# UNIVERSITY COURT – AGENDA

Thursday 4 October 2018, 09.30-12.00, coffee from 09.15
Strathclyde Sport Building, 160 Cathedral Street, G4 0RQ

**Apologies:** *Jeremy Beeton*
**Declarations of interest:** *None*

| | **Introduction** | |
|---|---|---|
| **1.** | **Minutes of the meeting held on 20 June 2018** <br> *All* | **Paper A** <br> *5 mins* |
| **2.** | **Matters arising** <br> *All* | **Oral** <br> *5 mins* |
| **3.** | **Principal's Report** <br> *Principal* | **Oral** <br> *20 mins* |
| | **Substantive items** | |
| **4.** | **National Manufacturing Institute for Scotland: Update** <br> *Chief Commercial Officer* | **Paper B** <br> *15 mins* |
| **5.** | **Student Recruitment and fee income 2018/19** <br> *Director of Strategy & Policy, Acting Chief Financial Officer* | **Paper C** <br> *15 mins* |
| **6.** | **Outcome Agreement 2017/18 self-evaluation and guidance for 2018/19** <br> *Director of Strategy & Policy* | **Paper D** <br> *15 mins* |
| **7.** | **National Student Survey 2018** <br> *Principal* | **Paper E** <br> *20 mins* |
| **8.** | **Court Strategy Session 2018 – initial planning** <br> *Convener of Court, Principal* | **Oral** <br> *10 mins* |
| | **Items for formal approval** | *20 mins* |
| **9.** | **Proposal for the award of an Honorary Fellowship** | **Paper F** |

| | | |
|---|---|---|
| 10. | **Changes to University Ordinances and Regulations** | **Paper G** |
| 11. | **Annual review of key Court documentation 2018/19:**<br>    a)  *Court's Statement of Primary Responsibilities*<br>    b)  *Court Handbook 2018/19*<br>    c)  *Court Standing Orders 2018/19* | **Paper H** |
| 12. | **Report for Scottish Funding Council: internal review of quality** | **Paper I** |
| | **Items for information** | *15 mins* |
| 13. | **Court Members' Survey 2018** | **Paper J** |
| 14. | **Complaints Handling Annual Report 2017/18** | **Paper K** |
| | **Committee reports** | *5 mins* |
| 15. | **Senate** | **Paper L** |
| 16. | **Executive Team** | **Paper M** |
| 17. | **Court Business Group** | **Paper N** |
| 18. | **Court Membership Group** | **Paper O** |
| 19. | **Audit & Risk Committee** | **Paper P** |
| 20. | **Enterprise & Investment Committee** | **Paper Q** |
| 21. | **Staff Committee** | **Paper R** |
| | **Closing remarks** | *5 mins* |
| 22. | **Any other business**<br>*Convener*<br><br>**Date of next meeting**<br>*Court Residential, Thursday 29 & Friday 30 November 2018*<br>*Location: Ross Priory* | |

**MINUTES OF UNIVERSITY COURT**
**20 June 2018**

**Present:**   Dame Sue Bruce (Convener), Ronnie Cleland, Gillian Hastings, Paula Galloway, Kerry Alexander, Dr Jeremy Beeton, Marion Venman, Malcolm Roughead, Alison Culpan, Dr Jane Morgan, Principal Professor Sir Jim McDonald, Vice-Principal Professor Scott MacGregor, Professor Erling Riis, Amanda Corrigan, Gillian Pallis, Louise McKean, Matt Crilly, Titi Farukuoye

**Attending:**   Professor David Hillier, Professor David Littlejohn, Professor Tim Bedford, David Coyle, Dr Veena O'Halloran, Adrian Gillespie, Rona Smith, Sandra Heidinger, Hugh Darby, Darren Thompson, Kirsteen Macleod (for item 5), Manish Joshi (for item 8)

**Apologies:**   Dr Archie Bethel, Susan Kelly, Councillor David McDonald, Dr Andrew McLaren, Dr Kathy Hamilton

## 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 1 May 2018.

## 2. Matters arising

There were no matters arising.

## 3. Principal's Report

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

<u>Heath, Safety and Wellbeing:</u> The Principal informed Court that, following the recent fire at The Glasgow School of Art (GSA), both he and the University Secretary and Compliance Officer (USCO) had contacted colleagues at the GSA to offer their full support. The University was standing by to provide any assistance that may be required. In light of this incident, Court was reassured that the University remained vigilant in regard to its own fire safety and prevention regime, building upon lessons learned from recent incidents, such as the James Weir Building fire in 2012, and regular system testing. Other actions taken in response to recent health and safety matters were highlighted to Court.

<u>The UK's exit from the EU:</u> The Principal highlighted continuing uncertainty in regard to the potential outcomes of on-going negotiations between the UK Government and the EU. The University's own working group was continuing to focus its attention on key areas. Universities Scotland and Universities UK continued to engage on behalf of the sector and the Scottish Government had established a new "Brexit Forum on Universities" to examine areas of shared interest. The University had advocated an increased level of focus on postgraduate student recruitment and research funding. Also, the Principal continued to engage effectively with EU partners and policy-makers, particularly in his role as President of CESAER.

Tier 2 visa changes: It was anticipated that the UK Home Office would move to exclude NHS doctors and nurses from the annual cap on the number of visas granted to skilled non-EU migrant workers wishing to come to the UK. This was expected to free-up more visa allocations for those in other skilled professions and have a subsequent beneficial impact on the ability of universities to recruit non-EU staff.

Fraser of Allander Institute: The latest Economic Commentary from the University's Fraser of Allander Institute had been widely cited in the media and was informing public debate in Scotland.

Medicines Manufacturing Innovation Centre (MMIC): Following Court approval on 1 May 2018, the MMIC was formally launched on 15 June. The Principal noted the significant efforts of the Associate Principal & Executive Dean of Science and the Chief Commercial Officer (CCO) in steering the proposal to a successful conclusion. He also thanked Alison Culpan for her invaluable support and advice throughout the process.

Widening Access: The Scottish Funding Council's (SFC) Report on Widening Access 2016/17 had indicated a year-on-year collective 0.2% drop in the proportion of SIMD0-20 student entrants to Scottish universities. Court noted that the University of Strathclyde had increased its proportion of SIMD0-20 entrants during this period by 0.8% and had also exceeded its 2020 target for SIMD0-40 entrants during 2017/18. The University would continue to seek improvements, but the increasing scale of the challenge was noted.

Awards News: Court noted that the University was shortlisted for six Herald Higher Education Awards, with the results expected to be announced on 28 June. The University had also been shortlisted for a Times Higher Education Leadership & Management Award (THELMA) for "Outstanding Estates Strategy" and the outcome of this would be announced on 21 June.

Industrial Strategy Challenge Fund: The University had submitted a number of expressions of interest in April and the results were awaited. Engagement in this process was contributing to an increased awareness of the University's impact and distinctiveness.

EPSRC Centres for Doctoral Training (CDTs): The University was involved in 16 of the currently shortlisted bids and was the lead institution in four of these. Decisions were expected in December on the outcomes of these bids.

Research Excellence Framework (REF): The Principal explained that the University was entering a key period in its preparations for REF 2021 and, as such, Court would receive regular updates on progress ahead of the submission deadline in November 2020.

The Children's University: The Principal reflected on the most recent Children's University graduation ceremony of 5 June, noting the relevance of this initiative to the University's socially progressive mission and the highly positive experience of children and their families. He expressed his thanks to all the staff responsible for the continued success of the Children's University.

## 4. Q3 Business Report 2017/18

The Chief Financial Officer (CFO) introduced the Q3 Business Report 2017/18. He highlighted the level of performance across a range of areas, including:

- A forecast surplus in the University's overall outturn position for the year which was significantly lower than Budget, due to the anticipated gain arising from the Jordanhill Campus disposal now falling within the subsequent accounting year;
- A forecast operating surplus for the year, compared to a break-even budget, with the potential for further positive movement before the end of the financial year;
- Significant year-on-year growth in income from both tuition fees and research grants, though forecast figures in both cases were below the ambitious levels targeted;
- A higher than budgeted forecast cash position, mainly due to the sequencing of expenditure on major projects.

Court members discussed the financial elements of the Report and the following points were considered:

- A lower than budgeted expenditure on capital maintenance in 2017/18 was due to delays in the initiation of some projects. Some maintenance issues were also being addressed as part of major capital projects;
- The potential institutional impacts of future changes to the Universities Superannuation Scheme (USS) would not be clear until the work of the Joint Expert Panel (JEP) was completed and the response of the USS trustees was known. The University had accounted for potential changes within the 2018/19 draft Budget, which would be considered under the subsequent agenda item. There would be no additional financial impact in 2017/18; and
- The University's student residences strategy was under review, taking account of current market demand and the increase in private developments. The University was also liaising closely with Glasgow City Council on this issue.

In regard to major infrastructure projects, it was reported that the Centre for Sports, Health & Wellbeing was expected to be handed over by the contractors in July. Tenders received for the Biomedical Engineering Consolidation (Wolfson Building) had been considered unsatisfactory and the project would be re-tendered by the end of June. The SIMS project continued to be red-flagged in the Report, with the results of a recent technical review of Phase 1 having been discussed in detail by the Executive Team.

In relation to the non-financial aspects of the Report, the Director of Strategy & Policy emphasised the Executive Team's continuing focus on the delivery of postgraduate research student (PGR) intake targets. She also highlighted an improvement in overall student retention rates, including significant improvements in the retention of both SIMD0-20 and SIMD0-40 students and a narrowing of the retention gap between these students and the overall population.

## 5. 2018/19 Budget, Financial Forecasts and Annual Plan

The CFO presented the University's 2018/19 draft Budget alongside the draft Financial Forecasts for Court's approval and subsequent submission to the SFC. He highlighted:

- Budgeted overall and operating surpluses for 2018/19, impacted by the full expenditure of SFC capital grant income in regard to the Combined Heat and Power (CHP) project;
- The expectation that an anticipated gain on the disposal of a fixed asset (Jordanhill Campus) would offset the impact of other one-off items, particularly the assumed cost of an increase in the University's current pension liability;
- A Four Year Forecast position which indicated continuing income growth to 2020/21 with anticipated fluctuations in future operating surpluses due to the accounting treatment of capital grant income;
- The subsequent need to rely on "cash generated from operations" as a more suitable measure of financial sustainability;
- The continued importance of increased levels of tuition fee and research grant income, with ambitious future targets considered to be achievable based on previous growth trajectories;
- Projected increased investment in both staff and infrastructure over the next four years, underpinning the University's future growth plans;
- Future anticipated reductions in the University's borrowings and its cash balances and the ongoing work to explore potential additional borrowing mechanisms in order to fund major projects, following discussions at previous Court meetings; and
- The criticality of robust delivery strategies in supporting the income growth required to deliver the University's future ambitions.

The CFO explained that the draft Budget and Financial Forecasts provisionally reflected the development of the National Manufacturing Institute for Scotland (NMIS), including the anticipation of substantial grant funding from the Scottish Government. This was subject to Court's endorsement of NMIS elsewhere on the agenda and final approval in August.

In the course of a wide-ranging discussion, Court considered the following topics:

- The potential for the University to raise capital funding through the issue of bonds, particularly in relation to the development of the Glasgow City Innovation District (GCID), thereby potentially giving

the University greater control over the project's development. It was agreed that further analysis would be undertaken on this basis;

- The University continued to benefit from significant headroom in regard to its current levels of borrowing. As part of any future Court approval of further borrowing, additional modelling would be provided to show appropriate comparisons from within the UK higher education sector and incorporating a sensitivity analysis;
- The projected rise in tuition fee income over the next four years, whilst challenging, was predicated upon previous growth rates from a lower starting position;
- A focus on the increased recruitment of overseas students was necessary for growth, due to limits on the funded places available for Scottish and EU-domiciled students. It was also recognised that a diverse student population was important to provide an excellent student experience. The sector continued to lobby for a visa regime that would allow overseas students to remain and work in the UK after graduation, thereby retaining their skills and experience for the benefit of the economy; and
- In light of the growing number and proportion of overseas students, the University would need to adapt its student support services to ensure that different needs and expectations were accounted for, as far as possible. The University would continue to engage with the Strath Union on this issue.

Following this discussion, Court **approved** the 2018/19 Budget, Financial Forecast and Annual Plan, subject to the NMIS development being endorsed under the following agenda item.

## 6. National Manufacturing Institute for Scotland – outline business case

The Chief Commercial Officer (CCO) presented an outline business case for the establishment of the National Manufacturing Institute for Scotland (NMIS), within the Advanced Manufacturing Innovation District Scotland (AMIDS) at Inchinnan. He informed Court that the NMIS proposal was well advanced but was subject to on-going development and final agreement by Scottish Enterprise at the end of August 2018. As such, it was felt appropriate to seek Court's endorsement "in principle" and to request that the necessary authority be delegated to Court Business Group to refine and approve the final business case in August.

The Vice-Convener of Court informed members that he had met with the CCO to discuss the details of the NMIS business case and to advise on the level of information required for Court. He explained that NMIS represented a significant opportunity for the University, welcomed the comprehensive information set out in the outline business case, and confirmed that he fully endorsed the proposal.

Court discussed the outline business case and the following points were considered:

- The level to which the income model depended upon success in securing Tier 1 memberships. Whilst the model was closely aligned to that of the Advanced Forming Research Centre (AFRC), a conservative forecast had been applied in regard to future membership. Nonetheless, formal notifications of interest from potential industry partners and the prioritisation of NMIS by the Scottish Government provided high levels of confidence in regard to future membership growth;
- The need to ensure the capacity for future expansion of NMIS and the potential for site ownership to play a role in this. The site was currently owned by Renfrewshire Council but discussions on this matter were on-going. It was noted that Renfrewshire Council had engaged positively throughout the process and had also committed £39M in City Deal infrastructure funding. The CCO confirmed that the potential future scalability of NMIS was fully accounted for in the design plans; and
- **[Reserved]**

Court noted the significant opportunity presented by NMIS and **endorsed** the outline business case. Court also **agreed** to delegate the required authority to the Court Business Group to undertake further refinement of the proposal and approve the final business case in August 2018.

## 7. Presentation: Glasgow City Innovation District update

The CCO presented an update on the proposed next development phase of the Technology & Innovation Centre (TIC), a key aspect of the Glasgow City Innovation District (GCID). Court was reminded of the success of the original TIC co-investment model and of the continuing high-demand for space within the Inovo Building, which the University had acquired in 2018.

Court considered the opportunity to intensify innovation activity across the GCID through the expansion of both the TIC and Inovo, thereby attracting translational organisations, innovators and entrepreneurs and helping the University to achieve its strategic goals and maximise the impact of research. The CCO explained that an outline business plan had been produced and initial external market analysis had been undertaken. Next steps would include a thorough appraisal of the risks, controls and funding options. Potential funding models included the Scottish Future Trust's (SFT) Growth Accelerator and exploratory discussions were underway with SFT. Throughout the on-going development and partner-selection process, regular updates would be provided to Court, prior to a final business case being submitted to Court for approval.

Court noted the significant positive impact that the delivery of this proposal would have on the local economy. Members also noted the University's increasing level of familiarity in the successful realisation of major multi-partner, co-investment projects. Court endorsed the continued development of the proposal, and agreed that individual members could be invited to contribute to this outside of the formal meeting cycle, should that be helpful.

## 8. University of Strathclyde Students' Association 2018/19 Budget

The Convener welcomed the Strath Union Chief Executive to the meeting who introduced a paper setting out the Strath Union draft Budget for 2018/19, for which Court's approval was required. The paper also included a brief overview of USSA's operational priorities for 2018/19.

Court members commented positively on the Strath Union Budget, welcoming the progress achieved and the increased financial stability of the Union. It was noted that improved performance in commercial activity and increased student engagement were areas of continuing and future focus.

Court **approved** the Strath Union Budget for 2018/19, in accordance with Part II, Section 22 of the Education Act 1994.

## Items for formal approval

## 9. Corporate Risk Register

The USCO introduced the University's current top risks and mitigating actions, endorsed by the Audit and Risk Committee on 24 May. She highlighted the recent inclusion of a dashboard to more easily show changes to the ratings and status of key risks.

Court noted that the overall number of risks had increased due to the inclusion of a new risk in relation to the General Data Protection Regulation (GDPR). The USCO informed Court that, following careful consideration of the risks and impacts of the GDPR and the Privacy and Electronic Communications Regulations (PECR) by the Executive Team, the decision had been taken to rely on inferred consent in regard to alumni communications and fundraising activity.

The Convener of the Audit and Risk Committee confirmed that GDPR issues and risks had been discussed at the committee's most recent meeting on 24 May 2018.

## 10. Reappointment of the University Chancellor

Following a recommendation from the Court Membership Group, Court **unanimously approved** the reappointment of Lord Smith KT CH as University Chancellor for a second five-year term, from 1 August 2018.

Court members took the opportunity to express their appreciation and gratitude for Lord Smith's contribution since his original appointment as University Chancellor in 2013. They considered his service as Chancellor to be exemplary and agreed that he was an outstanding ambassador for the University.

## 11. Court and Committee Membership 2018/19

The USCO introduced a report from Court Membership Group, following its meeting on 7 June 2018, and sought Court's approval for recommendations on Court and committee appointments. Court **approved** the following appointments for 2018/19:

Court Membership:

- The appointment of Brenda Wylie as a lay member of the University Court for an initial one-year term, from 1 August 2018 to 31 July 2019.
- The reappointment of Alison Culpan for a further three-year term from 1 August 2018;
- The reappointment of Malcolm Roughead for a further three-year term from 1 August 2018;
- The reappointment of Susan Kelly for a further three-year term from 1 August 2018; and
- The reappointment of Paula Galloway for a further three-year term from 1 August 2018.

Committee Membership (co-opted positions):

- The reappointment of Fred Hallsworth to EIC for a further three-year term from 1 August 2018;
- The reappointment of Gillian Watson to EIC for a further three-year term from 1 August 2018;
- The reappointment of John Waddell to EIC for a further three-year term from 1 August 2018;
- The reappointment of David Sneddon (or an alternative representative from Scottish Equity Partners) to EIC for a further three-year term from 1 August 2018;
- The appointment of Ian Reid to co-opted membership of the Audit & Risk Committee, for an initial one-year term from 1 August 2018; and
- **[Reserved]**

Court noted that remaining vacancies for staff members on Court Business Group and Court Membership Group would be addressed via correspondence by Court Membership Group.

**Items for information**

**12. National Physical Laboratory progress update**

The Associate Principal & Executive Dean of the Faculty of Science presented a progress update on the delivery of the University's strategic partnership with the National Physical Laboratory (NPL). Since the last report to Court in June 2017, the internal change and realignment required within NPL had been completed and progress had subsequently accelerated with new opportunities now being explored and realised. Evidence of successful delivery included a noticeable impact on the University's reputation and profile, as well as increased success in joint bids.

Court welcomed the report and discussed the progress achieved against the NPL business plan, recognising the significant contribution of the Associate Principal & Executive Dean in ensuring delivery of the partnership. Court members asked that a future opportunity to visit the NPL site in Teddington be identified.

**13. Governance compliance update report**

Court noted the progress made on addressing the requirements arising from the revised 2017 Scottish Code of Good HE Governance and the Higher Education Governance (Scotland) Act 2016 and on the implementation of the 2017 externally-facilitated Effectiveness Review of Court. A number of actions would be addressed throughout the next academic year in order to ensure compliance with new governance requirements.

**14. Health & Safety Annual Report and Strategy update**

Court noted the annual report from the Statutory Advisory Committee on Safety and Occupational Health (SACSOH) and an update on progress achieved in relation to the Occupational Health, Safety and Wellbeing Strategy 2016-2021.

**Committee Reports**

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

## 15. Executive Team

## 16. Senate

Court **approved** amendments to the composition of Senate membership in order to achieve compliance with the Higher Education Governance (Scotland) Act 2016.

## 17. Court Business Group

## 18. Audit & Risk Committee

Court specifically **noted** the Audit & Risk Committee's request that consideration be given to delaying the external auditor tendering process for an additional year, subject to confirmation from the Scottish Funding Council that this was permissible. *[**Secretary's note:** The SFC has since confirmed in writing that it is content with the University's proposed approach.]*

## 19. Enterprise & Investment Committee (Annual Report)

## 20. Estates Committee

## 21. Equality & Diversity Strategy Committee (Annual Report)

## 22. AOB

Noting that this was the final Court meeting of 2017/18, the Convener of Court expressed her gratitude to all members and attendees for their contributions throughout the year.

She offered best wishes, on behalf of Court, to those members demitting office in 2018, including Professor Erling Riis, Dr Andrew McLaren, Louise McKean, Calvin Hepburn, and Taylor Wong.

The Convener also offered thanks, on behalf of Court, to Mr David Coyle, Chief Financial Officer and Professor David Littlejohn, Associate Principal & Executive Dean of the Faculty of Science, who would both retire in the summer. She reflected upon their exemplary service and the significant contributions that each had made to the success of the University over a number of years. Court wished them both well for the future.

**Date of next meeting**

- Thursday, 4 October 2018

# National Manufacturing Institute for Scotland: Update
# [RESERVED ITEM]

**Student Recruitment and Fee Income 2018/19**
**[RESERVED ITEM]**

**Outcome Agreement 2017/18 self-evaluation and guidance for 2018/19**
**[RESERVED ITEM]**

## NSS Results 2018

**Overview**

1. Student satisfaction (overall) as measured by the National Student Survey provides the metric for KPI 3 in the University's Key Performance Indicators. **In 2018 our score for Overall Satisfaction was 83.53%**, down from 86.51% in 2017. Overall satisfaction for the sector was 83% in 2018 (down from 84% in 2017).

2. The **UK 2018 NSS full results show a second year of decreasing scores across the sector,** with UK, Scottish sector and top quartile results all falling for Overall Satisfaction and across most of the other question areas. The University has followed this pattern, in contrast to resisting the trend in 2017, by showing a drop in results across all of the NSS questions groups and in relative performance.

3. **The sector indicators show a widespread fall in performance**, although this is less so for the top quartile. The top quartile in 2017 was impacted by a significant increase in alternative providers (with very small cohorts) joining the survey and dominating the top level results.

4. Ranking by Overall Satisfaction for institutions in Scotland, **Strathclyde has moved in position from 5th** (joint 4th in rounded published sector results) **to 9th**. The University of Edinburgh, Edinburgh Napier University, Abertay University and Scotland's Rural College have all fallen 5 points or more in Overall Satisfaction. An overview of scores for Strathclyde for each section in the NSS is provided in

5. Table 1. A full breakdown of Scottish HEI performance and rankings is provided in Appendix A Scottish HEI Rankings.

**Results**

6. Table 1 below shows average scores for Strathclyde for each section in the NSS, also showing the corresponding UK Sector score, top quartile score and score for Scotland. The figures in brackets show the change from the 2017 score.

**Table 1 Strathclyde NSS 2018 Scores Comparison to Sector, Top quartile and Scotland showing change from 2017**

|  | Strathclyde 2018 (Change from 2017) | Sector 2018 (Change from 2017) | Top quartile 2018 (Change from 2017) | Scotland 2018 (Change from 2017) |
|---|---|---|---|---|
| **The teaching on my course** | 84.32 (-2.40) | 84.21 (-0.41) | 89.04 (-0.93) | 84.33 (-0.86) |
| **Learning opportunities** | 81.23 (-1.76) | 83.14 (-0.41) | 88.12 (-0.21) | 81.74 (-0.74) |
| **Assessment and feedback** | 63.37 (-2.91) | 73.28 (-0.11) | 79.12 (-0.05) | 69.53 (+0.30) |
| **Academic support** | 75.94 (-3.52) | 79.58 (-0.33) | 86.00 (+0.27) | 77.89 (-0.56) |
| **Organisation and management** | 70.97 (-1.28) | 74.66 (-0.61) | 81.90 (-1.32) | 72.72 (-0.53) |
| **Learning resources** | 87.00 (-1.89) | 85.40 (+0.25) | 88.03 (+0.25) | 85.95 (-0.47) |
| **Learning community** | 75.81 (-1.18) | 76.55 (-0.69) | 84.29 (+0.42) | 76.39 (-1.22) |
| **Student Voice** | 67.47 (-1.32) | 73.33 (-0.14) | 79.87 (+0.88) | 71.35 (+0.66) |
| **Students' Union Representation** | 51.84 (+0.25) | 56.47(+0.32) | 63.08 (+1.91) | 51.48 (+0.31) |
| **Overall Satisfaction** | 83.53 (-2.98) | 83.48 (-0.70) | 89.71 (-1.42) | 83.04 (-1.61) |
|  |  |  |  |  |
| **Students' Union** | 32.85 (-4.47) | 38.05 (-2.8) | 52.33 (-0.33) | 36.84 (-0.45) |

| Social opportunities | 70.88 (-3.98) | 72.34 (-3.22) | 85.57 (+1.24) | 68.14 (-0.89) |

**Context**

7.  The National Student Survey (NSS) is an annual survey of final year UG students conducted by Ipsos MORI on behalf of the sector and is open to all UK HEIs, the FE sector in England and Wales and all Alternative Providers (APs) in England.  413 Universities, colleges and alternative providers took part in 2018.  The subset of 151 University providers was used to create benchmarking reports for subject level review within Strathclyde (Faculty and Subject heat maps).

8.  In order for the survey results to be published, a subject threshold of 10 respondents and a 50% response rate must be met.  Institutionally Strathclyde achieved a response rate of 69.43% in the survey in 2018, compared to 69.4% in 2017.

9.  The survey currently includes 27 core single choice questions and 2 additional open-ended questions for both positive and negative comments (see: Appendix B – NSS question list for details). Two optional question banks were added to the NSS at Strathclyde in 2017 and 2018, comprising 3 questions relating to the Students' Union and 3 questions in relation to Social opportunities.  Optional questions are available to online respondents only, therefore the response rate is lower than for the main survey; the response rate for Strathclyde's optional question banks in 2018 was 31%.

10. NSS scores and responses are a significant barometer and source of feedback on the delivery of our academic provision and an assessment of the student experience. Alongside internal sources of feedback, monitoring and review, they provide Departments, Schools and Faculties with a rich source of feedback on our students' perceptions of their academic delivery. Importantly, the NSS feedback is benchmarked across the sector and enables subject areas to review their performance in the context of direct competitors and the sector as a whole.

11. NSS scores are significant in the compilation of all three of the major UK league tables: the Guardian; the Complete University Guide and the Times/Sunday Times, which draw on a subset of all indicators within the survey (in addition to other metrics). Metrics from the NSS are also used to inform the Teaching Excellence Framework (TEF) judgement for an institution, although it should be noted that there is currently no requirement for Scottish institutions to participate in the TEF and Strathclyde did not opt in to TEF 2 in 2018.

12. Across the whole sector, overall satisfaction has been declining since 2016: from 86% in 2016 to 84% last year, in 2018 it was 83%. The 2017/18 academic session was marked by industrial action across the sector, external analysis has shown some impact in scores for Organisation and Management (questions 15-17) in the survey in USS (Universities Superannuation Scheme) providers.

13. For the first time, full institution results were published simultaneously, a departure from the usual staged embargo release to institutions. This enabled journalists and analysts direct access to the raw data on the day of its release; national media on the topic focused on the poor performance of London institutions in comparison with the sector as a whole, however, there has been very limited commentary beyond this.

**Review and Next Steps**

14. The University has had an 'NSS Improvement Framework' in place since September 2015, which incorporates Departmental/School improvement plans within a wider institutional

framework to support monitoring, review and enhancement activities. These are underpinned by the presentation of NSS results in a heat map format for sector subject level benchmarking. The Framework approach was endorsed by the Executive Team and Senate, this comprised a standing Senate update item, institutional good practice workshops, supporting resources for Departments and Schools and reporting on Department and School improvement plans throughout the year. In 2018 a Strategy and Policy QlikView dashboard was introduced to allow dynamic exploration and comparison of heat map data with sector performance.

15. Since the introduction of the NSS Improvement Framework, the institutional overall satisfaction figure has held steady against a sector trend of declining performance. In 2017, changes to survey questions limited direct score comparisons between years prior to 2017 and that year, however, the results showed that against the sector, Strathclyde had a relative improved performance, sitting at joint 4th in Scotland.

16. The NSS 2018 outcome, however, has seen a significant decline in performance across the University. In this context, consideration was given to the institutional improvement framework approach and how it could be enhanced/re-shaped to promote greater depth and breadth of impact across the institution.

17. Immediately following results release, the Principal met with the Vice Principal, Executive Deans, Associate Principal Education, Deputy Associate Principals (Learning and Teaching), USCO, Director of Strategy & Policy and the Acting Director of Education Enhancement. It was noted that while the institutional process for review and action on the NSS Improvement Framework has worked well for institutional level co-ordination and analysis, far greater local actions are required at School and Department level. Following this all staff involved in learning and teaching across Schools and Departments have been asked to analyse and provide context for results in their area, reporting back through their Executive Deans.

18. The Executive Team, Heads of Departments and Schools, Vice Deans Academic and the institutional leadership team for education have reviewed performance across the institution using subject level heat maps, which contextualise the performance of schools and departments against the sector as a whole. A reflective and action-orientated appraisal of the NSS 2018 results and analysis formed a pivotal part of the University's Executive Leadership Strategy Session and the supporting Executive Team Strategy Session, also attended by Special Advisors, Deputy Associate Principals and Professional Services Directors.

19. The Principal has led meetings with the Heads of Department/School, Vice Deans Academic and Executive Deans for the poorest performing subjects, with the Vice Principal and Acting Director (Education Enhancement). Departments/schools were identified for these review meetings based on overall satisfaction scores and performance against the following criteria: (i) number of questions/question sets in bottom or third quartile within the heat maps; (ii) relative performance against the sector; and (iii) drop in performance against 2017.

20. Key messages from these review meetings have centred on:

   a. Accountability and ownership of leadership teams for results;
   b. Immediate plans for demonstrable improvement within the year;
   c. Commitment and implementation plans to ensure all staff who encounter and interact with our students are focused on a culture of 'student service';
   d. Commitment to ensuring that the student voice is reinforced at local level through effective communications; and
   e. Confirmation that academic excellence expectations for learning and teaching are intrinsically linked with research and knowledge exchange in equal measure.

21. Next steps from this review include:

a. Institutional NSS Improvement Framework to be supplemented by a Faculty led *NSS: Dean's Implementation Plan* for each Faculty, with ongoing reporting and reassurance by each of the Executive Deans to the Executive Team and Senate;
b. Senior Officers leading the Professional Services will also submit NSS Implementation Plans to link in with cross-institution leadership and monitoring;
c. Faculty led monitoring within Schools and Departments on engagement, implementation and intervention;
d. Focus on business continuity within learning and teaching.

22. Education Strategy Committee will continue to support the institutional NSS Improvement Framework in partnership with the student community, supported by the introduction of the Student Partnership Agreement, to reinforce the Executive Team review.

**Appendix A Scottish HEI Rankings**

**Table 2 Scottish HEI rankings by Overall satisfaction for 2018 and 2017**

| Scotland | Overall Satisfaction 2018 (%) | Overall Satisfaction 2017 (%) | Score Change from 2017 | 2018 ranking | 2017 ranking |
|---|---|---|---|---|---|
| University of St Andrews | 94 | 94 | 0 | 1 | 1 |
| University of Dundee | 88 | 90 | -2 | =2 | 2 |
| University of Glasgow | 88 | 89 | -1 | =2 | 3 |
| The Open University | 87 | 86 | 1 | 4 | 6 |
| University of Aberdeen | 86 | 87 | -1 | 5 | 4 |
| The Robert Gordon University | 85 | 86 | -1 | =6 | 6 |
| University of the Highlands and Islands | 85 | 79 | 6 | =6 | 15 |
| University of the West of Scotland | 85 | 83 | 2 | =6 | 10 |
| University of Stirling | 84 | 86 | -2 | =9 | 6 |
| **University of Strathclyde** | **84** | **87** | **-3** | **=9** | **4** |
| Queen Margaret University, Edinburgh | 82 | 77 | 5 | 11 | 16 |
| Glasgow Caledonian University | 81 | 81 | 0 | =12 | 13 |
| Heriot-Watt University | 81 | 83 | -2 | =12 | 10 |
| University of Abertay Dundee | 79 | 84 | -5 | 14 | 9 |
| Royal Conservatoire of Scotland | 77 | ~ | | =15 | ~ |
| University of Edinburgh | 77 | 83 | -6 | =15 | 10 |
| Edinburgh Napier University | 74 | 80 | -6 | 17 | 14 |
| SRUC | 70 | 77 | -7 | 18 | 16 |
| Glasgow School of Art. | 67 | 71 | -4 | 19 | 18 |
| *Average for Scottish HEIs (incl Open)* | *81.79* | *83.50* | *-2* | | |

**Appendix B – NSS question list**

The 5 point Likert response scale used with these questions is: "Definitely agree"; "Mostly agree"; "Neither agree nor disagree"; "Mostly disagree" and "Definitely disagree". Two optional question banks were added to Strathclyde's NSS list of questions: Students' Union and Social opportunities which are included in the list below. At the end of the survey, respondents are invited to provide comments in response to the following open question: *Looking back on the experience, are there any particularly positive or negative aspects you would like to highlight?*

### The teaching on my course
1. Staff are good at explaining things
2. Staff have made the subject interesting
3. The course is intellectually stimulating
4. My course has challenged me to achieve my best work

### Learning opportunities
5. My course has provided me with opportunities to explore ideas or concepts in depth
6. My course has provided me with opportunities to bring information and ideas together from different topics
7. My course has provided me with opportunities to apply what I have learnt

### Assessment and feedback
8. The criteria used in marking have been clear in advance
9. Marking and assessment has been fair
10. Feedback on my work has been timely
11. I have received helpful comments on my work

### Academic support
12. I have been able to contact staff when I needed to
13. I have received sufficient advice and guidance in relation to my course
14. Good advice was available when I needed to make study choices on my course

### Organisation and management
15. The course is well organised and running smoothly
16. The timetable works efficiently for me
17. Any changes in the course or teaching have been communicated effectively

### Learning resources
18. The IT resources and facilities provided have supported my learning well
19. The library resources (e.g. books, online services and learning spaces) have supported my learning well
20. I have been able to access course-specific resources (e.g. equipment, facilities, software, collections) when I needed to

### Learning community
21. I feel part of a community of staff and students
22. I have had the right opportunities to work with other students as part of my course

### Student voice
23. I have had the right opportunities to provide feedback on my course
24. Staff value students' views and opinions about the course
25. It is clear how students' feedback on the course has been acted on

### Students' Union representation
26. The students' union (association or guild) effectively represents students' academic interests

**Overall satisfaction**

27. Overall, I am satisfied with the quality of the course


**Optional Question banks:**

**Students' Union**

28. The Students' Union (Association or Guild) had had a positive impact on my sense of belonging to the university or college.
29. The Students' Union (Association or Guild) has had a positive impact on the local community.
30. The Students' Union (Association or Guild) has helped me develop useful life skills.

**Social opportunities**

31. I have had plenty of opportunities to interact socially with other students.
32. I am satisfied with the range of clubs and societies on offer.
33. I am satisfied with the range of entertainment and social events on offer.

## University Fellowship nomination: Sir William Lithgow

**Background**

1. The award of Fellowship of the University was established by Court in 1988 following a recommendation by the then University Management Group that a new category of honorific award was required to show appreciation of notably long and distinguished service to the University.

2. Court resolved that:

   *(i) an honour entitled 'Fellowship of the University' be created;*

   *(ii) Fellowship of the University be awarded sparingly by Court as a symbol of very high esteem arising from long and distinguished service to the governance of the University;*

   *(iii) the Fellowship of the University be deemed to bestow on the recipient Membership of the University for as long as the Fellow shall live; and*

   *(iv) Fellows of the University be afforded an appropriate place in the Order of Precedence at ceremonies and have an appropriate costume [later established as a blue silk gown with collar and open sleeves half the length of the gown and with facings of scarlet silk, worn with a stiff-brimmed black velvet Tudor bonnet.]*

**Recent Fellowships**

3. Over the last fifteen years, Court has awarded University Fellowships to the following recipients:

   - Tom Monaghan, former Vice-Convener of Court and Treasurer - May 2004
   - Annabel MacNicoll Goldie, Member of the Scottish Parliament - November 2004
   - Andrew Hamnett, former Principal and Vice-Chancellor - May 2009
   - Dr Peter West, former University Secretary, 1990-2010 - May 2010
   - Dr Gerald Wilson, former Vice-Convener of Court - May 2011
   - David Gray, former Deputy Convener (Estates) and Court member – October 2014

4. In addition, former Conveners of Court Fraser Livingston and Richard Hunter were awarded Honorary Doctorates at congregations in June 2008 and June 2017, respectively.

**Nomination for Sir William Lithgow, 2nd Baronet of Ormsary**

5. In 1963, Sir William Lithgow was appointed the first Honorary President of the University of Strathclyde Students' Association (USSA) – his nomination was brought forward in the run-up to the formation of the University of Strathclyde the following year so Sir William was closely involved in governance during the creation of the University itself.

6. As Honorary President of USSA, Sir William served as the students' representative on the University Court and was a member of the General Convocation. He also sat on Court's Development Committee and was Convener of the Halls of Residence Committee.

7. In 1967, the Students Representative Council unanimously voted to re-elect Sir William as Honorary President for a second term, knowing that if he accepted he would likely choose to stay

only until the end of the University's first quinquennium and then resign. After 5 years in post, Sir William's resignation was reported at a meeting of the Council of the University of Strathclyde Students' Association on 23 May 1969. At that same meeting, the Council voted to award him Honorary Life Membership of USSA.

8. In 1969, Sir William presented to USSA the President's ceremonial graduation medal, which is still worn by the USSA President at graduations today.

9. Later, in 1979, Sir William was the recipient of an honorary degree of Doctor of Laws (LLD) from the University of Strathclyde. He was presented at congregation by Professor W.W. Fletcher, Department of Biology.

10. Beyond his direct and significant connections to the University of Strathclyde, Sir William is a Scottish industrialist and an icon of a previous generation of Scottish engineering entrepreneurs. In 1952, at the age of 24, he inherited the Scottish shipbuilding company, Lithgows, which at the time was the largest private shipbuilding concern in the world. In response to significant economic and political changes, Sir William successfully transitioned the business from shipbuilding into renewables and fish-farming/aquaculture – exemplifying Strathclyde's entrepreneurial ethos.

**Recommendations**

11. Court is invited to **approve** the nomination of Sir William Lithgow for the award of Fellowship of the University in recognition of his distinguished service to the governance of the University.

## Regulation Amendment - Committee Membership

**Introduction**

1. The Scottish Code of Good Higher Education Governance (2017) requires that Court members serving on standing committees of Court (with the exception of Audit Committee) are chosen solely for their skills and experience and not by their category of membership.

2. In March 2018, Court approved revised Terms of Reference, Composition and Contribution Pay Policy for the University's Remuneration Committee to ensure compliance with the Code and the composition of Court's standing committees has also been reviewed to ensure compliance with the Code.

**Scottish Code of Good Higher Education Governance (2017) (the Code)**

3. The Code, published in 2017, states the following in relation to the responsibilities of Court members and the membership of its committees in paragraphs 25 and 26.

   *All governing body members must be considered full members of the governing body and treated as such. Once appointed, all members assume the same responsibilities, obligations and rights and should be expected and supported to participate fully in all governing body business, unless a clear conflict of interest is identified…………………..Otherwise, there are different categories of member only in that there exist distinct routes to appointment to the governing body.*

   *Institutions are expected to set rules on committee memberships that are consistent with this principle. Institutions' rules must not preclude membership of any of the governing body's standing committees, with the exception of the Audit Committee, purely on the basis of the category of governing body member (in the sense of who appointed or elected that member). A conflict of interest may prevent a governing body member from taking up membership of a particular committee. Other than this, the primary determinant of committee membership is that its members have the ability (the required skills and the time) to contribute effectively to the committee.*

4. A review of the current composition of the standing committees of Court has therefore been undertaken and amendments are proposed in Appendix A which would bring the compositions in line with the Code. It is not expected that the current membership of these committees will need to be altered, with the exception of Court Business Group, but these amendments will remove any restrictions on membership when new members are being appointed.

**Standing Committees of Court**

5. There are six Standing Committees of Court in regulation 1.2. These are:

   - Remuneration Committee
   - Statutory Advisory Committee on Safety and Occupational Health
   - Audit and Risk Committee
   - Court Business Group
   - Court Membership Group
   - Enterprise and Investment Committee

Remuneration Committee
6.  In March 2018, Court approved revised Terms of Reference, Composition and Contribution Pay Policy for the University's Remuneration Committee to ensure compliance with the Code and taking into account recommendations emanating from the Effectiveness Review

Statutory Advisory Committee on Safety and Occupational Health (SACSOH)
7.  The proposal is for a minor amendment removing the requirement for the Court member serving on SACSOH to be a Lay member, opening up to all members.

Audit and Risk Committee
8.  Audit Committees are excepted from this part of the Code due to the need for all Audit Committee members to be external to the organisation.

Court Membership Group (CMG)
9.  In March 2018, Court also approved revised composition of Court Membership to ensure that the committee had a lay member majority in order to comply with the Code.  Senior officers who attended but were not also members of Court formally became attendees at CMG, rather than members.

10.  A small additional amendment is suggested to remove the necessity for the student member to be the Students' Association President and thereby open up membership to any student member of Court as the committee already has positions for unspecified, appointed staff and lay members.

Court Business Group (CBG)
(a)  It is proposed that the number of appointed lay members be reduced from four to two.  Three of these positions are currently vacant so this would have no immediate impact on membership and would make the overall size more effective.

11.  A further amendment is suggested, as with CMG, to remove the necessity for the student member to be the Students' Association President and thereby open up membership to any student member of Court as the committee already has positions for unspecified, appointed staff and lay members.

Enterprise and Investment Committee
12.  The proposal is, again, for a minor amendment removing the requirement for the Court members serving on EIC to be Lay members, opening up to all members with the primary determinant being that members have the required skills to contribute effectively to the committee.

**Recommendations**

13.  Court is invited to:
   - **discuss** and **approve** the required amendments to the constitutional regulations in order to comply with the Code.

### 1.2 Committees of Court

**Remuneration Committee**
*Terms of reference:*

1.2.1 To be responsible for

a) receiving comparative information on senior salaries and, where relevant, other emoluments and conditions of service, in the university sector and beyond as appropriate.

b) assessing the performance of and confirming the remuneration and conditions of service of, the Principal, taking account, where relevant, of the provisions of the Charter, Statutes and Ordinances. In assessing the performance of the Principal, views will be sought from members of Court and account will be taken of the implementation of the University's strategic plan and the achievement of Key Performance Indicators agreed by Court;

c) confirming the remuneration and conditions of service of the University Secretary, taking account, where relevant, of the provisions of the Charter, Statutes and Ordinances;

d) confirming the remuneration and conditions of service of other employed Senior Officers required for the proper governance of the University, taking into account, where relevant, the provisions of the Charter, Statutes and Ordinances. These posts being the Vice- Principal, the Chief Financial Officer, the Chief Commercial Officer, the Executive Dean of each Faculty and the Associate Principals;

e) ensuring appropriate arrangements are in place for seeking the views of key University stakeholders in relation to the remuneration of the Principal and the Senior Officers listed above;

f) confirming the remuneration and conditions of service of Directors of Professional Services required for the proper governance of the University, taking into account, where relevant, the provisions of the Charter, Statutes and Ordinances;

g) reviewing performance information of the above post holders, normally on an annual basis, and determining what adjustments should be made to the remuneration and conditions of service;

h) confirming the terms of agreed severance and/or early retirement of any of the above post holders. In so-doing, Remuneration Committee will ensure that it does not agree to any severance package which might be reasonably deemed excessive;

i) deciding on any issues referred to it involving the remuneration and conditions of service of Senior Staff where such a referral would represent good practice in the conduct of public life;

j) confirming the University's position on the affordability and acceptability of the terms of any national pay agreement proposed or entered into by the Universities and Colleges Employers Association;

k) ensuring that, in keeping within the terms of data protection legislation, pay decisions are appropriately transparent and salaries of the Executive Team are published by salary band;

l) reviewing and recommending to Court, at appropriate intervals, the policies and processes in place to support the Committee's decision-making, including any material changes to these;

m) reporting to Court on an annual basis with sufficient detail to satisfy Court that the responsibilities outlined above have been appropriately discharged.

**Composition:**

1.2.2 The Committee will be composed of:
(a) The Convener of Court *ex officio*
(b) The Treasurer *ex officio*
(c) The Vice Convener of Court *ex officio* (Chair)
(d) Up to four other members, appointed based on their skills and experience. These may be existing members of Court or external individuals co-opted to provide expertise not otherwise available amongst the membership of Court, subject to there being a majority of lay members on the Committee at all times (with the majority of these being members of Court) *

In attendance: The Principal**
Secretary: Director of Human Resources***
*Members of Court serving on the Committee will do so for a period concurrent with their membership of Court. Externally co-opted members will serve for an initial period of up to three years and will be eligible for reappointment twice.*

** *The Principal is not a member of the Remuneration Committee but will attend meetings at the invitation of the Chair in order to inform discussions on the remuneration and conditions of service of other Senior Officers. The Principal will not attend when his or her own remuneration and/or conditions of service are considered or determined.*

*** *The Secretary will withdraw when his or her own case is being considered.*

**Statutory Advisory Committee on Safety and Occupational Health**
*Terms of Reference*
1.2.5 The Committee meets four times per year to carry out the following functions:
(a) To provide a mechanism for the effective consultation with all staff through the Trade Union Health and Safety staff representatives on new areas of work activities or new hazards associated with work;
(b) To review all Occupational Health and Safety written arrangements, with Policy and Local Rules going forward to the Court and Executive Team respectively and Guidance approved by the Committee directly;
(c) To consider matters raised by Health and Safety Trade Union staff representatives;
(d) To consider matters raised by the University of Strathclyde Students' Association
(e) To review the provision of occupational health and safety training for staff;
(f) To review information provided relating to the occupational health and safety performance of the University;

(g) To ensure effective methods are utilised for the dissemination and communication of occupational health and safety information in the University;

(h) To consider reports made by enforcement authorities;

(i) To review reports submitted by the University's Occupational Health and Safety Advisers;

(j) To consider matters raised by Faculty Representatives/University Secretary escalated from departmental safety committees in their area;

(k) Escalating occupational health and safety matters for consideration to the Executive Team where appropriate to ensure the Court are informed or advised; and

(l) To form sub committees, as appropriate, to consider specific occupational health and safety matters.

*Composition*

1.2.6 The Committee will be composed of:

(a) The University Secretary (who shall be the Convener) or, in their absence, a member of the Executive Team, as nominated by the University Secretary;

(b) ~~Lay~~ member of Court (appointed by Court);

(c) Faculty Representatives, nominated by the Executive Dean of each Faculty, appointed by Court;

(d) President of the Students' Association; and

(e) Trade Union Health and Safety representatives as notified to the Committee Manager. One representative will be recognised for each Trade Union.

(f) In attendance as ex officio members:

    i. Director of Estates Services

    ii. Director of Human Resources

    iii. Head of Safety Services

In addition to Committee members and the above identified staff members, any staff member can be invited to attend or support the work of the Committee as required by the Convener of the Committee. The meetings will be recorded and made available to all staff. The Terms of Reference will be reviewed on an annual basis and approved by University Court each year. The Committee will be quorate with four members present (two representing management and two representatives for staff/students).

**Court Business Group**

*Terms of Reference*

1.2.15 The Committee's purpose will be:

(a) To support the formulation, development and delivery of the University's strategy and long term sustainability;

(b) To consider and advise Court on strategic policy development across all aspects of the University's business, including the initiation of strategic policy reviews;

(c) To support and challenge the formulation of strategic and annual financial plans and forecasts aligned to the delivery of the Court's strategic plans;

(d) To consider the University's performance and progress against plan including review of quarterly Business Reports;

(e) To undertake other duties delegated to it by the Court as specified in the Scheme of Delegation.

*Composition*

1.2.16 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) ~~Four~~ Up to two appointed ~~other~~ lay members of Court
(e) The Principal *ex officio*
(f) The Vice-Principal *ex officio*
(g) The University Secretary
(h) The Chief Financial Officer
(i) An appointed student member of Court
~~(i) The President of the Students' Association~~
(j) An appointed staff member of Court

**Court Membership Group**
*Terms of Reference*
1.2.17 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*
1.2.18 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) An appointed student member of Court
~~(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*

**Enterprise and Investment Committee**
*Terms of Reference*
1.2.19 The Committee's purpose will be:
(a) To review commercial investment proposals presented by the University's Commercial Investment Team and to make recommendations on investments in companies created by University staff and students, as well as license deals and other commercial joint ventures;
(b) To undertake an annual review of the University portfolio of shareholdings and make portfolio management recommendations;

(c) To undertake a quarterly review of the University's deal-flow pipeline of potential commercial investments (staff & students) and make recommendations to the University's Commercial Investment Team;

(d) To undertake an annual review of the University's management of commercial investment capital & fund management, licence deals, joint ventures and other venturing arrangements and make recommendations;

(e) To oversee the management of the Strathclyde Entrepreneur's Fund;

(f) To participate in an annual strategy session on the University commercial investment approach to review commercial investment operations and performance and its contributions to relevant University initiatives;

(g) To provide advice and support on a case by case basis direct to University portfolio companies;

(h) To support University commercial investment activities and related initiatives through attendance at University and University-related events;

(i) To promote the University commercial investment activities and related initiatives to relevant interested parties, including, investors, advisors, Government Ministers and public policymakers;

(j) To report to Court on the activities of the Enterprise and Investment Committee on a regular basis, including the production of an annual report

*Composition*

1.2.20 The Committee will be composed of:

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

(b) The Principal *ex officio*

(c) The Chief Financial Officer *ex officio*

(d) The Treasurer *ex officio*

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

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

*Period of Office*

1.2.21 Members of the Enterprise and Investment Committee, other than *ex officio* members and ~~lay~~ members of Court, shall be appointed for an initial period of up to three years from the 1 August following their date of appointment and shall normally be eligible for re-appointment twice

**HANDBOOK FOR MEMBERS OF THE UNIVERSITY COURT 2018/19**

**20~~17/~~18/19 Edition**

## 1. THE UNIVERSITY

### .1 Introduction

The University of Strathclyde was founded in 1796 by Professor John Anderson who bequeathed the bulk of his property 'to the public for the good of mankind and the improvement of science'. Following various transitions and mergers the University of Strathclyde was granted a Royal Charter in 1964. The University is now the third largest in Scotland with some approximately 224,500 students, and some 3,600 staff. The University's main campus is the John Anderson Campus in the centre of Glasgow. There are four academic Faculties: Humanities and Social Sciences; Engineering; Science; and the Strathclyde Business School.

The Strategic Plan 2015-2020 was approved by Court in June 2015. It represents the core of the University's ambitions up to 2020 and demonstrates how these will be achieved. The Plan is structured around a number of Strategic and Cross-cutting Themes, which support the full realisation of our vision as a socially progressive, leading international technological university inspired by its founding mission as 'the place of useful learning'. The Court receives regular reports on the delivery of the Plan, including progress against our 16 Key Performance Indicators.

### .2 Legal Status

The University is a legally independent corporate institution established by Royal Charter. The University Charter sets out the objects and powers of the University, which are further elaborated in the Statutes. It also identifies particular officers and committees of the University and sets out their main functions, powers and (where appropriate) composition. The Charter and Statutes may only be amended following approval by the Privy Council (last amended in July 2017) and are accessible here.

### .3 The Funding Council

The Scottish Funding Council (SFC) is the body that distributes funding for teaching and learning, research and other activities in Scotland's colleges and universities. The SFC is a non departmental public body of the Scottish Government and was established on 3 October 2005 under the terms of the Further and Higher Education (Scotland) Act 2005. It replaced the former Scottish Further Education Funding Council and the Scottish Higher Education Funding Council, bringing together funding and support for Scotland's colleges and universities under one body. Further information about the SFC, its role and responsibilities, is available at the following web site http://www.sfc.ac.uk/.

Court is responsible to the SFC through a Financial Memorandum for certain financial matters. This Memorandum sets out the terms and conditions under which the Funding Council will make payments to those institutions from the funds made available by Scottish Ministers. It also places certain obligations on the University in terms of the use of public funds made available to it and the reporting requirements that the University has to meet in relation to these funds. It expects Court to have in place proper arrangements for the governance, leadership and management of the University as required under its Charter and Statutes. It also sets out that the University's Chief Executive Officer, the Principal, is directly accountable to the Court for the proper conduct of the University's affairs and to the SFC for the proper use of funds deriving from the Scottish Ministers. Court is required to present audited financial statements for each financial year, and is responsible for keeping proper accounting records which disclose with reasonable accuracy at any time the financial position of the University.

### .4 Governance

The Scottish Code of Good Higher Education Governance was first published in July 2013 and subsequently reviewed and updated in December 2017. Tthe University is required to report on how it is complying with the Ceode in its Aannual Report, via a Statement of Corporate GovernanceFinancial Statements.

Court receives quarterly reports on the University's performance, covering the areas of: finance; staffing and infrastructure; research and knowledge exchange; and, students and education. Court also receives regular performance monitoring reports on major areas of activity throughout the year.

## 2. THE UNIVERSITY COURT

### .1 Role and responsibilities

Court is the governing body of the University and, as such, is responsible for the management and administration of all the revenue and property of the University, ensuring the effective management of the University, planning its future development and has general control over the University and all its affairs except as otherwise provided in the Charter. It is also responsible for the reputation and financial health of the University, the employment of all staff and for the well-being of the staff and students. In relation to academic matters it will only act in conjunction with Senate. The Statement of Primary Responsibilities of the Court is attached at **Annex 1.**

Each year the Court reviews the University Strategy (although the Strategic Plan is not updated annually), the financial forecasts, and the annual operating plans and budgets for the following year. Court monitors the performance of the University against the targets set in the Strategic Plan.

Court is responsible, through its designated officers, for the health and safety of all staff and students as well as any visitors to the University. It has a Statutory Advisory Committee on Safety and Occupational Health (SACSOH) which produces the health and safety policy and regulations for the University. It reports to Court at least annually on the management of health and safety within the University and identifies areas where improvements are required and where improvements have been made.

The role and responsibilities of members of Court are described in **Annex 2.** Essentially these may be summarised as follows:

- The proper conduct of public business;
- Enabling the University to achieve its stated aims and objectives;
- Ensuring the solvency and safeguarding the assets of the University;
- Overseeing the strategic management of the University;
- Monitoring performance against the targets set; and
- Protecting the reputation and values of the University.

The effective conduct of the University's business is built upon a relationship of trust, confidence and the sharing of information between the Principal (the Chief Executive of the University), the Convener of Court and the members of Court.

### .2 Membership

The Statutes provide for the Court to have 24 members, the majority of whom are lay i.e. they are neither members of staff nor students of the University. The lay members have

a broad range of expertise and experience which they bring to Court in addition to providing an independent perspective and an awareness of the wider public interest.

The Principal and Vice-Principal are members of Court, as are five members of academic staff drawn fromelected by the Senate and one member drawn elected from amongst and by from the Professional Services staff. There are also two student members of Court, one of these being the President of the Students Association. The University Secretary and Compliance Officer (USCO) acts as Secretary to the Court. In addition, a number of Officers of the Universitymembers of the University's Executive Team regularly attend meetings of the Court. The membership is available here.

### .3 Meetings

Court normally meets five times each year. One of these meetings is a residential meeting in November, spread over two days (normally a Thursday and Friday), where all members have the opportunity to meet and discuss a range of matters in a more informal atmosphere. Members of Court have found this meeting a particularly enjoyable and useful experience. It has proved to be a useful team building exercise, as well as providing the opportunity to have a full and forthright discussion of the key issues facing the University and the strategic direction of the University.

Papers for each meeting are normally issued one week in advance of the meeting (electronically, via a dedicated, secure SharePoint portal). The papers are structured to provide members of Court with clear and concise information in order to assist them reach fully informed decisions. Members of Court are free to ask for further information and are encouraged to engage in debate at the meetings. Standing Orders of the Court are issued to all members of the Court when they join.

### .4 Induction

An Induction Seminar is held when new members of Court are appointed. Members are provided with an information pack which comprises copies of various documents including those already mentioned in this Handbook as well as this Handbookthis Handbook and other key materials. The role of Court and its members is discussed in detail, together with a discussion of the main issues facing the University, the general strategic direction it is taking, how it is financed and how it manages its finances.

### .5 Register of Interests

The University has in place a Register of Interests of members of Court. This is maintained by the USCO University Secretary and Compliance Officer and is published on the University's website here. Any member of Court who has a material interest, either directly or through a partner, spouse or close relative (e.g. dependent children) in matters likely to be considered by Court should declare that interest. Such declarations should describe the interest clearly and state whether it carries either direct or indirect financial interests.

### .6 Public Interest Disclosure

The University is committed to the highest standards of openness, probity and accountability. It seeks to conduct its affairs in a responsible manner taking into account the requirements of the funding bodies and the standards expected in public life. The University has in place a public interest disclosure policy (whistleblowing) which sets out what individuals should do if they believe that they have discovered malpractice or impropriety in the University. It also offers some protection to members of staff to raise

such concerns without fear of reprisals or being dismissed, so long as these matters are raised in good faith. A copy of this policy is available here (currently under review).

3. **CONVENER OF COURT**

The Convener of Court is appointed from amongst the lay members of Court, initially for a period of two years, but the individual may be reappointed for a further three years, provided that no person shall hold office for more than five consecutive years. The Convener is responsible for chairing the meetings of Court and for ensuring that the meetings are conducted effectively, in accordance with the Charter and Statutes, and that the Court understands its role and responsibilities.

The Convener of Court can attend, in an *ex officio* capacity, any Committee of the University that is responsible for the management and administration of revenue, property, staff and students of the University and of all joint committees of Court and Senate (except the Audit Committee and the Executive Team, unless otherwise specified in the Statutes or Ordinances). The Convener represents the University at the Committee of Chairs of University Courts and the Scottish Committee of Chairs of University Courts.

Court has delegated authority to the Convener of Court to take day to day decisions on behalf of Court on the understanding that (a) all such appropriate advice would beis taken from both lay and other Court members and (b) all such action would beis reported to the next meeting of Court for homologation. A fuller description of the role and responsibilities of the Convener of Court is attached at **Annex 3.**

4. **THE PRINCIPAL AND VICE-CHANCELLOR**

The Principal is the Chief Academic and Administrative Officer of the *de facto* Head of Institution and the University's chief executive officer and is appointed under the terms of the University Charter and Statutes. The Principal has overall responsibility for the executive and day to day management of the University, as well as the day to day management of the University, and is accountable to the Court for the discharge of his or her responsibilities. Under the terms of the Financial Memorandum with the Funding Council the Principal is directly accountable to the Court for the proper conduct of the University's affairs and to the SFC for the proper use of funds deriving from the Scottish Ministers.

The Principal chairs the Senate (the chief academic body within the University's academic governing body) and the Executive Team.

5. **THE UNIVERSITY SECRETARY AND COMPLIANCE OFFICER**

The University Secretary and Compliance Officer (USCO) is responsible for providing secretarial services for the Court and Senate and, under the direction of the Principal, is responsible for the administration of the University.

The USCO is Secretary to the Court and as such has a responsibility to ensure that the Court is conducting its affairs within its powers and follows proper procedures. The USCO provides advice to the Convener and members of Court, both individually and collectively, regarding their responsibilities and how these should be discharged. The USCO works closely with the Convener of Court and the Principal to ensure that Court business is effectively discharged and communicated as appropriate throughout the University.

## 6. COURT OFFICERS

In addition to the Convener of Court, a Vice-Convener, two Deputy Conveners, and a Treasurer are appointed from amongst the lay members of Court. The Vice-Convener is appointed from amongst the lay members and chairs Court meetings in the absence of the Convener. He or she also acts as the "Court intermediary".

The Treasurer and Deputy Conveners are appointed to assist the Convener in the discharge of Court business and for overseeing particular areas of activity within the University. The areas of business are:

- Financial matters – the Treasurer
- Estates and property matters – the Deputy Convener (Estates)
- Staffing and employment matters – the Deputy Convener (Staff).

A description of the role of the Court Officers is attached at **Annex 4.**

## 7. COURT BUSINESS GROUP

The Court Business Group is the body that considers the business coming forward to Court in order to ensure that Court receives the information it needs to take clear, effective decisions. It helps to facilitate the flow of business to Court, provides an assurance to members of Court that the matters coming forward have been fully considered elsewhere in the system, and helps shape the agenda for each meeting. The lay members of this Group are also members of some of the main University committees and so can provide background information on many of the matters coming forward.

The Court Business Group also undertakes other general duties, as delegated by Court from time to time or as specified within Court's Schedule of Delegated Authority.

## 8. COMMITTEES

As stated earlier, Court is the governing body of the University. It is supported in its role by a number of Committees which are all formally constituted with terms of reference. The Besides the Court Business Group, the other main committees in the Universityof Court are:

- **Senate** – the chief academic body of the University, established under terms specified in the Charter and Statutes. It is responsible for the academic work of the University, including both teaching and research, and for the regulation and superintendence of the education and discipline of the students. It also authorises the granting of all degrees, diplomas, certificates and other awards on those who have satisfied the conditions of the award. It is chaired by the Principal.

- **Executive Team** – develops the overall strategic direction of the University, taking account of the resources at its disposal and the need to ensure sustainability in all aspects of University business, and makes proposals on these, as appropriate, to Senate and to Court for final approval. It is chaired by the Principal.

- **Audit & Risk Committee** – reviews and monitors effective accounting policies and practices, financial and other internal controls; advises Court on the appointment and duties of both Internal and External auditors, and monitors their performance; approves the audit plans for both the internal and external auditors; reviews the draft Financial Statements and the risk assessment and management report prior to their

submission to Court. It is chaired by a lay member of Court – currently ~~Gillian Hastings~~Paula Galloway.

- **~~Staff Committee – develops the staffing strategy and advises Court on various policy matters, including terms and conditions of service, staff development and training, review of performance and appraisal. It is chaired by a Senior Officer, currently the Vice-Principal.~~**

- **~~Estates Committee – oversight of the University's estates strategy, including all major property developments, and recommends to Court the acquisition, disposal and leasing of property. It reports to Court on the implementation of the capital development programme (the Estates Development Framework) which is guided by the University's Strategic Plan, Estates Strategy and Financial Regulations. It is chaired by a Senior Officer, currently the Vice-Principal.~~**

- **Enterprise and Investment Committee** – reviews and makes recommendations on commercial investment proposals as well as license deals and other commercial joint ventures. It makes recommendations to the Executive Team and reports regularly to Court. It~~and~~ is chaired by the Chief ~~Operating~~ Commercial Officer.

- **Remuneration Committee** – reviews the salary and performance of the Executive Team and Directors of Professional Services annually, and confirms the terms and conditions of service of these posts. It is chaired by the Vice-Convener of Court.

- **Court Membership Group** – considers the appointment of the Deputy Conveners of Court, the nominations for co-opted vacancies in the membership of Court and considers the matter of succession planning in relation to membership of Court and other University committees that have Court representation on them, and makes recommendations to Court accordingly. It is chaired by the Convener of Court.

- **Statutory Advisory Committee on Safety and Occupational Health** – responsible to Court for the proper application of the Health and Safety at Work etc Act 1974 and for all other relevant legislation and statutory requirements in this area; develops the University's safety policy and regulations; reviews the effectiveness of safety management within the University and of safety training offered to staff and students; conducts inspections and investigations as necessary. It is chaired by the ~~Chief Operating Officer~~University Secretary and Compliance Officer.

The other main committees of the University which work closely with and report regularly to Court include:

- **Senate** – the chief academic body of the University, established under terms specified in the Charter and Statutes. It is responsible for the academic work of the University, including both teaching and research, and for the regulation and superintendence of the education and discipline of the students. It also authorises the granting of all degrees, diplomas, certificates and other awards on those who have satisfied the conditions of the award. It is chaired by the Principal.

- **Executive Team** – develops the overall strategic direction of the University, taking account of the resources at its disposal and the need to ensure sustainability in all aspects of University business, and makes proposals on these, as appropriate, to Senate and to Court for final approval. It is chaired by the Principal.

- **Staff Committee** – develops the staffing strategy and advises Court on various policy matters, including terms and conditions of service, staff development and training, review of performance and appraisal. It is chaired by a Senior Officer of the University.

- **Estates Committee** – oversight of the University's estates strategy, including all major property developments, and recommends to Court the acquisition, disposal and leasing of property. It reports to Court on the implementation of the capital development programme (the Estates Development Framework) which is guided by the University's Strategic Plan, Estates Strategy and Financial Regulations. It is chaired by a Senior Officer of the University.

Further information on the University's committee structure can be found here.

9. **CODE OF CONDUCT FOR MEMBERS OF COURT**

This Code of Conduct applies equally to all members of Court and to anyone attending meetings of Court. Members of Court are responsible for ensuring that the Court should discharges its their responsibilities with due regard for the proper conduct of public business. As such, and in line with the The University has taken account of the Scottish Code of Good Higher Education Governance, members of Court must act in accordance with and commends the Nine Principles of Public Life in Scotland (which incorporate the original seven "Nolan Principles" drawn up by the Committee on Standards in Public Life)the Seven Principles of Public Life, as recommended by the Committee on Standards in Public Life (the Nolan Committee), to all members of Court. These seven nine principles are:

i. **Duty –** holders of public office have a duty to act in the interests of the organisation of which they are a Board member and to act in accordance with the core tasks of the body

i.ii. **Selflessness –** holders of public office should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

ii.iii. **Integrity** – holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.

iii.iv. **Objectivity** – In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

iv.v. **Accountability and Stewardship** – holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

v.vi. **Openness** – holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

vi.vii. **Honesty** – holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

viii. **Leadership** – holders of public office should promote and support these principles by leadership and example.

vii.ix. **Respect** – holders of public office must respect fellow members of their organisation and employees of the body and the role they play, treating them with courtesy at all times.

In particular members of Court should:

- declare any interest, whether personal or business, which may conflict with their role as a member of Court, or other University Committee, or with any particular item of business under discussion. This might involve the individual leaving the meeting during discussion of a particular item of business or, in extreme cases, resigning their membership of Court;
- accept that decisions are taken in the manner of corporate responsibility. If an individual does not agree with any decision taken they may either accept corporate responsibility or ask that their objection to the decision be recorded in the minutes of the meeting;
- respect certain aspects of confidentiality depending on the nature of the business concerned. These are normally identified as being reserved items of business under Freedom of Information legislation. This relates primarily to matters of commercial confidentiality (e.g. spin-out companies) or draft reports;
- be aware that from time to time there may be other 'reserved' discussions or items of business (e.g. For example, there may be particular sensitive staffing matters) - when it would not be appropriate for student members of Court to be present. Members are always notified in advance and advised accordingly;
- members appointed or electednominated by particular constituencies should not always act in the best interests of the University and not as if delegated by the group they represent;
- attend as many meetings of the Court as they can.

Finally, members of Court should bring these qualities to their role as members of any other committees within the University.

*Revised July 20187*

**Annex 1**

**UNIVERSITY OF STRATHCLYDE COURT STATEMENT OF PRIMARY RESPONSIBILITIES AND MATTERS RESERVED TO COURT**

**General**

Under the terms of the University Charter, Court is the Governing Body of the University and is responsible for overseeing the management and administration of the whole of the revenue and property of the University. Court exercises general control over the University and all its affairs, purposes and functions, taking all final decisions on matters of fundamental concern to the University. Court is responsible for safeguarding the University's good name and values.

Court's Primary Responsibilities are detailed as follows:

**Staff and Students**

1. To be the employing authority for all staff within the University and to make such provision as it thinks fit for their general welfare;
2. To appoint the Principal and Vice-Chancellor of the University, including the terms and conditions of such appointment, and to put in place suitable arrangements for the monitoring of his/her performance – both the appointment and monitoring of performance of the Principal shall include consultation with all members of Court;
3. To appoint the University Secretary and to ensure that he or she has separate lines of accountability for the provision of services to the Court, for the administration of the University and for the fulfilment of managerial responsibilities within the institution;
4. To ensure the quality of educational provision within the University;
5. To make such provision as it thinks fit following consultation with the Senate, for the general welfare of its students;

**Financial responsibilities**

6. To ensure the solvency of the University and to safeguard its assets;
7. To act as trustee for any property, legacy endowment, bequest or gift in support of the work and welfare of the institution;
8. To approve the University's annual financial statements;
9. To ensure that proper books of accounts are kept in accordance with all relevant regulations and codes of conduct;
10. To ensure the proper use of public funds awarded to the University and to ensure that the terms of the Financial Memorandum with the Funding Council are observed;
11. To approve the main annual budgets within the University;
12. To ensure appropriate arrangements for the economic, efficient and effective management of the University's resources and expenditure;

**Strategic responsibilities**

13. To approve the mission statement of the University and all its strategic plans including its aims for the teaching and research of the institution and identifying the financial, physical and staff requirements required to achieve these, and for ensuring that these meet the interests of stakeholders;
14. To approve a financial strategy for the University, as well as long-term business plans;
15. To approve an estates strategy for the management, development and maintenance of the University land and buildings in support of institutional objectives;
16. To approve a human resource strategy and to ensure that appropriate development and reward arrangements are in place for the employees and that these are appropriate to

the needs of the institution;

16.17.   To provide leadership in equality and diversity across all protected characteristics, assuming responsibility for the University's strategy and policy on equality and diversity.

## Controls

17.18.   To ensure that systems are in place for meeting all the University's legal obligations, including those arising from contracts and other legal commitments made in the University's name;

18.19.   To ensure compliance with the University's Charter, Statutes, Ordinances and Regulations, as well as all UK and European legislation where applicable;

19.20.   To be responsible for the form, custody and use of the University's Common Seal;

20.21.   To make clear and to review regularly the executive authority and other powers delegated to the Convener of Court, the Principal and Vice-Chancellor, to other senior officers and to all bodies of the University including the Senate and committees of Court;

21.22.   To ensure that systems are in place for the assessment and management of risk, to regularly review such matters and to conduct an annual assessment;

22.23.   To establish and monitor effective systems of internal control and accountability throughout the University;

23.24.   To ensure that appropriate arrangements are in place for external and internal audit;

24.25.   To ensure that appropriate arrangements are in place for the proper management of health and safety in respect of students, staff and other persons on University premises or affected by University operations;

## Monitoring performance and effectiveness

25.26.   To monitor the University's performance against its strategic plan and key performance indicators, and to benchmark the University's performance against other comparable institutions;

26.27.   To monitor and review the performance and effectiveness of the Court itself and other University committees;

27.28.   To ensure, through the appointment of lay members in accordance with the University Statutes, a balance of skills and expertise amongst the membership of Court, such as is required to meet its primary responsibilities;

28.29.   To ensure that the proceedings of Court are conducted in accordance with best practice in higher education corporate governance and with the Nine Principles of Public Life in Scotland (which incorporate the original seven "Nolan Principles" drawn up by the Committee on Standards in Public Life);

29.30.   To ensure that procedures are in place within the University for dealing with internal grievances, conflicts of interest and public interest disclosure.

*Approved Subject to approval by the University Court on 28 September 4 October 2018 7.*

**Annex 2**

**THE ROLE OF MEMBERS OF THE UNIVERSITY COURT**

**1.     The role of All Members**

**All members** of Court should:

- offer to Court the best possible level of expertise, information and advice in pursuit of achievement of the strategic aims of the University
- question intelligently the business before Court and debate constructively
- conduct themselves in accordance with the Nine Principles of Public Life in Scotland (which incorporate the original seven "Nolan Principles" drawn up by the Committee on Standards in Public Life)accepted standards of behaviour in public life as recommended by the Committee on Standards in Public Life (the Nolan Committee)
- endeavour to attend meetings of the Court (normally five meetings each year) and to serve on other groups reporting to Court as the Court may require
- share collectively in the responsibility for the decisions made by the Court
- declare any interest, whether personal or business, which may conflict with their role as a member of Court or with any particular item of business under discussion
- respect certain aspects of confidentiality depending on the nature of the business under discussion
- act independently and in the best interests of the University, not as if delegated by any particular group or body, even when they may be nominated, appointed or elected by a particular group.

**Lay Members** in particular bring to the Court's deliberations knowledge, expertise, judgement and balance which may not be available among the members appointed from amongst the staff or students of the University. Their principal assets will be their independence, detachment and the provision of an external view; and their principal contributions will be:
- to challenge rigorously
- to decide dispassionately and to give an independent view on possible internal conflicts of interest
- to listen sensitively to the views of others
- to remind the University of the public interest in its affairs and to advise on the public presentation of the University
- to offer specialist skills in given areas.

**Staff and Student Members** in particular bring to the Court's deliberations knowledge, expertise and experience of the University, including its systems, procedures and culture. Their principal assets will be:
- to communicate a sense of the culture of the University to members of Court
- to raise matters of concern within the University without re-opening the detail of discussions and decisions that have taken place elsewhere in the University
- to bring to Court their knowledge gained from student engagement, wider academic and other activities, such as membership of regulatory and professional bodies and international contacts
- to bring to Court their knowledge and expertise of the range of student and academic matters, including both teaching and research
- to assist in the dissemination, where appropriate and respecting confidentiality, of Court business within the University community.

## 2. The qualities required of members of Court

The qualities required of members of Court include:

- commitment to the University, its values and its objectives
- the ability to discuss a wide range of matters in a respectful and professional manner
- an appreciation of the broad social, economic and other trends affecting universities
- the capacity to question information and explanations supplied by officers of the University
- common sense, honesty and integrity.

## 3. Time required

The time required of members of Court will vary, but will not normally be less than the equivalent of one day per month (or 12 days per annum). There are currently five scheduled meetings of Court per annum, one of these (November) being organised over two days. The main commitment will be during the period September to June, and the main time commitment will be spent reading and preparing for meetings. For those who are members of other committees or groups as well, then the time commitment will be greater.

Members of Court will also be invited to attend certain University functions and events, including Student Inaugurations, University Day, Graduation ceremonies and other functions. Members of Court are encouraged to attend as many of these as they can, particularly Graduation ceremonies.

## 4. Persons not appointable as lay members

In the light of the role and responsibilities of Court the appointment of certain individuals as lay members could compromise effective good governance and so they would not normally be considered for membership. This may be due to:

- significant and/or recurrent conflict of interests, e.g. where an individual is a member of a governing body of another university, or is a member of staff of the firm employed as External Auditors to the University;
- a lack of wider experience, expertise or demonstrable independence; or
- persons, however eminent in public life, who are unable or unwilling to attend the main meetings of Court or to devote appropriate time to Court business.

Please note that the University's Statutes do not allow the appointment of current staff or students as lay members.

Updated July 20187

**Annex 3**

### CONVENER OF COURT

The Convener of Court is appointed under the terms of Statute 2, for a period of two years in the first instance and may be reappointed for a further three years, provided that no person shall hold office for more than five consecutive years.

**Role and responsibilities:**

- To chair the governing body of the University and to ensure that such meetings proceed efficiently and effectively
- To conduct Court business in accordance with the Charter and Statutes of the University
- To ensure that the governing body understands its strategic role and is aware of its responsibilities as set out in the University Charter and Statutes, its Statement of Primary Responsibilities and the Financial Memorandum with the Funding Council
- To ensure that the members of Court work together effectively and have confidence in the procedures laid down for the conduct of business
- To ensure that the Court observes the principles of public life and does not become involved in the day-to-day executive management of the University.

The Convener of Court can attend, in an *ex officio* capacity, any Committee of the University that is responsible for the management and administration of revenue, property, staff and students of the University and of all joint committees of Court and Senate (except the Audit Committee and the Executive Team, unless otherwise specified in the Statutes or Ordinances). In particular, the Convener of Court (or their nominee) c:

i) Chairs the following committees:

- the Joint Committee of Court and Senate responsible for the appointment of the Principal and Vice-Chancellor
- the Senior Academic Remuneration Panel
- the Court Membership Group
- the Court Business Group

ii) is a member of the following committees:

- Ordinance 4 Committees for the appointment of Professorial staff and their equivalent
- The Administrative and Professional Services Review Panel

> **Commented [DT1]:** Committees no longer in use

The Convener of Court represents the University at the Committee of Chairs of University Courts and the Scottish Committee of Chairs of University Courts. Additionally, the Convener of Court is invited to attend certain ceremonial functions within the University, such as University DayStudent Inaugurations, Graduation ceremonies and similar events.

Court has delegated authority to the Convener of Court to take day to day decisions on behalf of Court on the understanding that (a) appropriate advice would isbe taken from both lay and other Court members and (b) all such action would beis reported to the next meeting for homologation. The Convener of Court is also authorised to call extraordinary meetings of Court if it should prove necessary.

The role of Convener of Court is a demanding one and requires individuals who are prepared
- to commit to the University;.

14

- to work with the Senior ~~Managers~~ Officers of the University to ensure that the University achieves its strategic aims, ~~but not be afraid to~~providing appropriate and ~~challenge~~rigorous challenge ~~them~~ when necessary;
- to provide leadership to the Court; and
- to represent the University at events as appropriate.

The time commitment for this post varies throughout the year, as some periods are more demanding than others. This is particularly evident in the lead up to Court meetings. The Convener also attends other committee meetings. Additionally, there are certain duties which are required of the Convener and others where the Convener may exercise some choice whether to undertake or not.

The overall time commitment for essential duties is estimated to be the equivalent of around 30-40 days per year, but these are not necessarily full days.

The Convener also represents the University at a number of external events, which may be in addition to this.

*Updated July 2017/8*

**Annex 4**

## THE ROLE OF COURT OFFICERS

The role and responsibilities of the Convener of Court are set out separately. However, there are other lay members of Court who are appointed to take on a specific role. These are as follows:

**Vice Convener of Court (and "Court intermediary")**

The Vice-Convener of Court is appointed from amongst the lay members of Court. The Vice-Convener will deputise for the Convener when required and will chair meetings of the Court in the absence of the Convener. The Vice-Convener also acts as the "Court intermediary" for other members of Court who may wish to raise concerns about the conduct of the governing body or the Convener. All Court members are provided with a formal opportunity annually to provide confidential feedback on the Convener's performance as part of the Court's survey and self-appraisal.

**Treasurer**

The Treasurer will work closely with Senior Officers of the University on financial matters and on the strategy relating to the financial commitments of the University, so as to be able to give assurance that all relevant advice is made available to Court on all matters of significance relating to the financial affairs of the University.

In addition to Court the Treasurer is a member of Court Business Group, the Remuneration Committee, Estates Committee, and the Court Membership Group and may attend certain meetings of the Audit & Risk Committee.

**Deputy Convener (Estates)**

The Deputy Convener (Estates) will work closely with Senior Officers of the University on strategy relating to the property commitments and the development of the University estate in line with the strategic priorities of the University; and on other property matters so as to be able to give assurance that all relevant advice is made available to the Court in matters of property maintenance, development and disposal. The Deputy Convener is a member of the Estates Committee, the Remuneration Committee, the Court Business Group, and the Court Membership Group.

**Deputy Convener (Staff)**

The Deputy Convener (Staff) will work closely with Senior Officers of the University in monitoring staffing strategy and policy relating to the employer commitments of the University so as to be in a position to give assurance to Court as it fulfils its legal role as the employer of all University staff.

The Deputy Convener is a member of the Staff Committee, the Remuneration Committee, the Court Business Group, Court Membership Group, Senior Academic Review and Development Panel, and the Academic Professional Appointments Panel.

**Convener of the Audit & Risk Committee**

The Convener of the Audit & Risk Committee, in addition to chairing meetings of that Committee, is responsible for advising Court on policy relating to the financial and other internal control systems within the University, including compliance with all relevant financial regulations and accounting standards, and will report to Court on their effectiveness. The Convener of the Audit & Risk Committee will work closely with both the Internal and External Auditors in order to provide an assurance to Court that the University is meeting its responsibilities in such matters.

*Updated July 2017/8*

16

**UNIVERSITY OF STRATHCLYDE**

**COURT**

**STANDING ORDERS**

## Interpretation of Standing Orders

1. Any dispute as to the interpretation of the following Standing Orders shall be resolved by the Convener of Court whose decision shall be final.

## Appointment of Convener, Vice-Convener and Arrangement for Chairing of Meetings

2. The Convener of Court shall preside over meetings of the Court.

3. The Convener of Court is appointed from amongst the lay members of Court (i.e. those members who are not members of staff or students of the University) initially for a period of two years, but may be re-appointed thereafter for a further three years, provided that no person shall hold office for more than five consecutive years. The Convener will normally be appointed at the last ordinary meeting before the end of July in the year when the appointment is due for review on the basis of a recommendation from the ~~Convener of Court Nominations~~Court Membership Group.

4. In the absence of the Convener the Vice-Convener shall preside.

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

6. In the absence of both the Convener and the Vice-Convener, the members present shall elect a Convener for that meeting from among those members present who are not members of staff or students of the University.

## Meetings of Court

7. The dates of ordinary meetings of Court in any year shall be approved by the Court prior to the end of the preceding academic year. There will be no fewer than four ordinary meetings in any academic year.

8. A Special Meeting of the Court may be called by resolution of the Court, or by the Convener where he/she considers such a meeting is necessary and desirable, or if the Convener should receive a written request signed by not fewer than one quarter of the members of the Court specifying the matter(s) to be considered. Members will normally be given ten days' notice of such a Special Meeting.

## Quorum

9. One-third of the membership of the Court shall constitute a quorum (Statute 2.6). If within half an hour after the time appointed for a meeting a quorum is not present, the Convener may adjourn the meeting in accordance with Regulation 1.11.

10. The Convener may with the consent of any meeting at which a quorum is present (and shall if so desired by the meeting) adjourn the meeting, but no business shall be transacted at any adjourned meeting other than the business left unfinished at the original meeting.

## Procedure at Meetings of Court

11. A member who wishes an item of business to be discussed shall preferably identify that item to the Convener either beforehand or at the start of the meeting, but it may be taken during the course of the meeting at the discretion of the Convener. Items of business which appear on the agenda but which are not identified for discussion will be assumed to have received the approval of Court *nem con* and recorded as such in the minutes of the meeting.

12. A Member may speak on any item(s) of business which is before the Court for consideration or on points of information, points of explanation or points of order. If ~~— unless~~ the Convener declares, exceptionally, that an item is 'closed business' for reasons of confidentially or commercial sensitivity, he or she may ask that any ~~non~~ Court attendees at the meeting recuse themselves for that particular item of business. ~~and is therefore not open to discussion by the whole of Court. 'Closed business' would normally include matters relating to an individual member of the University or commercially sensitive material.~~

13. Motions which members wish to bring forward at any meeting must be communicated in writing to the ~~Chief Operating Officer~~University Secretary and Compliance Officer (or their nominee) in time to be entered on the Agenda, as provided in Standing Order 22. Motions and Amendments arising out of business on the Agenda may be dealt with without being previously notified. However, before putting such a Motion or Amendment the Convener may require it to be placed in his/her hands in writing. All Motions and Amendments must be proposed and seconded.

14. An Amendment, if moved and seconded, shall be put before the Motion to which it refers. If there are two or more Amendments, they shall be put in the order determined by the Convener.

15. Except by permission of Court no member shall speak more than once on any Motion or Amendment provided that:

    i) the proposer of any Motion or Amendment shall have a right of reply, and

    ii) the seconder of any Motion or Amendment shall have a right to speak in any case in which he/she has seconded the Motion or Amendment in a formal manner without having made a speech when so doing.

16. Any Motion or Amendment put to a meeting of Court shall be decided on a show of hands (of members only).

17. Except as otherwise provided in these Standing Orders or the University's governing instruments, a simple majority of the members present and voting at any meeting shall be sufficient to carry any Motion or Amendment.

18. No Motion to alter or rescind any resolution passed within the preceeding six months shall be competent except with the consent of two-thirds of the members present.

19. The Convener shall have both a deliberative and a casting vote.

20. All ordinary meetings of the Court shall terminate within three hours from the commencement of the meeting unless Standing Order 3~~2~~~~1~~ is invoked. If the meeting has been in progress for more than three hours opposed business will not be taken except by a leave of a majority of not less than two-thirds of the members present.

## Court Papers and Minutes

21. The ~~Chief Operating Officer~~University Secretary and Compliance Officer shall be responsible for providing secretarial services for the Court.

22. Papers relevant to a meeting of the Court shall be issued one week in advance of the meeting. Late papers will be issued at the discretion of the Convener.

23. The Minutes of meetings of Court shall normally be circulated to members within two weeks of the meeting to which they refer.

24. The agenda, minutes, and selected papers are published on the Court website as soon as practicable following a meeting of Court. The kinds of matter that may not be published, for reasons of confidentiality, include (but are not limited to) commercially sensitive items, items containing personal information and draft reports.

## Committees of Court

~~23.~~25. The Court may establish Committees of its members, and others as considered appropriate, to which it may delegate such powers or functions which it is itself competent to perform (Statute 2.2). The Court may also establish Joint Committees of Court and Senate to which the Court may appoint members of Court and the Senate may appoint members of Senate (Statute 2.2).

~~24.~~26. In addition to those specified in Statutes, the Court, consistent with its obligations under the terms of the Financial Memorandum between the University and the Scottish Funding Council, has established an Audit & Risk Committee, a Remuneration Committee and a Nominations Committee (Court Membership Group).

~~25.~~27. Such committees may report direct to the Court or through an intermediate body as the Court may determine.

~~26.~~28. Any member of the Court who is not a member of a given Committee may submit to the Committee any matter within the Committee's terms of reference, and the member of Court referred to shall be entitled to appear before the Committee to explain or support the said matter, but he/she shall not be entitled to vote thereon.

## Removal of Convener or Member of Court

~~27.~~29. Under the terms of Ordinance 4.5 any member of the Court, other than an ex officio member or a member of academic staff to whom Ordinance 4.3 applies, may be removed from office for good cause by the Court.

~~28.~~30. Ordinance 4.5 defines 'good cause' as meaning:

a) conviction for an offence which may be deemed by the Court, as the case may be, to be such as to render the person convicted unfit for the execution of the duties of the office; or

b) conduct of an immoral, scandalous or disgraceful nature incompatible with the duties of the office; or

c) conduct constituting failure or persistent refusal or neglect or inability to perform the duties or comply with the conditions of office whether such failure results from physical or mental incapacity or otherwise.

29.31. No member shall be removed from office for good cause by the Court unless he/she shall have been given a reasonable opportunity of being heard.

**Suspension, Amendment or Repeal of Standing Order**

30.32. Any one or more of these Standing Orders may be suspended for any specified item of business by a resolution passed by not less than two-thirds of the members present and voting.

31.33. These Standing Orders may be amended or repealed by the Court at any meeting provided that any proposed amendment or repeal is stated in the papers of the meeting and is approved by not less than two-thirds of the members present and voting.

Approved at Court on 2 October 2014
Tracked changes subject to approval by Court on 4 October 2018

**Annual Statement on Institution-led Review of Quality
Academic Year 2017-18 for the Scottish Funding Council**

**Introduction**

1.  This report provides the University of Strathclyde's annual statement on institution-led review of quality assurance and enhancement activity for the academic year 2017-18.

2.  As an institution we are committed to taking an innovative outlook to generate new ideas, create opportunities and engage in effective partnerships and synergies across our Education provision, and Research and Knowledge Exchange activities. Taking a pro-active, reflective and self-evaluative approach is therefore critical to our success; both in terms of defining our strategic goals, aligning our education priorities and creating meaningful measures which demonstrate our underpinning effectiveness and in our progress towards overall enhancement of the student experience.

3.  As the academic governing body of the University, Senate plays a pivotal role in leading cross-institution evaluation and monitoring of academic matters, including learning enhancement, academic standards and quality. All Education committees report to Senate, which considers all matters relating to the strategic direction of our Education provision. The University's committee structure oversees all Education strategy, provision, monitoring and enhancement and continues to operate effectively. The Education Strategy Committee (ESC), convened by the Vice Principal, provides strategic direction with the Quality Assurance Committee (QAC) overseeing our institutional quality framework and the Learning Enhancement Committee (LEC) focusing upon enhancement of learning and teaching. The creation of the Graduate Apprenticeship/ Degree Apprenticeship Steering Group and the Strathclyde Online Learning Committee in 2017-18 ensures that the online learning and degree apprenticeship programmes meet the University's standards and quality assurance aspects while strengthening the University's portfolio of programmes offered. The Deputy Associate Principals (Learning and Teaching) hold convenorship of LEC and QAC. Each education committee produces an annual reflective report which draws together achievements for the year and proposes priority areas for the year ahead. These reports are available here. The education priorities for 2018-19 are detailed in annex 1.

    The educational ethos and approach at Strathclyde is one of continual innovation to provide an intellectually stimulating environment and complement and build on our strengths in research and knowledge exchange. Our strategic aim is to develop students who are engaged, enterprising, enquiring, and ethically, globally and culturally aware. Our strategic aims for Education are led by our Education Strategy Committee which sets priorities on an annual basis as agreed with members of this committee and those of Learning Enhancement Committee and Quality Assurance Committee. The University of Strathclyde engaged with the Quality Assurance Agency (Scotland) in a constructive annual discussion with the QAA Institutional Contact in November 2017. Discussions focused on the University; preparation for ELIR 4 and in particular how we reflect on our mission and distinctiveness and capture this within our contextualised areas of thematic focus.

**Institution-Led (Internal) Review Activity**

*Overview*

4.  The Quality Assurance Committee of the University's Senate has overall responsibility for the quality assurance of the University's academic provision, programmes and of the academic standards of its awards through its oversight of annual and cyclical quality assurance processes. It considers the outcomes of subject reviews from a holistic perspective and identifies issues that have relevance and impact across the institution. Faculties must conform to the Procedures and Guidelines for Institution-Led (Internal) Review set by the University in line with its statutory responsibilities. Oversight for the delivery of reviews is undertaken by Quality Assurance Committee on behalf of Senate.

5.  Responsibility for annual course and class monitoring and review lies at Faculty and Department / School level. Additionally, Faculty Annual Reports are considered jointly by the Quality Assurance and Learning Enhancement Committees of Senate. These reports provide updates on enhancement activities and confirmation that appropriate quality assurance is in place in each of the four Faculties. This integrated approach also facilitates sharing of good practice and learning enhancements across the University. As well as a reflective analysis of AY 2016-17, there continues to be a strengthened focus on how each Faculty's enhancement activities contribute to the delivery of overall strategic priorities and the annual report template aligns with the ELIR methodology. These reports are peer-reviewed and provide a valuable source of examples of good practice for wider dissemination across all Faculties and professional services. The reports are also used to inform annual priorities, institutional strategic developments (for example, teaching and learning infrastructure developments, themes and areas for action for professional and support services and institutional responses to external consultations).

6.  Student representation is integral to our internal review processes with a student representative forming an essential part of the review panel membership. Meetings are also held with representative groups of students to inform the deliberations and recommendations of review panels. Students are engaged and involved in academic quality in many ways; through class representation, participation in Student-Staff Liaison Committees, University-wide focus groups, and membership of Faculty Academic Committees and associated Faculty Learning and Teaching Committees. Members of the University of Strathclyde Students' Association are members of Senate and Court and the key University Committees including the Learning Enhancement Committee, Quality Assurance Committee and Education Strategy Committee. The new Student Experience Committee due to be convened in session 2018-19, will be chaired by the Strathclyde Students' Association President and will incorporate membership from across the student body, as well as representatives from departments/ Schools and Professional Services.

*Institution-Led (Internal) Review Schedule 2017-18*

7.  Institution-Led (Internal) Reviews took place in 2017-18 as outlined in the table below. Headline messages were provided post-quinquennial reviews for the following departments: Chemical and Process Engineering; and, Marketing. Full reports will be considered by QAC in semester one in 2018-

19.

| Faculty | Department / School |
|---|---|
| Engineering | Chemical and Process Engineering* |
| Humanities & Social Sciences | HaSS Graduate School<br>Humanities** |
| Strathclyde Business School | Human Resources Management<br>Accounting and Finance<br>Marketing*<br>Hunter Centre for Entrepreneurship** |

*Headline messages received by QAC in 2017-18, full reports will be submitted to the Committee in 2018-19.
** Reviews took place after the last QAC meeting of 2017-18 on 25th April. Full reports will be submitted to the Committee in 2018/19.

8. QAC approved the postponement to the review of Pure and Applied Chemistry. This review was due to take place in May 2018 however the department identified and approached six different potential external assessors but as a result of the industrial action in February and March with potential action in May, none of the external assessors were able to commit. In view of this turbulence in the sector, the Faculty decided to postpone the review to autumn 2018, in expectation that the necessary externality will be secured.

**Institution-Led (Internal) Review Outcomes**

9. Senate has oversight of all internal review outcomes through the Senate Business Committee, which receives Internal Review reports submitted to the Quality Assurance Committee. These are provided in Faculty reports to Senate and Senate also receives minutes of Quality Assurance Committee meetings at which the Review reports are considered, highlighting any commendations and recommendations.

10. A common theme emerging from the internal reviews presented to QAC in 2017-18 was innovation in learning and teaching, for example: the department of Design, Manufacture and Engineering Management (DMEM) was commended for its involvement with the Skills Development Scotland-funded Graduate Apprenticeships, introduced in 2017-18; in the School of Psychological Sciences and Health it was noted that each UG programme within the School has worked to enhance assessment and feedback since first participation in the NSS. As a result, there has been marked improvements in student satisfaction as measured by the five NSS questions related to assessment and feedback; the Department of Mathematics and Statistics' approach to teaching mathematical sciences is through "active learning" ie students are led through calculations and problems by the lecturer in the classroom. The Department makes extensive use of Myplace to provide notes, exercises, worked solutions, quizzes and links to further material; and, the departments of Human Resource Management, Accounting & Finance and Marketing were all singled out for their external engagement with policy makers and employers in supporting employability and research opportunities for students. Other outcomes were focused around the departments'/ Schools'

innovative use of technology to aid student learning and assessment; the utilisation of Staff Student Liaison Committees in obtaining student feedback; and, the engagement of academic and professional services staff in supporting students in their progression through University.

11. The internal review process also involves making recommendations to Schools/ departments on areas for future focus, for example: the department of Naval Architecture, Ocean and Marine Engineering (NAOME) was encouraged to increase international recruitment of students via a more focused marketing strategy; the department of Marketing was encouraged to consider a strategy for the retention of senior talent; in the department of Mathematics and Statistics it was recommended that the University make the necessary resources available to support lecture capture and other mechanisms which can be used to support the delivery of online learning; the Department of Management Science was asked to review the shape of curriculum content, formal and informal assessment to ensure an appropriate balance across the full teaching calendar and maximise student engagement in Induction/Development Weeks; and, in the department of Economics it was suggested that it consider further the consistency of approach in relation to feedback and assessment turnaround times for PGT programmes.

12. Outcomes from Internal Reviews are reported to the Quality Assurance Committee, with Heads of Department taking responsibility for and leading on forward actions. At Faculty level outcomes and responses are monitored at Academic Committee and Board of Study and institutional level through the Quality Assurance Committee and enhancements are progressed through the Learning Enhancement Committee.

13. The outcomes of external accreditation visits are considered at Faculty Academic Committees and also reported to the Quality Assurance Committee on an annual basis; these will be considered at its first meeting of the session in September 2018.

*External Review*

14. In April 2018 the University of Strathclyde renewed its contract with our foundation pathway Provider, Study Group UK (Bellerbys Education Services Ltd), to host the International Study Centre (ISC). Quality Assurance Committee receives the Centre's annual progress report which reports on the ongoing academic quality and enhancement activities of the Centre. The University's Study Group partnership is strong and the ISC continues to liaise well with colleagues across the University, particularly the Vice Deans (Academic), Faculty-specific Link Tutors and the Student Experience and Enhancement Services Directorate. A Centre Review of the Strathclyde ISC was held in March 2018 in accordance with the Provider Centre Review Process. A number of recommendations and affirmations were made to the Centre

**External Accreditation**

15. Accreditation and re-accreditation visits by various Professional, Statutory and Regulatory Bodies took place as outlined in annex 3. Unless otherwise stated, all visits led to the envisioned validation / accreditation / re-accreditation being awarded.

### *Student Progression, Retention and Awards*

16. QAC is responsible for monitoring student retention, progression and awards data together with analysing trends around Voluntary Suspension. This information is now more readily and easily accessible through the Strathclyde University Business Intelligence Reports and Dashboard (SUnBIRD) System and QAC has received demonstrations throughout the year from Strategy and Policy colleagues showing SUnBIRD to be an easily accessible system providing real-time information for key stakeholders. A report on the analysis of 2017-18 Voluntary Suspension statistics will be presented to QAC at its first meeting in September 2018. Student engagement rates for our online students are currently being monitored through a VLE-based tool that has been developed as part of our Learning Analytics activity.

17. Faculties are responsible for submitting a report to the December meeting of QAC providing commentary on undergraduate and postgraduate taught classes where the pass rate is less than 75%. As of 2017-18 the Faculties are directly responsible for analysing this data after the final Board of Examiners in September/ October.

### *Feedback from Students*

18. As part of its wider learning enhancement agenda the University continues to embed the NSS Improvement Framework to further strengthen engagement with staff and students in the National Students Survey. Institutional and subject NSS "heat maps" were developed in 2016-17 and local NSS improvement plans produced. The content of the NSS Improvement Plans across all Departments and Schools for 2017-18 were informed by University-run NSS Improvement Framework Forums, focusing on Organisation and Management and the Student Voice. For 2018/19 this process has been extended to cover all aspects of learning and teaching planning to ensure greater embedding of enhancements beyond responding to NSS.

19. In line with the QAA Quality Code requirements, the University's Policies and Procedures are due to be reviewed on a 3 yearly basis. As such in January 2018 the University re-convened the Assessment and Feedback Working Group to review the suite of assessment and feedback policies, procedures and guidelines that were introduced/ reviewed in 2013-14. The membership of the Working Group comprises representatives from Strath Union, Faculties, Professional Services and the Deputy Associate Principals (Learning and Teaching). The Working Group meets on a fortnightly basis to develop new policies and procedures such as a Policy on the Late Submission of Coursework and a Moderation and Second Marking Policy and to review the existing suite of policies, procedures and guidelines to ensure they continue to be relevant and reflective of existing practice. The University's Transforming the Experience of Students through Assessment (TESTA) coordinator also sits on the Working Group and offers insights and reflections into the common themes emerging from the eight programmes that have participated in TESTA to date around the key challenges faced by students around assessment and feedback.

20. The TESTA methodology will now be embedded across the University following the strategic pilots in 2015-16 in the Law School and the Strathclyde Institute of Pharmacy and Biomedical Sciences.

The process is now being adopted in Pure and Applied Chemistry, Mechanical and Aerospace Engineering, Computer and Information Sciences, Chemical and Process Engineering, School of Education and within the Strathclyde Business School. Following discussions at Learning Enhancement Committee and Assessment and Feedback Working Group, TESTA will now embedded in the Institution (Led) Internal Review process as of 2018-19.

21. The Surveys and Metrics Working Group (SMWG) is now in its second year of operation and has become established as a forum for review, reflection, dissemination and discussion of key surveys, metrics and league table information. It is a proactive group that brings together key strategic leaders and representatives from across the University on a quarterly basis to focus on ensuring the institution has a good understanding of its performance in student-related surveys and metrics, in the context of comparator institutions and the sector overall. It has also provided a platform for reporting the progress of strategic projects relating to surveys and metrics, as well as a group to highlight related developments in the sector. New developments for the SMWG this year have been: an Interactive Good University Guide league table tool; an institutional approach to module evaluation pilot; and, advanced reporting techniques have been introduced for a number of surveys eg heatmaps have been provided for the NSS and now also DLHE, with institutional and subject level disaggregation.

22. Pursuing curriculum enhancement activities informed by student feedback from survey, including NSS and PTES, is overseen by the Learning Enhancement Committee.

### Student Engagement

23. The University continues to enjoy a highly productive relationship with the Strathclyde Students' Association (Strath Union). Sabbatical officers participate in all senior University committees and engage in the work of these Committees outwith the cycle of meetings.

24. Monitoring the student experience is effected through a range of mechanisms, through institutional level meetings between key Professional Services, Strath Union Student Executive and Academic Leads, alongside Student-Staff Liaison Committees, class evaluation and informal feedback.

25. The Student Executive collectively participates in all self-evaluation activities led through our University committees. All senior committees of Senate, along with all sub-committees, working groups and special task groups have student representation from the appropriate Student Executive members. This ensures that the student voice is at the heart of our reflective and evaluative processes and is able to influence the output and implementations of key strategic activities across the institution. Commonly, the Student Executive will reach out to the wider student body through meetings, surveys and social media to capture a cross-section of views. Similar processes are used by student and class representatives on Student-Staff Liaison Committees, and the student Faculty Representatives who serve on Faculty committees. Students are also partners in key institutional strategic projects such as the development of the Strathclyde Sports Building and in the design of the Learning and Teaching Building.

26. In 2018, the University Senate endorsed a proposal to create the Student Experience Committee, convened by the Strathclyde Union President, with membership from across the student representative system and University of Strathclyde staff. The committee presents an opportunity for a holistic approach to our continued partnership working between the University of Strathclyde Students' Association, the wider student community and the student facing services of the University, extending across the University Professional Services and academic schools and departments. It provides a forum for extending active and regular engagement in the partnership approach captured within our Student Partnership Agreement, alongside providing opportunity for review, comment and tracking progress on partnership projects. It reports into and informs engagement with Education Strategy Committee and strategic projects to enhance the student experience.

**Annual Monitoring Processes**

27. An overview of annual quality monitoring processes conducted under the auspices of the Quality Assurance Committee is captured in Annex 4.

**Public Information about Quality**

28. The Strategy and Policy Directorate is the key contact point for public information on our strategic targets and wider institutional facts and figures including the verification and provision for external reporting of data used by league table compilers, and for internal queries relating to analysis of education performance.

29. Through the SUnBIRD System, we are continuously working to meet internal information needs for readily-accessible, clearly presented information from corporate data systems. This corporate management information system is using data warehouse and data visualisation software to present data in the form of dashboards with accompanying reports, offering users additional information and enhanced functionality using multiple internal and external sources in the corporate data warehouse. It includes many data items and indicators such as UCAS tariff points, retention rates, undergraduate and postgraduate student population including data on progression and degree outcomes as well as widening participation and protected characteristics. The Strategy and Policy Directorate provided regular updates to Quality Assurance Committee and the Surveys and Metrics Working Group on developments around SUnBIRD. The Surveys Team also produces data sets for departments and schools for the learning and teaching planning and faculty reporting processes.

30. The Student Surveys Team within the Student Experience and Enhancement Services Directorate prepares analyses of a wide range of student survey data incorporating the NSS, PTES, PRES, DHLE, International Student Barometer and UK Engagement Survey along with an internal Strathclyde Undergraduate Student Survey [aimed at all undergraduates not being surveyed in the National Student Survey, which asks students to provide their views on their course and university experience] and an induction survey on the experience of first year undergraduate students. The Student Surveys Team works closely with the Faculties to manage and promote engagement with external survey submissions. Summary outcomes from these surveys are disseminated externally and internally via the Student Surveys webpage.

31. The University's presentation of public information regarding all of its undergraduate courses is consistent and accessible through its participation in UNISTATS. The return has generated a welcome consistency in the presentation and collation of information, with a new undergraduate course web site now published online. Course prospectuses are published after consultation between the University's Marketing and Development Services Directorate and academic Departments and Schools. All publications are signed off by a key contact nominated by the Head of Department / School.

32. The University continues to work in accordance with the Competition and Market Authority guidelines and updated student fees are now available on the University web pages together with a list of associated costs relating to a course such as the cost of equipment and materials required.

33. Our course regulations are published externally. We now operate a more streamlined approach to the regulations and have monthly triage meetings to ensure that minor amendments are dealt with on a regular basis and reported to Academic Regulations Review Group meetings which then focus on more substantial, strategic issues. This works well for both the Faculties, Working Group members, and ensures consistency in practice across our undergraduate, postgraduate taught and postgraduate research provision.

**Institutional Reporting on Quality**

34. While the University Senate confers delegated responsibilities for detailed scrutiny of quality assurance matters to the Quality Assurance Committee, significant matters of note are referred to Senate for consideration and approval. The University Court also has oversight of institutional quality reporting via quarterly Court Business Reports. Quality assurance matters are incorporated within reports on our Education provision that are submitted to Education Strategy Committee on an annual basis.

**Forward plan of Internal Reviews**

35. A summary of the forward plan of internal reviews is attached as Annex 2.

**Annual Statement of Assurance**

36. In line with SFC guidance, an annual statement of assurance confirming that this report has been endorsed by Court (the University's governing body) will be signed by the Convener of Court and returned under separate cover.

**Further information**

37. For further information, contact Ms Sarah Currie, Education Quality and Policy Officer, sarah.currie@strath.ac.uk 0141 548 4602.

## ANNEX 1: OUTSTANDING STUDENT EXPERIENCE
### Priorities for 2017/18 to be reviewed for 2018-19

| Education Strategy Committee | Quality Assurance Committee | Learning Enhancement Committee |
|---|---|---|
| • **Course Review Enhancement and Development (CREaD):**<br>• Oversee a reflective review of the curriculum development processes.<br>• Review internal and external education focused developments and drivers for change.<br>• Potential to re-shape current approaches to course development<br>• Consider opportunities to integrate and harmonise related processes.<br>• **Academic Year:** Continue to monitor the implementation, embedding and enhancement of the reshaped academic year, through ongoing engagement with Faculties and students.<br>• **NSS:** Ongoing monitoring of the NSS Improvement Framework and working with Faculties to ensure the continued embedding of NSS improvement plans.<br>• **Learning and Teaching in Strathclyde (LATIS):** Receive updates and input to the development of LATIS to maximise integration of priorities for our distinctive education provision and an outstanding student experience.<br>• **Learner Journey Indicators (formerly EPIs):** Support the implementation of the framework for institutional **LJIs** through ongoing cross-University engagement.<br>• **Widening Access and Participation:** Monitoring the effectiveness of our Widening Access and Participation Strategy and continue to reflect on success measures and opportunities for further institutional enhancements.<br>• **Work-based Learning and Graduate level Apprenticeships (GLAs):**<br>• Continue to monitor opportunities for expanding and developing new areas of degree level provision through work based learning.<br>• Steering Group for GLAs will oversee the University's engagement with emerging GLA Frameworks in Scotland and the development and application of Standards for Degree Apprenticeships in England.<br>• **Strathclyde Online:** Monitor phases of implementation activity of Strathclyde Online through updates from the working committee and recommendations from the output of the survey.<br>• **ESC, QAC, LEC, & STEP**: Working together to connect strategic priorities for learning and teaching and staff development | • **Maintain Core Activities**<br>• Enhancement of **underpinning QA systems, reports** and process.<br>• Ongoing review of the **Schedule of Business and related reporting.**<br>• **Analysis and evaluation of revised Internal Review Policy,** process and reporting to be undertaken with key stakeholders.<br>• Continued and proactive monitoring of FAR reporting and actions.<br>• Development of processes for **continued monitoring of student progression, retention and awards** via SUnBIRD data.<br>• Ongoing monitoring **of academic reporting and actions linked to NSS** Improvement Framework Plans<br>• Review of ELIR 4 information and guidance to inform **preparations for the University's next ELIR** to be scheduled in 2018-19.<br>• Linked to **CREaD**:<br>• consideration of how the Improvement Plans fit with the annual planning cycle, Faculty Annual Report timescales and the implications of the annual monitoring process around learning and teaching.<br>• Review the Course and Class Approval Policy for 2017/18, to reflect alignment with revised approval timelines, and output from the Executive Team-led What Works: Course Approval project. | • **Evidence Based Enhancement:** Lead the QAA Enhancement Theme: 'Evidence Based Enhancement' to provide support for learning enhancement activities, best practice sharing and to further enhance the student experience.<br>• **NSS**: Support work to share expertise and lessons from well-performing academic and professional service areas.<br>• **Assessment and Feedback:**<br>• Oversee and review performance of **TESTA**.<br>• Continue to enhance assessment and feedback **policy and practice**, placing particular emphasis on the scheduling and sequencing of assessments and the related feedback, student voice and responsibilities.<br>• **Digital Education**: Continue to support the development of the digital education framework including development of Myplace and MOOCs and Strathclyde Online.<br>• **Learning Analytics**: Continue to support the Learning Analytics Steering Group in its work with the second phase of the learning analytics project.<br>• **ELIR: O**versee progress on ELIR 3 follow-up and ELIR 4 preparation in conjunction with ESC and QAC.<br>• **STEP**: Support STEP to assure embedding of strategic priorities for learning and teaching and the staff development programme.<br>• LEC will continue to explore ways in which there can be increased flexibility to enable more students to engage in the types of innovative and **active experiential learning** that the University is providing.<br>• Lead and oversee the review of Strathclyde's approach to the Higher Education Achievement Report (**HEAR**), informing the development of SIMS in this regard. |

**Faculties, Departments, Schools, Professional Services and Students**

## University of Strathclyde
## Schedule of Internal (Subject Area) Reviews

| Faculty | Type of Review | Department/School | Next review date | Last Reviewed |
|---|---|---|---|---|
| Engineering | Departmental | Architecture | 2020/21 | 2015/16 (March 2016); 2010/11 (April 2011) |
| Engineering | Departmental | Biomedical Engineering (NCPO & Bioengineering merged from 2012/13) | 2018/19 | 2014/15 |
| Engineering | Departmental | Chemical and Process Engineering | 2022/23 | 2017/18 (full report to come to QAC in Sept 2018), 2012/13; |
| Engineering | Departmental | Civil and Environmental Engineering | 2020/21 | 2015/16 (Nov 2015) 2010/11 (Nov 2010); 2004/05 |
| Engineering | Departmental | Design, Manufacture and Engineering Management (DMEM) | 2021/22 | 2016/17(full report to come to QAC in Sept 2018), 2011/12 (June 2012); 2006/07 (Apr 2007); 2000/01 |
| Engineering | Departmental | Electronic & Electrical Engineering | 2018/19 | 2013/14; 2008/09 (Jan 09); 2002/03, |
| Engineering | Departmental | Mechanical and Aerospace Engineering | 2019/20 | 2014/15; 2009/10; 2004/05 |
| Engineering | Departmental | Naval Architecture, Ocean and Marine Engineering (NAME) | 2021/22 | 2016/17 (Dec 2016), 2011/12 (May 2012); 2006/07 (Apr 2007) |
| Science | Departmental | Computer & Information Sciences | 2020/21 | 2015/16 (March 2016) b/f from 2016/17 to balance the cycle of reviews within Science to one per year; 2011/12 (March 2012); 2006/07 - undertaken as a University-led review (rather than Faculty-led). |
| Science | Departmental | Mathematics & Statistics (Mathematics and STAMS merged from 2009/10) | 2021/22 | 2016/17 (May 2017), 2011/12 (April 2012); 2006/07 - Maths; 2005/06 - STAMS |
| Science | Departmental | Physics | 2019/20 | 2009/10 (Oct 2009); 2004/05, 2014-15 |
| Science | Departmental | Pure and Applied Chemistry | 2018/19* | Postponed from May 2018 until Autumn 2018 as agreed at QAC on 25/4/2018)*, 2012/13; 2007/08 (Feb 08) |
| Science | Departmental | Strathclyde Institute of Pharmacy and Biomedical Sciences | 2018/19 | 2013/14; 2008/09 (Feb 2009). |
| SBS | Learning, Teaching, Assessment and the Student Experience | Management Science | 2021/22 | 2016/17 (April 2017) |
| SBS | Learning, Teaching, Assessment and the Student Experience | Economics | 2021/22 | 2016/17 (June 2017) |
| SBS | Learning, Teaching, Assessment and the Student Experience | Accounting and Finance | 2022/23 | 2017/18 (Nov 2017) |
| SBS | Learning, Teaching, Assessment and the Student Experience | Human Resource Management | 2022/23 | 2017/18 (Feb 2018) |

| | | | | |
|---|---|---|---|---|
| SBS | Learning, Teaching, Assessment and the Student Experience | Hunter Centre for Entrepreneurship | 2022/23 | 2017/18 (May 2018) |
| SBS | Learning, Teaching, Assessment and the Student Experience | Marketing | 2022/23 | 2017/18 (March 2018) |
| Humanities & Social Sciences | School | Education | 2019/20 | 2014/15 |
| Humanities & Social Sciences | School | Humanities | 2022/23 | 2017/18 (April 2018), 2012/13 |
| Humanities & Social Sciences | School | Psychological Sciences and Health | 2021/22 | 2016/17 (May 2017), 2011/12 (March 2012) |
| Humanities & Social Sciences | School | Social Work and Social Policy | 2020/21 | 2015/16 (April 2016) deferred from 2014/15 |
| Humanities & Social Sciences | School | Government and Public Policy (Government) | 2018/19 | 2013/14; 2008/09 (Nov 2008) 2001 |
| Humanities & Social Sciences | School | Law (Law School) | 2020/21 | 2015/16 (April 2016); 2009/10 (Feb 2011) |
| Humanities & Social Sciences | Cross-Faculty | Graduate School | 2022/23 | 2017-18 |

**Annex 3**

**Accreditation and re-accreditation visits by various Professional, Statutory and Regulatory Bodies**

| Faculty | Department / School / Course | Reviewing body | Date of Visit |
|---|---|---|---|
| HaSS | School of Psychological Sciences and Health (PSH), BSc (Hons) Speech and Language Pathology | Health & Care Professionals Council (HCPC) | April 2018 (annual accreditation visit) |
| Science | Mathematics &Statistics | Institute of Mathematics – for the Chartered Mathematician (CMath) | No visit made – re-accredited via letter on 1 February 2018 |
| | **Pure and Applied Chemistry** MChem Forensic & Analytical Chemistry MSc Forensic Science | The Chartered Society of Forensic Sciences | December 2017 |
| Engineering | **Architecture** MSc Urban Design | RTPI (Royal Town Planning Institute) | March 2018 |

| | | | |
|---|---|---|---|
| | **Electronic and Electrical Engineering**<br>- MEng/BEng Computer & Electronic Systems<br>- MEng/BEng Electronic and Electrical Engineering<br>- MEng Computer and Electronic Systems with International Study<br>- MEng Electronic and Electrical Engineering with Business Studies<br>- MEng Electronic and Electrical Engineering with International Studies<br>- MEng Electrical Energy Systems<br>- MEng Electronic and Digital Systems<br>- MSc Advanced Electrical Power Engineering (2 year programme)<br>- MSc Communications, Control and Digital Signal Processing<br>- MSc Electrical Power Engineering with Business<br>- MSc Electronic and Electrical Engineering<br>- MSc 5G Advanced Communications (name change formerly MSc Signal Processing)<br>- MSc Wind Energy Systems | IET (Institution of Engineering & Technology) | December 2017 |
| SBS | **Faculty** | EQUIS | October/ November 2017 |

## Annex 4: Quality Assurance Committee - Main Business Considered Annually

**V-DAs are required report on classes below 75% pass rate**

**Data drawn from Planning statistics to show key trends over a 4 year period**

**Where appropriate QAC makes recommendations to ESC and Senate respecting policy changes**

**Online database operational. Faculties undertake a full audit and review every 3 years.**

**Produced for joint meeting of QAC and LEC by Faculty Managers in consultation with V-D (A) and departments, incorporating peer review by 2 other Faculties and Education Enhancement. Discussed extensively at Faculty level. Information gathered disseminated to appropriate areas in the University**

**QAC has approved School Reviews for HaSS and Learning, Teaching and Assessment focussed-Reviews for SBS disciplines. Science and Engineering Faculties will continue with the system of holistic Departmental (subject area) Reviews.**

**Annual report to Scottish Funding Council on internal review activity**

### Annual Monitoring

a. Annual Class Monitoring (UG IM PGT) – overview of classes below 75% pass rate
b. Review of progression and awards (UG PGT PGR)
c. Overview and issues arising from Complaints, Senate Discipline and Senate Appeals Cases
d. Report on academic policy reviews
e. Collaborative Provision – overview of agreements, QAA Audit Visits

### Student Feedback

a. NSS Survey
   b. Report on outcomes of NSS, High Level Analysis and identification areas of Good Practice (produced by SEES)
c. PRES Survey
d. PTES Survey
e. Institutional Analysis of Student Feedback summary

### Internal Review

a) Faculty Reports: Quality Assurance and Enhancement
b) Departmental Review – Issues Relating to Learning & Teaching
c) PSB Accreditation Visits – outcomes and recommendations
d) Institutional Statement on Internal Review (approved by Senate and Court)

### External Examiners

- Appointment of External Examiners
- Appointment of Examining Committees for PGR students
- Summary Reports from External Examiners and Departmental Responses
- Extracts from minutes of Faculty Academic Committees
- Overview and Key Trends

**A detailed analysis of student of the outcomes of the NSS is prepared for Senate. The DAP (L&T) and the Director of SEES have individual meetings with Deans, Faculty Managers and designated staff within each Faculty to discuss detailed results, trends, student comments, etc. NSS Improvement Plans in operation.**
Meetings are also held with staff from high performing areas (sharing of good practice) and low performing areas to address poor results and identify any support needed.
The ADP (L&T) and the Director of SEES also visit high performing institutions to learn from their good

**On receipt EE reports are considered by HoDs/Course Directors who are required to respond directly to EEs. Using Sharepoint, EEs submit reports electronically and there is a built-in facility for HoDs/Course Directors to comment. Issues of significant concern are brought to the attention of the DAPP (Learning and Teaching and the relevant Vice-Dean (Academic).**
**Summary reports are generated for scrutiny by QAC. Reports are also considered by Faculty Academic Committees.**

ENTREPRENEURIAL UNIVERSITY OF THE YEAR WINNER

## Annual Survey of Court Members 2018
## Summary of Responses

**Background**

1. The Scottish Code of Good Higher Education Governance requires Court to keep its effectiveness under annual review. There are currently two elements to this process. Firstly, the survey of members which provides the opportunity for anonymised feedback and it is the summary findings from this survey which are detailed below and secondly is the Convener's follow up with Court members subsequent to the analysis of the survey outputs. A graphical representation of the questions which supported this analysis is included at Annex B

2. During July/August 2018, Court members were invited to complete an online survey on their experiences of Court and its effectiveness over the previous 12 months. The survey contained 10 questions (see Annex A) and responses were received from 12 members (a response rate of 52%). This was followed up in September with individual follow up between the Convener and Court members. Of the 12 respondents 83% were Lay Members and the remainder were staff members. Where members provided contact arrangements for the summer period they have been contacted and either discussion has taken place or messages left offering the opportunity for discussion.

**Summary findings**

3. An analysis of the survey responses indicated that Court members generally:

   • Feel the effectiveness of Court has improved since the externally-facilitated review undertaken in 2017;
   • Understand their role as a member of Court;
   • Are familiar with Court's Primary Responsibilities;
   • Feel able to contribute to the University's strategic development;
   • Feel that Court adds value to the effectiveness with which the University is governed;
   • Feel they have made positive and evident contributions to the work of the University;
   • Are pleased with the level of support provided by other Court members, senior officers, and Professional Services staff;
   • Are content with the day and time of Court meetings (11 respondents).

4. Respondents felt that their most significant contributions included:

   • Early support to a Strathclyde 2025 project;
   • Membership of Court committees;
   • Highlighting a potential change in Scottish Government policy to the Executive.
   • Drawing on experience of student-centred practice to assess and critique information;
   • Discussions on the strategic direction of the university.

5. When asked what prevented them from contributing further some respondents cited lack of time, inability to attend fully and volume of business as limiting their ability to contribute as much as they would have liked.

6. Additional help/support that respondents would have found useful included:

- Recommendations on good sources for sector updates;
- An opportunity to observe other committees e.g. Court Business group;

7.  Suggestions for improvements made by respondents included:

- Fix dates for the year ahead and, if possible, tentative to end of following calendar year;
- Submit a written report from the Principal with a shorter oral element to allow for more discussion on this and other items;
- Important that the key issues that need decision /discussion are clearly prioritised;
- More focus on issues/challenges towards achieving the strategy and less detail as papers should have been read in advance;
- Papers could be more concise and clear in what is being asked of Court i.e. approval, comment, delegation.

8.  Along with the direct feedback from the Convener's 1-to-1 discussions with members, all of which were very positive and constructive, this information will be used to enhance and improve the operation of Court.

**Action requested**

9.  Court is invited to:

- **Note** the summary findings of the 2018 survey.

**Annex A – Survey Questions**

1. *Please indicate your category of Court membership to enable the results to be effectively analysed:*

2. *Overall, how do you feel the effectiveness of Court has improved since the externally-facilitated review undertaken in 2017?*

3. *Please indicate your agreement with the following statements:*
   a   *I understand my role as a member of Court*
   b   *I am familiar with Court's Primary Responsibilities*
   c   *I feel able to contribute to the University's strategic development*
   d   *Court adds value to the effectiveness with which the University is governed*

4. *The 2017 externally-facilitated Effectiveness Review recommended that the timing of Court meetings should be reviewed to determine the most convenient arrangements for all members.*

   a    *Do you agree that Court meetings currently take place on a convenient day and at a convenient time?*
   b   *If appropriate, please provide further details in the text box below, including suggestions for how the timing of meetings could be made more convenient.*

5. *As a member of Court, what are the most significant ways in which you feel you have contributed personally and added value to the University during the last year?*

6. *Are there any further contributions you would have liked to have made? If so, what prevented you from doing so?*

7. *Do you feel that you have been given the necessary support to participate effectively as a member of Court (at meetings and more generally)?*

8. *Please comment further on the nature and range of any additional help/support that you would have found useful.*

9. *Have you any suggestions on how to improve the effectiveness of Court meetings in the coming year?*

10. *Do you have any suggestions on how the Convener, specifically, might improve the effectiveness of Court? Please note that any comments will be shared in confidence with the Vice-Convener, who is collating feedback for the Convener.*
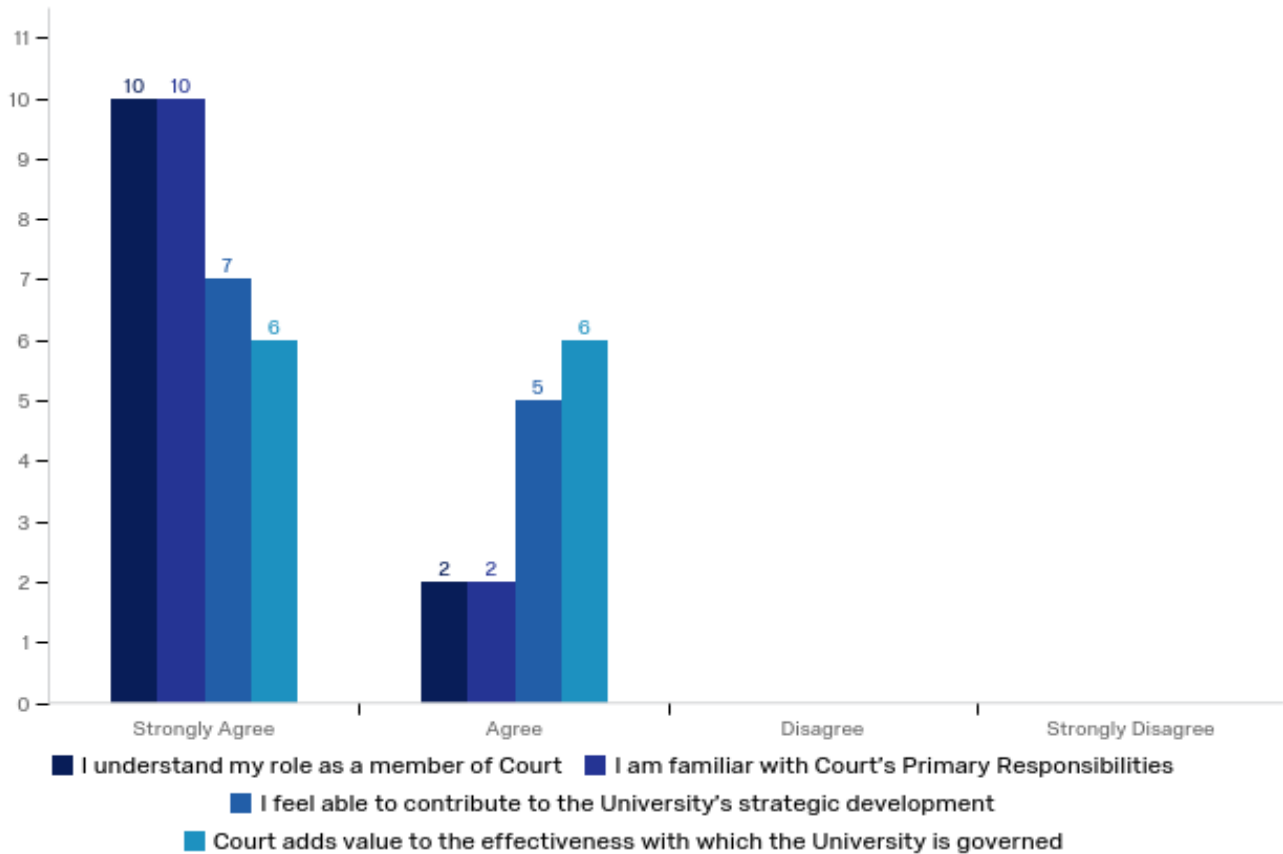
**Annex B – Results for Quantitative Questions**

**Please indicate your category of Court membership to enable the results to be effectively analysed:**
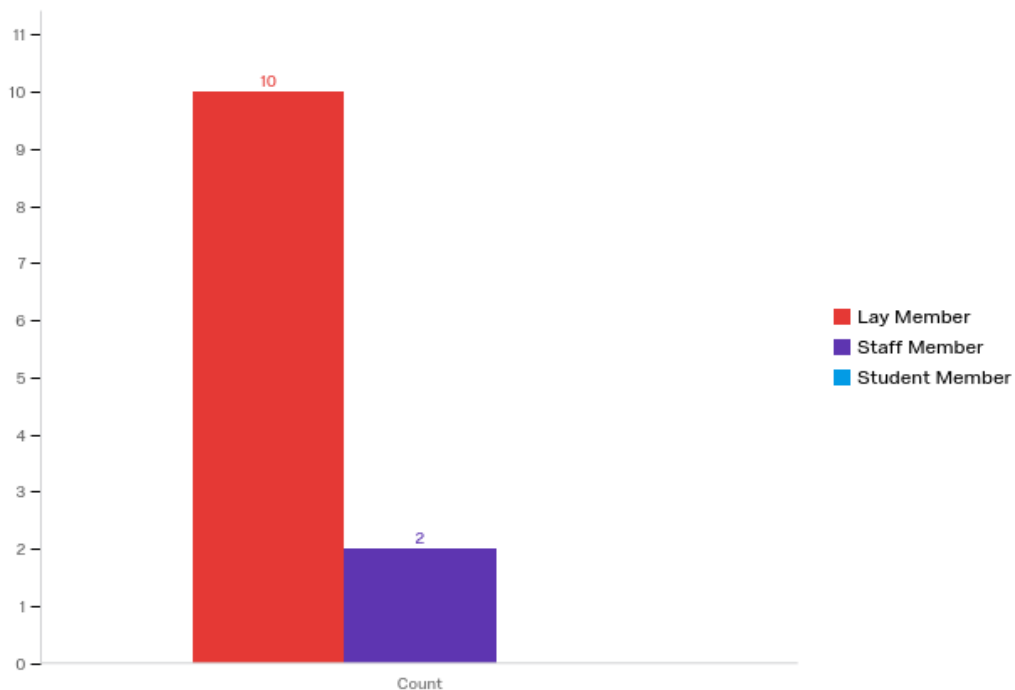


**Overall, how do you feel the effectiveness of Court has improved since the externally-facilitated review undertaken in 2017?**
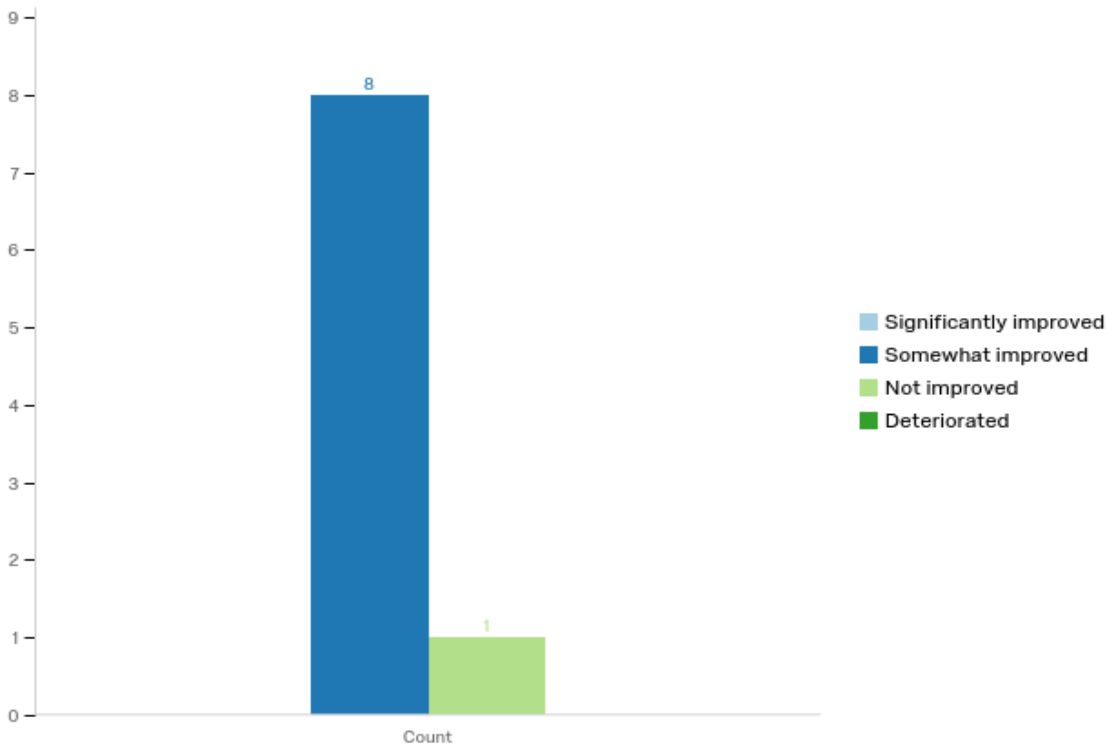
**Please indicate your agreement with the following statements:**



The 2017 externally-facilitated Effectiveness Review recommended that the timing of Court meetings should be reviewed to determine the most convenient arrangements for all members. Do you agree that Court meetings currently take place on a convenient day and at a convenient time?
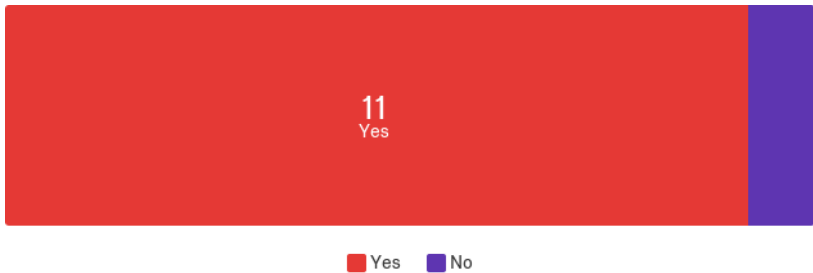


Do you feel that you have been given the necessary support to participate effectively as a member of Court (at meetings and more generally)?

# Complaints Handling Procedure
## Annual Report 2017/18

**Background**

1. The Public Services Reform (Scotland) Act 2010 gave the Scottish Public Services Ombudsman (SPSO) responsibilities and powers, specifically, to oversee the development of model Complaints Handling Procedures (CHPs) for each sector including higher education. The main aims of the model CHP are early resolution of a complaint as close to the point of contact as possible and making best use of lessons learned from complaints.

2. All Scottish universities were required to adopt the two stage model CHP by 30 August 2013. Following the internal approval of a suitable procedure by Court, on the recommendation of Senate, the University implemented the current CHP on 27 August 2013. This document is publicly available here:
   https://www.strath.ac.uk/media/ps/strategyandpolicy/ComplaintsHandlingProcedure.pdf

**Recording and Reporting**

3. It is a requirement of the SPSO's model CHP that the University records all complaints and that reports detailing key performance information are submitted quarterly to the Executive Team and annually to Court. SPSO Guidance indicates that such reports are expected to contain:

   - performance statistics detailing: the volume and types of complaints received and key performance information, e.g. on the time taken and the stage at which complaints were resolved
   - the trends and outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped improve services

4. Annex A provides key performance information on the volume and types of complaints received during 2017/18 and on the resolution times achieved. It also provides qualitative information on some of the actions taken or recommendations made to deliver service improvement in response to complaints received by the University during 2017/18. In parallel with the introduction of the CHP in 2013, the University implemented a central recording system enabling the monitoring of complaint handling across the University and the production of statistical reports.

**Summary Analysis**

5. The University recorded 132 complaints during the 2017/18 academic year. This is a significant increase on 2016/17 and is considered a positive development as there were concerns that the low overall number of complaints (compared with similar sized competitors) was due more to under recording than service quality. Work has therefore been ongoing during session 2017/18 to increase awareness and recording of frontline complaints as noted at paragraph 9 below. The majority of complaints (88%) were received from students or former students of the University. The remainder of complaints received were from members of the public and prospective applicants.

6. Complaints were received across all academic faculties with the University's largest faculty, Humanities and Social Sciences accounting for 49% of total complaints. Eleven percent of complaints received were related to areas within Professional Services, predominantly Student Experience and Enhancement Services.

7. The percentage of complaints resolved at frontline varied throughout the year, with a total of 63% across the period, a 5% improvement on the previous year. The relatively high

percentage of complaints escalated to the investigation stage in previous years had been noted and the decrease over the last two sessions would suggest that efforts to increase frontline resolution are having a positive impact. Work to maintain this trend will continue during 2018/19.

8. The time taken to resolve frontline complaints fluctuated throughout the year, averaging 7.3 days, slightly above the 5 working day target. This represents a slight increase on the previous year's figure. However, it is likely that the increased emphasis on frontline resolution and the increase in the number of complaints dealt with at frontline has had an impact here. Sixty five percent of frontline complaints were resolved within the 5 working day target.

9. During the early part of 2018, the role of Complaints Champion began to be rolled out across the faculties to provide support for staff in handling and recording frontline complaints. This initiative was implemented to enhance practice in complaints handling and recording, raise awareness of the categories of complaints and recording requirements and provide support to staff in how complaints should be handled and by whom. Indications suggest that the introduction of this 'champion' role is having a positive influence as the number of complaints recorded has increased significantly. However, it is to be expected that this would impact resolution times in the early period of implementation.

10. Complaint volumes, escalation to investigation and resolution times in the third and fourth quarters of 2017/18 were also affected by the industrial action which took place during March 2018 prompting 16 recorded complaints. Nine of these complaints required further investigation into the direct effect on the individual involved impacting on the movement of complaints to Stage 2 of the procedure. Many of the strike related complaints were not made direct to Departments or Faculties or were made or forwarded to staff who were out of the University. This meant that there was a delay in responding to these complaints, adversely affecting the timescales for frontline resolution and increasing the likelihood of dissatisfied complainants requesting a stage 2 investigation.

11. Complaints investigated at stage 2 of the procedure were resolved within an average of 28.7 days, slightly above the 20 working days required. This resolution timeframe has always been considered to be very challenging, particularly for complex complaints. The 20% of investigations which involved correspondence with third parties such as contractors or placement providers, particularly school placement complaints received at the commencement of the school summer closure, has had a significant impact on investigation timescales. Nonetheless, 44% of stage 2 complaints were completed within 20 working days.

12. The most frequent types of complaints recorded were those relating to:
    1. Teaching and/or assessment (19%)
    2. Service Provision (19%)
    3. Staff Attitude and/or Conduct (17%)

13. Lessons learned and actions taken to improve services are recorded following each complaint, where appropriate, and examples of the learning points recorded during 2017/18 are included at **Annex B**.

14. Staff continue to engage well with the complaints process and work to encourage a greater focus on frontline resolution is beginning to bear fruit, demonstrated by the increase noted at paragraph 7, above. This has perhaps driven an increase in the average frontline resolution time and supporting staff in identifying which complaints are appropriate for frontline resolution and which are likely to require more detailed investigation will be a continued area of focus in the coming year.

**SPSO Recommendations**

15. The SPSO introduced a new approach to recommendations in 2016/17 with the aim of increasing their impact and effectiveness.  This approach focuses on better outcomes in relation to services as well as for individuals.  SPSO expects organisations to share their findings to enable learning and improvement across the organisation and to embed learning from complaints in governance structures to ensure recommendations are shared with the relevant internal and external decision-makers, including members of Court.

16. The SPSO has made one recommendation and given feedback to the University in the last year, following investigations into complaints raised by 2 former students.  **Annex C** contains details of the SPSO's recommendations and feedback along with the action taken in response.  Recommendations from the SPSO along with follow up actions, where appropriate, are reported to Executive Team quarterly.
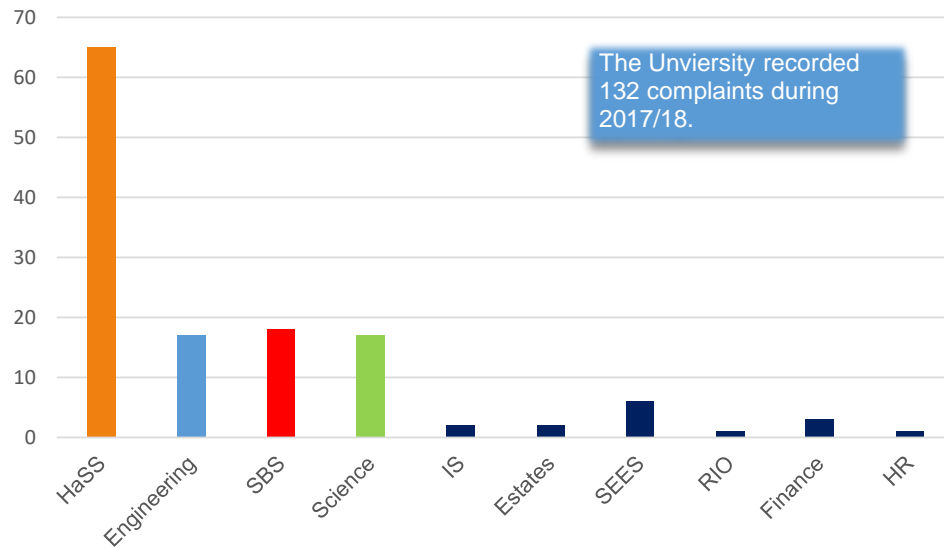
**Recommendation**

17. Court is invited to **note** the Complaints Handling Annual Report for 2017/18.
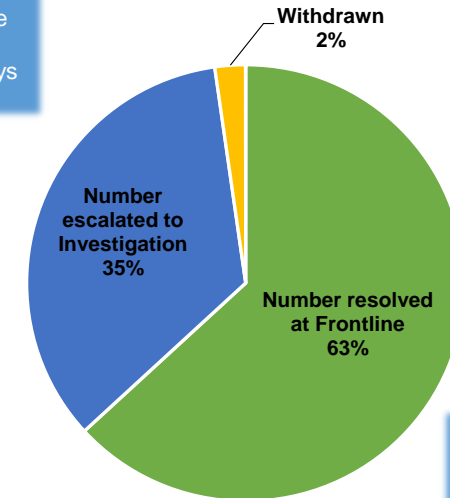
## Complaints Received by Area 1 August 2017 to 31 July 2018



The Unviersity recorded 132 complaints during 2017/18.

## Frontline (Stage 1) - 1 August 2017 to 31 July 2018

65% of complaints resolved at Frontline stage were handled within 5 working days



Withdrawn 2%

Number escalated to Investigation 35%

Number resolved at Frontline 63%
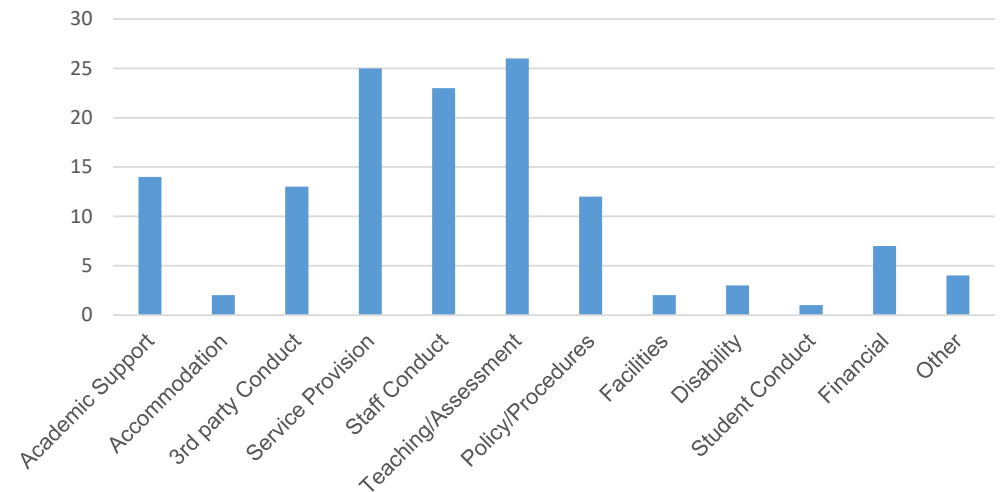
Average resolution time for complaints resolved at Frontline was 7.3 working days.

## Investigations (Stage 2) 1 August 2017 - 31 July 2018



44% of investigations were completed within 20 working days. Average investigation time was 28.7 days.
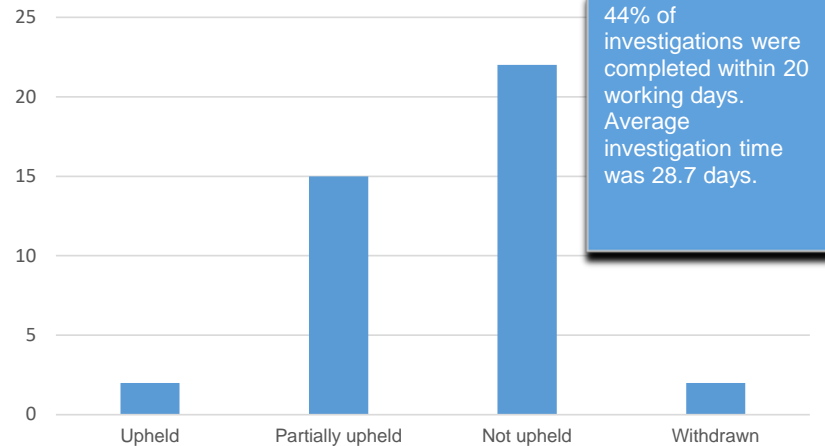
## Complaints Received by Category 1 August 2017 to 31 July 2018

**Learning from Complaints 2017/18 – Examples**

| Complaint Category | Complainant | Complaint | Outcome | Actions |
|---|---|---|---|---|
| University Policy, Procedures or Administration | Student | Delay in approval and publication of August result/progress decision impacted on registration for new academic year. | Resolved at Frontline | Identify alternative members of staff to action formal approvals in the absence of VDA. |
| University Policy, Procedures or Administration | Student | A complaint was made about the non-funding of a distance learning course and the way in which notification of same was handled. | Resolved at Frontline | Student Business Team will develop a comprehensive SOP for uploading PG course information on the SLC portal.<br><br>Information provided to Student Business regarding the delivery of the course to be clarified. |
| Teaching and/or Assessment | Student | A series of disruptions occurred during an examination. | Resolved | Department/Faculty to review procedures for the appointment of invigilators and management of the conduct of examinations. |
| Facilities | Member of Public | A talk was delayed by 40 minutes because PC updates prevented the speaker from logging on to deliver a presentation. | Resolved | A check list is in place with named responsibility for room checks and PC checks. |
| Teaching and/or Assessment | Student | Student complained that there was no mechanism for reporting group members who do not participate fully in a project. | Resolved | Department to review policy on marking group work. |
| Other | Student | Complex complaint covering the handling of concerns, alleged discrimination, implementation of University procedures. | Partially Upheld | Disability Service to review support for research students and clarify where responsibility lies for ensuring reasonable adjustments implemented. |
| Teaching and/or Assessment | Student | Complaint about DL course. Inaccurate information, IT issues, outdated lectures, lack of professionalism and organisation. | Resolved | Issues will be discussed with course leader; remedial action has been put in place to ensure Myplace information and guidance is correct. |
| Accommodation | Student | Interview with a participant for a dissertation project interrupted by staff member opening the door from the lab side without knocking. | Resolved | Move to lock the double entry booths from the teaching room side so that entry is only possible from the corridor. |

| Complaint Category | Complainant | Complaint | Outcome | Actions |
|---|---|---|---|---|
| Teaching and/or Assessment | Student | There was an error in an exam, which meant that students wasted time trying to do a calculation which wasn't possible. | Withdrawn by Complainant | A special meeting with third year class reps has been organised to discuss the exam and how the marks will be handled so that students are not disadvantaged. |
| Teaching and/or Assessment | Student | Lack of clarity on how the exam would be marked.  Errors in the exam paper. | Resolved | Exam paper checking process to be reviewed and style of questions changed. |
| Teaching and/or Assessment | Student | Questions in the exam were identical to those 2 years' earlier. | Resolved | Staff asked to ensure and confirm that the questions set in an exam are not identical to recent past papers. |
| Service Provision | Student | CLL Student not happy with the length of time taken to inform him of his results or return feedback | Resolved | MyCLL close to being functional for recording and relaying results.  Students will be notified of the results ratification process within the brochure, website and MyCLL. |
| Reasonable Adjustment/Disability-related | Student | Student complained about poor disabled access to placement, communication procedures were inadequate and disability services did not engage with him. | Upheld | The Unit and School will work with Disability Services to develop enhanced training for DDCs.  Ensure students are clear that they can make direct contact with Disability Services. |
| University Policy, Procedures or Administration | Student | Student dissatisfied with the dates of his retrieval placement. | Partially Upheld | It should be made clear to students how the length of a retrieval placement is calculated and the negotiations involved with providers.  Placement 3 and Placement 4 should be renamed, Placements 3 a and b. |
| Service Provision | Student | Student alleging unfair treatment on placement | Partially Upheld | The School should review the Placement Handbook and compare it with the guidance commonly issued to students by providers to ensure as much consistency as possible. |

## SPSO Recommendations and Feedback

During 2017/18, one recommendation was made by the SPSO following investigation into complaints raised against the University by a former student.

| Complaint | Outcome | Recommendation | University Response |
|---|---|---|---|
| The University unreasonably failed to curate a student's thesis into the University Library, contrary to University Regulations. | Not Upheld | Apologise to the complainant for the shortcomings identified. The SPSO considered that, by agreeing to the mark the thesis, the University may have raised the student's expectations with regard to having it curated. There were unacceptable delays in communication. | An apology was sent to the complainant on 6 March 2018. |

Feedback was provided by the SPSO, following investigation into complaints raised against the University by two ex-students, during 2017/18. These were not formal recommendations and no confirmation to SPSO was required.

| Complaint | Outcome | Feedback | University Response |
|---|---|---|---|
| The university unreasonably failed to support the student during the course | Not Upheld | Given the importance of communication to university email addresses, the university may wish to consider asking students to check that, where it has been used, the email forwarding rule has worked and, if it has not, to contact the IT Helpdesk for assistance until the matter is resolved.<br><br>In the light of this complaint and the complainant's reported experience, the university may wish to reflect on possible issues around course administration for students with relevant disabilities who experience difficulties with organisation, and the expectations of the Postgraduate Diploma in Counselling as set out in the handbook. | This feedback has been forwarded to the Faculty and Course Team for consideration when communicating the policy on use of email to students and when reviewing the content of the Course Handbook. It should, however, be noted that the Counselling Unit has reviewed and changed its offering and that the complainant's experience relates to a discontinued course. |
| The university unreasonably failed to provide agreed additional learning needs support to the student during the course | Not Upheld | The university may also wish to reflect on whether disability advisers should keep records of the issues they consider and dismiss while assessing a student's needs and compiling their adjustment report. | This feedback has been forwarded to Disability Services for review. |
| The University unreasonably failed to curate a student's thesis into the University Library, contrary to University Regulations. | Not Upheld | Relevant members of staff should give consideration to how such a situation could be avoided in future, for example by clarifying at the earliest stage that the marking of a thesis does not guarantee curation in the Library. | The Library will consider appropriate clarification of its rules/regulations on the acceptance of thesis. However, it is recognised that this case was exceptional and it is not expected that a similar situation will arise again. |

**Senate Report to Court**

**Senate met on 5th September 2018**

**FOR APPROVAL**

*Senate invites Court to **approve** the following recommendation considered by Senate on 5th September 2018.*

1.  Senate **approved** the Annual Report for Scottish Funding Council: Institutional-led Quality Review 2017-18 and **recommended the report for endorsement by Court**. The University is required to submit a final report to the Scottish Funding Council (SFC) by 30th September 2018.

**FOR NOTING**

*Senate* invites *Court to **note** the following items considered by Senate on* 5th September 2018.

2.  **Report from Senate Business Committee**

    Court is invited to note the following points from the report:
    *   The Committee noted from the report of the Collaborative Agreement Subgroup that the institutional review of collaborative activity across the University was now complete.
    *   Senate was updated on the progress of the Student Partnership Agreement, which would be debated at the first Student Parliament of the academic year 2018-19. Senate would be provided with further updates with regard to the progress of the Student Partnership Agreement.

3.  **NSS Results**

    Senate considered the results from the National Student Survey (NSS) which had recently been published, noting a decline in overall satisfaction which was a general trend across the sector. The importance of ongoing actions to ensure that students have an excellent student experience was stressed.  Faculty Executive Deans updated Senate on their respective NSS implementation plans. Senate would continue to monitor implementation plans and would receive regular updates from the Executive Deans on Action Plan implementation and monitoring.

4.  **Vertically Integrated Projects and UN Sustainable Development Goals**

    Professor Stephen Marshall and Dr Scott Strachan (EEE), presented to Senate on the Vertically Integrated Projects (VIP) programme. The background and goals of the programme, which is operational in the University, and is part of an international VIP consortium, were outlined, as well as the programmes' UN sustainable development goals, which align with the University's values and ethos of "Useful Learning". Consideration was given as to how the programme could be further institutionalised. Senators agreed that the goals of the programme were admirable, and acknowledged that the programme was an extremely strong asset to the University. Information on VIPs can be found at https://www.strath.ac.uk/viprojects/

5. **University Estates Developments: Update on Learning and Teaching Building Project, and Strathclyde Sport**

   Associate Principal Professor Sara Carter updated Senate on progress in the development of the Learning and Teaching Building project, providing Senate with an update on the key areas of activity. Noting the progress that had been made in relation to the student Democracy Zone, Professor Carter stressed the key role of the student body in discussions on the development of the project.

   Professor Carter further updated Senate on a key milestone in the development of the University's estate, the opening of the University's new £31M Strathclyde Sport building. The vision and mission of the building, as well as a visual outline of the building, and a description of its core facilities, were outlined to Senate. Senate joined Professor Carter in welcoming this state-of-the-art sports centre at the heart of the University's campus, which would further enhance the outstanding student experience.

6. **ELIR Update**

   The acting Director Education Enhancement updated Senate on key developments in the University's preparations for the Enhancement-led Institutional Review (ELIR), and outlined the range of activity and preparations that had taken place since the previous update to Senate. Senate noted the date (16th November 2018) of the final submission of the Reflective Analysis, which would be submitted for sign off by the Principal pending approval by Senate at its November meeting. Senate would continue to receive regular updates on ELIR planning.

7. **Principal's Report and Update**

   The Principal updated Senate on several matters of interest including:

   The Strathclyde Doctoral School would be launched formally in October 2018, helping to bring Postgraduate researcher student support, facilities and training to enhance the student experience.

**Executive Team Report to Court**

The Executive Team met on 12 June, 3 July and 29 August. 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.

**2. PGR Analysis**

The Executive Team continued to receive updates on ongoing activity to address issues in relation to PGR student intakes in the context of KPI 8.

**3. Executive Team projects 2017/18**

The Executive Team received an overview of progress in relation to the Team's 2017/18 projects, namely: 1) Financial Performance; 2) National Student Survey (NSS) Performance Enhancement; 3) Enhancing our Reputation and Influence; and 4) The Efficiency of Teaching Provision.

**4. 2018 Research Audit Summary Report**

The Executive Team received an update on the 2018 Research Audit Summary Report and preparations for the Research Excellence Framework (REF) 2021.   Members noted that key risk areas had been identified and would be externally reviewed over the summer and that mitigation strategies were being discussed on an ongoing basis.

The Team noted that the REF Team would shortly develop a detailed institutional timeline with key milestones and that, following on from the UoA modelling exercise, a report would be provided to ET in autumn 2018.

**5. National Manufacturing Institute for Scotland –business case**

The Executive Team considered updates on the on-going development of the business case for the establishment of a National Manufacturing Institute for Scotland (NMIS).  Members noted the considerable progress made and that on 12 September Court Business Group, via delegated authority, had approved the NMIS final business case, subject to there being no negative outcome from the economic impact study being undertaken by Scottish Enterprise.

**6. Technology & Innovation Centre – Phase 2 Update**

The Executive Team noted an update on the development of TIC Phase 2 and the Glasgow City Innovation District (GCID).  Members noted that an outline business plan for phase 2 had been produced, that external market analysis relating to the clusters had been completed and that the cluster leads were engaging with key external partners.  Members considered the links between TIC Phase 2 and the student experience in the context of learning and teaching and agreed that it would be helpful for further discussions to take place.

**7. Business Case: Human Resources / Payroll System**

The Executive Team considered a business case to procure and implement a new Human Resources (HR) payroll solution to replace the current system. Members noted that a business case for a similar project had been previously put on hold in 2015 to take account of other major system initiatives. It was agreed that the business case would be subject to further refinement ahead of consideration by Court.

**8. Catering and Conferencing update**

The Executive Team received an updated on the delivery and development of the Conferencing & Events (C&E) business plan, principally within the Technology & Innovation Centre (TIC). Members noted that the current academic year had been the busiest and most successful yet for the University's C&E business and that relative to the business plan originally approved by Executive Team in April 2014, revenue in 2017/18 was 93% ahead of plan, and the surplus generated 133% ahead of plan. Members congratulated the C&E Team on winning Best Academic Venue at the M&IT Industry Awards and an award for Event Planner Excellence in March.

**9. Contribution Map**

The Executive Team considered an updated version of the Contribution Map (CM) and noted that the updated CM incorporated refinements following on from an initial presentation to ET on 10 May. The Team noted the approach to refining the outline CM and agreed its potential as a useful tool in helping to highlight areas where contribution to delivery appeared to be imbalanced, was changing, or where staff resource may be out of alignment with contribution.

**10.    Executive Team Strategy Session, 29 August 2018**

A strategy session was held on 29 August 2018. Attendees included Executive Team members, Deputy Associate Principals, and Professional Services Directors. Attendees reflected on the University's achievements and progress to date and considered strategic planning to 2025. Throughout the course of the day, members discussed:

- The current and potential impact of Brexit on staff retention and recruitment, as well as wider issues, and the need to continue the current messaging strategy;
- The need to also describe the University's ambitions as a narrative, in order to effectively engage staff, students and external partners, potentially through the use of tailored case studies;
- Major technology changes should contribute to efficiencies, supporting more effective delivery by academic and professional services staff;
- New ways of working were currently being embedded across the University, through a continuous improvement approach. Communication, clarity and consistency in this area was key.

**11.    Investment Proposals**

Following recommendations from the University's Enterprise and Investment Committee and Research and Knowledge Exchange Services, Executive Team approved the following investment proposals:

**[Reserved]**

**Court Business Group Report to Court**

**The following item was discussed by Court Business Group on 12 September 2018 and is provided here for Court to homologate.**

- In line with delegated authority agreed by Court in June, CBG **approved** the National Manufacturing Institute for Scotland (NMIS) final business case, subject to there being no negative outcome from the economic impact study currently being undertaken by SE.

**The following items were discussed by Court Business Group on 12 September 2018 and are provided here for Court to note.**

**1. National Manufacturing Institute for Scotland: Final Business Case**

The Chief Commercial Officer (CCO) reminded members that, on 20 June 2018, the University Court had considered and endorsed an outline business case for the National Manufacturing Institute for Scotland (NMIS). At this time, Court had agreed to delegate authority to Court Business Group (CBG) to approve the final business case, ahead of final consideration by Scottish Enterprise (SE), which was now expected to take place at the end of September.

**[Reserved]**

CBG members discussed the final business case presented and, in line with delegated authority agreed by Court in June, CBG **approved** the NMIS final business case, subject to there being no negative outcome from the economic impact study currently being undertaken by SE. It was also agreed that the CCO would provide a summary update to Court on 4 October where this decision would be homologated.

CBG also agreed that further shaping and approval of suitable Key Performance Indicators (KPIs) / SMART Objectives should be delegated to the Executive Team. An update on this would be provided to CBG and Court in due course.

**2. Student Recruitment 2018/19**

The Director of Strategy and Policy introduced an update paper on the current undergraduate (UG), taught postgraduate (PGT) and research postgraduate (PGR) student recruitment position for 2018/19.

She indicated that the recruitment cycle was ongoing and that the final paper for Court in October would reflect the most up-to-date figures available as well as information on the University's anticipated tuition fee income position. A more settled picture of the recruitment position and fee income would be provided to Court in November as part of the Q1 2018/19 Business Report.

Members welcomed the generally positive position indicated within the paper and discussed the key messages to be highlighted for Court in October.

CBG noted that the University's continued success in fulfilling its widening access commitments was particularly notable as it had been achieved whilst maintaining entry standards and closing the retention gap with non-SIMD students. The increasing challenge in this area, due to an enhanced focus by all Scottish institutions and a finite pool of potential applicants, was recognised. One of the ways in which the University of Strathclyde differentiated itself was through its enhanced focus on ensuring that widening access entrants were fully supported in achieving success.

## 3. Outcome Agreement 2017/18 self-evaluation and guidance for 2019/20

The Director of Strategy and Policy provided a verbal update on the development of the University's outline self-evaluation report to SFC on the 2017/18 Outcome Agreement and on the anticipated requirements, in the absence of detailed guidance from the SFC, for the University's 2019/20 Outcome Agreement. The lack of guidance from SFC at this stage was partly attributable to the recent gap in the position of Minister for Further Education, Higher Education and Science. Despite this, the University was progressing its preparations and expected to be in a strong position to respond to any new requirements. A meeting with the University SFC Outcome Agreement Manager was scheduled to take place shortly.

CBG welcomed the summary update and noted that a paper would be provided for the Court meeting on 4 October.

## 4. National Student Survey 2018

The Vice-Principal presented a summary of the University's performance in the 2018 National Student Survey (NSS), the context for this, the actions taken to date and next steps. It was recognised that the University's overall performance had not met expectations and that the trajectory of recent years needed to be reversed. Whilst appropriate analysis and monitoring mechanisms had been implemented at a University level, a number of fundamental issues in regard to frontline delivery still needed to be addressed. Following the announcement of the 2018 results, the Principal had held a number of meetings with Heads of Department/School to better understand the reasons for poor performance and determine an appropriate course of action. He would also be meeting with all University Departments/Schools and Professional Services Directorates in the coming months to convey an unambiguous message that improved performance in the NSS, as an indicator of improved student experience, was a strategic priority for the University.

CBG discussed the NSS 2018 outcome and considered that it might be helpful for University staff to better understand the profile of the student body across the University and within their own programmes/classes as well as their likely expectations in terms of delivery and student experience. This suggestion was welcomed and it was agreed that further consideration would be given to how "personalisation" of the student experience and increased awareness amongst staff of student expectations might be utilised to positively influence behaviours. It was suggested that a personal and individualised approach was also important to ensuring that staff are appropriately engaged and aware of their responsibilities and one way in which this was being addressed was through more effective use

of the University's Accountability & Development Review (ADR) process, whereby discussions between academic staff and their line managers will include a focus on delivering an excellent student experience, with appropriately linked objectives.

CBG considered paperwork intended for Court on 4 October. It was agreed that the Principal and Vice-Principal would summarise the details of the University's 2018 performance but that the Executive Deans would be on hand to explain the specific actions being taken within their respective Faculties to ensure an improved future position.

**5.    Court Strategy Session 2018 – initial planning**

The Principal presented proposals for the format of Court's November Strategy Session. Drawing upon recent discussions at the Executive Team, he expected to be able to provide Court with the opportunity to discuss and help shape a fuller and more refined version of the Strathclyde 2025 vision. This would include the illustration of key staging posts or "Horizons" in the University's strategic journey between 2009 and 2025. It was also proposed that, based on the strength and continuing relevance of the University's current strategy, that breakout sessions could be arranged to facilitate detailed discussions focused on testing the finer details of Strathclyde 2025 against each of the University's five Strategic and Cross-cutting Themes.

It was agreed that the summary papers provided in support of Court's 1 May 2018 Strategy Update Session would be recirculated as a reminder of what was discussed and as a way of measuring progress.

It was also agreed that the Principal would liaise with the Student President, the Students' Association Chief Executive, and the Director of Marketing & Development Services on the potential development of short vignettes or "storyboards" that would conceptualise and help illustrate examples of the variety of experiences and backgrounds of a Strathclyde student and/or new staff member in 2025. The intent was to develop one or two examples now and build up a library of materials over the current academic year.

CBG welcomed these proposals for further discussion at Court in October. In the interim, the Principal would discuss the potential arrangements in more detail with the Convener and Vice-Convener.

**6.  Draft Court Agenda, 4 October 2018**

Members considered and approved the draft agenda for the October meeting of Court, subject to minor amendments.

CBG was reminded of the University's previous ELIR exercise when two lay members of Court were helpfully involved in reviewing materials prior to submission. It was agreed that it would be useful to adopt a similar approach as part of the current ELIR assessment process and the senior officers would give further thought to which lay members might be best placed to support this. The Convener would then approach the relevant lay members after the next Court meeting in October to request their assistance.

**7.  Staffing Update**

CBG expressed its appreciation to the Head of Governance and Public Policy, who would shortly be leaving the University to take up a new position at the Royal College of Surgeons of Edinburgh. Members

wished him well, commending him for the support he had provided to Court and senior officers and commenting positively on the level of professionalism and expertise he had brought to the role.

**Court Membership Group Report to Court**

**The following items were discussed by Court Membership Group on 12 September and are recommended for approval by Court:**

a) That Statute 2.5.8 should be reviewed to allow greater flexibility in future lay member appointments and reappointments. It was also agreed that the preferred approach would be to appoint new lay members for an initial one-year term with the possibility of two subsequent terms of four years each. CMG agreed that this met the requirements of the 2017 Scottish Code of Good HE Governance, both in the potential number of terms of office and overall duration of service, but noted that it could not be retrospectively applied.

b) That Ronnie Cleland should be reappointed for a final three-year term as a lay member of Court from 1 August 2019, following the end of his current term of office as Vice-Convener.

**The following items were discussed by Court Membership Group on 12 September and are provided here for Court to note:**

**1. Court Lay Member Recruitment 2019 – planning**

Court Membership Group (CMG) considered recommendations on several matters in order to inform the approach to Court lay member recruitment, and particularly the next recruitment exercise in 2019.

CMG first discussed the current approach to lay members' terms of office and **agreed** to recommend to Court that Statute 2.5.8 should be reviewed to allow greater flexibility in future lay member appointments and  reappointments. **[Reserved]**

CMG considered the potential lay member vacancies arising on Court from 1 August 2019.

**[Reserved]**

CMG also discussed the potential use of external recruitment agencies in support of the Court lay  member recruitment exercise for 2019. Whilst there was a preference to go to market to identify potential partner agencies, requirements would partly be determined by the number of vacancies arising in 2019.

**[Reserved]**

**[Reserved]**

CMG considered that the current Vice-Convener's contribution to Court and more widely within the University was very significant and that the retention of his particular experience and skills on Court was highly desirable.

CMG **agreed to recommend to Court** that Ronnie Cleland should be reappointed for a final three-year term as a lay member of Court from 1 August 2019, following the end of his current term of office as Vice-Convener.

## 2. Court Skills Survey – results

CMG considered the results of a recent survey undertaken to enhance the level of information held on the skills, experience and knowledge of Court members. This followed CMG's earlier consideration and approval of a draft survey in February 2018.

Members welcomed the results provided, recognising that the survey had not yet been completed by all members and that not all of the skills and experience listed were necessarily required to be present on Court at one time. Nonetheless, it was agreed that this provided a useful basis for informing Court's future skills needs and to inform future lay member recruitment cycles.

In further discussion, CMG considered the potential to arrange and offer additional training opportunities to Court members, such as specific non-executive courses provided by the Institute of Directors. The University Secretary and Compliance Officer agreed to review current training provision and identify suitable opportunities in line with Court members' learning and development needs.

## 3. Additional CMG meeting

CMG members agreed that an additional meeting would be required to progress actions, particularly in regard to Court lay member recruitment, and this has subsequently been arranged for November 2018.

**Report to Court from Audit & Risk Committee**

**The Audit & Risk Committee met on 5 September 2018.**

**Audit & Risk Committee makes a <u>recommendation</u> to Court in regard to the following item:**

**1.  Tender for External Auditor**

Following the request made at the previous meeting, confirmation had been received from the SFC that it considered the University's proposal to delay the tendering process for a year and to extend the appointment of Ernst & Young LLP accordingly, an entirely reasonable approach in the circumstances. This would allow a new CFO to be in post before the tendering process commenced.  Audit & Risk Committee **endorsed** the proposal to delay the External Auditor tendering process for one year with a view to recommending a new appointment to Court in March 2020.

Audit & Risk Committee **recommends** to Court that the appointment of Ernst & Young LLP as External Auditor be extended by one year to cover the audit of the Financial Statements for 2018/19, subject to the performance of the External Auditor and the proposed fee being considered satisfactory.

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

**2.  Internal Audit**

**a)  IAS Annual Report 2017/18 (Draft)**

Members discussed the Draft Report and the following points were noted:

- The Internal Audit Opinion of reasonable assurance was unqualified;
- Appendix B detailed the assurance level descriptors introduced for reviews from 2017/18;
- The Key Controls Checklists had been returned and the Statements of Assurance completed;
- An external assessment of IAS would take place during 2018/19.

The final report would be presented to ARC, in November, for approval.

**b)  IAS Activity Report**

The Committee noted the progress made against the delivery of the Audit Plan for the previous academic year and that three review reports would come to the November meeting.  The Head of Internal Audit indicated that IAS was not where it would wish to be in delivery of the 2017/18 audit plan, partly due to the gap between the previous Head of IAS leaving and the new Head taking up post.  A plan was being put in place to avoid this occurring in future.

Work on the delivery of the 2018/19 Audit Plan had begun and an exercise was ongoing to scope out the reviews for the whole year with a view to conducting each review at a time that best facilitated stakeholder involvement and ensured a balance in when reports came to Audit & Risk Committee. This approach was welcomed by Members.

### c) Audit Report: Review of Preparations for GDPR

Members considered a report on the review of the University's Preparations for GDPR. The assurance level rating was Reasonable Assurance and it was considered that the University was making good progress in this area but that momentum had to be maintained.

### d) Audit Report: Review of UKVI Compliance

Members discussed a report on the review of UKVI Compliance noting that the monitoring of attendance and engagement of Tier 4 students within academic departments was chosen as the focus of the Review having been identified as the area that required most attention. This was only one of many compliance duties required under the University's UKVI licences.

**[Reserved]**

Steps were already being taken to improve the monitoring arrangements in key areas with significant work being done over the summer to improve the robustness of systems for the start of the 2018/19 session. It was noted that, the Home Office Higher Education Assurance Team (HEAT) would be visiting the University during September 2018 to conduct an audit of UKVI compliance.

Members were reassured that the situation was less concerning than a first reading of the report might suggest and requested that consideration be given to how best to reflect this. They particularly wished to see the work ongoing since the review reflected in the report and the level of assurance reconsidered.

### e) Audit Report: Review of Science Faculty

Members discussed the report on the review of the Science Faculty noting that this was the last in a planned series of revisits to faculties. The audit was an overview of the governance and risk management arrangements within the Faculty, as well as its compliance with key University Policies and Procedures and it was noted that FMS had been introduced since the last audit of Science. The assurance level rating was Substantial Assurance. Good progress had been made on addressing actions with all of those with timescales to the end of August having been completed.

### f) Audit Report: Review of Major Estates Capital Project Management

Members considered a report on the review of Major Estates Capital Project Management, noting that the overall assurance rating was Limited Assurance. A sample of projects at varying stages of construction had been chosen and, whilst the controls in operation around the management of major projects appeared to be operating reasonably well, the project management function faced a number of challenges, particularly around staffing and workload pressures. There were potential risks around the effective delivery of current and future estates capital projects should these challenges fail to be addressed.

The Project Management Procedures had been identified by the Director of Estates Services as requiring significant review and revision to provide an effective operational framework. A review had begun, facilitated by the Continuous Improvement Team. It had also been noted that Post Occupancy Evaluation exercises had either not been completed or had not yet been planned. Works associated

with commissioning and resolving snagging/defect items were still being progressed within the Technology & Innovation Centre (TIC).

Members expressed concern, given the level of investment in this area, welcomed the immediate action being taken and were confident that the situation was now being addressed. The need to close out the work on TIC and feed lessons learned into the Centre for Sports, Health & Wellbeing project was noted.

## 3. Governance and Risk Management in the University's Industry Centres

The CCO and Associate Principal (Research & KE) introduced a paper on the governance and risk management in the University's Industry Centres following a request at the May meeting. The University had a growing number of such centres which varied widely in their size and external engagements, and the governance environment needed to provide flexibility to accommodate and support centres with varying requirements of scale, stakeholder engagement and stage of evolution.

Members welcomed the paper noting the need to be aware of the different external compliance needs for centres of different types and sizes. It was also noted that IAS was beginning to scope out the review of Partnership Agreements planned for 2018/19.

## 4. Audit & Risk Committee Annual Report 2017/18 (Draft)

Audit & Risk Committee noted the draft report and the opportunity to provide comments directly to the Committee Manager ahead of the November meeting.

## 5. Information Security Annual Report 2017/18

Audit & Risk Committee noted the Information Security Annual Report. The Director of Information Services would be invited to attend the February 2018 Workshop to discuss the report and the key risks relating to Information Security at the University.

## 6. Revised Code of Practice on Conflicts of Interest (Appendix A)

Audit & Risk Committee noted the paper and **approved** the revised Code of Practice on Conflicts of Interest.

## 7. Review of 2017/18 Accounts Direction from the Scottish Funding Council

Audit & Risk Committee noted the paper.

## 8. Statement on Corporate Governance and Internal Control

Audit & Risk Committee noted and **approved** the draft Statement on Corporate Governance and Internal Control intended for inclusion within the University's 2017/18 Financial Accounts.

## CODE OF PRACTICE ON CONFLICTS OF INTEREST

**1.    Introduction**

The University encourages its employees to have diverse interests and contacts at local, national and international level. It recognises that such links between its employees and outside bodies are not only in the public interest but are often beneficial to the University and to the individual concerned. Whilst employees of the University are encouraged to have a wide range of contacts and interests they must ensure that their activities and interests do not conflict with their obligations to the University.

The purpose of this Code of Practice is to provide guidance to employees of the University and those acting on behalf of the University, such as members of Court, who may find themselves in a situation that could give rise to a conflict of interest, whether actual or perceived, and the procedures to be followed for disclosing such information.

This Code of Practice is aimed at protecting the University's interests whilst taking into account the interests and rights of the individuals concerned.  It provides guidance on identifying conflicts of interest and how to manage them.

**2.    Definitions**

A conflict of interest is a situation where the personal interest of an individual is likely to appear to influence the objective exercise of an aspect(s) of his/her duties as an employee/trustee of the University. It should be noted that a conflict of interest may be perceived, potential or actual, and that all such scenarios fall within the scope of this Code of Practice.

A *perceived* conflict of interest is a situation which a reasonable person would consider it likely to compromise objectivity.

A *potential* conflict of interest is a situation which could develop into an actual or perceived conflict of interest.

Situations giving rise to actual or perceived conflicts of interest are many and varied. It is not possible to define all circumstances which may give rise to a conflict of interest, but the following examples are identified to provide some guidance (this list is not exhaustive):

  i.    The use of any of the University's facilities to pursue an employee's business, commercial, or consulting activities of a personal nature;
  ii.   An employee conducting business, employment or activity outwith the University which adversely affects his/her ability to perform his/her duties as specified in their University contract of employment, or affects their actual performance;
  iii.  An individual using his/her position to influence a contract or other favourable terms for a company or business in which he/she, or a partner, spouse, near relative (e.g. dependent children) or friend has a financial interest;
  iv.   A financial interest held by an employee, or his/her partner, spouse, near relative or friend, in an external enterprise engaged in activities closely related to that individual's line of work or research in the University. This includes paid consultancies, paid service on a board of directors or advisory board, or equity holdings in or royalty income from the enterprise;
  v.    An individual using his/her position to influence the employment, promotion, admission to a course of study, educational progression or other financial or non-financial benefit for a partner, spouse, near relative or friend;
  vi.   An individual using his/her influence to obtain financial or non-financial benefit for him/herself or for a partner, spouse, near relative or friend in return for providing an

advantage, whether financial or non-financial, which is to the disadvantage of the University;

vii. An employee who attempts to restrict rights governing the timing and content of publications, except in instances properly approved by the University to protect privacy, commercially sensitive proprietary information, or patentable inventions;

viii. An employee involved in externally funded activity which might infringe the right of a student engaged in the activity to complete the degree for which he/she is registered, and/or to publish freely his/her findings (except in circumstances identified at vii above).

There are in addition certain circumstances which the University considers give rise to clear conflicts of interest and so it has adopted specific policies and procedures for these circumstances For example, further information relating to work for outside bodies and personal consultancies is available on the University website.

Section 5 below provides further information on other relevant University policies and procedures.

## 3. Disclosure of a Conflict of Interest

It is the duty of all employees to disclose any actual or perceived conflict of interest, normally to their Head of Department/School in the first instance. If an employee is in doubt then advice and guidance can be sought from the individual's Head of Department/School, Executive Dean/Director, or appropriate University officer (this could be the University Secretary and Compliance Officer, the Chief Commercial Officer, the Chief Financial Officer, the Director of Human Resources, or the Director of Research and Knowledge Exchange Services).

Failure to disclose an actual or perceived conflict of interest may result in disciplinary action and, in serious cases, may result in dismissal. The extent to which the individual employee was aware of the actual or perceived conflict of interest, and/or made a conscious decision not to declare it, and the severity of the matter in question will be taken into account in determining whether it should be referred for consideration under the relevant staff disciplinary procedure.

**The procedure for making such disclosures is set out below.**

a. In the first instance the employee should raise any issue that might represent a conflict of interest with his/her Head of Department/School, (where they are the Head of Department/School then the matter should be raised with the Executive Dean/Director) preferably in writing. This will be necessary to clarify if the activity or course of action that the individual employee wishes to undertake will cause a conflict of interest.

Where it is quite clear to the Head of Department/School that there is no conflict of interest then the employee may proceed with the action/activity proposed. The Head of Department/School should confirm this in writing.

b. Where the Head of Department/School considers that the proposed activity or action may cause a conflict of interest, either actual or perceived, then formal disclosure is required and the procedure to be followed is set out below. In the interim the Head of Department/School may take a preliminary decision, either that:
  - The employee may continue the activity in the interim, possibly with modifications; or
  - The employee must not continue the activity until a clear resolution is made.

c. Where a conflict of interest, either actual or perceived, has been identified then the following procedures must be followed:

The disclosure must be made in writing to the University Secretary and Compliance Officer and should provide sufficient information about the activity/action proposed in order that all material facts are identified and a clear decision may be taken.
If necessary, further advice may be sought from senior colleagues in the relevant professional areas, such as the Chief Commercial Officer, the Chief Financial Officer, University Secretary and Compliance Officer, the Director of Human Resources or the Director of Research and Knowledge Exchange Services as appropriate. This advice may be sought by the individual or the Head of Department/School (or Executive Dean/Director) in order to help determine a suitable course of action for managing the situation.

The University Secretary and Compliance Officer will consider the disclosure, seeking advice as appropriate, and will discuss the matter with the employee. Once the matter has been disclosed and considered by the University Secretary and Compliance Officer, the employee will be advised of a suitable course of action, which may be:-

- that there is no conflict of interest, or that it is not sufficient to be of any concern to the University, and so the individual may proceed with the action or activity;
- that the individual may proceed with the action or activity but with certain modifications. These modifications must be agreed with the individual concerned and a written record kept of them by the University Secretary and Compliance Officer and the individual; or
- that the action/activity should not proceed. Clear reasons for reaching this decision must be given to the individual employee concerned by the University Secretary and Compliance Officer.

The Head of Department/School (or Executive Dean/Director) will be notified of the decision and the course of action to be followed.

d. If the employee is permitted to proceed with the activity then he/she will be required to complete a declaration of interests form and an annual return will be required thereafter until the activity ends.

e. Where the employee is not satisfied with the decision then he/she may take the matter up through the relevant staff Grievance procedure (further information is available from Human Resources).

4.    **Annual Declaration of Interests**

In addition to declaring any actual or perceived conflicts of interest in accordance with the procedure set out above, certain members of staff are required to submit an annual declaration of interest to the office of the University Secretary and Compliance Officer. These members of staff are:

- All Members of Executive Team
- Members of Court

Assurance regarding management of the Conflicts of Interest of Directors of Professional Services, Heads of Departments/Schools and their wider staff teams is achieved through the annual Key Controls Checklist which is administered and reviewed by the Internal Audit Service.  Any additional member of staff who has been identified through the procedure for

disclosing a conflict of interest should make an annual declaration to the relevant Director or Head of Department/School.

## 5.   Existing University Policies and Procedures

Some University documents already set down the procedures to be followed in certain situations.

### *Work for outside bodies, including Personal Consultancies and business activities*

[The University Procedure in relation to Work for Outside Bodies including Consultancies](#) sets out the procedures to be followed when individuals wish to undertake work for outside bodies, including sponsored research grants and contracts; University and personal consultancies; and business activities. Work for external bodies which attracts additional payment requires formal approval. In the first instance the individual employee must seek permission from his/her Head of Department/School to undertake such activities and provide an indication of the time commitment this activity is likely to take.

### *Employment of spouse/partner or near relatives*

The University does not preclude the appointment of spouses/partners or near relatives of present employees. However, no member of staff will be permitted to be involved in any aspect of the recruitment process where their spouse/partner or near relative is an applicant for the post. Further information may be found in the Policy on the Appointment of Relatives, which is available at the following web site:
http://www.strath.ac.uk/staff/policies/hr/appointmentofrelatives/

Additionally, there are a number of other related policies in place within the University which may have a bearing on these matters, these are:

- The Financial Regulations - further information is available at the following web site:
- https://www.strath.ac.uk/professionalservices/finance/generalinformation/financialregulationsandpolicies/

- Research Code of Practice – further information is available at the following web site:
  https://www.strath.ac.uk/research/researchdatamanagementsharing/requirementspolicies/

- Purchasing Manual – further information available at the following web site:
  http://www.strath.ac.uk/Departments/Purchasing/LocalOnly/purguide.html

- Appointment of Relatives – further information available at the following web site:
  https://www.strath.ac.uk/staff/policies/hr/appointmentofrelatives/

- Public Interest Disclosure Policy (Whistleblowing) - further information can be found at the following web site:  Policy currently being updated and will replace existing policy at this site http://www.strath.ac.uk/publicinterestdisclosure/

- Fraud Prevention Policy – Policy currently being updated and will replace existing policy at this site https://www.strath.ac.uk/staff/policies/

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

**MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 15 JUNE 2018**

The following items are provided for Court's information.

- **NATIONAL PAY NEGOTIATIONS**
  The Director of Human Resources reported that UCEA's national pay negotiations with HE Unions had concluded, with the final offer from employers being a 2% increase on all pay points (with up to 2.8% applied to the lower pay points). Furthermore, around 50% of staff in the sector would receive additional remuneration through incremental progression within a salary scale. As the negotiations had concluded, the HE Unions began a period of consultation with their members, with UCU and UNISON recommending that their members reject the final offer.

  *Secretary's note: Following consultation with their members, UCU, Unison and Unite rejected the final offer. UCU has since commenced a statutory ballot of their members for both strike action and action short of strike action. Unison are similarly balloting, but for strike action only. Unite have not yet determined their next steps. At UCEA's advice, universities across the UK, including Strathclyde, have implemented the employer's final offer.  Any further increase resulting from the ongoing dispute would be applied retrospectively.*

- **UNIVERSITIES SUPERANNUATION SCHEME AND INDUSTRIAL ACTION**
  Staff Committee was provided with an update on the establishment of a Joint Expert Panel (JEP) which would review the methodology and assumptions used in the USS Valuation. The JEP included members nominated by Universities UK and UCU, and had an independent Chair. The JEP was tasked with agreeing the key principles to underpin the USS fund valuation and to report by September 2018. Separately, the USS Trustee Board had confirmed that, as all parties had failed to reach agreement around the triennial valuation review, a cost sharing rule would be triggered; the cost of which could potentially have significant impact on employer and employee costs, with substantial increases in contributions commencing from 1 April 2019. These potential increases would require each USS employer, including Strathclyde, to conduct a statutory consultation with USS members and potential members.

- **STAFF EQUALITY**

  The Director of Human Resources reported that the University had been reaccredited with a Bronze Institutional Athena SWAN award. The University wished to achieve silver level recognition and the feedback from the Bronze award would inform gender equality action planning going forward.

- **FOSTER CARE LEAVE POLICY AND STAFF PERSONAL RELATIONSHIPS POLICY**

  Staff Committee **welcomed and commented on** a draft Staff Personal Relationships Policy and Foster Care Leave Policy, which would now be subject to wider stakeholder consultation.

SH/GS/CS, 21.09.2018