



University of East Anglia

Information Services Directorate

The Library  
University of East Anglia  
Norwich Research Park  
Norwich NR4 7TJ  
United Kingdom

Email: [foi@uea.ac.uk](mailto:foi@uea.ac.uk)  
Tel: +44 (0) 1603 593 523  
Fax: +44 (0) 1603 591 010  
Web: <http://www.uea.ac.uk>

24 March 2017

Dear [REDACTED]

**Freedom of Information Act 2000 – Information request (ref: FOI\_17-051)**

We have now considered your request of 24 February 2017 as clarified on the same date and on 21 March for information relating to the University's governance. Our response is on pages 2-3 of this letter, together with a copy of your request.

On this occasion, it is not possible to provide all the requested information. In line with your rights under section 1(1)(a) of the Act to be informed whether information is held, we confirm that the University does not hold information in response to questions 3, 6 and 7 of your request. Further information is on pages 2 and 3 of this letter.

We hope this information will meet your requirements, however if you are not satisfied you have the right of appeal. If you wish to appeal, please set out in writing your reasons for appealing and send to the above address. You must appeal within 60 calendar days of the date of this letter. Any appeal received after that date will not be considered nor acknowledged. This policy has been reviewed and approved by the Information Commissioner's Office.

You also have a subsequent right of appeal to the Information Commissioner's Office. Further information is available on their website:

[https://ico.org.uk/Global/contact\\_us](https://ico.org.uk/Global/contact_us), or by telephone on 0303 123 1113.

Please note that any material over which UEA has copyright is released on the understanding that you will comply with all relevant copyright rules regarding reproduction and/or transmission of the information provided.

Please quote our reference given at the head of this letter in all correspondence.

Yours sincerely

David Palmer  
Information Policy and Compliance Manager  
University of East Anglia

## Response to Freedom of Information Act 2000 request (FOI\_17-051)

*'1. Have any sanctions been imposed by any awarding organisations on UEA in the last 3 years? If so, please provide details.'*

*[Clarification on 24/02/17: 'For awarding organisation I would consider this to cover any organisation that awards grants (including ESRC, BBSRC, NERC, Leverhulme, charities, ERC, etc.), or HEFCE. That is, any organisation which has an income stream flowing into UEA.']*

There have been two (2) such instances as noted below:

Date	Organisation	Offence	Sanction
2017	NERC - the Natural Environment Research Council	Failure to meet a 20 per cent success rate quality threshold.	In the current year UEA has been sanctioned and can submit a maximum of 9 proposals to each standard grant call. UEA had not previously been sanctioned by NERC.
2017	EPSRC – Engineering and Physical Sciences Research Council	UEA does not have sufficient EPSRC grant holdings to meet eligibility threshold for DTA scholarships.	UEA does not receive any DTA studentships.

*'2. Have there been any serious complaints or allegations made about UEA in the last year? If yes, please provide details.'*

*[Clarification on 24/02/17: 'I would consider this to include any complaints or allegations made to the Police, QAA, local authority, or any education-related ombudsman.']*

The following table shows details of the complaints made to the Office of the Independent Adjudicator. The OIA is an independent body set up to review student complaints. There have been no other complaints as defined.

Type of complaint	Academic Year		Total
	2015/16	2016/17	
Academic appeal	8	1	9
Academic complaint	1	0	1
Non-academic complaint	1	0	1
Details not recorded	1	0	1

*3. Are any of UEA's senior staff<sup>1</sup> serving a disqualification order made by the court under the Company Directors Disqualification Act 1986? If so, please provide details with dates.*

<sup>1</sup> Please note that we define 'senior staff' as members of the Council and the Executive Team.

**[Information not held - s.1(1)(a), Freedom of Information Act]**

We hold no recorded information to show that any UEA senior staff member is serving such a disqualification.

4. Has UEA passed the Due Diligence Assurance Gateway process?

Yes.

5. Is UEA registered on the Skills Funding Agency Register of Training Organisations?

Yes.

6. Has any of the Directors or any other person who has powers of representation, decision or control at UEA been convicted of any of the following:

- Conspiracy which related to participation in a criminal organisation
- Corruption
- Bribery
- Fraud
- Money Laundering

Any other offence within the meaning of Article 45 (1) of the Public Sector Directive.

If Yes, please provide full details'

[Clarification on 24/03/17: 'This refers to current Directors etc. - so how far it goes back is related to their age rather than that of UEA.]

**[Information not held - s.1(1)(a), Freedom of Information Act]**

As the University is an exempt charity, we have 'Trustees' (the members of Council) rather than Directors. We hold no recorded information to show that any of the Trustees have been convicted of any of these offences.

7. Has UEA or any part of it:

- had a County Court Judgement against them

If Yes, please provide full details'

[Clarification on 24/02/17: 'this relates to UEA back to when it was founded'; further clarification on 21/03/17: 'I do not include students' and 'It does not include personal, but would include judgements in relation to work outside, or prior, to employment at UEA']

**[Information not held - s.1(1)(a), Freedom of Information Act]**

The University does not have a policy of holding records of County Court judgements on employee files and we have no other record of any such judgement against any member of staff.