



**Application Pack for Non-  
Executive Directors**

**January 2019**

<b>Closing date for all applications:</b>	<b>18 February 2019 by 12:00pm – mid-day (GMT)</b>
<b>Interviews will take place:</b>	<b>10-11 April 2019</b>
<b>Date of first meeting:</b>	<b>21 May or 25 June 2019</b>



# **APPLICATION PACK FOR NON-EXECUTIVE DIRECTOR APPOINTMENTS**

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## INTRODUCTION

NERC - the Natural Environment Research Council - is the driving force of investment in environmental science in the UK. NERC advances the frontier of environmental science by commissioning new research, infrastructure and training that delivers valuable scientific breakthroughs. We do this because understanding our changing planet is vital for our wellbeing and economic prosperity.

We invest public money in world-leading science, designed to help us sustain and benefit from our natural resources, predict and respond to natural hazards and understand environmental change. We work closely with policymakers and industry to make sure our knowledge can support sustainable economic growth and wellbeing in the UK and around the world.

NERC is part of UK Research & Innovation (<https://www.ukri.org/>), a new body which works in partnership with universities, research organisations, businesses, charities and government to create the best possible environment for research and innovation to flourish. UKRI aims to maximise the contribution of each of its component parts, working individually and collectively. We work with our many partners to benefit everyone through knowledge, talent and ideas.

We are supported mainly by the Department for Business, Energy & Industrial Strategy (BEIS), but our activities and funding decisions are independent of government.

For further information on NERC see: [NERC website](#).

## ROLE AND RESPONSIBILITIES OF NON-EXECUTIVE DIRECTORS

NERC is looking to appoint a further Non-Executive Director (NED) to the NERC Management Board (NMB) with the relevant expertise (as set out in the person specification section). As an NMB NED you will also sit on the NERC Centre Assurance Boards and the NERC Assurance Board.

These roles are important for NERC at a time when UK Research and Innovation (UKRI) is transforming to become a unified, high-performing and adaptable organisation following its establishment in April 2018. It is essential NERC is able to demonstrate sound risk and assurance management practices to safeguard UKRI, especially through this period of change.

The role is a challenging one and needs strong, independent members with an appropriate range of skills and experience. The NEDs support the NERC Executive Chair in ensuring NERC achieves its objectives by bringing invaluable external insight and thinking alongside experience of the setting and management of the strategic delivery plan, decision making and the oversight of a committee or board.

As part of the role, non-executive directors should constructively challenge and help develop proposals on strategy. NEDs should scrutinise the performance of management in meeting agreed goals and objectives and monitor the reporting of performance. They should satisfy themselves on the integrity of financial information and that financial controls and systems of risk management and assurance are robust and defensible.

NEDs should be used to provide general guidance and a different perspective on matters of concern. The Executive may seek their guidance on particular issues before they are raised at formal board meetings. They should help to ensure that every decision made by all Directors must be in the best interests of the company.

NEDs are expected to:

- Commit to participate actively in NERC business, providing robust scrutiny and challenge and if necessary, raising concerns about the operation of NERC.
- Take on ad hoc assignments where appropriate such as chairing subgroups and task and finish groups.
- Support, advise and challenge the NERC Executive Chair and Directors
- Actively participate in the NERC's evaluation and planning efforts.
- Provide other ad hoc advice and support to NERC in the development of performance policy and practice.
- Support and constructively challenge the executive members.
- Assess external and internal risk factors.
- Support the NERC Council and Executive Chair in the development of the NERC strategic delivery plan.
- Scrutinise the performance of management in delivering our strategic delivery plan and in meeting agreed objectives.
- Monitor the reporting of performance and be satisfied with the integrity of financial information and that financial controls and systems of risk management and assurance are robust and defensible.
- Be forward looking, with a willingness to embrace change and innovation;
- Regularly develop and refresh knowledge, skills and familiarity with the business
- Uphold high standards of integrity and probity and instill the appropriate culture, values and behaviours.
- Perform the duties faithfully, efficiently and diligently to a standard commensurate with the role and individual knowledge, skills and experience.
- Declare conflicts of interest and, subject to the Executive Chair's judgement, withdraw from discussions where a potential conflict arises.

There is scope for any individual holding a NED role to contribute more beyond the strict confines of their remit. Within a NERC context, this may include, for instance,

- visiting NERC's Research Centres and Swindon Office to better understand their work
- acting in an ambassadorial capacity (where appropriate) to positively raise NERC's profile
- sharing their leadership skills and experiences with fellow members/leaders in NERC
- engaging with Council and other Board members as opportunities arise.

## The Boards

The NERC Management Board has responsibility for advising, supporting and challenging the Executive Chair on NERC as a commissioner, planning and decision-making, and for the successful implementation of the Strategy, Corporate Plan and Delivery Plan.

The NERC Centre Assurance Boards provide assurance to the Executive Chair that neither party is exposed to unacceptable or unknown risk and legal obligations, which flow from Managing Public Money, are being fulfilled. The scope of each Centre Assurance Board encompasses all the assurance needs of the Executive Chair for onward assurance to UKRI.

The NERC Assurance Board is a new Board that is being established to provide assurance to the Executive Chair on Head Office and corporate operations, finances, risks and legal obligations and to provide a holistic view on assurance of all elements of NERC, which will include scrutinizing and challenging stewardship returns to UKRI.

Additional duties include:

- Attendance at NERC Council and annual Council retreat as requested.
- Ad hoc task and finish groups.

Further details of the responsibilities for NMB and CABs are provided in the Terms of Reference section.

The boards' actions are subject to laws, regulations and the governance framework established by NERC / UKRI.

## PERSON SPECIFICATION

Applications are sought from individuals who possess a range of expertise and experience in research and innovation across higher education, industry and commerce, policy and/or civil society reflecting different characteristics and professional backgrounds.

Our ideal candidate will have energy, enthusiasm and time to commit to our business coupled with excellent people and communication skills and the ability to support and challenge the debate and influence fellow members.

### Essential Skills

Specifically, we are seeking candidates that have one or more of the following specialisms:

- Finance and audit
- Risk and assurance
- Health and Safety
- Sustainability
- Business performance management
- Major projects

In addition, we require candidates to demonstrate the following:

- Current and relevant Non-Executive Director experience
- A commitment to NERC's mission, role and priorities.

- A clear understanding of the contribution of the research sector to society and the economy
- Domain expertise and an ability to advise on new opportunities within the remit of the NERC.
- Evidence of providing advice at a strategic level with an ability to exercise judgment across a broad spectrum of policy and research issues.
- An ability to tackle and reach conclusions on complex policy issues.

### Desirable Skills

- Knowledge of and strong personal interest in some areas of NERC's remit.
- Knowledge of the decision-making process for publicly-funded research and the associated strategic issues.
- Experience of public engagement with research.

## **APPOINTMENTS**

The successful candidate will be appointed by the Natural Environment Research Council, on the recommendation of a selection panel.

NERC - UKRI is committed to equality, diversity and inclusion and welcomes applications from all. Applications from women, those with a disability and members of minority ethnic groups, who are currently under-represented at senior levels in the research and innovation community, are therefore especially encouraged.

The successful candidate will be appointed for a period of three years with a variable reappointment term of two or three years on mutual agreement.

## **MEETING ARRANGEMENTS**

### **Availability**

The successful candidate will be expected to participate in all formal NMB meetings (one per month), two Assurance Board meetings per year (one every six months) and around six Centre Assurance Board meetings per year (around three every six months).

For meetings to be quorate there must be at least half the Board members in attendance in person (plus one) or via teleconference.



## Location

Meeting will be held in various UK locations.

## HONORARIUM

An annual honorarium payment of £9000 will be paid, where eligible. This is premised on an expected 30 days contribution per year (meetings and preparatory time).

## HOW TO APPLY AND HOW NEDs WILL BE SELECTED

To apply, candidates should submit a CV and a short cover letter to Sue Morrell ([SwindonGDSAdmin@nerc.ukri.org](mailto:SwindonGDSAdmin@nerc.ukri.org)) by **12:00pm (mid-day GMT) on 18 February 2019**. The covering letter is an opportunity for candidates to demonstrate how they meet the person specification. Candidates are also requested to complete the additional forms (pages 11 to 14) and submit these with their application. If you have any questions about the recruitment process or would like to arrange to speak to an existing NED, please also contact Sue Morrell.

Once the deadline has passed, all applications (covering letter and CV) will be acknowledged and then passed to the selection panel (see below) to review the applications against the person specification. The panel will agree which applicants will be selected for interview. Further particulars will be provided to candidates selected for interview.

At the final appointment stages, where applicants are as qualified on merit, the selection panel will seek to achieve a balanced membership in terms of, for example, diversity, expertise and experience.

The selection panel for the NED appointments will comprise:

- The NERC Executive Chair, Professor Duncan Wingham (panel chair)
- A member of NERC Council
- Member independent from NERC.

The timescale for selection and appointments is in the table below.

Activity	Timing
Role advertised	7 January 2019
Deadline for applications	18 February 2019 by 12:00pm (mid-day GMT)
Shortlisting decisions (new date)	22 March 2019
Interviews	10 -11 April 2019
Appointments confirmed	W/C 15 April 2019
First NMB meeting	21 May or 25 June 2019

## Data Protection Policy

Before starting your application and providing your personal details, please read our [Privacy Notice](#) that contains full details of how your information is processed once you have made an application.

## APPLICANT DETAILS

The following pages will not be shown to the panel.

### Preferred Contact Details:

SURNAME	FIRST NAME	INITIAL(S)	TITLE
ADDRESS FOR CORRESPONDENCE			
CONTACT TELEPHONE NUMBER(S) Day - Evening - Mobile -	EMAIL ADDRESS		

**Potential or Actual Conflicts of Interest**

Please give details of any business or other interests or any personal connections which, if you are appointed, could present a conflict of interest holding this role. These could include financial interests or share ownership, membership of societies, activities, associations or employment of a partner or friend in the particular field in which the public body operates.

Any potential or actual conflicts of interest detailed here will not prevent you going forward to interview but may, if appropriate, be explored with you during your interview to establish how you would address the issue(s) should you be successful in your application. If you have no interests that might be actual or perceived conflicts of interest, please write **“none”**.

# Equal Opportunities Monitoring Form

In Confidence

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## Policy

UKRI is committed to promoting diversity and equal opportunities. Our intention is to reflect not only the letter but also the spirit of diversity and equal opportunities legislation and we oppose all forms of unlawful and unfair discrimination. Our aim is to have a diverse and well-motivated workforce where all colleagues are treated fairly. The same principles apply to Council membership.

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## Monitoring

You are asked to provide the information below because the UKRI will monitor equality information for people who apply for roles and people who are appointed in roles (through additional monitoring) to ensure that policies and practices are fair and do not discriminate. The information will be treated as strictly confidential and used, in an anonymous way, for statistical purposes only.

**Please complete all sections of this form.**

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## Ethnicity: What is your ethnic origin?

### Asian / Asian British

- Indian
- Pakistani
- Bangladeshi
- Chinese
- Any other Asian Background (write in):

### Mixed / multiple ethnic groups

- White and Black Caribbean
- White and Black African
- White and Asian
- Any other Mixed/multiple ethnic background (write in):

### Black / African / Caribbean / Black British

- African
- Caribbean
- Any other Black/African/Caribbean background (write in):

### White

- British/English/Welsh/Scottish/Northern Irish
- Irish
- Gypsy or Irish Traveller
- Any other White background (write in):

### Other Ethnic Background

- Arab
- Any other ethnic group (write in):

- Prefer not to say

## Gender

I am:

- Male
- Female
- Prefer not to say

**Is your gender identity the same gender you were assigned at birth?**

- Yes
- No
- Prefer not to say

**Age****What is your date of birth?**

Date/month/year

 Prefer not to say**Religion or belief****What is your religion?**

- Christian (including Church of England, Catholic, Protestant and all other Christian denominations)
- Buddhist
- Hindu
- Jewish
- Muslim
- Spiritual
- No religion
- Prefer not to say
- Any other religion or belief (write in)

**Sexual orientation****What is your sexual orientation?**

- Asexual
- Bi/bisexual
- Gay man
- Gay woman / lesbian
- Heterosexual / straight
- Queer
- Other
- Prefer not to say

**Disability****Do you have an impairment, health condition or learning difference?**

- Yes\*
- No
- Unsure
- Prefer not to say

Please note the Equality Act considers a person disabled if they have a physical or mental impairment or disability that has lasted, or is likely to last, at least 12 months which has a substantial and long-term adverse effect on their ability to carry out normal day-to-day activities.

\*If you wish to discuss any reasonable adjustment(s) you may require, please respond to the relevant contact.

This form has been based on the latest guidance and recommendations provided by the [Equality Challenge Unit](#)

**Thank you for completing this form**

## Check List

Please tick items below to make sure you have included/completed the following documents when sending:

- |                                    |                          |  |                          |
|------------------------------------|--------------------------|--|--------------------------|
| 1. A covering letter (2 sides max) | <input type="checkbox"/> | 4. Potential or Actual Conflicts Of Interest | <input type="checkbox"/> |
| 2. A CV (3 sides max)              | <input type="checkbox"/> | 5. Equal Opportunities Monitoring Form       | <input type="checkbox"/> |
| 3. Preferred contact details       | <input type="checkbox"/> |  |                          |

**Please send the completed application, stating clearly the appointment you are applying for, to:**

By email: [SwindonGDSAdmin@nerc.ukri.org](mailto:SwindonGDSAdmin@nerc.ukri.org) Attention of: Sue Morrell

By post:  
Attention of: Sue Morrell  
Natural Environment Research Council (NERC)  
Polaris House  
North Star Avenue  
Swindon, SN2 1EU

## **The Seven Principles of Public Life**

In 1995, the Committee on Standards in Public Life defined seven principles, which should underpin the actions of all who serve the public in any way.

Consistent with the Commissioner's Code of Practice, applicants will be assessed on merit, and all candidates for public appointment will need to uphold the standards of conduct set out in the Seven Principles of Public Life. These will be tested as part of the selection process and the selection Panel must satisfy itself that all candidates for appointments can meet these standards; which are:

### **Selflessness**

Holders of Public Office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or other friends.

### **Integrity**

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

### **Objectivity**

Carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

### **Accountability**

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

### **Openness**

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

### **Honesty**

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

### **Leadership**

Holders of public office should promote and support these principles by leadership and example.



## Terms of Reference for the NERC Management Board

### Purpose

The NMB, within the strategic direction and guidance of Council has responsibility for advising, supporting and challenging the Executive Chair on NERC as a commissioner planning and decision-making, and for the successful implementation of the strategic delivery plan and Head Office Plan.

### Scope

The NMB scope covers the following areas:

- directing the development and implementation of Council's strategies, policies and decisions
- overall corporate management
- effective financial management
- capital decisions and spend
- centre allocations (within an NC commissioning framework)
- resource decisions not taken elsewhere, e.g. by the Science Board.
- developing and maintaining corporate information systems
- ensuring that NERC is managed according to the required standards of accountability, regularity and propriety, achieving high standards of efficiency, effectiveness, economy and health and safety, see further details on health and safety below
- NERC as a commissioner of research issues
- Cross UKRI issues
- cross-centre issues with relevance to more than one centre.

### Membership and ways of working

The NMB is comprised of the following:

- The NMB will be chaired by the NERC Executive Chair
- Membership of NMB will comprise of:
  - NERC Executive Chair
  - NERC Chief Operations Officer (COO)
  - Director, Research & Innovation
  - Director, Corporate Affairs
  - NERC non-executive directors

The NMB operates in the following ways:

- NMB meetings will be held on monthly basis (apart from August).
- Individual centre directors will be invited as necessary.
- A minimum of four members of the NMB will be present for the meeting to be deemed quorate.
- Conflicts of interest will be declared, according to NERC practice, although the nature of NMB business is unlikely to require members to leave the room.
- NMB will formally report to the NERC Executive Chair and will provide regular reports to NERC Council as necessary.
- NMB may ask any other officials of the organisations to attend to assist it with its discussions on any particular matter.
- Centre Assurance Boards (CABs) and the NERC Centres' Partners Forum (NCPF) will provide reports to NMB as required.
- The NMB will be subject to performance reviews and an effectiveness review on a regular basis.
- The NMB will be supported by a Secretariat.

### Health and Safety

NMB will have to consider how well NERC and centres as a whole are managing health and safety with the topic as a standing item on their agenda, and will also receive the NERC Health and Safety Annual Report. CABs will have to provide information on their centre's health and safety performance and provide the discussion / explanations / challenges that are reported to NMB by the Executive Chair or the COO to allow it to form an opinion, discuss the matter and make decisions. There will also need to be a feedback loop between the NMB and CABs on local or cross NERC health and safety matters.

### Transparency

In line with NERC's approach to corporate responsibility, the agenda and a summary of the meeting will be published on the NERC website.

## Terms of Reference for the Centre Assurance Boards

### Purpose

Centre Assurance Boards (CABs) will be established for:

- British Antarctic Survey (BAS)
- Centre for Ecology & Hydrology (CEH)
- NERC Centre for Atmospheric Sciences (NCAS)
- NERC Centre for Earth Observation (NCEO)
- National Oceanography Centre (NOC)

The following do not require a CAB as assurance can be managed through the Funding Assurance Programme (due to lower level of funding):

- Scottish Association for Marine Science (SAMS)
- Plymouth Marine Laboratory (PML)
- Sea Mammal Research Unit (SMRU)
- Sir Alister Hardy Foundation for Ocean Survey (SAHFOS)
- Marine Biological Association UK (MBA)

Relationship meetings with the British Geological Survey (BGS) will take place as necessary.

The purpose of the CABs are to provide assurance to the NERC Executive Chair that neither party is exposed to unacceptable or unknown risk and legal obligations and obligations which flow from Managing Public Money are being fulfilled. The CAB will operate the Centre Assurance Framework that will be a condition of funding for each centre.

The CAB provides a forum to review the comprehensiveness and reliability of assurances on governance, risk management, the control environment and financial statements. The scope of the CABs should encompass all the assurance needs of the NERC Executive Chair and onwards to UKRI.

The CAB will assure the NERC Executive Chair:

- That the organisation is well run.
- That the centre is financially stable and viable so that national capability delivery is secure.
- That there is compliance with statutory and non-statutory requirements.
- That NERC funded capital projects are on track to delivery intended benefits, in line with the parameters of the business case.

### Scope

The CAB scope covers the following areas (adapted as necessary for individual centres):

- centre governance
- reviewing centre plans for areas in scope
- risk management
- funding assurance
- research integrity
- business continuity planning arrangements
- periodic review of National Capability (NC) monitoring and reporting
- financial performance, stability and viability
- delivery of NERC funded capital projects including benefits realisation
- people / HR
- EU procurement Directives and Regulations
- estates management
- implementation of key policies such as whistle blowing, fraud and bribery, corporate governance, reputation management, gifts and hospitality (not applicable for NCEO and NCAS)
- audits and inspections (not applicable for NCEO and NCAS)
- health & safety policy and reporting (see health and safety section below) (not applicable for NCEO and NCAS)
- information security and records management
- partition and non-partition (BAS only).

## **Membership and ways of working**

The CAB is comprised of the following:

- Each CAB will be chaired by either the NERC Executive Chair or the NERC Chief Operating Officer (COO).
- Membership for each CAB will comprise of the NERC Executive Chair, the NERC COO, the relevant centre director and appropriate senior managers, the NERC Director, Research & innovation (as appropriate) NERC Finance Business Partner, NERC HR Business Partner for NERC Centres (as appropriate), NERC Director for Projects & Programmes, a Non-Executive Director.

The CAB operates in the following ways:

- CAB meetings will be held for centres on a six-monthly basis and will absorb the Centre Action & Resources Plan (CARP) process. These meetings will be chaired by the COO. BAS will also have two portfolio meetings per year, chaired by the COO. The first meeting will be a light touch CARP meeting with the second meeting being more CARP focused to meet UKRI requirements. Additional meetings may be convened, as deemed necessary.
- Meetings with BGS will only take place if deemed necessary following a BGS Board meeting.
- A minimum of three members of the CAB (two of whom have to be the chair and the relevant centre director) will be present for the meeting to be deemed quorate.
- Conflicts of interest will be declared, according to NERC practice, although the nature of CAB business is unlikely to require members to leave the room.
- CAB will formally report to the NERC Executive Chair and will provide regular reports to the NERC Management Board (NMB).
- CAB may ask any other officials of the organisations to attend to assist it with its discussions on any particular matter.
- CABs will incorporate the Centre Action & Resource Plan (CARP) process.
- The CABs will be subject to an effectiveness review on a regular basis.
- The work of the CABs may be scrutinised by other NERC Boards and the Government Internal Audit Agency (GIAA).
- The CABs will be supported by a Secretariat, including the NERC Risk & Assurance Business Partner
- The CAB chair will be responsible for agreeing the agendas (per meeting and rolling agenda), minutes and a summary of the meeting. To ensure transparency, the agendas and the meeting summary will be published on the NERC website.
- Centres must ensure that their Executive Boards approve all documentation ahead of being submitted to a CAB meeting.

## **Health and Safety**

CABs will provide information on their centre's health and safety performance and provide the discussion / explanations / challenges that are reported to NMB by the Executive Chair or COO to enable NMB to form an opinion, discuss the matter and make decisions. There will also need to be a feedback loop between the NMB and CABs on local or cross NERC health and safety matters.

NCAS and NCEO do not form part of NERC's legal entity so their CABs will not need to consider their health and safety except in respect of the operation of the Facility for Airborne Atmospheric Measurements (FAAM). At 'in-house' research centre CABs, centre directors will have to present information, statistics and relevant details on their overall health and safety performance including:

- reportable occurrences
- legal non-conformities
- enforcement visits and actions
- serious or potentially serious accidents, incidents and near misses
- statistics (such as numbers of accidents, incidents, near misses, training courses, inspections / audits etc.)
- other important safety issues, including details of BS OHSAS 18001 / ISO 45001 matters
- actions taken or proposed to deal with internal centre safety matters
- feedback and discussion on cross-centre health and safety issues and actions required by NMB and / or the NERC Executive Chair.