

UNIVERSITY COURT – AGENDA

Thursday 17 June 2021, 14.00-17.00

Apologies: *Stephen Ingledew*
Declarations of interest: *None*

Introduction		
1.	Minutes of the meeting held on 11 May 2021	Paper A
2.	Matters arising	5 mins Oral
3.	Principal's Report <i>Principal</i>	Oral 30 mins
Substantive items		
4.	Q3 Business Report 2020/21 <i>Chief Financial Officer, Director of Strategy & Policy</i>	Paper B 20 mins
5.	Budget, Financial Forecasts and University Operating Plan, 2021/22 <i>Chief Financial Officer, Director of Strategy & Policy</i>	Paper C 30 mins
6.	TIC Zone Planning: Design Stage 3 Approval <i>Chief Commercial Officer</i>	Paper D 20 mins
7.	Concordat to Support the Career Development of Researchers: Progress Report and Future Plans <i>Associate Principal, Research & Innovation</i>	Paper E 10 mins
8.	University of Strathclyde Students' Association Budget and Plan, 2021/22 <i>President and Chief Executive of USSA</i>	Paper F 10 mins



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Items for formal approval		<i>15 mins</i>
9.	Court and Committee membership 2021/22	Paper G
10.	Case for Investment for Royal College Fire Safety Improvements Works	Paper H
11.	Intellectual Property & Commercialisation Policy	Paper I
Items for information		<i>10 mins</i>
12.	Report of the Inquiry Recommendations Implementation Group	Paper J
13.	Equality, Diversity & Inclusion Committee Annual Report	Paper K
Committee reports (for noting, unless otherwise stated)		<i>5 mins</i>
14.	Executive Team	Paper L
15.	Senate	Paper M
16.	Court Business Group	Paper N
17.	Court Membership Group	See item 9
18.	Audit & Risk Committee For approval: amendment to Regulations (considered under item 9)	Paper O
19.	Staff Committee	Paper P
20.	Estates Committee For approval: Royal College Building Fire Safety Improvements Works (considered under item 10)	Paper Q
21.	Enterprise & Investment Committee (Report to Court) Enterprise & Investment Committee Annual Report	Paper R Paper S
Closing remarks		<i>10 mins</i>
22.	Any other business	
Date of next meeting Tuesday 5 October 2021, 9.30-12.30		



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MINUTES OF UNIVERSITY COURT

11 May 2021

Meeting held by videoconference

Present: Dame Sue Bruce (Convener), Paula Galloway (Vice-Convener), Professor Sir Jim McDonald (Principal), Virginia Beckett, Dr Jeremy Beeton, Ronnie Cleland, Alison Culpan, Andrew Eccles, Gillian Hastings, Stephen Ingledew, Dr Barbara Keating, Susan Kelly, Professor Scott MacGregor, William McLachlan, Dr Katharine Mitchell, Malcolm Roughead, Heather Stenhouse, Marion Venman

Attending: Professor Tim Bedford, Professor Douglas Brodie, Adrian Gillespie, Professor David Hillier, Professor Atilla Incecik, Manish Joshi, Dr Veena O'Halloran, Benn Rapson, Professor Ian Rivers, Gordon Scott, Professor Eleanor Shaw, Rona Smith, Professor Iain Stewart, Steven Wallace, Dr Daniel Wedgwood

Apologies: Linda Brownlow, Kayla-Megan Burns, Chelbi Hillan, Cllr Ruairi Kelly, Peter Young

Welcome and apologies

The Convener welcomed Court members and attendees to the meeting.

No interests were declared.

1. Minutes

Court **approved** the minutes of the meeting held on 2 March 2021.

2. Matters arising

There were no matters arising, other than those covered in the main agenda.

3. Principal's Report [taken as item 4]

The Principal noted that the Director of Strategy & Policy, Rona Smith, would be leaving the University in the summer to take up a position at the University of Edinburgh. He expressed his thanks for her many important contributions at Strathclyde and wished her well in her new role.

The process for appointing the preferred candidate to a new Senior Officer role was nearly complete and an announcement was due to be made soon. The Convener and the Senior Deputy Convener had participated in the recruitment process. The role was to be designated Chief Digital & Information Officer, subject to Court's approval later in the meeting.

The University's Global Talent recruitment scheme had attracted a large and diverse field of strong applicants from across the world. The selection and recruitment process was in progress.

The University Secretary & Compliance Officer (USCO) gave an overview of developments in the University's management of the Covid-19 pandemic. The Scottish Government had recently reduced Covid-19 protection levels and had published plans to further relax restrictions if public health outcomes allowed. Planning was in progress for the new academic year, taking into account a range of scenarios. The University, alongside other representatives of the HE sector, continued to engage regularly with the Scottish Government over the safe arrival and housing of students and other key issues. On-campus activity with certain levels of social

distancing was expected to be possible in the autumn, but it was recognised that these assumptions could be subject to significant change, depending on the course of the pandemic nationally and globally.

Court **noted** the report.

4. COP26 Update

The Associate Principal (Research & Innovation) gave a presentation to update Court on the University's preparations for the United Nations Climate Change Conference, also known as COP26, which was to be held in Glasgow later in the year. The presentation focused on the University's communications plan, planned events and the development of key partnerships.

In subsequent discussion, it was noted that:

- the University was working with key partners on an international scale, including through a major conference with the CESAER network;
- the University's COP26 activities would complement its strategic work on entrepreneurship and innovation, with early stage ideas in relevant areas stimulated from the student and researcher communities and engagement with SMEs over promising technologies;
- innovation in finance and policy had a key role to play in reducing greenhouse gas emissions and Strathclyde was well placed to be a leader in this and, more broadly, promoting systems approaches to tackling climate change.

Court **noted** the proposed activity.

5. Budget Setting: context and process

The Chief Financial Officer (CFO) presented an update on the high-level budget process for the coming academic year. This was to culminate in presentation of the budget for approval by Court at the 17 June Court meeting. An adaptive modelling process would enable uncertainties in the current global context to be taken into account and risks would be assessed and highlighted accordingly. Initial reviews of forecast income had been completed. Additional resource requests were being considered and ranked by priority as part of the budget process.

Members noted the importance of estimating student recruitment at a time of global uncertainty. The CFO noted that colleagues in Finance, Strategy & Policy, the Recruitment and International Office and the Faculties were engaged in gathering, monitoring and analysis of rich market intelligence in order to reduce risk and uncertainty in this area as far as possible.

Court **noted** the update.

6. University of Strathclyde Students' Association (USSA) Audited Account 2019/20

The Chief Executive of USSA presented the student association's annual accounts, in compliance with statutory requirements to make the accounts available to Court. It was noted that USSA had a strong cash position and had seen good underlying commercial performance, despite the impact of the pandemic for part of the relevant financial year, but the accounts showed an overall deficit, primarily due to pensions liabilities.

It was noted that the planned relocation of the students' union into the new Learning & Teaching Building would create significant new opportunities, both commercially and in service provision. New initiatives would support inclusiveness and student wellbeing, with an initial focus on the needs of students particularly affected by the pandemic. It was noted that the University's work in connection with the Learner Journey would complement the Students' Association's work in these areas.

Court **noted** the financial statements.

Items for formal approval

7. Corporate Risk Register

The USCO presented the Corporate Risk Register (CRR). The previously separate Covid-19 Risk Register had been integrated into the main CRR and the opportunity had been taken by risk owners, as part of this process, to adjust the risk ratings in certain areas to reflect the impacts of the pandemic and resulting levels of uncertainty. The CRR would continue to be developed, to produce a register that fully implemented the University's new approach for the October meeting of Court.

Discussing the wider context, members noted that risks associated with cyber crime were increasing globally. The USCO noted that the University had a strong cyber security strategy and that specialist colleagues were constantly monitoring known threats and new developments and working with the rest of the sector and other agencies to ensure the best possible protections were in place. Cyber security training had been rolled out across the University.

Court **noted** the top risks.

8. Amendment to the Ordinances: Senior Officer job title

Court **approved** the proposed amendment to the Ordinances, enabling the new Senior Officer role to be established with the title Chief Digital and Information Officer and a corresponding remit.

Committee Reports

Court received and **noted** the following committee reports:

- 9. Executive Team**
- 10. Senate**
- 11. Court Business Group**
- 12. Audit & Risk Committee**
- 13. Enterprise & Investment Committee**
- 14. Estates Committee**
- 15. Remuneration Committee**

- 16. AOB**

There was no other business noted.

Date of next meeting

- Thursday 17 June 2021

**Q3 Business Report 2020/21
[RESERVED ITEM]**

2020/21 Budget, Financial Forecasts and Operating Plan 2021/22
[RESERVED ITEM]

**TIC Zone Planning: Design Stage 3 Approval
[RESERVED ITEM]**

Concordat to Support the Career Development of Researchers Progress Report and Future Plans

1. The University of Strathclyde became a signatory to the revised [Concordat to Support the Career Development of Researchers](#) (“the Concordat”) in June 2020, demonstrating our continuing commitment to supporting the career and professional development of our Researchers.¹ The aims of the revised Concordat strongly align with Strathclyde’s strategic ambitions as being delivered through Vision 2025 and our People Strategy.
2. Within the first year of signing, Institutions are required to undertake a Gap Analysis, develop an Action Plan and produce an annual report for their highest governing body, which is to be made publicly available. In line with these responsibilities, this report provides Court with a summary of progress and proposed future actions in relation to the revised Concordat. A full report will be presented to Court in November 2021, and then annually, to align with reporting on the Research Integrity and Openness in Animal Research Concordats.

Background

3. The revised Concordat to Support the Career Development of Researchers recognises the critical role of research and innovation in delivering the UK’s ambitious economic and industrial strategies, and aims to set the gold standard in researcher development, in turn, allowing this to be used as an internationally competitive advantage.
4. This agreement builds on the original 2008 Concordat, with strengthened expectations and distinct obligations on the level of support for and engagement with *Researchers* and *Managers of Researchers* under three new Principles: *Environment and Culture*; *Employment*; and *Professional and Career Development*. It also incorporates new and emerging challenges across the higher education sector, such as those relating to Research Culture, including Equality, Diversity & Inclusion (ED&I); Bullying & Harassment; Research Integrity; and Mental Health and Wellbeing.
5. There is substantial sector support for this revised Concordat with more than 80 Universities so far becoming signatories in addition to major funding organisations, including UK Research and Innovation (UKRI), the Scottish Funding Council, Wellcome, Cancer Research UK and the Royal Academy for Engineering. UKRI and the Royal Academy for Engineering have recently published their own Funder Action Plans committing to embedding the Principles of the Concordat within their funding award and review processes.

The Concordat to Support the Career Development of Researchers at Strathclyde - Implementation Progress and Future Plans

6. The University of Strathclyde is strongly committed to supporting the professional and career development of researchers, having held the [EU HR Excellence in Research Award](#) since 2011 and embedding researchers’ voices within the University through our institutional

¹ Researchers are defined as individuals whose primary responsibility is to conduct research and who are employed specifically for this purpose; appreciable numbers of research colleagues within this category are often referred to as ‘postdoctoral researchers’ or ‘postdocs’.

Researchers' Group. Additionally, Strathclyde's People Strategy places staff at the heart of our Vision 2025 Strategic Plan.

7. In line with our signatory responsibilities, Professor Tim Bedford has been named Strathclyde's Senior Academic Concordat Champion with Dr Emma Compton-Daw as the Institutional Concordat Champion. Dr Maria Weikum has been appointed as the Researcher Development Concordat Officer. The Researcher Development Concordat Steering Group (RDCSG), chaired by Professor Billy Kerr, has been convened to oversee the Gap Analysis and Action Plan development and implementation process, with representation from all Faculties and all Professional Services units currently supporting Researchers as well as Researchers themselves.
8. Over the past year, overseen by RDCSG, a comprehensive consultation process has taken place considering the views of Researchers and their Managers, as well as those who support them. Connectivity and collaboration with aligned and ongoing strategic institutional initiatives has been embedded at all stages. The Gap Analysis demonstrates that Researcher Development is well-embedded at Strathclyde in relation to the original Concordat, with activities in place such as the [Researchers' Group](#), comprehensive programmes of development activities, a [Policy for the Use of Fixed-Term Contracts](#) and the [Strathclyde Pledge](#). Opportunities for additional activity were identified in areas where the Concordat's expectations have been strengthened as well as around emerging sector-wide challenges.
9. Strategic Objectives, along with actions and success measures to enable their implementation and evaluation, have been identified and have been considered and approved by the Research and Knowledge Exchange Committee, Staff Committee, Senate and the Executive Team.

Strategic Objectives

10. Our Strategic Objectives are to:

- I. Embed the Concordat implementation and progress across the Institution through effective governance, communication, monitoring and reporting mechanisms;*
- II. Champion and embed a positive Research Culture across the Institution through bold, innovative, ambitious and collaborative approaches;*
- III. Embed time and recognition for Professional and Career Development activities as integral to the Strathclyde Researcher experience to support Researcher progression into successful, fulfilling careers across a range of employment sectors;*
- IV. Support Managers of Researchers to be excellent, effective Leaders and Managers; and*
- V. Effectively engage Researchers and their Managers with Policy and Decision-Making to develop a thriving and inclusive research environment.*

Success Measures

11. Our success will be measured and monitored in terms of timely achievement of the proposed actions. For each strategic objective, this will be captured through:

- Formation of appropriate working groups and confirmation of Concordat and Researcher representation within aligned committees and initiatives, as well as, where appropriate, identification of follow-up actions;

- Evidence of progress/improvement regarding views and perceptions of staff, collected through the Culture, Employment and Development in Academic Research Survey (CEDARS), when compared with previous years; and
- Implementation of new provision and supporting resources, including structures to maintain and update new online resources, as well as mechanisms to regularly monitor and report on continuing activities.

12. This report provides a summary of Strathclyde's implementation plans and progress within our first year as a signatory to the revised Concordat to Support the Career Development of Researchers. The Strategic Objectives identified will enable us to enhance the support for our Researchers with regard to Professional and Career Development as well as the wider Researcher environment, while delivering key aims of our Vision 2025 Strategic Plan and People Strategy.

University of Strathclyde Students' Association Budget and Plan, 2021/22
[RESERVED ITEM]

Introduction

1. This paper sets out the proposed membership of Court and relevant committees for 2021/22. It includes, as pre-requisites to the proposed membership, recommendations for Court's approval from Court Membership Group (CMG) and, in one case, Audit & Risk Committee (ARC).
2. The paper is divided into two sections:
 - Section A provides an update on the recent lay member recruitment exercise and other developments relating to the expected membership of Court itself for 2021/22 and beyond, with relevant recommendations;
 - Section B provides information and recommendations on the membership of Court's committees for 2021/22. Some committee memberships remain to be determined, once the full membership of Court has been established.
3. For ease of reference, red text boxes are used below to highlight specific proposals that are presented for Court's approval.
4. Updated projections of Court and committee memberships are provided in Annexes A and B, respectively.

Section A: Court Membership

Lay member recruitment

5. At its meeting on 23 September 2020, Court Membership Group (CMG) delegated authority to a sub-group to undertake the recruitment of lay members of Court, to fill vacancies arising at the beginning of the academic year 2021/22. The executive search agency Veredus was engaged to identify suitable candidates for three vacancies.
6. On the basis of applications generated through extensive search carried out by Veredus, the sub-group undertook shortlisting and interviewed eight shortlisted candidates, who were also given the opportunity to discuss the role with the Principal.
7. At its meeting on 17 May 2021, CMG endorsed the sub-group's recommendation that Neelam Bakshi, Melfort Campbell and Mary-Jo Jacobi be appointed as lay members of Court. Their applications for Court membership are provided in Annex C.
8. Court is requested to **approve**, on the recommendation of CMG, the appointment of Neelam Bakshi, Melfort Campbell and Mary-Jo Jacobi as lay members of Court from 1 August 2021, for an initial one-year term.

Lay member re-appointment

9. Two lay members reach the end of a term of office on 31 July 2021 with the possibility of re-appointment.
10. Paula Galloway has completed two terms of office and has indicated her willingness to continue to serve on Court. CMG has recommended to Court that she be re-appointed for a term of four years, in line with other re-appointments since the revision of the Statutes in 2020. Note that it is also proposed that Paula Galloway be re-appointed for a concurrent four-year term in the role of Vice Convener (see below).

11. Virginia Beckett has completed her initial one-year term as a lay member of Court. She has indicated her willingness to continue to serve on Court. CMG has recommended that she be re-appointed for a second term of office, of four years. Note that it also proposed that Virginia Beckett should assume the role of Deputy Convener, Estates (see below).

12. Court is therefore requested to **approve**, on the recommendation of CMG,

- the re-appointment of Paula Galloway as a lay member of Court for a third term of office, to last four years, 1 August 2021 – 31 July 2025; and
- the re-appointment of Virginia Beckett as a lay member of Court for a second term of office, to last four years, 1 August 2021 – 31 July 2025.

Convener of Court

13. Dame Sue Bruce has served as Convener of Court since 2017 and has a year left of her current term of office (i.e. to 31 July 2022).

14. The coming years will be an exceptional period in all sectors of the economy, with the expectation of gradual emergence from measures relating to the Covid-19 pandemic, followed by management of its immediate and longer-term impacts. Given the global uncertainty that this engenders, any organisation will benefit from stable and experienced stewardship during this period.

15. In addition, this period coincides with a crucial stage in implementing the University's strategy, including the development of major projects, notably the TIC Zone in the Glasgow City Innovation District, the planning and timing of which have been affected by the pandemic.

16. In this context, CMG has recommended that the present Convener's term of office be extended by one year, to 31 July 2023, in order to benefit over this exceptional period from her experience, proven leadership and unique understanding of the University and its strategy.

17. While this would constitute an extension to Dame Sue's originally foreseen term of office, the total time she would serve as Convener would remain within the maximum allowed under the current Statutes (as revised in 2020).

18. Court is therefore invited to **approve** the extension of the Convener's current term of office by one year, until 31 July 2023.

Other Court Officers

19. Paula Galloway has completed her initial two-year term as Vice-Convener and has indicated her willingness to continue to perform this role. The Ordinances state that "The Vice-Convener shall hold office for two years and shall be eligible for re-appointment but shall not serve continuously for more than eight years in that office".

20. The Convener has proposed that Paula Galloway be re-appointed as Vice-Convener, subject to her re-appointment as a lay member of Court (see above) and that her second term as Vice Convener should be concurrent with her third term as a lay member. CMG has endorsed this proposal.

21. Court is therefore invited to **approve** the Convener's nomination of Paula Galloway to be re-appointed as Vice Convener for a second term of office, to last four years, 1 August 2021 – 31 July 2025 (subject to her re-appointment as a lay member of Court for the same period; see above).

22. Marion Venman is the current Deputy Convener, Estates, but will complete her maximum term as a member of Court in July 2021. Therefore, this position will become vacant. In addition to an overall oversight and guidance role in relation to Estates, this office brings *ex officio* membership of Court Membership Group and the Deputy Convener's role of Estates Committee.

23. The Convener has proposed that Virginia Beckett be appointed to this role. She is an experienced member of Estates Committee, both before and during her time as a lay member of Court, and brings highly relevant expertise and professional experience. CMG has endorsed this proposal. (Note that Deputy Convener roles, unlike the Vice Convener's role, are not subject to fixed terms of office.)

24. Court is therefore invited to **approve** the Convener's nomination of Virginia Beckett to be appointed as Deputy Convener, Estates (subject to her re-appointment as a lay member of Court; see above).

25. Ronnie Cleland will continue to serve as Deputy Convener, Staff and Senior Deputy Convener.

Professional Services Staff Member

26. In May, an election was run, in line with Ordinance 2.1.28, to elect a Professional Services member of staff to serve on Court. The election was won by Elaine Blaxter, University Librarian & Head of Library Services, who will take up office on 1 August 2021 for a three-year period.

Senate membership

27. Dr Katharine Mitchell will complete her maximum term as a Senate member of Court on 31 July 2021. Senate will therefore elect a new member of Court for 2021/22 through the usual election procedures. This election is due to take place in June and the results will be formally reported to Senate in September.

28. Linda Brownlow remains a Senate member of Court, her term of office running until July 2023.

Student membership

29. The terms of office of USSA's elected officers begin in June each year. The terms of student Court members therefore begin and end earlier than those of other Court members. However, the 2020-21 officers remain in post until after the present meeting of Court.

30. Benn Rapson, previously the USSA Vice President (Welfare), has been elected as USSA President and will serve on Court during 2021/22.

31. The second USSA Executive member to serve on Court in 2021/22 will be confirmed in due course, via the usual USSA procedures.

Local Government member

32. Councillor Ruairi Kelly is the current Glasgow City Council representative on the University Court and is eligible to continue to serve.

Section B: Committee Membership

Lay Member Committee Roles

33. The **current** Committee responsibilities of lay members of Court are as follows:

An asterisk indicates 'committee convener'. Members leaving this year are shown in italics. Members with no current committee roles are omitted.

Lay Member	Responsibilities
Sue Bruce (Convener)	CBG*, CMG*, Remuneration
Paula Galloway (Vice-Convener)	Audit & Risk*, CBG, CMG
Ronnie Cleland (Senior Deputy Convener & Deputy Convener, Staff)	Remuneration*, CBG, CMG, Staff
Gillian Hastings (Treasurer)	EIC*, CBG, CMG, Remuneration, Estates
<i>Marion Venman</i> (Deputy Convener, Estates)	CBG, CMG, Estates, Remuneration
<i>Jeremy Beeton</i>	Estates, Audit & Risk
Alison Culpán	Audit & Risk
Susan Kelly	EIC
Malcolm Roughead	Staff, EIC
Brenda Wyllie	Audit & Risk
Stephen Ingledew	Staff
Peter Young	SACSOH*
Virginia Beckett	Estates

34. Annex B sets out the expected membership of each committee for 2021/22, indicating where vacancies lie. No changes to convenerships are expected.
35. CMG will be contacted in due course to make recommendations concerning the relevant remaining committee vacancies, which will be considered once the full membership of Court has been established.

Co-opted members of Committees

Audit & Risk Committee

36. Audit & Risk Committee (ARC) currently has two members co-opted from outside of the University or Court, who have continuing terms of office and are expected to remain members of the committee in 2021/22.
37. An excellent additional candidate for membership of ARC has recently been identified and is likely to be approached to become a co-opted member for the new academic year. This will require a change to the committee's Terms of Reference, to allow it to include three co-opted non-Court lay members. Therefore, Court is asked to approve a change to the Regulations, changing *two* to *three* in the following paragraph, as indicated:

1.2.13 *The Committee shall consist of no fewer than four lay members of the Court, of whom one shall be Convener. At least one member shall have recent relevant experience in finance, accounting or auditing. The Committee may co-opt up to ~~two~~ three further individuals external to the University, who should not have significant interests in the University, for a period of time to be determined by the Committee. The convener of Court should not be a member of the committee.*

38. Court is asked to **approve** this amendment to the Regulations on the recommendation of ARC.

SACSOH

39. Similarly, an individual with highly relevant expertise in wellbeing has been identified as a potential additional member of the Statutory Advisory Committee on Safety and Occupational Health (SACSOH). A change to the committee's Terms of Reference would be required to allow co-opted non-Court lay members (as opposed to attendees). This will be addressed at SACSOH's first meeting of the new academic year, as part of an annual review of the Terms of Reference, and subsequently proposed to Court.

Enterprise & Investment Committee

40. Enterprise & Investment Committee (EIC) has five co-opted non-Court lay members. All of these complete terms of office on 31 July 2021. One of these, Tracy Black, is eligible, under the committee's Terms of Reference, for the first of two possible re-appointments. The other four were appointed prior to the 2019 revision of the Terms of Reference, at which point only two terms of office were permitted, and all four are reaching the end of their second terms. The committee has agreed to offer three of these members a further term of office, in line with the new Terms of Reference, given a number of significant contextual factors:

- To lose four of the five co-opted members at one time would have a considerable impact on the business of EIC, given the experience and skills these individuals bring to the committee.
- The Investment Team has been restructured, including the appointment of a new Head of Investment. Retaining co-opted members, and their expertise, will provide continuity with a working knowledge of the current portfolio and pipeline, alongside decisions on investment cases.
- The launch of Inspire will benefit as above from the expertise and knowledge of co-opted members who have been engaged for some time.
- Investments can take time to be realised and require continuity of support/guidance during that time period, particularly where multiple rounds may be required. It was recognised and addressed in 2019 that one renewal of committee membership may not be sufficient in this context.

41. Following discussions with the members involved, the following has been agreed, with a view to avoiding abrupt turnover of co-opted members in future:

- John Waddell and Fred Hallsworth will renew for a further three years;
- Gillian Watson will renew for 18 or 24 months (details to be confirmed);
- David Sneddon will step down.
- A new member, Paul Atkinson, will be co-opted. Paul Atkinson is a Founder Partner and active investor with Par Equity, one of the UK's top performing Venture Capital firms, and is Chair of Converge, among other non-executive roles.

42. While decisions around co-opting are matters for the committee, Court is invited to **note** these developments.

Recommendations

43. Court is invited to

- **note** the projected membership of Court and relevant committees for 2021/22, based on the information currently available; and
- **approve** the amendment to Terms of Reference and the appointments, re-appointments and extension recommended by ARC and CMG, as detailed above.

University Court
Provisional Membership 2021/22

Subject to approval of proposals put to the present meeting

Convener of Court	Dame Sue Bruce (CBG, CMG, R) <i>(Extended term to 2023)</i>
Vice-Convener of Court	Paula Galloway (CBG, CMG, A) <i>(Re-appointed as Vice-Convener to 2025)</i>
Senior Deputy Convener and Deputy Convener (Staff)	Ronnie Cleland <i>(to 2022)</i> (CBG, S, CMG, R)
Treasurer	Gillian Hastings (CBG, E, CMG, R, EIC) <i>(to 2022)</i>
Deputy Convener (Estates)	Virginia Beckett <i>(to 2025)</i> (E, CMG)
Co-opted Members	Neelam Bakshi <i>(to 2022)</i> Melfort Campbell <i>(to 2022)</i> Mary-Jo Jacobi <i>(to 2022)</i> Brenda Wylie <i>(to 2022)</i> (A) Alison Culpan <i>(to 2023)</i> (CMG, A) Malcolm Roughead OBE <i>(to 2023)</i> (S, EIC) Susan Kelly <i>(to 2023)</i> (EIC) Stephen Ingledew <i>(to 2024)</i> (S) Peter Young <i>(to 2024)</i> (SACSOH)
Principal Vice-Principal	Professor Sir Jim McDonald Professor Scott MacGregor
Appointed by Senate	Linda Brownlow <i>(to 2023)</i> TBA <i>(to 2024)</i>
Elected Staff	Dr Barbara Keating <i>(to 2023)</i> Elaine Blaxter <i>(to 2024)</i>
Staff nominated by Trade Unions	Andrew Eccles <i>(to 2023)</i> William McLachlan <i>(to 2023)</i>
President and Vice-President of the Students' Association	Benn Rapson (CBG, E, CMG) <i>(to 2022)</i> TBA <i>(to 2022)</i>
Local Government	Councillor Ruairi Kelly

Attending

The following Officers of the University normally attend meetings of the University Court:

University Secretary & Compliance Officer	Dr Veena O'Halloran
Chief Commercial Officer	Adrian Gillespie
Chief Financial Officer	Steven Wallace
Associate Principal & Executive Dean	Professor Ian Rivers, Faculty of Humanities & Social Sciences Professor David Hillier, Strathclyde Business School Professor Atilla Incecik, Faculty of Engineering Professor Iain Stewart, Faculty of Science
Associate Principal	Professor Tim Bedford (Research & Innovation) Professor Douglas Brodie (Social Inclusion) Professor Eleanor Shaw (Entrepreneurship & Education)
Director of HR	Gordon Scott
Director of Strategy & Policy	TBA
Head of Governance & Public Policy (Clerk to Court)	Dr Daniel Wedgwood

Membership of Court Committees and Court-related Committees, 2021/22

*Updated for Court meeting, 17 June 2021, based on proposals put to this meeting
Vacancies (yellow) and proposed additions highlighted*

Court Business Group	Enterprise & Investment Committee	Court Membership Group	Audit & Risk Committee
Convener of Court – Dame Sue Bruce	Treasurer – Gillian Hastings (Convener)	Convener of Court – Dame Sue Bruce	Paula Galloway (Convener)
Vice-Convener – Paula Galloway	Principal – Professor Sir Jim McDonald	Vice-Convener – Paula Galloway	Lay member – Alison Culpan
Treasurer – Gillian Hastings	Chief Commercial Officer – Adrian Gillespie	Treasurer – Gillian Hastings	Lay member – TBA
Lay member – Ronnie Cleland	Chief Financial Officer – Steven Wallace	Deputy Convener (Estates) – Virginia Beckett	Lay member – Brenda Wyllie
Lay member – TBA	Member of Court – Susan Kelly	Deputy Convener (Staff) – Ronnie Cleland	Kerry Alexander (co-opted)
Principal – Professor Sir Jim McDonald	Member of Court – Malcolm Roughead	Principal – Professor Sir Jim McDonald	Ian Reid (co-opted)
Vice-Principal – Professor Scott MacGregor	Co-opted Member – Fred Hallsworth	Vice-Principal - Professor Scott MacGregor	Additional co-optee, subject to change of ToR
University Secretary – Dr Veena O’Halloran	Co-opted Member – John Waddell	Student Member – Benn Rapson	
Chief Financial Officer – Steven Wallace	Co-opted Member – Gillian Watson	Staff Member – Linda Brownlow	Strategic Committees
Student Member – Benn Rapson	Co-opted member – Tracy Black	Lay member – Alison Culpan	Estates Committee*
Staff Member – TBA	Co-opted Member – Paul Atkinson	Staff Committee*	Vice-Principal – Professor Scott MacGregor (Convener)
		Associate Principal – Professor Douglas Brodie (Convener)	Principal – Professor Sir Jim McDonald
		Principal – Professor Sir Jim McDonald	Deputy Convener (Estates) – Virginia Beckett
		Deputy Convener (Staff) – Ronnie Cleland	Treasurer – Gillian Hastings
		Member of Court – Malcolm Roughead	Chief Financial Officer – Steven Wallace
		Member of Court – Stephen Ingledew	University Secretary – Dr Veena O’Halloran
		Senate-appointed member – Brian Green	Senate representative – Brian Green
		Senate-appointed member – Professor Ian Rivers	Senate representative – TBA (not appointed by Court)
		Co-opted member – Professor Yvonne Perrie	Student President – Benn Rapson
		Chief Financial Officer – Steven Wallace	Director of Estates Services – Stella Matko
		Chief People Officer – Sandra Heindinger	Co-opted member (Court member) TBA
Remuneration Committee	SACSOH**		
Lay member – Ronnie Cleland (Convener)	Lay member – Peter Young (Convener)		
Convener of Court – Dame Sue Bruce	University Secretary – Dr Veena O’Halloran		
Treasurer – Gillian Hastings	Potential new co-optee		
	[Other members drawn from the University as per Terms of Reference]		

*The Staff and Estates Committees are strategic committees reporting primarily to Executive Team, but include Court members.

**The University’s Statutory Advisory Committee on Safety and Occupational Health (SACSOH) is formally a committee of Court, but has a large membership drawn from across the University. Only the positions directly related to Court are listed here.

**Court and Committee Membership 2020/21
Annex C
[RESERVED ITEM]**

1. Executive Summary

Over the last 5 years, the occupancy capacity within the Royal College building has changed, as a result of the University's continued growth and investment programme in the Royal College. This has necessitated the need to review the existing fire management arrangements to ensure that these are fit-for-purpose and compliant.

As part of the continuous Campus improvement process, and based on the output from the last building condition survey, fire risk assessments undertaken by the University's Fire Safety Advisor and the recent focus on fire safety following the Grenfell Tower tragedy, in 2020, Estates Services commissioned external Consultants to carry out a full fire safety review of the Royal College Building at 204 George Street, Glasgow.

The output from the review is a fire strategy/safety report that highlights improvements that are deemed necessary in order to make the building compliant with current Building Standards (Fire Safety) Scotland. This fire safety report considered the adequacy and condition of both the existing building fabric and building services equipment and infrastructure including all life safety systems. The report provides recommendations to mitigate the risks and details an improved fire strategy for the building. The costs provided within this paper are based on the items identified within the report as requiring priority attention. The report covers the design of a new fire evacuation strategy developed by the external consultants, which is reliant on the completion of all phases of the works.

As indicated within **Section 3 table 1** below, whilst there are areas where the building currently meets or exceeds the required standards, and there are areas where compliance is not fully met, risk control measures such as regular patrols of the building and early detection of fire alarms due to extended coverage of the fire detection system are in place to manage these risks and under the recommendations made in the report there is a clear requirement for improvement measures to be undertaken.

As such, a four phase strategy has been developed which is detailed in **Appendix 1**. This is prioritised based on the level of risk and the scope of works that require to be delivered in accordance with the recommendation/strategy within the report and takes cognisance of the need to undertake the work whilst the building is in operation.

The highest priorities within the building that require to be addressed are:

- Improvements to facilitate emergency Vertical Escape
- Improvements to facilitate emergency Horizontal Escape

Focusing on the above two key areas will significantly reduce the level of risk and will improve the fire safety provision within the building by implementing the works identified within Phases 1 and 2 of the report and provide improved horizontal and vertical escape from the higher occupancy upper levels of the building. Thereafter, Phases 3 and 4, which are assessed as a lesser risk, are planned to be undertaken during the summer recess of 2022.

This provides a programme of works that gives a measured response to addressing the risks identified in the report and programmes works whilst allowing the building to operate with minimum disruption.

[Reserved].

2. Background

The Royal College building was completed in 1903, and numerous improvements and renovations have been carried out in the intervening period, all of which were compliant with the Building standards at the relevant time. Over the last period, the delivery of a phased plan of investments has meant that accommodation and occupancy patterns have altered significantly, and infrastructure improvements, including a review of the overall Fire Strategy have become critical to supporting the safety of the occupants, and bringing the standards in alignment with the current regulations.

Over the last five years, investments such as Upgrading of Teaching accommodation, external fabric works (replacing life expired sections of the roof, repairing and replacing stonework and the replacement of windows on the Montrose Street elevation) have been completed.

In addition, Equality and Diversity improvements to the George Street entrance were completed last year, and work is nearing completion on a phased replacement of all the lifts. Work to create a new toilet stack including provision for gender neutral and those with mobility issues has commenced on site and will be completed in 2021.

An investment of £4M is underway to Academic areas including new EEE laboratory facilities, and the renovation of the South Lab for a Robotics Cluster.

The building has been adapted and changed through the decades and works have been planned with respect to the original architectural design whilst sympathetically modernising to ensure compliance with current Building and other relevant Statutory Regulations.

The most recent building condition report had previously identified items of non-compliance within the Royal College and this formed part of the current 5-year maintenance plan leading to budget allocation within the backlog maintenance included within the current Capital Investment Plan.

In light of all of the above circumstances, Estate Services commissioned the services of ECD Architects supported by Building Services Consultants Hulley and Kirkwood and a Fire Engineer, to undertake and develop the fire strategy for Royal College building. The scope of this included reviewing all fire protection related to fabric and building services, identifying non-compliance issues within the building and preparing a scope of work to address the key issues.

3. Technical Standards Compliance Review

The Fire Safety review identified a range of compliance issues within the building which are highlighted in the **Table 1** below. The review was conducted in accordance with the Scottish Technical Standards 2019 Non-Domestic regulations.

(Table 1)

Area of Review	Compliant With Standards?	
	Yes	No
Maximum Compartmentation	Yes	No
Openings and Penetrations	Yes	No
Internal linings	Yes	No
Occupancy capacity	Yes	No
Travel Distance	Yes	No
Number of Exits	Yes	No
Escape Route Width	Yes	No
Escape from inner room	Yes	No
Protected Lobbies	Yes	No
Protected Zones	Yes	No
¹ Emergency Lighting	See note below	No
² Fire Alarm	See note below	No
Accessible Entrance	Yes	No

The proposed strategy has identified the high priority items and recommends that the first focus should be on the vertical escape followed by the horizontal escape.

Currently, risk control measures such as regular patrols of the building and early detection of fire risk, due to extended coverage of the fire detection system are in place to manage areas deemed non-compliant

3.1 Vertical Escape (Phase 1)

The remedial works required to improve vertical escape entails the replacement of fire door sets and fire stopping to provide the required protection against fire and smoke for a period of 1 hour as required by the building standards. The door sets within Royal College are substantial due to the wide corridors and high open ceilings. Over the years, fire compartmentation has been compromised as a result of works such as the installation of IT structured cabling, telecoms, intruder alarm systems etc.

There are 3 main stairwells in the Royal College; George Street, Montrose Street and John Street. The intention is that this project will undertake all three stairways and adjacent rooms, as part of phase 1.

The strategy identifies that the highest risk is the Montrose Street stairwell and recommends that this should be prioritised

The stairwell door sets to the George Street stairwell on level 2, level 6 & part of level 5 have been more recently upgraded and therefore this area has lower priority than the Montrose St stairwell.

The John Street stairwell was not part of the original building construction and was installed more recently following recommendations from a previous building conservation report. As this is a more modern construction, this stairwell will be addressed and improved upon, last of the three stairwells.

[Reserved].

¹ The existing emergency lighting system is generally compliant but there are a number of areas that have been identified as requiring additional luminaires such as instances when escape is required through multiple rooms in order to get to the escape corridor/route

² Whilst the fire alarm system is generally compliant, various enhancements have been identified as part of the survey that will improve the level of detection and make call points operable for wheelchair users.

3.2 Horizontal Escape (Phase 2)

Overview of Current Occupancy

Levels 6, 5 & 4 of the building are the most populated levels.

Levels 3 & 2 are a lower priority and risk due to the proximity to the final exit points.

Level 1 is currently not in use.

[Reserved]

4. Royal College Fire Safety Works (Phases 1 and 2)

To ensure that compliant fire safety standards can be demonstrated within the building, the fire strategy/improvements report recommends that phased works should prioritise the vertical escape stairs and then the horizontal escape as detailed in Appendix 1. As such, this case for investment seeks approval to undertake the package of works identified in Phases 1 and 2 with the expectation that phases 3 and 4 will follow on as identified in the 5-year maintenance plan.

Works include the installation of new fire door sets and lobbies, the upgrade or replacement of existing doors, replacement glazing, fire protection to all service penetrations, sealing around electrical conduit and cable trays, smoke detection and emergency lighting upgrades.

[Reserved.] The current Capital Investment Plan includes an allocation of backlog maintenance funding to allow this work to progress in alignment with the 5-year maintenance plan.

Phases 1 and 2 can be delivered over one summer spanning two financial years. This would require an estimated construction programme of 100 days with works commencing on 10th May 2021 and completing by 8th October 2021. There are additional benefits in undertaking these works during 2021. (Note- This programme is dependant on Planning and Warrant approvals being granted timeously by Glasgow City Council)

1. The works within these normally high trafficked areas can be undertaken at a time when the campus has little occupancy due to the on-going Covid-19 pandemic therefore works can progress faster and be less disruptive.
2. Undertaking both phases as a combined project will provide financial savings in terms of the overall construction cost and professional fees. It will also take advantage of lower tender inflation at present with this expected to rise significantly when Covid-19 restrictions ease.

Please see Appendix 2 (phase 1 and phase 2 combined) that provides indicative project programmes for undertaking these options.

5. The Procurement Strategy

The works will be procured in conjunction with the University's Procurement team using the current Estates Minor Works Framework (MWF) Lot 2 for works greater than £750k and also using the

Planned and the Reactive Maintenance Frameworks (PMRF) for some of the specialist and enabling works. This will allow works to be tendered and a contract awarded to allow the majority of works to be completed within the current financial year (2020/21)

The tender package would be issued with instruction for the contractor to price for phase 1 only and phase 1 and 2 combined with the University reserving the right to award either, both or none of these options.

6. Building Warrant Approval and Listed Building Consent

Initial discussions have taken place with Glasgow City Council in regard to the conservation strategy. The proposed fire strategy has been developed on the principal that all existing doors and decorative finishes that are part of the listing will be retained where possible. Where new door sets and screens are required, then these will be compliant with current Building Standards code but in-keeping with the original architecture.

7. Benefits of the Proposed Strategy

- Progressing these works is essential to improving safety and allowing the University to address higher risk areas in relation to the Statutory Regulations as quickly as possible .

Elements of disruptive works can be completed at a time when less staff and students are on campus due to the on-going Covid-19 pandemic .

- Fire safety compliance builds on the other recently completed compliance works associated with access for those with mobility challenges. This allows the Royal College building to transition into a modern compliant space and recognising its heritage and strategic importance as the University's corporate headquarters whilst being sympathetic and respecting its historically listed importance in terms of its architecture.
- The works will significantly improve the building safety and aligns with the University's continued investment in its campus. There will be aesthetic improvements associated with the works that will improve the appearance of the building and therefore enhance the student and staff experience

8. Estates Committee review of Proposals .

At the Estates Committee meeting on the 9th of March, the Estates Committee reviewed this paper detailing the implementation of the new fire evacuation strategy for the Royal College to address the risks identified within the report.

The Estates Committee made a recommendation to progress with Phases 1 and 2 of the Fire Safety Works during summer 2021 **[Reserved]**.

The funding for these works is included in the current Capital Investment Plan, with an allocation of backlog maintenance in place to allow this work to progress in alignment with the 5-year maintenance plan.

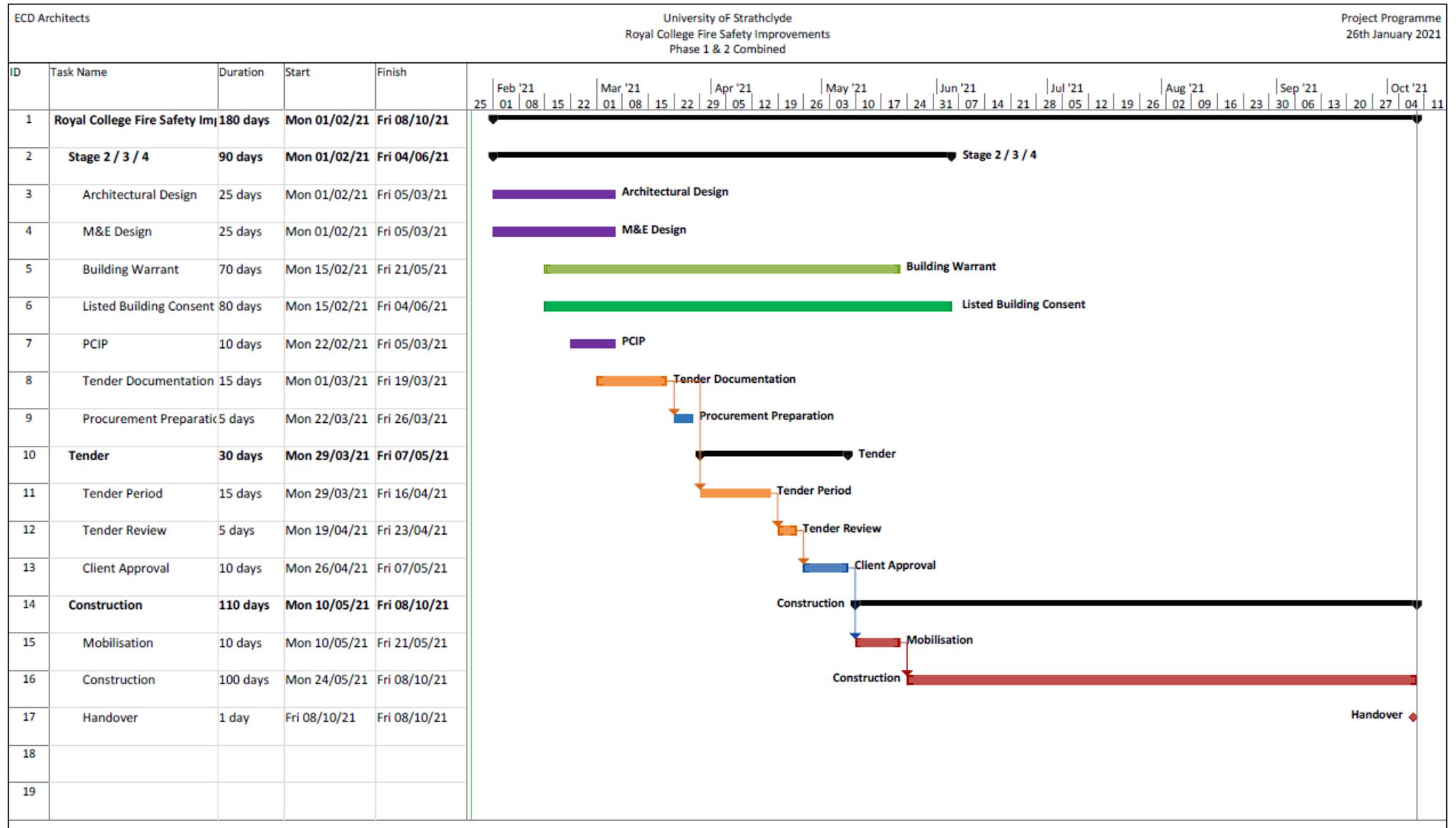
It was agreed that Estates Services will bring proposals for Phases three and four forward to a subsequent Estates Committee.

9. Recommendation

Court is asked to note the recommendation made by the Estates Committee to progress with the delivery of Phases One and Two of the Royal College Fire Safety Works and to **approve** this project to progress for delivery commencing in Summer 2021.

**Case for Investment for Royal College Fire Safety Improvements Works
Appendix 1
[RESERVED ITEM]**

Appendix 2. Indicative Programme to Deliver Phase 1 and Phase 2 Combined



Case for Investment for Royal College Fire Safety Improvements Works
Appendix 3
[RESERVED ITEM]

INTELLECTUAL PROPERTY & COMMERCIALISATION POLICY

Version No.	Description	Author	Approval	Effective Date
1.1	<p>University policy providing an overarching statement on Intellectual Property (IP) and Commercialisation.</p> <p>This Policy will replace The University Policy on Company Creation, Commercialisation and Investment</p>	Innovation & Industry Engagement	<p>Senate 25/03/2020</p> <p>Court xx/xx/xxxx</p>	

(Approved June 2012, amended by Executive Team, February 2015, amended by Court, November 2015).

Court Minute 1321 ROYALTY INCOME (CM 1280) will be replaced by this Policy.

14-Jun-21

Version 1.5

the place of useful learning

The University of Strathclyde is a charitable body, registered in Scotland, number SC015263

Intellectual Property & Commercialisation Policy

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1. POLICY PURPOSE

Strathclyde is a leading international, technological University with a strong entrepreneurial culture and a rich history of innovators and entrepreneurs.

Employees and Students of the University of Strathclyde (the University) generate Intellectual Property (IP) in the course of their employment and studies respectively. This IP makes a valuable contribution to the body of knowledge relating to a wide range of disciplines.

Furthermore, certain IP generated by Employees and/or Students has potential for commercial exploitation and the creation of products and/or services for the public good. The commercial exploitation of this University IP can have a positive impact on the national and international economy, and may result in financial benefit to the University and the Employee and the Student concerned. In addition, Sponsors typically expect the University to make appropriate arrangements for the protection and exploitation of IP arising as a result of such funded research and/or knowledge exchange.

The purpose of this Intellectual Property & Commercialisation Policy (the "Policy") is:-

1. to provide guidance on the early identification of University IP;
2. to identify the appropriate protection strategy and
3. where relevant, to develop the effective route to exploitation, actively supporting both the creation and growth of Spin-out Companies and commercial licensing based on the intellectual assets of its Employees and Postgraduate Research Students.

This Policy applies to all Employees and Postgraduate Research Students of the University and in relation to the latter reference should be made to Section 14 of the Policy and Code of Practice for Postgraduate Research Study found [here](#). Arrangements for Undergraduate Students and Postgraduate Taught Students of the University are described in Annex D to this Policy. Any conflicts of interest arising in the context of IP is subject to the university Code of Practice on Conflicts of interest.

Scholarly Rights (as hereinafter defined) are specifically excluded from the scope of this Policy except to the extent that any such Scholarly Rights form part of University IP. Any Intellectual Property in the recording of teaching shall be dealt with in accordance with the University's Guidelines for the Recording and use of Pre-recorded Audio and Video Teaching Materials.¹

This Policy does not detail IP provisions that should be addressed in research collaboration agreements, strategic partnerships and initiatives but it is recommended that the IP & Commercialisation Team from IIE should be engaged with any teams across the University working on the aforementioned, to provide advice and guidance and ensure awareness of the IP Policy.

This Policy is to be reviewed at least every three (3) years.

2. TERMINOLOGY

For the purposes of this policy, the following terms are defined below:

¹ As these guidelines are still under consultation, the wording here will be reviewed once they have been finalised and approved.

Commercialisation	The route to market or method by which the IP is assessed, protected and exploited. The latter is normally through the licensing of IP to third parties and/or to the formation of spin-out companies.
Commercialisation Income	Payments received by the University from the licensing of its IP, e.g. royalties, fees (options, licence)
Costs	All costs associated with the protection and exploitation of IP including but not limited to, reasonable costs of marketing, patent protection, University financial support (e.g. IIE stage-gated process and Departmental/Faculty support) and third-party expert advice.
Distributable Income	Payments received by the University in exchange for rights to IP after deduction of Costs incurred by the University as defined above.
Employee	An Employee of the University.
Founder Inventors	An Employee or Student who makes an Invention and/or creates IP that is the subject of a licence to a University spin-out company and who holds equity in that University spin-out company as a private individual.
Intellectual Property (IP)	Patents, utility models, rights to inventions, copyright and related rights (including moral rights), trademarks, rights in designs, rights in get-up, business names and domain names, software algorithms and code (as a special case of copyright), data, databases, rights to use and protect the confidentiality of confidential information (including know-how and trade secrets), semiconductor topography rights and specialist types of IP protection such as plant breeders' rights.
IIE	Innovation and Industry Engagement Directorate
IIE IP & Commercialisation Team	The team within IIE that has responsibility for the University's IP & commercialisation activities
Invention	A novel or useful idea relating to processes, devices, machines, manufacturing or compositions of matter. It includes such things as new or improved devices, systems, software, circuits, chemical compounds, biomedical materials, mixtures etc. In lay terms, it is probable that an Invention has been made when something new or useful has been conceived or developed, or when unusual, unexpected or non-obvious results have been obtained and can be exploited. Inventions will most commonly be developed through science, engineering and clinical research, but can arise from any area of research or scholarship.

Inventor	An Employee or Postgraduate Research Student who makes an Invention or creates IP and/or an Undergraduate Student or Postgraduate Taught Student who has assigned IP to the University for the purposes of the University's commercialisation of that IP
Postgraduate Research Student	Any person who is registered as a postgraduate research student or doctoral candidate of the University.
Postgraduate Taught Student	Any person who is registered as a postgraduate taught student of the University.
Potentially Exploitable IP	An Invention or IP with potential for commercial exploitation and which may also be worth intellectual property protection (e.g. by patenting).
Realisations	The subset of Returns achieved when the University sells some or all of its shares in a Spin-out Company.
Returns	Realisations, dividends, loan repayments, loan interest and such other returns as may from time to time be received, but excluding royalty payments, rental payments, and other normal contractual payment obligations.
RKES	Research and Knowledge Exchange Services
Scholarly Rights	All copyrights in books and learned articles (including academic articles, conference papers, textbooks, theses and dissertations).
Spin-out Company	A company established with a view to commercialising IP originating at the University.
Spin-in Company	An existing company in which the University has a shareholding and may invest in on the basis of a future, long-term strategic relationship.
Sponsor	An external organisation to the University which provides funding towards certain of the University's research and knowledge exchange activities.
Stage-Gated Process	The process for reviewing commercialisation opportunities as detailed in Annex A.
Student	Any Undergraduate Student, Postgraduate Taught Student or Postgraduate Research Student.
Undergraduate Student	Any person who is registered as an undergraduate of the University.
Tangible Research Materials	This shall include, computer software, integrated circuit chips, computer databases, prototype devices, circuit diagrams, biological materials, engineering drawings, equipment and associated research data.

The Policy	Means this IP Policy
University Court	The University's Governing Body.
University IP	Certain IP generated by Employees and/or Students that has potential for commercial exploitation and the creation of products and/or services for the public good.
University Senate	The University's academic governing body which makes recommendations to University Court on matters relating to academic work, including the approval of University policies.

3. OBJECTIVES

The objectives of this policy are:

- To set out the principles that govern the University's approach to IP arising as a result of (i) an Employee's employment at the University and (ii) the studies of Postgraduate Research Students.
- To help identify Potentially Exploitable IP at an early stage, clarify its ownership and indicate sources of advice and guidance.
- To set out the process to be followed in order to implement effective exploitation of Potentially Exploitable IP for the benefit of the University, its Employees and its Postgraduate Research Students.
- To ensure that the rights and expectations of Sponsors are protected and met.

4 PRINCIPLES

- 4.1 Under UK Law, IP generated by employees in the course of their duties is the property of the employer. IP generated by University Employees in the course of their employment is the property of the University, except where there is a contract to the contrary, or unless the University has otherwise agreed in writing. This shall apply to University Employees whether or not their place of work is on the University premises including any Employees on placements unless a contract exists dictating otherwise.
- 4.2 The University's position is that research should be conducted for the benefit of society and should be published openly and widely, in order to make research findings available to the public. For research where there is no Potentially Exploitable IP, and no other barrier to publication, research findings can be published with minimum delay in line with academic norms. However, where there is Potentially Exploitable IP, publication and dissemination may be deferred for a short time pending decision on patent protection and exploitation. Employees, Postgraduate Research Students, Postgraduate Taught Students and Undergraduate Students should maintain the confidentiality of IP that they create until it has been decided if it is Potentially Exploitable IP.
- 4.3 Deferring as in 4.2 above may delay publication, including in written abstract or oral forms, but will not impact the process of PhD examination as examiners will be covered by confidentiality agreements, nor will it prevent publication once the appropriate protection arrangements have been made.

- 4.4 IP created by visitors, e.g. visiting academics, undertaking research at the University by invitation from any University Employee, will be governed by written agreement with the University (through the relevant Faculty/Department with support from IIE) that explicitly states the ownership of IP and such agreement must be in place prior to the commencement of such research. Where no agreement is in place, each party will own their own IP.
- 4.5 The University waives its right of ownership of copyright in Scholarly Rights for Employees and Students except where such rights have been created pursuant to a sponsored agreement or agreement with a third party provided that the University is hereby granted a perpetual and royalty-free licence to use such Scholarly Rights for non-commercial teaching, research and academic purposes. Where any Employee or Student wishes to exploit its Scholarly Rights in a way which could affect or impair the value of Commercial Rights in the same material (e.g. by publishing information which may be relevant to potential patent applications), this shall be subject to the University's prior approval. The University shall act reasonably in considering any request for approval.
- 4.6 IP created by Employees outside the normal course of their employment belongs to the Employee concerned, except where University resources have been used to create such IP. Where University resources have been used to create the IP (other than incidentally) the University will be the owner of the IP.
- 4.7 The University considers Potentially Exploitable IP to be a valuable asset that should be protected and exploited in the most effective way to ensure that it generates maximum benefit for society and that the appropriate financial return is received by the University and its Employees and Students (as appropriate).
- 4.8 All Potentially Exploitable IP must be identified by the Inventor and disclosed to the University as early as possible in accordance with Section 7.1 below.
- 4.9 The University is responsible for arranging and paying for the protection of Potentially Exploitable IP if it deems such IP to have commercial potential. For the avoidance of doubt, the University is under no obligation to seek protection of such IP.
- 4.10 The financial benefit from the exploitation of IP, after deduction of the Costs of protection, will be shared between the University, the Faculty(ies) and the Inventor(s) per Section 10, Distribution of Commercialisation Income and Returns, of this Policy (and replaces Court Minute CM1321, as amended by CM1721).
- 4.11 The contractual terms and conditions of the Sponsors giving rise to the IP must be complied with. It may well be that such terms and conditions grant right of ownership of IP arising from the sponsored activity to the Sponsor or provide that the Sponsor should share in any income arising from successful commercialisation of such IP.
- 4.12 The University, as owner of the IP, is responsible for determining the exploitation route and the related terms and conditions in consultation with the Inventor(s). The IP & Commercialisation Team in Innovation & Industry Engagement lead on this activity under the framework of the Stage-Gated Process (Annex A).
- 4.13 Tangible Research Materials embodying Potentially Exploitable IP and created in the course of University activities should only be transferred outside the University under the terms of a material transfer agreement (MTA) agreed by RKES, unless already covered by an existing agreement.
- 4.14 IP created by an Undergraduate Student who is not an Employee of the University normally belongs to the Undergraduate Student concerned in accordance with the University's IP Policy for Undergraduate Students and Postgraduate Taught Students which is included as Annex B. For Potentially Exploitable IP generated by an Undergraduate Student on projects that are either funded by a Sponsor or the

University or where the Undergraduate Student has requested the University's support to license the Potentially Exploitable IP, Undergraduate Students will be asked to assign such IP to the University where this is necessary to allow the University to comply with the conditions of a Sponsor and/or exploit the relevant IP. In such cases Undergraduate Students will be offered revenue-sharing arrangements in line with those offered to University Employees and are encouraged to seek independent legal advice.

- 4.15 IP created by a Postgraduate Taught Student who is not an Employee of the University normally belongs to the Postgraduate Taught Student concerned in accordance with University's IP Policy for Undergraduate Students and Postgraduate Taught Students which is included as Annex B. For Potentially Exploitable IP generated by a Postgraduate Taught Student on projects that are either funded by a Sponsor or the University or where the Postgraduate Taught Student has requested the University's support to license the Potentially Exploitable IP, Postgraduate Taught Students will be asked to assign such IP to the University where this is necessary to allow the University to comply with the conditions of a Sponsor and/or exploit the relevant IP. In such cases Postgraduate Taught Students will be offered revenue-sharing arrangements in line with those offered to University Employees and are encouraged to seek independent legal advice.

5 CONFLICTS OF INTEREST

- 5.1. The University's Code of Practice on Conflicts of Interest governs how University Employees shall behave in order to identify and manage Conflicts of Interest appropriately. Notwithstanding that, this document seeks to describe the Conflicts of Interest which may arise in connection with IP commercialisation which include, but are not limited to, the following:
- An individual is an inventor of patents or creator of other IP whose value may be affected by the outcome of research in which they are involved.
 - An individual holds a position in an enterprise (e.g. as director) that may wish to restrict (or otherwise manage) adverse research findings for commercial reasons or not wish to publish the results of the research.
 - An individual having a financial interest or other personal interest in a spin-out or may have personal IP with which they are intending to create a start-up company.
 - An individual having a financial interest in the licensee (or proposed licensee) of University Intellectual Property.

6 ADVICE AND SUPPORT

- 6.1. The IIE IP & Commercialisation Team is experienced in the protection and exploitation of IP and provides services to the University and its Employees and Postgraduate Research Students on IP and related issues. These services include financial, commercialisation and administrative advice and support regarding IP issues including the identification of Potentially Exploitable IP; and the practical issues relating to patenting, copyright protection, licensing and company formation. These services include both funding and administering the filing of patent applications on behalf of the University and its Employees and Postgraduate Research Students (and Undergraduate Students and Postgraduate Taught Students where IP has been assigned to the University under Clause 4.15).

- 6.2. The University's policy is for the Innovation & Industry Engagement Directorate (IIE) to assess all opportunities from the University's Employees and Postgraduate Research Students including, but not limited to, invention disclosures and to make an initial determination as to whether opportunities have commercial potential. Where commercial potential is evident, the Stage-Gated Process will be the criteria-based framework used to support such opportunities. Further detail can be found in Stage-Gated Process September 2019, Annex A. IIE will also determine, in consultation with the Inventors, whether the commercial potential of an opportunity is best exploited by licensing the relevant intellectual property to an existing company, or by the creation of a new company.
- 6.3. Founder Inventors seeking to form a Spin-out Company are advised to seek independent legal advice at an appropriate time. University guidance on forming a Spin-out company can be found here.

7 PROCESS

7.1. Disclosure and Assessment of Inventions

- 7.1.1. All University Employees and Postgraduate Research Students are expected to disclose Inventions to the University (via the IIE IP & Commercialisation Team) by completing an Invention Disclosure Form (IDF) using the inventor portal at <https://inteum.strath.ac.uk/InteumWeb/inventorportal/login.aspx> when, in their reasonable judgement, the Invention or IP is Potentially Exploitable. The Invention does not need to be at a mature stage of development and indeed early disclosure is encouraged. Where there are multiple Inventors the relative contributions of each should be noted in the relevant section of the IDF. No protection or commercialisation of the Invention or IP shall occur until the completed IDF is signed by all Inventors.
- 7.1.2. Employees and Postgraduate Research Students of the University may not use University resources including facilities, other Employees, equipment or confidential information for personal gain including making Inventions or the generation of IP which does not belong to the University. If University resources have been used to create Inventions or IP (other than incidentally) other than in the normal course of employment of study and no separate arrangement has been made between the University and the Inventor, the Employee will be deemed to have agreed to transfer ownership of such Inventions or IP to the University.
- 7.1.3. Disclosure of Inventions to the IIE IP & Commercialisation Team should be as early as possible, but normally at least four weeks prior to any planned or proposed disclosure to any third party, including at meetings or conferences, etc. This is to enable suitable steps to be taken to assess and provide guidance on protecting such Inventions or IP prior to disclosure since it is not possible to apply for patent protection following disclosure.
- 7.1.4. The IIE IP& Commercialisation Team will assess each disclosure received normally within one month and discuss potential exploitation routes with the relevant Inventor(s). This assessment will include a discussion with the Inventor(s) on their respective inventive contribution(s) to the IP and consideration of any requirements of the Sponsors where relevant.
- 7.1.5. The decision on whether to protect the disclosed IP, to enable further development with a view to licensing such IP to a third party or the formation of a University Spin-out Company, is supported by the Stage-Gated Process.

- 7.1.6. If a view is reached that the Invention or IP is not Potentially Exploitable or a decision is taken not to proceed with patenting or other commercial exploitation and the Inventor wishes to pursue the matter personally, then IIE on behalf of the University, may assign ownership of the Invention or IP to the Inventor(s) subject to any reasonable terms and conditions necessary to protect the University e.g. in relation to the requirements of the Sponsor which gave rise to the Invention or IP.
- 7.1.7. For the avoidance of doubt, if IP is assigned to Inventor(s) under Clause 7.1.6, then the University shall no longer be responsible for any subsequent costs of the protection of such IP following assignation to the Inventor(s). The terms of the assignation of University IP to the Inventors shall clearly state; In consideration for assignation of the IP, the Inventors shall share with the University 10% of any future revenue (typically meaning the gross revenue, of any nature whatsoever, generated by the Inventor(s) from (i) the commercialisation by licensing or otherwise of the Patent Rights; or (ii) any other arrangement through which any third party is granted any right to use any of the Patent Rights, including, in each case, any proceeds from stocks and shares received in lieu of any licence fees, royalties or other payments) from the commercialisation of the IP, after the deduction (pro rata) of both parties reasonable costs of marketing, patent protection and other relevant costs. In such circumstances, the University and the Inventor(s) shall enter into an assignation and revenue sharing agreement to this effect.
- 7.2. Exploitation outcomes
- 7.2.1. Decisions regarding the exploitation route and negotiations regarding exploitation will be conducted by the IIE IP & Commercialisation Team in consultation with the Inventor(s). The IIE IP & Commercialisation Team will act on behalf of the University, as owner of the IP. The relevant Head of Department/School and/or Executive Dean should be notified and consulted, where appropriate. Individual Inventors will be fully consulted, but because of the potential for conflict of interest, any final decision regarding exploitation will rest with the IIE Director on behalf of the University. Should the Inventors remain dissatisfied with the decision reached, the matter can be referred to the IP Resolution Group (see Clause 10 below).
- 7.2.2. The IIE Directorate will be responsible for decisions regarding patent protection, filing of patent applications and related IP protection methods at its own cost unless otherwise agreed with a Department and/or Faculty. Should the Inventors remain dissatisfied with the decision reached, the matter can be referred to the IP Resolution Group (see Clause 10 below).
- 7.2.3. For the avoidance of doubt, IP that is deemed to have commercial potential can include IP that cannot be protected by patenting in addition to IP that is protectable by patents (or some other method of IP protection deemed appropriate by the IIE IP & Commercialisation Team).
- 7.2.4. Inventors will be kept fully informed by the IIE IP & Commercialisation Team of decisions regarding the IP and Inventors are expected to do all things necessary to allow the University to seek and register rights in the IP.
- 7.3. Commercial exploitation of IP shall be at the discretion of the University and typically by licensing IP to an arms' length partner as in Section 8 or by licensing to a Spin-out Company vehicle set up for the purposes of such exploitation as it deems appropriate (Section 9).
- 7.4. All IP under management by IIE IP & Commercialisation Team, including patented IP, will be reviewed periodically in conjunction with Inventors to determine whether the

costs of retention within the portfolio continue to be justified in the context of market information and technology performance.

- 7.5. If as a result of such a review of a particular IP asset, a case cannot be made to retain the IP in the University portfolio, the IIE IP & Commercialisation Team may elect to abandon such IP. Should the Inventors remain dissatisfied with the decision reached, the matter can be referred to the IP Resolution Group (see Section 10 below).
- 7.6. IP abandoned as described under Section 7.5 may be assigned to Inventors should they wish to pursue protecting and commercialising the IP independently of the University. In such circumstances, the Inventors shall share revenues with the University as described in Clause 7.1.7 above.

8 LICENSING AND ASSIGNATION

- 8.1. Licensing and assignation of University IP will be undertaken by the IIE IP & Commercialisation Team and on commercial terms as appropriate, which will typically include both upfront fees and royalties.
- 8.2. Licensing aims to ensure effective exploitation of IP. IP will normally be licensed to third parties (including new companies formed to exploit the IP). Assignation of IP may be considered where this is demonstrably the most effective way of exploiting the IP.
- 8.3. Licensing arrangements must always provide for the University's future use of IP for its core activities of academic research, teaching and publication and assist the University's wider national and international objectives as well as having a positive impact on society.
- 8.4. Licensing arrangements will be restricted to specific, existing elements of IP which can be readily identified. 'Pipeline' agreements giving third parties rights to IP to be developed in the future will not be entered into. However, options to acquire rights to future IP and further improvements may be agreed subject to additional negotiations taking place.
- 8.5. In order to ensure maximum exposure of IP to the market place, where possible, licences will generally be non-exclusive and may relate to specific fields of application and/or geographical territories. Exclusive arrangements may be made where this optimises exploitation of the IP.
- 8.6. The University, its Employees and Postgraduate Research Students are expected to apply reasonable judgements and to act reasonably in relation to the identification of IP and its exploitation. Where the chosen exploitation route is a licence to an existing company, the IIE IP & Commercialisation Team, supported by the Inventor(s) will prepare non-confidential disclosures; seek to identify potential licensees; draft, negotiate and execute licences; and liaise with the Finance Department to arrange the distribution of Distributable Income made in accordance with University policies.
- 8.7. In circumstances where there is more than one element of IP (either patented or otherwise) that is to be licensed to a third party, the IIE IP & Commercialisation Team will discuss the respective contributions of the IP that is the subject of a licence agreement, with the relevant Inventors.
- 8.8. Licences will be approved through the Stage-Gated Process, or directly via the IIE Director, and resources may be made available to opportunities following this route. Financial resources made available can be recovered under the Distribution of Commercialisation Income and Returns (section 10, below).
- 8.9. It is the role of IIE to invoice licensees for payments due under licensing arrangements.
- 8.10. Unless agreed otherwise, the cumulative Commercialisation Income (following the deduction of all unrecovered costs) received by the University from licensing of its IP

will be distributed as per the Court Minute on Royalty Income (CM1321), via payroll for Inventors that are still employees or direct payment for those no longer in the employment of the University

- 8.11 Any tax liabilities falling on the Inventors will be their sole responsibility and the University will not be held liable in this regard.
- 8.12. This policy allows for the transfer of the payment of royalty income to an Inventor's estate in the event of his or her death. The duration of such will be limited to the period during which the University would, under normal circumstances, be sharing with the Inventor.

9 SPIN-OUT COMPANY CREATION

- 9.1. The Director of IIE will have the delegated authority of University Court to approve the formation of Spin-out Companies, subject to the provision of an adequate Business Plan and certain threshold conditions regarding viability, governance and demonstration of third-party commercial buy-in (such as investment offers and/or binding commitments to place orders allowing the company to be financially sound for up to 18 months from spin-out). Any decision to approve the formation of a Spin-out Company will be made and authorised by the IIE Director as part of the Stage-Gated Process (see Annex A), following consultation with the Enterprise & Investment Committee (EIC), and shared with the Executive Team for information, and countersigned by the University's Chief Commercial Officer.
- 9.2. As part of its approval of a spin-out company formation (see Annex A), the University may allocate up to £30k cash to Spin-out Company teams' pre-formation, to be used in agreement with IIE. Upon spinning-out from the University may allocate up to the difference between any sum already used pre-formation and £30k to the Spin-out Company. Notwithstanding clause 9.4 below, the University will not typically participate in seed rounds.
- 9.3. The University will take a 20% equity stake post-seed round in return for the University's commercialisation support (including, but not limited to, any financial and non-financial support pre-formation or cash allocated at spin out), irrespective of the overall value of a seed round, if present.
- 9.4. Commercial investment by the University in seed rounds (beyond the aggregate allocation of £30k from the Stage-Gated Process) may be sought via Strathclyde Inspire Entrepreneurs Fund (SIEF) Such investments, where approved, will be on commercial terms. Subsequent investments may be made by Strathclyde Inspire Investment Fund (SIIF), under its governance processes, through the Enterprise and Investment Committee (EIC).

10 DISTRIBUTION OF COMMERCIALISATION INCOME & RETURNS

- 10.1 The University's policy with respect to the disbursement of Commercialisation Income (including but not limited to licence fees, option fees, milestone fees, royalties and sales of equity **where the equity is held explicitly in lieu of cumulative royalties**) from University-owned Intellectual Property Rights ("IPRs") is:
 - (i) all costs separately itemised in advance in writing (agreed in writing by IIE, the relevant Faculty Dean(s)/Head of Department(s)/School(s), and any other affected resource managers. Where the Faculty Dean/Head of Department is a member of the Spin-out Company team, this would be considered a conflict of interest and so the statement of costs should be countersigned by an appropriate

senior officer of the University. A final version of this statement will be produced at the date of formation of the Spin-out Company and this version will be used as the basis for future disbursement of Returns) and attributable to a University source (such as a Central Budget, a Faculty or Departmental Budget) which are used to translate research into a commercial proposition, together with all professional costs incurred in protecting the relevant IPRs shall be a first charge on 80% of any Commercialisation Income received;

- (ii) the remaining 20% of Commercialisation Income (or a higher % where the costs still to be recovered are less than 80% of the Commercialisation Income) will be treated as Distributable Income;
- (iii) the Distributable Income will be shared as set out below, in such a manner that the sums due to the inventor(s), the University and the Faculty will be calculated in a cumulative fashion (rather than, for example, on an annual basis);

<u>Cumulative Distributable Commercialisation Income</u>	<u>Inventor(s)</u>	<u>University</u>	<u>Faculty</u>
up to £250,000	80%	0%	20%
£250,001 - £1,000,000	65%	15%	20%
over £1,000,000	50%	30%	20%

- (iv) in relation to Distributable Income that would ordinarily have been shared with an inventor who is deceased at the time the payment becomes due shall be made to the inventor's estate.
- (v) this policy shall apply to all Commercialisation Income received subsequent to the date of this policy being agreed by Court, irrespective of whether any Commercialisation Income has been received prior to the date of the policy.
- (vi) no retrospective adjustments will be made in relation to Commercialisation Income received prior to the date of the policy.
- (vii) this policy shall be deemed to replace all applicable provisions of University Court Minutes CM.1321 and CM.1675.

10.2 The University's policy with respect to the disbursement of Returns (meaning Realisations, dividends, loan repayments, loan interest and such other returns as may from time to time be received, but excluding royalty payments, rental payments, and other normal contractual payment obligations. For the avoidance of doubt, "Realisations" are the returns achieved when the University sells some or all of its shares in a Spin-out Company) is:

- (i) all Costs separately itemised in advance in writing (agreed in writing by IIE, the relevant Faculty Dean(s)/Head of Department(s)/School(s), and any other affected resource managers. Where the Faculty Dean/Head of Department is a member of the Spin-out Company team, this would be considered a conflict of interest and so the statement of costs should be countersigned by an appropriate senior officer of the University. A final version of this statement will be produced at the date of formation of the Spin-out Company and this version will be used as the basis for future disbursement of Returns) and attributable to a University

source (such as a Central Budget, a Faculty or Departmental Budget) which are used to support the spin-out company formation (including but not limited to : Identifiable direct costs incurred by the relevant Department in supporting the Opportunity and otherwise unrecovered; Monies awarded by the Stage-Gated Process and otherwise unrecovered; Patent costs incurred and otherwise unrecovered; Legal costs incurred pre-formation) shall be a first call on any Returns received;

- (ii) in the event that the Returns are less than the Costs, then disbursement will be pro-rata to Costs incurred by each area, except when a contract dictates otherwise.
- (iii) where the University has invested through EIC, or some other University investment vehicle, to maintain or increase an equity position, then the University will disburse the Returns on a pro-rata basis. There will be an initial call on Returns to address any investment made by the University to date which will be returned at its current value with the remainder being split as per the table below (iv).
- (iv) in the event that the Returns are greater than the Costs, then the excess – i.e. what remains after the recovery of all Costs will be split as follows:

<u>Total Distributable Returns</u>	<u>Non-Founder Inventor(s)</u>	<u>University</u>	<u>Faculty</u>
	20%	60%	20%

- (v) this policy shall apply to all Returns received subsequent to the date of this policy being agreed by Court irrespective of whether any Returns have been received prior to the date of the policy.
- (vi) no retrospective adjustments will be made in relation to Returns received prior to the date of the policy.
- (vii) this policy on Returns will only apply to Spin-out Companies formed after Court Minute 3717, adopted in June 2005.
- (viii) where the inventors are from multi-disciplinary teams, any disbursement to Faculties will be by relative contribution as agreed at the time of disclosure or by any subsequent income-sharing agreements.
- (ix) for the avoidance of doubt, this policy does not apply to realisations of equity in arms-length companies where the University has taken equity in lieu of a royalty or as consideration for some other service rendered. Such income will usually be treated as though it was royalty income and in accordance with the prevailing Court Minute on Commercialisation Income.
- (x) in so far as Realisations under this policy are negotiable, IIE shall negotiate such Realisations on the University's behalf, contracting with independent advisers where IIE judges this to be appropriate, and in all cases where it is considered that the potential income from Realisation accruing to the University could exceed £0.5M. The costs of such independent advice will be borne by the University. Where possible, IIE will ensure that as far as reasonably possible, the parameters of such negotiations are discussed fully by EIC in advance of any negotiation taking place in order that the EIC's view can be taken into account in informing IIE's actions.
- (xi) as dividends from shares held in Spin-out Companies are infrequent and usually of low value, it is not considered worth the effort of the financial manipulations needed to disburse small amounts of money to a diverse range of stakeholders. Except where the IIE Director considers that exceptional

- circumstances apply, dividends received by the University will be credited against Strathclyde Inspire Entrepreneurs Fund.
- (xii) this policy shall be deemed to replace all applicable provisions of University Policy on Company Creation, Commercialisation and Investment (Approved June 2012, amended by Executive Team, February 2015, amended by Court, November 2015).

11 PORTFOLIO MANAGEMENT

11.1 The University's policy in relation to the portfolio of companies in which the University holds shares will be reviewed regularly by the EIC and any changes in the policy in relation to portfolio management will be recommended by EIC to the University Court.

11.2 The current policy on portfolio management can be summarised as follows:

- The University will maintain a close working relationship with portfolio companies, seeking to add value to the company and its relationship with the University.
- The University will seek to appoint a Non-Executive Director at the point of company formation and will take up this right in all cases where the University is the sole or lead investor.
- Where this right is exercised, the University's policy is to appoint independent Non-Executive Directors, acceptable to the Company Founders, who can add value to the Company's business.
- The University will retain the right to have an Observer attend board meetings and liaise with the Company as required.
- The policy is that the EIC will oversee the portfolio companies which either (i) have been invested in at the EIC's recommendation or which (ii) are in, or come into, the existing portfolio and IIE/EIC agree have the potential either to be invested in again by EIC or to provide significant returns.
- In relation to the sale of shares the University's policy is that this falls under the remit of EIC (terms of reference for EIC, which are contained within the University's Regulations, are available on the University website) and will be considered on a case by case basis.

12 DISPUTES

12.1 In the event that there is a dispute between an Inventor and the University, for example ownership of IP, decisions re patent protection or commercialisation routes, the matter will first be discussed between the Inventor and the Head of the IP & Commercialisation Team who will involve third party professionals as required, e.g. patent agents, to offer their opinion as required. If this does not result in a resolution of the dispute, the matter will be referred to the IP Resolution Group IPRG, which is the decision-making body when a dispute has been raised. Referrals to IPRG will be made by the Head of IP & Commercialisation. IPRG will be chaired by the Associate Principal (Research & Innovation) and will also include Deputy Associate Principal (Research, KE &

Innovation), Executive Dean (relevant faculty) (or nominated representative) and IIE Director.

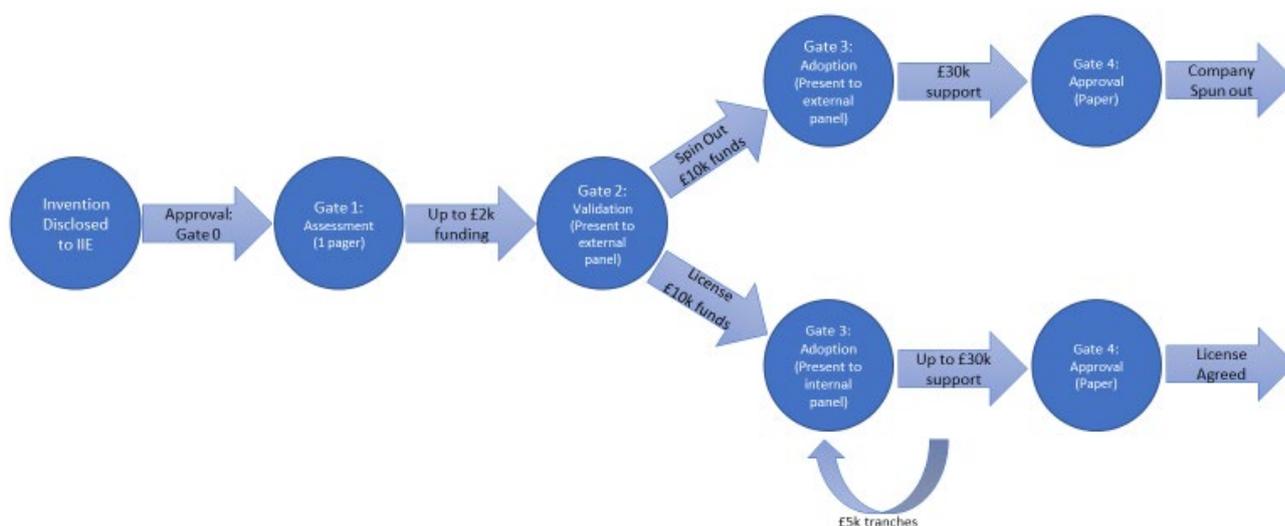
- 12.2 The IP Resolution Group (IPRG) which will be convened by email when a referral is made. If there is a need to discuss the matter in person, arrangements will be made for either on on-line or in-person meeting. It is not envisaged that the Group will convene more frequently than every six months.

ANNEX A – Stage Gated Process 2019

Stage-Gated Process

Overview

The stage-gated process has been implemented to support commercialisation of University-owned intellectual property developed by staff and Post-Graduate Researchers (PGRs). The outcome of these Opportunities will typically be the formation of a new spin-out company or a licence agreement with a third party. The process has four gates which must be passed in order to access the resources available to support onward development/progression of the Opportunity through the pipeline. Currently, monthly review meetings are held to consider submissions to each gate.



Gate 1

Gate 1 approval is based on a high-level understanding of an Opportunity and crucially the ownership status of Intellectual Property that has been disclosed through the invention disclosure portal. Gate 1 consists of a short paper submission which is championed by a Commercialisation Manager/BDM.

At this Gate, the Opportunity Team must meet the following criteria

- Invention disclosure complete
- Informal prior art (web) search undertaken
- Understanding of potential benefits in at least one market sector

The decision will be made by the IP & Commercialisation Team at their regular monthly meetings.

A positive decision will release a budget of up to £2k for the Opportunity team to use for related activity such as meeting with patent agents and undertaking a prior art search to determine if there is potential for IP protection.

The first spend from the budget is to be made within 6 months from approval and the final spend within 12 months from approval.

Gate 2

Gate 2 approval is based on more detailed information about the commercial potential of the Opportunity; the next steps for the Opportunity and the commitment of the Team to supporting commercialisation. This requires the Team to present to panel of 3 external members with early-stage commercialisation experience and IP knowledge. At this stage the Team do not have to decide whether the route to commercialisation is licensing or spin-out company formation.

At this Gate, the Opportunity must meet the following criteria

- Clear IPR position;
- Market sector(s) defined and quantified at high level;
- Lead in technical Team identified; and
- Indicative plan to reach Gate 3

The decision will be based on recommendations made by panel members.

A positive decision will release a budget for up to £10k for the Opportunity Team to use for activity that will progress the team towards meeting the criteria for Gate 3.

The first spend from the budget is to be made within 6 months from approval and the final spend within 12 months from approval.

Gate 3 – Spin Out

For spin-out Opportunities, the Team must receive written (email) approval from the relevant Head of Department/School and Faculty Dean, that they are supportive of the Opportunity progressing with the support of Strathclyde employees and should include confirmation of the time commitment that will be allocated. In addition, approval will be subject to a commercial champion having been identified. At Gate 3, a paper will be submitted one week in advance and the team will present a 3-minute pitch to a panel of 3 external members who will assess the opportunity and approve that spin-out is the most appropriate route.

At this Gate, the Opportunity must meet the following criteria

- One or more quantifiable markets are identified, together with routes to market;
- Roles and names (or vacancies) for all key people required for progress towards Gate 4 are provided;
- All time commitments of academic staff are stated;
- An indication of any additional University resources that may be required (e.g. any access to equipment); and
- A clear plan for progressing to Gate 4 with commercial and technical milestones and indicative timescales.

The decision will be based on recommendations made by panel members. A positive decision will release an allocation of funding of up to £30k to support the commercialisation plan.

Gate 3 – Licence

If a team decides that licensing is the most appropriate route for the Opportunity and that funds are required to secure a licence deal, they have the option to present to the IP & Commercialisation Team, for an equivalent level of support as is available for Gate 3 – Spin-out.

The decision will be based on recommendations made by panel members. At this Gate, it must be demonstrated how the funds will deliver tangible progress with respect to securing a licence deal.

Gate 4 – Spin-out

The final gate for Spin-out companies involves the submission of a paper championed by the commercialisation manager for final approval. This paper will be reviewed by the IP & Commercialisation Team with the decision made by the Head of Commercialisation and the Director of IIE.

At this Gate, the Opportunity must meet the following criteria:

- All roles in Founding Team are identified with names, biographies and a statement on the terms and involvement (financial and time) of all University staff;
- Clear statement of where the proposed company will trade from and on what terms; in the case that University space or equipment is required, the terms on which this has been agreed or is made a condition subsequent;
- Statement that terms for access to all relevant University IPRs are agreed;
- All other proposed conditions subsequent are listed; and
- Statement of all University resources deployed to date in support of the Opportunity.

A positive decision means the opportunity is approved and requires a signature from the Director of IIE and countersigned by the Chief Commercial Officer and the company can be formally spun out. The balance of Gate 3 funds can be transferred to the company upon spin-out. The University will take a 20% equity stake in the company post-seed funding.

Gate 4 – Licence

The final gate for licensing consists of approval for a licensing deal by the Head of IP & Commercialisation (to be signed by the Director of IIE).

At this Gate, the Opportunity must meet the following criteria:

- Due Diligence Exercise completed on Licensee(s);
- Prior agreement of licensing terms;
- Business plan/ Commercialisation Plan has been provided by the Licensee(s); and
- Summary of the licence agreement, including risk assessment, prepared by the IP & Commercialisation manager.

Meeting Schedule and Structure

A meeting will be held each month during the academic year, from September to June.

The typical agenda for each meeting is as follows:

9.30am – Gate 1 papers - internal panel only

10.00am – Gate 2 presentations - internal plus external panel members and opportunity teams (presenting). Maximum of 4 presentations

1.00pm – Break for external panel members; Gate 3 Licence - internal panel only, when required

1.30pm – Gate 3 Spin-out - internal plus external panel members and opportunity teams. Maximum of 2 opportunities

2.30pm – Gate 4 internal panel only. Maximum 1 opportunity

3.00pm – Portfolio Review – IP & Commercialisation Team

Additional Papers

A further paper on Governance & Decision Making is also available.

ANNEX B - IP Policy for Undergraduate Students and Postgraduate Taught Students

This Policy describes the rights of Undergraduate Students and Postgraduate Taught Students at the University to own Intellectual Property that is created by Undergraduate Students and Postgraduate Taught Students during their time of study at the University.

Undergraduate Students and Postgraduate Taught Students should make sure they check and understand the position on ownership of Intellectual Property at the outset of any project, placement or other arrangement.

1. INTRODUCTION

Intellectual Property is a term used to describe legal rights that can exist in ideas generated and works created by individuals. These rights can have value and may be exploited for commercial and other purposes. It is likely that during the course of their studies or research programmes Undergraduate Students and Postgraduate Taught Students will create work in which Intellectual Property rights arise and this policy will apply.

The most common Intellectual Property rights that might arise include copyright, design rights, patents and trademarks.

2. STUDENTS COVERED BY THE POLICY

This Policy applies to all Undergraduate Students and Postgraduate Taught Students registered with the University. It also applies if a registered Student is employed by the University or by another organisation.

3. THE BASIC PRINCIPLE

Undergraduate Students and Postgraduate Taught Students are not University Employees and therefore the University does not automatically own Intellectual Property generated by Undergraduate Students and Postgraduate Taught Students during their degree course.

Undergraduate Students and Postgraduate Taught Students will own the Intellectual Property they create through course work or research whilst registered as Undergraduate Students and Postgraduate Taught Students at the University. This means they are free to exploit this Intellectual Property as they choose, subject to any wider legal constraints that apply.

There are, however, some important exceptions which are set out below, when the University does require ownership of IP generated by an Undergraduate Student or Postgraduate Taught Student. In such situations the University requires Undergraduate Students and Postgraduate Taught Students to assign (transfer ownership of) their Intellectual Property to the University. Undergraduate Students and Postgraduate Taught Students will be asked to assign IP to the University where this is necessary to allow the University to comply with the conditions of the Sponsor and/or exploit the IP. In exchange, the University undertakes to treat Undergraduate Students and Postgraduate Taught Students in the same way as a member of staff for the purposes of sharing any revenues arising from the commercial exploitation of that Intellectual Property. This is done by applying the University's revenue sharing arrangements to the Undergraduate Student and Postgraduate Taught Students as if they were an Employee (Section 8.9 of University's IP Policy).

4. EXCEPTIONS

4.1 Context

Research projects form a part of many degree programmes at both undergraduate and postgraduate level. Such projects are usually proposed by members of academic staff and will often be connected in some way to that academic's on-going research interests. Undergraduate Students and Postgraduate Taught Students may join a team to investigate one particular aspect of a much larger research programme. This is usually of great benefit to the Undergraduate Student and Postgraduate Taught Student. Rather than starting afresh, they can draw on the considerable expertise, reputation and infrastructure of the research group and thereby get a valuable head start in their research project. There are, however, some important Intellectual Property issues associated with inviting Undergraduate Students and Postgraduate Taught Students to work closely with existing research teams.

4.2 Undergraduate Students and Postgraduate Taught Students participating in a research project funded by a third party

Any organisation funding (or otherwise contributing to, or supporting) a research project (the Sponsor) might make it a condition of funding that any Intellectual Property rights generated during the project will belong to the Sponsor or are available for open access and/or exploitation. In such cases Undergraduate Students and Postgraduate Taught Students will be bound by the terms and conditions of any external funding agreement which the University has entered into as though they were a member of the University's academic staff. In addition, the University may require the Undergraduate Student or Postgraduate Taught Student to sign Confirmatory Assignment agreements to formally recognise that such IP rights belong to the University to allow the University to transfer such Intellectual Property to the Sponsor unencumbered.

In other cases, the Sponsor might formally require the Undergraduate Student or Postgraduate Taught Student to assign the Intellectual Property rights created by the Undergraduate Student or Postgraduate Taught Student to the Sponsor directly (or to another party) before the research starts, or at some other point during the duration of the research project, or at its conclusion. Where this assignment event occurs, the Student will be bound by the terms imposed by the Sponsor.

The University or a Sponsor may also require the Undergraduate Student or Postgraduate Taught Student to enter into a confidentiality agreement if the research involves the Student having access to confidential information.

4.3 Undergraduate Students or Postgraduate Taught Student participating in a research project supported by the University

Some courses and research projects require Undergraduate Students or Postgraduate Taught Student to work with or be supervised by academic members of staff or may use substantial resources of the University (specialist equipment and materials). It is recognised that in the course of such activities:

- i. The academic member of staff might contribute the ideas or concept underpinning the work that the Undergraduate Student or Postgraduate Taught Student may further develop, or

- ii. Undergraduate Students or Postgraduate Taught Student may join existing research teams during the course of their studies

Any Intellectual Property created or developed by the Undergraduate Student or Postgraduate Taught Student through interactions of this nature will be deemed to be the owned by the University, who will then treat the Undergraduate Student or Postgraduate Taught Student as it does an eligible member of University staff. This will entitle the Undergraduate Student or Postgraduate Taught Student to receive a share of any net income that arises through the exploitation of the Intellectual Property. The share of the net income (also more commonly known as ‘royalties’) is determined by the level of the contribution made by the Undergraduate Student or Postgraduate Taught Student. The University policy on distribution of net income received from the commercialisation of IP is detailed in the main body of the University IP Policy at Section 8.9.

4.4 Undergraduate Students or Postgraduate Taught Student on placements

An organisation that offers an Undergraduate Student or Postgraduate Taught Student placement might make it a condition of the offer that any Intellectual Property rights created by the Undergraduate Student or Postgraduate Taught Student during the placement will belong to the organisation and not to the Undergraduate Student or Postgraduate Taught Student. The Undergraduate Student or Postgraduate Taught Student may be required to assign the rights to the organisation offering the placement or to the University.

4.5 Undergraduate Students or Postgraduate Taught Student employed by the University or another organisation

If an Undergraduate Student or Postgraduate Taught Student is employed or sponsored by the University or any other organisation(s) at any time during their course or during their participation in a research programme, the University or the employer(s) or Sponsor(s) might own or claim ownership in the Intellectual Property created by the Undergraduate Student or Postgraduate Taught Student during the course of such employment. As a matter of general law, employers own the Intellectual Property rights created by their Employees. It is also possible that a Sponsor will have a separate agreement with the Undergraduate Student or Postgraduate Taught Student or with the University under which the Sponsor claims ownership in any Intellectual Property created by the Undergraduate Student or Postgraduate Taught Student.

The University may require the Undergraduate Student or Postgraduate Taught Student to assign the Intellectual Property rights to the University, who may also exercise this right to protect the interests of the employer or Sponsor.

The University may also require the Undergraduate Student or Postgraduate Taught Student to enter into a confidentiality agreement if the course or research involves the Undergraduate Student or Postgraduate Taught Student having access to confidential information.

5 RESPECTING THE INTELLECTUAL RIGHTS OF OTHERS

Undergraduate Students and Postgraduate Taught Student must respect the Intellectual Property rights of others. This means Undergraduate Students and Postgraduate Taught Students must not knowingly claim rights in work created by others, whether academics,

Postgraduate Students, Postgraduate Taught Students, Undergraduate Students, or third parties, or copy such work without the owner's permission.

6 DISPUTES

In the event that there is a dispute between an Undergraduate Student or Postgraduate Taught Student and the University, for example ownership of IP, the matter will first be discussed between the Inventor and the Head of the IP & Commercialisation Team who will involve third party professionals as required, e.g. patent agents, to offer their opinion as required. If this does not result in a resolution of the dispute, the matter will be referred to the IP Resolution Group IPRG, which is the decision-making body when a dispute has been raised. Referrals to IPRG will be made by the Head of IP & Commercialisation. IPRG will be chaired by the Associate Principal (Research & Innovation) and will also include Deputy Associate Principal (Research, KE & Innovation), Executive Dean (relevant faculty) (or nominated representative) and IIE Director.

The IP Resolution Group (IPRG) which will be convened by email when a referral is made. If there is a need to discuss the matter in person, arrangements will be made for either on-line or in-person meeting. It is not envisaged that the Group will convene more frequently than every six months.



Meeting the Recommendations of the Independent QC Inquiry Report

Introduction

1. In August 2019 the Principal commissioned Dr. Craig Sandison QC to conduct an independent Inquiry into the University's handling of matters relating to Kevin O'Gorman, a former staff member. This followed O'Gorman's conviction of a range of sexual misconduct offences, some of which occurred when he was an employee of the University between 2005 and 2012. The report contained recommendations, which the Principal, on behalf of the University, accepted unreservedly.
2. The Court received the QC Inquiry Report and recommendations at its meeting on 26 November 2020. In keeping with the commitment made to the University community when the report was published and to Court on 26 November 2020, this paper reports on the work of the Inquiry Recommendations Implementation Group (IRIG).
3. Further offences were committed by O'Gorman at Heriot-Watt University, which also carried out its own [QC-led Inquiry](#) by QC Morag Ross, reporting in May 2020. This report also addresses the recommendations made by QC Ross.

Background

4. The trial and subsequent conviction of Kevin O'Gorman revealed details of his crimes over a number of years, including while he was working at Strathclyde. The entire University community was appalled at what emerged during the trial. With the full support of the Executive Team (ET) and the Court, the Principal commissioned an independent QC-led Inquiry to discover everything possible about the events that occurred while Kevin O'Gorman was in post and to identify lessons for the University.
5. Dr. Craig Sandison QC conducted a thorough and detailed independent examination of the University's records, systems, processes and actions to ascertain the facts pertaining to Kevin O'Gorman's recruitment to and promotion within the University, his activities while in post, the disciplinary processes undertaken, and his exit from the University. QC Sandison was also asked to make any recommendations as he saw fit.
6. Dr. Sandison delivered his detailed report and recommendations to the Principal on 31 October 2020. The report was sent to all staff and students, to the ET, Senate and Court and was made public in its entirety on 9 November 2020, accompanied by a public statement from the Principal.

7. The report was shared in advance of publication with the Principal of Heriot-Watt University (where Kevin O’Gorman also held an academic post) and with the Chair and Chief Executive of the Scottish Funding Council. The Scottish Charities Regulator (OSCR) was also sent the report. Briefings were provided to the University Chancellor, Lord Smith, to the Minister for Further Education, Higher Education and Science, Mr Lochhead, and to the Convener, Vice-Convener and Senior Deputy Convener of Court, prior to publication.
8. Sexual misconduct has no place in higher education. The Report recommendations provide opportunities to enhance procedures to safeguard members of the university community. With the objective of reducing risks, particularly for those most vulnerable, the Principal invited the University Secretary & Compliance Officer to lead an Inquiry Recommendations Implementation Group (IRIG), tasked with implementing the recommendations in 2020/21. Student and staff stakeholders were to be represented on the IRIG. A report on the implementation of the Inquiry recommendations was to be submitted to Court at its final meeting of the year.
9. Court received the Independent QC Inquiry report and recommendations on 26 November 2020. Court was supportive of the way in which the process had been managed and welcomed the University’s proposals for full implementation of all the recommendations and further enhancement of relevant policies and procedures through the work of the IRIG.
10. In April 2021, in response to the SFC call for information issued on 11 February 2021, the University provided the SFC with details of the actions being taken in response to the key findings from the University of Strathclyde QC-led Independent Inquiry Report and the Independent Review Report at Heriot-Watt University.

Implementation of the Recommendations

1. IRIG was comprised of staff and students, including nominees from UCU, Unite, Unison and the StrathUnion students’ association. The Group’s first meeting took place on 9 December 2020, and the group met six times in total, with the most recent meeting, and final in its current mode, taking place on 2 June 2021.
2. From the outset, the Group set out to meet QC Sandison’s recommendations as a priority. With the support and guidance of IRIG, colleagues across the University have taken forward actions to ensure that each of the recommendations in both the Sandison and Ross reports have been implemented. Further detail is available in Appendix 1 of this paper.
3. As well as implementing the recommendations, IRIG members have explored further policies and actions to create an even stronger and safer environment for all. In addition to meeting the recommendations, under the guidance of the Group, the University has accomplished the following this year:
 - Successful application to be a pilot site for the Emily Test Charter. Strathclyde is one of only two Universities in Scotland to have been chosen.
 - Endorsement of the Let’s Disclose It Pledge developed in partnership between StrathUnion and the University.

- Development of a Community Commitment for both staff and students. Aligned to the University Values, it outlines what it is to be a Strathclyder and how we should behave, as well as encouraging individuals to highlight inappropriate behaviour. The Commitment is expected to be launched later this year.
- Commencement of the roll out of First Responder training, led by the Executive Team, who have now undertaken the training. Leadership Group training is commencing this month.
- Successful relaunching of the Complaints Handling Procedure (CHP) with updates including the waiving of time limits for complaints relating to sexual harassment, and updated guidance around power dynamics.
- Revision of key procedures in staff recruitment, including guidance for academic references and reviewing the use of disclosure checks.
- Instigation of a full review of the Dignity and Respect policy in relation to both staff and students.
- Review of the Report and Support reporting tool and its integration with wider University health and safety reporting mechanism.

Ongoing safeguarding work

4. Following consultation with IRIG members and with the ET, from July 2021, the Group will reconvene as the 'Strathclyde Safe 360 Group', to take forward longer-term actions to provide a safer environment for all. A range of topics are being carried forward from IRIG, including: power imbalances; PhD students as a vulnerable group; anonymous reporting and investigations; a review of the Dignity and Respect policy; bespoke compulsory training; and the publication of a dedicated website to facilitate communication and understanding.
5. Extensive work relating to safeguarding will therefore continue. Appendix 2 lists just some of the projects undertaken in recent years. Reporting to ET and working with other groups, projects and standing committees, Strathclyde Safe 360 will, as part of its work programme, ensure that ;.this good work continues by identifying gaps in University policies, procedures and guidelines and ensuring they are addressed.

Recommendation

6. Court is invited to:
 - **Note** the achievements of the Inquiry Recommendations Implementation Group; and
 - Based on the successful implementation of the recommendations, **endorse** the decision to transition IRIG to the Strathclyde Safe360 Group, taking forward longer-term actions in support of our vales.

Appendix 1: Meeting the QC recommendations

QC Sandison Independent Inquiry Recommendations	Our Implementation
<p>Full pre-employment checks, including full disclosure checks, are undertaken and passed in any case where it is proposed to appoint any person to an academic post in the University in circumstances where that post does or may involve more than a <i>de minimis</i> connection with students.</p>	<p>The University's updated policy requires a basic disclosure check to be undertaken for all new academic and learning and teaching appointments. The policy was approved by Staff Committee in early June 2021 and will be implemented in the coming months.</p>
<p>In any case where it is proposed to appoint any person to an academic post in the University without there having been a competitive recruitment process (that is to say, a process which has not been advertised within and outwith the University, or where only one candidate has applied for the post), the fact of that proposed appointment having been the result of such a process is notified to the University HR department along with a brief explanation of the circumstances, that the proposed appointment does not proceed without the HR department being satisfied by that explanation, and that a record of the fact that the appointment was the result of such a process and the explanation therefor be recorded in the personnel file of the person appointed and in any other records of the University pertaining specifically to the post.</p>	<p>The University's policy is that new posts are publicly advertised. Single candidate direct appointments are only permitted in exceptional circumstances. Approval for such appointments is required from the Senior Deputy Convener of Court (Staffing) for posts from Grade 8 and above; from Human Resources for posts up to and including Grade 7.</p>
<p>Specific provision is made in the University's procedures for complaints of or concerning sexual misconduct not to be subject to any indicative time limit.</p>	<p>The University adopted the revised Model Complaints Handling Procedure (CHP) provided by the Scottish Public Sector Ombudsman (SPSO) from 1 April 2021. Although SPSO recommend a six-month limit for complaints, the University has specified in its CHP that this limit will be waived for complaints in cases of sexual harassment.</p>
<p>The existing assurance in the Procedure that no complainer will be disadvantaged as a result of making a complaint should be</p>	<p>The new guidance and procedural documents accompanying the CHP published in April 2021 addressed this recommendation. It brings the</p>

<p>expanded to alert the reader that complaint handlers are aware that staff members who have behaved unacceptably may have represented that they have power to influence the academic career of a student or other staff member who complains about their behaviour and that all possible steps will be taken to ensure that no such threats can in fact be carried out.</p>	<p>complainants' and complaints handlers' attention to power dynamics in complaints. The guidance also makes clear that any threats regarding influence should not be carried out, and may in themselves be a cause for disciplinary sanction.</p>
<p>The training of complaint handlers should encompass sensitivity to the likely power dynamic underlying any complaint coming to their attention and how that dynamic may inform the proper handling of the complaint.</p>	<p>Training for investigators has been developed by our legal partners, Anderson Strathearn. The training sessions commenced in early June and will be taken by a range of university staff, including most staff in HR and complaints handlers.</p> <p>The Associate Principal (Social Inclusion) is leading a workstream to explore power dynamics, particularly as they relate to PhD students.</p>
<p>The Dignity and Respect policy places an obligation on staff at managerial level to address any incidents of bullying, harassment or victimisation that they observe or witness even though no complaint may have been made by the subject. It seems to me that, as another strand of the policy of bringing unacceptable behaviour to light, all members of the University staff should be strongly encouraged (albeit not in every instance obliged) to report to their own line manager any such incidents, and I so recommend.</p>	<p>The University's Dignity and Respect procedure is being reviewed to address the QC report recommendation.</p> <p>A Strathclyde network of Dignity and Respect Advisers and a staff and student network of First Responders are being established. The appointment of dedicated and independent Dignity & Respect champions in 2021/22 has been proposed by IRIG.</p> <p>The University has developed First Responder training, with the Executive Team receiving the training in May 2021. The May session of the Leadership Group was also dedicated to safeguarding and First Responder training is being rolled out the Leadership Group.</p> <p>Under the new People Strategy the 'Strathclyde Pledge' includes a commitment to a safe and secure working environment and the development of an all staff behavioural code - the Strathclyde Community Commitment. Together with the revised Dignity and Respect Policy this will establish a comprehensive framework for addressing incidents of bullying and harassment and provide the basis for engagement with the community to promote a positive culture.</p>

<p>Although there are extensive procedures in place for recording complaints, their outcomes and any resulting action taken, the University's procedures do not explicitly require the recording of the reasons for decisions taken in the processing and disposal of complaints. I recommend that those procedures should in future require the recording of reasons for the disposal of complaints and should encourage, so far as proportionate, the recording of reasons for significant decisions made in the course of processing complaints.</p>	<p>The CHP published in April 2021 requires the University to respond to each issue raised in a complaint and to state whether the issue is "upheld" or "not upheld" and why. The recommendation is also been implemented in the review of the Dignity & Respect policy.</p>
<p>Any academic employee of the University who proposes in that capacity to give an academic reference for another current or former employee of the University should inform the University HR department of that intention and provide that department with a copy of the intended reference, and should be permitted to provide that reference as an employee of the University only if the HR department are content with its terms.</p>	<p>New guidance has been developed for staff on the provision of academic references by University employees.</p>
<p>To identify the current best practice in respect of the provision of compromise agreements and/or references in circumstances where staff members cease to be employed following allegations of sexual and/or inappropriate misconduct whilst in the employ of the University.</p>	<p>Our settlement agreement approval template has been updated to address the recommendation. In partnership with StrathUnion, a Let's Disclose It Pledge – the commitment to never use Non-Disclosure Agreements in cases of sexual misconduct and sexual violence - has been developed. The Executive Team endorsed the Pledge and agreed to Strathclyde being the first university to sign up.</p>

QC Ross (Heriot-Watt) Independent Inquiry Recommendations	Our Implementation
<p>The University should take steps to ensure that there is proper coordination and oversight of the various means of making complaints and raising issues of concern, and appropriate record-keeping in relation to these matters</p>	<p>The University has various means of making complaints, making allegations, or raising concerns. The Strathclyde Safe 360 Group will undertake a mapping exercise to have clearer coordination of the various means of making complaints. The Review of the Dignity and Respect Policy is also working towards a standardised approach to the</p>

	<p>various procedures related to making complaints. Our Report and Support tool is also being integrated with Health and Safety and Incident reporting to ensure greater coordination between systems and responses.</p>
<p>The University should consider whether there should be express provision in the Complaints Policy to the effect that members of staff can make representative complaints on behalf of students, and whether it is necessary to review practice in relation to the treatment of issues raised informally</p>	<p>Current procedures permit a complaint to be made on behalf of a complainant only where permission has been given. There is provision, in certain circumstances, for a person to raise a complaint involving another person's data without receiving consent. Both are standard procedures across the sector, as set out by the SPSO. Issues raised informally through the CHP must be treated as complaints. Report and Support facilitates reporting and access to support, without the obligation to make a formal complaint through CHP.</p>
<p>Where information is provided about candidates through informal channels, and where that information appears to be credible and to raise matters of concern, it should be referred to the HR department. Decisions about what use can be made of information, which is conveyed informally, and what weight, if any, should be placed on it, should be managed by the HR department.</p>	<p>Staff recruitment guidance has been updated to take account of this. The guidance notes that any information received through informal channels should be notified to HR.</p>
<p>The University should keep the 'Report-It' app under careful review, paying particular attention to the number and nature of anonymous reports, and should keep a careful record of how they are followed up. At an appropriate future point, the University should consider whether maintaining an anonymous reporting function is merited</p>	<p>Anonymous reporting is primarily done through Report and Support and procedures are in place to maintain confidentiality, where appropriate. It is noted on Report & Support that anonymous reporting may limit the actions that can be taken. The mapping of the different routes for complaints will also explore the investigation of anonymous complaints in different circumstances.</p>
<p>The University should consider whether it is necessary to put in place formal guidance on the use of social media by members of staff in communicating with students.</p>	<p>First published in 2015, Strathclyde University's 'Guidance on the use of social media' provides staff with guidance on when and how to use social media for work purposes and in personal life, and sets out the University's expectations of staff in their usage of social media as it relates to their employment.</p>

<p>The University should keep under review the support provided to members of staff who have direct responsibility for providing advice and support to students</p>	<p>The University has developed guidance for staff on helping students in distress. A suite of training, with some specialist training targeted at key groups, is being developed. Staff with direct responsibility for providing advice and support to students is one of these key groups.</p>
<p>The University should make urgent efforts to repair working relationships in the School of Social Sciences and should consider using external facilitation to achieve this</p>	<p>This recommendation pertained specifically to the School of Social Science at Heriot Watt University and so has not been reviewed by Strathclyde.</p>
<p>The University should take steps to address concerns about communication between the University Executive and staff and to promote a culture of listening and support</p>	<p>Although QC Ross' recommendation related specifically to Herriot Watt University, communication between Strathclyde's Executive Team and staff is taken very seriously. The Principal convened IRIG to take forward actions relating to safeguarding. The Strathclyde Safe 360 Group will review available data taken from our research community, particularly from at risk groups, and will also be engaging with staff and students before finalising its programme of work.</p>

Appendix 2: Safeguarding initiatives and activities at Strathclyde

2016-20 Equally Safe in Higher Education (ESHE) Project

Addressing themes identified in [Equally Safe](#), the Scottish Government's strategy for preventing and eradicating violence against women and girls, Strathclyde led the sector in the development of a toolkit, funded by the Scottish Government, to address gender based violence in Higher and Further Education in

Scotland: (https://www.strath.ac.uk/media/1newwebsite/departmentsubject/socialwork/documents/eshe/Equally_Safe_Doc_1_pgs_inc_ISBN.pdf)

The toolkit was launched in 2018 and provides a practical collection of free materials and resources developed specifically for Scottish universities. ESHE also delivered awareness raising campaigns and GBV prevention education and training programmes for staff and students.

The University's Equally Safe @ Strathclyde Group was established in 2017 at the outset of the national Equally Safe in Higher Education Project. Membership includes both internal and external stakeholders from: Strath Union (the students' association); Academic and Professional Services; EmilyTest; Glasgow City Council ASSIST; Glasgow and Clyde Rape Crisis Centre; NHS Greater Glasgow and Clyde NHS; Police Scotland; and, campus trade unions. The collaboration with Strath Union is an essential partnership which underpins the work of the group, ensuring the voice of our students is both represented and heard.

Whilst the Project, renamed Equally Safe in Colleges and Universities for its second phase, concluded in March 2020, implementation of the toolkit for the prevention of gender-based violence has continued within the University and across the HE and FE sectors in Scotland. Annual reporting on progress of the implementation of the toolkit is included in University SFC Outcome Agreements.

Key outcomes at Strathclyde as a result of the Equally Safe project included the introduction of the Report and Support system as an alternative reporting route to the formal Complaints Handling Procedure, and the establishment of a bespoke on-campus Glasgow Rape Crisis support in 2018.

2016 Rape Crisis Student Support Service on Campus

In 2016 the University of Strathclyde and the Glasgow Rape Crisis Centre entered into an innovative partnership, which formed the basis of a number of collaborative activities between the two organisations under the umbrella of Equally Safe in Higher Education. This included prevention work with staff and students, creating and delivering clear response, support and service pathways for those affected.

The Disability & Wellbeing Service now hosts, 3 days per week, the University's on campus support for students who have experienced sexual violence or who are looking for information around consent. This is a confidential specialist support service through the [Rosey Project](#) from Glasgow and Clyde Rape Crisis (<https://www.roseyproject.co.uk/>). Any student who has experienced any form of sexual violence at any point in their lives can access support in addition to friends and family members of survivors.

2017 Report and Support online

(<https://www.strath.ac.uk/studywithus/strathlife/reportsupport/>) launched to allow all staff and students to report if someone's safety has been threatened, whether through inappropriate behaviour, verbal or physical harassment, or other actions that make them feel unsafe. Reports can also be made anonymously.

The information is shared with a small group of highly experienced and trained staff who actively manage and respond to all reports made through Report and Support, thus ensuring the provision of appropriate support to those affected by the incidents or issues reported. Any reports made by students are not shared with the student's department unless the student agrees or if there are very serious safety concerns.

The implementation of Report and Support has provided a safe and accessible means for students to speak out against unacceptable behaviour. The online reporting tool is currently undergoing investment and development with a relaunch planned this session. The development of an institution-wide reporting system encompassing Health and Safety, incident reporting and Report and Support is also close to completion.

2019 Safeguarding at Strathclyde: Safe360°.

In 2019 the University adopted a new holistic University-wide framework for Safeguarding, known as Safe360°. It supports our duty of care and enhances support mechanisms for students and staff, integrating legal duties, national guidance and interdependencies between a suite of University policies and procedures that underpin a safe, nurturing and respectful learning and professional working environment.

The Safe360° framework brings together our existing policies and commitments to promote safeguarding as a commonly understood duty and commitment. The Safe360° Policy Map sets out the various University-wide activities which demonstrate the University's commitment to the Safe360° approach. It reflects the University's socially progressive commitment to protect and support children, young people and adults accessing and delivering our services and facilities within a safe, nurturing and respectful learning and professional working environment.

2020-25 The University People Strategy

[_https://www.strath.ac.uk/media/1newwebsite/documents/peoplestrategy2025.pdf](https://www.strath.ac.uk/media/1newwebsite/documents/peoplestrategy2025.pdf)

[Launched in 2020](#) the People Strategy gives a baseline commitment to staff through the Strathclyde Pledge

<https://www.strath.ac.uk/whystrathclyde/peoplestrategy/thestrathclydepledge/>

This commits the University to provide a safe and secure working environment, the aim to ensure zero harm and to moving from reacting to allegations of harassment to prevention of harassment in the workplace. As part of this an all staff behaviour code is being introduced. The Community Commitment aims to set expectations around behaviours by ensuring staff understood expectations of them and adhered to the Commitment.

2021 Emily Test Charter Pilot

The University shares the aspirations of the EmilyTest and welcomes the development of the national Charter. We are delighted that Strathclyde's application to be one of the pilot sites for the EmilyTest Charter has been accepted.

Equality, Diversity and Inclusion Committee (EDIC) Annual Report to Court

Introduction

1. The Equality, Diversity and Inclusion Committee (EDIC) is a University Committee overseeing the University's compliance with its equality and diversity obligations, most recently set out within the Equality Act 2010. The Committee is convened by the Vice-Principal and meets formally three times a year.
2. Court is invited to **note the report**, which provides an overview on developments and achievements in relation to equality, diversity and inclusion during 2020/21.

Developments during 2020/21

Equality Outcomes 2021-25 and Public Sector Equality Duty reporting

3. The Scottish specific duties of the [Public Sector Equality Duty](#) (PSED) require universities to report every two or four years on activity and progress with regards to their performance of the general equality duty.

The general equality duty requires public organisations, in the exercise of their functions, to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other prohibited conduct
 - Advance equality of opportunity between people who share a relevant protected characteristic and those who do not
 - Foster good relations between people who share a protected characteristic and those who do not.
4. The University published a series of reports on its performance with regard to the PSED by the specified deadline of 30 April 2021. In accordance with the duties, this included:
 - A new set of [Equality Outcomes \(2021-25\)](#), setting out Strathclyde's four-year, institutional equality priorities, presented as results which we aim to achieve over the next four years, to further the needs of the general equality duty. The Equality Outcomes Report also incorporated a final progress update on the Equality Outcomes 2017-21
 - The [Equality Mainstreaming Report 2021](#), providing an overview of the University's efforts and achievements in embedding and mainstreaming equality throughout our functions since 2019
 - The [Gender Pay and Equal Pay Gap Report 2021](#)
 - The [Staff Equality Monitoring Report 2021](#)
 - The [Student Equality Monitoring Report 2021](#)

Race Equality

5. The University's Race Equality Working Group (REWG) was formed in 2020, with a remit to work to ensure an inclusive environment for Black, Asian and Minority Ethnic (BAME) students and staff, promote racial diversity across the University and, where required, improve educational and employment outcomes for BAME students and staff.

6. In July 2020, a University wide Race Equality Workshop was held to afford staff and students the opportunity to share and discuss key issues with regard to race equality in Higher Education and priorities for Strathclyde's work in this area. Feedback from the workshop helped to inform some initial priorities for REWG to explore further during academic year 2020/21.
7. In August 2020, the Principal formally endorsed a landmark commitment from Scotland's universities and colleges to support a declaration against racism and in December, confirmed the University's membership of Advance HE's [Race Equality Charter](#), which will provide a tried and tested, robust framework to help Strathclyde identify and self-reflect on institutional and cultural barriers standing in the way of BAME staff and students.
8. REWG has considered the wider context with regards to race equality in the higher education sector, BAME staff and student representation at Strathclyde and specific issues around staff and student recruitment and progression, race equality in the curriculum, communications and engagement and staff and student support systems. These areas were explored in more detail in a series of themed focus groups held with staff and students in January 2021, followed and complemented by a short survey.
9. REWG is preparing a set of initial race equality recommendations for the University, informed by feedback from focus groups as well as additional internal and external evidence on race equality across the higher education sector and at Strathclyde. These will be presented to EDIC and relevant additional strategic committees for approval.
10. The University, led by REWG, will use the framework of Advance HE's Race Equality Charter to undertake a full evaluation of race equality across the institution and develop appropriate actions in response, in the form of a SMART (specific, measurable, achievable, relevant and time-bound) University Race Equality Action Plan. This will be completed by academic year 2022/23, at which point the University will apply for its first Race Equality Charter award.

Gender Equality: Athena Swan

11. The University's Gender Equality Steering Group (GESG) promotes and advances gender equality within the University's staff and student populations and specifically oversees progress against the University's Athena Swan Action Plan and student Gender Action Plan.
12. Advance HE's [Athena Swan Charter](#) is a framework (charter and awards scheme) to support and transform gender equality within higher education (HE) and research. The University has been a member since 2005 and has held an institutional Bronze level award since April 2011. 15 departmental awards are currently held. This includes a Faculty level award for Strathclyde Business School, meaning that 20 of 25 departments/Schools are currently covered by Athena Swan accreditation.
13. Following the publication of an independent review of Athena Swan in March 2020, Advance HE is continuing the developmental work to deliver a holistically transformed Charter, with new award criteria, underpinning expectations, application materials and guidance due to be published at the end of June 2021.

14. Strathclyde's institutional Athena Swan award is due for renewal or upgrade to Silver at the end of November 2022. Work will begin on the next institutional submission over summer 2021, using the newly published application materials.

Gender Equality: institutional student Gender Action Plan (iGAP)

15. In August 2017, the University published its student focussed institutional Gender Action Plan (iGAP), in line with Scottish Funding Council (SFC) guidance, to outline ongoing and planned activities to address subject specific gender imbalances in student populations.
16. In April 2020, SFC wrote to universities advising that the July 2020 deadline to publish new iGAPs would be delayed. In August 2020, further communication confirmed that, pending the results of an ongoing SFC and Equality and Human Rights Commission (EHRC) review to identify persistent inequalities in the FE/HE sectors, SFC may not require institutions to produce iGAPs in future.
17. SFC have reinforced that institutions remain statutorily required to tackle gender inequality and that they will remain keen for universities to do so. GESG has maintained oversight of student gender imbalances and has reviewed the draft iGAP initially scheduled to be published in July 2020, to establish practical recommendations which may be able to be progressed in the short to medium term, in order to maintain momentum in addressing student gender imbalances. Work to take these forward will continue throughout 2021/22.

Aurora Women's Leadership Development Programme

18. The University provides annual funding and support for female staff to participate in Advance HE's women's leadership development programme, [Aurora](#). Since 2013, over 100 women have been supported through the programme.
19. In 2020/21, 20 Strathclyde women took part in the programme, which was conducted online for the first time due to COVID-19 restrictions. Applications for centrally funded places on Aurora for women at Strathclyde will open again in summer 2021.

STEM Equals

20. One of only eleven EPSRC funded projects under the Inclusion Matters initiative, [STEM Equals](#) is a four-year research and impact project focused on creating more inclusive STEM communities for women and LGBT+ people in both academia and industry. The project is funded by EPSRC with matched funding from the University of Strathclyde. The industry partner is BAM Nuttall.
21. STEM Equals presented its [first year report](#) to EDIC in November 2020, highlighting some of the milestones the project met in Year 1, particularly with regards to research, initiatives, dissemination, events, collaborations, additional funding awarded and the project's website and social media.

22. Highlights include:

- A £50k funding call to support 10 projects led by women at Strathclyde and pump-prime larger bids within EPSRC 's remit
- Organisation of 18 talks and presentations, 50+ networking events and meetings, 3 outreach events and 3 workshops
- Attraction of £33k extra funding for outreach activities, to promote innovation and to establish global partnerships
- Focus groups and interviews conducted with 82 participants over 46 hours
- Creation of the [Strathclyde LGBT+ Staff and PhD Students Network](#)

Equally Safe @ Strathclyde

23. The Equally Safe @ Strathclyde Steering Group was established in 2018 to take forward and embed the recommendations of the Scottish government funded and sector leading [Equally Safe in Higher Education](#) gender-based violence (GBV) research project, based in the School of Social Work and Social Policy at the University.

24. Recent activity includes:

- Consent Workshops held in 2020 with students in University residences, residence assistants and Halls Committee. Open sessions were also held for students from various year groups.
- Bystander intervention programme delivered as part of Social Work & Social Policy and Education courses
- GBV prevention message in all residences through Respectful Living Leaflet as well as posters on every door
- GBV prevention leaflets included in Freshers' packs
- The University's Organisational and Staff Development Unit (OSDU) delivered Active Bystander Training with open registration for staff
- Levels 1 & 2 GBV First Responder Training courses offered to staff via OSDU training calendar
- On-campus service offered by Glasgow and Clyde Rape Crisis extended to three days per week in response to service demand
- The University was selected as one of four universities and colleges to pilot a charter with the aim of improving gender-based violence prevention, intervention and support among students. The project is being run by [EmilyTest](#), a charity set up in Scotland in memory of Aberdeen law student Emily Drouet, who experienced abuse from a fellow student

Policy development

25. The University's new [Equality, Diversity and Inclusion \(EDI\) Policy](#) was launched in 2021, following approval by University Senate in 2020. Consultation was conducted with students and staff during its development to shape a concise, accessible policy with proactive language, including clarification of how policy aims are delivered, monitored and reviewed.

26. Two new guidance documents on [Guidance and Support for LGBT+ Students and Staff](#) and [Guidance and Support for care experienced students and staff](#) were launched alongside the EDI Policy. These aim to promote understanding and provide clarity on issues that may be of particular relevance to LGBT+ and care experienced students and staff respectively. They

provide guidance for staff and line managers on support for students and staff and on ensuring an inclusive environment.

27. The guidance documents are part of a series that will outline support for students and staff at Strathclyde, with a particular focus on promoting equality of opportunity, diversity and preventing discrimination irrespective of: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, sexual orientation, care experience or socio-economic background. These documents underpin and should be read in conjunction with the EDI Policy.

Supporting students from GTRSB (Gypsy, Traveller, Roma, Showman and Boater) communities

28. The University is committed to supporting students and staff from GTRSB (Gypsy, Traveller, Roma, Showman and Boater) communities, and signed the [GTRSB into Higher Education pledge in 2021](#) to demonstrate our commitment. We have established a named contact for GTRSB students who will lead activity to support applicants, students and staff and committed to the following additional actions:

- We will evaluate current data and seek ways to improve data collection and monitoring and promote methods for students and staff to self-identify
- We will develop and promote guidance for staff regarding the experiences of GTRSB communities in education
- We will include GTRSB students in our existing support offerings for access students with, for example, the provision of a staff mentor as part of our Strathclyde Cares scheme and priority for funding and extra-curricular opportunities
- We will work with current and potential students to identify what support can be put in place to enhance the experiences of GTRSB students in higher education
- We will seek opportunities to promote and celebrate GTRSB cultures within the University in order to raise awareness amongst students and staff

Communications and events

29. The University uses events and communications channels to mark a range of nationally and internationally recognised days, weeks and months of observance of relevance to equality, diversity and inclusion. Media and Corporate Communications work closely with the Equality and Diversity Office and departments across the University to ensure a coordinated approach to marking relevant dates that helps to promote and advance understanding of issues relevant to protected characteristic groups amongst our students, staff and wider University community. Some examples include:

- Black History Month (BHM) 2020: dedicated University BHM webpage, featuring University and city-wide events, external resources, information on and profiles of the University Race Equality Working Group and information on relevant academic research at Strathclyde. Promotion of webpage via internal staff and student communications channels and social media
- LGBT History Month (LGBTHM) 2021: Raising of the rainbow flag on campus, lighting up a number of University buildings in purple to celebrate Purple Friday, dedicated University LGBTHM webpage featuring events, information on LGBT+ inclusion and support services at

Strathclyde, relevant academic research. Promotion of webpage via internal staff and student communications channels and social media

- Strathclyde Women's Month 2021 - online events included:
 - Women in Academia: Optimising our Potential webinar
 - 5 separate Women Leaders in Conversation sessions
 - STEM Equals event: Celebrating Women Researchers Focused on Sustainable Development
 - Aurora: Developing Influential, Impactful Female Leaders session
 - Women in Leadership Masterclass
 - Career Anchors and Circles of Influence workshop
 - Confidence Lab with Voice Business
 - Finding Your Strengths and Using them to Achieve Your Ambitions workshop
 - Strathclyde Feminist Research Network event: #FEAS Feminism in Our Times
 - The 5 Powerful and transformative Questions workshop

Recommendations

30. Court is invited to **note** the annual report of the Equality, Diversity and Inclusion Committee (EDIC) and institutional developments and achievements in relation to equality, diversity and inclusion during 2020/21.

Executive Team Report to Court

The Executive Team (ET) met on 6 & 18 May and 1 June. The following key items were discussed and are provided here for Court to note:

1. Health and Safety moment and Covid-19 Updates

Under the 'Safety Moment' led by the University Secretary and Compliance Officer, the Team took the opportunity at each meeting to discuss health, wellbeing and safety matters and Covid-19 related updates.

2. First Responder Training Sessions

ET received bystander and first responder training led by Glasgow & Clyde Rape Crisis.

3. Pay and pensions

ET received updates on national pay negotiations and the Universities Superannuation Scheme (USS).

4. Enhancing the Strathclyde Doctoral Experience project

ET received a progress update on the 'Enhancing the Strathclyde PhD Experience' project and approved the continuation of the project through the development of a business case which would set out intended deliverables, benefits and resources required.

5. Centre for Sustainable Development: Business Case

ET considered the Business Case for the Centre for Sustainable Development, to further develop this significant initiative, a key element of the University's strategic commitment to deliver against the UN Sustainable Development Goals across all areas of activity.

6. Student Recruitment

ET received regular updates on student recruitment.

7. Budget 2021-2022

Over a number of meetings, the Chief Financial Officer (CFO) outlined the budgeting process, timeline and progress in formulating the 2021-2022 budget position. ET approved the final budget in advance of the June Court Business Group and Court meetings.

8. Succession Planning and Talent Management Programme

ET received an overview of a proposed framework to support talent management and succession planning for future Heads of Department (and equivalent roles) and potential Executive Team members.

9. Global Research Scholarship Programme

ET considered proposals and parameters for a Global Research Scholarship Programme and approved the development of the programme.

10. Learning & Teaching Building update

ET received regular updates on the Learning & Teaching Building and endorsed the L&T Executive Steering Board's recommendations relating to staffing resource for phases 1 & 2 and the resolution of a financial claim from Balfour Beatty related to Covid-19 incurred costs.

11. Q3 Business Report 2020-21

ET considered the Q3 business report ahead of transmission to Court Business Group and Court.

12. Proposed appointment of Strathclyde Chancellor's Fellows

ET considered and agreed in principle, subject to affordability, a number of potential candidates for the Strathclyde Chancellor's Fellows under the Strathclyde Global Talent Programme.

13. Contribution Pay 2021

ET considered and agreed the approach to Contribution Pay for 2021.

14. Case for Investment for Royal College Fire Safety Improvements Works

ET endorsed the Case for Investment for Royal College Fire Safety Improvements Works on the recommendation of the Estates Committee and noted that the project would be taken forward for approval by Court, in line with the Schedule of Delegated Authority.

15. Let's Disclose It Pledge

ET considered the Let's Disclose It Pledge, developed in collaboration between StrathUnion and the University and noted that the pledge includes a commitment to ensuring Non-Disclosure Agreements (NDAs) are never used in cases of sexual harassment and sexual violence, along other more general commitments. ET endorsed proposed wording for the Let's Disclose It Pledge.

16. University Operating Plan 2021-22

ET reviewed the University Operating Plan 2021-22 ahead of transmission to Court Business Group and Court.

17. Concordat to Support the Career Development of Researchers – Progress Report and Implementation Plan

ET received an update on the Concordat to Support the Career Development of Researchers Gap Analysis and recommended Implementation Plan. ET approved the proposed actions and recommended that a report be submitted to Court for consideration and approval in line with the Concordat obligations.

18. Cloud Transformation Programme Update

ET noted an update on the Cloud Transformation Programme, which was progressing well and had seen high levels of demand for the relevant IT applications.

19. TIC Zone Development within the Glasgow City Innovation District

ET received an update on progress of the TIC Zone project, endorsed the proposal to initiate Design Stage 3 and received an update on the development of the funding package for the wider project.

20. Disclosure and Reference Checks Process

ET considered and approved proposed changes to pre-employment checks and the use of references, in line with the recommendations of the Independent QC Inquiry.

21. Reports

ET noted the following reports:

- The University's Response to the SFC Assessment of Procedures in relation to the independent QC-led reports;
- The Equality Outcomes Report 2021;
- The Strathclyde Community Commitment;
- Inquiry Recommendations Implementation Group meeting reports;
- Performance Development Group meeting reports;
- The Q3 Complaints Handling Report 2020-21.

Senate Report to Court

Senate met on 2 June 2021. The final Senate meeting of AY 2020-21 took place online (via the Zoom platform) in accordance with measures in place to minimise the spread of COVID-19.

This report provides Court with key points from the Senate meeting.

FOR NOTING

Senate invites Court to **note** the following items considered by Senate on 2 June 2021.

1. Report from Senate Business Committee:

Senate Business Committee (SBC) noted at its meeting on 21 May 2021 that, since the last meeting of Senate on 24 March 2021, the Collaborative Provision Agreement (CPA) Subgroup had processed ten agreements: three new articulation agreements, one renewal of an existing articulation agreement, three renewals of existing validation and articulation agreements and three addenda/annexes to existing articulation agreements which were detailed in the respective Faculty reports to Senate.

Senate was invited to consider and approve the reports for the June Senate meeting. Senate approval was given where requested in the reports, and will be documented in the formal minute of the Senate meeting.

The publication of the *Procedure for Markers and Boards of Examiners in Response to COVID19: AY 2020-21* which had been developed in consultation with colleagues in Education Enhancement, Faculties and StrathUnion was welcomed. This had already been endorsed through QAC, ESC and SBC and approved by the Principal on behalf of Senate via Convener's Action. This decision was recommended to Senate for homologation.

2. Principal's Report

The Principal provided a comprehensive report on news and items of interest since the last meeting, covering the following key topics:

- COVID-19 Latest
- Staff Wellbeing Survey - Strathclyde's innovative approach to staff wellbeing received external recognition as joint national winner in the Working Families Best Practice Award in the Best COVID-19 Response category across all sectors
- Times Higher Education Impact Rankings positioned Strathclyde at =32nd in the world, first in Scotland and seventh in the UK for our contribution to the UN Sustainable Development Goals
- Research Excellence Framework Submission
- Strathclyde Global Talent Recruitment Campaign
- Strathclyde Acceleration Teams
- Engage with Strathclyde
- Strathclyde Safe360
- Bystander Training and the Emily Test
- Consultation to name North and South Wings of the Learning and Teaching Building

- National Student Survey 2021 Update with Faculty Expectations
- Strathclyde Shortlisted for 10 Herald Higher Education awards
- Staff Engagement Sessions
- Strathclyde People highlighting staff and student achievements
- Research Wins

3. Student Voice Update

The StrathUnion President reported that it had been a pleasure working alongside Senators over the last two years as a sabbatical officer and highlighted several notable accomplishments emerging over the last twelve months in the middle of a global pandemic, many of which had been developed in partnership between StrathUnion and the University, including:

- The University's responsiveness to requests from StrathUnion for support to address the many challenges facing students caused by the COVID19 pandemic;
- Celebrating the imminent announcement of female names to mark campus spaces, emphasizing tangible steps towards culture change;
- Climate Change and Social Responsibility;
- Introduction of a new Student Representation structure; and
- Development of the 'Let's Disclose It' Pledge.

These achievements reflected the University's bold and innovative approach and demonstrated that the institution and the Union worked better together. The Principal commended the outgoing StrathUnion President's dedication and credited her input as helping to build the necessary framework through which discussions to co-create and co-imagine the future of Strathclyde could be progressed.

4. Substantive Items of Business

Senate welcomed presentations on the following three topical items:

i. e-FIRST

Senate noted with interest a presentation on developments regarding e-FIRST (**e**ducation - **F**uture Innovation and **R**eflection on **S**trathclyde **T**eaching), focussed on preparations and considerations for the AY2021-22 delivered by Professor Debbie Willison (Vice-Dean Academic, Science), Cathy Milligan, Director of Education Enhancement, and Helyn Gould, Deputy Associate Principal (Learning and Teaching).

Preparation and considerations for AY2021-22 was focussed on student support, transitions and community. **We Are Strathclyde** is integrated with confirmation and registration and creates opportunities to expand transition and subject-level preparedness, through Programme/Module level prerequisite training, skills gaps and learning needs.

Campus configuration and navigation is building on significant work undertaken in preparing the campus for the current academic year. Videos will be available to familiarize students with navigating around campus. Classrooms will be configured with 1m+ social distancing layout, with a maximum of 50 per classroom. A Framework has been developed through the Strategic Timetabling Group (which reports to ESC via LEC) for managing the planning and booking of spaces for teaching.

ii. Financial Update

Steven Wallace, Chief Financial Officer, presented Senate with a general update on the University's financial position and the latest budget setting developments. The Budget for 2021-22 was in the final stages of completion, with the final budget position due to be presented to Court on 17 June. It was reported that, while there was still higher than normal risk in budgeting for the coming year, cautious optimism on continued relaxation of COVID restrictions should provide an improvement on the current year position. There would be no change in key focus on contributions from our portfolio of income-generating activities. The University remained in a position of relative strength, albeit with no complacency.

iii. COP26

Professor Tim Bedford (Associate Principal, Research and Innovation) presented Senate with details of Strathclyde's involvement with the forthcoming *Committee of the Parties 26 (CoP26)* conference scheduled to take place in Glasgow in November 2021, highlighting engagement, contributions and potential legacy benefits for the University.

Each of the five Cabinet Office COP26 Science Campaigns mapped well with Strathclyde's capabilities which offered opportunities for our staff and student engagement through a series of focussed Workstreams: Events, Academic Legacy, Partnership and Communications. Strathclyde would also be ideally situated in one of the 'Host City' zones and there would be After the Pandemic (ATP) festival fringe space and exhibitions along the banks of the Clyde. Senators were encouraged to view the COP26 website which would be launched imminently at <https://ukcop26.org/>.

5. Items for Senate's Information

Senate **noted** the revised timetable for Senate Elections for Session 2021-22 which had been endorsed by the Senate Business Committee. The nomination process was currently underway with a closing date of 4 June 2021. The paper contained a revised timetable as well as the Notice of Election and the Call for Nominations that had been intimated to applicable staff via email and *Inside Strathclyde*.

6. Thanks

The Principal extended his sincere thanks to those Senators demitting office at the end of July after two consecutive terms for their service, and encouraged others to submit nominations for re-election. Similarly, he also warmly thanked StrathUnion sabbatical officers who would not be continuing in their roles next session for their contribution.

End

Court Business Group Report to Court

The following items were discussed by Court Business Group on 7 June 2021 and are provided here for Court to note.

1. Q3 Business Report 2020/21

CBG received the Q3 Business Report and noted it showed the University to be in a strong position. Both income and expenditure were lower than budget, largely due to the impacts of continuing Covid-19 restrictions. Cash balances were significantly higher than budget, due primarily to additional Financial Transactions loan funding received from the SFC. There was appropriate headroom on all active debt covenants and on the additional liquidity requirements requested by the European Investment Bank. There was year-on-year growth in applications for the majority of student intake groups, although it was noted that significant uncertainty remained in the global context for student recruitment.

2. 2021-22 Budget, Financial Forecasts and University Operating Plan

The Chief Financial Officer presented the budget and financial forecasts for 2021-22.

In the context of global uncertainty surrounding anticipated emergence from the Covid-19 pandemic, the budget was tipped to risk. While income from tuition fees was recognised to be a risk area, current indications supported the assumption of a return to growth in this area. The University's successful introduction of PGT courses with January intakes, alongside increasing maturity of online delivery, provided significant opportunities to support budgeted growth. The budget would produce a robust cash position and preserve headroom on all debt covenants.

CBG also received the University Operating Plan and, in this context, discussed infrastructure needs in the light of the impacts of the Covid-19 pandemic.

3. TIC Zone Planning: Design Stage 3 Approval

CBG noted proposals to initiate Design Stage 3 of the TIC Zone project, which had been supported by Estates Committee and the Executive Team. This would prevent delays to completion of the project as a whole and would in the short term clarify resource needs. Members also received an update on the development of the funding package.

4. University of Strathclyde Students' Association Budget, 2021/22

The USSA President and Deputy Chief Executive presented the Student Union's budget for the financial year 2021/22, noting risks and mitigations in relation to the Covid-19 pandemic and opportunities that would be created by the opening of the Learning & Teaching Building. A number of achievements over the last year were noted.

5. Court Agenda, 11 May 2021

CBG **approved** the agenda.

Report to Court from Audit & Risk Committee

The Audit & Risk Committee met on 20 May 2021 by videoconference.

Audit & Risk Committee makes a recommendation to Court in regard to the following item:

1. Committee Terms of Reference

Audit & Risk Committee discussed a proposed revision to its Terms of Reference and **approved** it for recommendation to Court.

*Court is invited to **approve** the proposed amendment to University Regulations shown below in order to reflect the Audit & Risk Committee's revised Terms of Reference.*

1.2.7 The Committee shall consist of no fewer than four lay members of the Court, of whom one shall be Convener. At least one member shall have recent relevant experience in finance, accounting or auditing. The Committee may co-opt up to three further individuals external to the University, who should not have significant interests in the University, for a period of time to be determined by the Committee. The convener of Court should not be a member of the committee.

The following items were discussed by the Audit & Risk Committee and are provided here for Court to note:

2. COVID-19 Update

The USCO updated members on the current situation and the plans underway for the beginning of the 2021/22 academic year. The following points were noted:

- The University had moved to a “business as usual” approach, keeping within Scottish Government guidelines;
- Guidance was being continually updated as the restrictions changed. Updated guidance from the Scottish Government was awaited for the most recent changes;
- Research activity continued and increasing numbers of PhD students were able to return to campus;
- Restricted blended learning was taking place;
- Planning for 2021/22 was on the basis of 1 metre + with contingency arrangements should the 2 metre rule remain as confirmation had not yet been received from the Government;
- The asymptomatic test centre would remain available for students and staff on campus until the end of June;
- It was unclear whether students would be partially or fully vaccinated by the start of semester 1;
- There was concern that Glasgow remaining in level 3 might delay further easing of restrictions and impact semester 1 planning;
- Strathclyde had two staff members serving on the expert advisory group for the Scottish Government;
- The possibility that the 2 metre distancing rules would stay in place in the autumn was the greatest concern as this would prevent any material increase of teaching activity on campus and impact significantly on the student experience and student progression.

3. Outstanding Education and Student Experience

The Vice Principal, Director of Education Enhancement, Deputy Associate Principals (Learning & Teaching) and Vice Dean Academic (Science) gave members an overview of the impact the Covid 19 pandemic had had on the student experience and academic provision.

The University had pivoted from face to face teaching to online delivery in the space of one weekend. The initial focus had been on completing teaching and supporting the assessment period for 2019/20. Education Strategy Committee (ESC) and Quality Assurance Committee (QAC) considered feedback on how this was done and what had worked and planning for the beginning of 2020/21 commenced in June 2020 with a view to a blended learning approach for semester 1. Changing restrictions had necessitated more online delivery during both semesters than had been anticipated with plans always ready for on-campus activity as soon as it was safe.

The University's focus for leading planning, development and delivery during this period had incorporated sound and appropriate academic governance with:

- Senate oversight and approval of academic policy with strategic decision making through Executive Team and Education Committees;
- effective decision-making routes and ability to react to the dynamic nature of the evolving external environment;
- responsibility for academic decision making undertaken by those with the disciplinary expertise necessary
- connectivity across the University to achieve consistency of practice and implementation;
- decision making informed by Scottish Government guidance.

A Start of the Academic Year (SotAY) framework had been used to prepare for 2020/21. This had focused on academic continuity and the student experience; effective academic governance and developing a cross-institution framework for overseeing delivery throughout 2020/21.

In preparation for the academic year 2021/22 and beyond, the University Senate would be supported by the new eFIRST framework. "Education: Future, Innovation and Reflection on Strathclyde Teaching". Within this approach was a recognition of the different challenges that 2021/22 presented, in particular in relation to the varied hybrid approach to learning and teaching that would be required and in relation to engagement with the student community.

It was not envisaged that the University would return entirely to its previous delivery model. Online delivery provided additional routes for both students and industrial partners to engage with the University. However, students reported missing on-campus activity for the level of interaction that could not be replicated online.

In discussion, the following points were noted:

- Feedback suggested that students were generally content with the online delivery while also valuing the campus based experience;
- Where it could not be replaced with online activity, essential learning had taken place on campus;
- While transitional support had been provided in the past for students who would benefit, in 2021/22 it was anticipated that a larger cohort would need support as all students would potentially have been impacted by the pandemic;

- It was recognised that there was a significant opportunity for developing the blended learning approach to harness new markets and the potential benefits of this approach for students were also recognised;
- As the whole of the sector had moved provision online it was recognised that Strathclyde would need to stay ahead in order to capitalise on the opportunities.

4. External Auditor's Audit Planning Report 2020/21

The External Auditor outlined the proposed approach and scope for the audit of the 2020/21 Financial Statements which were in accordance with the requirements of the auditing standards and other professional requirements and aligned with the Audit & Risk Committee's service expectations.

The key issues which drove the University's financial statement risks were unchanged from previous years. Materiality had been set at 2% of the prior year's total income with performance materiality set at 75% of planning materiality. This was due to the low number of misstatements identified in previous years.

Revised auditing standards, in the areas of going concern, estimates and judgements would be effective for the audit of the 2020/21 financial statements. The revised standard on going concern increased the work that had been traditionally required to assess whether the University was a going concern and was in line with the required work undertaken in 2019/20.

The following was also noted:

- The timetable had been agreed with a reporting date before the end of the calendar year. It was anticipated that the SFC deadline for submission would be set at February 2022, as with the previous year;
- A variation to the base audit fee was linked to the additional work required around going concern. This increase was understandable, given the additional work expected as a result of changes to auditing standards, however the University would wish to reserve the right to revisit this increase for the next audit cycle;
- The UK Government's Department for Business, Energy & Industrial Strategy ("BEIS") consultation was noted. Proposals which looked to extend the existing UK's definition of a public interest entity ("PIE") to include companies and organisations meeting certain limits, would potentially include universities and charities that exceed a size threshold.

The Committee would be kept abreast of any changes to the planned approach. The Audit & Risk Committee considered and **approved** the proposed approach for the audit of the 2020/21 financial statements.

5. Internal Audit

i) 2021/22 Internal Audit Plan

The Head of IAS introduced the 2021/22 Internal Audit Plan. In developing the plan, IAS consulted with senior managers and other key stakeholders, then held a strategy day to develop the high level scope and plotted coverage against risks and hot topics. Members of the Audit & Risk Committee had reviewed an earlier draft and that feedback had been incorporated into the version now presented to the Committee.

A key change had been the removal of the Global Mobility review. Finance and Human Resources were aware of the risks of overseas based staff members and had put mitigation in place. Contingency time had been built into the Plan to address unforeseen and urgent business or to supplement identified reviews which require further investigation.

Fifteen days had been allocated to monitoring and oversight of the HR Payroll Project. A member of the IAS team had been attending the HR Payroll Project Board meetings to keep abreast of project progress and governance.

The Audit & Risk Committee **endorsed** the 2020/21 Internal Audit Plan.

ii) IAS Activity Report

The Committee noted the progress against the delivery of the Audit Plan for the current academic year and also the following:

- Since the last report, two reviews had been completed along with the Management Action follow up and the 2021/22 IAS Annual Plan and three further reviews were in progress;
- A draft of the Procurement Contract Management report had been completed;
- A desktop review of the UKVI staff visa requirements had also been undertaken;
- The only substantive review not yet started was that of the GCID Financial Model;
- IAS was confident that the programme of work for 2020/21 would be completed by September;
- The level of professional development undertaken by the team was applauded, particularly in the current difficult environment.

iii) IAS Management Action Update Report

The Head of IAS noted that, since the last Management Action Update report, 36 recommendations had been implemented and there were 78 outstanding recommendations, 44% of which were not yet due.

There were 2 outstanding high risk actions overdue which related to the Review undertaken in 2018/19 in USSA. The actions related to Business Continuity work being undertaken which had taken longer than expected to complete. During the follow up process, the Chief Executive had acknowledged that the work had taken longer than expected to complete and noted that the COVID-19 pandemic had delayed the planned work. A revised implementation date of October 2021 had been identified. IAS was satisfied that progress was being made and that Business Continuity plans should reflect the move to the new premises in August.

iv) Review of USSA Budget Monitoring

Members noted the Report on the review of USSA Budget Monitoring and the overall grading of Substantial assurance. Three low risks had been identified along with numerous examples of good practice. The identified risks were opportunities for enhancement rather than control deficiencies and a robust control environment had been implemented by the Head of Finance.

v) Review of Maintenance

Members noted the Report on the review of Maintenance and the overall grading of reasonable assurance. One medium risk and three low risks had been identified along with numerous examples of good practice. The medium risk related to an absence of training and expiration of certification and

was linked to both a lack of training events during the pandemic and a number of staff rendered unable to engage as they were considered vulnerable to Covid 19. No member of staff would be asked to do any work that required up to date training without having completed the requisite training. A substantial number of good practice points had been identified by the Review and the low risks were issues that were already known.

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 20 MAY 2021**Strategic Recruitment**

The Global Talent Attraction (GTAP) Recruitment campaign was close to conclusion with the aim of recruiting up to 40 exceptional staff in areas of strategic interest. 1,400 applications had been received, which was a slight increase since the previous round. The quality of applications was high and 139 interviews were currently underway. Various measures had been taken to ensure the recruitment advertising and related promotion through stakeholder networks was inclusive to encourage as diverse a range of candidates as possible.

Equality, Diversity & Inclusion

The Director of Human Resources noted that, as part of its Public Sector Equality Duty, the University was required to publish gender pay gap information every two years and an equal pay statement every four years. The Committee reviewed the Gender Pay and Equal Pay Report and the Staff Equality Monitoring Report. The Committee noted that overall gender pay gap had reduced by 1.8% since 2019 and 5.2% since 2017 and that diversity and equality measures showed positive progression across a number of aspects. The action plan aimed at accelerating the reduction of the gender pay gap was discussed. The Committee confirmed their support for the actions taken and those still planned.

Socially Progressive Employer & Coronavirus Response

The Committee was given an overview of various initiatives that the University had undertaken to support staff in recent months, including the Friday rest and recuperation days transitioning to Meeting Free Fridays, Staff Engagement Sessions, the onsite Coronavirus test facility and the recognition of staff contribution to support the COVID response through the Strathclyde Values Medals nominations. The continued people-oriented response to the pandemic had been recognised with Strathclyde named as a finalist in the Best COVID response category of the Working Families Best Practice Awards.

The Committee approved the proposed Strathclyde Community Commitment.

The University Secretary & Compliance Officer provided the Committee an overview of the work of the Inquiry Recommendations Implementation Group (IRIG) and the response given to the Scottish Funding Council in that regard. It was agreed that the Staff Committee would continue to have oversight of the staff-related actions arising in the future.

The Committee also reviewed and noted progress against the action plan in place to achieve compliance with the Concordat to Support the Career Development of Researchers.

USS Pension Provision

The Committee reviewed and approved the University's proposed response to the Universities UK (UUK) consultation on matters relating to the USS March 2020 consultation. The response had been informed by the results of a staff survey to gauge current views. It was noted that at this stage the UUK was a consulting with employers and this was not a formal statutory consultation to change the benefit structure of the scheme.

GS/JF
07.06.2021

Report to Court from Estates Committee

The Estates Committee met on 18 May 2021 and the following items were among those discussed:

For Approval by Court:

In line with the Schedule of Delegated Authority Court is invited to **approve** the following item which was initially considered by the Estates Committee at its meeting of 9 March 2021, and which was subsequently endorsed by the Executive Team at its meeting of 18 May 2021.

1. Case for Investment Royal College Building Fire Safety Improvements Works

The Assistant Director (Estates Development and Operations) detailed the background to this paper on the requirement to implement high priority legislative fire safety improvement works to the Royal College building. The building had increased its occupancy and facilities over the preceding five years. This in turn necessitated the need to review the existing fire management arrangements to ensure that these were fit-for-purpose and compliant.

Based on the output from the last building condition survey Estates Services commissioned external consultants to carry out a full fire safety review of the Royal College Building. The output of this exercise was a fire strategy/safety report that specified the improvements that were necessary to make the building compliant with current Building Standards (Fire Safety) Scotland regulations.

This fire safety report considered the adequacy and condition of both the existing building fabric and building services' equipment and infrastructure, including all life safety systems. It provided recommendations to mitigate the risks and detailed an improved fire strategy for the building and also detailed the design of a proposed, new fire evacuation strategy, which would be reliant on the completion of a four phased series of works. Approval for phases 1 and 2 was being sought at this stage, with works having been prioritised based on the level of risk and the scope of works to be delivered and taking cognisance of the need to undertake the work whilst the building was in operation.

The highest priorities to be addressed in phases 1 and 2 were the vertical and horizontal escape routes. Making these improvements would significantly reduce the level of risk and improve the fire safety provision within the building. Thereafter, phases 3 and 4, which are assessed as a lesser risk, are planned to be undertaken during the summer recess of 2022. The intention was to bring a further paper to Committee in due course, seeking funding approval for phases 3 and 4.

The Chief Financial Officer indicated that the initial phases of works would straddle two financial years and could be accommodated within the envelope of the Capital Plan. The Committee indicated that it was supportive of the proposals and pleased that this work was being undertaken while the campus was quiet.

Given that the main George Street entrance provides the first impression of the institution, the design of this is particularly important and the Committee advised that it wished to view the detail of these plans before proceeding with that element.

Estates was also asked to ensure the main disruptive work was done prior to students recommencing in mid-September and that the George Street and Montrose Street entrances be prioritised over that of John Street, given the former two bear the higher levels of traffic flow.

In line with the Schedule of Delegated Authority, the Committee:

Recommends to the Executive Team and the University Court that implementation of the new fire evacuation strategy for the Royal College building and the progression of Phases 1 and 2 of the Fire Safety Works is approved **[Reserved]**.

For Noting by Court:

2. **[Redacted]**

3. **[Redacted]**

4. **[Redacted]**

5. Update on Climate Change and Social Responsibility Plan

An update presentation was provided by Dr Roddy Yarr, Assistant Director (Sustainability) on the Climate Change and Social Responsibility Plan, which focussed on the net zero aspects and the climate plan targets, the planned scope and the progress to date in delivering them.

An illustration was provided of the various target areas for carbon footprint reduction, including gas and electricity usage, business travel and staff commuting, with energy forming 75% of the overall reduction target. The climate change plan is comprised of four aims as follows:

1. Tackle climate change, ensure resilience and reduce resource use
2. Be socially responsible
3. Collaborate with others to embed sustainability across the Institution
4. Share learning and knowledge to help ensure continuous improvement

The trajectory of change was illustrated, commencing in 2014/15 and extending to the target date of 2040. This illustrated the impact of Covid and the reduction in business and staff travel associated with the pandemic, while a slide on the Climate Policy Horizon highlighted those areas on which the University should be focusing on next.

Committee was also reminded that the University currently pays for emissions, the cost of which is forecast to grow significantly, and which requires to be factored into future plans and cases for investment.

Additionally some examples of progress were provided, including the District Energy Network which has provided carbon savings and efficiencies, on site renewables such as the rooftop solar PV installed on the Strathclyde Sport, Sir William Duncan and James Weir buildings and the ground mounted array planned for Ross Priory. The work on Passivhaus and Well Building in the TIC and NMIS buildings was also highlighted, with the latter being the University's first energy carbon neutral development. Further updates were also provided regarding the Carbon Literacy training with students and the advances made by the University in the Times Higher Global Sustainable Development Goals rankings.

A feasibility study was also illustrated for a climate neutral Glasgow City Innovation District, a 100% renewable heat, power, transport, adaptation, and well-being plan for the community. and it was noted that this would be brought to a future meeting of Committee for information.

The Committee welcomed this informative presentation and commended the many important initiatives it covered.

Enterprise & Investment Committee (Report to Court)
[RESERVED ITEM]

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[RESERVED ITEM]**