

UNIVERSITY COURT – AGENDA

Thursday 2 March 2017, 09.30-12.00, coffee from 09.15
Rm 604, James Weir Building, Glasgow G1 1XQ

Apologies: Alison Culpan, Marion Venman

Declarations of interest: None

Introduction		
1.	Minutes of the meeting held on 24 November 2016	Paper A
2.	Matters arising <i>All</i>	Oral <i>5 mins</i>
3.	Principal's Report <i>Principal</i>	Oral <i>20 mins</i>
Substantive items		
4.	Estates developments:	
	a. Advanced Forming Research Centre – Extension Project <i>AFRC Projects Director</i>	Paper B <i>15 mins</i>
	b. John Anderson Building – external improvements <i>Director of Estates Services</i>	Paper C <i>10 mins</i>
	c. The Place – Business Case <i>Director of Student Experience & Enhancement Services</i>	Paper D <i>20 mins</i>
5.	Q2 Business Report 2016/17 <i>Chief Financial Officer, Director of Strategy & Policy</i>	Paper E <i>20 mins</i>
6.	Strategic Plan 2015-2020 – mid-year progress report <i>Director of Strategy & Policy</i>	Paper F <i>20 mins</i>
7.	Outcome Agreement 2017-2020 <i>Director of Strategy & Policy</i>	Paper G <i>20 mins</i>
Items for formal approval		<i>15 mins</i>
8.	Convener's Actions	Paper H

9.	Externally-facilitated Review of Court Effectiveness	Paper I
10.	Proposed amendments to Charter and Statutes	Paper J
Items for information		
11.	Technology & Innovation Centre update	Paper K
12.	Implementation of Review of Alumni Engagement	Paper L
Committee reports		
13.	Senate	Paper M
14.	Executive Team	Paper N
15.	Court Business Group	Paper O
16.	Court Membership Group	Paper P
17.	Audit Committee	Paper Q
18.	Estates Committee	Paper R
19.	Staff Committee	Paper S
20.	Enterprise & Investment Committee	Paper T
Closing remarks		5 mins
21.	<p>Any other business <i>Convener</i></p> <p>Date of next meeting 09.30-12.00, Thursday 4 May 2017 Location TBC</p>	

MINUTES OF UNIVERSITY COURT
24 November 2016

Present: Richard Hunter (Convener), Ronnie Cleland, Dr Jane Morgan, Malcolm Roughead, Gillian Hastings, Dr Jack Perry, Marion Venman, Alison Culpan, Kerry Alexander, Susan Kelly, Principal Professor Sir Jim McDonald, Dr Veena O'Halloran, Dr Jonathan Delafield-Butt, Professor Erling Riis, Dr Dimitris Andriosopoulos, Louise McKean, Raj Jeyaraj, Gerry McDonnell, Dr Alistair Goldsmith, Dr Jeremy Beeton

Attending: Hugh Hall, David Coyle, Professor David Littlejohn, Professor David Hillier, Professor Dimitris Drikakis, Professor Douglas Brodie, Professor Sara Carter, Professor Andrew Goudie, Rona Smith, Sandra Heidinger, Ray McHugh, Stella Matko, Dr Stuart Brough, Darren Thompson, Kirsty MacLeod, John Hogg

Apologies: Dr Archie Bethel, Vice-Principal Professor Scott MacGregor, Dr Andrew McLaren, Councillor Stephen Curran

Welcome and apologies

The Convener noted apologies received and welcomed members of Court and attendees. Court members warmly welcomed Marion Venman who was attending her first meeting of Court following a recent accident.

The Convener noted a number of recent senior staffing appointments within the University.

There were no declarations of interest.

1. Minutes

The minutes of the meeting held on 6 October 2016 were approved.

2. Matters arising

There were no matters arising.

3. Principal's Report

The Principal informed members of key activities and developments since the October meeting:

UK Government's Autumn Budget Statement: The recent budget announcement by the UK Government had included a significant commitment to additional investment in innovation and research as well as additional investment in technology transfer activities. The University would engage with Innovate UK to understand the intended approach to the allocation of this funding.

Science & Innovation Audits: Also announced within the UK Government's Budget Statement was the launch of a second wave of science and innovation audits, including the Glasgow Economic Leadership proposal with which the University was closely involved.

Scottish Government Budget: It was anticipated that the Scottish Government would set out its own spending plans in the coming weeks, with Scotland's block grant allocation being adjusted due to the new fiscal framework.

EU Exit issues: the Principal informed Court of recent and ongoing activity to monitor and respond to developments following the EU Referendum result in June. As part of this activity, the University had held an open briefing session with staff and students. Attendees had provided positive feedback on the session.

Maritime Safety Research Centre: the University had recently launched the world's first Maritime Safety Research Centre, in collaboration with partners from industry.

Institute for Inspiring Children's Futures: Court noted the launch of this new Institute, a joint venture between the University, the Centre for Excellence for Looked After Children in Scotland (CELCIS), and the Centre for Youth & Criminal Justice (CYCJ).

Research grants: The Principal highlighted a number of substantial research grant awards recently confirmed. The University was developing its pipeline activity considerably in order to meet strategic targets on research income.

4. Presentation: Student Learning & Teaching Facility Proposal

The Director of Student Experience and Enhancement Services (SEES) and the Director of Estates Services provided Court with an overview of proposals for the creation of a new student learning and teaching facility on campus. A full detailed business case would be presented for Court's approval in March 2017. For now, it was felt appropriate to provide an early opportunity to review and comment on the vision and initial proposals. During discussion, the following key points were highlighted:

- the potential for the proposed development to bring about a step-change in the delivery of the University's strategic aims, particularly in the areas of student recruitment, engagement and satisfaction;
- the importance of planned supplementary landscaping activity to transform the surrounding area and the key contribution of this to the realisation of the overall vision;
- the clarity of the vision presented, which had been developed on the basis of robust evidence and detailed background analysis of users' requirements;
- the importance of delivering flexible and adaptable learning space to support students' current and potential future needs;
- the possibility of seeking additional input from potential future students (i.e. current school pupils) to understand how their expectations of learning spaces may already be evolving as a result of changes within the school environment;
- the possibility of employing technological solutions to ensuring the longevity of the building, alongside robust estates maintenance schedules;
- the anticipation of wider benefits, including increased and enhanced student engagement levels, increased retention rates (particularly amongst students from non-traditional backgrounds);
- the criticality of the design team's role in ensuring complementarity with the surrounding environment;
- the proposal's cohesiveness with current approaches in the Andersonian Library and the ongoing close collaboration between Estates and Information Services to provide appropriate learning spaces for students;

Court **noted** that the proposals were wholly consistent with the University's strategic vision and that their realisation would represent a major statement of the University's priority commitment to the delivery of excellence in learning and teaching. Court looked forward to the opportunity to consider a full detailed business case for approval in March 2017.

5. Financial Statements 2015/16

The Chief Financial Officer (CFO) and Deputy Finance Director presented the draft Financial Statements 2015/16. The CFO provided a commentary on the statements, highlighting the significant structural and presentational changes arising from new accounting regulations, the implementation of the University's new Financial Management System, and changes in accounting estimates. He described the other main factors underpinning an overall positive year-end result and the achievement of a better than anticipated surplus position. These factors included:

- a reduction in Scottish Funding Council (SFC) grant income, mainly due to reductions in available capital funding and the lower than anticipated benefits of a strong Research Excellence Framework (REF) performance (due to changes in the SFC's research funding allocation methodology);
- a significant increase in overseas tuition fee income, despite the discontinuation of the *Science without Borders* programme;
- an overall reduction in research grants and contracts, largely due to reduced capital grant income;
- substantial increases in staff-related costs with reductions in other areas of operating expenditure; and
- other significant items, including the Universities Superannuation Scheme (USS) provision charge, a final payment of Research and Development Expenditure Credits (RDEC), and a gain on the disposal of fixed assets.

The CFO informed Court that increased volatility in the annual accounts was likely to be a feature in future years due to the recent changes to accounting regulations.

It was noted that the University's level of investment in lands and buildings was expected to increase significantly in subsequent years as capital projects recently approved by Court begin to come on stream.

The Treasurer welcomed the Financial Statements and strongly commended the efforts of all those involved in producing them, particularly during a period of such significant change. He stressed that the funding environment would continue to provide significant challenges and noted the subsequent importance of the University's enhanced focus on reviewing financial planning and budgeting approaches.

The Convener of the Audit Committee noted a positive report from the External Auditors and signalled the Audit Committee's formal recommendation to Court that the draft Financial Statements be approved and signed.

Court **approved** the draft Financial Statements 2015/16. The Convener offered his thanks to the Finance Team for their collective efforts in the face of significant regulatory changes.

6. Q1 Business Report 2016/17 and Strategic Partners Update

The Chief Financial Officer and the Director of Strategy and Policy introduced the Q1 Business Report for 2016/17. Members noted the following key points:

- The presentational impacts of new accounting standards on the quarterly outturn, particularly due to the revised treatment of capital grants;
- An overall forecast surplus, before one off items, which was **[RESERVED]** below the budgeted figure;
- Subsequent action by the Executive Team, in response to previous suggestions by Court and through the use of a 'stage-gating' approach, to withhold planned in-year expenditure equivalent to the value of the budget variance;
- A significant increase in tuition fee income, relative to the same quarter in the previous year;
- Indicators on staff sickness and turnover rates which remained below the sector average;
- The increased visibility of SIMD0-20 entrants and the improved retention of these students, reflecting the Scottish Government's focus in this area;

There was anticipated further in-year growth in the University's international student population and postgraduate research population and members noted that a significant amount of work was being undertaken in this area to deliver targeted student intake numbers.

Members **noted** the biannual progress report on the development of the University's International Strategic Partnerships.

7. Strategic Plan 2015-2020: year-end progress report 2015/16

The Director of Strategy and Policy introduced the year two progress report on the 16 KPIs contained within the University's Strategic Plan. Members noted positive year-on-year improvement in relation to KPI 7:

Field Weighted Citation Impact (FWCI), which was ahead of the 2015/16 target milestone, even when the disproportional impacts of highly cited, multi-authored papers were discounted.

Court **noted** the report and welcomed the positive trajectory of performance in relation to most of the Strategic Plan KPIs.

8. Draft Outcome Agreement 2017-2020

The Director of Strategy and Policy presented an initial draft of the University's new three-year Outcome Agreement for comment, highlighting that this would be refined further ahead of the submission of a 'well-developed draft' to the SFC in December. Court would be invited to approve a final version in March 2017 ahead of the final submission deadline. The Principal confirmed that the level of detail indicated by the early draft was likely to be welcomed by SFC as demonstrative of the significant return on public investment.

Members **noted** the draft and reflected on the requirement for a three-year commitment on outcomes in comparison to the expectation of a forthcoming Scottish Government budget which would cover only one year.

9. University of Strathclyde Students' Association (USSA) Objectives 2016/17

The Student President informed Court of USSA's main areas of focus for the year ahead. He reflected upon the organisational challenges faced by USSA during the previous year and the subsequently improved governance and financial position. He thanked Court members for their help and support in addressing these issues. He welcomed the University's increased focus as a socially progressive institution, which was also reflected in the increasing diversity of the student body.

Court noted that the University's senior management was highly sensitive to USSA's key priorities and would continue to work closely with the USSA Executive to support them in delivering their aims.

Items for formal approval

10. Convener's Actions

There were no actions to report.

11. Convener Succession: approval of appointment

The Vice-Convener, who had led the recruitment exercise on behalf of Court, reflected upon the steps followed to identify an appropriate successor to the current Convener, who was due to demit office on 31 July 2017. Following the conclusion of a rigorous and robust selection process, the Court Membership Group **recommended** to Court that:

- Dame Sue Bruce be appointed as:
 - Lay member (Elect) and Convener (Elect) of the University Court from 25 November 2016: and
 - Lay member and Convener of the University Court from 1 August 2017. The term of office to be for an initial period of two years (renewable for a further three years, subject to re-appointment)

Court unanimously **approved** the appointment, as recommended by the Court Membership Group.

Despite the Convener having deliberately abstained from Court's formal processes in this succession project, he wished to record his wholehearted support for Dame Sue's appointment.

12. Appointment to Statutory Advisory Committee on Safety & Occupational Health

On the recommendation of Court Membership Group, Court **approved** the appointment of Dr Jeremy Beeton as Court's representative on the Statutory Advisory Committee on Safety & Occupational Health (SACSOH) for a period consistent with his membership of Court.

Items for information

13. Prevent Strategy – Annual Report and update

Court **noted** the annual update on the implementation of the Prevent requirements under the Counter Terrorism Security Act (2015) and on action taken by the University to ensure continued compliance.

14. Court meeting dates 2017/18

Court **noted** the dates of meetings scheduled for the following year.

15. University Values Survey 2016

Court **noted** a summary of the outcomes from the 2016 University Values Survey. Overall, staff continued to express a meaningful affinity with the University's Values. The response rate since the initial survey in 2013 had increased by five per cent.

Committee Reports

The following committee reports were received and **noted** by Court:

16. Senate

17. Executive Team

18. Court Business Group

19. Court Membership Group (with relevant recommendations on Court appointments approved under items 11 and 12 above)

20. Audit Committee (including the Audit Committee's Annual Report to Court)

Court **approved** the recommendations made by the Audit Committee that:

- the draft Financial Statements for 2015/16 be approved;
- the relevant officers be authorised to sign the printed statements in due course;
- the appointment of the Ernst & Young LLP as the University's External Auditors be extended until 31 March 2019; and
- Ernst & Young LLP be retained as the University's External Auditors for the audit of the 2016/17 Financial Statements.

21. Staff Committee

22. Estates Committee

23. Strategic Marketing Group

24. Any other business

Court congratulated the University's Business Improvement Team on winning the 2016 Times Higher Education Leadership & Management Award for *Outstanding Administrative Services Team*.

Date of next meeting

- Thursday 2 March 2017

DT, November 2016

**Advanced Forming Research Centre – Extension Project
[RESERVED ITEM]**

**John Anderson Building – external improvements
[RESERVED ITEM]**

The Place – Business Case
[RESERVED ITEM]

Q2 Business Report 2016/17
[RESERVED ITEM]

**Strategic Plan 2015-2020 – mid-year progress report
[RESERVED ITEM]**

**Outcome Agreement 2017-2020
[RESERVED ITEM]**

Convener's Actions

Appointment of Acting Chief Operating Officer

1. In order to provide continuity in senior officer cover following the anticipated departure of the current Chief Operating Officer on 28 February 2017, the Convener exercised the authority delegated by Court to appoint David Coyle, Chief Financial Officer as 'Chief Financial Officer and Acting Chief Operating Officer' from 1 March 2017 and until such time as alternative arrangements can be put in place. The University Senate was consulted on this approach at its meeting on 25 January 2017 and this is recorded within the Senate Report to Court.
2. The appointment of an Acting Chief Operating Officer is provided for within the relevant Staff Appointment Protocols approved by Staff Committee. The key provisions in relation to the appointment of the Chief Operating Officer are as follows:
 - **University Statute 6.1:** *The Court shall, after consultation with the Senate, appoint a Chief Operating Officer with such functions and responsibilities, at such remuneration and upon such terms and conditions as it shall deem fit.*
 - **Formal HR Appointment Protocol:** *A casual vacancy in the office of Chief Operating Officer shall be filled by an Acting Chief Operating Officer whose appointment shall be endorsed by the Court and who shall normally hold office for a period not exceeding 12 months.*

Approval of Advanced Forming Research Centre Building Extension Proposals

3. Following discussion and agreement by the Court Business Group on 20 February 2017, the Convener of Court exercised delegated authority to endorse the proposals, subject to homologation of this decision by Court on 2 March. This decision was communicated to Court members by email on 21 February 2017 and members were invite to respond with any comment or concerns.
4. This approach was intended to allow the University to accept a conditional grant from the Aerospace Technology Institute by a deadline of 28 February 2017.

Recommendation

5. Court is invited to **homologate** the Convener's Actions taken to:
 - Appoint David Coyle Chief Financial Officer, as 'Chief Financial Officer and Acting Chief Operating Officer' from 1 March 2017 and until such time as alternative arrangements can be put in place; and
 - Endorse proposals to proceed with a project to extend the Advanced Forming Research Centre Building at Inchinnan.

Externally-facilitated Review of Court Effectiveness

Background

1. It is a requirement of the 2013 Scottish Code of Good HE Governance that University governing bodies should keep their effectiveness under annual review. At Strathclyde, this requirement is met through the issue of an annual survey questionnaire to Court members, supplemented by one-to-one meetings between the Convener and individual members. Questionnaire responses are collated and reported in aggregate to Court with associated recommendations for consideration.
2. In addition to this annual process, the Code requires each governing body to *undertake an externally-facilitated evaluation of its own effectiveness, and that of its committees* at least once every five years. The expectation expressed in the Code is that such a review should assess effectiveness against both the governing body's Statement of Primary Responsibilities and compliance with the Code.
3. The University Court last undertook a comprehensive review of its governance arrangements during 2010/11 with the outcomes of this reported to Court in September 2011. As the requirements contained within the Scottish Code applied only from the time of publication in 2013, it is considered that undertaking such a review again during 2016/17 will fulfil the requirement to do so once every five years.
4. In addition to ensuring compliance with the requirements of the Scottish Code, the proposal to undertake a review now is considered to provide an appropriate and timely opportunity to reflect upon and consider potential enhancements to the effectiveness of Strathclyde's Court and its committees. The overall membership of Court has changed substantially since the time of the last review. At the same time, the scale and focus of the University's strategic activities have grown significantly, as reflected within the current Strategic Plan 2015-2020. Also, with forthcoming changes in key executive and non-executive leadership roles within the University, reviewing our governance arrangements will support and complement the anticipated transition activity.

Proposed approach

5. Early stage discussions between the Convener, Convener (Elect), and Vice-Convener took place in December 2016. Development of the proposed approach has been informed by the following key considerations:
 - the process should be one which is clearly owned and driven by Court but with appropriate elements of external facilitation and independent review, particularly in regard to the consideration of any emerging themes from the on-going review of the 2013 Scottish Code;
 - the Convener (Elect) should be closely involved in leading the review process, in recognition of the impending commencement of her term of office;
 - the Court Business Group should act as the appropriate committee to agree the approach, review findings and offer final recommendations to Court, with a sub-set of CBG operating as a Steering Group; and
 - the effectiveness of the Court and its committees should be measured against Court's own Statement of Primary responsibilities, the Main Principles of the Scottish Code, as well as generally recognised enablers and indicators of good governance.

6. Following these early stage discussions and further consideration by the Court Business Group, a draft Terms of Reference document is attached as **Annex A** for approval by Court.
7. The proposed broad timeline for the review process is set out below:

February 2017:	identify potential external facilitators, likely costs and preferred approaches
20 February 2017:	CBG considers the draft Terms of Reference and the preferred approach and is invited to make a recommendation to Court
2 March 2017:	CBG's recommendation presented to Court for approval
March 2017:	external facilitation arrangements finalised, consultants formally appointed and Review underway
20 June 2017:	interim report to CBG and Court to highlight emerging findings
18 September 2017:	CBG considers final report and formulates specific recommendations for Court
28 September 2017:	final report to Court with recommendations for implementation

8. Court is invited to endorse the approach set out above and to approve the draft Terms of Reference at **Annex A**, on the recommendation of Court Business Group.

Identification and appointment of external consultants

9. External-facilitation is a key requirement of the Scottish Code. As a minimum, it is considered that any external consultants appointed should bring experience of conducting similar exercises at Board-level and should be able to demonstrate independence from the University. A detailed knowledge of best practice in regard to higher education governance would be particularly beneficial.
10. It is considered that the [Leadership Foundation for Higher Education](#) (LFHE) meets all of these key requirements and the organisation has therefore been invited to submit an appropriate proposal to indicate how it could support the review and provide the external element required. A draft proposal was considered by Court Business Group on 20 February and is subsequently undergoing revision following these discussions.
11. Following the recent discussion by Court Business Group, potential alternative options for external facilitation are also being explored.
12. Court is invited to **agree** that the Steering Group detailed in the Terms of Reference should be authorised to finalise the arrangements for external facilitation

Recommendations

13. On the recommendation of the Court Business Group, Court is invited to:
 - **endorse** the approach set out above and to **approve** the draft Terms of Reference at **Annex A**
 - **agree** that the Steering Group detailed in the Terms of Reference should be authorised to finalise the arrangements for external facilitation

Review of Court Effectiveness – Terms of Reference [DRAFT]

Background

The University last undertook a comprehensive review of its governance arrangements during academic year 2010/11 with the outcomes of this reported to Court in September 2011. In addition to annual reviews of effectiveness¹ the Scottish Code of Good Higher Education Governance (2013) requires the University Court to undertake an ‘externally-facilitated evaluation of its own effectiveness, and that of its committees’ at least once every five years. The expectation expressed in the Scottish Code is that effectiveness will be assessed against both the Court’s Statement of Primary Responsibilities and its compliance with the requirements of the Code.

In addition to ensuring compliance with the requirements of the Scottish Code, the periodic review is considered to provide an appropriate and timely opportunity to reflect upon and consider potential enhancements to the effectiveness of Strathclyde’s Court and its committees. The overall membership of Court has changed substantially since the time of the last review. At the same time, the scale and focus of the University’s strategic activities have grown significantly, as reflected within the current Strategic Plan 2015-2020. In addition, there are forthcoming changes in key executive and non-executive leadership roles within the University and reviewing governance arrangements will support and complement the anticipated transition activity.

Terms of Reference for the Review of Effectiveness

The objectives of the Review of Effectiveness are to:

- provide assurance to the University’s governing body by considering and evaluating the effectiveness of Court and its formal standing and strategic sub-committees²
- specifically consider and evaluate the following broad enablers of good governance and their application within the University Court’s existing governance framework:
 - the commitment to delivering effective governance;
 - the effectiveness of existing governance structures and processes;
 - the effectiveness of the Court membership;
 - the commitment to the University’s vision, mission, culture and values;
 - the effectiveness of information and communication;
 - the effectiveness of strategic development and performance measurement; and
 - the ability of existing governance structures to meet future needs and compliance requirements.
- consider the overall effectiveness of governance arrangements with reference to the Court’s own Statement of Primary Responsibilities and the current Scottish Code of Good HE

¹ Reviews are undertaken annually at Strathclyde through the issue of a survey questionnaire to Court members, supplemented by one-to-one meetings between the Convener and members of Court. Questionnaire responses are collated and reported in aggregate to Court with associated recommendations.

² Court Business Group, Court Membership Group, Audit Committee, Statutory Advisory Committee on Safety & Occupational Health, Estates Committee, Staff Committee and Enterprise & Investment Committee

Governance (taking account of any other benchmarks of good governance determined to be appropriate)

- be forward looking, formative and and be aligned with and contribute to the long term ambitions of the University;
- draw upon examples and evidence, where relevant, of effective practice from within and beyond the UK higher education sector informed by the external Consultant's experience
- reflect upon and anticipate, as far as possible, known and potential changes within the regulatory environment, including the Higher Education Governance (Scotland) Act 2016 and the revised Scottish Code of Good Higher Education Governance
- produce a report by 1 September 2017, for initial consideration by the Court Business Group (CBG), including recommendations for enhancements to the effectiveness and efficiency of Court and its committees. CBG will review and propose final recommendations to Court on 28 September 2017

Steering Group: Remit and Membership

CBG will provide overall direction for the effectiveness review process on behalf of Court, considering in particular any initial outcomes and making final recommendations to Court.

A sub-group appointed by CBG will meet more regularly and operate as the Effectiveness Review Steering Group. This will be Chaired by the Convener of Court (Elect).

An external Consultant will be engaged to advise on and facilitate the process. They will bring experience of carrying out similar effectiveness reviews within the higher education sector and knowledge of best practice in doing so. They will be independent of the University.

The membership of the Steering Group will be as follows:

- Dame Sue Bruce, Convener of Court (Elect) – *in the Chair*
- Ronnie Cleland, Co-opted Member and Vice-Convener of Court
- Gillian Hastings, Co-opted Member of Court and Convener of Audit Committee
- Raj Jeyaraj, Student Member of Court
- Dr Veena O'Halloran, Staff Member of Court
- David Coyle, Chief Financial Officer

In attendance (as required):

- Director of Strategy & Policy
- Corporate Governance Manager
- External Consultants

**Proposed amendments to Charter and Statutes
[RESERVED ITEM]**

Technology & Innovation Centre update
[RESERVED ITEM]

Implementation of the Review of Alumni Engagement

Background

1. The purpose of this paper is to provide Court members with an update on the implementation of the recommendations arising from the Review of the Alumni Engagement (the Fergus Review) that was endorsed by Court in February 2013.

Introduction

2. A review of the University's alumni engagement activity was initiated by Court in June 2012. The Review Group was chaired by Jeff Fergus (a lay member of Court at that time) and supported by Ronnie Cleland, Jack Perry, Rose Mary Harley (former Graduates Association member of Court) and Professor Kenny Miller (former Vice-Principal). Its remit was to identify national and international best practice approaches and make recommendations to strengthen the University's engagement with its alumni community.
3. The Review Group's final report and recommendations were presented to Court on 26 February 2013. Court endorsed the report's 16 recommendations which are attached together with details of their current status.

Progress Update

4. Following the Review, the Alumni and Development Team has:
 - Significantly increased its geographic activity with 20 alumni groups now operating worldwide, run by alumni volunteers. 11 of these groups have received financial support to support strategically important activities, primarily in the areas of fundraising, enterprise and recruitment. These activities are broadly split between existing groups as follows:
 - Fundraising: 3 groups (SUDS (London), Graduates Association, Dubai)
 - Enterprise: 5 groups (Dubai, Malaysia, Switzerland, South India, Shanghai)
 - Recruitment: 6 groups (Hong Kong, South India, North India, Hyderabad, Nigeria, China (Shanghai))
 - Professional Development: 1 group (South India)
 - Undertaken an informative pilot programme during which 6 departments were supported financially to create and develop alumni engagement programmes, leading to the creation of a Departmental Alumni Support Service. Focus has now shifted from ambassadorial programmes (which are difficult to sustain) to more tailored support at Department/faculty level. As a consequence, interest in departmental led alumni engagement is gaining momentum.
 - Diverted graduate fees from solely the Graduations Association to help fund wider alumni activity.
 - Expanded in size to work with Departments/Faculties and cultivate, recruit and support alumni volunteers.

5. The Review recommended that the Graduates Association should be redefined to reflect its new status as one of a growing number of alumni groups across the globe, including the development of a more engaging programme of activities that delivers against the University's strategic activities. In addition, it was agreed that the ex-officio representation of the Graduates Association on Court should cease with alumni representation on Court being achieved through the introduction of a quota to ensure that a minimum number of lay members would come from the University's alumni community.
6. Before the recommendations on alumni representation on Court could be implemented, the Scottish Government published its *Consultation Paper on a Higher Education Governance Bill* which indicated, amongst other potentially wide-ranging reforms, an intention to legislate to ensure that Scottish universities' governing bodies should include up to two alumni members selected from within their own representative group. Given the uncertainty over the prospective governance legislation, implementation of the Review's recommendations as they related to Graduates Association representation on Court was put on hold.
7. In the end, the requirement to include direct alumni representation on university governing bodies did not feature in the Higher Education Governance (Scotland) Act 2016. We are therefore now taking forward the original recommendations. In doing so, we also have the benefit of the results of the extensive Alumni Survey 2015.
8. The Alumni Survey 2015 concluded that levels of engagement and awareness amongst Scottish-domiciled Strathclyde alumni are low. With over 25% of the University's email contactable alumni living in Scotland, the Survey reinforced our belief that launching a new Scottish alumni group could address the low level of engagement and provide the University's Alumni & Development Team with valuable reengagement and cultivation activities both locally and nationally.
9. The Alumni & Development Team have been working with a number of recent graduates and others to explore how we could replicate the successful model of the most active global alumni groups with the aim of catalysing and launching a new Scotland wide alumni group. Existing members of the Graduates Association have been invited to participate in the development of the new Group. The group of volunteers will work closely with the Alumni & Development Team to explore how they can deliver strategically relevant activity and realise key opportunities within their respective areas (e.g. professional networking, student recruitment, fundraising, enterprise initiatives).
10. The Alumni Survey 2015 indicated alumni in Scotland are most interested in events related to professional networking, alumni reunions, and student engagement. Taking account of this, the new alumni group will focus its efforts primarily on professional networking. The alumni group will provide an excellent portal for promotion of the existing alumni reunions programme and provide opportunities for the Alumni & Development Team to engage alumni interested in supporting the student experience. Fundraising for the University's Undergraduate Scholarship Programme/Alumni Fund will be considered when the group is more established.
11. We anticipate that the direct benefits of the new arrangements will include:
 - Supporting and enhancing Alumni & Development's departmental support service – harnessing alumni to support strategic aims e.g. student recruitment and enhancement of the student experience, through alumni/student engagement at events and potentially through internship and placements;

- Encouraging nostalgia and alumni warmth through alumni reunions and increased participation opportunities;
 - Unlocking and reengaging with previously lost alumni/ potential donors;
 - Providing better opportunities for Alumni & Development fundraising teams to engage with Scotland-based alumni, increasing frequency and quality of contact with higher level alumni and donors (currently 2,145 potential donors identified in Scotland); and
 - Creating increased opportunities to promote the University's Alumni Fund/Undergraduate Scholarships Programme.
12. Changes will be required to be made to the University's Statutes to give effect to the Court's decision in February 2013 to end the Graduates Association *ex officio* membership of Court. These changes, along with a number of others, will be brought forward for Court's formal approval in May 2017, following consultation with Senate. Final approval will then be sought from the Privy Council Office. Having taken legal advice, we believe that the necessary approvals will be given within a relatively short timescale and certainly before the start of academic year 2017/18.
 13. The Graduates Association were involved in the original "Fergus Review" and more recently we have had discussions with representatives of the Association on the transition to the new arrangements. It is recognised that, with support from the Alumni & Development Team and others across the University, the Graduates Association has been particularly successful in raising funds for the Malawi Millennium Project, through various activities. Whilst these events have undoubtedly been worthwhile and are a credit to the Association, they serve a different purpose from that of the proposed new Scotland alumni group.
 14. The University is committed to working with the Graduates Association to ensure a smooth transition to the new arrangements. Existing volunteers will be encouraged to participate in the new Scotland wide Strathclyde alumni group while, if they so choose, having the opportunity to continue their fund raising efforts under the auspices of the Malawi Millennium Project.

Recommendation

15. Court is invited to **note** the progress made in implementing the recommendations of the Review of Alumni Engagement and the proposal to bring forward amendments to the University's Statutes and Ordinances to give effect to the Graduates Association changes previously approved by Court

15 February 2017

REVIEW OF ALUMNI ENGAGEMENT AT THE UNIVERSITY OF STRATHCLYDE (THE FERGUS REVIEW)

REVIEW RECOMMENDATIONS

The Graduates Association

1. The Graduates Association should be redefined to reflect its new status as one of a growing number of alumni groups across the globe.

STATUS: No change to date but plans have been drawn up as set out in this paper to create a new Scotland wide alumni group.

2. Strathclyde Graduates should continue to be represented on Court. A quota should be introduced ensuring at least five lay members of the University's governing body come from the alumni community. As a consequence ex-officio representation of the Graduates Association would cease.

STATUS: In progress - pending Privy Council approval. Further consideration to be given by Court Membership Group to the definition and application of the quota (e.g. may be more appropriate to apply a % rather than a number).

3. The University will actively promote the opportunity to become a member of Court to the alumni community, using all its major communication channels (Strathclyde People, website, social networks, email). Alumni representatives would be expected to meet the general criteria for lay members of Court.

STATUS: Implemented.

4. The £5 graduate fee should be used to support geographic alumni groups including the re-defined Glasgow group. This fund could be used as an incentive for groups to engage in activity that support the University's strategic objectives. Social activity should be encouraged but on a self-funded basis.

STATUS: Implemented. Funds now used to support global alumni groups via the Alumni Groups Funding Programme. Over 20 groups have been given the opportunity to bid for support for student recruitment, enterprise, fundraising and professional development events

5. The "new" Scotland wide alumni group and the Alumni and Development Office should build on the GA's successes and develop a programme of Glasgow-based activity which engages the city's alumni and which delivers against strategic objectives.

STATUS: In progress. Plans have been drawn up to create a new Scottish volunteer alumni group that will help boost alumni engagement and assist in meeting the University's strategic objectives.

Geographical Groups

6. The University should implement the "prioritisation matrix" developed by the Alumni Office using it as a basis for focusing the team's support of geographical groups and for ensuring greater resource is invested in those groups which demonstrate strategically aligned activity.

STATUS: Implemented. A&D work closely with colleagues in the Recruitment & International Office, Enterprise Team and Careers Service to prioritise strategically relevant activity in each geographical area.

7. All geographical Groups will be invited twice a year to bid for funds to support specific activity. Decisions will be based on the extent to which activity supports the strategic objectives of the university.

STATUS: Implemented. Groups are now given five opportunities per year to bid for funds. 11 alumni groups have been financially supported since the programme was launched (a total of 46 events held globally)

8. The Alumni and Development Office should be better resourced to cultivate, recruit and support alumni volunteers and respond to requests and enquiries from groups

STATUS: Implemented. Restructuring of the Alumni Relations team took place in 2013. The team now consists of 1 x Alumni Relations Manager, 1 x Alumni Relations Officer (vacant), 2 x Alumni Relations Assistants (1FTE and 0.4FTE), 1 x Alumni Relations Intern

Department-Led/Thematic Interest Groups

9. The Alumni and Development Office and Faculties should undertake an audit of current department-led alumni activity to ensure it is co-ordinated and supported effectively.

STATUS: Implemented. A pilot programme was launched in 2014/15 to support six departmental alumni programmes. Recommendations from this pilot have since been implemented, resulting in the creation of a Departmental Support Service

10. The Alumni and Development Office should develop guidelines for departments keen to launch alumni programmes, detailing support available from the Office and using the Chemistry Ambassadors Programme as a case study, highlighting the partnership working approach and programme outcomes

STATUS: Implemented. Support available is currently promoted on Sharepoint. Recommendations from the pilot programme included adopting a different approach to the Chemistry Ambassadors Programme. A&D regularly meet with colleagues to discuss support on a case-by-case basis

11. The Alumni and Development Office should seek opportunities to promote the benefits of department-led alumni programmes and for departments to share intelligence and best practice.

STATUS: Implemented. During the pilot year, regular feedback/information sharing sessions were held with project leads. Best practice methods / examples of activity are detailed in guidelines for departments

12. The Alumni and Development Office should be better resourced to advise departments and to respond to requests and enquiries (e.g. electronic mailshots, promotion of events, volunteers/groups, data support)

STATUS: Implemented. The current structure of the Alumni Relations team allows it to respond to and deal with the current level of requests and enquiries. This is a growing area of activity for the team and contact with/support to departments and Faculties is quickly gaining momentum

13. There should be an identified resource to support the piloting of new departmental initiatives which engage alumni in this way. This could potentially be achieved through the Education Excellence Fund.

STATUS: Implemented. Education Excellence Fund (EEF) no longer exists but the current structure of the Alumni Relations team allows A&D to assess support requests for new initiatives, as required.

Alumni Communications

14. Regular communications should be introduced for “ambassador” level alumni volunteers – e.g. e-bulletins, annual briefing session (or Skype sessions) to update and enthuse them with University news.

STATUS: Implemented. A large scale Alumni Survey was conducted in 2015 – resulting in a review of A&D’s wider alumni communications strategy. In addition to the targeted alumni volunteer communications sent by email, twice yearly e-bulletins have been introduced, a redesign and restructure of the A&D website and redesign of the online alumni portal (including improvement of the events registration process) have taken place

15. There should be a higher profile at University level for incentives for and recognition of volunteer leaders (such as the Strathclyde People award)

STATUS: Implemented. The “Alumni Group of the Year” trophy is used to recognise the leading group each year (points are awarded for strategically relevant activity and outcomes). This has become a valuable stewardship tool and is appreciated amongst A&D’s alumni group volunteers. The Strathclyde People Award has been awarded to two alumni group leaders in recent years.

16. There should be greater investment in the marketing and promotion of alumni volunteering and activity to encourage more alumni to attend events and get involved with groups

STATUS: Implemented. The redesign and restructure of A&D’s website has significantly improved the way in which volunteering activity and events are promoted. Enhanced event registration processes and email templates are also expected to contribute to the improvement in this area. A number of new groups have been formed in strategic areas since the Review – including three in India alone that support student recruitment activity

Report to Court from Senate

Senate met on 25 January 2017. Following the business meeting of Senate, the Senate Strategic Update Session had taken place.

The following items were discussed or approved by Senate and are provided here to Court **for noting**:

1. Q1 Business Report

The Chief Financial Officer (CFO) and the Director of Strategy and Policy presented the Q1 Business Report for 2016/17. Points of particular importance included:

- The introduction of a new financial reporting standard and the net impact of ensuing changes has significantly impacted on the presentation of the University's financial results.
- The overall outturn for the year was on target, however the forecast deficit before one-off items was **[RESERVED]** adverse to budget;
- SFC grant income was **[RESERVED]** higher than budget;
- Significant growth in overall terms in tuition fees;
- Recurring research grant income was anticipated to be slightly lower than budget;
- PGR Indicators showed Q1 intakes ahead of the equivalent position in the preceding year.
- Student Profile Indicators showed an increase in the number of RUK entrants compared to previous year.
- UG access indicators indicated that figures were on track with year-on-year growth in the number of SIMD0-20 and SIMD0-40 widening access.

2. NSS and TEF Update

An update was provided by Deputy Associate Principal Brian Green on key activities in NSS. An update was given of key dates for NSS 2017, and an outline provided of NSS communications and key messages to be disseminated. Regarding developments the Teaching Excellence Framework Senate noted that TEF 2 was optional for institutions. The University would revisit its decision on participation in TEF as more details emerged.

3. Update on Estates Developments

Director of Estates Services Stella Matko provided a presentation to Senate on developments in the University's estate.

Senate noted that the Estates Development Framework (EDF2) 2010-2024 was currently being refreshed. The next stage of capital investment was outlined. Approved capital investment projects from 2014-2018 included: the Centre for Sports and Health Wellbeing, the redevelopment of the Wolfson Building, and the Combined Heat and Power Project. Key business cases in development were outlined, including the building and development of the Teaching and Learning Building, The Place, to be presented to Court in March. Pipeline projects were outlined which included potential for TIC II/ Innovo II being developed.

Senators welcomed the developments, noting in particular that The Place, if approved, would offer huge potential to students. USSA had been involved in supporting the business case for the project, the development of which would be extremely positive and beneficial in the ongoing transformation and improvement of the University's campus.

4. The Principal included the following points in his update to Senate:

- **Scottish Government Budget:** Pending approval of the Scottish Government's budget, further information would be given on the expected grant from the Scottish Funding Council.
 - **Governance Matters:**
 - Senate welcomed the appointment of Dame Sue Bruce as Convener of Court, following approval by Court, and expressed thanks to the outgoing Convener of Court Richard Hunter whose term of office would end on 31 July 2017.
 - The Higher Education Governance (Scotland) Bill had been enacted.
 - **EU Exit:** the Principal informed Senate of recent and ongoing activity further to the result of the EU Referendum. Further updates would be given.
 - **Scotland's Universities Welcome the World events:** The University had taken part in an event where H.E institutions across Scotland came together to launch a new campaign to welcome students from around the world. The event had been warmly received.
 - **Children's Futures Institute:** The University is about to launch of an international institute for children's futures, a world-class centre of excellence dedicated to improving the lives of the most vulnerable young people in societies across the globe.
 - **NSS Launched:** NSS had launched on 9th January.
 - **Chief Operating Officer:** Senate noted that the Chief Operating Officer (COO) Hugh Hall would leave the University at the end of February 2017 and, subject to formal agreement from Court, the Chief Finance Officer, David Coyle, would be appointed "Chief Financial Officer and Acting Chief Operating Officer" from 1 March 2017 until such time as alternative arrangements can be put in place.
 - **Grant Awards:** the Principal updated Senate on the top recent research awards the University had received since the last Senate which included: awards totalling over 2.5M to Physics, over £1.5M to Engineering, c.£1M to Mathematics and Statistics, with other significant awards to SIPBS, awards to English and Strategy and Organisation, and significant collaborative awards at contract stage.
 - **Business School of the Year:** Strathclyde Business School was warmly congratulated further to being named the UK's Business School of the Year by the Times Higher Education in November 2016.
5. Senate approved the proposal to establish a **New Course Approval Subgroup**. The proposal was endorsed by the Education Strategy Committee and supported by the Faculties. The key aims of the subgroup were:
- To enhance current procedure by providing Faculties with an expeditious route to course approval where strategically required.
 - To assist in facilitating, monitoring and progressing approval for new courses as part of governance processes to ensure the academic integrity of the University's awards.

Senate Strategic Update Session

6. Consultation on the Role of Senate

Vice Principal Professor Scott MacGregor presented the findings and recommendations from the Consultation on the Role of Senate which had taken place in October 2016. The consultation had offered an opportunity for Senators to comment on ways of improving the effectiveness of Senate. Recommendations from the report are being taken forward. A copy of the full report is provided at **Appendix A**.

7. Executive Team Projects

Senate was updated on developments in the six key Executive Team projects currently ongoing, which have been designed to enhance structures in key areas of the University's practice.

a. Refreshing our vision of a 'Leading International Technological University'

The project leader Professor Tim Bedford outlined the aims of the project: to refresh the University's international vision ensuring colleagues across the university can contribute to and be inspired by it. Benchmarking was being undertaken, with a white paper presenting the University's distinctive international vision being produced for internal and external audiences. Recommendations would be given to the Principal and Executive Team on international policy; complete analysis of data and use of benchmarking would follow, with the launch of project's white paper.

b. Leadership Review and Development

Focussing on the project's rationale and objectives, the project leader Professor Sara Carter informed Senate of the overarching aim of the project was highlighted: ensuring that the University's leadership was functioning as effectively as possible, creating the optimal environment to support leadership growth. Key deliverables included recommendations for: new ways of building leadership talent; managing leadership transition; provision of leadership support, increasing engagement and enhancing strategic capacity; reviewing and enhancing the impact of leadership tools. Project work undertaken so far was outlined. Recommendations to the Principal and Executive Team would be made by April 2017, with implementation of outcomes expected in May 2017.

c. Supporting Growth and Sustainability

Professor Dimitris Drikakis, leading the project, defined the project's rationale and key areas of activity: improvements in non-EU student recruitment and research activities; underlying risks and challenges; review of related existing business models, processes and structures. The project's key objectives were: 1. to deliver improvements in the University's financial performance through non-EU student recruitment and research income growth; and 2. to create sufficient headroom for strategic investment over the medium to long term. Key deliverables were outlined, as well as progress and next steps.

d. What works? Identifying and implementing best practice business processes and approaches

Project leader Professor David Hillier outlined the project's rationale and context. Key drivers to the project were summarised, which include: increases in university income across all expenditure lines; variable growth rates in surplus across faculties for each revenue line; Brexit; variable business approaches. Project objectives focus on: creating efficiency gains of a minimum of 10 per cent in each area under consideration. Benchmarking work had been completed. Next steps would focus on: process design, consultations and implementation. It

was noted that good progress had been made. A series of workshops was planned and were currently ongoing in the areas of: PGT recruitment, PGR recruitment, course approval and multipurpose modules. Impact and measures of success were outlined.

e. Reviewing and enhancing internal communications

Having outlined positive initiatives and examples of effective communications across a wide range of areas, project leader Professor Douglas Brodie noted the key drivers for the project. Priority areas for enhancement include: staff induction, refreshed messaging and identification of key groups, and links between KPI delivery and staff roles. Next steps would include: refreshing staff induction; focus groups on communications networks; developing and delivering new messages; targeting of communications to key groups. Overall project objectives were noted. Actions were already underway, with stakeholder meetings ongoing.

f. Reviewing and realigning financial planning and budgetary processes

Introducing the project, the project leader Chief Financial Officer David Coyle stressed the significance of the project, highlighting its role in supporting the University's strategic objectives. Key drivers for change and the project's objectives were outlined. Key deliverables in the first and second phases of the project were defined. It was noted that the project was intended to have early impact. Measures of success were noted, and a summary of the project's progress to date was given, noting that outline proposals had been developed for consideration by Executive Team.

APPENDIX A

University of Strathclyde Report of the Consultation on the Role of Senate

October 2016

1. Background to the Report

Senate is the academic governing body of the University with responsibility for all academic matters including academic standards and quality. Senate's detailed powers and functions are set out in [Statute 3.3](#).

The Scottish Code of Good HE Governance sets out an expectation that effectiveness reviews of the Senate are conducted on a regular basis. In line with this expectation, and in a general approach to engage more deeply with Senate members, the views of Senators were requested through a survey on enhancing the function and effectiveness of Senate and its business. The outcomes from the survey of Senate members would also contribute towards the requirement of the Scottish Code of Good HE Governance to review and evaluate the effectiveness of the governing body (Court) and to ensure that it undertakes a parallel review of Senate¹.

Responses from the survey, which would be disseminated and discussed further at Senate, would help to inform the future direction of Senate. The consultation would also assist in the process of ensuring that Senate continues to operate effectively and to meet its responsibilities of upholding academic standards, assuring the quality of its teaching provision and the delivery of related strategic targets.

2. Scope of the Survey

The consultation was open to Senate members from academic session 2015-16. The survey opened on 16 September 2016, closing on 12th October 2016. Senate membership numbered 85 in 2015-16. A total of 47 responses were completed, representing a response rate of 55% of the Senate membership, which is considered an acceptable response given the time pressures facing Senators. The survey included eight questions relating to the effectiveness of Senate and Senate Business Committee, with some questions providing respondents the opportunity to give open comments and to make suggestions. Anonymised survey responses were received and analysed by the Senate Manager. The responses to the survey represent a range of viewpoints.

3. Overview

The general response to the questions was encouraging with many useful and insightful comments and suggestions which are incorporated into the outcomes and recommendations of the report. The

¹ <http://www.scottishuniversitygovernance.ac.uk/wp-content/uploads/2013/07/Scottish-Code-of-Good-HE-Governance.pdf> - Paragraph 16

review has found that Senate Business committee and Senate are operating effectively, although some issues have been identified in particular around communications. The summary of recommendations and proposed implementation plan contained at section 5 of the report are aimed at improving the effectiveness of Senate and the Senate Business Committee.

4. The Survey: Analysis of Data

The questions in the survey were designed to invite Senators to reflect on the areas of Senate Business and to consider the strategic role of Senate in overseeing these areas, with the questions presented to review the areas of academic governance and strategy, and to consider wider engagement with these areas. Responses to questions 1 to 6 are represented in graph format. The full questionnaire is at [Annex 1](#).

4.1 Question1

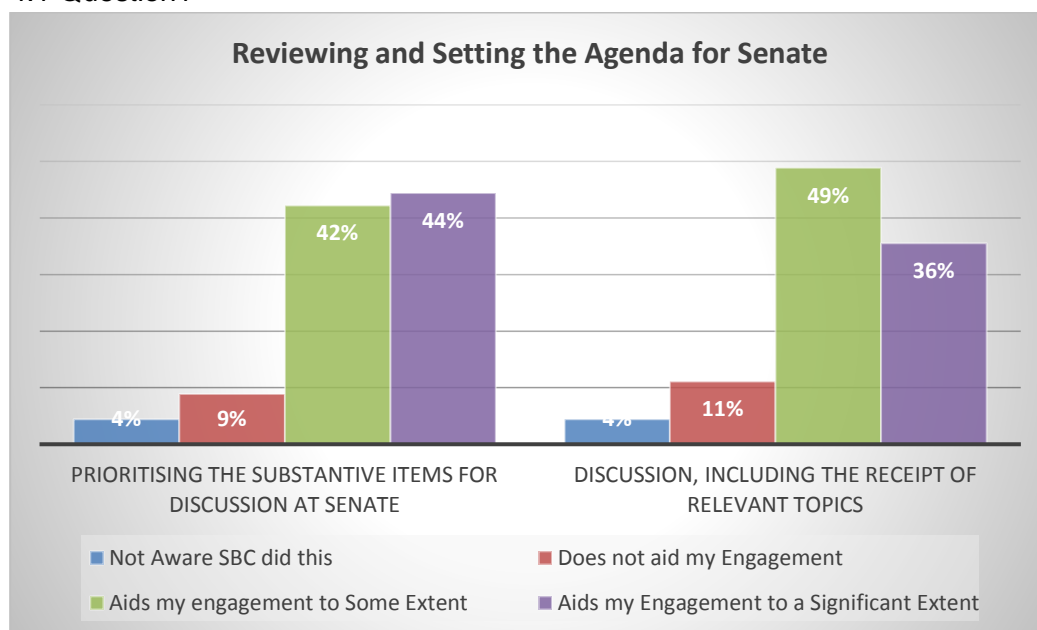


Fig 1

Question 1 Part A (Fig 1) asked Senate members to comment on the role of the Senate Business Committee (SBC). Part A of the question invited Senators to comment on: 1. the committee's role in reviewing and setting the agenda for Senate, in particular in relation to prioritising the substantive items for discussion at Senate, and 2. its role in discussing relevant topics for Senate. The majority of respondents acknowledge that the SBC's function in this area contributes towards their engagement, indicating that the committee's role is having a positive and beneficial effect for members. A small percentage of respondents, however, were less aware of the committee's role and some found its role did not aid their engagement.

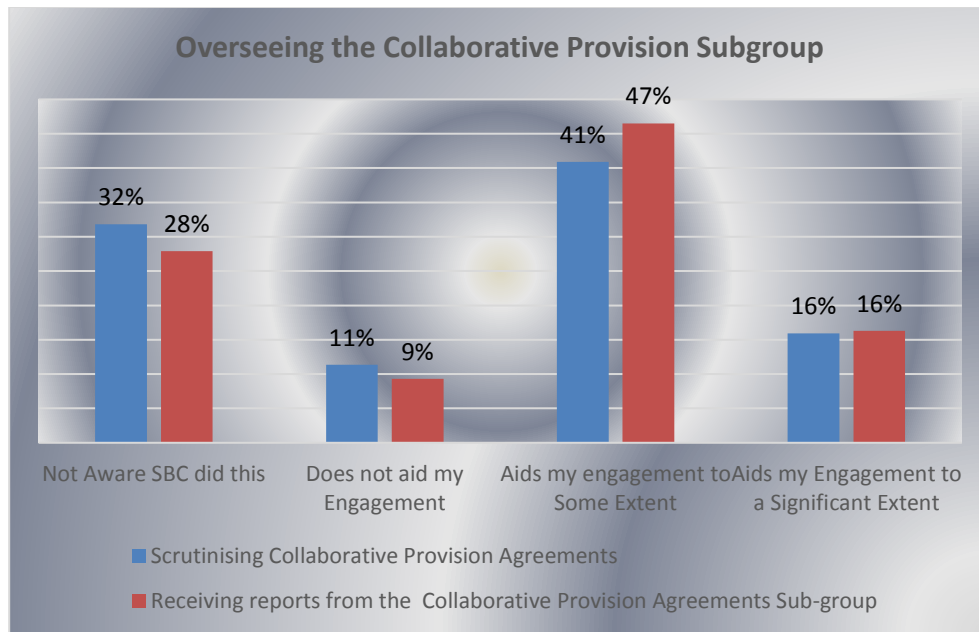


Fig 2

Question 1 Part B (fig 2) focussed on the role of the Senate Business Committee in overseeing the Collaborative Provision Agreement (CPA) subgroup, scrutinising agreements and receiving reports from the subgroup. The majority of respondents found that the committee's role in this area aided their engagement to some /a significant extent, however some were not aware that the Senate Business Committee scrutinised Collaborative Provision Agreements. Regarding the committee's role in receiving reports from the Collaborative Provision Subgroup, the majority found that this role aided their engagement, however again it appeared that a percentage were not aware of the SBC's role in this regard, and some found their role in this respect did not aid their engagement.

Responses indicate the committee's role is largely seen as being effective. It would nonetheless be helpful to reflect on how to raise awareness of the SBC's role and, particularly in relation to Part A, to encourage more two-way engagement through Senate Business Committee members.

Recommendation1:

That the Senate Business committee members should encourage more two-way engagement in Senate business.

4.1 Question 2

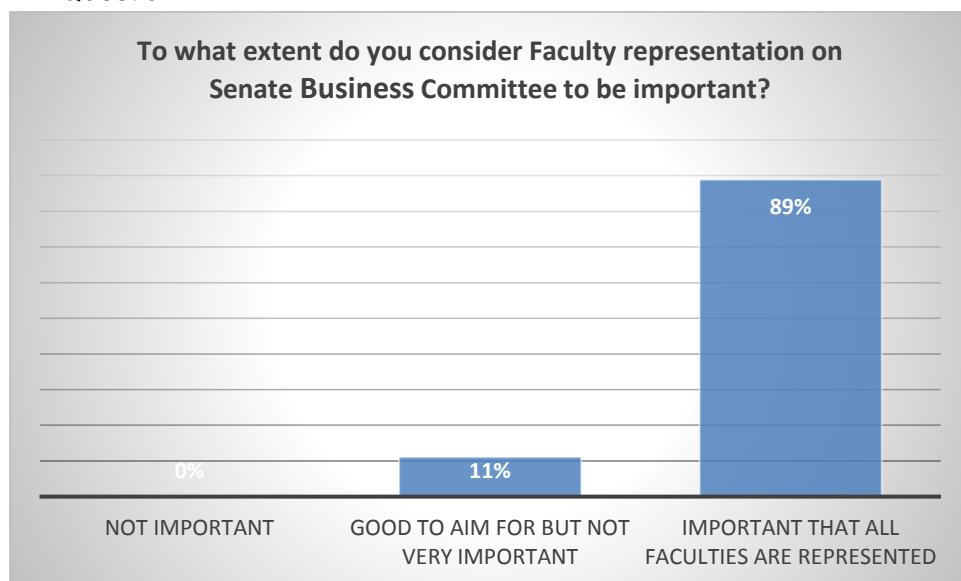


Fig 3

Question 2 (fig 3) asked respondents to consider the importance of Faculty representation on Senate Business Committee. Responses indicate that the majority consider it important to have Faculty representation on SBC, with a small percentage finding this less important. The current membership contains representation from all Faculties, the Terms of Reference having been updated in 2015 to note inclusion of a representative from each Faculty.

Recommendation 2:

It is proposed to Senate that the Senate Business Committee Terms of Reference be formalised to ensure representation from each of the Faculties.

4.1 Question 3

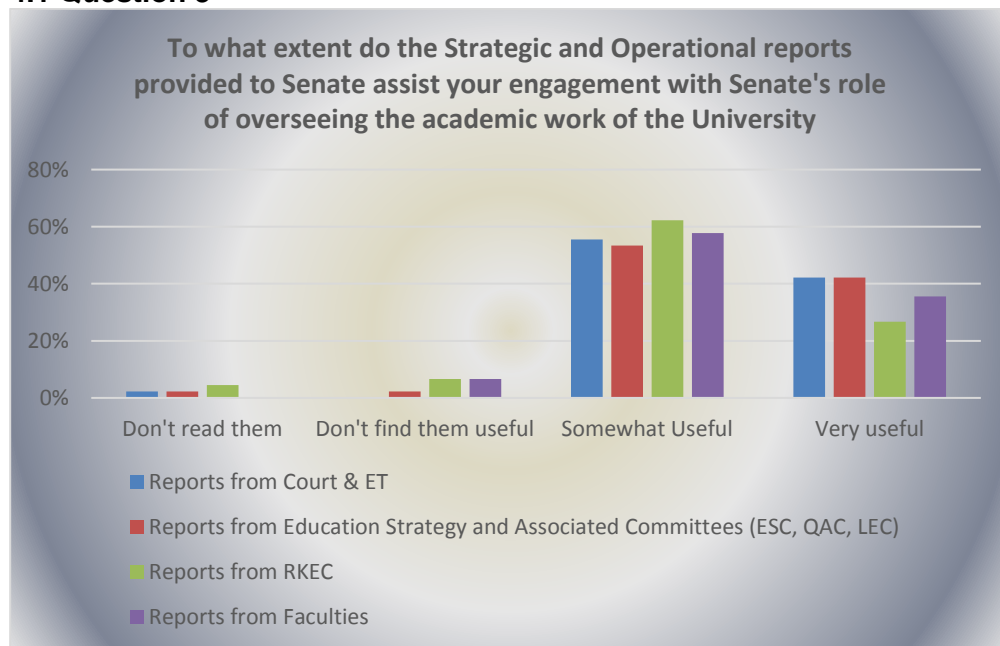


Fig 4

Question 3 Part A (fig 4) asked respondents the extent to which Strategic and Operational reports assisted their engagement in relation to Senate's role of overseeing the academic work of the University. Responses clearly indicate that the reports are found to be useful by the majority, however a small percentage of respondents indicated that they do not read reports from Court, ET, ESC and associated T & L committees and RKEC, with again, a small number of respondents indicating that they did not find the reports from Faculties or ESC and associated committees and RKEC useful.

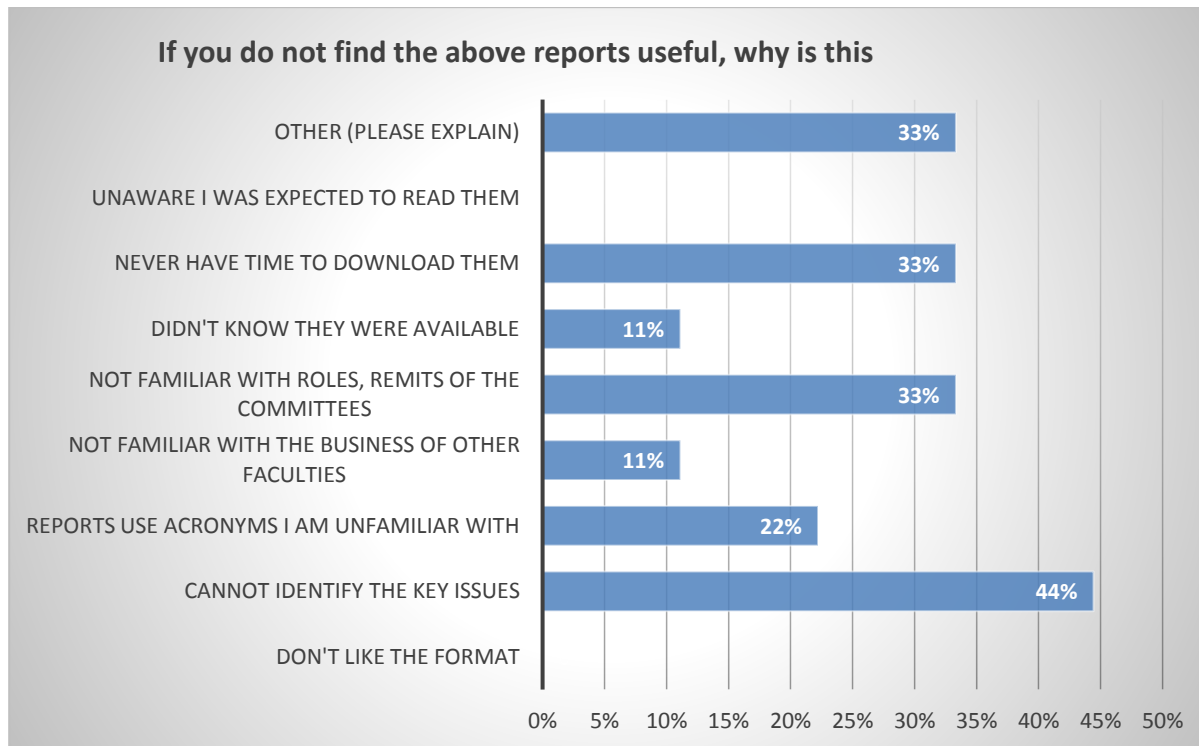


Fig 5

Question 3 part B (fig 5) concerned the usefulness of strategic and operational reports. Responses indicated that many (44%) find it difficult to identify the key issues. The issue of time to download reports is flagged with 33% responding that they never have time to download these reports, and some 11% unaware that the reports are available. A further 11% indicated that they are unfamiliar with the business of other Faculties, with 33% noting they are unfamiliar with the roles and remits of the committees. General comments included: a need for explanations of acronyms; the direct impact of the reports on Senate business was not always clear; key issues (from reports) should be clearly communicated and discussed.

In light of the responses, it is **recommended** that Senate Business Committee should consider ways in which reports to Senate could be developed to help Senate members to better engage in and understand the key issues raised in reports. This could include highlighting key, topical issues in the coversheet, or providing an executive summary at the start of reports to assist in members' engagement with the academic business of the institution. In addition, Senate administration is **recommended** to enhance awareness of Senate papers, encouraging members to read papers, and to ensure that the roles and remits of reporting committees are clearly available for Senate members. A further **recommendation** to report authors is to ensure that acronyms are defined in reports, as appropriate including a glossary in reports.

Recommendation 3:

3.1 That cover sheets of reports to Senate should clearly highlight key issues in reports.

3.2 That roles and remits of committees reporting to Senate should be clearly available.

3.3 That report authors ensure acronyms are defined.

4.1 Question 4

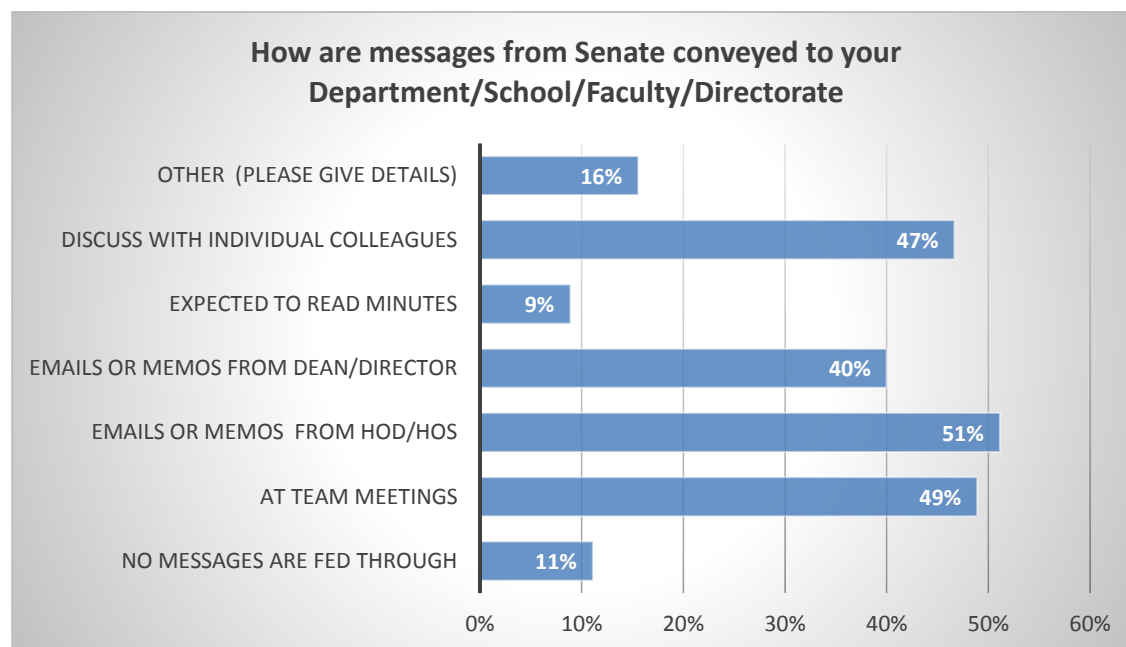


Fig 6

Question 4 (fig 6) asked Senate members to comment on how messages from Senate meetings were conveyed to Departments, Faculties and Directorates. Responses indicated that communications are mainly through emails, at team meetings or through discussion with individual colleagues. Comments noted that Boards of Study are also used as a method of communication, and that substantive matters are conveyed to Faculty meetings, with Senate minutes distributed to departments, and printed papers placed in Departments. Messages from Senate are filtered as appropriate to relevant staff, however some comments highlight internal communications issues regarding the feeding through of information from Senate.

Recommendation 4:

That the flow of communications to and from Senate be improved.

Suggested actions:

- ***Key points, including Chair's reports, from Senate and the committees reporting to Senate should be circulated to Faculties***
- ***Potential engagement with the Strategic Group on Communications***

4.1 Question 5

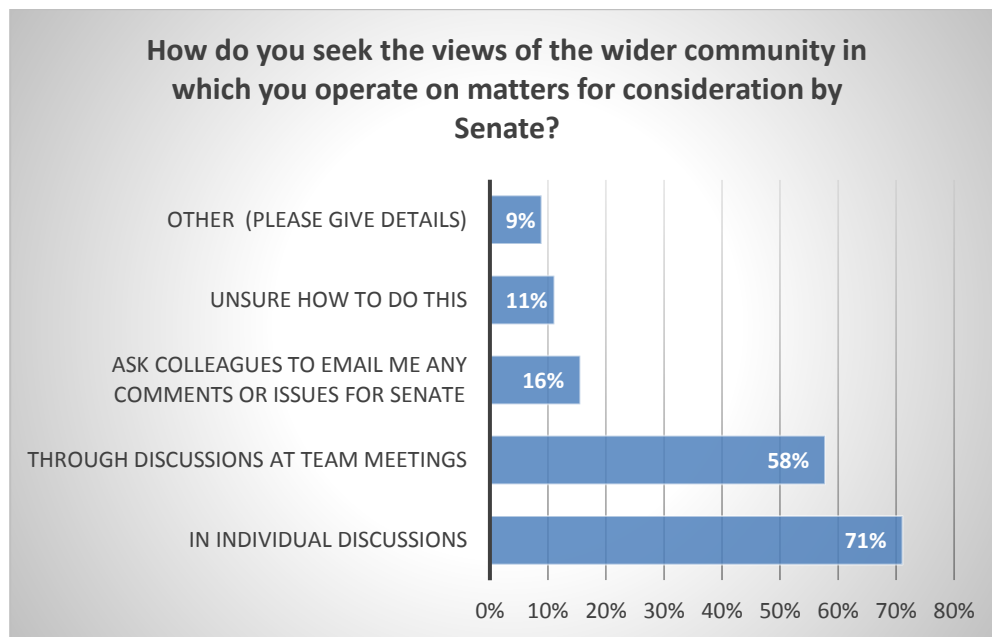


Fig 7

Question 5 (Fig 6) concerned the method by which the views of the wider community are sought for consideration by Senate. The majority responded that this is done through individual discussion and through discussion at team meetings. Some senate members responded that they ask colleagues to email their comments. General comments noted that some discuss this with the senior management in their departments, or through Academic committees or Boards of Study. One respondent, whilst acknowledging that some matters give rise to participation in discussion, indicated that Senate is seen as largely as a reporting forum rather than a platform for discussion. Some members appeared unsure how to seek the views of their colleagues in order to transmit them to Senate. In response to this it is recommended induction material for Senate includes advice in this area.

Recommendation 5:

That in addition to members being provided with the Senate Handbook, induction of Senate members is offered on an annual basis to new and existing members, with the Senate Handbook being publicised more widely among Senate members.

4.1 Question 6

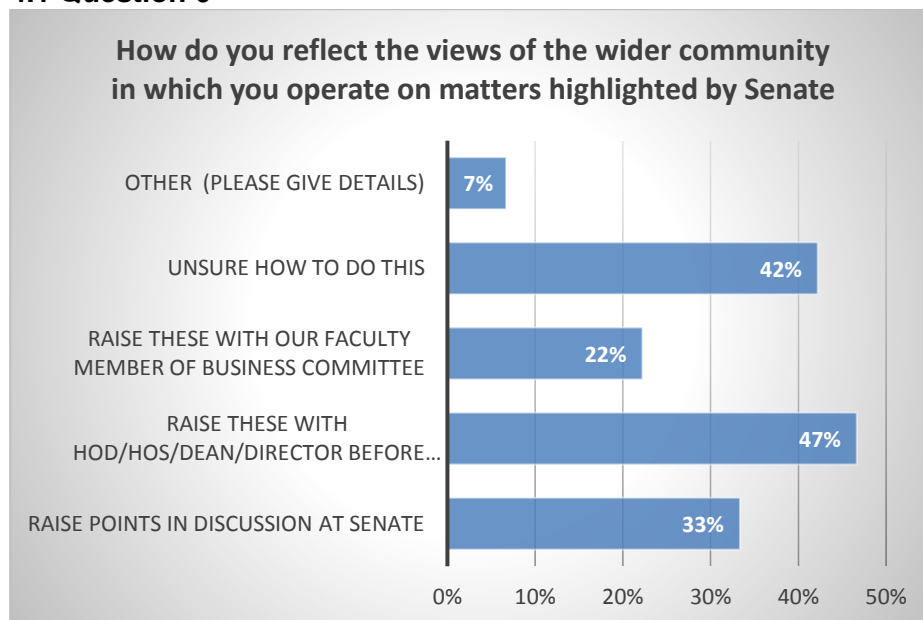


Fig 8

Question 6 (fig 8) focussed on Senate members' role in reflecting the views of the wider community in relation to matters highlighted by Senate, with 47% indicating that they raised points for Senate with their Heads of Department or Director prior to Senate, 33% noting that they raised points in the Senate discussion. 22% raised points with the Faculty or with a member of Senate Business committee. It is noted, however, that 42% indicated that they are unsure how to reflect the views of their communities on matters highlighted by Senate. A minority of respondents indicate a perception of limited opportunities for discussion or presentation of views at Senate. It is therefore recommended that Senate broadens opportunities for discussion, and in addition that members are encouraged to bring forward colleagues' views for discussion at Senate.

Recommendation 6:

6. That Senate identifies opportunities for discussion and engagement within the meeting either as an adjunct to formal business or as follow-on activity.

4.1 Question 7

This question provided respondents with an opportunity through free text to suggest any topics or strategic issues that could be addressed in Senate. Senators' responses indicate that in general they are content with the range of discussion at Senate, with comments stressing the importance of Senate's role in reinforcing the University's academic strength. Several topics were suggested including: the importance of Senate to University governance; internationalisation and recruitment in the light of the effects of the current political climate (Brexit); teaching space issues; external drivers influencing the University's strategic direction. Communications issues in relation to sharing information were again raised, with a comment on a perceived disconnect between what is presented and discussed at Senate and enactment of this at departmental and faculty level.

Recommendation 7:

7.1 That, through Senate Business Committee, suggestions for topics from the wider University be considered for inclusion at Senate.

ACTION: Senate Business Committee

7.2 That the communications flow from issues discussed at Senate to Faculties/Departments should be considered by Faculty representatives, with possible enhancement to internal Faculty processes.

4.1 Question 8

Respondents were invited in the final question to suggest any additional ways of working to further facilitate engagement with the strategic role of Senate in overseeing the academic work of the University. Responses are summarised below, grouped into themes:

Structure and content of meetings: Respondents welcomed the approach of engaging Faculty/Department representatives in presenting key strategic issues about their own areas as helpful. This approach of cross-Faculty engagement is currently being taken at Senate, with each of the Faculties being invited to present on areas of their key strategic business, sharing their approach with other Faculties. A further point that was noted in responses and that is presently being enacted in relation to the functioning of Senate meetings is that of limiting presentations to a shorter timescale (ie 10 minutes). In addition, presentations are now being circulated to Senate members in advance of meetings. A further suggestion of break-out groups was proposed. Members would welcome more opportunities for deeper engagement in relation to discussions at Senate.

Effective Information and Communications: The importance of effective two-way communications was highlighted. Some Senate Committee members felt that there was room for improving communication with stakeholders and indicated that they felt that the flow of information out of Senate could be improved, and that consequently the wider University community is not as aware of Senate's activities as it could be. To aid information flow from Senate, it is recommended that following each Senate meeting a summary of key points is circulated. Most Senate Committee members were satisfied with the level of information presented in reports to Senate, however suggestions have been proposed around providing more clarity around proposals for consideration to Senate. In addition it was suggested that presentations to Senate should highlight key points more clearly, in order to engage more meaningful discussion.

Role of Senate Members: A suggestion of a "job description" for Senate members highlighted that members are not aware of the Senate Handbook which sets out the role of members of Senate. Recommendation 5 (above) is appropriate in this regard. It is further recommended that briefing sessions on Senate be re-introduced. A further suggestion was made around considering wider attendance at meetings, by which it is understood that Senate meetings should be opened up to the wider University, as appropriate.

Recommendation 8:

8.1 That following each Senate meeting a summary of key points be circulated

8.2 That presentations be limited to 10 minutes maximum.

8.3 That Senate briefing sessions on Senate be re-introduced.

8.4 That attendance at Senate should be opened to a wider audience, as appropriate

Conclusions

The consultation served a useful purpose in providing Senate members with an opportunity to reflect on the effectiveness of the role of Senate. The principal finding is that Senate continues to be assured of its effectiveness, with the majority of respondents largely endorsing this view. Whilst most respondents would acknowledge that measures have been taken to improve the function and quality of discussion at Senate, the survey highlighted that more involvement in the shaping of Senate would be welcomed. Most respondents appear clear about the role of Senate, and are satisfied with the role and contribution of the Senate Business Committee, agreeing on the usefulness of reports to Senate and of the discussions at Senate meetings, however some respondents flagged that enhancements could be made to reporting and discussion. A minority of Senate members felt that in practice Senate's discussions were not as inclusive as they might be. Issues around the system of delegation of information and of the need for improvements in relation to information communications routes both feeding into and out of Senate were highlighted and will be addressed through recommendations. Senate Committee members are largely clear about their role and responsibilities, however the views of those who are less clear on their role have been noted and measures will be taken to ensure members are better informed. The suggestions put forward in the consultation for enhancements in the functioning of Senate and topics for future discussions were welcomed and noted. The survey findings signal that some work can be done to improve Senate's performance and to enhance its role in University governance, through for example greater visibility of its terms of reference. In this spirit, the recommendations that follow are intended to make Senate more effective, both in conducting its own business and in guiding the academic policy and strategy of the University.

It is further proposed that Senate will review its effectiveness periodically through survey consultation with members. This will allow an opportunity to make improvements between major reviews.

The agreed actions arising from discussion of this report will chiefly be owned by the Senate Manager working in conjunction with the Chair of Senate Business Committee and Senate Business Committee members as appropriate. However it should be remembered that the overall responsibility for the effectiveness of Senate itself is through its members.

Executive Team Report to Court

The Executive Team met on 15, 22 November & 20 December, 10 & 30 January and 10 February 2017.

The following key items were discussed by the Executive Team and are provided here for **Court to note**:

1. Health and Safety

Under the 'Safety Moment' held at the opening of each Executive Team meeting, the Team took the opportunity to share reflections and experiences in regard to health and safety issues, led by the Chief Operating Officer. Key items included:

- any significant incidents occurring on campus (or externally), including subsequent outcomes and lessons learned;
- activity and developments to promote and support the improved health and wellbeing of staff and students; and
- any issues identified following recent fire evacuation drills.

2. Faculty/Professional Services budget discussions (Q1)

Each of the major budget holders took the opportunity to set out their respective budget positions at the end of the Q1 period and to describe the main activities or initiatives which were being pursued to support an improved level of in-year financial and business performance. The Team also noted activity underway to enhance Senate's course approval process. This was expected to help make the process more responsive to Faculties' needs and supportive of their ability to respond to market demand.

3. Draft Outcome Agreement 2017-2020

The Team considered initial and near-final drafts of the University's new three-year Outcome Agreement for 2017-2020 and approved a range of potential additional measures which were aligned with the SFC's national measures and for which there were no corresponding KPIs within the University's Strategic Plan. The Team noted several key areas where the SFC had sought specific commitments and the way in which these had been addressed within the current draft Outcome Agreement, including reporting on SIMD 0-20 intake as a % of overall intake, outcomes in relation to gender, and Gaelic provision.

4. Strathclyde Centres for Doctoral Training

The Team received an update on the development of the Strathclyde Centres for Doctoral Training (SCDTs) and was invited to consider and discuss the structure, development and future funding arrangements of the SCDT programme.

5. Consultation on the Second Research Excellence Framework

The Team note the key elements of the Joint Funding Councils' recently announced consultation on the second Research Excellence Framework. The Team considered the process and timeline for drafting the University's response and that a draft response would be provided for discussion in due course.

6. Teaching Excellence Framework Participation

The Team discussed the requirements and potential implications of the University's participation in the 2017/18 Teaching Excellence Framework (TEF2). Following detailed consideration by the University's Education Strategy Committee and thorough engagement with sector-wide discussions, it was recommended that the University should choose not to participate in the proposed TEF arrangements for 2017/18 but revisit the question of participation ahead of the deadline for opting in to TEF arrangements for 2018/19 (TEF3). The Team **approved** this recommendation. It was agreed that the University would continue to focus strongly on its on-going learning & teaching and student satisfaction improvement activity and revisit the question of potential TEF participation at a future date.

7. Update from Strathclyde EU Exit Working and Advisory Group

The Chief Operating Officer introduced a paper which provided an update on the activities of the Strathclyde EU Exit Working and Advisory Group (SEEWAG) since its inception following the result of the UK's EU Referendum in June 2016. The Team noted the range of proactive steps undertaken by the University to understand and mitigate risks and realise potential opportunities in the wake of the referendum result.

8. Corporate Risk Register

The Team noted and endorsed the latest top risks and opportunities included within the University's Corporate Risk Register, including mitigating actions.

9. COO role – interim and longer term arrangements

The Team noted that, in anticipation of the COO's planned departure, the opportunity would be taken to review and reconfigure senior administrative responsibilities to ensure that the University's key commercial, governance and compliance activities continued to be supported by appropriate experience and expertise at a senior officer level. Draft proposals had been discussed informally with the Convener and Vice-Convener of Court and further information would be circulated imminently to Executive Team members for comments and views. The resulting need to review sections of the University's governing instruments was recognised and this activity, including the necessary engagement with the Privy Council, would be coordinated by the Strategy & Policy Directorate.

10. The Place – Business Case

The Team considered a full and near final business case for 'The Place' learning and teaching facilities project. Following discussion, the Team **endorsed** the recommendation to proceed with *Option 2: Redevelopment of the Colville and former Architecture Buildings*, with the budget allocation as detailed within the paper, subject to Court's approval in March.

11. Strathclyde Chancellor's Fellowship Scheme 2016

The Team considered details of candidates recommended for appointment through the Strathclyde Chancellor's Fellowship Scheme (SCFS). Following extended discussions, the Team approved a range of appointments to be offered to candidates.

12. Performance Development Group Report

The Team agreed plans to significantly advance the timetable for the 2017-18 budget process, in line with the objectives of the Team's Project on *Reviewing and Realigning Financial Planning and Budgetary Processes*. This was expected to deliver a number of strategic and operational benefits, including allowing more time for Faculties and Directorates to consider and respond to forecast positions. The Team noted the importance of communicating this change internally.

13. Advanced Forming Research Centre (AFRC) Extension Project

The Team considered proposals for the physical expansion of the existing AFRC building to support the development of AFRC's capability in response to increased activity and, particularly, due to the need to establish and house the HIVES "Future Forge" capability. The capital investment required would be entirely funded from external grants from Scottish Enterprise (SE), subject to final bid approval, and the High Value Manufacturing Catapult.

The Team **endorsed** the proposal, subject to requested assurances being provided to the Principal in advance of the Court Business Group (CBG) meeting on 20 February. It was **agreed** that, in order to facilitate the acceptance of the ATI grant prior to the deadline, approval should be sought via Court Convener's Action, following the CBG meeting, and reported to Court for homologation in March.

14. Review of Senior Academic Professional Careers Structures – Senior Teaching Roles

The Team considered proposals for the potential introduction of a 'professorial equivalent' level for the University's teaching career pathway. This proposal had been developed following the Executive Team's approval in April 2016 for the introduction of Professors of Practice. The Staff Committee had considered the issue in December 2016 and was supportive of the introduction of an equivalent senior, teaching-focused role, subject to an appropriate implementation approach. The Team welcomed the direction indicated within the paper and was supportive of the proposal, subject to reassurances being provided of the ability to make appointments on the basis of clear metrics and measures of excellence.

15. Q2 Business Report 2016/17

The Team considered the Q2 Business Report for 2016/17. Members noted and reviewed the level of performance across the range of areas outlined in the Report. The Team discussed an anticipated overall shortfall against 2016/17 intake targets for postgraduate research (PGR) students and noted that this position was similarly reflected within three of the four faculties. Potential actions in response to this position would be considered.

16. Strategic Plan 2015-2020 – mid-year progress update 2016-17

The Team considered a draft progress report on performance against the 16 KPIs within the Strategic Plan. Members welcomed the positive progress achieved against a range of measures.

17. Managing and Accounting for Staff Voids

The approved proposals recommended by PDG to ensure a consistent approach to managing and accounting for staff voids and vacancies. It was noted that the agreed criteria would be applied to the 2017/18 Budget process.

Court Business Group Report to Court

The following items were discussed by Court Business Group on 20 February 2017 and are provided here for Court to note.

1. Advanced Forming Research Centre (AFRC) – Extension Project

CBG discussed the paper and requested the following amendments prior to submission to Court:

- appropriate illustration of the level of risk associated with projected increases in future expenditure;
- clarification of the level of contingency funding included within the project costs;
- the inclusion of illustrative images of the proposed development; and
- the inclusion (as a background document via SharePoint) of the market analysis report which underpinned the AFRC's future growth assumptions.

CBG noted the previous endorsement of the proposals by Estates Committee and Executive Team and agreed that the Convener of Court should exercise the required delegated authority, subject to Court members being notified in advance and formal homologation of the decision by Court on 2 March.

2. John Anderson Building – external improvements

CBG considered a proposal to undertake external improvements to the John Anderson Building intended primarily to address historical backlog maintenance issues. Due to the overall value of the maintenance works required, it was appropriate to seek approval from Court, in line with the Schedule of Delegated Authority. Members noted that the proposal had been considered and endorsed previously by the Estates Committee and the Executive Team. CBG agreed that the proposal should be recommended to Court for approval.

3. The Place – Business Case

CBG considered a final Business Case for The Place Teaching and Learning Project, intended for consideration by Court in March. Following earlier discussions by CBG and Court on a draft Business Case in November 2016, the final proposals had been enhanced to highlight the key pedagogical developments being pursued in conjunction with the project. Members took the opportunity to offer comments on the intended presentation to Court, including:

- the desire for an Executive Summary paper for Court, avoiding any unnecessary repetition of key messages, with the full detailed Business Case and supporting documentation to be provided as background information on SharePoint;
- the need to enhance clarity within the Business Case on post-development space utilisation plans, projected tuition fee income figures, the anticipated savings in backlog maintenance costs, and on items included within the sensitivity analysis; and
- the Business Case should also ensure consistency in its recommendation to proceed with Option 2.

CBG noted its full support for the proposed development and, subject to the presentational changes discussed, recommended this to Court for its final consideration and approval.

4. Q2 Business Report 2016/17

CBG noted and discussed the level of performance across the range of areas outlined in the Report, prior to submission to Court. Particular areas highlighted included:

- the presentational changes to budget and forecast figures arising from the implementation of new accounting requirements (FRS 102 and SORP 2015)
- actions taken in the previous quarter, through the Executive Team's 'stage-gating' process, in response to the Q1 position;
- additional actions taken to identify further in-year savings and thereby deliver a Q2 operating outturn position that was marginally better than Budget;
- the continued focus on income generation to deliver targeted surpluses, whilst recognising that increased income generates corresponding increases in expenditure;
- the continued targeted engagement by the Performance Development Group with Faculties to support enhanced financial performance;
- an anticipated increase in cash balances due largely to re-profiling of expenditure on tangible assets;
- a forecasted shortfall in postgraduate research (PGR) intakes, the factors contributing to this and in-year actions underway to improve the position; and
- continuing positive trajectories on widening access student intakes and retention.

5. Strategic Plan 2015-2020 – mid-year progress report

CBG considered a mid-year progress update on the 16 KPIs in the University's Strategic Plan and noted positive progress achieved against a range of measures. Members discussed *KPI 16: Carbon emissions*, noting that ultimate achievement of the target was on track based on the anticipated future contribution of the planned Combined Heat and Power (CHP) Project. However, year-to-year performance may fluctuate, subject to the phasing of the CHP project and the impacts of wider campus activity.

6. Outcome Agreement 2017-2020

CBG considered a near final draft of the University's new three-year Outcome Agreement for review and comment, prior to submission to Court. Court would be invited, in particular, to consider a range of potential additional measures which were aligned with the SFC's national measures and for which there were no corresponding KPIs within the University's Strategic Plan. CBG noted the following key points:

- the additional measures should be more clearly highlighted for Court;
- the included case studies were welcomed and were felt to provide particular value;
- the use of contextual admissions should be highlighted, alongside the impacts upon the University of expectations to make increasingly early interventions to address widening access issues; and
- a summary of the University's key commitments should be added to the version coming forward for Court's consideration.

Subject to the changes discussed, CBG agreed that the draft Outcome Agreement should be provided to Court for discussion and approval.

7. Technology & Innovation Centre (TIC) update

CBG considered a progress report on the delivery of the TIC business plan and discussed the following key points:

- the benefits of direct academic engagement in pipeline development and the desire to focus on this area to deliver increased industry revenues;
- the challenges in securing the targeted number of 'Tier 2' partners, the increased number of smaller businesses choosing to engage with TIC on a more ad hoc basis, and the resulting need for increased flexibility in models of engagement; and
- on-going engagement with Scottish Enterprise on future reporting requirements.

CBG noted and agreed with the intent to 'mainstream' the future reporting of TIC delivery to include a focus on broad deliverables. Separate reporting may remain an appropriate approach for Audit Committee to ensure appropriate scrutiny of key financial elements of delivery.

8. National Physical Laboratory update

This item would be rolled forward to the next meeting of Court Business Group and would therefore not be required for Court on 2 March 2017.

9. Implementation of Review of Alumni Engagement

CBG considered a paper intended to set out for Court the progress in implementing the recommendations of the Review of Alumni Engagement, originally considered and approved by Court in February 2013. Implementation had subsequently been placed on hold due to on-going external developments. Since this time, the University had engaged constructively with representatives of the current Graduates Association (Glasgow) and would continue to do so in taking forward the final elements of the Review's recommendations.

CBG noted the significant progress achieved and was fully cognisant and supportive of Court's previous approval for the Review's recommendations and of the need to develop and professionalise the University's engagement with its Scotland-based alumni.

10. Executive Team succession planning

The Principal took the opportunity to inform CBG members of plans to ensure short term cover following the anticipated departure of the Chief Operating Office on 28 February. He also set out the proposed longer term arrangements which would involve some realignment of the University's senior administrative responsibilities. It was recognised that these proposals would require some minor amendments to the University's Charter and Statutes. The steps required to seek Privy Council approval were underway and further details would be provided to Court in March.

CBG expressed its full support and endorsement for the Principal's proposed approach to Executive Team succession planning.

11. Proposed Amendments to Charter and Statutes

CBG noted the draft amendments and the required steps underway to facilitate these. The paper would be provided to Court for information in March, prior to consultation with Senate and formal consideration by Court in May.

12. Externally-facilitated Review of Court Effectiveness

CBG considered the proposed approach to undertaking a review of Court's effectiveness and noted the Scottish Code of Good HE Governance requirement that this process (currently undertaken annually by Court in the form of a members' survey) should include an element of external facilitation at least once every five years. CBG noted and endorsed the draft Terms of Reference, including the membership and remit of the proposed Effectiveness Review Steering Group.

CBG also considered a draft proposal from the Leadership Foundation for Higher Education (LFHE) to provide the required external facilitation. CBG agreed that the current proposal did not meet the specified requirements and that the LFHE should be invited to revise this further. It was suggested that an appropriate approach to external facilitation should include one-to-one discussions with all members of Court, followed by subsequent analysis of the findings to inform a draft report to CBG. CBG, informed by the Steering Group, would then formulate appropriate recommendations for Court.

CBG agreed that it would be appropriate to also consider alternative options for external facilitation, including non-HE specific options, and members were encouraged to provide the details of potential consultants to the Committee Manager.

13. Draft Agenda for Court, 2 March 2017

Members considered and **approved** the draft agenda for the March meeting of Court.

14. AOB

- Chief Operating Officer: The Convener noted that the Chief Operating Officer's impending departure to take up the post of Principal at Fife College, prior to the next meeting of Court. He took the opportunity to record his gratitude, both personally and on behalf of Court, for the Chief Operating Officer's significant contribution to a wide range of activity and to the University's recent and continued success.
- Appointment of Acting Chief Operating Officer: The Convener had exercised Convener's Action to appoint the Chief Financial Officer as 'Chief Financial Officer and Acting Chief Operating Officer' with effect from 1 March 2017, in order to address the short term vacancy arising. Court's homologation of this action would be sought on 2 March.
- Jordanhill Community Council: The University had received correspondence from representatives of Jordanhill Community Council in regard to the former Jordanhill Campus site. The University was considering its response and further information would be provided in due course.

Court Membership Group Report to Court

The following items were discussed by Court Membership Group on 20 February and are recommended for **approval** by Court:

- a. the appointment of Gillian Hastings as Treasurer from 1 August 2017
- b. proposed amendments to University Ordinances to align the protocols applied to the Treasurer's term of office with those of the Convener and Vice-Convener
- c. the aspiration that one third of lay members of Court should be drawn from amongst the University's alumni

1. Overview of Court and Committee membership 2017/18

CMG considered an overview of projected Court and Committee membership for 2017/18 and beyond. It was noted that both the Convener and Treasurer would reach the end of their final terms of office on 31 July 2017. It was therefore anticipated, following Court's approval on 24 November 2016 to appoint a Convener (Elect), that one lay member vacancy would arise for 2017/18 and that an external recruitment exercise would be required to identify suitable candidates.

The requirement to appoint a new Treasurer from amongst the current lay members of Court was considered. CMG subsequently agreed to **recommend to Court** that:

- Gillian Hastings be appointed as Treasurer from 1 August 2017

CMG considered that Gillian's maximum term of office as a lay member of Court would end on 31 July 2018, thereby only allowing her to serve one year as Treasurer. It is therefore **recommended** that the same protocol should apply to the formal office of Treasurer as currently applies to the offices of Convener and Vice-Convener, whereby the office-holder serves for a defined term, in addition to any period for which they have been appointed as a lay member of Court.

In order to give effect to this approach, it is **recommended that Court approve** the proposed amendments to Ordinance 2 set out in **Annex A**, subject to the appropriate consultation with Senate, to take effect from 1 August 2017.

Reflecting previous discussions around refreshing the membership of Court's committees, CMG considered a range of potential options to do so. It was agreed that final recommendations in relation to committee membership for 2017/18 should be considered at a future meeting, following the conclusion of the intended lay member recruitment exercise. In the meantime, informal discussions could take place with lay members of Court and potential co-optees in order to inform potential recommendations.

It was also noted that at least one co-opted member vacancy was expected to arise on the Audit Committee for 2017/18 and members discussed the potential to advertise such positions externally. CMG considered that there was no regulatory requirement to do so and that lay members of Court are currently appointed through a competitive recruitment process. It was agreed that the external advertisement of co-opted committee positions may only be appropriate in cases where a committee has a majority of such positions.

CMG considered the issue of alumni representation on Court and the potential to introduce a quota for lay members on Court who are also alumni of the University. This was first proposed by the Review of Alumni Engagement considered by Court in February 2013. The Review had recommended that 5 of 15 lay members should be alumni of the University. As there were currently only 12 lay members on Court, CMG agreed that it would be appropriate to express this as a proportion and that a minimum of one third of lay members should be drawn from amongst the University's alumni. CMG **recommended that Court** adopt this as an aspiration. It was noted that the current Court lay membership was compliant with this position.

2. Lay Member Recruitment 2017

The Chief Operating Officer introduced the details of a proposed recruitment exercise to identify suitable candidates for the Court lay member vacancy arising in 2017/18. This included an evaluation of the balance of primary skills and experience of current and continuing lay members, a draft vacancy notice and role description, and a draft recruitment timeline.

CMG **approved** the proposed approach and noted that applications and a draft shortlist would be considered at the next meeting on 20 April 2017, followed by informal meetings with shortlisted candidates, with recommendations coming forward for Court's consideration in June.

Members also considered the potential benefits of commissioning an advertorial piece in the press in order to promote the opportunity and attract as wide a pool of suitable applicants as possible. This suggestion would be taken forward in discussion with the University's Marketing & Development Services Directorate.

It was also agreed that Court members should be encouraged to raise awareness of the opportunity amongst their own networks and invite suitable individuals to apply.

3. Any other business

There was no other business.

Annex A – Proposed amendments to Ordinance 2 to align the protocols applied to the office of Treasurer with those of the Convener and Vice-Convener

2 STRUCTURE OF THE UNIVERSITY

2.1 Governance and Management

Court

- 2.1.1 The Court is the overall governing body of the University. The power and functions of the Court are set out in Statute 2, as are its composition and terms of membership. The Court is responsible for overseeing the management and administration of the whole of the revenue and property of the University. Court is also responsible for academic governance but, on matters relating to the academic work of the University, will normally only act on the recommendation of the Senate.

Convener and Vice-Convener of Court

Convener of Court

- 2.1.2 The Convener of Court shall be appointed by Court under the terms set out in Statute 2. The Convener of Court can attend in an *ex officio* capacity any committee of the University that is responsible for the management and administration of revenue, property, staff and students of the University (with the exception of Regulation 1.1).

Vice-Convener of Court

- 2.1.3 The Convener of Court, following consultation with the Deputy Conveners, shall nominate a Vice-Convener for election by Court from among such of the Court members as are not members of staff or students of the University. The Vice-Convener shall hold office for two years and shall be eligible to hold office for a further three years thereafter, in addition to any period for which they have been co-opted as a lay member of Court and which he or she may have been appointed in terms of the General Provisions set out below.

Treasurer

- 2.1.4 The Convener of Court, following consultation with the Vice-Convener and Deputy Conveners, shall nominate a Treasurer for election by Court from among such of the Court members as are not members of staff or students of the University. The Treasurer shall hold office for two years and shall be eligible to hold office for a further three years thereafter, in addition to any period for which they have been co-opted as a lay member of Court and which he or she may have been appointed in terms of the General Provisions set out below.

Report to Court from Audit Committee

The Audit Committee held its annual workshop on 9 February 2017.

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

1. TIC Year 5 Annual Progress Report

The Chief Operating Officer introduced an overview of the Technology and Innovation Centre performance. The original TIC business plan forecast an additional £47M annual income by the end of 10 years on top of the baseline income of £24.9M in 2010-11. The actual income in 2015-16 was slightly behind the forecast for that stage overall but was ahead in conferencing and events income and the underlying position was healthy. TIC related income growth was up 26% in 2015-16 on the previous year.

Subscription paying partner recruitment was proving challenging with direct industry income growing by approximately half the amount anticipated. This had been compensated partly by income from publically funded research and “pay as you go” partners. TIC activity was grouped along thematic lines and some themes were forging ahead where others had not taken off as hoped. The next steps would include a review of the assumptions in the business plan, especially around industrial investments, and an evaluation of impact. A mainstream financial performance review would be conducted at Department/School level and it was planned to roll this into the annual planning and monitoring processes rather than to continue to separate out TIC activity given that TIC was not constituted as a separate business unit.

2. MBA Debtors Report Follow Up

The Associate Principal & Executive Dean, Business School reminded members that the MBA Unit had evolved in a bespoke way with each Centre having its own business plan and relying on the relationships between the MBA Course Leader and the various centres. On conducting a review in 2014 Internal Audit had recognised that there were a number of issues requiring attention and the Faculty had worked closely with Internal Audit, the Business Improvement Team and Finance to resolve these.

The outcome had been a move from several individual approaches to one single model with 23 standard operating procedures and stronger partner agreements being rolled out across the centres. The Unit was now in a good position of financial control and was receiving monthly reports from centres and agents and undertaking a monthly reconciliation of outstanding debts, allowing any issues to be identified early. The Faculty had enhanced its capacity to monitor financial performance and this would help to strengthen the position of the Faculty as a whole. The additional resource allocated had already delivered returns in the fees recovered. Committee Members welcomed the positive developments and significant improvements in processes and controls that had been achieved.

3. NPL Annual Report 2015-16

Court had approved the University's bid to enter into a partnership with the Department for Business, Innovation & Skills, the University of Surrey and the Government's National Physical Laboratory in April 2014. The bid was successful and the new NPL Company was formed in early 2015. The rationale for Strathclyde's involvement in the partnership was as follows:

- Use of NPL's partner and industry network to grow research collaborations, income and profile;

- Influencing the future direction of the National Measurement Service (NMS)/NPL Science programme funding;
- Growth in PGR population in collaboration with NPL and partners;
- Strengthening relationships with Government and Government Agencies;
- Potential to grow KE activity alongside a growth in NPL's Non-NMS activity;
- Gaining exposure and profile with International National Measurement Institutes (NMI's);
- Access to new research facilities for staff and students;
- Establishing an NPL Regional Hub located on the Strathclyde campus;
- Supporting existing Tier 1 Partners in exploiting metrology for competitive advantage.

Strathclyde had committed to an investment of £5M over 5 years and had spent approximately £1M to date, more than half of which was in kind contribution. However, significant effort had been put into the venture with progress being slower than planned due to the scale of staff changes and reorganisation at NPL. Development of a Scottish hub was underway with some joint appointments made and capacity building begun. Joint programme development was underway and there were approximately 200 PhD students, 30 of whom were at Strathclyde.

It had been agreed to set KPIs after 2 years and these were due in April 2017. This was considered a crucial milestone. Progress to date was slower than expected but the venture was already increasing Strathclyde's influence at UK level. The main risks were reputational rather than financial.

4. Impact of the Performance Development Group (PDG)

The Chief Financial Officer reminded members that the Performance Development Group (PDG) had been established in 2014 with a broad-ranging remit encompassing: supporting delivery of progress against the University's Strategy; promoting best practice; and identifying opportunities for enhanced income generation. Early in 2015-16 the remit was re-focused more explicitly on financial performance.

During 2015-16 PDG engaged with nine Departments and Schools that were in financial deficit, raising awareness and recognition of the importance of improving returns. A key output of these engagements was the development of a Financial Action Plan for each Department/School. This process had subsequently been rolled out to every Department/School and Professional Service area across the University for the 2017-18 Planning Round.

In 2016-17 PDG's focus was on the Executive Team (ET) Project 6: Reviewing and Realigning Financial Planning and Budgetary Processes. Progress to date had focused on the infrastructure of constructing the budget. Following the intensive engagements undertaken during 2015-16, PDG would continue to engage with Departments/Schools and PS Directorates, particularly the 2 Faculties which continued to be in deficit. Plans were underway to appoint Finance Business Partners for each Faculty to assist the Faculty in achieving the financial aspects of its Business Plan.

5. Information Security Annual Report 2015/16

The Director of Information Services gave a presentation on the cyber risks facing the University and the processes and plans in place to mitigate these. He began by reminding members of several recent, high profile attacks on external organisations, noting that even attacks in other countries could have indirect impacts for the University. The University itself was subjected to numerous attacks on an ongoing basis. Potential fines for data breaches were rising significantly and the potential effect on reputation was substantial. Ongoing awareness raising and training was required to combat security fatigue amongst staff along with efforts to block suspect mail, support those whose accounts were compromised and deal with vulnerabilities as they arose.

Information Services currently had several cybersecurity projects running with the following overall objectives:

- Within 1 year: Everyone trained and accountable. Policies in place.
- Within 2 years: The University equipped to bid for research partnerships which demand enhanced data security.
- Within 3 years: Industry-recognised cyber security practice integrated into all areas of business.

Some policies and procedures would vary between departments according to the needs and activities of each area. Members were reassured to note that Information Services were currently working with a range of experts in this area who were or had examined the University's systems and infrastructure. Penetration testing was undertaken daily and plans were underway to use ethical hacking on an annual basis.

6. Key risks for the Sector and the University

The External Auditor provided a summary overview of the current external environment and some of the key risks facing universities, noting the pace of change and the opportunities for the sector. The increasing cost base facing universities was a challenge with the introduction of the UK Apprenticeship Levy and the increase in pension contributions coupled with the general volatility of public funding sources. Institutions that had taken hard decisions a few years back were now better placed than those who had delayed.

Although Higher Education was devolved, universities were competing in a global market and Scottish institutions could not avoid the effects of the changing environment in the rest of the UK. The move, in England, towards a more market-led model of delivery may bring pressures to bear on some traditional universities and lead to a rise in alternative providers competing for students. In this challenging environment it was suggested that those universities with a wide research focus may demonstrate greater stability with those that had a greater focus on teaching likely to face increasing competition. The market-effect of the Teaching Excellence Framework (TEF) had yet to be realised but only a small number of Scottish universities were expected to take part in the forthcoming TEF exercise.

Universities hoping to thrive in the new environment would need to explore various opportunities each of which had risks and challenges associated with a greater or lesser degree of involvement such as: Trans-National Education, Digital Offers, Apprenticeships, Merger/Joint Venture.

7. Review of Committee Effectiveness/Terms of Reference

The Convener introduced the paper, which was based on responses from members to a check-list survey on Audit Committee functions. The responses indicated that members felt the Committee to be operating effectively in discharging its functions and achieving compliance with good practice, as defined within the UK Corporate Governance Code. The paper provided additional information in those areas where members requested clarification on the Committee's role. The following individual points were discussed:

- The Committee evaluated the risk/likelihood of the external auditor withdrawing from the market and agreed that it was negligible given the size and reputation of the current audit firm and therefore no further action was required.

- Members were content with the current practice of exception reporting in relation to content of the audit representation letters rather than needing to see a full draft.
- The communication section did not score as highly as there was some confusion in the way members had interpreted terminology relating to 'Shareholders'. Members were comfortable that the Committee had appropriate communication with Court and that its activities were made public through its annual report and the publication of Court papers.
- Whether the Terms of Reference adequately reflected the Committee's wider remit was discussed. It was agreed that this should be reviewed, noting that some Audit Committees had expanded their titles to reflect their activities.

Report to Court from Estates Committee

The Estates Committee met on 17 January 2017 and the following items were discussed:

For Approval by Court:

1. Advanced Forming Research Centre (AFRC) – Extension Proposal

The Committee considered the Full Business Case for an extension to the Advanced Forming Research Centre (AFRC). The Business Case was supported by a presentation from Michael Ward, the Technical Director of the AFRC and Sarah-Louise Keegan, the Programme Management Team Lead. In a detailed presentation, the Committee was provided with background on the history of development of the AFRC and its ambitions for the future.

It was noted that a successful application in the sum of £6.6M had been made to the Aerospace Technology Institute (ATI) to invest in the establishment of a 'Future Forge'; a state of the art, high temperature development forge facility. Acceptance of the offer would enable AFRC to consolidate and enhance its core forging capability. The opportunities which the incorporation of a Future Forge would present were highlighted to the Committee. The new equipment would enable the Centre to take the lead in a wider range of forging research, to address the needs of a broad range of industrial sectors, in particular: aerospace, automotive, marine and energy (nuclear, oil & gas, and renewables).

The Committee noted that the proposal would help to secure the future position of AFRC through a broadening of its capability, allow it to establish a globally unique position and to maintain the Centre as a state of the art facility. It would establish AFRC as a focal point for UK wide and global research collaboration, as well as supporting income growth. The ATI funding which had been secured would facilitate the procurement of the necessary equipment, however, in order to be able to accept this funding offer the AFRC would be required to construct an extension to the existing AFRC building, to accommodate the Future Forge. It was the construction of this extension which formed the basis of this Business Case. In addition to the £6.6M secured from ATI for the equipment, a budget of £6.1m would be required to realise the preferred construction option, with the majority being funded by the UK Government's High Value Manufacturing Catapult (£4.3M). The remainder of the budget (£1.8M) would be secured from Scottish Enterprise. It was noted that no funding was required from the University.

The outcome of an option appraisal exercise was presented for consideration, with the stated, preferred option being an extension to the north wing of the AFRC. The timeline for completion of the construction element would see an anticipated building handover in December 2018, with a programme of delivery and installation of the equipment between February and October 2019.

The Committee was advised that the Conditional Offer Letter from ATI had to be accepted by 28 February 2017, thereby adding a degree of urgency to this Business Case.

With regard to the University element of the project, the Committee

1. **recommends** to the Executive Team and Court that the capital investment proposal in relation to Option 3 is approved, for the construction of an extension to the existing facility, to be funded by the HVM Catapult and Scottish Enterprise.
2. further proposed that, given the deadline for acceptance of the funding offer from the Aerospace Technology Institute, the matter should first proceed to Court Business Group to seek approval in principle and facilitate acceptance of the funding offers.

2. The Place Project, Full Business Case

The Committee considered a joint presentation by Dr. Veena O'Halloran, Director of Student Experience and Enhancement Services, Professor Sara Carter, Associate Principal (Learning and Teaching) and Ms Stella Matko, Director of Estates Services, in support of the Full Business Case for The Place project. Due to the nature and scale of the investment required for this development, the Director of Estates Services had previously presented a draft Business Case for consideration by the Committee. This presentation commenced by acknowledging the value of the previous advice and support provided by the Committee.

This project incorporates three individual strategic projects, namely: outstanding teaching and learning facilities, a one-stop shop for Student Services and integrated facilities for USSA. The business case had been developed following extensive consultation with staff and students and visits to similar facilities in other universities. The investment drivers for the project included aligning teaching provision with the projected growth in student numbers, bringing the University's provision into line with benchmark institutions, enhancing the student and staff experience, increasing utilisation, providing fit for purpose USSA accommodation and securing projected income generation. The Committee was able to review examples of completed and planned projects in a number of benchmark institutions.

The presentation illustrated the strategic benefits of the proposed development, including attracting high quality students, underpinning our marketing and recruitment objectives, together with enhancing student satisfaction and outcomes. In terms of learning and teaching benefits, this facility would set the benchmark for a 21st century technology-enabled learning and teaching experience, it would address the shortage of large capacity teaching spaces on campus, facilitate the delivery of innovative learning and teaching and provide a student and staff centred hub offering the facilities for what is termed the 'sticky campus' and thereby enhancing retention and participation. Further, it would colocate learning and teaching space, student support services and USSA, and provide much needed flexible learning and social space to enhance the learning experience.

The Committee was apprised of the impact of pedagogic developments on the learning experience and on the importance of a sense of place for our students. The merging at the boundary between online and campus learning was highlighted, along with the democratisation of the student body and the heightened expectations of students discussed.

In terms of the benefits to the estate from this project, the development would increase seating capacity, increase flexible learning space, improve utilisation levels, create a cohesive heart to the Campus, reduce backlog maintenance and running costs and create a development opportunity within the Students Union. Furthermore it would provide opportunities for income generation through conferences and other events.

An analysis of the Options Appraisal was presented to the Committee. The options were detailed as follows:

- Option 0 - Status Quo with minimum investment
- Option 1 - Retain and invest
- Option 2 - Redevelopment of Colville and former Architecture building
- Option 3 - Partial New Build
- Option 4 - New Build.

The recommended option was Option 2, which would entail the redevelopment of the Colville and Architecture buildings.

The Committee commended the quality of the presentation and the revised Business Case. The President of USSA, in particular, indicated his strong support for this development and welcomed the proposed colocation of student services.

The Committee:

recommends to the Executive Team and Court that:

- Option 2 is approved for the redevelopment of the Colville and Architecture buildings, at a cost of £60million.

For Noting by Court:

1. Martha Street Car Park

It was reported that the University had now submitted a formal objection to the developer's planning application and that Savills and Page & Park Architects had been engaged to provide assistance in preparing this. The main basis of those objections had also formed the foundation of subsequent meetings with the developer and with Glasgow City Council's (GCC) Planning department.

It was further reported that Historic and Environment Scotland (HES) had lodged a separate objection highlighting a number of concerns and comments:

- a) the impact of the development on the nearby conservation area/listed buildings, in particular the City Chambers which it described as Glasgow's most important civic building, together with the need to protect the skyline behind and immediately adjacent to it, all views from George Square and the principal views from the adjacent streets
- b) that, although there are other tall buildings on the square and in the immediate vicinity, the location of these means they do not compete with the dominant presence of the City Chambers
- c) that it was unconvinced about the justification for demolishing the former Registry Office on John Street, given that its presence allows a relationship to be perceived between Martha Street Church and the City Chambers.

It was anticipated that the developer would respond to the concerns of HES before progressing further with the planning application. The planning application was scheduled to go to the relevant Committee of the Council in mid-February. Estates Services would attend the meeting and advise the Estates Committee of the outcome.

2. Patrick Thomas Court

The Committee was advised that the response to the marketing exercise had resulted in thirteen offers being received by the closing date of 13 December. From that group, a short list of five bidders had been confirmed. The appointed disposal agent, **[RESERVED]** had then commenced assessing the offers from these five bidders. It is anticipated that it should be possible to conclude the sale by the end of the financial year 2016/17. Early indications are that the building is likely to be adapted for residential use.

AL, January 2017

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 14 DECEMBER 2016

The following items are provided for Court's information.

- **STRATEGIC RECRUITMENT**

The Director of Human Resources reported that the 2016 Strathclyde Chancellor's Fellowship Scheme had been successfully launched and the recruitment process was ongoing, with the aim of appointing 20 exceptional early career academics. Following a more internationally-focussed and refreshed recruitment advertising campaign, making greater use of social media and networks, 610 applications had been received, an increase on previous years of around 200 applications from early career academics from 79 countries.

- **EMPLOYEE RELATIONS**

The Director of Human Resources reported that, following the conclusion of the national pay negotiation process between UCEA (the Universities and Colleges Employers' Association) and the national Trade Unions for the academic year 2016/17, the Trade Union dispute previously reported had now been settled. The Director also reported that EIS remained in dispute in the sector and had called on its members to take action short of strike action. Strathclyde does not formally recognise EIS but does have a small number of members. It was noted that the action by EIS member was having no impact.

- **PROFESSORIAL ZONING**

The Deputy Director of Human Resources reported that since the last meeting of the Committee, the work to assimilate Professors into appropriate revised pay zones had been completed. It was intended that the Professoriate would receive a letter advising of the outcome of zoning in the New Year. Staff Committee considered and approved the proposed zoning appeals process along with the process to be followed when matching any new Professors to the appropriate zone. Staff Committee noted that the approach taken to Professorial Zoning had been fair, robust and consistently applied.

- **STAFFING IMPLICATIONS OF BREXIT**

The Director of Human Resources reported that over 100 EU staff were registered to attend a Brexit session which had been arranged with the University's immigration lawyer, Thorntons. In the context of uncertainty regarding the free movement of individuals between the UK and Europe following Brexit, the aim of the session was to help inform EU staff on what steps they could take to protect their position in the UK. It was planned that the session would be repeated in January.

- **EQUALITY AND DIVERSITY**

The Director of Human Resources reported that three Athena SWAN applications had been successful; Architecture and Electronic & Electrical Engineering had achieved Bronze awards and Civil & Environmental Engineering had successfully retained their Silver award.

**Enterprise and Investment Committee Report to Court
[RESERVED ITEM]**