UNIVERSITY COURT – AGENDA

Tuesday 1 October 2019, 10.00-13.00, coffee from 09.45
Court Senate Room, Collins Building

Note: Court members and attendees are invited to a medal presentation event from 13.00 in the Executive Suite, Technology & Innovation Centre, at which lunch will be provided.

Apologies: *Dame Sue Bruce, Alison Culpan, Paula Galloway*
Declarations of interest: *None*

	Introduction	
1.	**Minutes of the meeting held on 18 June 2019** *All*	**Paper A** *5 mins*
2.	**Matters arising** *All*	**Oral**
3.	**Principal's Report** *Principal*	**Oral** *30 mins*
	Substantive items	
4.	**Presentation: Strathclyde Sport** *Head of Sport and Recreation*	**Oral** *15 mins*
5.	**Student Recruitment and fee income 2019/20** *Director of Strategy & Policy, Chief Financial Officer*	**Paper B** *15 mins*
6.	**Outcome Agreement 2018/19 self-evaluation and guidance for 2020/21** *Director of Strategy & Policy*	**Paper C** *15 mins*
7.	**National Student Survey 2019** *Vice-Principal, Director of Education Enhancement*	**Oral** *15 mins*
8.	**Strategic Plan preparation** *Director of Strategy & Policy*	**Paper D** *10 mins*
9.	**Court Strategy Session, November 2019 – initial planning** *Convener, Principal*	**Oral** *10 mins*

Items for formal approval		*15 mins*
10.	**Convener's Actions** • Court Committee Appointments • Revised Terms of Reference for Enterprise & Investment Committee	**Paper E** **Paper F**
11.	**Corporate Risk Register**	**Paper G**
12.	**Annual review of key Court documentation 2019/20:** a) Court Standing Orders 2019/20 b) Handbook for Members of the University Court 2019/20, incorporating c) Court's Statement of Primary Responsibilities	**Paper H**
13.	**Annual Statement on Institution-led Review of Quality for Scottish Funding Council, Academic Year 2018/19**	**Paper I**
Items for information		*10 mins*
14.	**Court Members' Survey 2019**	**Paper J**
15.	**Complaints Handling Annual Report 2018/19**	**Paper K**
16.	**Health & Safety Annual Report and Strategy update**	**Paper L**
Committee reports *(for noting, unless otherwise stated)*		*5 mins*
17.	**Executive Team**	**Paper M**
18.	**Senate**	**Paper N**
19.	**Court Business Group**	**Paper O**
20.	**Court Membership Group** For approval: appointments to CMG and EIC	**Paper P**
21.	**Audit & Risk Committee**	**Paper Q**
22.	**Enterprise & Investment Committee**	**Paper R**
23.	**Staff Committee**	**Paper S**
Closing remarks		*5 mins*
24.	**Any other business** *Convener* **Date of next meeting** *Thursday 28 and Friday 29 November 2019* *Ross Priory (residential meeting and strategy session)*	

MINUTES OF UNIVERSITY COURT DRAFT
18 June 2019

Present: Ronnie Cleland (Vice-Convener), Professor Sir Jim McDonald (Principal), Professor Scott MacGregor (Vice-Principal), Kerry Alexander, Dr Jeremy Beeton, Dr Archie Bethel, Kayla-Megan Burns, Amanda Corrigan, Matt Crilly, Paula Galloway, Alison Culpan, Dr Kathy Hamilton, Gillian Hastings, Councillor Ruairi Kelly, Susan Kelly, Dr Neil McGarvey, Dr Jane Morgan, Marion Venman, Malcolm Roughead, Gillian Pallis, Brenda Wyllie

Attending: Professor Tim Bedford, Professor Douglas Brodie, Hugh Darby, Sandra Heidinger, Professor David Hillier, Dr Veena O'Halloran, Professor Atilla Incecik, Rona Smith, Professor Iain Stewart, Steven Wallace, Dr Daniel Wedgwood, Karen Boyle (item 4 only), Kirsteen MacLeod (items 5 and 6 only), Manish Joshi (item 9 only).

Apologies: Dame Sue Bruce, Dr Katharine Mitchell, Heather Stenhouse.

Welcome and apologies

The Vice-Convener presided at the meeting in the Convener's absence. He welcomed Court members and attendees to the meeting and noted the apologies received. The Vice-Convener extended a particular welcome to Kayla-Megan Burns, who was attending her first meeting as a newly-appointed student member of Court, and to Steven Wallace, who had recently joined the University as Chief Financial Officer.

1.   Minutes of the meeting held on 2 May 2019

Court **approved** the minutes of the meeting held on 2 May 2019 and **noted** the record of the strategy session and stakeholder meeting.

2.   Matters arising

There were no matters arising.

3.   Principal's Report

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

University dinner
This had been a very successful event and an opportunity to celebrate recent successes. The Principal recorded thanks to the Director of Marketing & Communications and the Events team.

STELAR and SADE awards
The inaugural Strathclyde Executive Leadership (STELAR) Awards had been awarded on 31 May at a ceremony held in the Technology & Innovation Centre (TIC). The awards recognise the achievements of Strathclyde alumni who succeed in senior leadership roles in business, industry and in the public sector. In addition, the 2019 Strathclyde Academy of Distinguished Entrepreneurs Award (SADE) had been awarded to Dr Susan Aktemel, Founding Director of Homes for Good (Scotland).

Graduations

Graduation ceremonies would run from Wednesday 19 June to Friday 28 June. The Principal noted that the Chancellor, Lord Smith, was among those due to receive honorary degrees in this session, in recognition of his substantial and continuing service to the University.

The Principal had officiated at Children's University Scotland graduations in the University's Barony Hall on 29 May. More than 200 children aged between five and 14 years old had taken part. The Principal noted that this was an important opportunity to communicate with parents as well as young people themselves regarding the value and accessibility of a university education.

The Children's University ceremony had been used as a backdrop for BBC reporting on widening access (WA). The Scottish Funding Council's latest report on WA showed that Strathclyde had increased its number of entrants from the 20% most deprived areas of the country such that one in eight young, full-time Scottish entrants to higher education from a relevant disadvantaged background studied at Strathclyde.

Honours and awards

Professor Graham Wren, Special Adviser to the Principal, had been appointed an Officer of the Order of the British Empire (OBE) in The Queen's Birthday Honours List, in recognition of his services to Education, Science and Engineering.

The TIC had won two awards: the Lord Provost's Award for Business and Enterprise and the Best Academy Venue award at the annual CHS (Catering & Hospitality Show) Awards, from among a crowded field of UK university venues.

Government engagement

The Minister for Further Education, Higher Education and Science, Richard Lochhead MSP, had visited the University in early May for a Young Chemical Ambassador's event. The day had been specifically designed for pupils with additional support needs, through simple adaptations to mainstream materials, to make science education more inclusive. The Minister visited again on 14 May to visit the site of our Learning & Teaching building, a demonstration of how institutions like Strathclyde can benefit from Financial Transactions funding (low-interest Treasury-backed loans provided through the Scottish Government).

Dr Liam Fox, Secretary of State for International Trade, had been on campus and met with the Chief Commercial Officer on 24 May, when the Glasgow City Innovation District (GCID) was the venue for the Department of International Trade's 'Exporting is Great' roadshow. GCID had been selected as the host of a wide range of organisations working in the energy sector.

The Principal had recently co-chaired with the First Minister a meeting of the Scottish Energy Advisory Board.

Industry engagement

The Lightweight Manufacturing Centre (LMC) was to open later in June and would be the first new part of the National Manufacturing Institute for Scotland (NMIS). The process had been started to recruit to up to 40 research and development engineer positions, spanning a wide range of technical areas and career stages, to contribute to the establishment and growth of NMIS, including the LMC and the Advanced Forming Research Centre.

UK exit from the EU

The University's Business Continuity Group had been re-convened and would continue to meet, in the light of the raised risk of a 'no deal' exit from the EU. The wider Strathclyde EU Exit Working and Advisory Group also continued to meet to ensure that key Professional Services and Faculty staff had a forum for discussing Brexit-related issues and actions.

The UK Government had announced it would maintain 'home' status for EU students entering higher education in 2020-21 for the duration of their studies, mirroring a commitment that had already been announced by the Scottish Government. The University would continue to engage with the SFC, Universities Scotland and others on relevant policy.

CESAER activity

The CESAER Presidency had recently met in Glasgow, giving visiting members the opportunity to visit Strathclyde research facilities. The meeting had considered critical EU Commission activity and progress against the CESAER work plan. There had been clear shared will to continue to promote and pursue collaboration.

Augar review

The Augar Review of Post-18 Education in England had been published on 30 May. The Review made 53 recommendations to Government, which were wide-ranging. The most widely reported recommendation was to reduce tuition fees in England from £9,250 to £7,500 per year. If adopted, Scottish universities would be likely to have to lower headline annual fees for RUK students accordingly, resulting in a potential loss of tuition fee income. It was unclear whether the Scottish Government would make up any shortfall in this scenario.

Another high-profile recommendation was reinstatement of student maintenance grants in England. This might provide an opportunity for the Scottish Government to reconsider levels of financial support to students in Scotland.

Staff update

The Principal welcomed Steven Wallace to the post of CFO and recorded thanks to Hugh Darby for his contributions as Acting CFO. Sandra Heidinger had been appointed Chief People Officer, following Court's approval of the creation of this role in March. The Vice Dean (Academic) for the Faculty of Science Debra Willison, had been promoted to become the University's first Professor of Learning & Teaching. The University had also created the post of Legal Counsel to the University and appointed Louise McKean to this role.

Values survey

The regular Values Survey for all staff had been issued by email on 10 June. The survey was intended to assess how well Strathclyders felt the institutional values were being implemented and adhered to at the University and to seek ideas on additional actions the University could take.

Pensions

At the national level, there continued to be uncertainty around future arrangements in the USS pension scheme. Following extended dialogue and consultation on options, the sector was currently awaiting a response from the USS trustee on likely next steps. It was likely that employer and employee contributions would rise significantly at least in the short term, but work was continuing to find mutually acceptable longer-term solutions. Strathclyde's position had remained consistent throughout the process.

Research funding

The Principal noted excellent recent performance across the University in winning large research grants and gave examples from all of the Faculties. Many of these involved EU funding, showing the importance of the UK's continued involvement in the EU research funding framework.

4. Alumni & Development

The Head of Alumni & Development gave a presentation on major donor relationships with the University and the University's strategy. The presentation included examples of individual donors, foundations and corporate partners, noting the different ways of fostering their respective relationships with the University appropriately. A number of different outcomes were exemplified, including direct funding of undergraduate and postgraduate scholarships, research grants and funding of research fellows, entrepreneurship support and donations to the alumnus fund.

Court **noted** the presentation.

5. Q3 Business Report 2018/19

The Director of Finance and the Director of Strategy & Policy presented the Q3 University Business Report for 2018/19.

[Reserved] Actions taken in the interim had led to revisions of projected income and exerted firm control of costs. Cash balances were significantly higher than anticipated, largely as a result of re-profiling of estates activity.

While costs had been carefully managed, some costs had unavoidably risen due to external factors, including in relation to pensions. It was noted that the University would be required to report the USS pension position as at 31 July in its accounts. This could potentially give an inflated impression of pension costs, since the accounts could not reflect any subsequent resolution at national level of current discussions regarding the USS pension scheme, which could significantly reduce the University's pension contribution costs after the year end. Should such a resolution be achieved earlier than 31 July, this would be reflected in the accounts.

Total income was slightly down relative to budget. Within this, tuition fee growth was slightly below target, but still showed strong performance. Growth in external research funding was strong: the awarded value at Q3 already stood at a higher level than the total for the previous year.

Growth in international research postgraduate (PGR) recruitment had led to a change in categorisation of the PGR international recruitment KPIs from red to amber. It was expected that international PGR numbers would ultimately approximate the targeted level for the year. **[Reserved]** Overall, student recruitment showed sizeable year-on-year growth; the University's emphasis at this stage was on the conversion of applications to acceptances. International demand, in particular, was strong and was expected to be converted into additional students in key growth areas.

There had been a reduction in retention of students from widening access (SIMD0-20) backgrounds in 2018-19 (2017-18 entrants). This followed a significant increase in admissions of students from these backgrounds in 2017-18. Further analysis suggested that the increase in withdrawals was most notable amongst low entry tariff STEM entrants; no evidence had been found that this was part of a multi-year trend.

In subsequent discussion, Court members enquired as to the financial impact should the sector's preferred option with respect to the USS pension be implemented. Members were informed that current modelling suggested a substantial reduction in accounting liabilities as at 31 July 2019, relative to those triggered by the use of the 2017 USS valuation, as represented in current accounting. However, this modelling rested on a number of significant assumptions.

Members asked what proportion of students from SIMD0-20 backgrounds received financial support. The Director of Strategy & Policy undertook to provide this information. It was noted that the reasons for any individual student's withdrawal from studies could be complex and/or difficult to identify.

Court **noted** the Q3 Business Report.

6. 2019/20 Budget, Financial Forecasts and Annual Plan

The Director of Finance delivered a presentation which focused on the budget and forecasts for 2018/19, nothing that the annual plan was provided for information, in compliance with the Scottish Code of Good Higher Education Governance.

Significant increases in income and expenditure were forecast, on the basis of which the University was maintaining ambitious investment targets. Aggregated forecasts for both income and expenditure were in line with targeted progress towards the University's 2025 vision. These included a significant increase in tuition fee income over the forecast years, mostly from international (non-EU) students. This projection was supported by current trends in applications and offer rates, as aggregated from current Faculty data. The University's cash position was forecast to remain satisfactory and cash flow to remain within the contractual conditions of the University's European Investment Bank loan.

The forecasts showed a notable degree of year-on-year fluctuation in capital grant income, which followed in large measure from accounting requirements set out in the FRS102 accounting standard. These recording requirements were largely responsible for the small deficit projected for 2020-21. Given the range of this forecasting, there remained adequate time to take measures to reduce or reverse this projected deficit. Relatedly, a substantial increase in capital grant funding was anticipated in 2021-22, as a result of funding associated with NMIS, currently forecast to be recognised in a single year under FRS102 requirements.

The Treasurer commented that, although the budget projected a relatively low operating surplus, this was a reflection of the University's level of ambition. The successful re-balancing of the budget between Q2 and Q3, in addition to regular delivery of targets in previous years, enabled Court to have confidence in recommending the budget. Overall, investment ambition was appropriately balanced with budgetary control.

The following points were raised in subsequent discussion:

- The Principal made clear the importance of progressing with current strategic ambitions in order to further strengthen the University's position in an increasingly competitive and challenging external environment and decrease its reliance on public funding. Staff engagement sessions had shown that confidence was high and there was a strong sense of shared vision across the University. However, it would be crucial to avoid complacency.
- National commitments to minimising carbon emissions could potentially impact the University. It was noted that the University already made significant contributions to reducing carbon emissions and would continually look for further ways to do so, on its own account and in partnership with others. The University's CHP plant was one example of this and district heating benefits could possibly be extended to neighbouring organisations. The University and the Students' Union were working closely together on sustainability issues. The University's commitment to further the UN Sustainable Development Goals also provided an important framework for work in this area. In some cases, the University's contributions to the sustainability agenda might also bring commercial opportunities.
- A well-positioned university like Strathclyde might investigate novel models of financial backing. It was noted that the arrival of the new CFO provided an opportunity to explore such questions, as well as to investigate opportunities for new modes of financial reporting and intervention to provide additional levels of control and reassurance.
- The budget included specific mention of the National Centre for Prosthetics & Orthotics. This depended on support from the Scottish Government. The University would continue to discuss this with the government and SFC.
- The University balanced the increase in student numbers with strenuous efforts to maintain educational standards. This was crucial to maintaining the University's reputation and also helped to create a virtuous circle, students who thrived in a high quality educational setting becoming advocates for the University and helping to attract other high-calibre students.

Members discussed further the potential financial impact of changes to the USS pension scheme and to what extent the budget reflected this risk. It was noted that to calculate the potential impact, the University employed models developed by the British Universities Finance Directors' Group that were used throughout the UK sector and that these involved an appropriately cautious and balanced set of assumptions.

Court **approved** the budget, forecasts and annual plan.

7. Glasgow City Innovation District – outline business case

The Chief Commercial Officer (CCO) delivered a presentation which focused on the TIC Zone within the GCID.

The TIC had been very successful, attracting an unrivalled set of innovation organisations into the GCID, including multiple catapults and SFC-backed Innovation Centres. The TIC and Inovo buildings had also stimulated company investment into the district, increasing and intensifying industrial collaboration.

[Reserved] Plans for expansion of the TIC Zone with the construction of TIC2 and Inovo2 buildings were being developed in this context of a strong track record and strong demand. A

feasibility study had been completed. The next phase of design, for which Court's approval was sought, would be integral/critical to developing the full business case for this expansion.

An expanded TIC Zone would allow the University to capitalise on its successful model of industrial collaboration focused on clusters of competitive advantage, each of which now had a dedicated lead and strategy and which were well placed to take advantage of major sources of innovation-related funding, such as the UK Industrial Strategy Challenge Fund. Developing the University's innovation activities in this way formed a key part of the 2025 vision.

The CCO outlined the intended mixed funding package and key staging points in engagement with partners, but emphasised that any further expenditure would follow approval of the full business case, at a future date.

It was also noted that the design stage work and related funding for which Court's approval was sought was dependent on support from key partner organisations, which were considering the proposals in parallel.

Court **approved** the proposal to tender for all remaining stages of the Design Team Services up to completion and handover for the TIC West and TIC East; and for the release of funds for the next concept design stage.

8. Renewed University Investment Fund

The CCO presented a proposal seeking allocation **[Reserved]** over five years to extend an existing fund to allow investment in spin-outs and other companies with an appropriate connection to the University.

Investment of the initial fund **[Reserved]** had resulted in positive returns for the University and good survival rates for the businesses invested in. The renewed fund would enable support of the existing portfolio while allowing diversification of the University's investments.

In line with the recommendations of the Enterprise & Investment Committee and Court Business Group, the CCO noted that if the **[Reserved]** were invested within the five-year window, an additional request could be put to Court, along with evidence of returns on a successful investment strategy. Therefore, the current request was expressed as an allocation of funding for investment of a maximum period of five years.

Court **approved** the allocation **[Reserved]** or future investment in spin-out and other relevant companies.

9. University of Strathclyde Students' Association 2018/19 Budget

The CEO and President of the University of Strathclyde Students' Association (USSA) presented the USSA budget for 2019/20.

This was presented as a budget for stability and maintenance of service levels ahead of the expected step-change in commercial opportunities the following year, with relocation of the Union to the new Learning & Teaching building.

USSA was also seeking to diversify its funding streams and to offer new services on this basis.

Subsequent discussion centred on the importance of regular communication between USSA and the leadership of the University and on the financial controls in place to manage the budget in-year. It was noted USSA had worked with external agencies to enhance financial and oversight processes, ensuring improved awareness and responsiveness to financial issues.

Discussion also touched on the growing demand for pastoral care services for students. It was noted that relocation to the heart of the campus could bring more demand for such services to USSA but also presented opportunities to provide services in new ways, especially given the co-location of the student Union with University student services. This was recognised to be an area in which the University and USSA had shared responsibilities and challenges.

Court **approved** the USSA budget.

Items for formal approval

10. Court and Committee Membership 2019/20

The USCO presented this paper, which sought approval or endorsement of a series of recommendations from Court Membership Group (CMG). The paper also served as CMG's report to Court from its meeting of 7 June 2019.

Court
- **approved** the appointment of Stephen Ingledew and Peter Young to membership of the University Court for an initial one-year term;
- **approved** re-appointment of Brenda Wylie as a lay member of Court for a three-year term;
- **approved** the renewal of Dame Sue Bruce's term of office as Convener of Court for a further three years;
- **elected** the Convener's nominee, Paula Galloway, to the position of Vice-Convener of Court for a two-year term;
- **re-elected** the Convener's nominee, Gillian Hastings, to the position of Treasurer for a three-year term;
- **endorsed** the establishment of the position of Senior Deputy Convener and the Convener's nomination of Ronnie Cleland to this role;
- **approved** Ronnie Cleland's continued membership of CBG and Remuneration Committee, with a change of role to 'appointed lay member of Court' in each case; and
- **approved** amendment of Regulation 1.2.20 to allow for an additional co-opted lay member of Enterprise & Investment Committee.

11. Re-appointment of the Vice Principal

The Vice-Convener invited the Principal to comment. The Principal gave a summary of Professor MacGregor's qualities and achievements in the role of Vice-Principal and warmly commended him to Court, echoing the recommendation of the panel that had considered the present proposal to re-appoint.

Court **approved** the renewal of Professor Scott MacGregor's appointment as the Vice-Principal for a period of five years with effect from 1 October 2019.

Items for Information

12. Governance arrangements: implications of the RGU/SFC lessons learned report

The University Secretary & Compliance Officer (USCO) briefly summarised the nature of the RGU/SFC report and noted that the primary purpose of the paper was to inform Court of work in hand to consider the implications of the report and effect any appropriate changes to governance practices that might be identified as a result.

Court **noted** the paper.

Health & Safety moment
[Reserved]

Committee Reports

Court received and **noted** the following committee reports, except where otherwise indicated:

13. Executive Team

14. Senate

Court **approved** the establishment of two distinct Directorates: Directorate of Student Experience, and Directorate of Education Enhancement.

15. Court Business Group

16. Audit & Risk Committee

17. Enterprise & Investment Committee

18. Estates Committee

[Reserved]

19. AOB

Court dinner
The USCO noted that members would shortly be contacted regarding possible new dates for the postponed Court dinner.

Court survey
The annual survey would be issued soon, giving members the opportunity to give feedback on any aspects of Court business. The Vice-Convener encouraged all members to complete the survey and noted that the Convener wished to hold individual meetings with Court members after the survey results had been processed.

Departing lay members
The Vice-Convener expressed the University's gratitude to Jane Morgan and Kerry Alexander, who were stepping down from their roles as lay members of Court. The University would continue to benefit from their expertise, since they would remain as, respectively, a Visiting Professor and a co-opted member of Audit & Risk Committee.

Date of next meeting
Tuesday 1 October 2019, 10.00-13.00, Court Senate Room, Collins Building.

Daniel Wedgwood, June 2019

Student Recruitment and Fee Income 2019/20
[RESERVED ITEM]

Outcome Agreement 2018/19 self-evaluation and guidance for 2020/21 [RESERVED ITEM]

Strategic Plan preparation
[RESERVED ITEM]

Convener's Action: Court Committee Appointments

Introduction

1. At its meeting on 7 June 2019, Court Membership Group (CMG) noted vacancies on Court committees that would arise in 2019/20. It was agreed that

   "It would be appropriate to fill these vacancies after the recruitment of new lay members of Court has been completed. Therefore, the Convener, Vice-Convener of Court and Senior Deputy Convener, along with relevant committee conveners and the University Secretary & Compliance Officer, will work over the coming months to identify suitable candidates for these committee roles. Court Membership Group will be asked to contribute to this process by correspondence."

2. Three appointments were identified as requiring action before the commencement of the 2019/20 cycle of committee meetings, for reasons outlined below. In order to complete relevant processes in time, CMG gave its recommendation to Court by correspondence and Court approval for these appointments was granted by Convener's Action on 3 September 2019.

Audit & Risk Committee

3. The terms of reference of Audit & Risk Committee (ARC) state that (potentially among other members) *"[t]he Committee shall consist of no fewer than four lay members of the Court, of whom one shall be Convener."* Consequently, two vacancies for lay members needed to be confirmed before ARC's first meeting of the academic year, which took place on 4 September.

4. Taking into account the required balance of skills and experience, alongside members' time commitments, Jeremy Beeton and Brenda Wyllie were identified as appropriate candidates to fill these vacancies. They indicated their willingness to do so and the appointments were confirmed by CMG and Convener's Action, as described above.

SACSOH

5. Jeremy Beeton had indicated that, if appointed to ARC, he would withdraw from his current position on the Statutory Advisory Committee on Safety & Occupational Health (SACSOH), creating a vacancy for a lay member of Court on that committee.

6. Peter Young was identified as a suitable candidate to take up this position. He indicated that he would be willing to do so and the appointment was confirmed by CMG and Convener's Action, as described above.

Recommendation

7. Court is invited to **homologate** the appointments, by Convener's Action, of:
   - Brenda Wyllie as a lay member of ARC;
   - Jeremy Beeton as a lay member of ARC; and
   - Peter Young as the lay member of Court serving on SACSOH.

**Convener's Action:
Revised Terms of Reference for Enterprise & Investment Committee**

Background

1. Enterprise & Investment Committee (EIC) is a committee of Court. Its Terms of Reference are stated in University Regulations and can be changed only with Court's approval. Amendments to EIC's Terms of Reference were proposed in EIC's annual report, which was provided to Court for its meeting on 18 June 2019. No objections to the proposed amendments were raised by Court members, but they were not explicitly approved in the Court meeting.

2. While the Standing Orders allow for approval *nem con*, the Convener preferred to pursue a more transparent process, through the use of Convener's Action and homologation by Court.

3. The revised Terms of Reference are set out below, in the Annex. Note that this version incorporates an amendment that was approved separately at the 18 June Court meeting, within the committee's composition (allowing up to five co-opted members).

4. The nature of the proposed revision to the Terms of Reference is summarised in the EIC annual report as follows:

    "[EIC] endorsed proposed modifications to the EIC Terms of Reference, which were last updated on 28 September 2017. These modifications [see the Annex to the present paper] are recommended for Court approval and specifically include:

    *   Point [1.2.14] b), which states: *To review commercial investment proposals presented by the University's Commercial Investment Team and to make recommendations on investment in companies with a strategic relationship with the University*; and
    *   A quorum rule which requires the presence of at least two ex officio members, one other lay member of Court and 2 co-opted members at all meetings of the Committee."

5. Convener's Action was employed on 3 September 2019 to complete the approval of the new Terms of Reference, in order to bring them into effect before EIC's first meeting of the academic year 2019/2020, which took place on 9 September 2019.

Recommendation

6. Court is invited to **homologate** approval, by Convener's Action, of changes to University Regulations to modify the Terms of Reference of EIC, as set out in the Annex.

Annex – proposed changes to EIC Terms of Reference

The following draft Regulations are outlined for endorsement by Court, to be inserted into University Regulations after 1.2.13:

Enterprise and Investment Committee

Terms of Reference

1.2.14 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 review commercial investment proposals presented by the University's Commercial Investment Team and to make recommendations on investment in companies with a strategic relationship with the University;

(c) To undertake an annual review of the University portfolio of shareholdings and make portfolio management recommendations;

(d) 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;

(e) 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;

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

(g) 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;

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

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

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

(k) 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

1.2.15 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 five co-opted members, either lay members of Court or individuals external to the University

Quorum

At all meetings of the Committee, a presence of at least two ex officio members, one other lay member of Court and 2 co-opted members shall constitute a quorum for the transaction of business.

Period of Office

1.2.16 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.

Corporate Risk Register
[RESERVED ITEM]

Annual review of key Court documentation 2019/20

1. In accordance with standard annual processes, Court members are invited to review and approve three key Court documents:

    - Court Standing Orders (Annex 1);
    - the Handbook for Members of the University Court (Annex 2); and
    - Court's Statement of Primary Responsibilities (presented here as an annex to the Handbook)

2. These documents are all published on the University website at
    https://www.strath.ac.uk/whystrathclyde/universitygovernance/committees/universitycourt/ In the
    case of the Statement of Primary Responsibilities, publication is a requirement of the Scottish Code
    of Good Higher Education Governance. The Statement of Primary Responsibilities must also
    appear in the University's annual Report and Financial Statements.

3. Relative to the current versions of these documents, amendments are proposed as follows (these
    are tracked in the attached drafts):

    Standing Orders:
    - clarification of wording relating to adjourned meetings (paragraph 10);

    Court Handbook
    - reference to Code requirement for Stakeholder meeting added and superfluous material
      deleted (section 2.3);
    - the ability to update the Register of Interests via SharePoint highlighted (section 2.4);
    - details of Code and HESA Equality and Diversity data requirements and Privacy Notice
      (section 2.6);
    - clarification of the reference to the "Court intermediary" role, in relation to the Code (section 6);
    - addition of Senior Deputy Convener role (section 6; also annex 4 of the Handbook);
    - clarification of CBG membership (section 7);
    - clarification of Convener of Remuneration Committee, in line with recent changes to
      Ordinances, and removal of superfluous material (section 8);
    - additional clarification around reserved business (section 9);
    - additional clarification around Court members' responsibilities, including charity trustee role
      (section 9).

    Statement of Primary Responsibilities
    - no changes proposed.

Recommendation

4. Court is invited to **approve** the key documents presented with this paper, amended as shown within
    the draft documents and outlined above.

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 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 and adjournment

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 also adjourn ~~with the consent of~~ any meeting at which a quorum is present, with the consent of the meeting, and shall if so desired by the meeting. ~~adjourn the meeting, but n~~ No

business shall be transacted at any adjourned meeting other than the business left unfinished at the original meeting.

Procedure at Meetings of Court

10. 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.

11. 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 the Convener declares, exceptionally, that an item is 'closed business' for reasons of confidentially or commercial sensitivity, he or she may ask that any attendees at the meeting recuse themselves for that particular item of business.

12. Motions which members wish to bring forward at any meeting must be communicated in writing to the 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.

13. 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.

14. 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.

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

16. 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.

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

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

19. All ordinary meetings of the Court shall terminate within three hours from the commencement of the meeting unless Standing Order 32 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.

Annex 1

Court Papers and Minutes

20. The University Secretary and Compliance Officer shall be responsible for providing secretarial services for the Court.

21. 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.

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

23. 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

24. 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).

25. 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).

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

27. 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

28. 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.

29. 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.

Annex 1

30. 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

31. 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.

32. 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.

For approval by Court on 1 October 2019

HANDBOOK FOR MEMBERS OF THE UNIVERSITY COURT 2019/20
DRAFT – SUBJECT TO APPROVAL BY COURT ON 1 OCTOBER 2019

Contents   Page number

2019/20 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 approximately 22,500 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. The University is required to report on how it is complying with the Code in its Annual Report, via a Statement of Corporate Governance.

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 and planning its future development. It 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 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 elected by the Senate and one member elected by and from among 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 acts as Secretary to the Court. In addition, members 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 key issues 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 in reaching 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.

The Scottish Code of Good Higher Education Governance requires Court to hold an annual Stakeholder Meeting. This is held as part of 'Engage with Strathclyde' week, which provides multiple ways for stakeholders to interact with the University.

.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 this 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 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. Members of Court can declare any material interests though the appropriate section of their record in the University's SharePoint portal.

.6 Equality and Diversity

The Scottish Code of Good Higher Education Governance states that the governing body "must provide leadership in equality and diversity across all protected characteristics, assuming responsibility for the Institution's strategy and policy on equality and diversity"

and must monitor its own composition with regard to equality and diversity. Any reporting on this will be on an anonymous, purely statistical basis.

In addition, the Higher Education Statistics Agency (HESA) requires that all UK higher education institutions collect and return equality and diversity data relating to members of their governing bodies. Court members will be asked, on an annual basis, to provide relevant information, confidentially, through the SharePoint portal. In line with best practice in equality and diversity, any Court member may choose not to provide any given piece of information within this.

The University's Privacy Notice for Court members explains how the University will use members' information and their rights under legislation and can be viewed at: https://www.strath.ac.uk/professionalservices/dataprotection/

.7 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) appropriate advice is taken from both lay and other Court members and (b) all such action is 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 *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 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 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", in the sense of the Scottish Code of Good Higher Education Governance (paragraph 58).

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. One of the Deputy Conveners may be appointed Senior Deputy Convener. 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)
- Governance arrangements and communications with Court members – the Senior Deputy Convener.

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 include the Court Officers and 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. It is chaired by the Convener of Court.

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. Besides the Court Business Group, the other committees of Court are:

- **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 Paula Galloway.

- **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 is chaired by the Chief 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 ofa lay member Court.

- **Court Membership Group** – considers the appointment of the Deputy Conveners of Court, nominations for co-opted vacancies in the membership of Court and 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 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; 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 should discharge their responsibilities with due regard for the proper conduct of public business. As such, and in line with the Scottish Code of Good Higher Education Governance, members of Court must act 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). These 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
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.
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.
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.
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.
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.
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.
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. 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. sensitive staffing matters), which should be ~~. ;~~viewed and discussed only by members of Court;
- ~~members appointed or elected by particular constituencies should~~ always act in the best interests of the University and not as if delegated by any particular group or body, even when they may be nominated, appointed or elected by a particular group.
- attend as many meetings of the Court as they can.

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

Members of Court should also be aware of their responsibilities as charity trustees. The Scottish Charity Regulator publishes guidance on the duties of charity trustees.

Revised September~~July~~ 2019 (subject to approval of changes by the University Court on 1 October 2019)

UNIVERSITY OF STRATHCLYDE COURT STATEMENT OF PRIMARY RESPONSIBILITIES

<u>General</u>

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:

<u>Staff and Students</u>

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;

<u>Financial responsibilities</u>

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;

<u>Strategic responsibilities</u>

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;
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

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;
19. To ensure compliance with the University's Charter, Statutes, Ordinances and Regulations, as well as all UK and European legislation where applicable;
20. To be responsible for the form, custody and use of the University's Common Seal;
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;
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;
23. To establish and monitor effective systems of internal control and accountability throughout the University;
24. To ensure that appropriate arrangements are in place for external and internal audit;
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

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;
27. To monitor and review the performance and effectiveness of the Court itself and other University committees;
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;
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);
30. To ensure that procedures are in place within the University for dealing with internal grievances, conflicts of interest and public interest disclosure.

Subject to approval by the University Court on 1 October 2019.

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)
- 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, 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 2019

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) 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

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 Student 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 is taken from both lay and other Court members and (b) all such action is 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;
- to work with the Senior Officers of the University to ensure that the University achieves its strategic aims, providing appropriate and rigorous challenge 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 2019

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.

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.

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.

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.

Senior Deputy Convener

The purpose of this new role is to allow the Convener and Vice-Convener to benefit from the accumulated experience of a senior member of Court while relieving some of the burden of their roles, especially with respect to the more informal elements of leading and communicating with Court members. In addition, the role will have particular responsibility for oversight of governance arrangements.

For approval by Court October 2019

**Annual Statement on Institution-led Review of Quality
Academic Year 2018/19 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 2018/19.

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. This is underpinned by a pro-active, reflective and self-evaluative approach and is central to our success; 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 engagement with strategic academic priorities, including cross-institution evaluation and monitoring of academic matters, 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 Strathclyde Online Learning Committee and the Graduate Apprenticeship & Degree Apprenticeship Steering Group ensures that the online learning and graduate & 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. In 2018/19, a new Student Experience Committee was established; the committee is convened by the Strath Union Student President and comprised of membership from Strath Union sabbatical officers, permanent staff of the Union and University academic and professional services staff. SEC also reports in to Education Strategy Committee. Each Education committee produces an annual reflective report which draws together achievements for the year and proposes priority areas for the year ahead; these are available on request.

4. In academic year 2018/9 the University was formally reviewed as part of the ELIR 4 cycle, with the Planning Visit and main Review Visit taking place in January and March 2019 respectively. The University received the highest possible formal outcome reinforcing that the University "has effective arrangements for managing academic standards and the student learning experience", confirmation that the University is effective in all its quality assurance and enhancement and learning and teaching activities, and recognising and commending the strength of the University's institutional vision and strategic approach to enhancement and implementation. A significant number (seven) of commendations were received, with many areas of good practice identified. These highlighted the

strength of the University's approach to implementing our vision, our well established links with industry and impact on curriculum development, our approach to online education and the strength of our student partnership. In addition, the review outcome affirmed plans on areas for further development and on strengthening existing processes. The outcome report from the ELIR visit can be found here.

The University of Strathclyde engaged with the Quality Assurance Agency (Scotland) in a constructive annual discussion with the QAA Institutional Contact in November 2018. Discussions focused on preparation for ELIR 4, student engagement and Institution-Led Review, including findings of the reviews that took place in 2017/18 together with the Schedule of Reviews for 2018/19.

Institution-Led (Internal) Review Activity

Overview
5. The Quality Assurance Committee has delegated authority from Senate to monitor 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 the Quality Assurance Committee on behalf of Senate.

6. Responsibility for annual course and class monitoring and review lies at Faculty and Department / School level. Additionally, Faculty Annual Reports are considered at a joint meeting of 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 the academic year 2017/18, there continues to be a strengthened focus on how each Faculty's enhancement activities contribute to the delivery of our agreed 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).

7. 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, has an integral role in supporting joint priorities for enhancing the student experience.

Institution-Led (Internal) Review Schedule 2018/19

8. Institution-Led (Internal) Reviews took place in 2018/19 as outlined in the table below.

Faculty	Department/ School
Engineering	Biomedical Engineering Electronic and Electrical Engineering*
Business School	Hunter Centre for Entrepreneurship Marketing
Science	Pure and Applied Chemistry Strathclyde Institute of Pharmacy and Biomedical Sciences*
HaSS	Humanities Government and Public Policy*

* Reviews took place after the last QAC meeting of 2018/19 on 24th April. Full reports will be submitted to the Committee in 2019/20.

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. Internal Review Panels are chaired by the Dean of the Faculty and consist of two Faculty representatives (outwith the Faculty under review), at least two assessors external to the University, at least one member from another Faculty and, where relevant, one senior member of Professional Services, a student reviewer from another department and a Panel Secretary. The University's Policy, Procedure and Guidelines for Internal Review can be found here.

11. Common themes emerging from the internal reviews presented to QAC in 2018/19 were effective leadership, collaborative working across academic schools/ departments and Professional Services areas and student engagement. Key highlights include:

- The review of the department of **Biomedical Engineering** was a positive one with the following points highlighted: feedback from students was particularly encouraging with students spoken to feeling well supported by programme staff and praising the open door policy within theDepartment; it was clear that the Wolfson building has been re-designed with a clear student focus incorporating both teaching and social space for students while ensuring staff remain accessible; there was evidence of research-led teaching in many subject areas; the Department's technical team was commended by the review panel noting that the team was clearly dedicated

to the Department while providing high-level support to students; while commending staff on their willingness to help with teaching.

- The Department of **Chemical and Process Engineering** was commended for its highly successful Distance Learning portfolio and for recent innovations implemented to impact uptake in this area, which now represents a sustained income from companies and self-funders.
- The **Hunter Centre for Entrepreneurship** was commended for its collaborative team approach, which inspires a positive culture; its diverse and relevant portfolio of undergraduate and postgraduate taught programmes, delivering engaged students and practice centred outcomes; and, the wide reach of the department's business development programmes and integration into the student experience and professional learning network.
- The **Department of Marketing** was commended on the level of support delivered to undergraduate and PGT students in attainment of learning, with particular reference to the scores achieved within NSS; the Department's deployment, management and support of teaching fellows and the clarity of career pathways within this academic stream, and the Department is encouraged to seek further opportunities to appoint in this area; and, the role of PhD/tutor co-ordinator in the organisation, development and management of the group of tutors.
- The Head of School for **Humanities** was commended for her innovative ways of considering and addressing the challenges associated with a multi-subject portfolio facing the School and for devising a variety of ways to facilitate enhanced cross-School communications. The School secured funding through the QAA Transitions enhancement theme in 2015 for a collaborative project with the Careers Service and the Widening Access unit, which examined the transition, during and beyond university, of students entering through Widening Access routes, and focussed on undergraduate History students. In particular, the project aimed to assess the university experience of this cohort, and the extent to which the skills gained during the time at Strathclyde were relevant or fully utilised to improve the students' employability or better their career prospects. This pilot has paved the way for a broader investigation of a HaSS Faculty Widening Access students' transition from undergraduate to postgraduate studies, which began in 2018.
- Of particular interest in the review of **Pure and Applied Chemistry** was the commendation to the Department on the introduction of the Teaching School, designed to ensure that the quality of teaching, learning and assessment remain at the core of the Department's vision, with an increased emphasis on the student experience. The Panel commended the Department on its national leadership in achieving dual accreditation of three UG Chemistry programmes and its support for undergraduate students.

12. The internal review process also involves making recommendations to Schools/ Departments on areas for future focus, for example:

- The review of Biomedical Engineering suggested that further consideration be given to ensuring consistency and equivalence as the student cohorts diversify and the number of both on-campus and distance learning students increase; the Department was encouraged to extend pastoral care roles across more members of staff. The Department was urged to ensure succession planning is in place.
- A number of recommendations were made to the Department of Chemical and Process Engineering with several departmental changes being made as a result of the review outcome. A new Head of Department was appointed who is working closely with the Faculty to address the recommendations arising from the review.

- The Hunter Centre for Entrepreneurship was encouraged to work specifically with Engineering and Science, to further increase the number of undergraduate students undertaking entrepreneurship classes. Through this review a recommendation was made to the University to consider ensuring relevant and worthwhile opportunities for undergraduates to undertake cross Faculty electives. In line with this, the Department will continue to explore opportunities to facilitate cross Faculty student engagement.
- It is recommended that the Department of Marketing reflect upon its workload model to recognise the diversity of different tasks and time required for completion.
- Challenges within the School of Humanities were explored by the Panel in meetings with staff and students. School finances, staffing all areas in such a way as to ensure parity of workloads and the closure of the single Italian Honours pathway were explored in detail.
- It was noted by the Panel that the Department of Pure and Applied Chemistry conformed to tradition in delivering lectures in the morning and laboratory session in the afternoons. The Panel recommended to the Department that early consideration be given to changing the timetabling of lectures and laboratory sessions in order to make best use of laboratory facilities.

13. 2018/19 was the first year in which TESTA (Transforming the Experience of Students Through Assessment) was formally integrated into the Internal Review process. Two Schools/Departments participated in TESTA prior to their Internal Review: the School of Government and Public Policy, and the Department of Physics (the results of these reviews will be reported in 2019/20). Data was collected from students via questionnaires and focus groups, and an audit of assessment and feedback was undertaken. Reports were provided to each School/Department providing analysis and interpretation of students' experiences of assessment and feedback at programme level, and academic staff were supported to discuss the findings, and develop responses. This development was welcomed by the ELIR Panel.

14. Outcomes from Internal Reviews are reported to the Quality Assurance Committee, with Heads of Department / Schools 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.

15. 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 2019.

Review of Professional Services
16. The University is finalising its approach for reviewing student facing Professional Services which contribute to the student experience, in line with the Scottish Funding Council Guidance to Higher

Education Institutions on Quality from August 2017-2022. This approach was shared and discussed during the ELIR main Review Visit. The University received positive feedback from the panel and have incorporated this into the implementation plans for 2019/20. A policy and procedure is currently progressing through internal approval routes.

External Review

17. As mentioned above (para 4) the University fully engaged in ELIR 4, with the Planning and Main Review visits taking place in January and March 2019 respectively. The outcome report from the ELIR visit can be found here.

18. The University fully engages in the QAA Transnational Education review process. In 2018/19 the QAA undertook a UK TNE review of education in Malaysia. As part of this review the University was asked to respond to the QAA survey of UK TNE activities that currently take place in country. Our provision was not selected for review.

19. The University of Strathclyde continues its partnership with 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. Of particular note is the positive working relationship between the Faculties and the Centre and the Centre's links with the University's educational priorities. This was also acknowledged in the ELIR Technical Report.

External Accreditation

20. Accreditation and re-accreditation visits by various Professional, Statutory and Regulatory Bodies took place as outlined in annex 2. Unless otherwise stated, all visits led to the envisioned validation / accreditation / re-accreditation being awarded.

Student Progression, Retention and Awards

21. QAC is responsible for monitoring student retention, progression and awards data together with analysing trends around Voluntary Suspension. This information is readily accessible through the Strathclyde University Business Intelligence Reports and Dashboard (SUnBIRD) System. Key trends in each of these areas was discussed at the QAC meeting on 4th December 2018 where it was noted that further development work would take place with colleagues in Strategy and Policy around automating key reports from SUnBIRD. In 2018/19, the Directorates of Strategy & Policy and Student Experience undertook a joint project to enhance our understanding of retention challenges for different groups of learners, with the aim of developing support to enhance retention where there is evidence of retention gaps. This was shared with the Learning Enhancement Committee and is informing the development of policy and our approach to articulation and links with learning analytics.

22. QAC reviews the annual monitoring of Class Pass Rates within each Faculty at its December meeting. The total number of classes falling into the Borderline category, (where the pass rate is <75% and student numbers are >10) and those that fall into to the 'at risk' category (where the pass rate is <75% and the student numbers are >75) are reported. Each Faculty provides a report to QAC

with a contextual commentary from those Schools/ Departments who fall into the 'borderline' or 'at risk' categories.

Feedback from Students

23. As part of its wider learning enhancement agenda the University continues to embed the Learning and Teaching Improvement Framework (previously the NSS Improvement Framework but extended in 2018/19 to cover all aspects of learning and teaching planning to ensure greater embedding of enhancements beyond responding to NSS) to further strengthen engagement with staff and students. The University organised three Learning and Teaching Improvement Framework fora in 2018/19. These were well attended by staff and students. The key topics of discussion included the module evaluation, reflections from each of the four faculties on learning and teaching improvements and an overview of NSS reporting. These sessions were followed by a Q&A/ discussion.

24. Now in its third year of operation, the Surveys and Metrics Working Group has become established as a forum for dissemination and discussion of key surveys and metrics information. It has also provided a platform for reporting the progress of strategic projects relating to surveys and metrics, as well as highlighting related developments in the sector. Engagement with the group has extended further in the institution this year due to membership expansion to include the Head of the Careers Service in addition to the Faculty, Professional Services and Senior Officer representation. In the recent Enhancement-led Institutional Review (ELIR), the SMWG was noted for its role in the institution by the external review panel in their ELIR technical report *[para 123].* Key developments reported at SMWG this year include: confirmation and implementation of the institutional approach to module evaluation and the phased roll-out plan; expansion of interactive metrics tools to include the Complete University Guide, the Times/Sunday Times league table and the Guardian league table; and development of a sector information dashboard for NSS data.

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

26. In 2018/19, resources were allocated by the Information Strategy Committee to facilitate a process to identify and specify the project requirements and initiate a tender process for the University-wide Module Evaluation project. This phase of the project is now complete, with the supplier identified and a phased institutional roll-out planned for 2019/20. Integration of the system with the University's VLE, MyPlace is currently being progressed, including access via mobile devices.

27. In January 2018 the University re-convened the Assessment and Feedback Working Group. A number of existing Assessment and Feedback-related policies and procedures were revised in line with the Quality Code for Higher Education, and approved by Senate in June 2019, these can be found here.

Institutional Reporting on Quality

28. 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. Quality assurance matters are incorporated within reports on

our Education provision that are reviewed annually by Education Strategy Committee at a dedicated meeting combining reflection on the current session and forward planning.

Forward plan of Internal Reviews

29. A summary of the forward plan of internal reviews is attached as Annex 1.

Annual Statement of Assurance

30. In line with SFC guidance, an annual statement of assurance confirming that this report has been endorsed by Court will be signed by the Convener of Court and returned under separate cover.

Recommendation

31. Court is invited to **endorse** the report.

Annex 1
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)	2023/24	2018/19 (Nov 2018), 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);
Engineering	Departmental	Design, Manufacturing 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	2023/24	2018/19 (24&25 April 2019), 2013/14; 2008/09 (Jan 09);
Engineering	Departmental	Mechanical and Aerospace Engineering	2019/20 (25 and 26 Nov 2019)	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 (30 Oct 2019)	2014-15, 2009/10 (Oct 2009); 2004/05.
Science	Departmental	Pure and Applied Chemistry	2023/24	Postponed from May 2018 until Nov 2018 as agreed at QAC on 25/4/2018)*, 2012/13; 2007/08 (Feb 08)
Science	Departmental	Strathclyde Institute of Pharmacy and Biomedical Sciences	2023/24	2018/19 (2nd May), 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)	2023/24	2018/19 (16th and 17th May 2019), 2013/14; 2008/09 (Nov 2008) 2001
Humanities & Social Sciences	School	Law (Law School)	2020/21	2015/16 (April 2016); 2009/10 (Feb 2011)

July 2019

Annex 2

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

Faculty	Department / School / Course	Reviewing body	Date of Visit
HaSS	**Education** Postgraduate Diploma in Education	General Teaching Council Scotland (GTCS)	8th May 2019
	BSc Education and Curricular Studies with Teaching Qualification	General Teaching Council Scotland (GTCS)	10th May 2019
	Social Work and Social Policy BA (Hons) Social Work Master of Social Work	Scottish Social Services Council (SSSC)	29th May 2019
Science	MEng CS and CES degrees: Full Chartered Information Professional, Full Chartered Engineer Hons CS and CES degrees: Full CITP, Partial CEng MSc ACS with BD: Partial CITP, Partial CEng MSc IM, DHS: Partial CITP MSc SD: Initial Partial CITP - further documentation required in November 2019 after completion of first year. GA SD: noted, but can start accreditation until first batch have graduated.	British Computer Society	28th November 2018
	MSc Applied Statistics in Health Sciences BSc Mathematics and Statistics MMath Mathematics and Statistics BSc Data Analytics BSc Mathematics, Statistics and Accounting BSc Mathematics, Statistics and Finance BSc Mathematics, Statistics and Economics BSc Mathematics, Statistics and Business Analysis	Royal Statistical Society	July 2019

	MSc in Actuarial Science	Institute and Faculty of Actuaries	September 2018
SBS	Faculty wide	Athena Swan (Bronze)	No visit, submission October 2018
	All UG, PGT and PGR courses in SBS	AACSB (Association of Advance Collegiate Schools of Business)	17/19 March 2019
	Faculty wide (Master of Business Administration, MSc in Business and Management)	AMBA (Association of Masters of Business Administration)	8-9 May 2019
		Small Business Charter	14 May 2019
	University of Strathclyde wide (all entrepreneurial activities)	PRME (Principles for Responsible Management Education)	No visit, submission 30 May 2019
	Faculty wide		

Engineering	Architecture MSc Urban Design	RTPI (Royal Town Planning Institute)	March 2019
	Biomedical Engineering BEng (Hons) Biomedical Engineering MEng Biomedical Engineering	Institution of Mechanical Engineers (IMechE), Institution of Engineering and Technology (IET) and Institute of Physics and Engineering in Medicine (IPEM)	May 2019
	MSc Biomedical Engineering	Institute of Physics and Engineering in Medicine (IPEM)	Nov 2018
	BSc (Hons) Prosthetics and Orthotics	Health & Care Professions Council (HCPS) – Annual Verification	April 2019
	Design, Manufacture and Engineering Management MSc Supply Chain and Procurement Management MSc Supply Chain and Logistics Management MSc Supply Chain and Operations Management	Chartered Institute of Purchasing and Supply (CIPS)	July 2018

Annual Survey of Court Members 2019
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. The first is the Convener's discussions with individual members over the course of the summer. Completion of this process has been unavoidably delayed this year but it will be taken forward, with the involvement of the Vice-Convener and/or Senior Deputy Convener, if necessary. The second is the survey of members which provides the opportunity for anonymised feedback. The summary findings from this survey are detailed below. A graphical representation of the responses on which this analysis is based is included in Annex B.

2. During July/August 2019, 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 eleven questions (see Annex A) and responses were received from 15 members (a response rate of 63%).

3. Results were gathered using an online tool which gave respondents the choice of providing their names or remaining anonymous. Categories of membership were recorded in all cases, to illuminate any patterns in the responses and so identify any systematic issues. Of the 15 respondents, 10 were lay members and 5 were staff members.

Summary findings

4. Responses were overwhelmingly positive, with some opportunities for improvement also noted. The responses indicate that Court members generally:

   • 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 to enable them to participate effectively as members of Court; and
   • are content with the timing of Court meetings, especially given changes made during 2018/19.

5. Respondents felt that their most significant contributions included:

   • active contribution in court and committee meetings;
   • participation in strategy sessions;
   • providing constructive feedback on proposals and papers for approval;
   • advice to the university from / about other sectors;
   • executive and non-executive experience brought to overall business & management of the university;
   • developing strong working relationships with the Principal, Executive Team and Court Office holders and working effectively with them.

6. When asked what prevented them from contributing further, some respondents cited lack of time and diary conflicts as limiting their ability to contribute as much as they would have liked.

7. The results contain three outlying instances of the lowest / most negative response for a given question. These are from three different respondents and there is reason to believe they all relate to specific issues around the individual member's time commitments. Two relate to known issues around committee (not Court) time commitments, which were already being addressed and will continue to be monitored by relevant committee conveners, where appropriate.

8. Suggestions for improvement made by individual respondents are disparate, reflecting Court members' different individual perspectives. Each suggestion was made by just one Court member. This means that there are few discernible patterns and strength of feeling is hard to gauge from the survey alone. Nonetheless, all suggestions will be considered carefully and, where possible, further insight will be sought from one-to-one meetings with the Convener (or, where relevant, other Court office-holder).

9. These suggestions for improvement include:

    - a check on actions that were to be delivered / in the papers for note;
    - including the Principal's feedback within the papers, with time allocated for questions from the Court;
    - a mechanism to encourage contributions from the floor;
    - "exploit court to the very limit in whatever is necessary to ensure funding streams are robust";
    - more formal reporting from committees, perhaps annually;
    - continuing with the breakout discussion format used at the Ross Priory meeting;
    - additional in-depth presentations on selected topics, possibly outside of Court meetings;
    - more strictly timed items with a 'bell setter' to keep within the timing for each item on the agenda;
    - clearly stated timings for each paper/section with timings enforced;
    - scheduling brief breaks, given the move to 3-hour meetings.

10. As a counterpoint to suggestions regarding the timing of Court business, it should be noted that some respondents commended the new practices brought in during 2018/19 and/or noted that they should be given time to bed in.

11. All of the survey responses, along with the direct feedback from the Convener's 1-to-1 discussions with members, will be considered carefully and, where possible, used to enhance the operation of Court.

Action requested

12. Court is invited to **note** the summary findings of the 2019 survey.

**Annex A – Survey Questions**

1. *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*

2. *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?*

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

4. *Do you find the timing of Court meetings to be appropriate? (Are they held at a convenient time and is the duration right, taking into account the recent change to three-hour meetings)? If appropriate, please provide further details in the text box below, including suggestions for how the timing of meetings could be made more appropriate.*

5. *Do you feel that you have been given the necessary support to participate effectively as a member of Court (at meetings and more generally)? Please comment further on the nature and range of any additional help/support that you would have found useful.*

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

7. *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.*

For Members who serve on University committees: CBG, CMG, Staff, Audit & Risk, Remuneration, Estates, EIC etc.
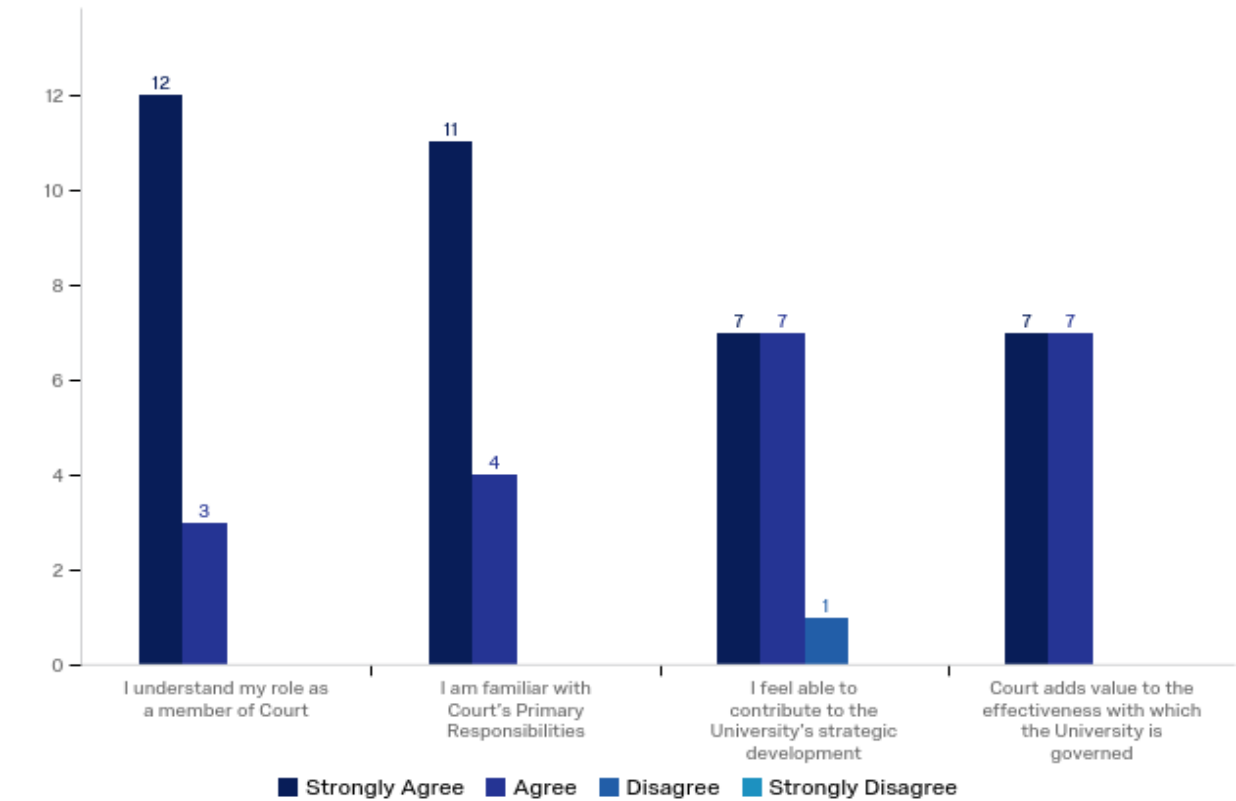
8. *Do you consider that you have sufficient resources available to support you in your committee role?*

9. *Do you have sufficient time to fulfil your responsibilities as a committee member? If you do not have sufficient time what is the main reason for this?*

10. *Do you consider the number and length of meetings of the committee to be appropriate?*

11. *Do you consider the committee papers to be concise, relevant and received sufficiently in advance of meetings?*

   .

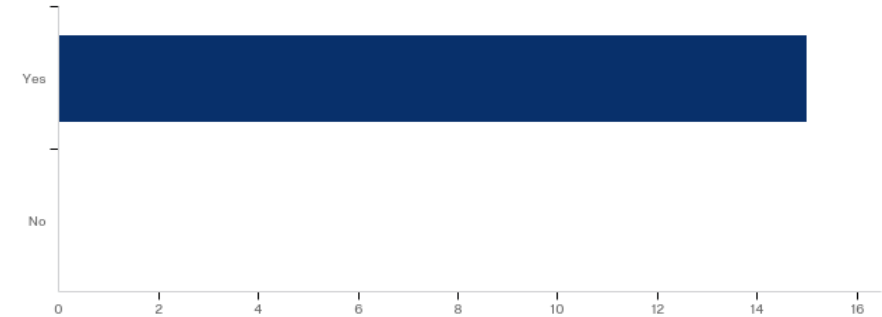## Annex B – Results for Quantitative Questions

**Please indicate your category of Court membership to enable the results to be effectively analysed:**
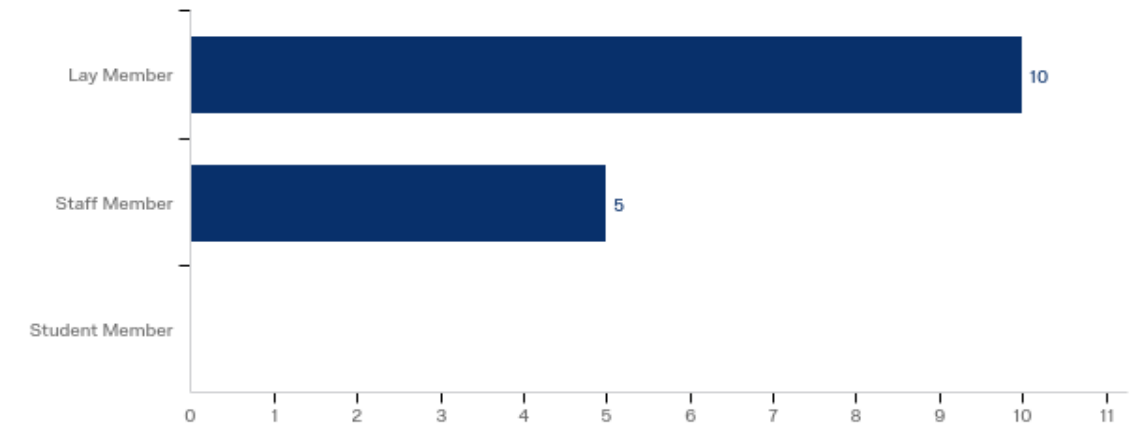
Question 1: Please indicate your agreement with the following statements:

Question 4: Do you find the timing of Court meetings to be appropriate?
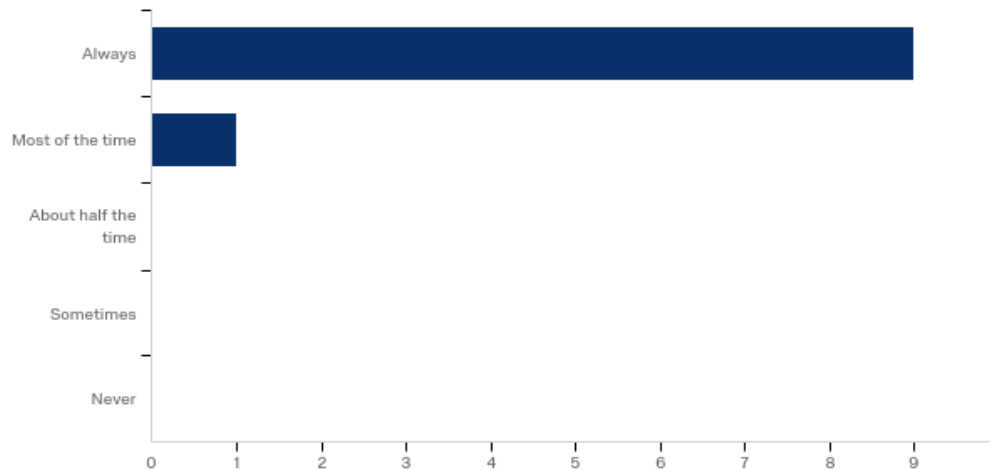
Question 5: Do you feel that you have been given the necessary support to participate effectively as a member of Court (at meetings and more generally)?
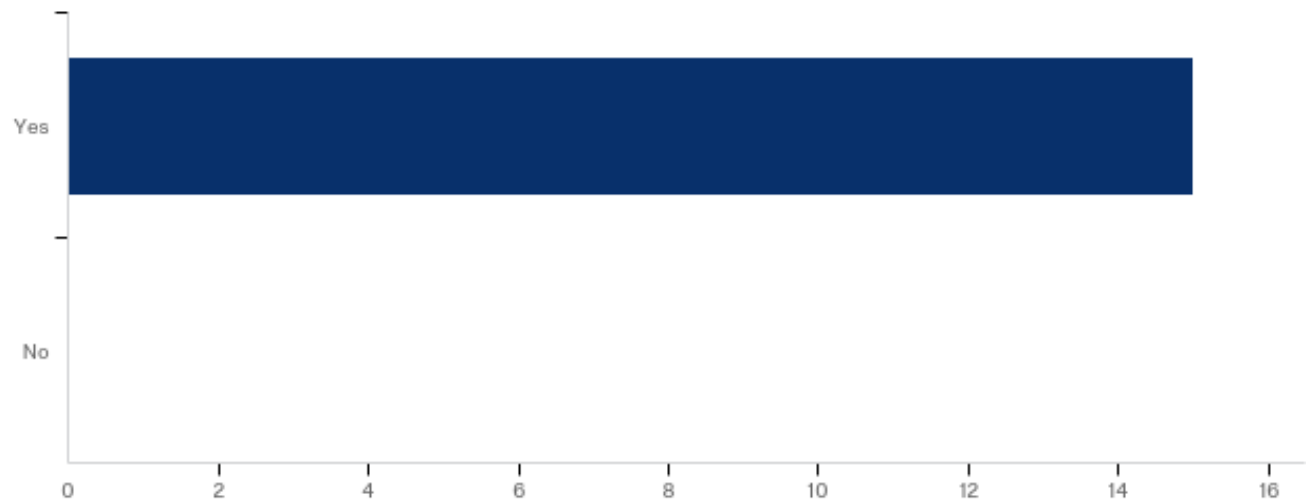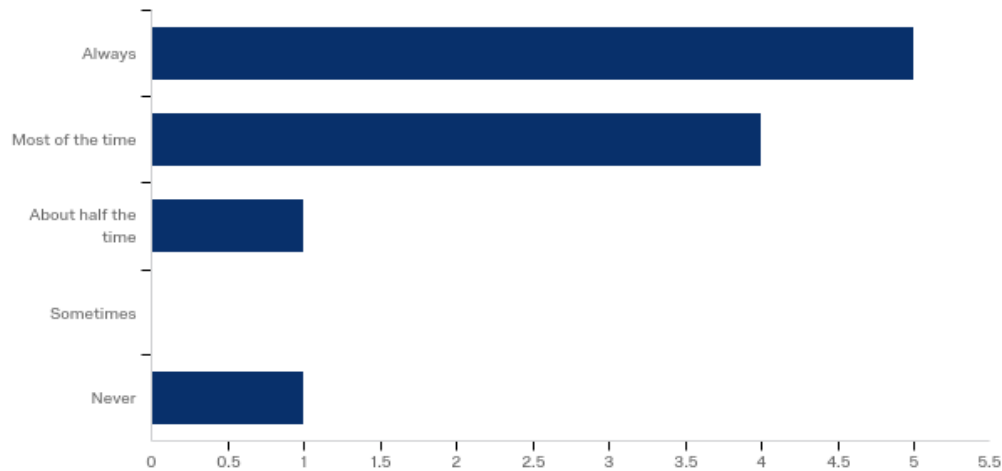

For Members who serve on University committees: CBG, CMG, Staff, Audit & Risk, Remuneration, Estates, EIC etc.
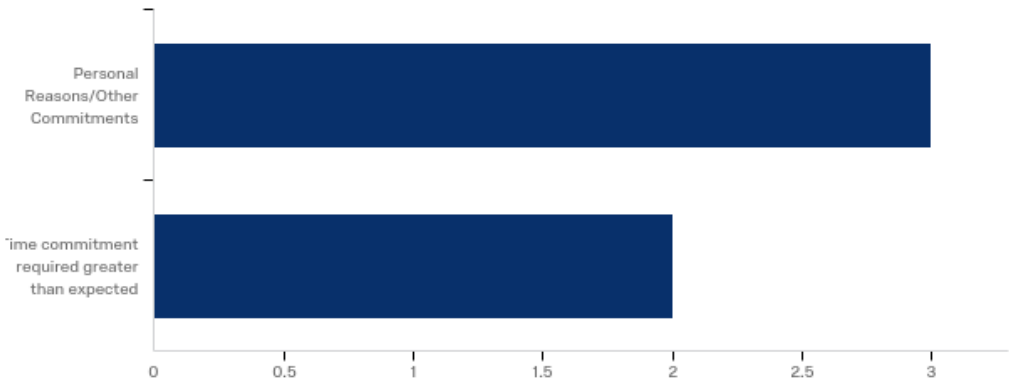
Question 8: Do you consider that you have sufficient resources available to support you in your committee role?

Question 9: Do you have sufficient time to fulfil your responsibilities as a committee member?

If you do not have sufficient time what is the main reason for this?

Chart showing horizontal bars:
- Personal Reasons/Other Commitments: 3
- Time commitment required greater than expected: 2

Question 10: Do you consider the number and length of meetings of the committee to be appropriate?

Chart showing horizontal bars:
- Always: 5
- Most of the time: 4
- About half the time: 0
- Sometimes: 1
- Never: 0
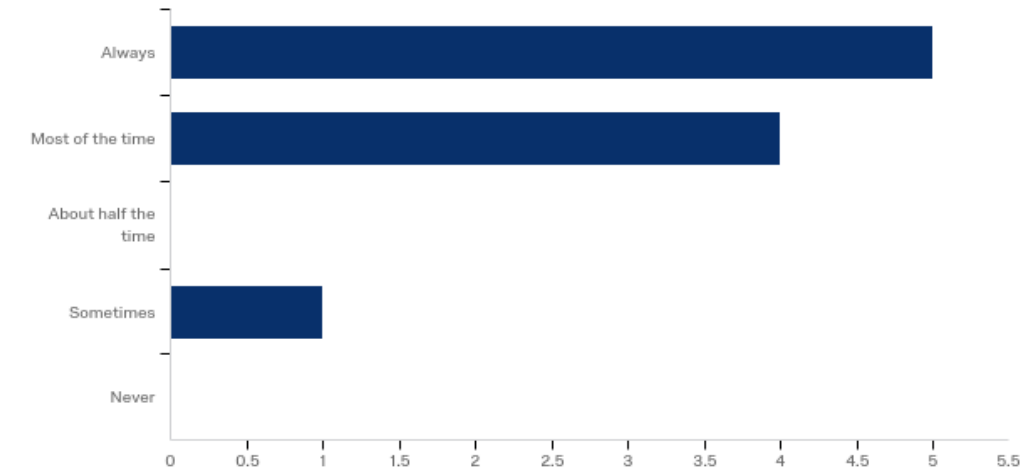
Question 11: Do you consider the committee papers to be concise, relevant and received sufficiently in advance of meetings?

Chart showing horizontal bars:
- Always: 5
- Most of the time: 4
- About half the time: 0
- Sometimes: 0
- Never: 1
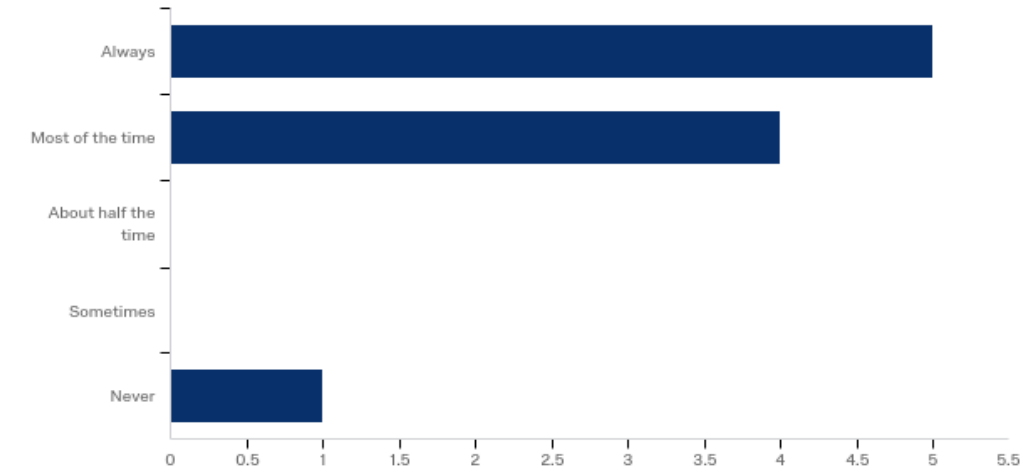
Complaints Handling Procedure
Annual Report 2018/19

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 2018/19 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 2018/19.

Summary Analysis

5. The University recorded 122 complaints during the 2018/19 academic year. This is a slight decrease on 2017/18 but is still almost twice as many as recorded during 2016/17 and suggests that work to increase awareness and recording of complaints is continuing to have an effect. There were concerns that the previous low overall number of complaints (compared with similar sized competitors) was due more to under recording than service quality. The majority of complaints (93%) were received from students or former students of the University. The remainder of complaints received were from members of the public and applicants for study or employment.

6. Complaints were received across all academic faculties with a reasonably even spread across faculties. The number of complaints in both the Business School and Faculty of Engineering were inflated by groups of complaints, on the same issue and by the same cohort, submitted separately by a significant number of students. All the faculties are reflecting on where issues have been raised by multiple complainants where complaints have been wholly or partially upheld. Thirteen percent of complaints received were related to areas within Professional Services, predominantly Estates.

7. The percentage of complaints resolved at frontline varied throughout the year, from 74% in quarter 3 to only 20% in the final quarter, with a total of 47% across the period. This was a significant decrease on the 63% of the previous year.

8. While this was a disappointing and significant increase in the number of complaints progressing to investigation, it should be noted that 31% of investigations were requested by the complainant and the majority of the remaining investigations were of complex complaints that were not suitable for frontline resolution.

9. The final quarter saw a spike in the number of complaints progressing to investigation. The average of complaints resolved at frontline over the first three quarters was 53%. The final quarter also saw a significant number of complaints related to issues of course quality or organisation, supervision or support, perceived by the complainants to directly impact their performance. An increase in complaints of this nature, closely following the meetings of the Examination Boards and immediately before graduation, is not surprising. These complaints, by their very nature, can only rarely be handled successfully at frontline.

10. The groups of complaints mentioned in paragraph 6 also impacted the number moved to investigation. If these complaints had been made, or recorded, as group complaints the percentage of complaints resolved at frontline would have been 54%.

11. The time taken to resolve frontline complaints fluctuated throughout the year, averaging 5.8 days, only very slightly above the 5 working day target and an improvement of 1.5 days on the 2017/18 average. Sixty percent of frontline complaints were resolved within the 5 working day target, down from 65%. However, 82% were resolved by the end of the permitted extension period. This suggests that the message on frontline complaint handling is getting out and that resolution times are improving even for those complaints that are not resolved within 5 working days.

12. Complaints investigated at stage 2 of the procedure were resolved within an average of 28.5 days, slightly above the 20 working days target. This resolution timeframe has always been considered to be very challenging, particularly for complex complaints. Nonetheless, 37% of stage 2 complaints were completed within 20 working days and 68% within 30 working days.

13. The most frequent types of complaints recorded were those relating to:
    1. Teaching and/or assessment (30%)
    2. Staff Attitude and/or Conduct (23%)
    3. Academic Support (15%)

14. Lessons learned and actions taken to improve services are recorded following each complaint, where appropriate, and examples of the learning points recorded during 2018/19 are included at **Annex B**.

15. Staff continue to engage well with the complaints process and work is continuing to encourage a greater focus on frontline resolution. During 2018/19 briefing sessions on handling frontline complaints, open to all staff, were attended by 44 staff. From the beginning of 2019 these were delivered monthly. An additional briefing was held for a group of staff in Student Experience. The training for those investigating complaints has also been refreshed and delivered once during 20181/9 and again at the beginning of 2019/20 with very positive feedback.

SPSO Recommendations

16. The SPSO approach to recommendations 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.

17. The SPSO has made one recommendation and given feedback to the University in the last year, following investigations into complaints raised by 4 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.
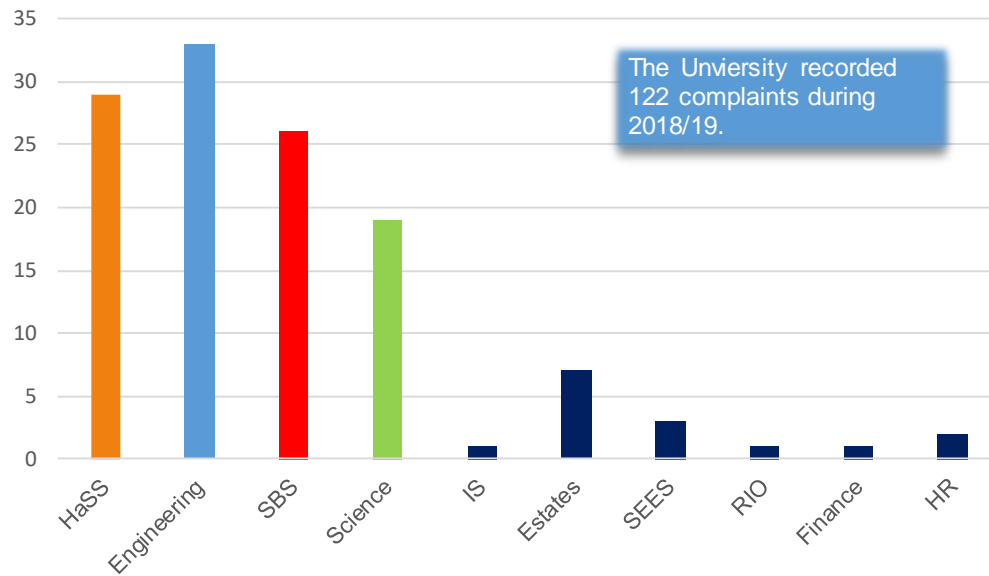
Recommendation

18. Court is invited to **note** the Complaints Handling Annual Report for 2018/19.

Complaints Recorded 2018/19

Complaints Received by Area 1 August 2018 to 31 July 2019

The Unviersity recorded 122 complaints during 2018/19.

Categories: HaSS, Engineering, SBS, Science, IS, Estates, SEES, RIO, Finance, HR

Frontline (Stage 1) - 1 August 2018 to 31 July 2019

60% of complaints resolved at Frontline stage were handled within 5 working days

Number escalated to Investigation 53%

Number resolved at Frontline 47%
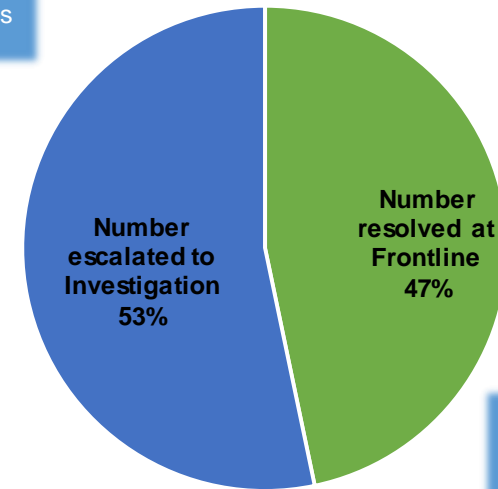
Average resolution time for complaints resolved at Frontline was 5.8 working days.

Investigation (Stage 2) Outcomes 1 August 2018 to 31 July 2019

Withdrawn 1%
Upheld 7%
Not upheld 38%
Partially upheld 54%
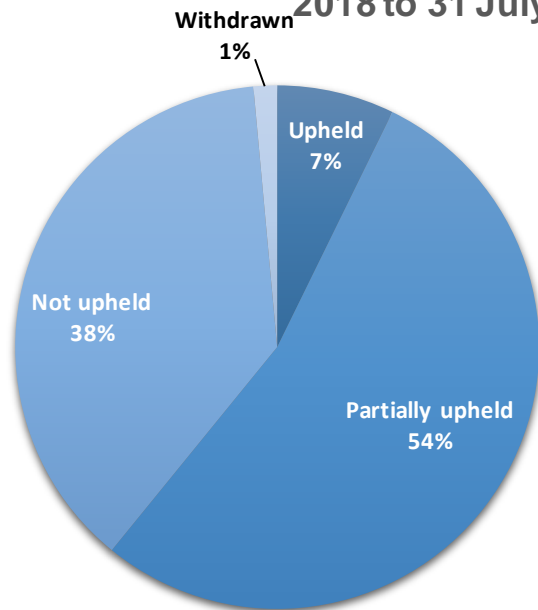
69 investigations were resolved. Average investigation = 28.5 working days

37% of Investigations were completed within 20 working days

Complaints Received by Category 1 August 2018 to 31 July 2019

Categories: Academic Support, Accommodation, 3rd party Conduct, Service Provision, Staff Conduct, Teaching/Assessment, Policy/Procedures, Facilities, Disability, Student Conduct, Financial, Other
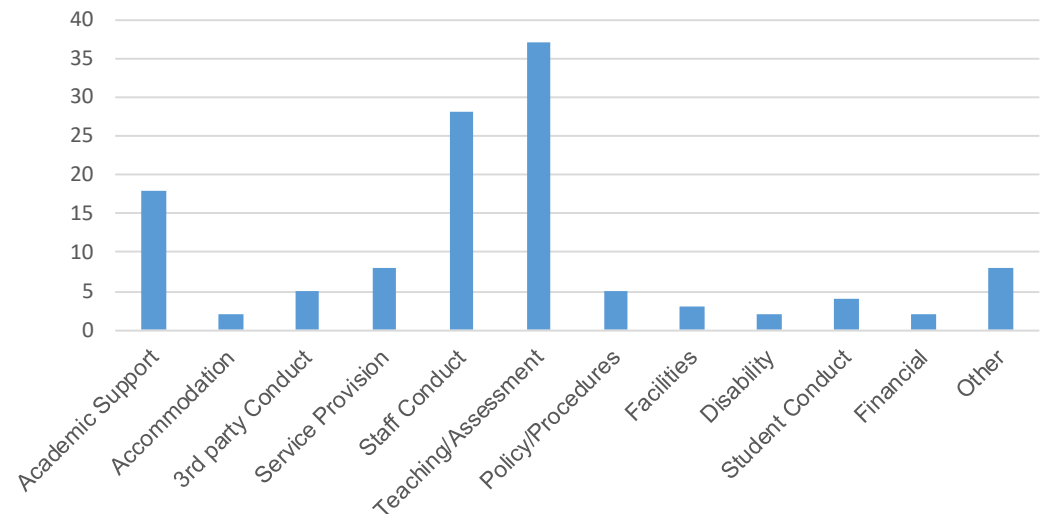
Learning from Complaints 2018/19 – Examples

Complaint Category	Complainant	Complaint Summary	Outcome	Learning
Service Provision	Student	PhD Student complaint about the length of time taken from thesis submission to examiner approval to viva organisation.	Resolved	SharePoint site updated to clarify the time required to schedule a viva examination.
Service Provision	Student	Student complained about a lack of published information and communication on changes to Open Studies provision eligible for the SAAS Part-time Fee Grant following changes in 2018/2019.	Resolved	Website updated to clarify change in policy and future issues of printed copy will include clarification.
Academic Support	Student	Complaint is regarding delays in feedback being received which affected progress.	Partially Upheld	Staff to review email processes /response times, prioritising emails from students, for whom they act as Supervisor, include an appropriate 'out of office' signature on their email when unavailable
Financial Issues	Student	Student unaware could not claim travel expenses for a retrieval placement.	Resolved	Programme handbook and the claim form to be updated.
Teaching and/or Assessment	Student	Student complained that exam questions were the same as those in the tutorials but that the model answers provided in tutorials were not sufficient for full marks in the exam. No solutions were provided for the mock exam, so students found it hard to know exactly what they should write in the exam.	Resolved	Students will be given the opportunity to raise this with the External Examiners. A session will be arranged for all students to review their exam script and the Lecturer will explain what was expected in the exam. Department will ensure that staff do not use tutorial questions verbatim in exam papers in future.
Teaching and/or Assessment	Student	Student is unhappy with academic support and assessment and alleges that they had not received constructive advice for their retrieval placement.	Partially Upheld	Department to develop a clear description of the process undertaken to reach the final placement assessment for inclusion in the Student Handbook and the guidance on completing placement reports. It will be made clear to students that they can request meetings with their tutors to discuss Board decisions and the grading process.
Teaching and/or Assessment	Students	The complainants raised concerns regarding the Structure and Content of a course.	Partially Upheld	Undertake review of the course to ensure content, delivery, assessment and support are appropriate.

Teaching and/or Assessment	Student	Complaint surrounding the information and advice provided on a dissertation. Related allegations about staff conduct.	Partially Upheld	Provide appropriate information about dissertations and ensure systems are in place to help students and supervisors if the relationship between the two breaks down.
Teaching and/or Assessment	Student	Group of students dissatisfied with the feedback and marking of a group project.	Resolved	Points raised will feed into the module review process.
Academic Support	Student	Student asked to leave a tutorial as they had not undertaken the preparatory work. Tutor unaware of Disability Service recommendation not to question student in class.	Resolved	Tutors should be advised of changes to support needs as soon as possible after the information is received by the DDC.
Other	Student	A student complained about the showing and discussion of a movie, the content of which might affect some students, without warnings.	Resolved	Add warnings to Myplace about possible controversial material.
Reasonable Adjustment/Disability-related	Student	Student listed several issues around provision of information, errors in solutions, lack of feedback and reasonable adjustments.	Resolved	Content and delivery to be reviewed prior to next session. Staff to be reminded of their duties with respect to reasonable adjustments.
University Policy, Procedures or Administration	Student	PhD student was not happy with the way they were treated in the allocation of Teaching for tutorials.	Partially Upheld	Wording of future calls to be amended to set a deadline by which applications should be received before allocations are made.
Teaching and/or Assessment	Student	A class representative submitted a formal complaint about the quality of teaching and assessment in a module.	Partially Upheld	Department to undertake a review of all tutorial/mock exam questions in the module and correct any errors prior to the 2019/20 academic year.
Staff Attitude and/or Conduct	Student	Complaint from a student regarding a CV checking appointment.	Resolved	Peer review instigated for the member of staff involved.
Academic Support	Member of Public	Complainant had asked their former supervisor for an employment reference and felt that the resulting reference misrepresented them and included inappropriate information..	Upheld	HoDs to ensure that all members of staff who are likely to be requested to provide references are made aware of the EHRC guidance

SPSO Recommendations and Feedback

During 2018/19, one recommendation was made by the SPSO following investigation into complaints raised against the University by a former student.

Complaint	Outcome	Recommendation	University Response
Supervisors unreasonably failed to follow relevant policy or procedure in relation to supervision	Not Upheld	Update the PGR policy and code to explain the level of supervision a student could expect in their writing up phase and when not paying fees.	The PGR CoP is under review, involving a major overhaul of both the regulations and the PGR CoP to address fundamental issues. As part of this process, a project-based Working Group was identified as the most appropriate method of achieving this task. The Terms of Reference for this group were forwarded to SPSO along with the proposed outputs and the minutes of the first meeting. The recommendation from this complaint has been fed into the process and clarifying the level of supervision during the writing up phase is one of the expected outputs of the revised PGR CoP.

Feedback was provided by the SPSO, following investigation into complaints raised against the University by four ex-students, during 2018/19. These were not formal recommendations and no confirmation to SPSO was required. The Ombudsman expects all organisations to learn from complaints and requests that the findings from its report be shared throughout the organisation. The learning should be shared with those responsible for the operational delivery of the service as well as the relevant internal and external decision-makers who make up the governance arrangements for the organisation, for example elected members, audit or quality assurance committee or clinical governance team.

Complaint	Outcome	Feedback	University Response
The university's investigation of the complaint was unreasonable	Not Upheld	The university might wish to reflect on the content of Stage 2 outcome letter, in the spirit of good practice and continuous improvement, in terms of including more detail about why your complaint was not upheld, referring to key evidence and giving the university's view on it.	The University will reflect as appropriate when reviewing procedures, guidance and training for investigators.
The University unreasonably failed to take into account all relevant information during the appeals process	Not Upheld	1. Although there was no obligation on the University to comment on each piece of evidence submitted for the Senate appeal, it may have been good practice to note the evidence submitted for the appeal in the outcome letter, as had been done for the Faculty appeal. 2. It may have been helpful for the Senate outcome letter to clarify that the doctor's note incorporated the period of the assignment but that it remained the University's position that there was no evidence of the impact that these medical issues had on the student's ability to work on the assignment.	The University will take this feedback into account in future appeal cases.
The University did not respond reasonably to the complaints, specifically that the University took the word of those being investigated with no evidence to support it.	SPSO decided not to consider the complaint further.	When dealing with complaints where no clear, independent evidence to support differing recollections is found and no definitive conclusion can be drawn it is reasonable that such complaints are recorded as not upheld. However, when communicating this, the University should take steps to ensure their communications make clear why this outcome has been recorded and that it does not mean the University has concluded that the complainant's recollection is inaccurate.	The University will take this feedback into account in future cases.

Complaint	Outcome	Feedback	University Response
The University's offer of a placement was not reasonable and not in line with the Course handbook.	SPSO decided not to consider the complaint further.	The University may wish to consider clarifying the information provided to students regarding travel time to placements specifically in the PG Handbook.	Feedback communicated to the Course Team. Appropriate amendments being considered.

Paper L

Health and Safety Report – September 2019

Sections

Statutory Advisory Committee on Safety and Occupational Health
Annual Safety, Health and Wellbeing Report
2018/2019

1. Executive Summary

This report updates Court on the University's health, safety and wellbeing performance in 2018/19, in keeping with the University's Occupational Health, Safety and Wellbeing (OHSaW) strategic priorities. The University's OHSaW Policy is available within Appendix 1.

The report also includes information relating to 'business as usual' activities undertaken by the corporate Safety Health and Wellbeing (SHW) team.

The 2018/19 report is for the academic year for the first time. In previous years a calendar year report was presented. The change was introduce to ensure that OHSaW reporting was in keeping with standard practice for corporate reports. For monitoring purposes 2018/19 will become the baseline for reporting and trend analysis.

2. Strategic Update

During 2018/2019 the five OHSaW strategic priorities were progressed as follows:

Strategic Priority 1 - Leadership and Commitment

- Organisational Roles, Responsibilities and Accountabilities (RRA) Standards were developed and presented to ET, at the Leadership Group and SACSOH. The contents were shared with Heads of Department/Schools and PS Directors for their input. The RRA Standards provide stakeholders with clear statements on their roles and responsibilities for everyone engaged in the management of health and safety at the University. Guidelines on how to exercise those duties are also provided, in terms of "Plan, Do, Check and Act".

- In keeping with good practice, the terms of reference for SACSOH were reviewed at the first meeting of the 2018/19 session. It was agreed that the remit should be enhanced to define more clearly the Committee's responsibilities in relation to health, safety and wellbeing. The revised terms of reference are provided as Appendix 2.

- Commitment to achieving SHW ISO 45001 by 2022 was incorporated into the SHW team's forward plan for Vision 2025.

Strategic Priority 2 - Risk Control

- A new online e-risk assessment system was introduced to enhance the existing digital Strathclyde Safety System. The new online form has facilitated the improvement of risk control by streamlining the production and communication of risk assessments. The paper based risk assessment system will be phased out by January 2020.

- The SHW ISO 45001 Project Plan to manage the implementation of the new H&S management framework has been revised and updated. Several new written standards were launched during 2018/19, including Ionising Radiation and Biological Safety.

- Work has been undertaken to identify a suitable electronic incident management reporting system. The Head of SHW and the Health and Safety Manager visited the Director of Safeguarding at Heriot-Watt University to learn more about their reporting system. A business case for the procurement of an appropriate system will be presented in 2019/20.

- The Risk and Resilience Manager, in collaboration with stakeholders, developed a Meningitis Incident Response Plan. The new plan was enacted when a student was diagnosed with meningitis. The Meningitis Incident Response Plan contributed to the University being awarded the Meningitis Aware Recognition mark.

- A *Zero Harm Notification Report* to help stakeholders track, monitor and report on safety related incidents was launched. In June 2019, the first Zero Harm Notification was issued by the Head of SHaW to Estates Services to highlight the risks of fire in the basement area of the Royal College building. Immediate action was taken to render the area safe and secure.

- A 'Campus Safety Report' was introduced, to track all significant high-risk matters reported to the SHW team. The report is updated on a monthly basis and provided to the USCO.

- The Corporate Occupational Health and Safety Health Risk and Legal Register and Risk Profile was revised and updated. The Corporate OHS Risk Profile has been provided as Appendix 3.

Strategic Priority 3 – Communication and Engagement

- The second annual Big Health and Safety Meet was held in January 2019 and attracted over 70 members of staff. It continues to be a popular event to celebrate the fantastic contribution that volunteers make in keeping the University healthy, safe and secure.

- The University successfully retained the NHS Scotland Healthy Working Lives Gold Award for the fourth successive year.

- The new Roles, Responsibilities and Accountabilities Standards were presented to the Leadership Group in May 2019.

Strategic Priority 4 – Training and Competence

- The SHaW Team welcomed recommendations of the Internal Audit 'Review of Staff Induction' and is working in collaboration with Heads of Department/Schools and PS

Directors to relaunch the Legal Responsibility Training course in 2019/20 and the coordination of Health and Safety Induction Training.

Strategic Priority 5 – Performance Management

- The University's insurers (UMAL) undertook an audit of the University's compliance controls in relation to corporate management of health and safety. No compliance issues were identified and for enhancement are being addressed.

- Reporting on safety, health and wellbeing performance was aligned to the academic year for 2018/19. The reported performance indicators were revised and expanded to ensure consistency with the Strategic Priorities.

- The OHSaW Strategic Priority Indictors for the period 2017-19 has been provided as Appendix 4. The report compares the University's performance in academic year 2018/19 against calendar years 2018 and 2017. Although like-for-like comparison is not possible because of the change to the reporting year, the information is nevertheless informative. 2018/19 will become the baseline year for future reports.

- Scottish HEI voluntarily submit incident data on an annual basis, allowing the University to benchmark performance against what has been reported by others within the sector. The benchmarking exercise has shown the University rates for RIDDOR incidents to be slightly higher than the reported Scottish HE sector average, while injury rates to students at Strathclyde are lower than the sector average. Accident and Incident rates are provided at Appendix 5.

Further matters of note:

- The number of unwanted fire alerts attended by the Scottish Fire and Rescue Service has continued to fall year-on-year, with 16 attendances in 2018/19, compared to 86 in 2017/18.

- The number of RIDDOR reportable accidents notified to the Health and Safety Executive was 6 the reporting year, against 10 in the calendar year 2018 and 12 in 2017.

- A total of 69 accidents were reported to SHaW, against 99 in the calendar year 2018 and 75 in 2017.

3. Occupational Health

3.1 The University's Occupational Health Service provided health surveillance to 495 staff and students during 2018/19 compared to 345 in the previous reporting year. Demand for statutory health surveillance changes year on year depending on the health parameter being tested. Some staff are on annual health surveillance programmes, while others are on a 3-yearly surveillance cycle. The elevated numbers in 2018/19 were an effect of the 3-yearly hearing tests for Estates workers. The expansion of the AFRC and introduction of the Lightweight Manufacturing Centre has also increased the number of post-holders

within the University who require health surveillance. The programmes this year covered respiratory monitoring for dust and animal allergens, audiometry for industrial noise, hand arm vibration monitoring for those working with vibration and skin surveillance with those exposed to chemicals or substances identified under COSHH.

3.2 The Occupational Health Service completed 119 pre-placement health assessments (a paper screening programme used before employment commences, for staff members grade 8 and above, to ensure compliance with the Equality Act 2010) and 48 health assessments to assess fitness for work for those with safety critical roles, which includes drivers, night workers, those using breathing apparatus or requiring Research Passports.

3.3 293 individual management referrals were made to the Occupational Health Service, compared to 269 the previous year. Of those, 197 individuals attended for sickness absence reasons, the remaining referrals were generated by managers wishing to support staff who had raised concerns with them whilst at work. A small number of staff left the University under the ill health retirement scheme for non-work related reasons.

3.4 While the main causes of long-term sickness absence continues to be musculoskeletal disorders and mental ill health, the number of OH Management referrals for these conditions fell in 2018/19 – from 62 in 2017/18 to 45 in 2018/19 for work-related mental illness and from 22 to 20 for musculoskeletal disorders. This was in part due to the combined approach by Occupational Health Services and Student Disability and Wellbeing Services in supporting staff with mental health issues.

3.5 The physiotherapy service was introduced in October 2017 and has had a positive impact, enabling staff to access rapid treatment and advice to facilitate quicker recovery, reducing risk of deterioration and maintaining attendance at work. The weekly clinic is always fully booked, and 92 individuals benefitted from the service in 2018/19. Feedback from service users has been excellent.

3.6 The Occupational Health Adviser in collaboration with the HR team continues to provide training for managers on Attendance Management, Managing Work Related Stress and Drug and Alcohol Awareness.

3.7 The service provided by the Employee Assistance Provider, PAM Assist was closely monitored during its first year of operation. PAM Assist is a free, confidential life management, counselling and personal support service offered to all staff members. A number of complaints have been received from service users about slow response times. These were promptly reported and action has been taken to improve the service. Regular service review meetings are held with OH, HR, the procurement team and PAM Assist.

3.8 A range of health promotion information was provided to staff through health promotion activities, training or via the wellbeing web page and wellbeing group. Tool box talks on skin protection have been provided to the students at the National Centre and respiratory risk for workers exposed to carbon fibres at the Lightweight Manufacturing Centre. The Occupational Health Service also attends departmental meetings to raise awareness of

support available to staff at the University. Updates to the web pages included information on the menopause, resources available from the University Library to support mental health and an on line interactive Cognitive Behavioural Therapy (CBT) Tool Silver Cloud.

4. Wellbeing

4.1 The Occupational Health Service, working collaboratively with Strathclyde Sport offered a variety of health promotion events throughout the year and 738 staff and students, engaged in these activities. The events included an annual blood pressure campaign, diabetes awareness, lifestyle assessments, and drug and alcohol awareness. Training and health promotion events were offered to staff working at the AFRC and the PNDC.

4.2 The 7th Annual Wellbeing Week took place in March 2019. 503 staff booked appointments for the activities offered, and many more staff attended non- bookable events. The event has become established in the University calendar with increasing engagement and positive feedback. The photography competition was especially popular with 55 entries. By request, following its success during Wellbeing Week, a chiropody service is now available on a monthly basis at the Occupational Health Service.

4.3 31 staff joined the See Me Walk-a-Mile @ Strathclyde event to raise awareness of mental health stigma and discrimination. 205 staff participated in the 8 week walk at work challenge in April/ May, the largest number since the initiative was first introduced. The positive benefits to mental health of increased physical activity are well known. Both these events have become annual fixtures on the health promotion calendar.

4.4 The NHS Scotland's Healthy Working Lives Gold Award was revalidated in May 2019 for the fourth consecutive year. In addition to the core criteria required for the award the submission included a range of initiatives across campus including the Carer's Policy, Lifestyle screening, Sustainable Strathclyde and Strathclyde Sport.

4.5 A report summarising the responses from the Employee Wellbeing Survey 2017 was presented to SACSOH, providing useful feedback from staff in relation to their wellbeing. Clear outcomes were:
- Provide information to staff on suggested actions they can take to minimise the impact of a working environment which they feel is not optimal.
- Raise awareness of emergency procedures.
- Consider ways to enforce the smoking policy.
- Offer musculoskeletal health awareness opportunities.

4.6 The Health and Wellbeing initiative "Thrive@Strathclyde" was presented to ET in 2019. This collaborative project between HSW, HR and SE, brings together and enhances existing initiatives and services available to staff and students. Thrive@Strathclyde champions good health and wellbeing for the whole community and demonstrates the University's commitment to providing the study and work environment where everyone is supported to achieve their full potential.

In its initial phase, the project focused on reviewing and cataloguing the range existing health and wellbeing provision at the university, and researching best practice by engaging with a wide range of partners. The next phase is the appointment of a Health and Wellbeing Manager in 2019/20 to lead on a whole institution approach to mental health, through the development of a mental health action plan for staff and aligning student and staff mental health interventions by building on the experience, success and impact of the mental health action plan for students.

4.7 All of these areas are being progressed through collaboration with a range of stakeholders to ensure a healthy working environment and campus community.

5. Occupational Hygiene Programme

5.1 The occupational hygiene programme continued with 6 surveys being carried out, covering 3 different types of monitoring across 2 departments. The most common types of surveillance undertaken was noise (50%), vibration (17%) and Air (33%) monitoring. The majority of these visits consisted of scheduled work. Where results of occupational hygiene monitoring recommend health surveillance, a referral is made to the OH Service.

6. Fire Safety

6.1 A Fire Safety Summary Report has been provided as Appendix 6 to this document. The reporting criteria have been revised to improve the fire safety management information for including performance and priorities for action.

6.2 The SHW team has worked with Estates Services to resolve a number of significant fire safety issues identified in the Royal College Building, which were the subject of a Zero Harm Notification.

6.3 There has been an increased focus on asset protection following a spate of high-profile fires at universities across the country, particularly in areas undergoing construction or refurbishment. The proposal to conduct fire safety inspections of University construction sites will be taken forward in partnership with Estates Services.

6.4 Fire drill exercises were carried out in October 2018 and March 2019. Following observations raised during the October round of drills, a marked improvement was reported in March, with a clear correlation between improvements observed and increased levels of fire safety training.

7. Radiation Safety

7.1 The OHS Standard: Ionising Radiation was released in June 2019. Departments are expected to implement the Standard prior to the Radiation Protection Officer carrying out support visits to monitor compliance. Support visits will commence in October 2019.

7.2 In conjunction with the Risk & Resilience Manager, a series of Radiation Incident Response plans have been developed. These plans have provided the University with

control protocols, should a radiation-related incident occur, ensuring the safety of all involved as well as the University's reputation.

7.3 To comply with the Ionising Radiation Regulations 2017, a reference accident scenario has been created to support the University's classification of workers should a radiation incident occur. A table-top exercise has been scheduled for September 2019 to test the scenario.

8. Occupational Health & Safety Training Programme

8.1 993 staff/post graduate students attended classroom Occupational Health and Safety Training and 1792 individuals accessed online health and safety training.

8.2 A new Health, Safety and Training Adviser was appointed in July 2019 with the remit of developing a continuous improvement plan for the OHS training programme.

8.3 A number of the OHS training courses have been revised and where appropriate, moved to an online platform to improve accessibility.

9. Enforcement Visits / Activity by External Bodies

9.1. For a brief period of time in November 2018, a radioactive source was unaccounted for. Contact was made with Scottish Environmental Protection Agency (SEPA), who subsequently visited the University, however no enforcement action was required.

10. Health & Safety Documentation

10.1 The SHW team is committed to improving the quality of the health and safety management system, including guidance and information for departments. The OHS Standards on Ionising Radiation and Biological Safety were approved by the SACSOH Committee following successful development and consultation with stakeholders.

10.2 A number of other OHS Standards are in the process of development and consultation and will be progressed according to the revised Project Plan.

11. Genetic Modification Safety Committee

The Genetic Modification Safety Committee met once in 2018, a further meeting is scheduled for September 2019. No new Class 2 proposals (i.e. higher risk) were received. There were no significant changes to the GMSC membership since the previous report to SACSOH.

12. Continual Improvement – plans for 2019/20

In year four (2019/20) the SHaW team will address matters based on the strategic priorities and corporate health and safety risk profile:

Matters requiring improvement	Gap Identified	Action Proposed
Communication of health and safety information to internal and external interested parties.	OHS information needs to be updated, user-friendly and readily available.	Prioritisation of developing OHS Standards and making information available. Access to the University's new website templates allowing the SHW team to upgrade the information available to interested parties.
Management and control of contractors, including construction work.	A process involving a plan, do, check, act system to be established for all activity. Written management standard to describe how the university manages capital investment projects in line with the CDM Regulations 2015.	The H&S Manager in collaboration with colleagues in Estates Services will develop a corporate standard to strengthen the university's position as an 'informed' Client.
Incident/accident reporting. Availability of timely, accurate data to identify trends.	Reliance on an outdated, paper based process. Trend analysis is undertaken manually and the information generated can be out of date.	The SHaW team have reviewed a number of online systems which would improve the current process for reporting and tracking safety incidents. Once employed, the platform will generate management reports which can provide departments and senior management with accurate, up-to-date information.
Independent advice on achieving ISO 45001 accreditation.	Independent advice from an accreditation body on the ISO 45001 Project Plan.	The Head of SHW will engage an appropriate external organisation, accredited by UKAS, to provide advice on the University's plans for ISO 45001.

Health, Safety and Wellbeing
September 2019

University of
Strathclyde
Glasgow

Appendix 1

September 2019

OCCUPATIONAL HEALTH, SAFETY AND WELLBEING
POLICY STATEMENT

University of
Strathclyde
Glasgow

The Court of the University of Strathclyde is fully committed to ensuring, so far as is reasonably practicable, the occupational health, safety and wellbeing of all its staff and those affected by its work activities including students, visitors, members of the public, third parties and contractors.

This Policy Statement applies to every aspect of the University's business, including all educational, research and knowledge exchange, commercial, residential, recreational and management activities.

The University's Occupational Health, Safety and Wellbeing Strategy 2016 to 2021 underpins the Policy Statement by detailing how the University intends to organise itself in a planned and co-ordinated way to maintain legal compliance as a minimum and to promote a positive, sustainable safety culture in which everyone plays their part.

Our intention is to provide and implement a process of continual improvement to ensure a safe, healthy and secure work environment, where this is within our influence. Primarily, this will be achieved through the implementation of relevant HSE and sector guidance and by refining the existing safety management framework to achieve a recognised accredited international standard to further promote the systematic management of occupational health and safety. This Policy Statement will be reviewed annually and updated as necessary.

The Principal Aims of this Policy Statement are to ensure:

■ All University leaders clearly understand their roles and responsibilities and accept ownership and full responsibility for health and safety matters;
■ All workplace hazards and associated risks are assessed, mitigated and controlled in a sensible, proportionate manner to prevent injury and ill health;
■ Effective health, safety and wellbeing communication mechanisms are in place to inform and consult staff, students, their representatives and third parties on matters affecting their health and safety;
■ All staff, including members of Court, leaders and managers are sufficiently trained to enable them to competently discharge their legal duties fully;
■ Everyone takes reasonable care of their own health and safety and that of others who might be affected, and as far as is necessary co-operates and assists the University to comply with its statutory health and safety obligations;
■ Occupational health and safety performance standards are monitored and measured against clear, measurable indicators aimed at continuous improvement.

The University of Strathclyde commits itself to the highest standards of occupational health, safety and wellbeing by allocating suitable and sufficient resources to fully implement the Policy Statement whilst ensuring continued delivery as a leading international technological university.

Dame Sue Bruce
Convener of Court

Professor Sir Jim McDonald
Principal and Vice-Chancellor

OHSP001 v1.2
Issue Date: September 2018

Owner: Head, Safety, Health and Wellbeing
Last Review Date: September 2019

Page 1 of 1
Next Review Date: September 2020

For the latest version of this document please go to http://www.strath.ac.uk/safetyservices

11

The University of Strathclyde – Committee of Court
Statutory Advisory Committee on Safety & Occupational Health (SACSOH)
Introduction

The University of Strathclyde recognises the importance of consulting its staff on safety, health and wellbeing matters to create a healthy, safe and secure working environment. The Statutory Advisory Committee on Safety & Occupational Health (SACSOH) has been convened to provide a forum for cooperation, communication and consultation between staff, students and the trade unions on occupational safety, health and wellbeing matters, thus recognising our legal duty on this matter. The principal aim of SACSOH is to reduce the number of workplace accidents and cases of work related ill health.

The Committee's meeting and reporting calendar follow that of the University's academic and reporting year, namely 1st August to July 31st. SACSOH meets three times a year and follows a cycle of health and safety planning; setting priorities for the forthcoming year; monitoring progress; and review of progress, which includes actions taken, items carried over and planning for the following year.

Chaired by the USCO, the Committee comprises of senior members of staff representing all Faculties, Professional Services, Trade Union health and safety members representing all staff, and a University of Strathclyde Students' Association member representing the student body. As permitted, the Trade Unions have confirmed that for safety, health and wellbeing matters, they represent all staff for consultation purposes; therefore, there are no elected employee representatives (non-Trade Union) on the committee. Individual Committee members are provided with suitable training to assist them with their role.

Terms of Reference

SACSOH meets three times per year to fulfil its remit and carry out the following:

- Provide a mechanism for the effective consultation with all staff through the Trade Union Health and Safety representatives on matters affecting their health, safety and wellbeing;
- Ensure that a suitable health and safety management structure is in place within the University, to maximise the protection of the health, safety and security of all staff, students, visitors and contractors and to ensure legislative compliance;
- Plan and report to the Committee on progress in relation to safety, health and wellbeing objectives and priorities;
- Review and approve all corporate OHS written arrangements, including the OHSaW Policy and associated written standards and supporting documentation;
- Monitor the implementation and operation of the University's Occupational Health, Safety and Wellbeing Policy statement and management arrangements, to ensure

the key risks are identified, and appropriate control measures are in place via reports from:

1. Executive Officers;
2. The Head of Occupational Health, Safety and Wellbeing;
3. The Director of Estate Services;
4. The Head of Security Services;
5. The Director of Human Resources;
6. The Director of Student Experience and Enhancement Services
7. Each of the Faculty/Professional Services Representatives relating to matters escalated from departmental safety committees in their area;
8. The President of USSA, Strath Union.

- Consider any findings following health and safety inspections of the workplace and any investigations of accidents, incidents, ill health, cases of occupational disease or dangerous occurrences undertaken by Trade Union representatives;
- Consider reports from the Health and Safety Executive and other relevant enforcement authorities;
- Consider safety, health and wellbeing matters raised by the Executive Team where appropriate;
- Review the provision of health and safety training for staff;
- Monitor and review the 3-year rolling OHS Audit Programme;
- Ensure effective methods are utilised for the dissemination and communication of safety, health and wellbeing information in the University;
- Form sub committees, where appropriate, to consider specific, specialist safety, health and wellbeing matters;
- Review information provided to the committee and report regularly to the Executive Team and Court on the University's SHaW performance; including appraising Senior Officers on accidents and incidents which pose a major risk.

The Constitution of the Committee is as follows:

i. **Ex-Officio Members**: The University Secretary and Compliance Officer (Chair of the Committee) (in their absence a member of the University Executive Team, as nominated by the USCO), a member of Court (appointed by Court), Head of SHaW and the Health and Safety Manager.

ii. **Faculty and Professional Services Representatives**: One representative nominated by the Executive Dean of each Faculty and one representative for Professional Services nominated by the USCO.

iii. **Trade Union Representatives**: One representative nominated by each of the University's recognised Trade Unions (UCU, Unison and Unite).

iv. **Management Representatives**: Executive Officers, the Director of Human Resources, the Director of Estate Services, the Director of SEES and the Head of Security Services (or their nominated representative).

v.   **A Student Representative**: One representative from USSA, Strath Union, is nominated. This will normally be the President of Strath Union, who remains a member of the Committee for the length of their term in office.

vi.   **Other individuals**: Persons from within or out with the University may be invited to attend or support the work of the Committee as required by the Chair. This currently includes the Chief Executive of Strath Union, or nominee.

vii.   **Secretary to the Committee**: The Committee Chair appoints a Committee Manager to act in this role.

## Duties of SACSOH members are as follows:

- All nominated members attend the committee meetings or send a suitable nominated representative.
- Provide reports to the Committee on agenda items as appropriate.
- Report to the Committee on annual plans, priorities and objectives; updating the Committee on progress at each meeting.
- Communicate relevant committee matters to other interested stakeholders as appropriate.
- Actively participate in suitable training for the role of committee member.
- Report any serious matters of concern to the Committee for the purposes of consultation.

Organisation

- The University publishes the meeting dates on an annual basis in advance of the first meeting of the new meeting cycle in September of each year.
- Meetings should not be cancelled or postponed except in exceptional circumstances, when the rearranged date should be announced as soon as possible.
- A meeting agenda, draft minutes and committee papers are made available on the SACSOH SharePoint site 7 days in advance of the next committee meeting.
- Responsibility for meeting arrangements and facilitation, as well as recording minutes and distributing committee papers lies with the SACSOH Committee Manager.
- Draft minutes of each meeting are agreed with the Chair of the Committee before circulating to committee members no later than 14 days after the date of each meeting.
- Terms of Reference, as defined by the USCO, are reviewed and approved by SACSOH on an annual basis.
- The Committee is quorate with 5 members present, i.e. the Chair of the Committee (or their nominated representative), two management representatives and two representatives for staff/students.

Head of SHaW , August 2019

Appendix 3 Corporate OHS Risk Profile

Corporate Occupational Health & Safety Risk Profile (as at September 2019)
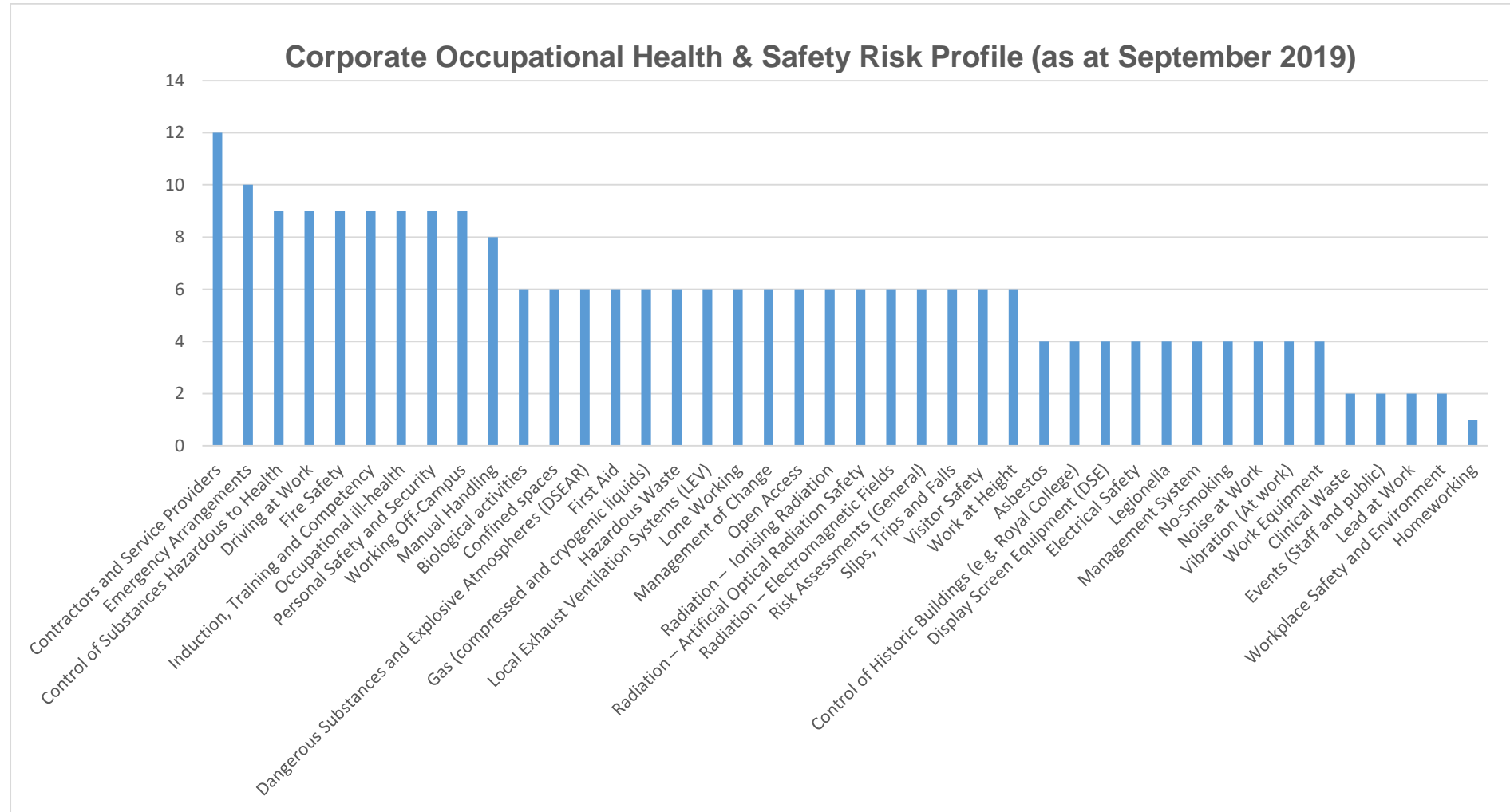
Threats listed in this Register and their Risk Rating

Threat	Rating	Threat	Rating	Threat	Rating
Asbestos	4	Gas (compressed and cryogenic liquids)	6	Personal Safety and Security	9
Biological activities	6	Hazardous Waste	6	Radiation – Ionising Radiation	6
Clinical Waste	2	Homeworking	1	Radiation – Artificial Optical Radiation Safety	6
Confined spaces	6	Induction, Training and Competency	9	Radiation – Electromagnetic Fields	6
Contractors and Service Providers	12	Lead at Work	2	Risk Assessments (General)	6
Control of Substances Hazardous to Health (excl biological)	9	Legionella	4	Slips, Trips and Falls	6
Control of Historic Buildings (e.g. Royal College)	4	Local Exhaust Ventilation Systems (LEV)	6	Vibration (At work)	4
Dangerous Substances and Explosive Atmospheres (DSEAR)	6	Lone Working	6	Visitor Safety	6
Display Screen Equipment (DSE)	4	Management of Change	6	Work at Height	6
Driving at Work	9	Management System	4	Working Off-Campus	9
Electrical Safety	4	Manual Handling	8	Workplace Safety and Environment	2
Emergency Arrangements	10	No-Smoking	4	Work Equipment	4
Events (Staff and public)	2	Noise at Work	4		
Fire Safety	9	Occupational ill-health	9		
First Aid	6	Open Access	6		

Evaluation of Likelihood of Unwelcome Event			Evaluation of Impact of Unwelcome Event on Performance or Reputation		
Rare	Will only occur in exceptional circumstances.	1	Minor	Minimal impact.	1
Unlikely	Unlikely to occur within a year.	2	Moderate	Unlikely permanent or significant impact.	2
Possible	May occur within a year.	3	Serious	Permanent or significant impact but can be managed.	3
Likely	Likely to occur within a year.	4	Major	Significant impact requiring considerable resources to manage.	4
Almost Certain	Almost certain to occur within a year.	5	Critical	Threatens existence of University if risk not resolved.	5

Risk Rating	Risk	A Guide to Required Action (Note: Risk Owners may propose more stringent actions depending on the Risk Rating)
15-25	High	Improve risk control measures within a specified timescale. Consider escalation to the next level of management where the risk is unmitigated.
5-14	Medium	Plan to improve risk control measures at time of next review, or sooner if a new risk.
1-4	Low	No further action, but ensure risk control measures remain effective and are not disproportionate.

Appendix 4 OHSaW Strategic Priority Indicators 2017 - 2019

Strategic Priority	2018/19 (Academic year)	2018	2017	Comment
Leadership and Commitment				
Number of Executive Team and Court Members attending IOSH Leading Safely Course.	4	0	15	Developing the awareness of the University's leadership on OHSaW matters is a strategic priority and ongoing objective for the SHaW team. In 2019/20 the SHaW team will ensure that ET and Court members are provided further opportunities to participate in this respected training course.
Risk Control				
No. of RIDDOR reportable incidents.	6	10	12	The reduction in RIDDOR incidents in 2018/19 was a positive result and the SHaW team recognises the contribution made by colleagues and Union reps in helping to raise greater awareness of health and safety matters. SHW will continue to rigorously investigate significant incidents, ensuring that those which should be notified to the HSE are identified and reported in a timely manner.

No. of RIDDOR reportable accidents involving students as a proportion of the total.	3	4	4	The SHaW team will continue to investigate student 'RIDDORs' and continually improve control measures which protect the student population.
No. of HSE regulatory enforcement action.	0	0	0	The absence of HSE enforcement action on the University continues to be a positive indicator.
Total no. of near miss incidents.	75	62	75	The SHW team are committed to the reporting of near miss incidents. Proper investigation of near miss incidents ensures that corrective actions can be identified and more serious incidents do not arise.
Total no. of near miss incidents which could have resulted in a major incident or fatality.	3	2	5	A priority area for the SHW team is assisting Estate Services colleagues to control the risks associated with the University's major capital construction projects. Where near miss incidents occur, which have the potential to be more serious, a joint collaborative approach is taken to improve safety standards with the main contractor and the University.
Total no. of fire incidents	3	3	4	Fire incidences on the Campus continue to remain at a low level. Each of the fire incidents in 2018/19 was minor in nature.
% of Fire Risk assessments completed against plan	97%	100%	100%	The University Fire Safety Adviser will continue to assess the risks associated with the University's buildings and operations.

Communication and Engagement

No. of staff participating in SHW promotional events	569	406	695	Participation in SHW promotional events, such as the Big Health and Safety Meet and Wellbeing Week are crucial to engaging with the wider University population.
No. of joint departmental H&S inspections completed in collaboration with the SHW Advisory Team	10	Figures not available	Figures not available	Attendance at inspections by the SHW team was not recorded in previous years.
No. of departmental H&S committee meetings attended by a member of the SHaW Advisory Team	32	Figures not available	Figures not available	Attendance at committees by the SHaW team was not recorded in previous years.
Training and Competence				
No. of participants attending the SHW classroom training programme	993	917	870	The training SHW training programme continues to provide staff and post-graduate students with access to relevant, high quality health and safety training courses. The training programme will be reviewed, updated and improved in 2019/20. It is anticipated that a number of training packages will move to an online platform to improve accessibility of training courses.
No. of staff having completed the online stress awareness course provided by the British Safety Council	132	Figures not available	Figures not available	This course was not available to University staff prior to the 2018/19 reporting cycle.

Performance Management

No. of OHS Audits conducted against plan	5	3	5	The SHW Team will maintain its commitment to monitor and report in line with agreed OHS audit programme. In 2018/19 one department requested that their audit was suspended due to a quinquennial review and accreditation over the same period.
Number of OHS audit recommendations closed and complete	12	Figures not available	Figures not available	A new advisor has been appointed in July 2019 within the SHaW team, who will now lead the OHS audit programme and assist departments in closing their recommendations.
No. of management referrals to OH for work-related illness • Mental health • Musculo-skeletal disorder	45 20	62 22	60 12	The reduction in work-related mental health management referrals in 2018/19 is a positive outcome. This is in part due to the combined approach by Occupational Health Services and Student Disability and Wellbeing Services in supporting staff with mental health issues.

Appendix 5 SUSAG Accident & Incident Rates 2018

Accident and Incident Statistics Calendar Year 2018	STAFF RATE		STUDENT RATE	
	Average for Scottish Universities	University of Strathclyde	Average for Scottish Universities	University of Strathclyde
Accidents Involving Injury (RIDDOR Reportable)				
RIDDOR reportable injuries per 1000 at risk	0.9	1.3	0.1	0.2
Total injuries per 1000 at risk	16.8	18.9	1.9	1.1

Reportable Dangerous Occurrences	Scottish Universities Average	University of Strathclyde
Dangerous occurrences per 1000 at risk	2	2.4

Fire Safety Report 2018/19

Fire Alerts - 2018/19							
	Major Fires	**Minor Fires**	**Malicious Fire**	**Near miss incidents**	**False alarms**	**Total**	**% improvement**
Academic Buildings	0	1	1	1	63	66	28 %
Residences	0	2	7	26	37	72	46 %
Off Site Locations	0	0	0	0	0	0	100%
Total	0	3	8	27	100	**138**	39 %

Fire Alerts - 2017/18						
	Major Fires	**Minor Fires**	**Malicious Fire**	**Near miss incidents**	**False alarms**	**Total**
Academic Buildings	0	2	0	2	88	92
Residences	0	1	11	49	72	133
Off Site Locations	0	1	0	0	0	1
Total	0	4	11	51	160	**226**

2018 -2019 comparison chart

FALSE ALARMS	NEAR MISS	MALICIOUS	MINOR FIRE
160 / 100	51 / 27	11 / 8	4 / 3
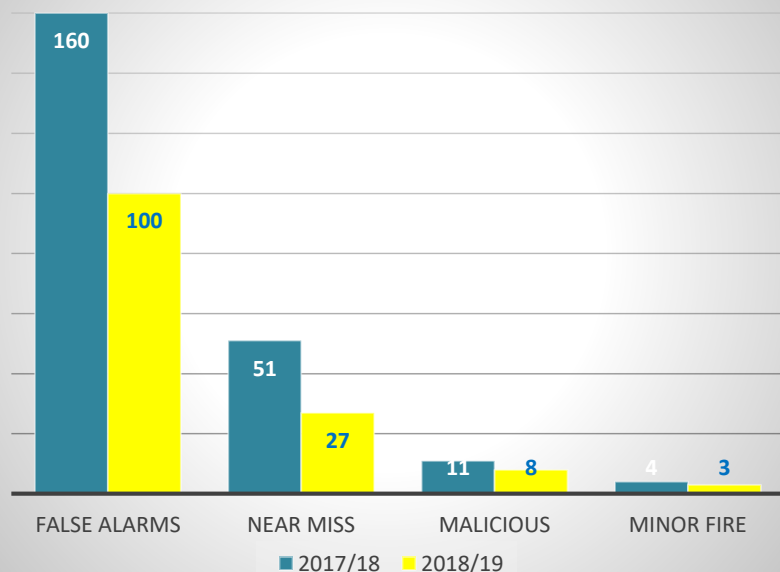
■ 2017/18 ■ 2018/19

Additional information	2017/18	2018/19
SFRS attendances (as a % of all fire alerts)	86 (38%)	16 (12%)
SFRS post fire audits	3	3
UFSA post fire investigations	8	1

Progress made in 2018/19

There was a 30% reduction in fire alerts; a result of a various measures, including the provision of modern automatic detector heads, increased levels of fire safety training and a subsequent improvement in the overall fire safety culture throughout the organisation.

The number of UFAS incidents (Unwanted Fire Alert Signals) continues to reduce year on year, with the SFRS only attending 16 fire alerts within this reporting period. This is likely to be attributed to the University agreeing to extend the periods during which we will investigate our alerts (Academic buildings 24/7 and the residences 06.00 to midnight).

Fire Risk Assessments 2018/19

	2017/18	2018/19
Total no. of fire risk assessments	100	102
New fire risk assessments completed	1	2
Fire risk assessment reviews planned	48	41
Fire risk assessment reviews conducted	48	39

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Background information

The University currently has 102 fire risk assessment locations, of which 43 are high risk, 41 are medium risk 9 are low risk, with the remaining 9 locations pending review as they are currently unoccupied.

Summary

- All **urgent issues** of non-compliance identified during the fire risk assessments were addressed either at the time or within 24 hours as appropriate, except a specific situation identified in the 'Cartway'.
- A number of **significant issues** of non-compliance were identified and actioned accordingly (summarised in the table below).
- **Minor issues** of non-compliance did not pose any significant risk and as such, the UFSA will ascertain if the recommendations have been carried out during the next scheduled fire risk assessment review.

Note

The vast majority of non-compliant issues are addressed within the recommended timescales however, the expansion of the University is likely to generate an increase in fire safety issues, due to a much larger building portfolio with increased numbers of staff and students.

Summary of fire safety priorities for 2019/20

Current significant issues	Proposed actions for 2019/20
There is no oversight or assurance on fire safety arrangements for the University on its construction sites.	A procedure will be agreed with Estates Services to monitor fire safety through a programme of construction site inspections.
The storage of compressed gas cylinders has presented the University with issues of non-compliance, due to the siting of storage locations.	- Agreement will be sought at a strategic level to agree on actions; - An audit of all University gas cylinder storage locations will be undertaken by the SHaW Team; - Raise awareness through local fire safety coordinators and at Dept. Safety Committee meetings.
Door ironmongery and electronic security devices at various locations throughout the campus have the ability to restrict egress in an emergency situation .	Estates Services will undertake a campus-wide review of fire-fighting stairs to Such devices will only be installed following approval from the UFSA (using the S34 application form).

Implement suitable training arrangements for the 'investigation of fire alerts' training.	A review of existing training will be undertaken by the University Fire Safety Advisor who will work with the Head of Security to ensure robust training programme is in place.
Academic departments have concerns about the 'out-of-hours' arrangements for evacuating buildings.	• The UFSA intends to create a suitable training package on MyPlace. This will be mandatory for all staff and students who wish to use a building after normal working hours.
Assist Village Office staff in adopting the 'investigation of alerts' procedure for the residences;	• Village Office staff will be trained so that they can assist Security Services in the investigation of fire alerts to the residences and the Lord Todd building.
Waste materials being discarded by departments, with the accumulation reducing the integrity of fire escape routes.	• Assist Estates Services in addressing issues regarding the non-compliant disposal locations or waste containers; • There will be improvement of the management of rubbish by the departments and contractors.
Campus refurbishment projects proceeding with non-compliant fire safety designs or arrangements.	• The UFSA will be invited to comment on all proposed building, refurbishment and renovation works; • Ensure that the UFSA is invited to comment on all new building proposals, refurbishment and renovation projects at the planning stage.
Automatic detector heads have been left covered following maintenance activities, despite this activity being subject to a 'permit to work' system.	• The UFSA will assist Estates Services in establishing robust management arrangements for the control of their 'Permit to Work'. • This issue will be included in future audits [by SHaW]

The new Management Standard – 'Fire Safety' will reflect the above issues.

Executive Team Report to Court

The Executive Team (ET) met on 17 June, 2 July, 27 & 28 August, & 10 September 2019. 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. Industrial Relations

The Executive Team (ET) continued to receive regular updates on industrial relations. Members noted developments at a national level regarding the annual pay negotiations and the Universities Superannuation Scheme (USS), including ongoing consultations on the 2018 valuation and developments stemming from the Joint Expert Panel's work.

3. REF 2021

ET received regular updates on plans and resources in place to support the university's preparations for REF 2021, including a presentation on the REF audit results.

4. UK Exit from the EU

ET received updates on measures to manage and mitigate the impact of exit from the EU under different possible scenarios, taking input in particular from the University 'No Deal' Brexit Business Continuity Group, and Strathclyde EU Exit Working and Advisory Group (SEEWAG)

5. PGT Provision

ET agreed to the development of two new PGT clusters following an update from the Associate Principal (Learning and Teaching). The Team discussed opportunities around two multidisciplinary teaching 'clusters': technology policy and management, and health studies and health leadership. Each cluster had a clear focus on employability, which had been identified as a key factor in decision-making for many prospective PGT students. Work would be taken forward to determine further details.

6. Health & Care Institute Business Case

ET agreed to the formal establishment of the Health & Care Institute and its direction of travel which included proposed resourcing, PGT programmes, and leadership and governance arrangements.

7. Strathclyde 2025 KPIs

ET received a high-level progress update on preparations for the new Strategic Plan, including an updated set of KPIs leading to 2025. The plan was expected to broadly follow the same structure as the Strategic Plan 2015-20. Targets were being developed for each of the proposed KPIs taking into account existing trend data and projections and commitments already made through financial forecasts and 2025 presentations to Court. The Director of Strategy & Policy had been meeting with relevant committees, groups and individuals to discuss proposed KPIs for the updated strategy.

8. **Internal communications strategy**

   ET received an update on internal communications from the Director of Marketing & Development Services. An Internal Communications Officer had been appointed in November 2018, and had implemented a number of 'quick wins' to improve dissemination of good news stories throughout the institution. Further tools and strategies for the medium and longer term were also discussed.

9. **Student recruitment 2019/20**

   ET received an update on the forecast out-turn against intake targets for 2019/20, noting that recruitment and conversion activity was ongoing. ET also considered the University's fee income position and implications for the financial forecast. Members noted that the October update for Court would reflect the most up-to-date summary position and would reference the University's anticipated tuition fee income position.

10. **Outcome Agreement: self-evaluation report**

    ET noted the University's draft Outcome Agreement (OA) Self-evaluation for 2018/19 and provided a brief update on the anticipated OA guidance for 2020/21. The report would be further refined and shared with Court prior to submission to the SFC for the anticipated deadline of 31 October. All figures in the report were subject to finalisation and refinement.

11. **Annual Statement on Institution-led Review of Quality 2018/19**

    ET reviewed and endorsed the University's annual statement on Institution-led Review of Quality 2018/19.

12. **Investment proposals**

    ET approved an EIC recommendation that the University invest **[Reserved]**. The company had been reviewed and discussed at a number of Enterprise and Investment Committee (EIC) meetings during 2018-19. It was noted that a number of recommendations made by EIC to **[Reserved]** throughout the year had been implemented, leading to this investment recommendation.

13. **Strategy session**

    ET also held a strategy session discussing staffing strategy, NSS performance, 2025 Strategy, risk frameworks, and health & wellbeing.

Senate Report to Court

Senate met on 4 September 2019

FOR APPROVAL

Senate invites Court to **approve** *the following recommendation considered by Senate on 4th September 2019:*

1. Senate **approved** the Annual Statement to SFC on Institutional Quality 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 2019.

FOR NOTING

Senate invites *Court to* **note** *the following items considered by Senate on* 4 September 2019.

1. **Report from Senate Business Committee**
   Items highlighted for Court from the report from the Senate Business Committee include:
   Collaborative Provision Agreement (CPA) Subgroup Report:
   Senate noted that the Collaborative Provision Agreement (CPA) Subgroup had reviewed eight collaborative agreements, four of which were articulation agreements, and 3 study abroad agreements.
   Senate Annual Report:
   The Senate Annual Report had now been produced. The report provided a useful summary of all Senate activity throughout the academic year 2018-19.

2. **REF 2021: 2019 Audit outcomes and Final Year Activities**
   Research Policy Manager Research & Knowledge Exchange Services Claire Carroll provided Senate with a presentation on preparations for REF 2021, focussing on the background, funding context and expectations of REF 2021, and highlighting the expected output, impact and environment. A detailed timeline was provided indicating monthly REF activity through to Spring 2020. Regular updates on REF would be provided to Senate meetings.

3. **Student Voice Update**
   StrathUnion President Matt Crilly introduced to Senate the new student representatives
   [Reserved] 6 members of the StrathUnion Executive and Faculty representatives from each the four Faculties. The StrathUnion President updated Senate on key areas of activity, which included the adoption of the Student Partnership Agreement (SPA).

4. **NSS 2018-19 Results**
   Senate considered the results from the National Student Survey (NSS) 2019 which had recently been published, noting that the overall response rate was higher than in 2018. Institutional results

indicated that scores had increased across all sections of the survey, with the University's ranking moving to joint 6th in the Scottish sector. Overall institutional satisfaction had increased to 86.15% and the University is now in UK top quartile, which was encouraging.

5. Learning and Teaching Building Update
Senate received the regular update on development of the Learning and Teaching Building from Associate Principal Professor Sara Carter. A summary was given of build progress, noting the significant work that had taken place towards steady state operations. The presentation included a series of slides detailing the progress of the build, and included a range of visuals on catering facilities in the building. The Principal extended warm thanks to Professor Carter for her excellent input, leadership and work on the project, noting that she was soon to leave the University to take up a new post as Vice Principal and Head of Social Sciences at the University of Glasgow.

6. Financial Update
The Chief Finance Officer Steven Wallace provided Senate with a financial update focussing on income and expenditure trends over a three-year period from 2017/18 to 2019/20. The 2018/19-year end process was outlined, highlighting key dates in the process which would culminate in submission of the annual reporting statement to Court at the end of November.

7. Principal's Report and Update
The Principal updated Senate on several matters of interest including:

Strategic Plan to 2025
Senate was updated on developments around planning for the new Strategic Plan to 2025, noting that the plan would be launched in January 2020.

External Engagement
The First Minister had recently visited the Power Networks Demonstration Centre, reflecting the PNDC's standing as a leading enabler in smart technologies development.

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

UCU Ballot
Notification had been received from UCU and Unison of Industrial Action ballots to be held between 9 September and 30 October. The University would work to minimise any potential disruption to students.

Grant Activity/Funding
The Principal updated Senate on research awards the University had received since the last Senate, highlighting in particular four significant Quantum Technologies Hubs awards totalling in themselves approximately £6M.

Court Business Group Report to Court

The following items were discussed by Court Business Group on 11 September 2019 and are provided here for Court to note.

1. Student Recruitment and fee income 2019/20

The Director of Strategy & Policy provided an update on the current position regarding undergraduate, taught postgraduate and research postgraduate student recruitment for the new academic year, noting that data were still being processed and recruitment was ongoing in some areas.

CBG noted the intensive efforts that underpinned the University's successes in recruitment, with a particular focus on the conversion of high-quality applications to entrants. It was noted that targets had been exceeded in a number of areas and that initial results plus expected trends suggested that other targets would be met or exceeded. Research postgraduate recruitment was increasing year-on-year but remained below target. It was recognised that growth in this area was challenging for UK institutions in general.

The position for fee income would become clearer once registration and processing of data were complete. Early indications, based on comparisons with previous years, suggested that income targets were achievable.

In the context of reporting on international student recruitment numbers, CBG welcomed the recent announcement by the UK government of the intention to re-introduce a post-study work visa scheme, which had cross-party support.

2. Presentation: Strathclyde Sport

Neil Brown, Head of Sport & Recreation gave a presentation, approximately one year on from the opening of the Strathclyde Sport building. CBG members commended the success of the facility and offered feedback on the presentation, ahead of discussion at Court.

3. Outcome Agreement 2018/19 self-evaluation

CBG noted that the 2018/19 Outcome Agreement self-evaluation report was being finalised, with outstanding data being gathered. The report would be presented for approval by Court. SFC guidance for the 2020/21 Outcome Agreement process had not yet been issued. The most recent Ministerial letter of guidance to the SFC gave some indication of likely priority areas for the SFC in this Outcome Agreement round; on this basis, it was expected that the University could be required to provide commitments in a wide range of areas of activity.

CBG noted that Strathclyde was well-placed to engage positively and fruitfully in the Outcome Agreement process, given the wealth of activity in relevant areas and the University's constructive engagement with the process in the past.

4. Corporate Risk Register

The University Secretary & Compliance Officer (USCO) presented the latest version of the University's Corporate Risk Register (CRR) and the University's top risks. The USCO observed that the format of

the CRR would change over the coming year as part of changes to the University's management of risk and risk appetite.

Discussion centred on the top risk, the UK's withdrawal from the EU. The USCO outlined relevant activity in mitigation of this risk, noting in particular the regular meetings of SEEWAG, the University's planning group for EU withdrawal, and the No Deal Business Continuity Group, in addition to engagement at sector level. CBG members also commented on the risks relating to industrial relations and requested that Court be updated on developments relating to national pay bargaining and the USS pension scheme.

CBG **approved** the contents of the Corporate Risk Register and the top risks for onward transmission to Court.

5. National Student Survey 2019

Cathy Milligan, Director of Education Enhancement, gave a summary of the University's performance in the 2019 National Student Survey (NSS). Strathclyde's performance had improved, with the University entering the top quartile of institutions for 'overall satisfaction'. The response rate locally had also improved. Results from each Faculty had been shared across the institution, allowing relevant colleagues to contextualise performance against the rest of the University. The University's aim was now to further improve consistency of good practice and clarity of communication across the institution in key areas.

CBG offered feedback on the presentation, ahead of discussion at Court.

6. Strategic Plan preparation

The Director of Strategy & Policy updated CBG on the production of the University's next Strategic Plan (2020-2025). The presentation focused on the development of public-facing activity. A public-facing strategic plan document was in preparation and KPIs were being refined. Continuity and ambition flowing from the current, highly successful strategy would be a theme of the new strategy and reflected in metrics.

7. Court Strategy Session, November 2019 – initial planning

The Principal outlined initial plans regarding the content and form of the November Court strategy session, which had been discussed with the Executive Team. Presentations on a number of key initiatives were proposed and it was emphasised that the event would be organised to enable Court members to make full and active contributions. Proposals for evening speakers had been discussed and would be taken forward.

Court Membership Group Report to Court

The following items were discussed by Court Membership Group on 11 September 2019.

1. Membership of Court Committees

Three committee appointments had recently been made by CMG by correspondence and approved by Convener's Action on behalf of Court (to be presented for homologation on 1 October): the appointments of Jeremy Beeton and Brenda Wyllie to Audit & Risk Committee (ARC) and Peter Young to the Statutory Advisory Committee on Safety & Occupational Health (SACSOH). These exceptional approvals had been obtained in order to appoint the new members of the relevant committees ahead of their first meetings in the new academic year. It was also noted, for information, that Stephen Ingledew had been appointed to Staff Committee (CMG and Court approval were not required for appointment to this strategic committee of the University).

In addition, appointments to CMG and to Enterprise & Investment Committee (EIC) had been proposed. The Convener, Vice-Convener and Senior Deputy Convener had endorsed these proposed appointments before the CMG meeting and the proposed appointees had indicated their willingness to join the relevant committees if appointed:

   i.   CMG **recommended** to Court the appointment of Tracy Black to EIC. Ms Black is currently the Director of CBI Scotland and her prior experience encompasses senior roles in investment banking and the wider financial services sector. She is also a Non-Executive Director of Skills Development Scotland.
   ii.   CMG also **recommended** to Court the appointment of Alison Culpan to CMG.

2. Review of the recruitment exercise for lay members of Court

CMG discussed the lay member recruitment exercise carried out in 2018/19. A recruitment agency had been engaged up to the point of longlisting. CMG had carried out shortlisting and candidates had been interviewed. CMG noted the that the recruitment exercise had been a success and welcomed its positive outcomes.

3. Succession Planning

CMG discussed projected turnover in Court membership and considered ways to manage the expected loss of a number of experienced lay Court members at the end of 2020/21 and again at the end of 2021/22. It was agreed that CMG should return to this issue at its next meeting.

4. Court Members' Survey – initial results

CMG discussed a summary of the results of the 2018/19 Court Members' Survey, noting the overwhelmingly positive results, while emphasising the importance of making efforts to understand and address any issues underlying the limited negative feedback in the survey.

Report to Court from Audit & Risk Committee

The Audit & Risk Committee met on 4 September 2019.

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

1. SIMS Phase 3 Update
The Associate Principal noted that SIMS phase 2 was on track for implementation for end of November 2019. Four options for Phase 3 had been considered by Executive Team (ET), with an overview of risk for each of the options included in the paper. ET had approved Option 3: Continue in-house development, building on the deliverables of SIMS Phase 2, whilst keeping abreast of changes in the external market. This option would have the advantage of allowing the University to decide which business processes to prioritise. The vision for the project, of a modern, fit for purpose and future proof student record system, remained unchanged.

It was noted that the new structures in place for Phase 2 were delivering both technical and collaborative aspects for the new Student Record system. This level of engagement and way of working would continue for the remainder of Phase 2 and be built into Phase 3. Governance and operational management arrangements were also working effectively and would continue into Phase 3. ET was aware of the risks associated with a bespoke development, particularly around skills retention, and would continue to monitor the situation.

2. IAS Activity Report
The Committee noted the Audit Plan for 2018/19 had been completed in full and recorded its thanks to the IAS Team for the considerable effort required to complete this on time given the backlog of reviews from 2017/18 at the beginning of the year.

IAS had updated the Key Control Checklists and issued them in May. All had been returned to IAS who had reviewed them and passed feedback to relevant Professional Services teams. IAS had also carried out spot checks on the Key Controls Checklists focusing on the Risk Management section.

The Institutional Efficiency Return had been delayed due to a delayed request from SFC. IAS had reviewed the proposed Return in advance of its presentation at ARC and submission to the SFC and had found that data included in the proposed Return agreed with underlying records and that processes, procedures, and systems were appropriate, reasonable, robust, and in compliance with relevant guidance. The University achieved efficiency savings of 5.6%, thereby exceeding the requirement set by Scottish Ministers of at least 3% in each year.

IAS had arranged an initial proof of concept demonstration of data analytics software but, following concerns raised about the potential for the approach to be seen as advantaging one supplier to the detriment of other potential interested parties, the resource investment required and information security arrangements, IAS was no longer pursuing this approach.. However, IAS remained committed to working towards identifying a solution for data analytics and would continue to research the options available in consultation with internal stakeholders with a view to presenting a business case in due course.

3. IAS Annual Report 2018/19 (Draft)
The Head of IAS presented the Draft report. In the discussion which followed the following points were noted:

- The format had been refreshed to be less text heavy and to more clearly articulate the work on value for money;
- Some sections (highlighted yellow) would be updated following the review of management actions in October;
- The Internal Audit Opinion of reasonable assurance was unchanged from the previous year;
- The most significant area of internal audit coverage was against Operational Excellence. Assurance in other strategic areas was achieved through other processes such the REF and ELIR;

- No scope limitations had been imposed by management;
- The report would be updated to cover the work that had taken place in relation to the IAS Quality Improvement Plan.

4. Stakeholder Survey

The Head of IAS had issued a stakeholder satisfaction survey to stakeholders in August 2019. Responses received had been very positive with some suggestions which the IAS team would reflect on. ARC was pleased to see the positive feedback received and congratulated the team on the significant progress made in 2018/19. The Committee noted its wish to keep the potential need for occasional use of specialists, for work in specific areas, such as IT, under review.

5. Audit Report: Review of Procurement

Members considered a report on the review of Procurement, noting that the scope of the review had focused on the use of the Single Source Justifications (SSJs). The assurance level rating was Reasonable Assurance and significant improvement in procedures had been noted since the review of Purchase to Pay in 2017. Some of the recommendations made were dependent on the development of additional management tools.

From 2019, only staff who had completed training could access the SSJ SharePoint site and register a SSJ. Should a SSJ be deemed to be 'High Risk' by Procurement Services, the requisitioner could choose to disregard this advice and proceed by selecting a box acknowledging non-compliance and stating that they bore this responsibility. Following the Review, all SSJs valued over £50k, where the box had been selected, would now workflow to the CFO.

6. Audit Report: Review of UKVI Compliance

The 2018 review of UKVI Compliance had focused on the monitoring of attendance and engagement of Tier 4 students. The assurance level rating had been Limited Assurance due to significant weaknesses in a small number of Departments' ability to demonstrate adequate evidence of student monitoring. The action plan had related mainly to reviewing and refreshing guidance materials and training for staff. In September 2018 the Home Office Higher Education Assurance Team (HEAT) had visited the University, to conduct an audit of UKVI compliance, and had confirmed its satisfaction with the arrangements in place to comply with its Guidance notes for sponsors.

At the beginning of 2019, UKVI intimated it planned to issue a significant guidance change in relation to Tier 4 student monitoring. The decision was taken to halt the University's planned refresh and training until the new guidance was published and IAS concluded that there would be little value in conducting a full follow up review at this time. Instead this Report was intended to provide ARC members with assurance that improvements in student monitoring were continuing, review the changes in the UKVI draft guidance and the impact this would have and outline intended actions following the finalisation of UKVI guidance. The planned 2019/20 IAS UKVI Compliance audit would focus on the revised Tier 4 student monitoring arrangements, following the implementation of the updated UKVI guidance.

7. Audit Report: Review of RKES (Grants & Contracts) CIAP

A Review of the Research & Knowledge Exchange Services Directorate (RKES) had been included within the 2018/19 Internal Audit Plan. During 2018/19, Continuous Improvement (CI) had facilitated a review of the Grants & Contracts Team within RKES and produced an Improvement Action Plan. The key objective of the IAS review was therefore to carry out a 'point in time', post-implementation review, following the completion of the CI Review, in order to assess the progress made regarding the implementation of the Improvement Action Plan. As such, there was no overall assurance rating.

IAS had identified a number of observations with suggestions for management to consider going forward. These would be added to the IAS Management Action Tracker. It was noted that all actions, due to be completed by 31 August 2019, were now complete.

8. Review of Corporate Risk Register

The USCO introduced the Corporate Risk Register noting that there were no significant changes in the top risks and that the UK leaving the EU remained the top risk. A University Brexit Business Continuity Group had been formed to address the potential impact of a 'no deal' Brexit. This group was focusing on the operational impact while the Strathclyde EU Exit Working and Advisory Group: focused on medium and longer term issues in relation to funding and policy changes.

Following on from the Internal Audit Service review of the Risk Management Framework, workshops had taken place with ET in June and August 2019 to discuss the University appetite for risk. Further discussions would refine the refreshed approach to risk before significant changes to the current system would be made.

The Committee **endorsed** the University's top risks and mitigating actions for onward transmission to Court.

9. Institutional Efficiency return 2017/18

The CFO introduced the paper, noting that this was an annual process with a standard approach that must be followed. A robust and collegiate approach had been taken to collating the information and IAS reviewed the return to ensure the guidance had been followed. The results confirmed that the University had exceeded the target set by SFC.

The Audit & Risk Committee considered and **approved** the return.

10. Investigation Under the Public Interest Disclosure (Whistleblowing) Policy
[Reserved]

11. Investigation Under the Fraud Prevention Policy
[Reserved]

12. Audit & Risk Committee Annual Report 2018/19 (Draft)

Audit & Risk Committee noted the draft report and the opportunity to provide comments directly to the Committee Manager ahead of the November meeting. The External Auditor noted his intention to provide further detail on the non-audit and non-recurring audit fees.

13. Information Security Annual Report 2018/19

Audit & Risk Committee noted the Information Security Annual Report. The Director of Information Services would be invited to attend the February 2019 Workshop to discuss the report and the key risks relating to Information Security at the University.

14. Review of 2018/19 Accounts Direction from the Scottish Funding Council

Audit & Risk Committee noted the paper.

15. Statement on Corporate Governance and Internal Control

Audit & Risk Committee noted the draft Statement on Corporate Governance and Internal Control and that it would return to the November meeting as part of the Financial Statements. Members wished to delay approval of the Statement until they had had more time to consider its contents in line with requirements for disclosure in the revised Scottish Code of Good Higher Education Governance

16. Non Audit Services Policy

Audit & Risk Committee noted the paper and approved the policy on Provision of Non-Audit Services by the External Auditor.

Enterprise & Investment Committee
[RESERVED ITEM]

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 25 JUNE 2019

The following items are provided for Court's information.

- **STRATEGIC RECRUITMENT**

  The Chief People Officer reported that the now concluded 18/19 global talent strategic recruitment initiative had resulted in 42 new hires comprising 35 Chancellor's Fellow appointments and 7 Professorial appointments. 57% of the successful candidates were from out with the UK (35% from the EU and 22% from out with the EEA) and there was an increase in female appointments from the previous year. Approximately 40% of candidates moved to Strathclyde from top 100 universities with half of the remaining 60% being internal appointments, reflecting our ability to develop exceptional early career academics within our own institution.

  A report on the launch of the 2019/20 Strathclyde Global Talent initiative would be provided at the next meeting of Staff Committee.

- **NATIONAL PAY NEGOTIATIONS**
  The Chief People Officer reported that the national Universities and Colleges Employers Association (UCEA) 2019/20 pay negotiations had concluded with a final offer from the employers of a 1.8% increase in pay (with higher increases of up to 3.65% for staff on lower points and the deletion of point 2 of the national spine). Four of the five unions had recommended that their members reject this offer.

  Committee Secretary's note: Since the meeting of Staff Committee, UCU, UNITE, UNISON and EIS have commenced balloting their members for strike action in relation to the 2019/20 pay award. UCU are also balloting members for action short of a strike. The ballots close at the end of October 2019. If 50% or more of their members vote, and the majority vote in favour of industrial action, this could commence from mid- November 2019.

- **PENSION PROVISION**

  The Chief People Officer advised Staff Committee that the national 2017 Valuation of the Universities Superannuation Scheme (USS) had concluded with an initial increase in employer and employee contribution rates in April 2019 now implemented and other increases due in October 2019 and April 2020 unless a 2018 Valuation could be concluded quickly. Universities UK, who represent the employers, are now working with USS to complete the 2018 Valuation which would supersede the 2017 Valuation. Three Options had been proposed to conclude the 2018 Valuation and the University, alongside 84 other USS employers, had expressed a preference for Option 3; benefits remain unchanged with an employer contribution of 21.1% and an employee contribution of 9.6% of salary.

  It was highlighted to the committee that the implementation of higher contributions for employees could trigger an industrial action ballot.

  Secretary's note: Since the meeting of Staff Committee, UCU and UNISON have commenced ballots for industrial action in relation to proposed changes to the USS pension scheme contribution levels. The timeline for the ballots and any potential industrial action is the same as reported above.

  The Chief People Officer highlighted to Staff Committee the USS had now confirmed their agreement that 400 more junior University staff could be given the option to cease to be members of USS and be admitted to the Local Government Pension Scheme (LGPS) resulting in lower employee contribution rates for broadly similar benefits. The change is subject to a formal consultation process and this is currently being discussed with the Unions. Mercers will deliver briefing sessions to staff to support their decision-making.

- **HR PAYROLL SYSTEM (PRESENTATION)**

  The Acting Director of HR advised Staff Committee that an initial discovery phase for a new HR Payroll System was being undertaken in order to map existing processes, specify future requirements and quantify potential benefits of an enhanced system. On completion of the discovery phase, approval would be sought from the Executive Team and University Court to commence the procurement of a new system.

- **STRATHCLYDE DISTINGUISHED PROFESSOR**

  The introduction of the title of Distinguished Professor for professors who are currently matched to Professorial Zone 4 was approved by Staff Committee.

SH/GS/LS, 20.09.19