



UK Research
and Innovation

Audit, Risk, Assurance and Performance Committee (ARAPC)

Application pack

January 2021

Closing date for all applications: 24th February 2021



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Welcome message – Sir John Kingman

Dear candidate,

We are delighted that you are interested in becoming a member of the ARAPC Sub-Committee of UK Research and Innovation.

Through leading the overall strategic direction of research and innovation funding in the UK, UKRI is pushing the frontiers of human knowledge and delivering benefits for UK society and the economy, through world-class research and business-led innovation.



As a sub-committee of the UKRI Board, members of ARAPC play a critical role in shaping and challenging our policies and processes. You will be responsible for reviewing the comprehensiveness and reliability of assurances on governance, risk management, the control environment, performance information and the integrity of financial statements.

Given the breadth of this role, we are seeking candidates from a variety of backgrounds and value diversity of thought and experience within inclusive groups, organisations and the wider community. UKRI believes that everyone has a right to be treated with dignity and respect, and to be provided with equal opportunities to flourish and succeed in an environment that enables them to do so.

Once again thank you for your interest and we look forward to speaking to you at a later stage of the process.

Best wishes,
Sir John Kingman
Chair, UKRI Board



Introduction

The Higher Education and Research Act (2017) established UK Research and Innovation (UKRI) under the sponsorship of the Department for Business, Energy and Industrial Strategy. UKRI works in partnership with universities, research organisations, businesses, charities and government to explore and create the best possible environment for research and innovation to flourish.

Our vision is for an outstanding research and innovation system in the UK that draws in and gives everyone the opportunity to contribute and to benefit, enriching lives locally, nationally and internationally.

Operating across the whole of the UK with a combined budget of more than £8 billion, UKRI brings together the seven Research Councils, Innovate UK and Research England.

This application pack covers appointments to the UKRI Audit, Risk, Assurance and Performance Committee (ARAPC).



Role of the UKRI ARAPC

The ARAPC is one of three formal sub-committees of the UKRI Board. It is responsible for supporting the Board and Accounting Officer by reviewing the comprehensiveness and reliability of assurances on governance, risk management, the control environment, performance information and the integrity of financial statements. The ARAPC provides oversight and independent challenge regarding the implementation of policies and processes developed by UKRI. Its main responsibilities are set out in its Terms of Reference (see page 17).



Members of the Committee play a leading role in ensuring that UKRI's accounting policies and procedures are adequate and effective for the scale and ambition of the organisation. This rewarding yet challenging role reaches across the full breadth of UKRI and the nine councils enabling research and development work to be propelled forward coherently.

UKRI ARAPC appointments

The ARAPC comprises 6-10 members. It is chaired by a member of the UKRI board approved by the Secretary of State for BEIS. At least one other member of the Board will also sit on the Committee. All other members will be selected to ensure that there is an appropriate mix of skills and experience required to discharge the responsibilities of the Committee.

Members are normally appointed for three years, however this may vary to stagger the future appointment of members.



Responsibilities of all ARAPC members

Members of the ARAPC will:

- Work effectively within the public sector’s requirements for accountability and openness as defined in the “Seven Principles of Public Life”;
- Seek information from the Executive to ensure they are fully briefed;
- Be candid with peers and with the Executive, providing constructive challenge as appropriate;
- Seek to establish a culture of accountability, and diversity of thinking;
- Quickly obtain a good understanding of the UKRI culture and structure including organisational objectives and significant issues currently facing the organisation;
- Declare conflicts of interest and, subject to the Chair’s judgement, may be required to withdraw from discussions where a potential conflict arises.
- Document review, preparation and attendance at committee meetings

Included are the ARAPC Terms of Reference to further understanding of the role.



Person specification

All our members are required to have the ability to contribute to the range of activities undertaken by the Committee. We would therefore expect applicants to have experience in and/or understanding of one or more of the following:

- Demonstratable senior experience of leading finance, accountancy or auditing functions in large complex organisations such as universities, public sector, commerce or industry;
- Experience of the higher education funding system;
- Depth of knowledge of the commercial and/or research, development and innovation sectors; including the wider landscape and environment which UKRI operates



- Current or recent experience of working as a member of one of the following; audit, risk or assurance committee, organisational performance management, or similar relevant experience;
- Finance, accounting and audit
- Internal controls, including fraud and internal audit
- Strong understanding of risk management, including non-financial risks and security;
- Experience of advising on governance and policy in relation to IT, information governance, cyber security issues, including emerging information technology risk governance.
- Understanding of Information Assurance (information governance, GDPR, FOI etc),
- Experience of oversight or management of major and complex programmes or business critical projects;
- Understanding of the governance, assurance, control and accountability structures and requirements within a large complex organisation ideally across:
 - Ethics & compliance
 - Environmental, social and corporate governance
 - The public sector and environment

Our ideal candidates should also possess the following personal skills:

- Good communication and interpersonal skills;
- Sound judgement, integrity, probity and high ethical standards;
- Ability to work collegiately as part of a senior committee;
- Ability to critically and objectively challenge and probe.
- Ability to operate flexibly where the need arises by working remotely or within conventional settings

It is essential that the successful candidate can commit the required time and attention to the role and have the full support of their employing organisation to do so.

Meeting arrangements

Availability

Members will be expected to participate in all formal ARAPC meetings (approximately five per year). Meeting arrangements will include scope for remote participation. The precise operating model will be determined by the ARAPC Chair in conjunction with the ARAPC members. The Chair may call further extraordinary meetings as necessary. Meetings will be held in or at UKRI offices in London or Swindon.



Remuneration

Members will be paid either an honorarium premised on an expected 10 days contribution per year or an attendance allowance plus expenses. Government officials, civil or public, are not permitted to receive payment.

Members will be paid an honorarium of £3,400 per annum.

How to apply

If you are interested in applying and have any questions, please contact the UKRI Senior Recruitment Team lead by email (seniorrecruitment@ukri.org).

To apply, candidates should submit a CV (limited to three sides) and covering letter (limited to two sides) to (seniorrecruitment@ukri.org) by 24th February 2021. 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 on pages 8-13 and submit these with their application.



Once the deadline has passed, receipt of 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. 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 ARAPC Chair will make the proposed recommendation of appointments to the ARAPC in conjunction with the selection panel. A list will then be presented to the Nominations and Remunerations Committee for decision. The outcome of the committee's decision will be communicated to candidates.

The selection panel for the ARAPC appointments will be led by the Chair of ARAPC Committee, Fiona Driscoll who will be joined by a diverse panel comprised of existing committee members and independent UKRI colleagues.

UKRI is committed to equality, diversity and inclusion and welcomes applications from all sections of society. 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 to apply.



Indicative timescale for appointments is in the table below.

Activity	Timing
Deadline for applications	24th February 2021
Shortlisting	March 2021
Interviews	March/April 2021
Appointments	TBC



Applicant details

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

Privacy Notice

UK Research and Innovation (UKRI) understands the importance of protecting personal information and is committed to complying with the General Data Protection Regulation 2016/679 (GDPR).

For more information on how we handle personal data please visit our webpage [Privacy notice – UKRI](#)



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 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

Our commitment

At UKRI we believe that everyone has a right to be treated with dignity and respect, and to be provided with equal opportunities to flourish and succeed in an environment that enables them to do so. We also value diversity of thought and experience within inclusive groups, organisations and the wider community.

To maintain the UK's world-leading position in this field, we want to become even better at attracting and nurturing people from the widest possible pool and enabling them to fulfil their career ambitions.

We believe we can inspire, engage with and learn from all our people to maximise the benefits that diversity of thought and experience can provide.

Our principles

We believe that everyone has the right to be treated with dignity and respect and are committed to:

- eliminating discrimination and advancing equality of opportunity
- identifying and removing barriers to employment and progression
- building a culture that values openness, fairness and transparency.

To read more about how we are supporting equality, diversity and inclusion at UKRI please visit our webpage: [How we support EDI in the workforce – UKRI](#)

Monitoring

You will be asked to provide information to assist UKRI to 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. To ensure that the information is anonymous we ask you to complete an independent survey. This information is intended for statistical purposes only.

The survey can be accessed through this link <https://www.surveymonkey.co.uk/r/3KCC8HG>

For more information on how we handle personal data please visit our webpage [Privacy notice – UKRI](#)



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) 4. Data Protection Consent

2. A CV (3 sides max) 7. Potential or Actual Conflicts Of Interest

3. Preferred contact details

Please send completed application, stating clearly which appointment(s) you wish to apply for, to:

By email: seniorrecruitment@ukri.org Attention of Fiona Dargavel



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.

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.



UK Research
and Innovation

Audit, Risk, Assurance and Performance Committee

Terms of Reference



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Background and Context

The Higher Education and Research Act 2017 establishes UK Research and Innovation as a body corporate which may:

- (a) carry out research into science, technology, humanities and new ideas,
- (b) facilitate, encourage and support research into science, technology, humanities and new ideas,
- (c) facilitate, encourage and support the development and exploitation of science, technology, new ideas and advancements in humanities,
- (d) facilitate, encourage and support knowledge exchange in relation to science, technology, humanities and new ideas,
- (e) collect, disseminate and advance knowledge in and in connection with science, technology, humanities and new ideas,
- (f) promote awareness and understanding of science, technology, humanities and new ideas,
- (g) provide advice on any matter relating to any of its functions, and
- (h) promote awareness and understanding of its activities.

Role of the UKRI Audit, Risk, Assurance and Performance Committee

The Audit, Risk, Assurance and Performance Committee (ARAPC) is a formal sub-committee of the UKRI Board. It is responsible for supporting the Board and Accounting Officer by reviewing the comprehensiveness and reliability of assurances on governance, risk management, the control environment, performance information and the integrity of financial statements. The ARAPC provides oversight and independent challenge regarding the implementation of policies and processes developed by UKRI.

The ARAPC is an advisory body and has no executive responsibilities or decision-making powers, except where explicitly delegated. The ARAPC does have the authority to:

- Request the attendance of additional participants for any item or meeting.
- Co-opt additional members with relevant experience and expertise.
- Conduct investigations and seek any information required to discharge its role
- Establish sub-committees as required
- Liaise with internal and external auditors or seek independent legal/specialist advice where necessary.



Responsibilities of the UKRI Audit, Risk, Assurance and Performance Committee

The ARAPC will operate in accordance with best practice outlined in the HMT ARAC handbook and the Corporate Governance code of good practice for Central Government department

The ARAPC will review and provide advice to the Accounting Officer and UKRI Board on:

- Adequacy and Effectiveness of UKRI's accounting policies and procedures. ARAPC will review and endorse the UKRI's draft Annual Accounts for approval by the Accounting Officer.
- Adequacy and Effectiveness of UKRI's control environment, including corporate governance arrangements and financial and other controls. ARAPC will review and endorse the UKRI's annual Governance Statement for approval by the Accounting Officer.
- Adequacy and Effectiveness of UKRI's approach to budgetary management including monitoring in year movements, underspends and overspends and ensuring optimal value for money;
- Adequacy and Effectiveness of UKRI's policies and arrangements around regularity and propriety,
 - i. The scope and effectiveness of counter fraud policy and strategy
 - ii. Review whistleblowing policy
- Adequacy and Effectiveness of Risk Management systems (financial and non-financial) including consideration of:
 - i. The scope and effectiveness of UKRI's risk management strategy, processes and systems.
 - ii. The content and quality of the corporate risk register and fraud risk register
 - iii. The management of key risks (and opportunities) in line with UKRI's risk appetite as set and approved by the UKRI Board.
- Adequacy and Effectiveness of the Management of Major and Business Critical projects, including management of risks and response to audit or gateway reports.
- Adequacy and Effectiveness of UKRI's Assurance Framework as set out in the assurance map, including the comprehensiveness, reliability and integrity of assurance available with specific focus on Grants and 3rd party relationships.
- Adequacy and Effectiveness of the provision of Internal and external audit to UKRI, including the approval of the internal audit plan.
- Consider the adequacy of management responses to any major internal or external audit recommendations.
- Oversee and review assurance on UKRI transformation programme including the progress towards delivering efficiencies through the integration of common business services.



- Overview of overall operations and performance (KPIs/dashboards etc.).
- Review compliance with regulatory requirements (e.g. Health & Safety, Data Protection).
- The Research Councils' Pension Scheme (RCPS)¹ including the review of governance and risk management activities, Annual Accounts and internal/external audit of the scheme.
- Adequacy and Effectiveness of arrangements to manage material litigation.
- Adequacy and Effectiveness of UKRI's delegation arrangements and framework documents which should be reviewed annually by ARAPC on behalf of the board.
- Any other matters at the request of the UKRI Board or Accounting Officer.

Membership

The ARAPC should consist of 6-10 members, with at least two individuals from the UKRI Board. The ARAPC Chair and Deputy Chair must be UKRI Board members. The balance of independent members should reflect the skills and experience required by the ARAPC to fulfil its duties.

At least 50% of members, one of whom must be either ARAPC Chair or Deputy Chair, must be present (in person or via video/teleconference) for the meeting to be deemed quorate. The committee will agree in advance arrangements for occasions when the quorum cannot be met.

All Committee members and other invited attendees should uphold the seven principles of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership.

¹ This is only a requirement while the scheme is not part of the civil service scheme. There is no requirement in relation to the MRC scheme as it has a separate board of trustees and external and internal auditors.



Frequency of Meetings and Secretariat responsibilities

The ARAPC will normally meet five times a year, although additional meetings can be requested by the ARAPC Chair, members, Board or Accounting Officer as required.

Only members have a right to attend and vote at ARAPC meetings, but they will usually be joined by the Accounting Officer; Chief Financial Officer and others agreed by the ARAPC Chair. Representative of NAO and Internal Audit will be invited to attend; The Chair of UKRI has a standing invitation to attend but will not have voting rights.

The Secretary of State (SoS) for Business Energy and Industrial Strategy or a representative has the right to attend but does not hold voting rights.

Members can request a closed session at any time. There should be at least one closed session per year. The ARAPC may also ask any or all attendees (NAO, GIAA, BEIS, UKRI staff) to withdraw from all or part of the meeting to facilitate open and frank discussion. The reasons for this and outcomes of the discussion will be recorded in the minutes.

The ARAPC should conduct an annual self-assessment of its effectiveness. Individual ARAPC members should also be appraised annually by the ARAPC Chair. The results of the assessment will be reported to the UKRI Board as part of the ARAPC annual report.

Minutes will be circulated to members after ARAPC meetings, The UKRI Board will also receive ARAPC minutes or summary report of the meeting and an oral update from the ARAPC chair.

The ARAPC will provide a retrospective annual report to the Board and Accounting Officer regarding its activities and any conclusions it has reached throughout the year. This will be timed to support the finalisation of the Annual Report, Accounts and Governance Statement. The ARAPC may also use its annual report to propose changes to its terms of reference.

The secretariat will provide strategic leadership and foresight to help ensure that the Committee delivers to its full potential, as well as providing coordinating and logistical support. Specific responsibilities for the secretariat include:

- Establishing the Committee and supporting Committee members in their induction;
- Taking a strategic approach to the operation of the Committee, ensuring it adheres to best practice principles of corporate governance;
- Working closely with the Chair to advise and brief him/her on the management and performance of the Committee;
- Liaising directly with Committee members in order to ensure their perspectives are integrated into the operation of the overall Committee;
- Providing logistical support to schedule and run Committee meetings, and taking and agreeing minutes;
- Tracking and following up on actions arising