

UNIVERSITY COURT – AGENDA

Tuesday 3 March 2020, 10.00-13.00, coffee from 09.45
Boardroom, AFRC
85 Inchinnan Drive, Inchinnan, Renfrewshire, PA4 9LJ

Apologies: Kayla-Megan Burns, Matt Crilly, Dr Katharine Mitchell, Gillian Pallis, Heather Stenhouse

Declarations of interest: None

Introduction		
1.	Minutes of the meeting held on 28 November 2019 <i>All</i>	Paper A <i>5 mins</i>
2.	Matters arising <i>All</i>	Oral
3.	Principal's Report <i>Principal</i>	Oral <i>30 mins</i>
Substantive items		
4.	Research and innovation presentation: 5G <i>Professor Robert Stewart, MathWorks Professor of Signal Processing</i>	Oral <i>20 mins</i>
5.	Preparations for COP26 <i>Associate Principal, Research & Innovation</i>	Oral <i>15 mins</i>
6.	Performance reporting: Q2 Business Report 2019/20, Strategic Plan mid-year progress report and Outcome Agreement <i>Chief Financial Officer, Director of Strategy & Policy</i>	Paper B <i>25 mins</i>
7.	TIC Zone Development within the Glasgow City Innovation District <i>Chief Commercial Officer, Chief Financial Officer</i>	Paper C <i>30 mins</i>
8.	REF 2021: Submission Development Report <i>Deputy Associate Principal for Research, Knowledge Exchange & Innovation; Research Policy Manager</i>	Paper D <i>15 mins</i>

Items for formal approval		
9.	Digital Transformation at Strathclyde: HR Payroll System Replacement to underpin Vision 2025 <i>Chief People Officer, Acting Director of HR</i>	Paper E <i>15 mins</i>
10.	Convener's Action: Appointment of Associate Principals and temporary re-appointment for Associate Principal & Executive Dean <i>University Secretary & Compliance Officer</i>	Paper F <i>5 mins</i>
Committee reports <i>(for noting, unless otherwise stated)</i>		<i>5 mins</i>
11.	Executive Team	Paper G
12.	Senate	Paper H
13.	Court Business Group	Paper I
14.	Court Membership Group	Paper J
15.	Audit & Risk Committee For Approval: Re-appointment of Ernst & Young LLP as External Auditors to the University	Paper K
16.	Estates Committee	Paper L
17.	Enterprise & Investment Committee	Paper M
18.	Staff Committee	Paper N
19.	Remuneration Committee	Paper O
Closing remarks		<i>5 mins</i>
20.	Any other business <i>Convener</i> Date of next meeting <i>Tuesday 5 May 2020</i> <i>Extended meeting with strategic session and stakeholder meeting</i>	

MINUTES OF UNIVERSITY COURT
28 November 2019

Present: Dame Sue Bruce (Convener), Paula Galloway (Vice-Convener), Professor Sir Jim McDonald (Principal), Dr Jeremy Beeton, Dr Archie Bethel, Ronnie Cleland, Amanda Corrigan, Alison Culpan, Gillian Hastings, Stephen Ingledew, Susan Kelly, Professor Scott MacGregor, Dr Katharine Mitchell, Brenda Wyllie, Councillor Ruairi Kelly, Peter Young

Attending: Professor Tim Bedford, Professor Douglas Brodie, Adrian Gillespie, Steven Wallace, Dr Veena O'Halloran, Sandra Heidinger, Professor Atilla Incecik, Professor Stephen McArthur (for item 6), Kirsty MacLeod (for item 4), Rona Smith, Professor Iain Stewart, Dr Daniel Wedgwood

Apologies: Kayla-Megan Burns, Matt Crilly, Dr Kathy Hamilton, Neil McGarvey, Gillian Pallis, Heather Stenhouse, Malcolm Roughead, Marion Venman

Welcome and apologies

The Vice-Convener, in the Chair for this meeting, welcomed Court members and attendees to the meeting and noted the apologies received.

No interests were declared.

1. Minutes

Court **approved** the minutes of the meeting held on 1 October 2019.

2. Matters arising

There were no matters arising.

3. Principal's Report

Industrial Action

Eight days of strike action by the UCU union were underway. The University was working to minimise disruption. The strike had been called over pay and changes to the USS pension scheme, both of which were subject to national processes. The Principal reiterated the University's consistent position in favour of some increase in employer contributions to the USS pension and the retention of some elements of a defined benefits scheme. It was noted that the USS Joint Expert Panel continued to work to find appropriate outcomes and was due to report early in 2020.

Independent inquiry

The independent inquiry surrounding the behaviour of former staff member Kevin O'Gorman was underway, led by Craig Sandison QC. The USCO remained the single point of contact between the inquiry and the University. The University had pro-actively contacted all staff and students from the relevant period in order to enable anyone affected to come forward and provide evidence to the inquiry. A number of people had come forward. Court's leadership had been kept informed of the progress of the inquiry.

Awards

Strathclyde had recently been awarded the Queen's Anniversary Prize for Higher and Further Education, a prestigious award presented to a small selection of UK institutions every two years. Strathclyde had been

selected as a winner for its excellence in energy innovation. In recognition of the contributions of all staff to the University's success, two additional days' leave had been announced, extending the Christmas break. This had been very well received by staff. The prize would be awarded at a ceremony at Buckingham Palace on 20 February.

Other recent awards included:

- a Green Gown Award, in the Student Engagement category, for the Global Student initiative;
- the Partnership award at the Herald Society Awards, won by the Strathclyde-led project Stand Up For Siblings;
- best conference venue for over 250 delegates at the CN Academic Conference and Awards, awarded to the Technology & Innovation Centre;
- Scotland's Apprentice of the Year and the Graduate Apprentice Rising Star at the Scottish Apprenticeship Awards, both won by Strathclyde students;
- for the third consecutive year, the Diversity through Education Award at the Herald & GenAnalytics Diversity Awards (joint winners with MCR Pathways), this year for work to support asylum seekers and refugees.

The University had also been shortlisted for four THE Awards: Outstanding Contribution to Leadership Development, Widening Participation or Outreach Initiative, Outstanding Library Team, and University of the Year.

Winter graduations

Approximately 2,500 students had graduated between 1 and 8 November. The Principal thanked Court members who had taken part in graduation ceremonies. Leading figures in public health, physics, engineering and computer science received honorary degrees at the ceremonies.

UK withdrawal from the EU

Amid continuing political uncertainty, the University was continuing to work to ensure its own readiness for all scenarios. The Business Continuity Group had widened its remit to consider scenarios other than No Deal and had met a number of times since the previous Court meeting.

CESAER activity

The Principal had chaired his final Presidency and Board meetings of CESAER, as part of the annual General Assembly meeting. Professor Tim Bedford had been elected to the CESAER Board for a 3-year term.

Health, Safety & Wellbeing

The University Secretary & Compliance Officer (USCO) gave an update, noting the following points:

- The Principal had sent letters to the three major construction companies operating on or near the University estate, emphasising the importance of health and safety issues on campus. Replies had been received from two of them to date (Keir Group and Balfour Beatty), with re-affirmations of those companies' commitments to good practice.
- Recognising the risks introduced by construction works, Glasgow City Council had agreed to temporary pedestrianisation of a section of North Portland Street, commencing on Monday 2 December.
- In the wake of a recent fire at privately provided student accommodation in Bolton, the Scottish Funding Council had asked all higher education institutions to confirm that any cladding on their own buildings had been tested for appropriate fire resistance. The University was already in a position to provide this confirmation and would be seeking similar reassurances also from local private providers of student accommodation.

4. Financial Statements 2018/19

The Chief Financial Officer (CFO) presented an overview of the Financial Statements 2018/19, which had been considered by Audit & Risk Committee (ARC) at its meeting on 1 November 2019.

The accounts showed the University to have the financial strength to resource major investments and take advantage of new opportunities. There had been good year-on-year growth in non-SFC income, including notable growth in tuition fee income. The University's cash position was good, with significant headroom on

debt covenants at year-end. Good financial governance would be critical going forward, to maintain the headroom set out in the financial forecast approved in June 2019.

Increased underlying expenditure reflected strategic investment in support of the University's growth and development. It was noted that the overall expenditure figure included the £74.8M deficit recovery provision for the USS pension scheme, which the University was required to report at year-end by the FRS102 accounting standards and agreed sector-wide accounting methodology in relation to USS. This constituted a significant year-on-year increase, but would be reversed by approximately £46M (c.40% of the current year charge) with the introduction of the 2018 USS valuation in the new financial year. Both the increase and the reversal were in line with sector norms. The underlying balance sheet position was stable overall.

In the course of discussion, the national structures around the USS scheme were outlined, including the ongoing work of the Joint Expert Panel, the outcomes of which could change the level of debt recovery provision required of the University. Members also discussed the types of financing used by or available to the University.

The Treasurer and the Vice-Convener (as Convener of the Audit & Risk Committee) noted that there had been good engagement with the External Auditor, who had delivered a clean audit report with no adjusting items. Members commended the finance team for achieving this outcome. Other matters discussed during the audit process had included the USS pension scheme, revenue recognition, going concern, and the disclosure of the Principals remuneration, elements of which had changed this year.

Court **approved** the Financial Statements and authorised the relevant officers to sign the printed statements.

5. Q1 Business Report

The Chief Financial Officer summarised key financial elements of the Q1 Business Report 2019/20. There had been strong year-on-year growth, including a 16% increase in tuition fee income, which would enable the University to absorb increased costs. This was forecast to result in a surplus before other gains & losses of £3.5M, which was £1.5M higher than budget. The underlying surplus was effectively unchanged from the Budget, excluding non-cash upside from depreciation. The University's cash position was forecast to be slightly higher than budget and the headroom on debt covenants was being maintained according to the budget.

The Director of Strategy & Policy noted minor changes that had been made to the form of the report as a result of an annual review process and gave an overview of the non-financial elements of the report. In particular, it was noted that

- marginally increased academic staff turnover was consistent with the current stage of the REF cycle;
- indicators relating to undergraduate and taught postgraduate populations all exceeded targeted levels at Q1;
- while measures relating to research postgraduate numbers retained red or amber flags, indicating a forecast shortfall relative to stretching targets, Q1 levels of recruitment had increased on a year-on-year basis; and
- Widening Access indicators relating to the population from SIMD 0-20 areas were extremely positive, showing progress well ahead of the targets set by the Commission on Widening Access (notwithstanding small variations in definitions used).

Members noted the significant increase in tuition fee income and achievement of the target in this area and also commented positively on the increase in research postgraduate numbers. Members noted that debt covenants were receiving proportionate attention.

Court **noted** the Q1 Business Report.

6. Preparations for REF 2021

Professor Stephen McArthur, Deputy Associate Principal, gave an overview of preparations for the Research Excellence Framework exercise (REF) 2021, the results of which would influence the levels of SFC Research Excellence Grant funding for subsequent years and have significant reputational impact. Members were given

a summary of changes to the REF since the last REF exercise, the timetable for REF preparation and submission and an overview of the University's approach to forecasting and optimising REF performance.

Robust processes were in place to identify strengths and areas for improvement. Members were shown examples of the snapshot reporting used to monitor performance in each Unit of Assessment (UoA) and a summary of the current performance forecast.

Subsequent discussion focused on the following points:

- The Principal and other Senior Officers were receiving regular detailed updates from the REF team.
- The REF team was appropriately resourced. The importance of this was recognised and it was kept under review at the highest levels.
- Completion by research postgraduate students was an important factor in the scoring of Environment statements. The University was monitoring this and promoting timely completion. Strathclyde was believed to be in line with leading research-intensive universities on this measure.
- The University had a network of experienced staff and advisors bringing insight into the priorities of REF panels in different UoAs.
- While inevitably a high priority, the REF did not define the extent of the University's performance management. In addition to individual performance management through Accountability and Development Reviews, contribution maps had been created, facilitating detailed analysis of performance across the institution and driving continuous improvement.

CBG **noted** the University's preparations for the REF exercise.

7. Strategic Plans and Outcome Agreement

The Director of Strategy & Policy introduced this three-part update comprising: a Year 5 progress report on the University's 2020 KPI targets; a near-final 2025 Strategy document; and an outline draft of the University's new Outcome Agreement for 2020-21.

The Year 5 2020 KPI progress report highlighted the University's strong performance against demanding targets, with a number of KPIs now marked as 'target achieved', a year ahead of completion of the strategy period. A final 'wrap up' report against these 2020 targets would be brought back to Court in a year, to close off the 2015-2020 Strategy.

In introducing the draft 2025 Strategic Plan, the Director of Strategy & Policy emphasised the significant further development work undertaken since Court saw an initial draft in October: KPIs and targets had been developed and feature boxes populated, with wide input from Executive Team, faculties, committees and the Student Executive. The main strategy document would be complemented by dedicated strategies in a number of key areas.

While there was much continuity from the successful current strategy, the KPIs reflected new levels of ambition. There were new KPIs in areas such as the gender pay gap and action on climate change. It was also noted that a new measure would be employed for research citations, to better capture individual contributions and account for the influence of large research consortia. Members were invited to provide feedback on the current draft and informed that a further, near-final draft would be circulated to Court before the end of the calendar year, with the aim of finalising and launching the new strategy early in 2020.

Members commended the strategy document, welcoming in particular the prominence of certain themes, including public engagement and strategic partnerships with industry. It was noted that the strategy aligned well with Scottish Government priorities as well as the needs of other stakeholders. Members suggested that certain matters might be given more prominence, including international business engagement and the University's investment in staff.

The Director of Strategy & Policy also directed members' attention to the draft Outcome Agreement for 2020-21, noting that a 'well developed draft' had to be submitted to the SFC by 13 December 2019 and highlighting that a revised draft would be brought back to Court for consideration prior to the final deadline in April 2020.

Court **approved** the draft 2025 Strategic Plan in principle and **noted** the 2018-19 KPIs Progress Report and the draft Outcome Agreement.

Items for formal approval

8. Revised Charter and Statutes

The USCO outlined key changes to the Charter and Statutes, which were required in order to ensure compliance with the Higher Education Governance (Scotland) Act 2016, and the process for amending the Charter and Statutes, involving a formal resolution of Court ahead of approval by the Privy Council.

Court **approved** the formal resolutions to amend the Charter and Statutes and **delegated authority** to Court Business Group to consider any proposed amendments to the wording of the Charter or Statutes that the Privy Council might seek.

9. Schedule of Delegated Authority

The USCO presented the proposed revision of the Schedule of Delegated Authority (SoDA) and plans for related work.

Court **approved** the text of the revised SoDA and the proposed new approach to recording authorised signatories and sub-delegations and **noted** the intention to carry out a more fundamental review and revision of the SoDA. In addition, Court **agreed** that the SoDA should be included in the annual review of key Court documents.

10. Appointment to Remuneration Committee

Court **approved** the recommendation of Court Membership Group that Marion Venman be appointed to the Remuneration Committee.

11. Annual Statement of Research Integrity

The Associate Principal (Research & Innovation) outlined the purpose and value of the Annual Statement of Research Integrity, noting that Court approval of this document was a requirement of the UUK Concordat on Research Integrity.

Court **approved** the Annual Statement of Research Integrity.

12. Change of local infrastructure partner in UAE

Court **approved** the application for a branch campus licence for Strathclyde Business School operations in Dubai, partnering with Tecom, which had been previously approved by Senate, and **approved** the signing of the formal resolution to effect this.

Items for information

13. Counter Terrorism and Security Act (2015): Annual Update

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

14. Court meeting dates 2020/21

Court **noted** the Court meeting dates for the academic year 2020/21.

Committee Reports

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

15. Executive Team

16. Court Business Group

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

The Vice-Convener, in her capacity as Convener of the Audit & Risk Committee, briefly summarised key points from the report, noting in particular that the contract for the University's external auditor was shortly to be put to tender. Court would receive a recommendation for the appointment of an external auditor at its March 2020 meeting.

18. Staff Committee

19. Estates Committee

20. AOB

Members enquired whether recent civil unrest in Hong Kong had had an impact on the University. Court was informed that the University had monitored the situation closely and had recalled seven Strathclyde students who had been taking part in exchange programmes in Hong Kong. The Principal had been in contact with the Vice-Chancellors of partner institutions in Hong Kong and had offered appropriate support.

Date of next meeting

- Tuesday, 3 March 2020

UNIVERSITY COURT – NOTE OF STRATEGY SESSION 28 - 29 November 2019

Thursday 28 November

1. Opening Remarks

The Convener briefly introduced the Strategy Session, welcoming members and attendees.

2. Reflections on performance in 2018/19 and building our strategic plan for Vision 2025

The Principal delivered a presentation on the University's journey to 2025, tracking progress through the history of the University, through the different strategic horizons of recent years and towards the targeted achievements of the new strategic plan.

3. Guest speakers

Chancellor's Fellows from the four Faculties:

Dr Matthew Hannon, Hunter Centre for Entrepreneurship, Strathclyde Business School

Dr Charles Macleod, Electronic & Electrical Engineering, Faculty of Engineering

Dr Zahra Rattray, Strathclyde Institute of Pharmacy & Biomedical Sciences, Faculty of Science

Dr Stefanie Reher, Government & Public Policy, Faculty of Humanities & Social Science

The four speakers outlined their research and the ways in which their Chancellor's Fellowships were facilitating significant achievements. Common themes included the contribution of the fellowship to capturing new research funding and building new collaborations, both within and beyond the University, which in turn led to significant external impact.

4. After-dinner speaker

Following dinner, Professor Sir John Curtice delivered a talk on recent research on the potential of organised deliberation to adjust and align social and political attitudes.

Friday 29 November

5. Introduction and welcome

The Convener welcomed Court members and attendees to the second day of the Strategy Session and offered congratulations to all on the University's winning two THE Awards the previous evening: Widening Participation or Outreach Initiative of the Year (for the Breaking Barriers programme) and University of the Year. Members heard that the judging panel for University of the Year had cited "a scale of ambition that has multiplied rapidly over the past decade" and the University's "expansive, inclusive and collaborative approach" and "unconventional institutional mindset".

'People and programmes'

6. People Strategy

The Chief People Officer gave an overview of relevant developments, including the following:

- The Values Survey had shown an increase in the percentage of staff who agreed that each of the Values accurately reflected the University, with a notable increase with regard to 'People Orientated' in particular.
- The new People Strategy would be built on (1) the Values; (2) five strategic themes; and (3) the Strathclyde Staff Pledge, incorporating commitments on fair work, equality, safety and the staff voice.
- The 'Thrive @ Strathclyde' initiative would bring a number of co-ordinated actions on staff wellbeing.
- Further plans included a new succession planning model, progressive innovations in recruitment and a new 'shared success' staff reward scheme.

Subsequent discussion focused on the following points:

- The University had a number of internal mentoring schemes, including 'family-friendly mentoring' for those returning from maternity leave.
- Peer support arrangements existed, but could be expanded in some areas.
- Some potential measures to enhance recruitment could be difficult to implement in academic settings but this should not discourage innovation.
- The University would continue to work on ways to engage with existing staff, for example through improved internal communications and review and reform of development reviews.

7. Workforce planning

The Acting Director of HR outlined the University's approach to workforce planning, in the context of its ambitious strategic targets, noting that this must take account of:

- affordability and sustainability;
- skills gaps;
- impact on estates;
- future ways of working; and
- opportunities and challenges from automation and innovation.

8. Policy@Strathclyde

The Executive Dean of Humanities & Social Sciences gave an overview of the Policy @ Strathclyde initiative, noting that:

- through its 'spoke and hub' model, Policy@Strathclyde supported twelve policy centres within the University;
- a launch event in September 2019 had been well attended;
- a new Executive Director was in place; and
- all the programmes run under Policy@Strathclyde had been mapped to the UN Sustainable Development Goals (SDGs).

The Executive Dean of Strathclyde Business School was thanked for his significant contribution to the development of Policy@Strathclyde.

Discussion centred on the importance of publicising Strathclyde's strengths in this area. It was noted that the Policy@Strathclyde model should help to achieve this, by creating critical mass in Strathclyde's engagement with policy makers.

9. Health & Care Futures

Professor Roma Maguire (Professor of Digital Health and Care) presented an overview of the Health & Care Futures initiative, which was due to be launched in early 2020. Similarly to Policy@Strathclyde, this would link together existing work in many parts of the University, making the University's offer and contribution more visible, stimulating more engagement with external stakeholders and encouraging collaboration.

In discussion, members noted the significant opportunities and demand for innovation in health care training, processes and digital tools. Relationships with stakeholders would be crucial; Strathclyde had already developed highly constructive partnerships from which further opportunities were likely to grow.

10. Centre for Sustainable Development

Professor Anja Lowit (Deputy Associate Principal) delivered a presentation on the creation of the Centre for Sustainable Development. Like Policy@Strathclyde and Health & Care Futures, this would co-ordinate and market existing work in different parts of the University. In so doing, it was expected to bring about new collaborative opportunities in both research and learning and teaching and to generate new funding applications, in a context of significant wider investment in this area.

'Sustainable' was to be widely interpreted in this context, encompassing economic, social and environmental sustainability. The UN SDGs provided a framework for capturing and stimulating relevant work.

In discussion, it was noted that universities were widely seen to have a key role to play in promoting sustainability, not only in providing technological and policy solutions to relevant challenges, but also in catalysing government action. Members noted that many businesses would welcome a lead on sustainability from the University in the course of its dealings with them. It was noted that the University should consider how it reported its own sustainability, for which a number of standard reporting methods were available.

11. Innovation Districts

The Chief Commercial Officer gave an overview of progress in the development of the Advanced Manufacturing Innovation District (AMID) and Glasgow City Innovation District (GCID).

Within AMID, the National Manufacturing Institute of Scotland (NMIS) had begun a recruitment campaign. Appointments had been made to senior positions and there had been high interest in technical posts. A membership model for NMIS would be launched in 2020. An industrial doctorate programme had been created with additional funding from the Scottish Funding Council. The design for the NMIS building had been adapted, on the basis of new Salix funding, and as a result had received the PRIAM Outstanding rating for sustainability. The Lightweight Manufacturing Centre had opened in August 2019, in temporary facilities.

The GCID cluster model was well established and providing effective channels to communicate the University's strengths and successes to partners. The social impact of GCID was a major consideration in plans for its further development. A full business case for the next phase of GCID would be brought to Court in March 2020.

12. Financial monitoring

The Chief Financial Officer outlined key aspects of financial monitoring and aims for the future development of the University's financial capabilities, to support targeted growth by 2025.

The importance of compliance with the University's loan covenants was emphasised. All parts of the University would have a responsibility to help mitigate any un-budgeted additional costs and to agree appropriate use of any additional income or savings.

The University would be moving internally to monthly accounts in the medium term, creating more efficient finance processes and generating improved management information. In the longer term, financial reporting would be developed such that key information would be more accessible to non-finance colleagues.

Discussion focused on ways to meet the University's future needs in the area of finance. Where possible, processes should be automated, freeing personnel to take on more value-adding tasks. Systems requirements would be assessed, to ensure appropriate support for the growth of the University to its 2025 targets.

13. Breakout Sessions and feedback

Members and attendees formed small groups to discuss six topics of importance to the University in the context of the new strategic plan. Following this, members of each breakout group presented summaries of their respective groups' discussions and suggestions that emerged from them.

The journey to a net-zero-carbon campus

To meet the significant challenge of achieving a step-change reduction in carbon emissions towards net-zero would require a systematic approach, encompassing locally developed and collaborative approaches. To progress this, it would be important to carefully analyse each part of the estate to identify concrete measures that could be taken within a supporting University-wide framework. This work would be progressed through development of a Climate Change and Social Responsibility Plan in early 2020.

Digital education and student experience

Existing Graduate Apprenticeship and other work-based learning models provided a successful foundation from which to develop new online collaborative education partnerships. The new L&T building would also bring new possibilities for digital learning and teaching environments. A key challenge would be ensuring that new offerings were appropriately tailored to employers' needs while being financially and academically viable for the University. The group saw potential for increased co-ordination and engagement across the Faculties and professional services.

Internationalisation

The group considered several dimensions of internationalisation and noted that these were interconnected with one another and with the University's overall reputation. Discussion focused on the need to understand the requirements of different markets and stakeholder groups and how to achieve this.

Communications and marketing the strategy to 2025

The group identified a range of key stakeholders and particularly emphasised among these the potential for using Court members' contacts, in particular industry-level organisations, to publicise the University's strategy and ethos and its offer to potential partners. The group also stressed the importance of 'sales' skills throughout the institution, in order to engage effectively with potential partners.

Industry and Commercialisation

The University was widely recognised for the strength of its industry engagement. The importance of building relationships at different levels within partner organisations was noted. Further development of industry engagement would require an expansion of relevant skills among academic and research staff, in addition to appropriate support systems. Developing the University's approach to account management would require collaboration between academic and professional services colleagues.

Inclusive Strathclyde

The group explored issues of race equality in the University community, with a particular focus on developing inclusive and diverse learning and working environments. The group agreed on the importance of engaging with different communities to understand potential barriers to inclusion and to develop impactful policies and practice. There was also a need to acknowledge and better understand under-representation and student attainment gaps. Suggested actions included the establishment of a university-wide race equality group and the provision of dedicated social and networking spaces on campus for under-represented groups.

14. Conclusions

The Principal and the Convener brought the Strategy Session to a close.

The Principal thanked Court members and attendees for their close engagement and active participation in discussions, noting the importance of Court's strategic guidance.

The Convener reflected on the University's success in recent years, as recognised in the University of the Year award that had been bestowed on the University for the second time the previous evening. Through the successful strategy to date, the maintenance of its levels of ambition and adherence to its values, Strathclyde was living up to its status as a leading international technological university and as a socially progressive institution.

DW, 05 December 2019

**Performance reporting: Q2 Business Report 2019/20, Strategic Plan mid-year
progress report and Outcome Agreement
[RESERVED ITEM]**

**TIC Zone Development within the Glasgow City Innovation District
[RESERVED ITEM]**

Preparations for REF 2021
[RESERVED ITEM]

Digital Transformation at Strathclyde
[RESERVED ITEM]

**Convener's Action:
Appointment of Associate Principals and temporary re-appointment of
Associate Principal & Executive Dean**

Background

1. The University has recently appointed two new Associate Principals. Recruitment to these Senior Officer positions is subject to the requirements of the University's Ordinances 4.1.10 and 4.1.11:

4.1.10 These senior University Officers shall be appointed, pursuant to any provisions within the Charter and Statutes, by an Appointment Committee established by Court and be engaged at such remuneration and upon such terms and conditions as the Court shall deem fit.

4.1.11 The arrangements and constitution of the Appointment Committee shall be provided for within relevant policies and procedures approved by the Staff Committee, on behalf of Court.

2. In addition, Professor Douglas Brodie's occupancy of the position of Associate Principal & Executive Dean of the Faculty of Humanities & Social Sciences (HaSS) has been temporarily extended, in order to cover the period of recruitment to this position. While re-appointment to this role would normally require Court approval, this temporary measure was undertaken on the basis of approval given by the Convener.

Associate Principal appointments

3. In line with Ordinance 4.1.11, relevant policies and procedures were followed as detailed below.

Appointment of Associate Principal, Education & Enterprise

4. Following the departure of Professor Sara Carter from the University in 2019, a process was initiated to recruit a new Associate Principal. This was done in accordance with the Staff Appointment Protocol, a document approved by Staff Committee which sets out relevant policies and procedures, in terms of Ordinance 4.1.11. The relevant extract from the Staff Appointment Protocol is given in Annex A.
5. Following an interview process carried out in November 2019, Professor Eleanor Shaw was appointed by the Appointment Committee to the position of Associate Principal, Education & Enterprise, for the normal five-year term of office.

Appointment of Associate Principal, Social Impact and Progression

6. Professor Douglas Brodie completed his five-year term as Associate Principal & Executive Dean of HaSS in January 2020 and has been engaged to act in the new role of Associate Principal, Social Impact and Progression, leading in areas which are key to Strathclyde's distinctiveness as a socially inclusive and socially progressive organisation.
7. This appointment was made through and in accordance with the auxiliary process outlined in the final paragraph of Annex A. The Convener endorsed the appointment on behalf of Court and Court is now requested to **homologate** this.

Temporary re-appointment of Associate Principal & Executive Dean

8. Prior to taking up the new Associate Principal role, Professor Brodie has agreed to continue in his current role of Associate Principal & Executive Dean of HaSS while his successor in this role is recruited (a process that is underway). Technically, this requires re-appointment of Professor Brodie, given that he has completed a term of five years in the role.
9. The Staff Appointment Protocol states the following:

Executive Deans shall be eligible for re-appointment, subject to the approval of Court on the recommendation of the Principal (the full initial appointment procedure need not apply). Re-appointments would normally be for periods of up to five years.

10. The agreed re-appointment period in this case is until 30 September 2020 or until the new appointee is in place, whichever is the earlier. Given the temporary nature of this re-appointment and the need for it to begin immediately in January, it has been undertaken on the basis of approval given by the Convener. Court is requested to **homologate** this approval.

Recommendation

Court is invited to **note** the appointment of Professor Eleanor Shaw as Associate Principal, Education & Enterprise and to **homologate**

- the Convener's endorsement, on behalf Court, that Professor Douglas Brodie act as Associate Principal, Social Impact and Progression; and
- the Convener's approval of the temporary re-appointment of Professor Brodie as Associate Principal & Executive Dean of HaSS until a new occupant is appointed to that role or, at the latest, 30 September 2020.

Annex A -- Extract from Staff Appointment Protocol

Associate Principals

The Ordinances define that Court shall appoint up to three Associate Principals with specified portfolios of leadership responsibility.

Associate Principals shall normally hold office for a period of up to five years (unless otherwise determined by the Appointment Committee).

Appointment decisions are delegated by Court to an Appointment Committee as detailed below.

The Appointment Committee shall comprise:

- The Principal
- The Vice Principal
- The Chief Operating Officer and/or Chief Financial Officer
- The Convener of Court (or nominee)
- An Associate Deputy Principal and Executive Dean
- The Director of Human Resources (or nominee)

The quorum shall be five.

Associate Principals shall be eligible for re-appointment, subject to the approval of Court on the recommendation of the Principal (the full initial appointment procedure need not apply). Re-appointments would normally be for periods of up to five years.

A casual vacancy in the office of Associate Principal shall be filled by an Acting Associate Principal whose appointment shall be endorsed by the Court and who shall normally hold office for a period not exceeding 12 months.

Executive Team Report to Court

The Executive Team (ET) met on 2 & 18 December, 14 & 28 January and 11 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 ET meeting and led by the University Secretary & Compliance Officer (USCO), the Team took the opportunity to discuss health and safety matters.

The USCO regularly updated ET on the University's response to the Coronavirus outbreak. The University's response was based on advice from the World Health Organisation, Foreign and Commonwealth Office and Public Health Scotland and the University had implemented appropriate measures based on protocols for other outbreaks of infectious diseases.

2. Industrial Relations

ET continued to receive regular updates on industrial relations. On the 3 February, the University and College Union had announced 14 days of strike action starting on Thursday 20 February and ending on Friday 13 March. The Educational Institute of Scotland also had a confirmed strike mandate. Members noted that contingency plans were in place and that the University Industrial Planning Action Group had met.

3. REF 2021

ET received regular updates on the University's preparation for the Research Excellence Framework 2021.

4. 2020-21 Planning guidance

ET approved draft planning guidance which set the parameters for the 2020-21 planning and budgeting round. This had been developed in conjunction with Finance, within the context of the launch of the new Strategic Plan early in 2020.

5. Workforce planning

ET received an update on workforce planning processes, which were being developed in parallel with the planning and budgeting processes and would be rolled out across the University in the first half of 2020.

6. NSS progress update

ET received an update from each Faculty on preparations for the NSS and on-going work in education enhancement.

7. Sustainable Investment

The Chief Financial Officer (CFO) outlined proposals to adopt a Sustainable Investment Objective and develop a sustainable investment portfolio, in line with the University's socially progressive ethos.

8. People Strategy

The Chief People Officer (CPO) presented the draft People Strategy and outlined changes that had been made in response to consultation with a variety of audiences.

9. Strathclyde Chancellor's Fellow Appointments

ET considered and approved the appointment of Strathclyde Chancellor's Fellows appointments under the Strathclyde Global Talent Programme.

10. Risk Management Framework: Risk Appetite

The USCO presented an update on the work of a short-life working group considering the development of the University's risk appetite. A key point in agreeing the overall approach was to establish that a risk appetite statement for each of the risk categories should be defined and applied post-mitigation. ET supported this approach and endorsed the overall approach to risk appetite.

11. 2025 Strategy: KPI16 Net Zero

The Director of Strategy & Policy introduced discussion of the net zero carbon target. The targets set out in KPI16 in the new strategic plan were significantly more ambitious than the previous target. ET agreed that a delivery plan be developed as a matter of priority.

12. The Strathclyde Doctorate

The Associate Principal (Research & Innovation) and Associate Principal (Education & Enterprise) gave an overview of the development of a distinctive doctoral-level offering. Members noted that the aim was to align options for doctoral study more closely with the distinctive profile and missions of Strathclyde.

13. Human Resources/Payroll Business Case

The Acting Director of Human Resources presented a business case to procure and implement a new HR/Payroll system. Members noted the strategic need for renewal of the HR/payroll system and the expected benefits, and identified this project as a first phase of the University's overall ambitions for digital transformation to support the strategy to 2025. ET agreed that the business case be transmitted to Court Business Group (CBG) for eventual Court approval, following additional consideration by the Digital Campus Sub-Committee and Information Strategy Committee.

14. Public Interest Disclosure (Whistleblowing) Policy

ET noted and endorsed the Public Interest Disclosure (Whistleblowing) Policy.

15. Investment proposals

ET discussed investment proposals put forward by the Enterprise & Investment Committee.

16. Q2 Business Report

The Chief Financial Officer and Director of Strategy & Policy presented the Q2 Business Report. The Team noted the overall strong financial performance of the University and welcomed the year-on-year increases in income whilst noting that further progress was needed in order to achieve the University's PGR ambitions.

17. Strategic Plan 2020-2025 - Mid-year progress report 2019-2020

The Director of Strategy & Policy presented a mid-year progress report covering 2019-2020, the first for the University's new Strategic Plan, Vision 2025. Of the 16 KPIs, 11 were on track and 2 required further work, namely KPI8 (PGR FTE) and KPI14 (Gender pay gap). Progress on the following 3 KPIs would be expected to report later in the year, KPI3 (NSS), KPI4 (graduate destinations) and KPI10 (key strategic relationships).

18. University of Strathclyde Outcome Agreement AY 2020-21

The Director of Strategy & Policy presented the near-final University Outcome Agreement 2020-21. Members noted that the Outcome Agreement had been fully aligned with Vision 2025 and approved the near-final Outcome Agreement 2020-21, ahead of discussion at Court Business Group and Court, and final submission to SFC.

19. TIC Zone Development Business Case

[Reserved]

20. Corporate Risk Register

ET reviewed and agreed the top risks and mitigating actions in the Corporate Risk Register.

Senate Report to Court

Senate met on 20th November 2019, and 29th January 2020. This report provides Court with key points from these Senate meetings.

FOR APPROVAL

Senate invited Court to **approve** the following recommendation considered by Senate on 20th November 2019:

1. At its November meeting Senate **approved** proposed Amendments to University Royal Charter and Statutes (Reserved Paper 19-20 17) which were required in order to comply with the Higher Education Governance (Scotland) Act 2016, and with the Scottish Code of Good Higher Education Governance (2017), and **recommended** these to Court for formal approval.

FOR NOTING

Senate invites Court to **note** the following items considered by Senate on 20th November 2019 and on 29th January 2020.

2. Report from Senate Business Committee:

Senate Business Committee (SBC) noted at its meeting on 4th November 2019 that the Collaborative Provision Agreement (CPA) Subgroup had reviewed 14 collaborative agreements, which were detailed in the Faculty reports to Senate, in addition to a number of Study Abroad Agreements. A further two collaborative agreements were noted in the CPA Subgroup report to January Senate which SBC considered at its meeting on 17th January.

3. At its meeting on 17th January SBC discussed the formal requirement, in compliance with the Scottish Code of Good Higher Education Governance (2017), for a Review of Senate Effectiveness to take place, the previous full scale review having taken place in 2015-16 with a light touch review taking place in 2017-18. SBC recommended to Senate that the Effectiveness Review should be undertaken later in academic year 2019-20, and that this would be followed by a Review of Senate Governance.
4. At its 20th November meeting, Senate approved the request detailed in the Student Executive Committee Report (Paper 2019-20 09) for two student-led projects: Student Transitions Leadership and Retention, and Active Students Project.
5. Senate approved at its January meeting the introduction of "Institution-led Review: Thematic Review of Student-facing Professional Services Policy & Procedure", as requested in Education Strategy Committee's paper 19-20 06.
6. Senate approved the Annual Research Integrity Statement following endorsement by Research and Knowledge Exchange Committee, and Court approval.
7. **Strategic Plan 2020-2025 Update**
The Principal introduced the Strategic Plan 2020-2025 to Senate at its November meeting, outlining the context and highlighting that the University's vision, values, ambition and key strengths which form the framework of the Strategic Plan. The Director of Strategy and Policy presented highlights from the Strategic Plan 2020-2025 to Senate including proposed KPIs and targets. An outline was given of the consultation and development of the Strategic Plan.

8. Student Recruitment

At November Senate, the Director of Strategy and Policy delivered a presentation updating Senate on student recruitment in 2019-20, setting student recruitment within the context of the Strategic Plan's ambitions, and outlining the parameters influencing recruitment targets as well as key drivers behind targets, current activity and next steps.

9. Update on SOL/GA/DA/FlexEd

Professor Debbie Willison, Vice Dean Academic Science, and Lynsey Joyce External Engagement Officer, Graduate and Degree Apprenticeships, gave a presentation to November Senate on Strathclyde Online Learning (SOL) which included updates on the development of the University's Graduate and Degree Apprenticeship portfolio, Massive Open Online Courses (MOOCs), and FlexED.

10. SIMS Implementation Update

Deputy Associate Principal Learning and Teaching Helyn Gould updated January Senate on Student Information Management System (SIMS) Implementation, providing a progress update on key workstreams and next steps of SIMS2 activity. Senate welcomed the update, noting the successful implementation of the system.

11. Senate Updates

Senate received brief updates on the following standing items:

i. Learning and Teaching Building Project

Deputy Associate Principal Brian Green updated Senate on the latest developments in the Learning and Teaching Building Project, providing brief outlines of a range of aspects in the development and ongoing construction of the building project including: preparations for the move to the new building, and steady state building operations; final design plans; the development of plans relating to the functional aspects of the building. At November Senate a video was shown providing a detailed fly-through of the building. Senate was also reminded of the procedure for reporting any construction project related incidents.

ii. Financial Updates

The Chief Finance Officer provided Senate with financial updates focussing at the November Senate meeting on the 2018/19-year financial statement and end process, and at the January meeting providing an overview of the current financial position, which included: a recap of the position at Q1; details of progress towards tuition fee income target for 19/20; an outline of the process for preparing the University's budget for the 2020/21 financial year.

iii. ELIR

The Director of Education Enhancement Cathy Milligan and Professor of Learning and Teaching Debbie Willison provided Senate with a progress update following the outcome of ELIR 2019. An overview and progress update were given of the formal recommendations. Senate noted that significant progress in addressing the recommendations had already taken place. A summary of next steps was provided. A formal follow-up report would be issued one year after publication of outcome (July 2020) to the QAA and would be reported to a future Senate meeting.

iv. Student Voice Updates

The StrathUnion President provided Senate with updates on a range of matters including: climate change and the University's approach towards net zero targets; the impact of industrial action;

student safety on campus; the student body's response to the UK government's rejection of the Erasmus + Scheme; issues raised by students in relation to the December exam diet, and the University's actions to relieve the pressures on students.

v. NSS

Faculty Executive Deans provided Senate with verbal updates on the monitoring of their Faculty NSS implementation plans and on ongoing and developing activities taking place in Faculties in relation to NSS plans and monitoring, focussing on key and priority areas where activity was taking place.

12. Principal's Report and Update

The Principal updated Senate on several matters of interest including:

From September Senate:

Medals Ceremony

Senate noted that at the Strathclyde Medals Ceremony in September the University had recognised 14 individuals and 11 teams who had made an important contribution to the University's values through their work and achievements.

Winter Graduations

The University had held 12 Winter graduation ceremonies which had taken place between 1 – 8 November 2019. Around 1900 Strathclyde students had graduated in person, with some and 600 graduating 'in absentia'. Senate noted that this year there had been more graduation ceremonies than previous winter graduations, this change in part reflecting the growing numbers of students graduating following the abolition of graduation fees.

Chancellors Fellowship Programme

An update was given on the Strathclyde Chancellor's Fellowship Scheme (SCFS), noting the significant investment in the scheme, and its success in attracting high quality applications.

Election of Principal as President of the Royal Academy of Engineering

The Principal had been elected President of the Royal Academy of Engineering.

Confucius Institute

The Ramshorn Theatre had been officially opened as the home of Confucius Institute for Scotland's Schools and Scotland's National Centre for Language.

From November Senate:

University Awards

The University of Strathclyde has been awarded two highly prestigious awards: The Queen's Anniversary Prize for Further and Higher Education, the highest national honour awarded to the sector, in recognition of the University's excellence in energy innovation; and the Times Higher Education (THE) UK University of the Year, winning this award for the second time – the first university to achieve this double accolade. In recognition of these awards staff had been given additional holidays over the Christmas closure period, and would receive an additional two days at the Easter break.

Strategic Plan 2025

The University's new Strategic Plan Vision 2025 would be launched at a staff event on 3rd February.

Visit to China

The Principal had visited China where he was privileged to participate in the foreign experts' session hosted by Premier Li Keqiang. The Principal, in his capacity as President of the Royal Academy of Engineering had also been invited to deliver a speech in the Great Hall of the People, off Tiananmen Square. The session attracted significant interest and provided an opportunity to further increase Strathclyde's profile in the region.

Coronavirus

The University Secretary and Compliance Officer (USCO) provided Senate with an update on the processes and communications that were in place in the University to provide students and staff with advice, guidance and information on measures being taken in relation to the coronavirus. Up-to-date information would continue to be communicated to staff and students. Senate noted its thanks to the USCO for the actions being taken.

NSS

Senators were reminded that the National Student Survey (NSS), open to final year undergraduates, had been launched on Monday 13th January, and is open until 30 April. Senators were requested to encourage students to participate.

Industrial Action

Senate was updated on national discussions in relation to the University and College Union (UCU) dispute.

COP26

With momentum building in relation to government planning for the COP26 climate change conference, scheduled to take place in Glasgow later in the year, the University's potential involvement in hosting events and activities was noted.

Honorary Nominations

The Principal drew Senate's attention to the tabled paper indicating Honorary nominations, requesting Senators to send any comments they may have on the nominations to the Senate manager by 11th February.

Grant Activity/Funding

The Principal updated Senate on research awards the University had received since the last Senate.

Court Business Group Report to Court

The following items were discussed by Court Business Group on 17 February 2020 and are provided here for Court to note.

1. Preparations for COP26

The Associate Principal (Research & Innovation) gave an overview of the University's preparations for the 2020 UN Climate Change Conference, known as COP26, which was to be held in Glasgow in November 2020. The University had applied for official 'observer' status and would be highly engaged with the conference and satellite events. The university aimed to influence the debate and accelerate climate action around technology, innovation and policy, raise awareness of climate literacy, and help deliver the legacy of this COP, together with its partners. In addition, COP26 would provide significant opportunities to promote the University's work in this area. A steering group had been established to co-ordinate the University's various forms of involvement in COP26; this included, among others, student members and academic experts from relevant fields.

2. Q2 Business Report 2019/20

CBG received an update on institutional performance as reflected in the Q2 business report. Discussion focused on the following points:

- Positive and balanced financial indicators showed that effective control mechanisms were in place.
- The value of research awards had grown significantly, year-on-year.
- Research postgraduate student (PGR) numbers remained below target. All Faculties had action plans in place to improve performance. Performance on PGR intake varied across the institution, with targets either met or on track in two Faculties.
- International student recruitment was very strong across all Faculties, especially for taught postgraduate students but also for PGR and undergraduate students. This reflected the University's enhanced reputation and impact in recent years, in addition to strategic initiatives to attract more international students.
- Entry tariff and retention figures showed small improvements across the board at Q2 and a closing of the gap between Widening Access (SIMD0-40) and other students. This included improved retention of SIMD0-20 students.

3. Strategic Plan 2020-25 – Mid-year progress report 2019-20

CBG received the first progress report on the new Strategic Plan KPIs (2020-25). In all, eleven KPIs were marked as being on track, including positive results in SIMD20-40 recruitment, research income, international student population and reduction of carbon emissions. Three KPIs could not yet be reported on, as data were not yet available. Two were flagged as requiring further work: KPI8 (PGR population; see discussion above) and KPI14, which showed a slight increase in the gender pay gap since the 2018/19 baseline.

4. TIC Zone Development within the Glasgow City Innovation District

[Reserved]

5. Digital Transformation at Strathclyde: HR Payroll System Replacement to underpin Vision 2025

CBG received a presentation on the business case to procure and successfully implement a new modern HR Payroll solution, noting that maintenance of the current, outdated system, on which many other University systems depended, brought business continuity risks. Initiating replacement of the system at this stage would minimise these risks and allow for an orderly, well-supported transition. Implementation of a modern system would significantly improve functionality for users and lead to streamlining of business processes. Members expressed support for the business plan and its onward transmission to Court for approval.

6. REF2021: Submission Development Report

CBG received an update on preparations for the Research Excellence Framework exercise (REF) 2021. The current quarter had been identified as a key stage for interventions to enhance the REF submission in each Unit of Assessment (UoA). Current priorities were to maximise the quality of impact case studies and environment statements.

Members commended the REF team's evident commitment and effectiveness, which reflected an appropriate level of prioritisation at University level.

7. Outcome Agreement 2020/21: final draft

The near-final draft of the University's Outcome Agreement with the Scottish Funding Council (SFC) for 2020/21 was presented and a summary provided of the process to date and areas of particular focus this year.

In the context of reporting to SFC on Widening Access, it was noted that the students' association had recently recruited its first Access & Participation Co-ordinator. Relatedly, there were new societies and peer support networks for key groups of students, including care-experienced students and those who were the first in their families to access higher education.

8. Court agenda, 3 March 2020

CBG approved the agenda for the 3 March Court meeting.

Court Membership Group Report to Court

The following items were discussed by Court Membership Group on 17 February 2020.

1. Chairing and composition of Court Committees

Changes to the Term of Reference of Enterprise & Investment Committee (EIC) and the Statutory Advisory Committee on Safety & Occupational Health (SACSOH) were proposed and agreed, such that these committees would henceforth be chaired by lay members of Court. This would bring them into line with other committees of Court and ensure an appropriate link to Court. There were consequent changes for the composition of the committees and the proposed changes ensured compliance with the Scottish Code of Good Higher Education Governance, allowing membership for lay and other members of Court. The committees' Term of Reference are contained within the University's Regulations and therefore Court's approval is required in order to effect these amendments.

The Convener noted that Gillian Hastings had indicated her willingness to act as Convener of EIC. CMG agreed that this should be recommended to Court.

CMG **recommended** that Court **approve**

- the changes shown below to the Terms of Reference for EIC and SACSOH; and
- the appointment of Gillian Hastings as Convener of EIC.

Proposed amendments to EIC Terms of Reference

Composition

(a) A lay member of Court (in the Chair)

~~(a)(b)~~ The Chief Commercial Officer *ex officio* ~~(in the Chair)~~

~~(b)(c)~~ The Principal *ex officio*

~~(c)(d)~~ The Chief Financial Officer *ex officio*

~~(d)(e)~~ The Treasurer *ex officio*

~~(e)(f)~~ At least ~~two~~ one other ~~lay~~ members of Court

~~(f)(g)~~ Up to five co-opted members, either ~~lay~~ members of Court or individuals external to the University

Proposed amendments to SACSOH Terms of Reference

The Constitution of the Committee is as follows:

- i. A lay member of Court (appointed by Court), who shall be the Chair of the Committee
- ii. Up to two other members of Court (appointed by Court), at the discretion of the Convener of the Committee;
- iii. Ex-Officio Members: The University Secretary and Compliance Officer ~~(Chair of the Committee)~~ (in their absence a member of the University Executive Team, as nominated by the USCO), ~~a member of Court (appointed by Court)~~, Head of SHaW and the Health and Safety Manager.
- iv. Faculty and Professional Services Representatives: One representative nominated by the Executive Dean of each Faculty and one representative for Professional Services nominated by the USCO.

- v. Trade Union Representatives: One representative nominated by each of the University's recognised Trade Unions (UCU, Unison and Unite).
- vi. Management Representatives: Executive Officers, the Director of Human Resources, the Director of Estate Services, the Director of SEES and the Head of Security Services (or their nominated representative).
- vii. A Student Representative: One representative from USSA, Strath Union, is nominated. This will normally be the President of Strath Union, who remains a member of the Committee for the length of their term in office.
- viii. Other individuals: Persons from within or out with the University may be invited to attend or support the work of the Committee as required by the Chair. This currently includes the Chief Executive of Strath Union, or nominee.
- ix. Secretary to the Committee: The Committee Chair appoints a Committee Manager to act in this role.

2. Recruitment of a lay member of Court: process and progress to date

CMG was given an update on progress towards the appointment of an additional lay member of Court for the start of the 2020/21 academic year, as previously agreed by Court in discussions of the future composition of Court. The University had re-engaged the agency last used for recruiting lay members, FWB Park Brown Ltd, to produce a longlist of suitable candidates. Working with the Senior Deputy Convener, an analysis of skills needs had been carried out and the agency had been advised of priority areas.

CMG **approved** the proposed process for the remainder of the recruitment exercise; and **delegated authority** to continue the process to a small group consisting of the Convener, Senior Deputy Convener, Principal and USCO, to lead to the recommendation of a candidate for consideration at the CMG meeting on 21 April. This would allow decisions regarding 2020/21 committee memberships to be made in the knowledge of the full future membership of Court.

3. Appointment processes for new Court positions

CMG received an update on work to ensure that new legal requirements on the composition of Court would be met by the beginning of the 2020/21 academic year. Preparations were underway to begin the process to elect an academic member of staff to Court. A process had been drawn up for the appointment of two Court members by recognised trade unions and the unions had been consulted on this process. Other Court positions that were now legally required already existed as part of the composition of Strathclyde's Court. Required changes to the University's Ordinances had been shared with the Scottish Government during the process to amend the Charter and Statutes. The amended Ordinances would be presented to Court for approval at Court's May meeting.

Report to Court from Audit & Risk Committee

The Audit and Risk Committee met on 15 January 2020 and held its annual workshop on 6 February 2020.

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

1. Appointment of External Auditors

[Reserved]

On the basis of the information presented to it, and following discussion with the representatives of the firm, the Selection Panel was unanimous in its decision to recommend to Audit & Risk Committee that Ernst & Young LLP be re-appointed as External Auditors to the University. Panel members also wished to record their thanks to the Head of Procurement for her assistance and guidance throughout the process.

On this basis, the Audit and Risk Committee **recommends** to Court that Ernst & Young LLP be re-appointed as External Auditors to the University of Strathclyde from March 2020 for a period of five years in the first instance, with the potential to extend the appointment for a further two years, subject to annual review of the performance of the External Auditor.

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

2. TRAC Return 2018-19

ARC was presented with information on the University's TRAC and TRAC(T) Returns for 2018-19, noting that the return had been approved by the University's Full Economic Costing Working Group (FECWG) and reviewed by the Internal Audit Service. The Scottish Funding Council required that the Annual TRAC return be subject to review and approval by a Committee of the Governing Body ahead of submission to the Office for Students. No concerns had been highlighted by the process or results, which served to highlight the importance of non-publicly funded teaching to the University's financial health.

The TRAC guidance stipulated a specific process to be followed in completing the return which was largely based on figures from the Financial Statements in addition to a "Margin for Sustainability and Investment (MSI)" adjustment.

The Head of IAS confirmed that IAS had reviewed the return and found it to be high quality, supported by detailed records and completed in line with the guidance. The audit had been clean and no adjustments were required.

The Audit & Risk Committee **approved** the TRAC and TRAC(T) Return.

3. SIMS Update

The Deputy Associate Principal and Director, Continuous Improvement updated members on the progress of the SIMS project. The Phase 2 system launch had been delivered one week earlier than originally planned with minimum disruption. This had provided a significant improvement in business processes such as more efficient support for Examination Boards and elimination of the time lag caused by overnight updates. It had also removed a significant risk to the institution in retiring the legacy VAX system.

Work was already well underway on a new Direct Digital Undergraduate Application System (DUAS) due for implementation by the end of March. This had been brought forward as it was now considered business critical. Two other major projects were currently in progress, Student Record Historical Archive and Oracle Upgrade. Work had begun to consider and plan a prioritised list of potential further projects for the next phase.

4. Review of Treasury Management

Members noted the report on the review of Treasury Management and the overall grading of substantial assurance. Overall, the review, which had focused on compliance with the University's Treasury Management Policy, had found that the University's Treasury Management controls were robust, effective and operational. Two, low risk, recommendations had been made, which provided opportunities for enhancement, as follows:

- Review and Enhancement of Treasury Management Policy
- Consolidation and Enhancement of Management Information Reporting to Court Business Group

5. Review of Research Grants – Income and Expenditure

Members noted the Report on the review of Research Grants and the overall grading of reasonable assurance. Four recommendations had been made, two medium risk and two low risk. The medium risks related to the late submission of invoices and expenditure incurred in advance of contractual arrangements while the low risk recommendations concerned an opportunity to explore the functionality within FMS to automate key tasks associated with the Research Diary and the absence of supporting documentation which could lead to expenditure incurred being irrecoverable.

The Research Finance Team had accepted all of the recommendations and had implemented three of them to date with only the opportunity to explore the functionality within FMS incomplete. It was noted that the grading reflected the overall corporate risk and that the work done by the Research Finance Team was of a high standard.

6. Review of GCID Business Model

The Head of Internal Audit and the CFO updated members on the IAS review of the GCID model which was in progress. The majority of the scope of the review was focused on the financial model and would assess the assumptions used and the rigour with which sensitivity analysis has been

undertaken. The scope also included consideration of the governance of the process to develop the business model and the project management activities put into place.

The work on governance, oversight and project management was largely complete with some minor observations noted to be taken forward as part of the lessons learned process. The planned work on the financial model and the underlying assumptions was still to take place.

The financial model was progressing well and a high level business case would be brought to Court in March followed, later in the session, by the full business case for final Court approval. The IAS Review would be brought to ARC, before the end of the 2020/21 session.

7. Investigation under the Public Interest Disclosure (Whistleblowing) Policy

The USCO reported that the University had been made aware of a potential Public Interest Disclosure containing three disclosures relating to financial management and a specific contract. An investigation was undertaken of the disclosure under the University's Public Interest Disclosure (Whistleblowing) Policy. The USCO, as the Designated Person, reviewed the report and concluded:

- there was no suggestion or evidence of wrongdoing on the part of any member of staff;
- the contract was part of a collaborative agreement which had gone through due process and was shortly due for review;
- the allegation of a hidden deficit and inappropriate use of funds was unfounded.

Having established the facts through investigation, the USCO concluded that no further action was required and the matter was closed. The Principal and the Chair of ARC had been notified of the allegations and the investigation findings.

8. Risk Assurance Framework

Members noted that the University was very focussed on risk and risk management. It was currently reviewing its risk appetite and the structure of the risk register and some discussion followed on methods of assuring effective risk management during which the following points were made:

- the University had a variety of sources of assurance including operational controls, management oversight, internal and external audit and ARC itself;
- the IAS annual plan considers key risks;
- the University has no formal assurance mapping process as it is considered that there would be no significant value in mapping each risk in detail, a more proportionate response would be to expand the information in the internal audit plan regarding risks not covered directly by IAS;
- the new risk management structure, which would be shared in more detail at the March meeting, included 5 key risk areas and 5 cross cutting themes with each risk owned by an ET member and cascaded down to operational risk registers;
- appropriate reports, such as IAS review reports, could include a statement that they were part of the risk assurance framework;
- the representative from the External Auditor offered to forward some relevant literature in this area for circulation to members and management.

9. 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 several capital projects, ongoing building masterplans

and option appraisals along with recent and planned disposals and acquisitions were also covered. Work was continuing to improve the heart of the campus environment including landscaping of Rottenrow Gardens and application for pedestrianisation of surrounding streets..

The University was also a major actor in the expansion of two innovation districts with the planned building of the National Manufacturing Institute for Scotland (NMIS) in Renfrewshire and ongoing work to establish a vibrant and innovative, cross-sectoral, cluster of applied translational research and innovation activities in the Glasgow City Innovation District with the development of the TIC Zone.

The Estates Strategy would support delivery of the University's Strategic Plan, Vision 2025, which had been launched recently. The focus was on delivery of a sustainable campus related to climate change and social responsibility.

10. Information Security Annual Report 2018/19

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 reminded members of recent, high profile attacks including those on Travelex and the American military and those within higher education including an institution in Germany, that was forced to re-issue all students with new usernames and password, and the recent attack on Dundee and Angus College using RYUK ransomware. The University had identified one server on its network which was potentially vulnerable to a RYUK attack and had taken steps to secure it.

The University was improving its processes for identifying and mitigating potential attacks by monitoring activity across its network and learning from the experiences of other organisations. A recent, significant, denial of service attack had been prevented and compromised student accounts quickly identified and suspended in another attack.

A significant number of projects had been rolled out and an equally intensive programme was planned. The roll out of training, crucial to prevent attacks, continued with 83% of staff having completed training. The uptake among students had been more disappointing and options, such as making training a compulsory element of induction, were being considered.

The need to balance security with usability was noted as new security protocols were put into place. Two phase authentication, for access to University systems, was being piloted. The University had created an accredited, managed desktop environment and continued to move Directorate and Faculty machines into this in stages. Key risks and the University's Cyber Security programme were discussed.

11. Review of Committee Effectiveness/ Terms of Reference

The Convener reminded Members of the Audit & Risk Committee that the same questionnaire, developed by PricewaterhouseCoopers LLP (PwC), which had been used for the previous two years, had been circulated to members. The responses had been largely positive with no questions scoring an average below 3.5 and only one rated at 3.5. This related to the University's risk appetite and work on this area was ongoing.

The Committee undertook its annual review of its Terms of Reference and considered that the current Terms of Reference, approved in September 2017, remained fit for purpose.

Report to Court from Estates Committee

The Estates Committee met on 24 Jan 2019 and the following items were among those discussed:

For Noting by Court:

1. Residences Update

An update was provided on the programme for the Residences Upgrade. It was reported that there were three strands to the work, all of which were being taken forward simultaneously:

- i. A short-term programme of works to be completed over the next six to eight months, both during and outwith term time. These works would include the replacement of beds and other furniture, as well as redecoration. The programme for these works was in the process of being finalised by Residences, as were the costings.
- ii. A medium-term programme, which would entail larger projects, such as the full refurbishment of a single Hall of Residence. Such work would be planned over the next eighteen months.
- iii. A long-term programme which would entail the development of a revised Residences Estate Strategy. The Committee was advised that a gap analysis was underway, to examine the planned growth in student numbers, the future profile of students and the corresponding impact on accommodation requirements, including whether more family accommodation was desirable, and what social facilities might be appropriate. Analysis was being undertaken to compare what the university might need as against what it had, and options to bridge any gaps were being examined. Best practice at home and abroad was being investigated and all options were under consideration including the use of private sector accommodation, acquisitions, constructing new accommodation, or taking nomination agreements.

The Committee welcomed the progress that was reported in relation to the Student Residences.

2. Heart of the Campus

An update on this project was provided, in advance of the application for Planning Consent being submitted. The detailed design was being prepared, with the main focus being on finalisation of the walkway and the urban realm elements at North Portland Street, including the linkage with the Learning and Teaching building. It was explained that the massing for the covered walkway had been adjusted and the design made more elegant, including plans for this to be constructed from locally grown timber. Additionally a 'slimmed down' universal access was being developed.

The significant earthworks which would be essential to this project meant that a number of site investigations were required. These surveys, and the work they would inform, could impact on the rail tunnel that runs below part of the site. As such, the University was engaging with Network Rail's Asset Protect Team regarding any works within the 'zone of influence' of the tunnel. The outcome of these discussions would be reflected in the final design.

Details of the programme of works was presented to Committee for information and it was reported that a further report to the March Committee would provide final costings. An indicative cost was available but may be impacted on by the outcome of the site investigation works.

It was stated that the works would be done in a minimum of two phases, the details of which were advised to Committee, while the Planning and Stopping Up order would be submitted in March 2020, with approval expected in mid-July 2020.

The Committee expressed some concern regarding the anticipated cost of the project. In mitigation, it was detailed that contingency levels had been set high for this project to allow for potential unexpected costs related to the results of the survey works, and the impact of discussions with Network Rail. Furthermore, there had already been a reduction in the costs of circa £1M, as a result of a value engineering exercise and it was anticipated the final figures presented in March would reflect a reduced cost. A further reason for the reported costs was that the extent of the project was now relatively broad, having grown significantly from the original proposals. It was proposed that the cost of works be reviewed by the CFO and Estates and reported at the next meeting. It was also noted that work could be phased to assist cashflow if required.

Estates Committee noted the details of the update and agreed the direction of travel. It supported the submission of the planning application on the basis of the proposals within the paper and stressed the need to keep costs as low as possible, without impacting negatively on the final quality.

3. NMIS Design Strategy Stage 4

Further details were provided on the design proposals for the NMIS facility. The Planning Application for the works had previously been submitted and approval was anticipated imminently. The Committee would be notified as soon as this was received. As part of the update, a Powerpoint fly through was provided. The Committee was reminded that the option existed to extend the development at a later date, with sufficient land available to do so. Among the amenities to be included in this initial development would be a large lecture theatre within the Forum area, different types of workspaces over two levels, and seminar and teaching rooms. The build would make use of local materials and would include innovative elements such as a glulam timber framework of diagonally intersecting wooden beams, a 'diagrid'. It was reported that the design had altered from the original proposals but that the costs remained in line with the initial budget.

The project was presently out to tender, with returns due on 31 Jan 2020. The next steps would include conclusion of the contract with Scottish Enterprise, which was in the final stages of agreement, and further discussions with Renfrewshire Council regarding the land purchase, which would enable the University to achieve ownership of both land and building.

The Chief Executive for NMIS had been appointed, as had the Chief Operating Office and the formal event was scheduled for 31 March 2021. Once complete, the development would be one of Europe's biggest investments in advanced manufacturing and the Committee was keen that further details be provided to Court on all that the NMIS facility would provide.

The Committee expressed its appreciation of the fly through.

4. Ross Priory Proposal

Details were provided of a potential development, in conjunction with the Hunter Foundation (THF), of a world class Global Leadership Centre at Ross Priory, aimed at boosting the Scottish economy and enhancing leadership skills across Scotland.

The Hunter Foundation, in partnership with the Scottish Government, had previously launched a Head Teachers Leadership academy, the programme for which had been delivered to date via the social enterprise 'Columba 1400' organisation at two locations in Scotland. It was reported that the Hunter Foundation was looking to expand this programme and had been working with the School of Education to develop a leadership academy experience for School staff, and particularly students, to facilitate their integration into practice. It was stressed that this would be a relatively small-scale development, entailing the provision of meeting rooms and accommodation and that it was aligned with other projects at Ross Priory, such as the solar array.

This project was noted to be in its very early stages. The next step would involve consultation with key stakeholders and the wider community in early February, prior to submitting planning permission.

It was emphasised that this item was for information only, and represented solely a direction of travel. The Committee welcomed the update on what it considered to be a positive opportunity. Further progress would be reported to future meetings.

Enterprise & Investment Committee
[RESERVED ITEM]

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 20 JANUARY 2020

The following items are provided for Court's information.

- **STRATEGIC RECRUITMENT**

The Chief People Officer reported that the Strathclyde Global Talent Attraction Programme (SGTP) recruitment campaign was now concluding. This year's campaign had received a record number of applications, including from candidates from outwith the UK. Whilst the total number of female applicants had increased since last year, the overall percentage was down. This would be further reviewed for future campaigns. Discussion was ongoing with a number of Reader and Professor candidates, with a small number of interviews still to take place. A final report on the 2019/20 SGTP campaign would be provided at the next meeting of Staff Committee.

- **NATIONAL PAY NEGOTIATIONS AND PENSION PROVISION**

The Chief People Officer reported that the national Universities and Colleges Employers' Association (UCEA) 2019/20 pay negotiations had concluded with a final offer from the employers of a 1.8% increase in pay. All five of the national Unions rejected the outcome of the national negotiations, which also included issues relating to working conditions, and subsequently conducted statutory ballots for industrial action. UCU received the required mandate and took 8 days of strike action at Strathclyde between 25th November and 3rd December. Continuous Action Short of Strike Action was ongoing. Further strike action may take place in February and March 2020 and the EIS Union, which had a small number of members at Strathclyde, was also balloting for strike action*.

In parallel with the pay and conditions dispute, a dispute relating to the Universities Superannuation Scheme (USS) was also ongoing. The Chief People Officer reported that the national Joint Expert Panel (JEP) had now issued a second report with recommendations on the future Valuation and long-term sustainability of USS. A series of tripartite talks between UUK, USS and UCU were scheduled to take place between 15th and 29th January 2020 to discuss the JEP Report.

The Chief People Officer reported that, following the conclusion of the consultation with University staff on grades 1-5 in relation to them ceasing to be members of USS and potentially joining the Local Government Pension Scheme, the University had been advised by USS that a non-standard deficit charge for staff leaving the Scheme would be applied. This had not been detailed prior to or during the consultation process and would now require a delay to the proposed start date of the new arrangements. Imminent discussions with Unite and Unison were planned.

**Committee Secretary's note: UCU have subsequently confirmed a further 14 days of strike action on both the pay and pensions disputes, to take place between 20th February and 13th March. EIS will also take 5 days of strike action relating to the pay dispute during the same period.*

- **DRAFT PEOPLE STRATEGY**

The Chief People Officer presented a draft of the University's People Strategy for 2025. The draft reflected previous feedback from Staff Committee, Court, Executive Team and other key stakeholders on the proposed themes, actions and KPI's. It was agreed that the further feedback received from Staff Committee and Executive Team would be used to refine the strategy and that an updated draft would be circulated to the Committee via correspondence in advance of the next Staff Committee meeting in May.

REPORT OF THE REMUNERATION COMMITTEE MEETING HELD ON 28 NOVEMBER 2019

The following items are provided for Court to **note**:

A meeting of the Remuneration Committee was held on 28 November 2019. In line with the Remuneration Committee 'Terms of Reference and Composition', approved by Court in 2018, the meeting was attended by Ronnie Cleland, (Senior Deputy Convener of Court and Convener of the Remuneration Committee*), Dame Sue Bruce (Convener of Court and Remuneration Committee member), Gillian Hastings (Treasurer and Remuneration Committee member) and Marion Venman (Lay Member of Court, co-opted onto Remuneration Committee for this meeting). The Principal, Professor Sir Jim McDonald, was in attendance, other than for the item relating to his own remuneration. Sandra Heidinger, Chief People Officer and Secretary to the Remuneration Committee, was also in attendance.

At the meeting, Remuneration Committee members were reminded that the Senior Deputy Convener of Court had sought Court members' guidance on any issues which Remuneration Committee should take into account in its decision making. No policy advice had been received on this occasion.

Remuneration Committee received feedback from the Chief People Officer following her meetings held with key stakeholders, including Trade Union colleagues, who had been consulted on the pay recommendations for senior leaders in advance of Remuneration Committee.

In making its decisions, Remuneration Committee considered: the 'Contribution Related Pay Policy: Remuneration Committee', which had been agreed by Court in 2018; the stakeholder consultation feedback; benchmark data on pay relativities for senior roles within the Higher Education sector from both the UCEA senior remuneration survey and the CUC survey of Vice Chancellor's Remuneration; pay increases for other University staff and pay increase within the wider economy; performance information concerning the individuals who were being recommended for contribution pay.

Remuneration Committee awarded consolidated pay increases for three individuals and one-off bonuses for two individuals from the Executive Team plus a small number of cases from the Deputy Associate Principal and Professional Services Director's group.

Remuneration Committee agreed that the Principal should receive a salary increase in line with the nationally negotiated pay award already applied to other University staff and a one-off payment to be transferred to an internal good cause of his choice.

A minute of the Remuneration Committee discussion is attached as Appendix A.

Ronnie Cleland, Deputy Convener of Court (Staffing) and Chair of Remuneration Committee
Sandra Heidinger, Chief People Officer and Committee Secretary to Remuneration Committee

February 2020

* In line with principles of good governance, because both the Convener and Senior Deputy Convener of Court had been involved in appraising the performance of the Principal this year, the Convenorship of the Remuneration Committee passed to Gillian Hastings, Lay Member of Court and University Treasurer, for the discussion on the Principal's remuneration.

**Remuneration Committee
Appendix A
[RESERVED ITEM]**