Committees and Panels.

I have read the NERC policy on Declarations of Interest and undertake to declare at meetings on NERC business any private, professional, commercial, financial, political or other interests that might be perceived to conflict with NERC interests and which have not been listed above. I agree to update this written declaration on an annual basis over the term of my appointment and provide further interim updates as circumstances change.

I note and accept that the NERC will hold these details I have provided in the Register of Interests, which is open to public inspection and subject to inspection by auditors. I note and accept that the information provided here will be published (other than any sections I have identified as being confidential) on the NERC's website and that it and will be retained in line with the NERC's retention and disposal policy for records.

Signature: **Date**