

UNIVERSITY COURT – AGENDA

Thursday 1 March 2018, 09.30-12.00, coffee from 09.15
Location: Executive Suite, Technology & Innovation Centre

Apologies: Paula Galloway, Professor Erling Riis

Declarations of interest: None

Introduction		
1.	Minutes of the meeting held on 30 November 2017	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.	Presentation: Estates Development Update <i>Director of Estates Services</i>	Oral <i>20 mins</i>
5.	Q2 Business Report 2017/18 <i>Chief Financial Officer, Director of Strategy & Policy</i>	Paper B <i>20 mins</i>
6.	Strategic Plan 2015-2020 – mid-year progress report <i>Director of Strategy & Policy</i>	Paper C <i>20 mins</i>
7.	Outcome Agreement 2017-2020: Final 2018/19 Annex <i>Director of Strategy & Policy</i>	Paper D <i>20 mins</i>
Items for formal approval		<i>15 mins</i>
8.	Remuneration Committee: Terms of Reference and Contribution Pay Policy	Paper E
9.	Magna Charta Universitatum	Paper F
Items for information		
10.	Court meeting dates 2018/19	Paper G

Committee reports		
11.	Senate	Paper H
12.	Executive Team	Paper I
13.	Court Business Group	Paper J
14.	Court Membership Group	Paper K
15.	Audit Committee	Paper L
16.	Estates Committee	Paper M
17.	Staff Committee	Paper N
18.	Enterprise & Investment Committee	Paper O
Closing remarks		<i>5 mins</i>
19.	Any other business <i>Convener</i>	
	Date of next meeting <i>09.30-16.00, Tuesday 1 May 2018</i> <i>Location TBC</i>	

MINUTES OF UNIVERSITY COURT
30 November 2017

Present: Dame Sue Bruce (Convener), Ronnie Cleland, Gillian Hastings, Malcolm Roughead, Alison Culpan, Dr Jane Morgan, Paula Galloway, Principal Professor Sir Jim McDonald, Vice-Principal Professor Scott MacGregor, Dr Andrew McLaren, Professor Erling Riis, Amanda Corrigan, Dr Kathy Hamilton, Gillian Pallis, Louise McKean, Calvin Hepburn, Taylor Wong

Attending: Professor Douglas Brodie, Professor David Hillier, Professor David Littlejohn, Professor Atilla Incecik, Professor Sara Carter, Professor Tim Bedford, David Coyle, Dr Veena O'Halloran, Rona Smith, Sandra Heidinger, Darren Thompson, Kirsty MacLeod (for item 6)

Apologies: Kerry Alexander, Dr Archie Bethel, Dr Jeremy Beeton, Susan Kelly, Marion Venman, Councillor David McDonald

Welcome and apologies

The Convener noted the apologies received. She welcomed Court members and attendees to the meeting.

No interests were declared.

1. Minutes

Court **approved** the minutes of the meeting held on 28 September 2017.

2. Matters arising

[RESERVED ITEM]

- Universities Superannuation Scheme (USS): The CFO reported the results of a recent consultation by Universities UK (UUK) on the current funding position of USS. On the basis of responses received from participating employers, UUK had proposed that the USS defined benefit scheme be closed to further pension accrual and that, in future, pension savings should be made via a defined contribution arrangement. The Director of Human Resources confirmed that initial discussions had taken place with trade union representatives at a meeting of the University's Joint Negotiating and Consultative Committee (JNCC). Court noted that the relevant trade unions were currently balloting their members and that any resulting industrial action was likely to take place early in 2018.
- Advertising Standards Authority: Following previous correspondence to Court, the Principal updated members on a recently published decision by the Advertising Standards Authority (ASA). The ASA had received and upheld a complaint about a statement published on the University's website. Although the ASA had not disputed the veracity of the University's statement, "The University is ranked number one in the UK for Physics research according to REF 2014", it believed that the Times Higher Education (THE) should have been clearly referenced on the University's website as the source of the ranking position. The University had expressed its disappointment with the ASA's approach to the issue and with its ultimate finding but had agreed to adjust the wording of the statement accordingly.

3. Principal's Report

The Principal informed members of the following key developments since the September meeting:

QS Stars award: Following an independent benchmarking exercise, the University had recently been rated as a “Five Star Institution” by Quacquarelli Symonds (QS), achieving the maximum five-star rating in all eight categories of assessment. This represented an improved result, compared to the last such audit undertaken by QS in 2014.

Public policy and funding environment: There were a number of recent or anticipated developments in this area, including:

- The expected announcement of the Scottish Government’s Draft 2018/19 Budget on 14 December 2017. Representations to the Government from the Scottish higher education sector had focused on the protection of core funding and the sector’s strong record in delivering positive outcomes;
- The recent announcement of the composition of the Enterprise and Skills Strategic Board. Court welcomed the appointment of Professor Sara Carter, Associate Principal (Learning & Teaching);
- The receipt, in late October, of a Ministerial Letter of Guidance and the Scottish Funding Council’s subsequent guidance on the Outcome Agreement process for 2018/19. This had been followed by a meeting on 8 November between the Minister for Further Education, Higher Education and Science and University and College Principals;
- Continuing sector-level efforts to seek clarity and assurances from both Scottish and UK Governments on post-Brexit arrangements. The Scottish Government had confirmed that EU students commencing a course of study in 2018/19 would be guaranteed tuition support for the duration of their course;
- The publication of the UK Government’s Industrial Strategy on 27 November and the accompanying commitment to increase Government Research & Development spending (GERD) to 2.4% of GDP over the next ten years. Court noted the potential opportunities for the University to engage and contribute significantly to the delivery of the Strategy; and
- The announcement of the final arrangements for the Research Excellence Framework (REF) 2021 and the University’s continued preparations.

Global Talent Attraction: the response to a recent recruitment initiative to attract up to 60 internationally-leading Professors and Readers had been very positive. A number of Professorial offers had been made so far and selections were currently taking place for potential Reader appointments.

Research grants: The Principal highlighted a range of recent major research awards across all four Faculties.

Court members welcomed the information provided and, in regard to the significantly complex and fast-changing public policy environment, discussed how the University might positively influence the nature and tenor of the sector’s engagement with the Scottish Government. It was suggested that this issue could be considered further, outside the cycle of normal Court business.

4. Health, Safety & Wellbeing Moment

The University Secretary and Compliance Officer (USCO) presented headline statistics on recent incidents reported to the University’s Occupational Health, Safety & Wellbeing Team. In addition to the information provided, it was noted that:

- An increase in the number of reported incidents corresponded with an increased level of awareness amongst staff and reflected an enhanced institutional focus on reporting;
- The University planned to launch a targeted initiative to further encourage greater reporting, specifically in regard to near misses and in recognition of the importance of these incidents in identifying areas of potential risk to be addressed;
- A new University-wide online reporting system would be introduced in 2018. This was expected to deliver further enhancements in reporting; and
- The University intended to introduce and promote a culture of “zero harm”, recognising that, whilst the number of incidents reported would never, realistically, fully reduce to zero, such an approach was consistent with the intention to achieve an environment that is safe and healthy for all.

5. Confucius Institute for Scotland’s Schools at the Ramshorn

The Associate Principal & Executive Dean of the Faculty of Humanities & Social Sciences introduced a business case for the investment required to establish the University's Confucius Institute for Scotland's Schools (CISS) within new accommodation at the Ramshorn Theatre. He explained that the CISS, hosted by the University for a number of years, had grown significantly and had recently been granted the status of a Model Confucius Institute by Hanban, the Confucius Institute Headquarters. This had generated an opportunity to relocate the CISS to a more suitable location which in turn would support a further expansion of activity, greater levels of collaboration within the Faculty, and greater opportunities for income generation.

The overall value of the investment (£2.1M) was such that Court's approval was required to proceed. It was indicated that the majority of funding would be provided via a contribution of £1.2M from Hanban, with the University providing a central contribution of £0.8M. A further £0.1M would be provided via a contribution from the CISS itself.

Court members considered the proposal, discussing the following key issues:

- The proposal provided a unique opportunity to refurbish the Ramshorn Theatre and bring it back into regular use. There were no competing requests for the use of the building;
- It was agreed that responses made by the University to previous information requests on the work of the CISS should be circulated to Court members, for information. Feedback from local schools had been overwhelmingly positive;
- The Estates Committee had considered the proposal in detail, acknowledging the additional benefits likely to arise from closer engagement with China (e.g. student placements, collaboration agreements, etc.), and had agreed to recommend this to Court for approval;
- The University had significant and longstanding experience of collaborative activity with other Chinese academic, industry, and government partners and was well attuned to the environment.

Court **approved** the overall investment of £2.1M (£0.8M from the University) required to establish the CISS within new accommodation at the Ramshorn Theatre.

6. Financial Statements 2016/17

The Chief Financial Officer (CFO) and Deputy Finance Director presented the draft Financial Statements 2016/17. The CFO provided a commentary on the statements, reminding members of the increased volatility in reported year-end figures as a result of the new accounting standard (FRS102) which had been introduced for the previous year's Statements. He highlighted a positive year-end result, including the delivery of an operational surplus, which was impacted by several significant items. These items included unrealised gains on investments, gains from the disposal of spin-out investments, an underspend in regard to restructuring costs, and the in-year costs associated with the development of a new Student Information Management System (SIMS). The following additional factors underpinning the year-end position were highlighted:

- Whilst strategic and research funding from the Scottish Funding Council (SFC) had increased, income from SFC in the form of recurrent teaching funding had decreased;
- Tuition fee income had increased across all areas of activity, with significant increases in non-EU fee income, despite on-going, sector-wide challenges;
- Staff costs had increased, in line with the University's growth trajectory. It was noted that the pattern and volume of new strategic staffing appointments correlated strongly with recent increases in research income;
- A significant proportion of the increase in staff expenditure during 2016/17 could be attributed to sector-wide increases in National Insurance and pension contributions;
- The University's cash balances had increased due to recent capital disposals. These were expected to decrease in subsequent years as a result of planned investments in the University estate;
- The University's position in regard to borrowing and liquidity, relative to the Scottish and UK higher education sectors. Both would reduce in subsequent years as borrowings were repaid and cash reserves expended;
- The expectation that SFC income would remain flat for the foreseeable future whilst institutions in England would seek to fund a significantly increased level of investment through additional borrowing.

The CFO confirmed that the University retained the financial strength required to resource major planned investments and take advantage of emerging opportunities. Notwithstanding this, the continued and future growth of non-governmental funding streams remained a priority.

The Treasurer welcomed the Financial Statements and commended members of the University's Finance Team for their efforts. The Convener of the Audit & Risk Committee noted a positive report from the University's External Auditors and signalled the Audit & Risk Committee's formal recommendation to Court that the draft Financial Statements be approved and signed.

Court members discussed the optimal level of liquidity and borrowings. It was considered that the University's targeted future growth would include significant cash generation, as a means of ensuring financial sustainability. The CFO confirmed that the University was currently well within its borrowing limits, as defined by the European Investment Bank's own lending parameters. Court members asked that further information be provided in graphical form.

Court **approved** the draft Financial Statements for 2016/17.

7. Q1 Business Report 2017/18

The CFO and the Director of Strategy & Policy introduced the Q1 Business Report for 2017/18. Following previous discussions at Court, the content of Business Reports had been reviewed to ensure that they continued to meet the needs of the Executive Team and Court over the course of 2017/18.

[RESERVED]

Court welcomed assurances from the Executive Team that positive steps were being taken to drive additional income growth and monitor and control in-year expenditure, wherever possible.

The Director of Strategy and Policy highlighted several non-financial indicators within the Business Report, including:

- Postgraduate Research (PGR) recruitment: growth in the overall population had slowed and there was a consequent significant internal focus on increasing intakes. The Executive Team was monitoring this closely and taking appropriate action;
- Postgraduate Taught (PGT) recruitment: a decrease in the intake of PGT students from the rest of the UK had contributed to the overall shortfall in tuition fee income. There remained significant potential for in-year recruitment of overseas PGT students; and
- Widening Access: the University had already achieved and surpassed its 2020 target for SIMD0-40 entrants and had significantly increased the percentage of total entrants from SIMD0-20 backgrounds, to 17.3%. The gap in the retention rates for SIMD0-40 students had widened slightly and this would continue to be monitored closely.

Court noted the report. Members particularly highlighted the significance of achieving an increase in the number and percentage of widening access student entrants whilst also protecting high entry standards.

8. Strategic Plan 2015-2020: year-end progress report 2016/17

The Director of Strategy & Policy introduced the year three progress report on the 16 KPIs contained within the University's Strategic Plan. Members welcomed positive year-on-year performance in relation to a range of measures, noting that the majority of KPIs were 'on track' or ahead of relevant milestones. A small number of KPIs had been flagged to indicate that further work was required. Court also noted that KPI 15 had been revised from a measure of 'operating surplus' to one focused on cash generation. This followed changes to financial reporting in 2015/16, with the implementation of FRS102 and the new Statement of Recommended Practice (SORP), which had resulted in greater volatility in the presentation of the annual Financial Statements.

Court noted that a mid-year Report would be provided in March 2018.

9. Outcome Agreement 2017-2020: Draft Annex 2018/19

The Director of Strategy & Policy presented an early working draft outline of the 2018/19 Supplementary Annex to the University's Outcome Agreement for 2017-2020. This was intended to address additional requirements set out in the SFC's most recent guidance, whilst maintaining and supporting the University's overall strategic objectives.

Members noted that the University was in a strong position to be able to address the additional requirements and that the Annex would be developed further ahead of the submission of a 'well-developed' draft to the SFC by the required deadline of 15 December 2017. Members were encouraged to offer any additional comments ahead of this date but were reassured that a final version would be provided for Court's input and approval in due course.

10. Governance Act 2016: Future composition of Court

The USCO presented recommendations from the Court Membership Group (CMG) for a revised future composition of Court intended to support compliance with the requirements of the Higher Education Governance (Scotland) Act 2016. Court noted that, whilst the Act required changes to the University's governing instruments in several areas, the proposal for consideration, at this time, was restricted to Court's future composition. Following approval, the University would commence informal discussions with the Scottish Government. Work would also be undertaken to draft revised governing instruments and develop proposals for the underpinning operational arrangements.

Court considered and noted CMG's recommendations on the future composition of Court which, in addition to ensuring compliance with the Act:

- strengthened the current lay majority;
- maintained the current number of *co-opted* lay member positions on Court;
- slightly increased the overall size of Court, whilst maintaining numbers within best practice limits;
- reduced the number of Senate-appointed representatives, but maintained the current overall number of non-ex officio staff representatives on Court;
- highlighted the importance of continued clarity in guidance for all Court members on understanding and accepting their responsibilities as trustees; and
- reinforced the need for subsequent work in order to ensure the appropriateness of underpinning processes for the future appointment or election of Court members.

In discussion, the current Senate members of Court indicated that they had discussed the proposals and were supportive of them. They also expressed understanding of the requirements that members appointed or elected by a particular constituency must act solely in the best interests of the institution and not as if delegated or mandated by any particular constituency.

Following discussions, Court **approved**:

- The core principles, as set out in the paper, as a suitable framework against which to assess the future composition of Court; and
- The future composition of Court, as recommended by CMG and set out within the paper.

It was noted that transitional arrangements and rules for the future election of Senate representatives would be considered by Court at a future date, following consultation with Senate.

Items for formal approval

11. Convener's Actions

There were no actions to report since the last meeting.

12. Change of Department Name, Strathclyde Business School

Following consideration by Senate, Court **approved** a change in the name of the Strathclyde Business School's "Department of Human Resource Management" to the "Department of Work, Employment and Organisation". It was noted that the change would be implemented no later than 1 August 2018.

13. Annual Statement on Research Integrity

Court reviewed and **approved** the University's Annual Statement on Research Integrity for 2016/17.

Items for information

14. Scottish Code of Good HE Governance 2017: update

Court **noted** the publication of a revised Scottish Code of Good HE Governance. Members also noted a number of new requirements related to the University's governance practices and a range of recommendations to ensure future compliance.

15. 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.

Committee Reports

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

16. Senate

Court **noted** the key matters discussed by the University Senate at its recent meeting on 15 November 2017. The following recommendations from Senate were **approved**:

- Department Change of Name – Strathclyde Business School (approved at Item 12, above)
- Amendment of Regulation 1.5.7: Court approved a minor amendment of *Regulation 1.5.7 (a) Composition of Senate Discipline Appeals Board* to permit the Vice-Principal to nominate an appropriate alternative Convener to be appointed when he is unable to act in this capacity.

17. Executive Team

Court **noted** the key matters discussed by the Executive Team at its recent meetings.

18. Court Business Group

Court **noted** and welcomed the Court Business Group's advance consideration and scrutiny of the Court agenda and its substantive items on 16 November 2017.

19. Court Membership Group

Court **noted** the report of the Court Membership Group (CMG) meeting on 16 November 2017. A recommendation from the CMG on the future composition of Court had been approved at Item 10 above.

In addition, Court **approved** the following recommendations from the CMG:

- Mrs Louise McKean to be appointed to the vacant staff member position on Court Business Group, for a period commensurate with her current term of office on Court; and
- Dr Andrew McLaren to be appointed to the vacant staff member position on Court Membership Group, for a period commensurate with his current term of office on Court

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

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

- the draft Financial Statements for 2016/17 be approved;
- the relevant officers be authorised to sign the printed statements in due course; and
- Ernst & Young LLP be retained as the University's External Auditors for the audit of the 2017/18 Financial Statements.

21. Enterprise & Investment Committee

Court **noted** the items discussed by the Enterprise & Investment Committee at its recent meetings on 21 September and 6 November 2017.

22. Staff Committee

Court **noted** the items discussed by the Staff Committee at its recent meeting on 27 September 2017.

23. Estates Committee

Court **noted** the items discussed by the Estates Committee at its recent meeting on 16 October 2017. A recommendation from the Estates Committee in regard to the Confucius Institute for Scotland's Schools had been considered and approved at Item 5, above.

24. Strategic Marketing Group

Court **noted** the items discussed by the University's Strategic Marketing Group at its recent meeting on 16 November 2017.

25. AOB

There was no other relevant business.

Date of next meeting

- Thursday, 1 March 2018

**Q2 Business Report 2017/18
[RESERVED ITEM]**

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

**Outcome Agreement 2017-2020: Final 2018/19 Annex
[RESERVED ITEM]**

**Remuneration Committee: Terms of Reference and Contribution Pay Policy
[RESERVED ITEM]**

Magna Charta Universitatum

Introduction

1. In November 2017, the University – as a member of the European University Association (EUA) - received a request to sign up to the Magna Charta Universitatum. Following internal discussions, and a positive recommendation from the Executive Team, it is proposed that the University should seek to sign up, in recognition of our increasing European engagement and the opportunity that this provides to reaffirm our international connectivity.
2. This paper provides further background to the Magna Charta Universitatum, outlines the application process, and seeks Court's endorsement of the recommendation from the Executive Team, subject to a similar formal endorsement from Senate.

Background

3. The Magna Charta Universitatum is a document representing the values of the [Magna Charta Observatory of Fundamental Values and Rights \(MCO\)](#). The MCO is a non-profit organisation, based in Bologna. It was founded by the University of Bologna and the European University Association (EUA) and, in its own words, is a “global guardian of fundamental university values and assists universities and higher education systems to operate effectively in accordance with them”.
4. The MCO fulfils its mission by gathering information, commissioning research, monitoring, expressing opinions, preparing publications, making presentations and organising conferences and workshops relating to the nature of, respect for, and protection of the fundamental university values.
5. The Magna Charta Universitatum (attached as Annex A) sets out and emphasises the fundamental values of the MCO, referenced above and which can be summarised as:
 - a. A university is an autonomous institution;
 - b. Research and teaching must be morally and intellectually independent of all political authority and economic power;
 - c. Teaching and research must be inseparable; and
 - d. There must be openness with freedom for staff and students with concomitant responsibility to society.
6. The original document was drafted in January 1988 and signed in September of that year by 388 rectors and heads of universities from across Europe and beyond.
7. Its additional aims are to encourage strong bonds amongst European universities and to serve as a universal inspiration. As such, any non-European university may become a signatory. Since its inception, the document has been signed by 816 universities from 86 countries (including 33 UK universities). A full list of signatories is available [here](#).

Potential benefits of becoming a signatory

8. The potential generic benefits for signatories (as indicated by the MCO itself) can be summarised as follows:

- a. the opportunity to make a strong public statement which can be trusted by students, staff and stakeholders;
 - b. the opportunity to benefit from and contribute to the MCO's mission through active self-assessment or participation in conferences and workshops;
 - c. the opportunity to benefit from MCO services and expertise such as monitoring, events and partnerships with other institutions (including insight into how the fundamental values can be safeguarded and developed);
 - d. the opportunity to enhance the university's profile locally, nationally, and internationally
9. Specific and more tangible benefits for the University of Strathclyde are likely to arise from a more visible alignment with the values of current and potential European and international partners, particularly other CESAER members. It should be noted that the common values of CESAER include "academic freedom and institutional autonomy as laid down in the Magna Charta Universitatum" (amongst other similar declarations).
10. There is no application fee or annual subscription associated with being a signatory. However, signatories may be asked for voluntary donations to support and enable the work of the MCO.

Application Process and Requirements

11. Applicants are asked to provide details of their policies and practices relating to their autonomy, academic freedom in research, teaching and learning, and demonstrating how they ensure integrity in their operations. This information must be provided in a prescribed application form which must be signed off by the Principal. In addition, the University must also provide:
- a. Evidence in the form of certified minutes from the senior academic body (Senate) and the ultimate governing body (Court) that the application has their full support;
 - b. Statements of support from three universities, at least two of which should be outside the UK, which are already signatories of the Magna Charta Universitatum.
12. At its meeting on 20 February, the Executive Team considered the proposal to sign the Magna Charta Universitatum. Subject to satisfactory clarification on a minor point of wording within the document, the Executive Team agreed to recommend to Court that the University should seek to become a signatory.

Next Steps

13. The deadline for receipt of applications is 17 March 2018. This date falls before the dates on which formal minutes of Senate and Court meetings could be formally certified (i.e. approved at subsequent meetings). As such, it is intended that formal application be prepared and submitted in advance of the deadline, with copies of the "certified" minutes of Senate and Court to be submitted once available
14. Subject to Court's endorsement of the intention to become a signatory, the following next steps will be taken:
- a) In advance of the submission deadline of 17 March:
 - the required application form will be completed, signed by the Principal, and submitted

- supporting statements from three suitable universities will be obtained and submitted (*a commitment to provide these statements has already been received from TU Delft, Ghent and KTH – all current signatories to the Magna Charta Universitatum*)
- the Principal as Convener of Senate, will seek views from members of the Senate Business Committee and take Convener’s Action on behalf of Senate to support the proposal (formal evidence of this will be submitted to the MCO);
- the draft (non-certified) minute of Court’s decision on 1 March will be submitted to the MCO in support of the University’s application

b) Subsequent to the deadline of 17 March:

- Senate will be invited to homologate the Convener’s Action at its next meeting on 28 March and the approved (“certified”) minute, once available, will be submitted to the MCO;
- the approved (“certified”) Court minute of 1 March, once available, will be submitted to the MCO.

15. In addition, the University will engage with representatives from the MCO at the earliest opportunity to advise of our intention to become a signatory to the Magna Charta Universitatum and to ensure agreement on the proposed approach.

Recommendations

16. Court is invited to:

- **endorse** the Executive Team’s recommendation that the University should become a signatory to the Magna Charta Universitatum;
- subject to this endorsement, **note** the proposed next steps.

SCHEDULE OF COURT DATES 2018/19

Paper G

COURT

Thursday 4 October 2018	0930-1200
Thursday 29 November & Friday 30 November 2018	Residential at Ross Priory
Thursday 7 March 2019*	0930 – 1200
Thursday 2 May 2019	0930 – 1600 – Extended meeting
Tuesday 18 June 2019	1430 – 1700

* the March meeting may be followed by an AGM-style “public meeting” to comply with the requirements of the revised Scottish Code of Good HE Governance.

COURT BUSINESS GROUP

Wednesday 12 September 2018	1400 – 1600
Monday 19 November 2018	1400 – 1600
Thursday 21 February 2019	1400 – 1600
Thursday 18 April 2019	1400 – 1600
June 2019 – to be confirmed	TBC

COURT MEMBERSHIP GROUP

Thursday 21 February 2019	1600 – 1700
Tuesday 18 April 2019	1600 – 1700

ANNUAL COURT DINNER

Tuesday 18 June 2019	1830 – 2200
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NOVEMBER 2018 GRADUATION CEREMONIES [DRAFT – to be confirmed]

Tuesday 6 November 2018	1100 and 1500
Wednesday 7 November 2018	1100 and 1500
Thursday 8 November 2018	1100 and 1500
Friday 9 November 2018	1100 and 1500

JUNE 2019 GRADUATION CEREMONIES [DRAFT – to be confirmed]

Thursday 20 June 2019	1100 and 1500
Friday 21 June 2019	1100 and 1500
Monday 24 June 2019	1100 and 1500
Tuesday 25 June 2019	1100 and 1500
Wednesday 26 June 2019	1100 and 1500
Thursday 27 June 2019	1100 and 1500
Friday 28 June 2019	1100 and 1500

Senate Report to Court

Senate met on 24 January 2018.

FOR APPROVAL

Senate invites Court to **approve** the following recommendations considered by Senate on 24 January 2018.

1. Proposed amendments to University Regulations: Higher Doctorates

Senate **approved** the Procedure and Guidelines on Higher Doctorates and **recommended** that the Higher Doctorate Committee be formally re-established in Regulations as a Committee of Senate as detailed in **Appendix A**.

FOR NOTING

Senate invites Court to **note** the following items considered by Senate on 4 January 2018.

2. Financial Update

The Chief Financial Officer presented a financial update outlining key variances from the Q1 Forecast offset against the budget for 2017/18. It was noted that the draft Scottish Government Budget for the Higher Education sector indicated a slight increase between 2017/18 and 2018/19.

3. Teaching and Learning Building Update

The Associate Principal (Learning & Teaching) updated Senate on the Learning and Teaching Building Project. The Stage 3 Design Consultation process was nearing finalisation and would inform the tender documentation for the main construction phase of the project. Senate was provided with a wide range of images which the design contractor had provided and USSA representatives were invited to comment on the plans for the incorporation of the Students' Union in the new building. 'Fly through' designs would be available for staff and students to view. The Principal expressed his thanks to the Associate Principal for leading on the project.

4. Update on NSS Planning

The Deputy Associate Principal (Learning & Teaching) updated Senate on the planning for NSS 2018 which would continue to focus on the thematic areas of: Teaching on My Course; Assessment and Feedback; Academic Support; and Organisation & Management. Governance and oversight of the process would continue to be managed through the education committees. The close collaboration with USSA was highlighted including: the development of the Student Partnership Agreement; establishment of the Student Experience Committee; enhanced representative training and induction; and the NSS MyPlace pages which covered activities, advice and updates. The Deputy Associate Principal reminded members of the various communication tools used to promote NSS activity.

5. Principal's Report and Update

The Principal updated Senate on several matters of interest including:

- **Industrial Action:** Senate was informed that industrial action might take place on 22nd and 23rd February following a UCU strike ballot. The University would aim to keep disruption to a minimum.
- **Staff Committee:** An opportunity for senior teaching-focused staff to be considered for the newly established role of Professor of Learning and Teaching was announced. The creation of this level of post was a new development to ensure that teaching-focused staff had the same career opportunities as other academic staff.

6. Policy on Late submission of Coursework

Senators noted that, as part of a wider review of Assessment and Feedback policy, the Assessment and Feedback Working Group would look at issues with late submission of coursework. Senate was **approved** the introduction of a consistent, institution-wide policy on the late submission of assessments and appropriate penalties, moving away from a 'zero marks' approach.

Strategic Update Session

*Following the business meeting Senate held a Strategic Update Session. Senate invites Court to **note** the following items considered at this session.*

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

The Associate Principal (Research & Innovation) presented Senate with an update on progress against the implementation plan for each of the three work streams.

- Leading International Technological Vision
- International Partnerships
- Benchmarking

8. Leadership Review and Development

The Associate Principal (Learning & Teaching) reminded Senate of the project rationale, and key objectives. A list of 18 indicators had been drawn up following extensive consultation within and outside the University. Key points from the project were noted.

9. Strathclyde Online Learning

The Deputy Associate Principal (Learning & Teaching) reminded Senate of the key objectives of the Strathclyde Online project, which contributed widely to the educational and financial objectives of the University, updating Senate on progress in several areas including:

- The development of a Strathclyde Online Committee which reported to Education Strategy Committee
- A number of additional online learning programmes due to be launched by the summer.
- The current and planned future offering of MOOCs
- Graduate Level Apprenticeships

10. Student Partnership Agreement:

The Associate Principal (Learning & Teaching) and the USSA Vice President Education outlined the key objectives of the Student Partnership Agreement including detailing student engagement in the University's quality enhancement processes and links to the broader quality framework and improving student engagement to increase the quality of teaching and learning.

A Working Group was overseeing the drafting of the Agreement and consultation plans. The final version, once endorsed by USSA and the University learning and teaching committees, would be presented to Senate in May 2018.

11. Student Experience Committee

The USSA President explained that the Student Experience Committee, chaired by the USSA President, would work collaboratively with the University. The Committee would report to Education Strategy Committee. Its key purpose was:

- To further develop collaborative working between USSA, the wider student community and student facing services;
- To create a forum for engagement and partnership as set out in the draft Student Partnership Agreement;
- To provide a forum for tracking progress on strategic and partnership projects.

12. Vision 2025

The Principal introduced Vision 2025. Executive Deans were asked to present their Faculty's vision which would be subject to structured consultation over the coming months.

Appendix A – Regulations of the University of Strathclyde

Court to **approve** the inclusion of the following Regulations, subject to scrutiny by the Academic Regulations Review Group and any non-material amendments required:

1.5 Committees of the Senate

Higher Doctorates Committee

Terms of Reference

- 1.5.8 To undertake an initial internal assessment of the application against the criteria for award, as outlined within s20.5 of the University's Course Regulations for Graduate and Postgraduate Awards and Degrees, following notification by the Associate Principal & Executive Dean of the relevant Faculty Office.
- 1.5.9 To nominate the Examiners for all candidates for Higher Doctorate degrees, if satisfied that the application should proceed to formal external examination.
- 1.5.10 To receive and consider the Examiners' Reports and to make recommendations on these to Senate.
- 1.5.11 If the application is not deemed to be of sufficient merit to proceed to formal examination, to notify the applicant.

Composition

- 1.5.12 Principal (ex officio)
 - Vice Principal (ex officio) (Convener)
 - The Associate Principal & Executive Dean of the appropriate Faculty
 - Two senior members of the academic staff selected by the Vice Principal after consultation with the Associate Principal & Executive Dean.

Where the Associate Principal & Executive Dean is a candidate for a higher doctorate the Vice Principal should select an officer of equivalent rank from the Faculty which is nearest to the field of study of the submission under examination.

Any member of academic staff recommending a candidate for a Higher Doctorate is precluded from membership.

- 1.5.13 The Higher Doctorate Committee reports through the Senate Business Committee to Senate.

Executive Team Report to Court

The Executive Team met on 21 November, 5 & 19 December, 9 & 25 January and 7 February. 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 and led by the University Secretary and Compliance Officer, the Team took the opportunity to discuss health and safety matters, including fire safety and an update on fire drills.

2. Annual Planning Round Guidance 2018-19

The Executive Team considered the context and parameters for the 2018-19 Planning Round and guidance for Faculties and Professional Services Directorates on how to structure annual plans. The Team noted that there were no significant changes proposed for 2018-19 and that the SUnBIRD KPIs datamart provided users with the ability to drill further into data for the 16 KPIs in the Strategic Plan.

The Team **approved** the Annual Planning Round Guidance for 2018-19.

3. Strathclyde 2025

Ahead of the November Court Residential, the Executive Deans, USCO and CFO outlined their Strathclyde 2025 Court presentations to the Team.

The Executive Team discussed the required next steps in operationalising the delivery of the University's vision for "Strathclyde 2025". It was proposed that delivery could be achieved through a portfolio management approach, with the objectives for each portfolio area or theme delivered via a series of underpinning projects. The Team agreed that this approach would provide an appropriate enabling framework for delivery. Executive Deans were encouraged to consider and take steps to address the immediate key priorities specific to their respective Faculties, in preparation for delivery of the vision's more cross-cutting priorities.

4. Annual Narrative Statement on Research Integrity

The Executive Team **endorsed** the Annual Narrative Statement on Research Integrity in advance of Court being invited to approve it at the November Court Residential.

5. Research Excellence Framework (REF) 2021 Update

The Executive Team received an update on the REF 2021. Members noted that on 21 November, the UK funding bodies had published their decisions on staff, outputs and impact for REF 2021 and that it had been confirmed that all staff with 'significant responsibility' for research should be included in the REF. The Team discussed the likely implications for the University as the REF 2021 submission is developed and the continuing importance, as a research-intensive university, of eligible staff focusing on high quality outputs of 3 and/or 4-star quality.

6. SIMS Project Update

The Executive Team received regular updates on the SIMS Project and the progress of Phase 2.

7. Corporate Risk Register

The Executive Team reviewed and **agreed** the top risks and mitigating actions in their quarterly review of the University's Corporate Risk Register.

8. PGR Analysis

The Executive Team noted a PGR population analysis update and the Executive Deans provided updates on activity within faculties to increase the number of PGR entrants. Members agreed that action was needed to increase the number of PGR entrants in the remainder of 2017/18 and also that, in the medium term, further action relating to PGR recruitment would be required to ensure that the University achieves its strategic ambitions in this area.

9. Strathclyde Chancellor's Fellowships and Global Talent Programme

The Executive Team considered candidates recommended for appointment through the Strathclyde Chancellor's Fellowship Scheme (SCFS). The Team welcomed the fact that the proportion of females amongst the final recommendations aligned closely with the proportion of female applicants, and highlighted the need in future campaigns to seek to achieve a further improved balance of applicants. Members expressed their gratitude to Human Resources colleagues for their significant efforts in ensuring the success of the Strathclyde Chancellor's Fellowship and Global Talent Programme recruitment campaigns.

10. Learning & Teaching building

The Executive Team received regular updates on the Learning & Teaching building.

11. 19 December and 9 January Strategy Sessions

The Executive Team held strategic sessions on 19 December and 9 January to discuss the University's Vision for "Strathclyde 2025".

12. Doctoral Academy Business Case

The Executive Team considered a proposed approach to the establishment of a Strathclyde Doctoral Academy noting that that the proposed model was based on a wide range of research and discussions, both internally and externally, and focused on the desire to deliver a more cohesive approach to PGR provision, the enhancement of the University's training and development capacity, and an improved experience for PGR students. The Team was universally supportive of the creation of a Strathclyde Doctoral Academy, recognising the potential reputational benefits and the opportunity to raise the University's profile in the area of PGR provision. It was agreed that following further discussions and refinement, a revised proposal would be presented to ET for endorsement, prior to project initiation.

13. Industrial Relations

The Executive Team received regular updates on industrial relations following on from the University and College Union's (UCU) industrial action ballot concerning the potential changes to the Universities Superannuation Scheme (USS) benefits. Members agreed that appropriate communications be issued to staff and students providing guidance and FAQs. The Team discussed mitigating actions, noted that the University's Industrial Action Planning Group continued to meet and had issued

guidance to Departments and Schools and that contingency plans had been prepared across all areas of the University.

14. ET Projects 2016/17 – implementation update

The Executive Team received an overview of progress in regard to the implementation of the Team's 2016/17 projects, namely: 1) Refreshing our LITU Vision; 2) Leadership Review and Development; 3) Supporting Growth and Sustainability; 4) What Works: Identifying and Implementing Best Practice; 5) Internal Communications; 6) Financial Planning and Budgetary Processes.

The Team agreed that key activities should now become part of "business as usual", particularly in regard to the outputs from the Leadership and Growth focused Projects.

15. General Data Protection Regulation (GDPR) update

The Executive Team received an update in relation to recent and on-going actions designed to support the University's preparations for compliance with a new piece of EU legislation, known as the GDPR. The Team noted that responsibility for Data Protection was devolved within the University and as such, it was critical that there was awareness within Faculties, Departments/Schools, and Directorates, of GDPR requirements and that appropriate actions were being taken to ensure compliance by the time the new legislation is enacted 25 May 2018.

16. Q2 Business Report 2017/18

The Team considered the Q2 Business Report for 2017/18. Members noted and reviewed the level of performance across the range of areas outlined in the Report.

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

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

18. Outcome Agreement 2017-2020: Final 2018/19 Annex

The Executive Team considered a near final draft of the University's Outcome Agreement Annex 2018/19 for review and comment. The Team noted developments since its discussion of a previous draft in November 2017, including recent correspondence from SFC which requested that the University set additional detailed and 'intensified' targets over a three-year period to 2020/21. The University had responded positively to this request, highlighting its continued engagement with the Outcome Agreement process and providing several examples of ways in which it had responded to the Minister's and SFC's call for 'intensification'.

The Team **approved** the late draft Outcome Agreement Annex 2018/19, including the proposed annexes, subject to minor revisions being made.

Court Business Group Report to Court

The following items were discussed by Court Business Group on 15 February 2018 and are provided here for Court to note.

1. Matters arising not otherwise on the agenda

CBG members noted that, following Court's approval on 28 September 2017 and the conclusion of subsequent negotiations with Scottish Enterprise, the University's purchase of the Inovo Building had now been completed.

2. Estates Development Update

The Director of Estates Services would provide an update to Court on the progress of a number of major estates developments. Court members would also be advised on emerging and future developments, including the National Manufacturing Institute for Scotland (NMIS) and the Glasgow City Innovation District (GCID). CBG members requested that the presentation slides from a recent Estates Update to Audit Committee be circulated, for information.

3. Q2 Business Report 2017/18

The Chief Financial Officer and the Director of Strategy & Policy introduced the Q2 Business Report 2017/18. Members noted the following key messages for Court:

- Annual income in 2017/18 was forecast to exceed £300M for the first time;
- The 2017/18 forecast outturn position had improved since Q1, with a better than budgeted overall surplus;
- Significant overall growth in tuition fee income, albeit this was still below the ambitious budgeted figure;
- Higher than budgeted capital grant income as a result of equipment assets being commissioned in AFRC and PNDC and accounted for in-year;
- Higher than budgeted research income, with significant annual increases since 2015/16;
- Higher than budgeted staff costs, with the increase largely relating to an in-year decision by the Executive Team to cover retrospective holiday pay costs;
- Higher than budgeted cash balances, largely due to the lower cumulative expenditure on intangible and tangible assets and a better than forecast 2016/17 outturn.

Whilst the majority of major Estates projects were proceeding as planned, CBG noted that the contractor on the Centre for Sports, Health & Wellbeing had signalled some delay to the delivery timeline. Discussions had been held at the highest level and the University, working closely with the Project Managers, had sought confirmation from the contractor that appropriate steps would be taken to ensure adherence to the original completion date in June. It was expected that the position would be confirmed in advance of the Court meeting.

CBG noted that, notwithstanding the revised and streamlined format of the Report, information on PGR intakes and population had been retained for Q2, reflecting the continuing challenges in meeting the University's stretch targets. Assurances would be provided to Court on the Executive Team's ongoing

focus in this area and the range of activity underway. CBG asked that the Court cover paper include a narrative summary of this activity.

4. Strategic Plan 2015-2020 – mid-year progress report 2017/18

The Director of Strategy & Policy introduced a progress report for Court on performance against the 16 KPIs within the University's Strategic Plan. The following key messages for Court were highlighted:

- The number of Scottish-domiciled UG entrants from SIMD0-40 areas in 2017-18 had exceeded the 2019-20 target figure;
- The rate of UG retention had improved, based on internal data, although there continued to be a slight gap in rates for SIMD0-40 students;
- The amount of competitively won research income was forecast to exceed the 2019-20 target;
- Income from licensing, spin-out/spin-offs, CPD and consultancy had improved and exceeded the year-4 milestone;
- the diversity of the University's non-EU student population had improved; and
- the University had submitted an institutional application for the Athena SWAN silver award, ahead of schedule.

In addition, the following would be highlighted to Court as areas for particular focus:

- PGR intakes and the level of ongoing activity to address performance in this area; and
- Relatively flat growth in research income from industry, recognising that income is only counted once expended and that further such expenditure was anticipated.

CBG members welcomed the information to be provided to Court. It was agreed that further information setting out the pipeline for future industry research income (expenditure) should be added to the paper for Court.

5. Outcome Agreement 2017-2020: Final 2018/19 Annex

The Director of Strategy & Policy introduced a near final draft of the University's Outcome Agreement Annex 2018/19, intended for submission to Court. CBG members noted a number of developments since Court's discussion and endorsement of a previous draft in November 2017. The revised draft to be presented to Court was intended to address the additional requirements set out in the 2018-19 SFC guidance as well as a more recent request for additional and "intensified" quantitative targets for each of the SFC's National Measures.

CBG discussed the SFC's request for additional quantitative commitments to supplement those within the University's already ambitious three-year Outcome Agreement and, in particular, the request to provide detailed projected data for each of the SFC's National Measures. Members unanimously agreed that providing specific data breakdowns for targets for some areas was challenging and, in many cases, of questionable benefit; in line with this, CBG supported the approach taken in the paper circulated, to set out commitments which could be readily monitored, with associated contextual commentary alongside.

6. Draft Court agenda, 1 March 2018

Members considered and **approved** the draft agenda for the Court meeting on 1 March 2018.

7. AOB

The Convener reported that the Committee of Scottish Chairs (CSC) had recently discussed a Draft Remuneration Code published for consultation by the Committee of University Chairs (CUC). The CSC had agreed to draft and submit a suitable response.

Court Membership Group Report to Court

1. The following items were discussed by Court Membership Group on 15 February and are recommended for **approval** by Court:
 - a) Amendments to Regulations to ensure that, from 1 August 2018, senior officers who currently attend CMG but are not also members of Court (currently the University Secretary and Chief Financial Officer) shall formally become “attendees” at CMG, rather than members. This is required to ensure a lay majority on CMG in compliance with the requirements of the revised Scottish Code of Good HE Governance; and
 - b) That, in filling the two Senate member vacancies arising on Court in 2018/19, one appointment should be for a three-year term and the other for a two-year term. This is required in order to support the transition to the revised future composition of Court approved in November 2017. CMG noted that the Senate Business Committee had been consulted on the proposed approach and had confirmed its endorsement. On this basis, the Principal, as Convener of Senate, had also indicated his approval and this would be confirmed at the next available meeting of Senate.
2. The following items were discussed by Court Membership Group on 15 February 2018 and are provided here for Court to **note**:

Overview of Court and Committee Membership 2018/19

3. Court Membership Group (CMG) considered an overview of projected Court and Committee membership for 2018/19 and beyond. It was noted that, following the Privy Council’s approval in July 2017 of the removal the Graduates’ Association *ex-officio* representation on Court, there existed one outstanding vacancy for a co-opted lay member of Court. Steps to fill this vacancy would be considered elsewhere on the agenda.
4. CMG also discussed the following:
 - a current vacancy for a co-opted member of the Audit & Risk Committee. It was **agreed** that suitable candidates would be considered following the completion of the anticipated recruitment exercise to identify and appoint a new co-opted lay member of Court;
 - four of the current co-opted lay members of Court would reach the end of their second term of office on 31 July 2018. Each was eligible for reappointment. It was **agreed** that the Convener would contact each of the members to discuss their experiences on Court and ascertain their willingness to continue to serve. Following this, CMG would be asked to consider appropriate recommendations at its next meeting.
 - one co-opted member of the Audit & Risk Committee and four co-opted members of the Enterprise & Investment Committee would reach the end of their current terms of office on 31 July 2018. Each was eligible for reappointment. It was **agreed** that the Convener would discuss the potential for reappointments with the relevant committee chairs. Appropriate recommendations would be considered by CMG at its next meeting; and
 - a current vacancy on CMG which was required to be filled by a lay member of Court. It was **agreed** that this would be considered further following the completion of the anticipated recruitment exercise to identify and appoint a new co-opted lay member of Court.

In addition, CMG considered and **recommended** to Court:

- That, from 1 August 2018, senior officers who currently attend CMG but are not also members of Court (currently the University Secretary and Chief Financial Officer) should formally become “attendees” at CMG, rather than members. This was required to ensure a lay majority on CMG and achieve compliance with the revised Scottish Code of Good HE Governance; and
- That, in filling the two Senate member vacancies arising on Court in 2018/19, one appointment should be for a three-year term and the other for a two-year term. This was required in order to support the transition to the revised future composition of Court approved in November 2017. It was noted that the Senate Business Committee had been consulted on the proposed approach and had confirmed its endorsement. On this basis, the Principal, as Convener of Senate, had also indicated his approval and this would be reported to Senate at the next available meeting.

Lay Member Recruitment 2018

5. CMG considered 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.
6. In addition to the proposed skills and experience desirable in a new lay member of Court, CMG agreed that experience in Health Policy and Marketing should also be considered. Members welcomed the recognition that the specific skills referenced were not exclusive and reserved the right to consider strong candidates with expertise in other areas. It was agreed that the advertisement should also make reference to future vacancies expected to arise on Court in 2019.
7. Subject to these revisions, CMG **approved** the proposed approach and noted that applications would be considered at the next meeting on 20 April 2017 and a shortlisting exercise undertaken. Shortlisted candidates would be invited to attend informal meetings, with final appointment recommendations coming forward for Court’s consideration in June.
8. Members considered the potential benefits of using external recruitment agencies and consultants. It was agreed that this would be explored further, without jeopardy to the timeline required to ensure the identification of a suitable candidate for recommendation to Court in June.
9. In considering the current level of diversity amongst the membership of Court, CMG members agreed that appropriate steps should be taken to encourage applications from under-represented groups.

Draft skills questionnaire for Court members

10. CMG considered proposals to enhance the current level of information held on the skills, experience and knowledge of Court members. It was noted that doing so would assist both CMG and Court by informing future recruitment and appointment decisions. It would also provide continued assurance to Court that it has an appropriate balance of skills and experience among its members to enable it to meet its primary responsibilities.
11. CMG **endorsed** the proposed range of skills and experience that should be included in a survey of current Court members and noted the intention to issue this survey in due course.

Gender Representation on Public Boards (Scotland) Bill

12. CMG noted the content and potential impacts of the Gender Representation on Public Boards (Scotland) Bill, passed by the Scottish Parliament in January 2018. The legislation was expected to come into force on the day after Royal Assent, which had not yet been granted.

Annex A – Proposed amendments to Regulation 1.2.18 to ensure that membership of the Court Membership Group is consistent with the requirements of the Scottish Code of Good HE Governance.

Court Membership Group

Terms of Reference

- 1.2.7 The Committee's purpose will be:
- (a) To consider nominations of named individuals to be considered as potential lay members of Court with the intention that said members, ideally, should represent a spread of expertise and skills;
 - (b) To consider the matter of succession planning in relation to membership of Court, the relevant committees of Court and to the University Committees which include representation from Court;
 - (c) To consider the nominations of the Deputy Conveners (by whatever title) and the length of term of such appointments;
 - (d) To make recommendations to Court on the above matters as and when appropriate;
 - (e) To consider succession planning for the office of the Chancellor, including considering named individuals as potential candidates for this office, and making recommendations to Court and Senate on this matter as and when appropriate.

Composition

- 1.2.8 The Committee will be composed of:
- (a) The Convener of Court *ex officio* (in the Chair)
 - (b) The Vice-Convener of Court *ex officio*
 - (c) The Treasurer *ex officio*
 - (d) The Deputy Convener of Court (Estates) *ex officio*
 - (e) The Deputy Convener of Court (Staff) *ex officio*
 - (f) The Principal *ex officio*
 - (g) The Vice-Principal *ex officio*
 - (h) The President of the Students' Association
 - (i) An appointed staff member of Court
 - (j) An appointed lay member of Court

In attendance: The University Secretary and other senior officers, as appropriate.

Report to Court from Audit & Risk Committee

The Audit & Risk Committee held its annual workshop on 8 February 2018.

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

1. SIMS Project

The Associate Principal and Director of Continuous Improvement reported that SIMS Phase 2 was progressing with the movement of the core Student Records to the Oracle system ongoing. A Technical Review of deliverables from SIMS Phase 1 was underway. The outcomes of this process would inform SIMS Phase 3. Members noted that the project remained a high level risk on the Corporate Risk register and this was being closely monitored by Executive Team. The Audit & Risk Committee was content that revised governance arrangements had been implemented and had scheduled a further update on SIMS at the May Audit Committee meeting.

2. Institutional Research Audit 2017 (REF Preparation)

The Deputy Associate Principal reminded Members of the importance of the Research Excellence Framework (REF) which influenced both allocation of funding for research and research reputation. The next assessment would take place in 2021. Key changes which were anticipated included; a single Unit of Assessment (UoA) for Engineering, all 'research active staff' requiring to be submitted (previously institutions had chosen which staff to submit) and an increased weighting given to Impact. The concentration of Engineering in one UoA would present a number of challenges but the increase in weighting given to impact was welcomed.

The University conducted an Annual Research Audit which provided an annual census of progress and was also the preparation mechanism for REF. The results of the 2018 Audit were due to be reported to Executive Team in May and would include UoA scenario modelling. Full REF 2021 Guidance was expected in summer 2018 and would inform the 2019 audit structure.

Audit & Risk Committee was pleased to note the University's approach of not allowing REF to drive its research strategy. In addition, it was noted that political and environmental factors, which may have an impact were not factored into the REF assessment exercise. The Audit and Risk Committee considered that the report provided a very helpful briefing on how the University was managing this risk.

3. Internal Audit Service Provision Options

Members noted that, following the retirement of the Head of Internal Audit in December 2016, a review of the options for the future delivery of the Internal Audit Service was commissioned. The review report had been circulated to Members and discussed informally. Its conclusion was a recommendation to continue with in-house provision of the Internal Audit Service and this proposal was supported by the University's Executive. Audit & Risk Committee formally **endorsed** the proposal.

The next stage would be to begin an open, public recruitment exercise for the Head of Internal Audit and the Committee, noting regulation 1.2.10 (e) in its Terms of Reference, requested sight of the Job Description prior to the commencement of recruitment.

4. International fee income

The Executive Dean of Engineering introduced this item by showing the increase in international student fee income in Engineering over the past 5 years and the year to date, noting that recruitment of research students was ongoing. The Faculty was working to ensure continued success and mitigate risks in

various ways including Faculty coordinated admissions, conversion and recruitment visits, close liaison with RIO, appointment of in-country staff and the creation of a new post to lead the development and implementation of the Faculty's internationalisation strategy. It was also noted that there was a risk of reliance on key staff to generate a significant level of international student income but the Faculty was taking steps to address the risk this posed.

The Executive Dean of Strathclyde Business School reported that the Business School had changed approach three years earlier by centralising recruitment activity within the School. To date the majority of international students were studying on postgraduate taught programmes and the School wished to diversify. A business model had been developed and targeted an annual 3% increase in each of 3 components yielding a 10% improvement overall. Other strategies of mitigating risk in this area included the implementation of Standard Operating Procedures in the MBA programmes, restructuring the undergraduate offer to facilitate direct entry and encouraging graduates to stay for Masters and PhD level study.

The Head of Student Recruitment gave Members an overview of the data driven approach being used to target specific markets. RIO was working on identifying where students were coming from and to which courses across the sector, what motivated them and how best to prioritise markets. The aim was to ensure that faculties could target the right markets for their offer, focus on the details that would attract certain students and target students at the time of year when they were most likely to be considering their options. Targeting of international students already in the UK to offer further study was also part of this. It was hoped to avoid over investment in single markets.

Members noted the challenges of working in potential emerging markets in Africa which were affected by instability in the region and the reduction in the price of oil. The Committee considered that the reports provided a very useful insight into how the two faculties and student recruitment were managing this risk.

5. Update on the Estates Strategy

The Director of Estates Services updated the Committee on the ongoing development of the University Estate the backbone of which was the Estates Development Framework with over £400M invested since 2010. This investment covered ongoing maintenance and development along with several capital projects. Over the next three years several significant projects were planned. Ongoing building masterplans and option appraisals along with recent and planned disposals and acquisitions were also covered.

The Estates Strategy was influenced by a range of factors from the University's Strategic Plan and Outcome Agreement through anticipated demographics and student/staff numbers to external factors such as the SFC Carbon Reduction targets. The focus was on the Student experience and operational excellence. Risks included the challenging economic and political climate, with the collapse of Carillion having affected some contractors, changes in the sector, the age and condition of the campus, site logistics and resources. The University was taking steps to mitigate risks as far as possible including ensuring good governance, robust Project Management, design freeze and protocols for handling required changes and good financial planning and management.

Members were updated on the vision to establish the Glasgow City Innovation District which would be a vibrant and innovative, cross-sectoral, cluster of applied translational research and innovation activities, drawing on a 'triple helix' partnership of academia, public and private sectors. Strathclyde was also taking the lead on the National Manufacturing Institute for Scotland (NMIS). Audit & Risk Committee noted the risks associated with partners leasing space in the Innovation District and NMIS type projects and was content that the University was minimising and managing the risks appropriately.

The Committee considered that the report provided a very useful insight into how this risk was managed across the University.

6. Information Security Annual Report 2016/17

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 showing Members a real time cyber security threat map and reminding them of the significant percentage of emails worldwide which were spam. The University discarded 80% of emails it received and scored the remainder for spam. Phishing emails were the most popular attack vehicle usually linked to ransomware. Cyber related crime was now believed to account for 50% of all crime within the UK.

Members were pleased to note that Strathclyde had acted quickly when the Wannacry attack surfaced and had not been affected. A comprehensive cyber security plan was now in place which had 3 phases:

1. Awareness raising and training
2. Accreditation – “Cyber Essentials +”
3. Embedding cyber security as business as usual

The approach was mirroring that being taken for risk and Business Continuity Management where responsibility was both individual and collective. Thirty-five other technical projects were ongoing to secure the network including rolling out virus checking and malware software and monthly, in house penetration testing. It was noted that the centralisation of data storage had brought a significant improvement in security.

Members welcomed the improving picture but questioned whether the 3-year plan was unduly extended and whether improvements could be achieved more quickly. It was acknowledged that the situation was fast moving but that the cultural change required took time and that a thorough job was necessary at this stage. The first phase of the project, awareness raising, was possibly the most significant in improving security. The Committee considered that the report provided a very useful insight into how this risk was managed across the University.

7. External Auditor

The External Auditor provided a summary overview of the current external environment and some of the key risks facing universities such as Brexit, infrastructure investment across the sector, immigration, competition and new entrants to the market, financial reporting and regulatory changes, online courses and cybersecurity. He noted the Committee of University Chairs’ consultation on a Higher Education Remuneration Code. The USCO confirmed that the Court Membership Group would be considering the possible implications of this.

The General Data Protection Regulations, which would come into effect in May, were also highlighted. The UK regulator recognised that not everyone would be fully compliant on day 1 but wished organisations to take appropriate action to prepare themselves. The USCO confirmed that the University had been preparing for 2 years, had appointed a Data Protection Officer and had issued a checklist to all Departments. IAS would conduct GDPR testing, beginning with the checklist returns.

8. Review of Committee Effectiveness

This item was deferred until the March 2018 meeting of the Audit & Risk Committee.

Report to Court from Estates Committee

The Estates Committee met on 16 January 2018 and the following items were among those discussed:

For Noting by Court:

1. National Manufacturing Institute Scotland (NMIS)

A presentation was made to the Committee, the purpose of which was to provide information regarding the plans to establish a National Manufacturing Institute for Scotland. This project, which would create a world leading manufacturing research and development facility to support the Scottish advanced engineering and materials sector, would act as a catalyst for a Manufacturing Innovation District in Inchinnan, Renfrewshire, and would be aimed at shaping the future of manufacturing and innovation in Scotland. The presentation detailed the aims of this ambitious proposal which had been developed in conjunction with the Scottish Government, the Scottish Funding Council, and Scottish Enterprise, in association with the Scottish Research Partnership in Engineering. The project would create an advanced manufacturing campus in an environment linked to academic activity. Comparisons were made with a similar facility in Sheffield, the Advanced Manufacturing Research Institute but it was noted that this project would provide the first interconnected innovation district.

The facility would comprise three closely related and complementary initiatives:

1. the Digital Factory 2050
2. the Innovation Collaboratory
3. the Manufacturing Skills Centre.

Outline details of each of these were presented to the Committee and it was noted that each would be supported by its own business case. The NMIS team had been in discussion with a number of companies, both traditional manufacturers and companies from within the photonics sector, and was about to start a series of workshops with the aim of bringing out research themes which the companies wished to engage in, and which could ultimately result in research programmes.

Capital funding for the development would come from Government schemes, while the revenue would come from a number of diverse sources. The University would be required to make relatively limited financial investment and it was presumed that a similar ownership model to that of AFRC would apply.

The Committee welcomed the news of such an exciting and innovative development and appreciated the opportunity to hear about this at an early stage in its evolution. It looked forward to hearing further updates as the development of the Business Cases progressed.

2. Glasgow City Innovation District

The Committee received a presentation detailing a draft outline business case for an expansion to the current TIC zone by means of a second phase of development. Phase 1 of the TIC zone development had entailed the development of the Technology and Innovation Centre and the adjoining Inovo Building. However, the recent purchase of the latter by the University had created new opportunities to help accelerate the creation of an innovation district. This innovation district, to be titled the Glasgow City Innovation Zone, would comprise a delineated area of the city including and immediately adjacent to these buildings. It would entail an expansion of the footprint for technological innovation and entrepreneurship and would expand on the TIC model. The Committee was advised that the vision for this development was the establishment of a vibrant, innovative and cross sectoral cluster of applied translational and innovation activities, drawing on a partnership of

academia and the public and private sectors. It was noted that the focus would be to coalesce/create four technology clusters:

1. Industrial Informatics,
2. FinTech,
3. Healthtech and
4. Quantum Technology.

[Reserved]

A number of benefits deriving from this proposal were highlighted to the Committee, namely the intensification of research and innovation at the University, the opportunity to build on the success of TIC and Inovo, the expansion of the University's success in development of innovation propositions, and the ability to attract site innovation in the four key clusters. The development would also act as an anchor for inward investment to Glasgow and Scotland.

It was acknowledged that this development was at a very early stage and that the development plans would be worked on over the coming months. The Committee emphasised however that adequate steps would need to be taken to ensure that sufficient demand existed for space of this nature. The Committee also cautioned about the resource implications for Estates Services in delivering this and the NMIS project, neither of which had formed part of the Estates Development Framework, particularly in the context of the four major projects which were already underway on campus. The Committee also noted that these proposals would be likely to result in significant parts of the campus being impacted by building works simultaneously and the associated risks to the student experience. It was agreed that these two developments will be referred to the Executive Team for consideration, so that the level of risk to the University could be adequately appraised.

The Committee welcomed the opportunity to be apprised of these initial plans and looked forward to future updates.

AL, Jan 2018

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 13 DECEMBER 2017

The following items are provided for Court's information:

- **STRATEGIC RECRUITMENT**

The Director of Human Resources reported that the majority of interviews for Reader/Professor posts as part of the Strathclyde Global Talent Attraction Programme had now taken place and contractual offers were being made. In addition, a number of interviews for Strathclyde Chancellor's Fellow posts were ongoing throughout December.

- **EMPLOYEE RELATIONS**

The Director of Human Resources advised that UCU had triggered a dispute with the University and was currently balloting its members, seeking support for industrial action in relation to changes to the Universities Superannuation Scheme proposed by Universities UK. This was a national issue and industrial action at a number of other UK universities was also anticipated.

Secretaries note: the ballot resulted in a yes vote for both strike action and action short of a strike and 14 days of strike action, commencing from 22nd February, are anticipated.

- **STRATHCLYDE AS A SOCIALLY PROGRESSIVE EMPLOYER**

The Director of Human Resources was pleased to report that the University's Carer Positive 'Engaged' status had been increased to the level of 'Established'. This was in recognition of the support which the University had put in place for its staff who were carers, often for elderly relatives. The Director was also pleased to note that the increase to the Voluntary Living Wage announced in November had been applied at Strathclyde from 1 December 2017.

- **EQUALITY AND DIVERSITY**

The Director of Human Resources was delighted to report that the University's Athena SWAN Silver Award application had been submitted to the Equality Challenge Unit, the outcome of which would be known during April 2018.

SH/GS/CS, 21.02.2018

**Enterprise & Investment Committee
[RESERVED ITEM]**