

UNIVERSITY COURT – AGENDA

Tuesday 6 October 2020, 09.30-12.30
By videoconference

Apologies: Marion Venman

Declarations of interest: None

Introduction		
1.	Minutes of the meeting held on 17 June 2020	Paper A 5 mins
2.	Matters arising	Oral
3.	Principal's Report <i>Principal</i>	Oral 40 mins
Substantive items		
4.	Student Recruitment 2020/21 – UG, PGT & PGR (Position at 29 September 2020) <i>Director of Strategy & Policy, Chief Financial Officer</i>	Paper B 15 mins
5.	SFC Outcome Agreement update <i>Director of Strategy & Policy</i>	Oral 10 mins
6.	National Student Survey 2020 <i>Deputy Associate Principal</i>	Paper C 15 mins
7.	REF 2021: submission development <i>Deputy Associate Principal, Research Policy Manager</i>	Paper D 15 mins
8.	Corporate Risk Register <i>University Secretary & Compliance Officer</i>	Paper E 10 mins
9.	Court Strategy Session, November 2020 – initial planning <i>Convener, Principal</i>	Oral 10 mins



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Items for formal approval		<i>20 mins</i>
10. Amendments to the Ordinances and Regulations	Paper F	
Revised Terms of Reference for Enterprise & Investment Committee and updating the list of Senior Officers		
10a. Convener's Actions		
<ul style="list-style-type: none"> • Court Committee Appointments • NHS Lanarkshire University Status • ELIR Follow-Up Report 	Paper G Paper H Paper I	
11. Annual review of key Court documentation 2019/20:	Paper J	
a) Court Standing Orders 2019/20		
b) Handbook for Members of the University Court 2019/20, incorporating		
c) Court's Statement of Primary Responsibilities		
12. Annual Statement on Institution-led Review of Quality for Scottish Funding Council, Academic Year 2019/20	Paper K	
Items for information		<i>10 mins</i>
13. Court Members' Annual Survey 2020	Paper L	
14. Complaints Handling Annual Report 2019/20	Paper M	
15. Health & Safety Annual Report and Strategy update	Paper N	
Committee reports (for noting, unless otherwise stated)		<i>5 mins</i>
16. Executive Team	Paper O	
17. Senate	Paper P	
Approval: NHS Lanarkshire University Status dealt with under items for formal approval.	See item 10	
18. Court Business Group	Paper Q	
19. Court Membership Group	Paper R	
Approvals: appointments to CBG and CMG dealt with under items for formal approval.	See item 9	

20.	Audit & Risk Committee	Paper S
21.	Staff Committee	Paper T
22.	Enterprise & Investment Committee	Paper U
Closing remarks		5 mins
23.	Any other business	
	Date of next meeting <i>26 November 2020</i>	

MINUTES OF UNIVERSITY COURT

17 June 2020

Meeting held by videoconference

Present: Dame Sue Bruce (Convener), Paula Galloway (Vice-Convener), Professor Sir Jim McDonald (Principal), Ronnie Cleland, Amanda Corrigan, Alison Culpan, Gillian Hastings, Stephen Ingledew, Susan Kelly, Professor Scott MacGregor, Councillor Ruairi Kelly, Peter Young, Dr Archie Bethel, Kayla-Megan Burns, Matt Crilly, Dr Kathy Hamilton, Dr Neil McGarvey, Dr Katharine Mitchell, Gillian Pallis, Malcolm Roughead, Heather Stenhouse, Marion Venman, Brenda Wyllie

Attending: Virginia Beckett, Professor Tim Bedford, Professor Douglas Brodie, Adrian Gillespie, Sandra Heidinger, Professor Atilla Incecik, Dr Veena O'Halloran, Professor Eleanor Shaw, Rona Smith, Professor Iain Stewart, Steven Wallace, Dr Daniel Wedgwood, Kirsty MacLeod (item 5), Lucy Noble (item 5).

Apologies: Dr Jeremy Beeton

Welcome and apologies

The Convener welcomed Court members and attendees to the meeting, extending a particular welcome to Virginia Beckett, who was observing the meeting at the Convener's invitation, ahead of joining Court as a lay member in the next academic year.

No interests were declared.

1. Minutes

Court **approved** the minutes of the meeting held on 5 May 2020.

2. Matters arising

There were no matters arising, other than those covered in the main agenda.

3. Principal's Report and update on Covid-19 pandemic response

The Principal updated Court on the University's response to the Covid-19 pandemic, noting in particular the wide range of contributions that the University was making to tackling the pandemic and its effects, including diverse research work, engagement with industrial partners to expedite relevant manufacturing efforts and in-house manufacture of personal protective equipment, which had been distributed to a number of local health and care providers.

The University continued to take a values-led approach to staff and student issues during the crisis, including continued provision of rest days in recognition of additional pressures on staff that the situation had brought, and adaptation of student-facing services. The Principal had conducted a number of online engagement sessions with staff from different parts of the University, helping to both provide and gain insight into the impact of the pandemic on the University and the institutional response.

Looking back on the academic year beyond the pandemic, the Principal reflected on the University's many substantial successes and progress towards the achievement of strategic goals, as reflected in league table

and NSS performance and significant national awards. Strathclyde's standing as a research-intensive institution was reflected in its being the third-highest recipient of additional research funding recently distributed by the Scottish Funding Council (SFC).

The Vice-Principal outlined work in progress to prepare the University for the start of the next academic year, in the context of continued restrictions relating to management of the pandemic. To comply with the Scottish Government's roadmap to recovery, the University was preparing for stages of fully online teaching and blended learning. Intensive work within and across Faculties was being carefully co-ordinated and supported through relevant committees.

The University Secretary & Compliance Officer summarised the work of the Return & Resume Development Group, which combined members of the Executive Team, the Chief Executive of the Students' Union and relevant professional services leads. It was overseeing twelve work streams, preparing key aspects of the institution's preparedness for the resumption of normal activities with a suitably phased approach. The work was required to be agile, to work at pace while reacting to external developments and evolving government guidance.

Other work reported on included:

- creation of a Race Equality Working Group, building on discussions at the November Court strategy session;
- continued work to ensure readiness for the end of the transition phase of the UK's exit from the EU, through SEEWAG;
- close engagement with the SFC, Universities UK and Universities Scotland to influence the wider policy landscape, plus the Principal's appearance before the Scottish Parliament's Education & Skills Committee to advise on the impacts of the pandemic on the Higher Education Sector and how these should be addressed.

Members commended the University's response to the pandemic and its ability to continue to operate beyond immediate management of the crisis and to advance wider important agendas.

4. Q3 Business Report

The CFO summarised the financial elements of the report. Elements of both income and expenditure had been reduced by the impact of the Covid-19 pandemic. The University's debt covenants remained secure, although headroom had been reduced.

The Director of Strategy & Policy summarised the non-financial elements of the report, highlighting in particular:

- continued significant growth in the total value of research awards, extending a multi-year trajectory;
- a continued positive picture regarding demand elements of student recruitment, although the pandemic situation had introduced much uncertainty and conversion would be key;
- an expectation that research postgraduate (PGR) students would be supported by the additional research funding provided by the SFC, a significant part of which was targeted at PGRs;
- high rates of acceptances of offers to prospective students from targeted SIMD quartiles, suggesting a positive trajectory for widening access.

The University was monitoring student demand at every level and working to reassure applicants and to support them to take up their places. The underlying picture was complex but being monitored in some detail, to understand, for example, different patterns in different countries among international applicants.

Members noted the importance of the University's contribution to widening access in the context of the wider social and economic impact of the Covid-19 crisis.

Court **noted** the business report.

5. Budget 2020/21

[RESERVED]

6. Climate Change and Social Responsibility Plan

The Associate Principal (Research & Innovation) and the Director of Strategy & Policy introduced the draft Plan, noting that this was a wide-ranging document and still actively in development. It was being presented at this relatively early stage to keep Court apprised of progress on this important strategic aim and in order to ensure that the overall direction and further development of the work had Court's support.

It was noted that the Plan recognised the different scales at which climate change would have an impact and at which action could be taken. Given this, the University was working very closely with other organisations at local, national and global levels, in addition to taking unilateral actions.

It was noted that a number of challenges and opportunities arose from the impact of the Covid-19 pandemic, which had brought about sudden change in relevant areas, including travel, remote working and online delivery of learning and teaching. Despite the challenges of recovery from the crisis, it was understood that both the UK and Scottish Governments intended to maintain ambitious carbon reduction targets and to keep a focus on this area.

Members commended the draft Plan and discussed governance and accountability structures around the plan, noting the importance of stewardship by the Executive Team and the use of appropriate measures and indicators. Members acknowledged Strathclyde's leadership in this area, which would also create opportunities for the University in the context of ambitious carbon-reduction targets to which the Scottish and UK governments were committed.

Court endorsed the Plan for further development.

7. REF update

The Deputy Associate Principal (Research, Knowledge Exchange & Innovation) and the Research Policy Manager provided an update on preparations for the 2021 REF exercise. This included the first overall estimate of institutional performance. Although based on a cautious approach, this projected a strong performance. There remained opportunities for further improvement in some areas before the submission date. In addition, it was likely to be possible to include the impact of research and knowledge exchange work relating to the Covid-19 pandemic.

The REF team had been able to maintain its engagement with key internal stakeholders despite the pandemic and had not needed to change its overall approach in any significant way. The intention was to provide an update at each remaining Court meeting before the REF submission.

Court **noted** the update.

8. TIC Zone development update

The Chief Commercial Officer provided an update on the TIC Zone development. The business case had been created and subjected to Internal Audit scrutiny. The process for approval of the intended funding package had been affected by external agencies' responses to the Covid-19 pandemic and the University was investigating alternative funding models as a contingency measure. The project continued to reflect the priorities of the Scottish Government and funding bodies and continued to receive strong support from stakeholders.

Court **noted** the update.

Items for formal approval

9. Court and Committee membership 2020/21

Noting that a member of Court remained to be appointed by Senate and that one student member of Court remained to be nominated by the students' association, Court **approved** the proposed membership of Court for 2020/21, including:

- the re-appointment of Stephen Ingledew and Peter Young as lay members of Court, each for a second term of office running from 1 August 2020 to 31 July 2024;
- the appointment of Dr Barbara Keating as a member of Court for a three-year term, having been elected by the academic staff; and
- the appointment of Andrew Eccles and William McLachlan as members of Court, each for a three-year term, having been nominated by the University's recognised trade unions.

10. USSA Financial Statements 2018/19, Budget and Plan

The Chief Executive of the Strathclyde Students' Union presented the organisation's 2018/19 financial statements and 2020/21 budget. It was noted that a change to accounting practices to include certain pensions liabilities on the balance sheet had turned a surplus into a loss for 2018/19. The Union's cash position had strengthened and enhancements had been made to governance and the assessment of risk.

Looking ahead, the Union's occupation of new premises within the Learning & Teaching building would be delayed as a consequence of the Covid-19 pandemic. This would impact on the ability to expand and improve the Union's commercial activities. The Union was working closely with the University to plan for different eventualities. The University's support in the form of an uplift to the Union's block grant had been greatly appreciated.

The President of the Students' Union commended the Union's management and expressed confidence in the organisation's ability to respond to the challenges of the coming year.

Court **noted** the financial statements and **approved** the budget.

11. Re-appointment of Associate Principal & Executive Dean

The Principal noted his strong personal endorsement of the re-appointment of Professor David Hillier as Associate Principal & Executive Dean of Strathclyde Business School.

Court **approved** the re-appointment.

Item for information

12. Scottish Funding Council Review of Payment to the Former Principal of Aberdeen University

Court **noted** the publication of the report by the SFC, which had been circulated to Court for awareness, given that it concerned an investigation into governance matters at a Scottish university.

Committee Reports

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

13. Executive Team

14. Senate

15. Court Business Group

16. Court Membership Group (relevant approvals given under item 9)

17. Audit & Risk Committee

18. Staff Committee

19. Enterprise & Investment Committee

20. AOB

NMIS Land Agreement

Court **approved** the land agreement between the University and Renfrewshire Council regarding the land on which the National Manufacturing Institute Scotland would be constructed, details of which had been provided in an additional paper. It was noted that the land agreement would be in the form of a long ground lease, with the University having the option to convert this leasehold interest to a full heritable title.

Thanks to Court members on completion of terms of office

The Convener noted that Amanda Corrigan, Matt Crilly, Kathy Hamilton, Neil McGarvey and Gillian Pallis were all attending their final meeting as Court members, having completed their maximum terms of office in their respective roles, and thanked them for their service as Court members.

Date of next meeting

- Tuesday 6 October 2020

**Student Recruitment – UG, PGT & PGR
[RESERVED ITEM]**

NSS 2019/20 Results & Reflection

Helyn Gould, Deputy Associate Principal, Learning & Teaching

Context

- Survey was conducted by Ipsos Mori for the OfS, running from 6th January to 30th April.
- An OfS data review concluded that reliability of NSS 2020 results was not affected by the COVID-19 pandemic.
- 16% of Strathclyde's responses were received after WHO declaration of pandemic (11th March 2020), compared to 21% of UK responses.
- Final overall response rate was 76.96% (+4.71% on 2019)



**Student satisfaction
stable as data
continues to highlight
need for clear
communication**

2020 Summary Results

Strathclyde Performance – UK

- Our Overall Satisfaction Score for NSS 2020 was 86.36%
- Retained top quartile position in the UK, for second year in a row
- Moved up from 33rd to 31st of 153 HEIs for Overall Satisfaction

2020 Results

Strathclyde Performance – KPI3

- Met target: top quartile for Overall Satisfaction
- Met target: to have 3 of the 8 question sets* in the top half of the sector rankings
- 15/47 subjects in top quartile for Overall Satisfaction (+2 compared with 2019)
- Increases in performance for 6 of 8 question sets*
- Over 50% of subjects in top quartile for 'Teaching on my Course', over 75% of subjects in top two quartiles

*Questions sets: Teaching on My Course; Learning Opportunities; Assessment & Feedback; Academic Support; Organisation & Management; Learning Resources; Learning Community; Student Voice

Institutional results over 3 years

	2020	2019	2018
The teaching on my course	86.74	85.49	84.32
Learning opportunities	82.15	82.50	81.23
Assessment and feedback	66.48	66.78	63.37
Academic support	78.74	78.32	75.94
Organisation and management	75.20	74.53	70.97
Learning resources	88.10	87.89	87.00
Learning community	77.37	76.53	75.81
Student voice	73.13	71.96	67.47
Students' Union Representation	61.84	61.17	51.84
Overall satisfaction	86.36	86.15	83.53
Optional Question banks:			
Students' Union	38.69	37.93	32.85
Social opportunities	75.31	73.66	70.88

Sector Comparison: UK and Scotland

	Change to Strathclyde	Sector	Scotland
The teaching on my course	86.74 (+1.25)	83.87 (-0.26)	85.82 (+0.80)
Learning opportunities	82.15 (-0.35)	82.89 (-0.28)	83.18 (+0.74)
Assessment & feedback	66.48 (-0.30)	72.60 (-0.77)	70.34 (-0.07)
Academic support	78.74 (+0.42)	79.43 (-0.43)	79.22 (+0.79)
Organisation & management	75.20 (+0.67)	73.76 (-1.23)	75.20 (+0.72)
Learning resources	88.10 (+0.21)	85.75 (-)	86.86 (+0.44)
Learning community	77.37 (+0.84)	75.67 (-0.24)	76.78 (+0.61)
Student Voice	73.13 (+1.17)	73.56 (-0.10)	73.70 (+1.04)
Students' Union Representation	61.84 (+0.67)	55.99 (+0.33)	54.47 (+1.99)
Overall Satisfaction	86.63 (+0.21)	82.65 (-1.00)	85.04 (+0.86)
Students' Union	38.69 (+0.76)	38.26 (-0.81)	37.74 (+2.53)
Social opportunities	75.31 (+1.65)	72.35 (-0.52)	69.09 (+1.39)

(+ or -) indicates score change from 2019

Sector Comparison: Ranking performance at subject level

Strathclyde Results												Strathclyde Results											
Subject	↑ QRank	The teaching on my course	Learning opportunities	Assessment and feedback	Academic support	Organisation and management	Learning resources	Learning community	Student Voice	The students' union (association or equivalent)	Overall satisfaction	Subject	↑ QRank	The teaching on my course	Learning opportunities	Assessment and feedback	Academic support	Organisation and management	Learning resources	Learning community	Student Voice	The students' union (association or equivalent)	Overall satisfaction
All Subjects		86.7%	82.0%	86.4%	78.7%	75.0%	88.3%	77.5%	73.0%	62.0%	86.3%	All Subjects		84.5%	81.2%	63.3%	76.3%	71.4%	87.6%	76.5%	68.0%	52.6%	83.9%
Accounting		86.6%	83.6%	75.8%	80.6%	76.6%	86.6%	76.7%	73.8%	56.2%	87.9%	Accounting		78.4%	80.6%	53.2%	60.4%	54.8%	93.8%	72.3%	55.9%	49.4%	71.2%
Architecture		77.2%	73.2%	46.9%	64.5%	47.8%	50.4%	85.9%	66.7%	53.5%	58.7%	Architecture		85.5%	86.6%	76.6%	83.1%	75.8%	63.2%	87.9%	76.6%	49.2%	83.9%
Bioengineering, Medical And Biomedical Engineering		90.5%	80.2%	63.5%	77.9%	64.9%	86.5%	86.5%	72.1%	42.9%	80.6%	Bioengineering, Medical And Biomedical Engineering		93.5%	88.9%	54.6%	80.3%	56.8%	85.2%	88.9%	63.0%	61.5%	92.6%
Business Studies		85.6%	83.6%	64.7%	74.6%	75.6%	93.0%	73.4%	68.1%	63.0%	82.2%	Business Studies		84.2%	80.9%	68.8%	77.0%	73.7%	87.6%	75.3%	71.3%	61.5%	84.3%
Chemical, Process And Energy Engineering		86.0%	83.3%	56.3%	76.8%	71.1%	92.8%	82.6%	75.0%	64.3%	77.0%	Chemical, Process And Energy Engineering		76.4%	73.2%	44.3%	63.7%	58.5%	83.1%	75.8%	51.6%	44.1%	67.2%
Chemistry		92.1%	87.8%	79.4%	88.1%	84.2%	94.4%	88.0%	84.7%	62.0%	94.9%	Chemistry		80.5%	78.4%	62.2%	75.6%	63.3%	83.2%	69.3%	68.4%	43.7%	83.2%
Civil Engineering		88.2%	84.8%	64.0%	72.5%	76.6%	90.6%	80.7%	73.1%	64.3%	86.0%	Civil Engineering		84.7%	76.3%	68.3%	79.6%	83.9%	94.6%	83.9%	64.5%	56.7%	87.1%
Computer Science		76.8%	78.9%	61.8%	75.7%	66.4%	84.3%	76.0%	77.9%	43.8%	77.6%	Computer Science		83.2%	81.4%	73.2%	81.4%	78.6%	86.7%	79.3%	74.3%	58.1%	81.4%
Design Studies		81.0%	81.3%	51.0%	69.3%	72.0%	84.0%	82.0%	64.0%	47.8%	76.0%	Economics		81.4%	72.2%	67.9%	76.6%	80.9%	92.1%	66.2%	67.0%	50.0%	83.6%
Economics		90.3%	84.7%	69.2%	80.0%	83.2%	88.0%	73.2%	78.8%	59.5%	92.6%	Education		86.2%	88.5%	84.5%	89.7%	63.8%	95.4%	84.5%	71.3%	48.2%	89.7%
Education		89.1%	88.9%	79.5%	87.2%	82.4%	88.0%	75.6%	75.2%	64.7%	92.3%	Electrical And Electronic Engineering		85.8%	86.3%	69.8%	81.5%	73.6%	86.4%	84.6%	74.0%	64.5%	88.7%
Electrical And Electronic Engineering		80.5%	83.9%	65.7%	76.9%	68.7%	85.9%	77.8%	69.3%	61.3%	87.2%	English Studies (Non-Specific)		92.4%	83.7%	69.9%	81.0%	76.2%	93.2%	74.5%	64.0%	59.2%	87.8%
English Studies (Non-Specific)		93.6%	81.2%	76.3%	81.2%	73.5%	84.6%	64.1%	73.5%	70.3%	89.7%	Finance		88.1%	85.5%	75.1%	78.5%	82.9%	93.0%	77.0%	64.0%	58.2%	83.8%
Finance		88.1%	85.5%	75.1%	78.5%	82.9%	90.4%	80.0%	76.1%	60.1%	91.9%	Forensic And Archaeological Sciences		97.0%	88.7%	87.0%	94.0%	90.0%	92.0%	88.0%	86.0%	82.0%	100.0%
Forensic And Archaeological Sciences		97.0%	88.7%	87.0%	94.0%	90.0%	92.0%	88.0%	86.0%	82.0%	100.0%	French Studies		96.7%	88.3%	79.2%	86.7%	78.9%	78.9%	76.7%	80.0%	69.0%	83.3%
French Studies		96.7%	88.3%	79.2%	86.7%	78.9%	78.9%	76.7%	80.0%	69.0%	83.3%	Health Sciences (Non-Specific)		96.3%	95.0%	86.3%	95.0%	96.7%	96.7%	100.0%	96.3%	58.8%	93.6%
Health Sciences (Non-Specific)		96.3%	95.0%	86.3%	95.0%	96.7%	96.7%	100.0%	96.3%	58.8%	93.6%	History		94.0%	86.5%	79.1%	83.0%	81.7%	89.1%	73.6%	74.0%	68.0%	93.3%
History		94.0%	86.5%	79.1%	83.0%	81.7%	89.1%	73.6%	74.0%	68.0%	93.3%	Human Resource Management		91.2%	87.7%	67.1%	81.5%	81.5%	88.3%	75.9%	63.0%	90.7%	86.7%
Human Resource Management		91.2%	87.7%	67.1%	81.5%	81.5%	88.3%	75.9%	63.0%	90.7%	86.7%	Iberian Studies		93.9%	85.4%	79.6%	84.9%	81.8%	87.4%	69.7%	72.7%	67.7%	100.0%
Iberian Studies		93.9%	85.4%	79.6%	84.9%	81.8%	87.4%	69.7%	72.7%	67.7%	100.0%	Italian Studies		91.7%	80.6%	77.1%	75.0%	80.6%	86.1%	87.5%	77.8%	91.7%	91.7%
Italian Studies		91.7%	80.6%	77.1%	75.0%	80.6%	86.1%	87.5%	77.8%	91.7%	91.7%	Journalism		89.9%	81.8%	67.3%	77.8%	73.0%	86.5%	67.8%	62.7%	82.5%	88.1%
Journalism		89.9%	81.8%	67.3%	77.8%	73.0%	86.5%	67.8%	62.7%	82.5%	88.1%	Law		89.1%	78.0%	65.0%	75.6%	77.9%	88.3%	70.7%	71.2%	59.4%	89.0%
Law		89.1%	78.0%	65.0%	75.6%	77.9%	88.3%	70.7%	71.2%	59.4%	89.0%	Management Studies		90.6%	82.3%	69.5%	78.1%	84.4%	93.8%	85.9%	77.1%	77.4%	96.9%
Management Studies		90.6%	82.3%	69.5%	78.1%	84.4%	93.8%	85.9%	77.1%	77.4%	96.9%	Marketing		84.9%	80.8%	65.6%	73.4%	78.1%	88.3%	72.5%	73.6%	66.9%	87.8%
Marketing		84.9%	80.8%	65.6%	73.4%	78.1%	88.3%	72.5%	73.6%	66.9%	87.8%	Mathematics		78.9%	62.8%	68.1%	73.8%	70.1%	89.4%	63.8%	58.5%	49.4%	79.3%
Mathematics		78.9%	62.8%	68.1%	73.8%	70.1%	89.4%	63.8%	58.5%	49.4%	79.3%	Mechanical Engineering		83.8%	77.3%	57.6%	76.1%	77.7%	88.1%	76.8%	65.7%	53.2%	84.2%
Mechanical Engineering		83.8%	77.3%	57.6%	76.1%	77.7%	88.1%	76.8%	65.7%	53.2%	84.2%	Microbiology And Cell Science		91.2%	83.9%	80.8%	87.2%	79.5%	85.9%	76.9%	85.4%	72.5%	87.9%
Microbiology And Cell Science		91.2%	83.9%	80.8%	87.2%	79.5%	85.9%	76.9%	85.4%	72.5%	87.9%	Molecular Biology, Biophysics And Biochemistry		82.1%	61.9%	73.8%	66.7%	77.8%	81.8%	71.4%	65.1%	66.7%	85.7%
Molecular Biology, Biophysics And Biochemistry		82.1%	61.9%	73.8%	66.7%	77.8%	81.8%	71.4%	65.1%	66.7%	85.7%	Naval Architecture		74.2%	72.3%	54.7%	72.3%	62.6%	79.5%	84.6%	75.4%	51.6%	70.8%
Naval Architecture		74.2%	72.3%	54.7%	72.3%	62.6%	79.5%	84.6%	75.4%	51.6%	70.8%	Operational Research		-	-	-	-	-	-	-	-	-	-
Operational Research		-	-	-	-	-	-	-	-	-	-	Others In Biosciences		87.5%	80.3%	68.2%	75.8%	77.3%	84.9%	72.7%	78.8%	77.3%	90.9%
Others In Biosciences		87.5%	80.3%	68.2%	75.8%	77.3%	84.9%	72.7%	78.8%	77.3%	90.9%	Others In Business And Management		77.2%	80.8%	50.2%	75.9%	77.6%	85.3%	68.1%	60.9%	61.1%	87.1%
Others In Business And Management		77.2%	80.8%	50.2%	75.9%	77.6%	85.3%	68.1%	60.9%	61.1%	87.1%	Others In Language And Area Studies		85.8%	88.3%	62.2%	74.8%	72.1%	94.6%	82.4%	67.6%	68.6%	75.0%
Others In Language And Area Studies		85.8%	88.3%	62.2%	74.8%	72.1%	94.6%	82.4%	67.6%	68.6%	75.0%	Others In Subjects Allied To Medicine		77.9%	74.4%	76.9%	66.7%	69.2%	84.6%	89.2%	71.8%	69.2%	76.9%
Others In Subjects Allied To Medicine		77.9%	74.4%	76.9%	66.7%	69.2%	84.6%	89.2%	71.8%	69.2%	76.9%	Pharmacology		88.3%	85.5%	45.9%	85.9%	73.8%	89.2%	86.8%	72.7%	67.3%	88.8%
Pharmacology		88.3%	85.5%	45.9%	85.9%	73.8%	89.2%	86.8%	72.7%	67.3%	88.8%	Pharmacy		88.9%	77.3%	73.9%	82.6%	77.7%	89.4%	75.6%	87.2%	65.8%	87.2%
Pharmacy		88.9%	77.3%	73.9%	82.6%	77.7%	89.4%	75.6%	87.2%	65.8%	87.2%	Physics		86.7%	75.1%	65.9%	79.2%	73.9%	88.8%	66.3%	63.8%	69.8%	83.7%
Physics		86.7%	75.1%	65.9%	79.2%	73.9%	88.8%	66.3%	63.8%	69.8%	83.7%	Production And Manufacturing Engineering		88.6%	88.3%	66.5%	77.4%	77.2%	92.8%	84.5%	71.5%	57.9%	89.1%
Production And Manufacturing Engineering		88.6%	88.3%	66.5%	77.4%	77.2%	92.8%	84.5%	71.5%	57.9%	89.1%	Psychology (Non-Specific)		90.4%	81.0%	77.7%	80.3%	78.8%	91.7%	78.9%	81.4%	74.5%	92.6%
Psychology (Non-Specific)		90.4%	81.0%	77.7%	80.3%	78.8%	91.7%	78.9%	81.4%	74.5%	92.6%	Social Policy		92.3%	84.6%	81.7%	83.3%	87.2%	94.9%	76.9%	75.6%	73.1%	92.3%
Social Policy		92.3%	84.6%	81.7%	83.3%	87.2%	94.9%	76.9%	75.6%	73.1%	92.3%	Social Work		92.7%	95.4%	69.8%	89.7%	77.0%	92.0%	76.7%	75.3%	52.9%	91.4%
Social Work		92.7%	95.4%	69.8%	89.7%	77.0%	92.0%	76.7%	75.3%	52.9%	91.4%	Software Engineering		79.7%	68.8%	60.9%	68.8%	68.8%	85.4%	65.6%	85.4%	30.8%	81.3%
Software Engineering		79.7%	68.8%	60.9%	68.8%	68.8%	85.4%	65.6%	85.4%	30.8%	81.3%	Sport And Exercise Sciences		88.6%	87.9%	83.0%	78.8%	56.1%	89.4%	70.5%	71.2%	50.8%	81.6%
Sport And Exercise Sciences		88.6%	87.9%	83.0%	78.8%	56.1%	89.4%	70.5%	71.2%	50.8%	81.6%	Statistics		81.7%	67.5%	69.8%	77.6%	72.6%	98.1%	75.0%	66.9%	68.3%	80.3%
Statistics		81.7%	67.5%	69.8%	77.6%	72.6%	98.1%	75.0%	66.9%	68.3%	80.3%	Teacher Training		89.8%	91.4%	77.1%	88.9%	73.1%	91.9%	83.8%	74.7%	71.1%	93.3%
Teacher Training		89.8%	91.4%	77.1%	88.9%	73.1%	91.9%	83.8%	74.7%	71.1%	93.3%	Tourism, Transport And Travel		87.5%	84.7%	66.7%	78.5%	91.7%	91.7%	81.3%	80.6%	87.0%	78.3%
Tourism, Transport And Travel		87.5%	84.7%	66.7%	78.5%	91.7%	91.7%	81.3%	80.6%	87.0%	78.3%												

2020

2018

Next steps

Continued strategic focus on two key areas:

1. Assessment and Feedback
2. Organisation and Management

Principal's NSS meetings with Departments and Schools to review performance, supporting the sharing of good practice and identifying areas for enhancement

Learning & Teaching Improvement Framework:

- Ownership at Faculty
- Importance of forums – reflect & share good practice
- Interim opportunities for feedback from students through Module Evaluation Project

Linked to ESC Learning & Teaching Reflections & Lessons Learned Project and planning and preparation for SOTAY (Start of the Academic Year)

Regular reporting through Education Committees and Senate

REF2021: Submission Development

Introduction

1. This report summarises the current state of preparations for the submission to REF2021. At the last reporting point, in June 2020, updated forecasts were provided for all elements. This report details the work being undertaken and the progress being made towards achievement, and in some cases exceeding, the forecasts.

Progress Against Forecasts

2. A summary of progress in each unit is provided in the Data Summary Sheets forming Appendix 1 to this report. It is important to view the Summary sheets for the position of each unit. All units of assessment are making progress and must continue to devote time and effort towards completion. In some cases, this effort will ensure the achievement of the forecast reported in June while in others there is the potential to exceed forecasts (as noted in the data summary sheets). Where additional support is required it is being provided by the Central REF team or advisors. At present, while there are risks being actively mitigated, there are no units where performance is expected to fall below forecast.

Guidance on Interpreting the Data Summary Sheets

3. The data summary sheets include 4 profiles:
 - a. the Output profile (Figure 1) has been updated since the report made in June20. Changes to the profile result from the finalisation of the staff list and any new outputs that have arisen and been reviewed in the period.
 - b. Environment (Figure 2), impact (Figure 3) and overall (Figure 4) profiles have not been updated in this report. The profiles from June20 provide context for the comments on progress made since June and expectations for the final submission. These profiles will be updated in January 2021.
4. Forecasting remains conservative to mitigate the risk that all ratings are subjective and that progress made by comparators is unknown. Indications of confidence intervals are provided in the summary sheets where possible. Comments provided also provide additional information on potential outcomes.

Current Areas of Focus

5. Impact is the element where the most work remains to be undertaken prior to submission. The vast majority of the cases have now passed from Faculty level management to management by the central RKES REF team. We have a clear overview of the work that is required and detailed plans for each case to ensure that the required progress is achieved. Faculty level expert resources are being deployed to focus on specific cases over the period to 30 November 2020 to ensure all cases can be reviewed and rescored in December 2020, prior to final selections being made in January 2021.

We have a number of expert advisors, in addition to the RKES REF team, who will work on the cases over the final months (December 20 to Feb 21) to provide any final polish required.

6. Unit level environment narrative statements also require significant input. The RKES team has dedicated resource who will manage the narratives to completion. This coupled with use of a number of appropriate reviewers for each unit is ensuring that Unit authors have appropriate

direction so that statements accurately reflect the quality of environment in the unit. Statements will be reviewed again in December 20. At this point, all content will be checked for accuracy and narratives will be edited to ensure that there is alignment across our submission.

Completed Elements

7. The staff census date passed on 31st July 2020. The staff list is now complete for the submission. The submission will comprise 784 individual staff; an increase of 34% from REF2014. This includes 32 former staff whose outputs we will benefit from in the exercise. It is important to note the change in size of many of our units since REF2014 as this has an impact on the 'power' measure and should be taken into account when considering overall performance as demonstrated in Table 2.

Table 2: GPA and FTE by UoA at 31st July 2020

Uo A No	Description	GPA		FTE		REF2021 Headcount	
		2021 at 31st July 2020	REF2014	2021 at 31st July 2020	REF2014	Current Staff at 31st July 2020	Former Staff
3	Allied Health Professions, Dentistry, Nursing and Pharmacy	3.25	3.28	89.4	74.3	94	2
8	Chemistry	3.37	3.15	34.4	35.4	35	2
9	Physics	3.29	3.35	46.65	27	48	3
10	Mathematical Sciences	3.25	2.86	33.1	32.9	35	3
11	Computer Science and Informatics	3.11	2.57	31.8	20.2	33	2
12	Engineering	3.16	3.05	221	146.6	226	3
13	Architecture, Built Environment and Planning	3.06	2.53	15	14.5	15	0
17	Business and Management Studies	3.14	3.17	115.1	73.35	118	3
18	Law	2.99	2.83	28	19.67	29	2
19	Politics and International Studies	3.53	3.04	22	19.4	22	2
20	Social Work and Social Policy	3.24	2.94	19	15.7	20	1
23	Education	2.94	2.78	34	24.6	34	3
27	English Language and Literature	3.18	2.93	25	20.2	25	3
28	History	3.56	2.95	17.8	22.2	18	3
Totals				732.25	546.02	752	32

8. Output profiles are expected to remain largely unchanged between now and submission. There are 15 outputs that are currently rated unclassified which will have been reviewed and scored in time for the next snapshot in November 2020. Aside from this we expect few additional publications to take place.

9. 31 staff currently feature in the profiles with an output that falls below 3* quality (the threshold for attracting funding via the Research Excellence Grant). However 15 of these staff are new recruits whose papers are under review and so these will appear as 3* or 4* items in future profiles.

Timeline to Submission

10. With 6 months remaining to the submission deadline, it is important to be targeted in the deployment of academic and professional services staff time to maximise the quality of the submission. The extended timeline enables staggered completion of elements with the effect of gradually reducing the volume of work being undertaken and enabling greater focus on elements still to complete. Table 1 shows the internal timetable for completion of academic involvement in element development. The central REF team, UOA leads and expert advisors will continue to review and finesse narratives until the point of submission.

Table 1: Details of Future Snapshot Reporting & Internal Deadlines

Snapshot	Information provided	Changed Data included in Update	Internal Deadline for Academic Staff
Sept 2020	Staff	Based on census date 31/7/20	-
	Updated Output Profile	Based on updated staff information from census date.	-
Nov 2020	Updated Output Profile	Based on final output selection*	Detailed Selection Complete 30 Oct 20*
	Updated Environment Metrics	Final comparison against benchmarks including the final year data for PGR awards and research income.	Final year figures available Oct 2020 on completion of HESA return
Jan 2020	Updated Impact and Environment Profiles	Based on final review carried out in Dec 2020.	All narratives to be completed 30 Nov 20

*outputs published between 30 October 2020 and 31st Dec 2020 will be handled on a case-by-case basis.

REF update - Appendix
[RESERVED ITEM]

Corporate Risk Register
[RESERVED ITEM]

Amendments to the Ordinances and Regulations

Terms of Reference of Enterprise & Investment Committee (EIC)

1. The EIC Terms of Reference (ToR) currently state the following with respect to the Committee's composition (Regulation 1.2.20):

Composition

- *A Lay Member of Court (in the Chair)*
 - *The Chief Commercial Officer ex officio*
 - *The Principal ex officio*
 - *The Chief Financial Officer ex officio*
 - *The Treasurer ex officio*
 - *At least one other member of Court*
 - *Up to five co-opted members, either members of Court or individuals external to the University*
2. EIC currently has five co-opted members, meaning that at present no other members could be added, however well suited the skills and background of any potential candidate may be. There is no principled basis for the specific restriction to five co-opted members, beyond the general principles of maintaining a coherent and practicable committee.
 3. The Convener of EIC, the Convener and the Principal have expressed a preference to take a more flexible approach, such that the committee could take advantage of any opportunities arising in the future to co-opt particularly well-qualified potential members, as and when they become available and/or express an interest. This could help with succession management within the committee, in addition to expanding and enhancing the committee's range of skills immediately. Court Membership Group considered this proposal and recommends it to Court.
 4. Therefore, it is proposed that the numerical limit on the committee's co-opted members be removed to allow suitable flexibility in the future. Specifically, it is proposed that the final bullet point in the ToR's section on the composition of the committee (as quoted above) be amended to read as follows. This wording mirrors that used in the ToR of the University's Estates Committee, while maintaining the final clause of the current wording in the EIC ToR, for additional clarity:
 - *Such other members that the Committee may wish to co-opt because of their expertise, either members of Court or individuals external to the University.*
 5. The ToR of EIC, as a Committee of Court, forms part of the University's Regulations. Amendments to the Regulations require the approval of Court.
 6. The complete University Regulations can be viewed at:
https://www.strath.ac.uk/media/ps/strategyandpolicy/University_Regulations_2019-20.pdf

Senior Officers

7. The Ordinances list the University's Senior Officers. These positions carry particular responsibilities and are subject to certain rules; for example, regarding their recruitment.
8. Amendments are required to the Ordinances to reflect the following changes in the group of Senior Officers:
 - Following the retirement of Sandra Heidinger from the position of Chief People Officer (CPO), it is not intended that this position will be filled in the foreseeable future. Therefore the position of CPO should be removed from the Ordinances.
 - The University is in the early stages of recruitment for a Chief Information Officer (CIO), to lead digital transformation in line with the University's strategy. Therefore the position of CIO should be included in the Ordinances.
9. In concrete terms, it is proposed that Ordinance 4.1.7 be amended as follows.

Delete current text:

The Chief People Officer, under the direction of the Principal, shall be responsible for the development and implementation of the People Strategy for the University and the strategic management of relevant Professional Services functions.

Insert new text:

The Chief Information Officer, under the direction of the Principal, shall be responsible for the development and implementation of information strategy for the University and the strategic management of relevant Professional Services functions.

10. The complete Ordinances can be viewed at https://www.strath.ac.uk/media/ps/strategyandpolicy/University_Ordinances_2019-20.pdf

Recommendation

11. Court is invited to **approve** the amendments to the University's Regulations and Ordinances, as detailed above, in respect of
 - removal of the upper limit on co-opted members of EIC; and
 - changes to the list of the University's Senior Officers, to remove the position of CPO and add the position of CIO.

Paper G

COVER SHEET FOR PAPERS TO BE CONSIDERED BY COURT

Court Committee Appointments	
Date of meeting:	6 October 2020
Purpose of paper:	<p>To inform Court of appointments, effected by Convener's Action, of staff members of Court to Court Business Group (CBG) and Court Membership Group (CMG) and to seek homologation of these.</p> <p>As communicated to Court at its meeting on 17 June 2020, vacancies for staff members of Court on CBG and CMG were to be left open until the full set of staff members of Court was established and therefore these appointments were made outside of the meeting cycle.</p> <p>By correspondence, CMG recommended the appointment of Heather Stenhouse (elected Professional Services member of Court) to CBG and Linda Brownlow (Senate-appointed member of Court) to CMG. These appointments were approved on behalf of Court by Convener's Action on 9 September 2020.</p>
Intended outcome:	For homologation of the approval of the above appointments by Convener's Action.
Paper submitted by:	Dr Veena O'Halloran, University Secretary & Compliance Officer
Financial implications:	N/A
Prior committee approvals:	Court Membership Group recommended the appointments for Court approval, by correspondence, in early September 2020.
Reserved business:	No
Key contact(s):	Daniel Wedgwood daniel.wedgwood@strath.ac.uk
Date of production:	29 September 2020

Growing relationship with NHS Lanarkshire and current arrangements

1. Collaboration with NHS Lanarkshire has grown strongly since a Strategic Partnership Agreement was signed in September 2019, partly accelerated as a result of the Covid pandemic and the successful and impactful projects we have led.
2. The collaboration is managed by a Strategic Partnership Board, which has met twice already and which includes senior leadership from both institutions as well as clinical, management and academic leads for the collaborative projects. Also, a Framework Agreement has been drafted by RKES and approved by the NHS Central Legal Office, which will provide a standardised format on which to establish new activities between Strathclyde and NHS Lanarkshire; it is expected that the Framework Agreement will be signed within the next 2-3 weeks. The interim CEO of NHS Lanarkshire has recently written to the Principal, on behalf of its Board, to request that University Status be agreed with the University (see Annex 1 and the paper presented to the Board in Annex 2). University Status is a formal recognition by both parties of the strength and significance of the relationship between them. NHSL currently has University Status with both GCU and UWS, based primarily around teaching and research relationships and on partnering in e.g. nursing and midwifery between departments of the university and clinical departments of the Health Board. University Status with Strathclyde may encompass similar service/vocational collaborations (e.g. in pharmacy, and speech and language therapy), but goes further in forming a deeper strategic research relationship related to key research capabilities of the university. While in principle some of these activities could be carried out under the auspices of the Strategic Partnership, the agreement of University Status is a mutual recognition between both parties of the breadth and depth of collaboration, and is an important signal to external parties (Scottish Government and NHS, Research Councils, Medical Charities etc.) of that mutual commitment.
3. University status also opens up wider opportunities for the university in terms of the scale of the joint activities and the engagement of NHS staff in university activities such as teaching and joint appointments. Also, a jointly operated unit or department annex is less likely to evolve from a SPA. Activities started up under the current agreement are listed in Annex 3.

Potential Advantages of University Status

4. Both parties recognise mutual advantages of which the following are examples which have been agreed at the Strategic Partnership Board.

To the Health Board:

- Indication of ambition to do leading research and apply new developments in health and care
- Increased reputation with peers and communities as a centre of excellence
- Better trained workforce
- Opportunities for staff to develop clinical academic careers
- Increased attraction when recruiting and retaining staff of all professions and roles.
- Direct and strategic influence of academics through collaborative ventures

To the university:

- Funding of joint posts
- Funding of NHS staff to do PhD studies (version of the University's Doctorate@Work scheme similar to the GSK doctoral centre)
- Placements and internships for Strathclyde MSc and undergraduate students

- Access to clinical/health care environments for the University's PhD students
 - Possibility of hospital based footprint for some of the University's Departments/Institutes (SIPBS is specifically mentioned)
 - Access to funding routes for collaborative projects and better chances of success e.g. with MRC and CSO
 - Attract clinical academics to Strathclyde as part of the University's plans to add clinically experienced staff through the Health and Care Futures initiative.
 - Increased reputation with NHS, Scottish Government, and internationally in the domains of Health and Care etc.
 - Attraction of Strathclyde to international students wishing to study courses featuring clinical/health care subjects and experience
 - Contributions to teaching courses by NHS staff
5. We envisage that University Status will add value to the Health Tech Cluster, by providing opportunities to involve industrial partners with NHSL, and improve our research environment (including REF) with benefits for relevant UoAs.

Process for award of University Status

6. The process was initiated by Calum Campbell, former CEO of NHS Lanarkshire (now CEO of NHS Lothian), who proposed this to the Board of NHSL. This was communicated to the Principal by Interim CEO Heather Knox (see Annex 1). The NHS Lanarkshire – Strathclyde Strategic Partnership Board has met and supports University Status with Strathclyde. It is intended that the Strategic Partnership Board manages the relationship using the Strategic Partnership Agreement and the Framework Agreement as tools to ensure effective governance by enabling us to fast-track any specific collaborative contract agreements required for each joint activity that is agreed. The list of recent activities is given in Annex 4.
7. The Executive Team endorsed the granting of University Status on this basis at its meeting on 6 August 2020 and Senate recommended this to Court at its meeting on 2 September 2020. Court's approval is now sought by Convener's Action in order to allow for a timely response to the NHS Lanarkshire Board.

Post approval

8. The NHS Lanarkshire Board will be informed of University agreement and asked to approve the management process for collaboration under University Status.
9. All activities falling under University Status will be managed by the Strategic Partnership Board, which is empowered, on behalf of NHSL and the University, to agree the assessment criteria to be used to assess proposed activities for University Status, to approve proposals for University Status, and to monitor progress of these activities. Review and renewal of University Status will take place at the same time as that of the SPA, or when either of the two institutions Governing Bodies decides to withdraw from the agreement.
10. Contractual arrangements required for such activities will fall under the Framework Agreement agreed between NHS Lanarkshire and the University.

11. A University Status Subgroup of the Strategic Partnership Board, consisting of senior representatives of each organisation will prepare proposals for University Status and ensure that such proposals have the backing of each organisation (following its own institutional process – at Strathclyde this would be an ET decision). The initial Strathclyde members of this University Status Subgroup will be Prof Roma Maguire, Prof David Littlejohn and Prof Tim Bedford.
12. The University logo and name will be added to signage of the NHS Lanarkshire University Hospitals and other estate as appropriate, and communications teams from both sides will agree a comms plan to highlight the new relationship.

5. Intended criteria used by NHS Lanarkshire and Strathclyde to decide if a proposed activity falls under University Status

13. The following criteria have been discussed with Interim CEO Heather Knox and Director of Public Health Gabe Docherty.
14. The Strategic Partnership Board is responsible for managing the use of University Status within the broader partnership. The criteria to be used will be developed and updated from time to time. However, it is envisaged that University Status may be applied to service related activities associated with Departments, Hospitals, Care Delivery units within NHSL (or constituent Health and Social Care Partnerships), or Strategic Innovation Partnerships in cross-cutting or underpinning technologies, where a strong and long lasting partnership is created/exists between groups of colleagues at Strathclyde and NHSL. This would be demonstrated by criteria such as the following, which will be refined in discussions with NHSL to establish a joint assessment and approvals process for both types of activity:

Core

- Leadership responsibility: Each entity or activity gaining University Status must be led by or responsible to an appropriately senior member of staff on each side.
- Service:
 - Appropriate NHSL staff should have honorary university academic status.
 - Development of new health and social care models of care and evolving professional roles within the existing NHS and/or Social Care workforce.
 - Evidence of committed and evidenced specialist, cutting-edge, evidence-based care resulting in patients receiving the best clinical outcomes.
- Education:
 - Demonstrate involvement in the undergraduate and post graduate education development/delivery.
 - Provide high quality placements for learners evidenced through feedback/ quantitative and qualitative data.
- Research and Innovation:
 - Staff within the service act as Principal Investigators as/when appropriate in the conduct of NHS Ethics-approved healthcare or other research studies.
 - Demonstrate operational commitment within the service to provide support for the delivery of research studies.
 - Demonstrate collaboration with University colleagues, or have a commitment to do so, in developing, winning funding for, and conducting high-quality, NHS Ethics-approved translational research studies that focus on joint NHS and University priorities.

Additional (Desirable):

- Service:
 - University academic staff (employed and/or visiting) working in NHSL providing clinical/non-clinical input to improving care.
 - Appropriate NHSL staff involved in influencing university practice (ie Programme Boards, curriculum development groups, University Quality assurance panels).
- Education:
 - Provide postgraduate student placements and actively seek to host PhD students.
 - Work collaboratively in the development and delivery of under- and post-graduate programmes of education.
- Research and Innovation:
 - Staff within the service have a track record of success in attracting research grant funding in competitive funding-calls.
 - Evidence of pre-existing collaboration with the University in conducting NHS Ethics-approved or other research studies.
 - Collaboration with the University in research studies that have published results in peer-reviewed journals or that have been translated into clinical practice or that have influenced health policy or guidance.

15. Note that NHSL will not allow a hospital/community health department to have University Status from more than one University.

Use of the University's name under University Status

16. NHS Lanarkshire hospitals are now branded e.g. University Hospital Monklands/Wishaw/Hairmyres.
17. When University Health Board status has been established, it is anticipated that with the University's agreement, Strathclyde logo would be placed prominently on main hospital signage (along with those of other partners), to celebrate and promote the partnership. Appropriate staff in Communications at Strathclyde and NHS Lanarkshire would work together to publicise the University Status relationship.
18. Thereafter, as relevant NHSL department(s) is/are able to fulfil the agreed criteria for what an annex of a University Department would look like, we would then additionally rebadge and jointly promote all such relevant departments and projects.
19. For example, if Speech & Language Therapy was successful in becoming a University Status department, then all clinical correspondence – clinic letters etc. would thereafter be sent on a new letterhead template which would have the Strathclyde logo as well as the NHS logo. Similarly, the corresponding University department would be allowed to display the NHSL logo on letterheads.
20. Another example might be that NHSL hopes the University will want to establish a footprint for a NHSL/University of Strathclyde Social Innovation Programme for Health & Wellbeing on the site of the existing Monklands hospital and/or be involved in developing a multi professional teaching and learning centre as part of the Monklands Replacement Project.
21. In all of the activities that are agreed under University Status criteria, in primary as well as secondary care, appropriate joint partnership branding would be applied.

Financial commitments and risk

22. There are no direct financial commitments arising from the recommendations of this paper. Specific projects taking place will be costed individually and agreed within the overall Framework Agreement between Strathclyde and NHSL.
23. A high level risk assessment has been carried out on the issue of University Status, and this can be found in Annex 5. The risks are considered manageable, and are in keeping with university risk appetite.

Convener's Action

24. On 4 September 2020, the Convener of Court approved, by email, the granting of University Status to NHS Lanarkshire, in line with the request received from the NHS Lanarkshire Board and subject to the arrangements for managing University Status described above.

Recommendation

25. Court is invited to **homologate** the Convener's Action as described above.

**NHS Lanarkshire University Status
Annexes 1-5
[RESERVED ITEM]**

University of Strathclyde ELIR Follow-up Report, July 2020

1. Context

- 1.1. The University of Strathclyde formally engaged with the QAA Enhancement-led Institutional Review 4 method through institutional visits during January and March 2019. The overarching judgement from the ELIR team noted that the University has effective arrangements for managing academic standards and the student learning experience. This judgement confirms the team's confidence that these arrangements are likely to continue to be effective in the future. Alongside this positive judgement, the University received the formal Outcome and Technical Reports from the ELIR team, which commended areas of positive practice and made recommendations on areas for development.
- 1.2. This external reflection on the effectiveness of our strategic approach to quality enhancement and assurance of the student experience provides helpful and welcome recognition of the strength of our systematic framework for the enhancement of education. It has informed reflection and action through the University's Senate, Executive Team and the wider leadership for Education at institutional, Faculty and School/Department/Service level. Senate has led the oversight and reporting of the outcomes of the ELIR process, with detailed monitoring undertaken through the University's Education Strategy Committee, convened by the Vice Principal, and its reporting committees (*Quality Assurance Committee, Learning Enhancement Committee, Strathclyde Online Learning Committee and the Student Experience Committee*). These groups, supported by and working in partnership with the faculties and student facing professional services, are responsible for building on the ELIR outcomes and driving education strategy to enhance the Strathclyde student experience.
- 1.3. A refreshed [University Strategic Plan¹](#), covering the period 2020-2025, was launched in February 2020. This Strategic Plan outlines our aims for the next five years and how we will use our distinctive position as a leading international technological university to be innovative in delivering our ambitions – questioning, challenging and developing our approaches, operations and processes to ensure that we are effective in all that we do. Coupled with our relentless commitment to continue pursuing a globally socially progressive vision, these two overarching characteristics define the authentic passion we have for making definite, high value contributions; truly 'useful learning' in the 21st century.
- 1.4. At the time of preparing this report, the University has been responding to the impacts of the global Coronavirus pandemic. This has had immediate implications for the implementation of some aspects of the formal outcomes, noted in paragraphs [3.3.3, 3.4.5, 4.5.6, 5.3] and will have implications into the future, as yet to be determined. It is noted here for additional context as to how actions have been addressed and progressed within each outcome.

2. Embedding the outcome: follow-up preparation

- 2.1. The University's Education Strategy Committee, reporting to Senate, oversees the implementation of the University's education strategy. Our strategic activity is delivered through a combination of frameworks, working groups and targeted institutional projects, all of which are driven and managed through our education committees. Our ELIR 4 follow-up action plan is embedded within this and regularly monitored and scrutinised through Education Strategy Committee. Key messages from the ELIR Outcome and Technical Reports are embedded within our frameworks, working groups and institutional priority projects.
- 2.2. Supplementing this approach, the main Education Committees, working groups and sub-committees continue to provide annual reflective reports, in addition to reporting formal updates to Senate and

¹ https://www.strath.ac.uk/media/1newwebsite/documents/Strategic_Plan_2025.pdf

quarterly business reports to Court. The annual reports include reflection upon highlights, successes and areas for further discussion and/or focus in the forthcoming session and facilitate broader engagement in the business of the committees, at Senate and Court. This engagement extends across the institution through consideration of the content of the annual reports at Faculty Academic Committees and supporting enhancement fora, facilitating deeper connections between University priorities and faculty-level business. A final meeting of Education Strategy Committee is scheduled in the early summer to provide an opportunity for reflecting across all committees and sub/working groups on progress and headline priorities for the coming academic session.

2.3. The University's student representation structure has facilitated student engagement in both high-level reflection on priorities, processes for ongoing monitoring and direct engagement in specific projects and activities arising from the Outcome Report. This has been achieved through: University of Strathclyde Student Association (StrathUnion) active participation by sabbatical officers in formal committees of the University; representation on working groups; and continued engagement of student interns on enhancement projects monitored through the committees, including standing items on StrathUnion-led enhancement projects. In 2019-20, Senate welcomed the increase in student membership, with 10% of Senate's membership now formed of representatives from the student body. Supplementing this are regular meetings between the StrathUnion executive, senior management of the Student Experience and Education Enhancement Directorates and Deputy Associate Principals; regular meetings between StrathUnion and the Principal and Vice Principal; and at a disciplinary level, regular Student-Staff Liaison Committees (SSLCs). The Student Experience Committee, chaired by the President of StrathUnion and attended by sabbatical officers from the student executive, in addition to student faculty representatives has played an active role in contributing to and informing the direction of follow on actions from ELIR 4.

2.4. The first draft of the *Follow-up Report* was prepared by colleagues in Education Enhancement for consultation with the University Vice Principal, DAPs, staff and student membership of the University's Education Strategy Committee. Formal consideration of this report was sought through submission to the University Senate (3 June 2020), prior to endorsement by University Court (17 June 2020).

3. *Actions and reflections on Recommendations*

3.1. The Outcome Report indicated the following recommendations which have been incorporated into the University's education priorities for 2019-20:

3.2. ***Training for postgraduate research students who support teaching***

3.2.1 *Ensure that all postgraduate research students receive formal training before commencing teaching or assessing others. These arrangements, along with the facility to monitor attendance at training, should be introduced by the start of next academic session.*

3.2.2 The University responded swiftly to address this recommendation and established two short-life working groups to review policy and processes for PGR students who support teaching under two workstreams (i) Policies and Systems and (ii) Training and Development. This was informed by the outputs of a survey conducted by StrathUnion of PGR students to gather information around the teaching activities they undertake.

3.2.3 The Policies and Systems working group was set up to revisit PGR teaching policies and propose any required changes to ensure they are fit for purpose as well as ensure that the policy is followed by all Departments and Schools. It considered departmental/school systems for the recognition of PGR teaching activities, including what acknowledgement there is of contact time vs. marking time. The working group confirmed to ESC in October 2019 that revised systems were in place for the start of AY 19/20.

- 3.2.4 This prompt solution was welcomed by PGR students and commended by the President of StrathUnion when reported at a subsequent Education Strategy Committee meeting. StrathUnion planned to conduct another survey of PGR students towards the end of AY 2019-20 to assess the impact of the revised policy guidelines developed by the working group and this was due to be carried out in April / May 2020.
- 3.2.5 The training and development working group was comprised of senior Faculty representatives (Vice Deans Academic), members of the University's Researcher Development team and Organisational and Staff Development Unit, the Chair of the student-led Doctoral Researchers Group and the Vice President Education from StrathUnion. The Group reviewed existing training provision across Departments, Schools and institutional level support teams, alongside the mechanism in place to ensure that PGR students were adequately prepared to undertake support for teaching responsibilities. Revised policy and guidance has been prepared, aligned with external expectations from the UK Quality Code for Higher Education and the QAA Scotland *Statement of Expectations for the Support of Postgraduates who Teach*. to address responsibilities, training and monitoring.
- 3.2.6 In 2019-20, the University appointed a new Associate Principal for Entrepreneurship and Education, incorporating strategic leadership for the enhancement of the PGR student experience. The Associate Principal is also the Director of the Strathclyde Doctoral School, leading on PGR enhancement activities, reporting in to the Education Strategy Committee. This embedding of strategic institutional leadership for our PGR population, provides a further mechanism for ensuring that our strengthened policy, procedure and training opportunities deliver the anticipated enhancements to the PGR student experience. At the time of writing, a new online course to support the training and development of PGR students who support teaching is in preparation for the start of the new academic session, and will be launched in Summer 2020.

3.3. ***Student Engagement with external examiners***

- 3.3.1 *Share information with students about the work of external examiners including their role and the recommendations and commendations they make relating to programmes.*
- 3.3.2 The University took the opportunity ahead of AY 2019-20 to update its *Procedure and Guidelines for External Examiners of Taught Programmes*. These have been updated to reflect (i) changes to internal finance systems (for the processing of annual fees and expenses), (ii) the introduction of legislation around data protection, (iii) sectoral changes to the UK Quality Code for HE and the creation of Advance HE and (iv) revisions to related University policies and procedures. The revisions included: outlining the roles and responsibilities of all groups involved in the management of the External Examining processes; updating references to the revised suite of Assessment and Feedback Policies and Procedures applicable from AY 2019-20; updating the submission and departmental response dates for annual reporting; highlighting the QAA's Concerns Scheme; guidance for notice periods for resignation; and an updated GDPR statement. These were approved for implementation within 2019/20.
- 3.3.3 The *Procedure and Guidelines for External Examiners of Taught Programmes* states that, "Examiners' reports will be made available in full to students as appropriate, with the sole exception of any confidential report made directly and separately to the Principal, reflecting the general principles of engaging students in quality management processes. This will be facilitated via existing Student-Staff Liaison Committee (SSLC) mechanisms". In order to monitor compliance, the Faculty Annual Report template has been updated to include a new section under Quality Assurance Arrangements requiring Faculties to confirm receipt of all expected external examiner

reports for the corresponding academic year; confirmation of how external examiner reports are made available to students; and ensuring full responses for matters raised by external examiners are recorded. Faculties have confirmed that summaries of external examiner reports are provided to students through SSLCs, and Faculty Academic Committees which provide an opportunity for students to discuss the comments and the process with staff. With regards to wider engagement of students with this process, and in light of the current Covid-19 pandemic, Faculties are running Boards of Examiners online, and making arrangements for External Examiners to meet with students via web conference.

- 3.3.4 A new appointment was made in 2019-20 to the Quality Enhancement and Assurance Team within the Directorate of Education Enhancement. This role incorporates responsibilities to oversee and co-ordinate our external examining activity, providing further opportunity to maximise the effectiveness and impact of this activity.

3.4. Review of professional services

- 3.4.1 *Pursue the University's intention to implement a process for reviewing the professional services which contribute to the student experience. The University is strongly encouraged to make demonstrable progress within the next academic year.*
- 3.4.2 At the time of the review, the intention to implement a process for reviewing the professional services which contribute to the student experience was on the horizon as part of our Internal Review strategy and a draft of our intended approach was shared with the ELIR Panel. In order to take this forward the University undertook analysis of approaches in the sector and found that review of student-facing services is undertaken in two ways; service-led review and thematic review. Options were consulted on with our stakeholder groups and it was confirmed at Education Strategy Committee (ESC) in September 2019 that the thematic review approach would be of most value to us, as it would allow us to identify service connectivity, potential gaps and opportunities for enhancement. ESC oversees the Thematic Review process and approves the selection of themes. Quality Assurance Committee (QAC) receives reports and considers outcomes in the context of its responsibilities for the oversight of Institution Led Review processes of learning and teaching, reporting findings to ESC. The Policy & Procedure were endorsed by QAC, Student Experience Committee and ESC in December 2019 with final approval granted by Senate in January 2020.
- 3.4.3 Thematic Review at Strathclyde has been designed to be a quality enhancement and assurance process that is holistic and forward-looking. Approaches within the institution are reviewed, and best practice and emerging initiatives across the sector inform discussions. The purpose is to evaluate the provision for students around themes in order to ensure the University is providing high-quality support. It is also intended as a means of engaging with colleagues, identifying connectivity across the institution and potential opportunities for further enhancement and alignment of provision.
- 3.4.4 QAC agreed that the Thematic Review process would be piloted in AY2019-20. Workshops with Heads of Service helped inform the selection of potential topics for Thematic Review and student representatives were consulted through Student Experience Committee. The theme of 'Student Mental Health' was nominated for the pilot and approved by Education Strategy Committee. Institutional engagement with the Thematic Review process has been run by Education Enhancement and Disability and Wellbeing Services. Consultation workshops with stakeholder groups to gather evidence for the Reflective Analysis were undertaken in February 2020. The information gathered has contributed to the drafting of a Reflective Analysis, which, in addition to supplementary evidence, will form a narrative for the review panel to gain insight into our current provision on Student Mental Health.

- 3.4.5 Prior to the Covid-19 pandemic, the University was planning for submission of the Reflective Analysis to be completed on 31 March 2020 and the Thematic Review panel meetings to be undertaken on 26-27 May 2020. In response to Covid-19, the University has prioritised the transition of essential services (including counselling services) to online and distance formats. This has had a fundamental impact on staff availability to engage with Thematic Review preparations. The staff and externals that would be members of the review panel are also heavily engaged in their own University's or Department's Covid-19 mitigation and would be unlikely to be able to dedicate the necessary time to preparing for the review. The students who would have contributed at the review event (a panel member and those to be involved in meetings) are in the process of navigating alternative assessments and adjusting to the social distancing measures that have been put in place by the Government.
- 3.4.6 Unfortunately, these factors have impacted the original Thematic Review pilot timeline. Reflecting on this situation and recognising this is a pilot year, it was concluded that it would not be possible to have the same quality of engagement and dialogue, were the University to proceed with the review within the original timescales. It would also make the sourcing and involvement of students in the review meetings problematic and that would render the pilot an inaccurate reflection of what Thematic Review is intended to be. Collectively these factors meant that, with regret and following consultation, the University postponed the pilot. It was agreed that the work already undertaken to consult on and draft the Reflective Analysis will still be of value, and the final submission to the review panel will consist of this evidence, plus an addendum outlining developments since the postponement to provide context for the reviewers. This decision was formally approved by QAC on 22 April 2020, and reported to Education Strategy Committee in May 2020. A revised review date for 2020/21, remains under consideration, and will be reported to the QAA.

3.5. ***Institutional oversight of collaborative provision***

- 3.5.1 *Reflect on the information about collaborative programmes and student numbers made available to the Collaborative Provision Agreements Sub-group in order to support its institution-level oversight of collaborative activity.*
- The University recognised the opportunity for further connectivity between the Collaborative Provision Agreements (CPA) Sub-group and the data sources on collaborative programmes and student numbers. The CPA Sub-group considered a number of interventions to address this recommendation including the implementation of a mechanisms for the Sub-group to review: current student numbers on active collaborations against predicted numbers, with narrative from the Faculties; agreements with no current student cohort, with Faculty evidence on currency of curriculum matching (i.e. review date and mapping); and the addition of an annual meeting of the CPA Sub-group to the existing committee schedule of business to monitor student numbers and performance, informed by: numbers and narrative from Faculties; summary statement from Quality Assurance Committee, confirming detailed agreements reviewed in the QA review of collaborative programmes. These will be implemented in the 2020/21 committee cycle.
- 3.5.2 QAC is revising the review template to focus purely on the quality assurance aspects of the agreement including the student experience. QAC will submit a summary report on the outcome of this review to CPA Sub-Group noting any matters which require consideration in respect of partnership renewals and terms of the agreement. Faculties will be responsible for implementing any recommendations which arise in respect of the learning, teaching, assessment and student experience (with appropriate support from PS, if wider issues emerge, relating to the student experience across a number of programmes).

- 3.5.3 The measures above are being implemented to support the provision of student numbers and greater detail on the quality of the experience to the CPA Sub-Group. The CPA Sub-Group continues to report into Senate Business Committee and performs an effective role in ensuring that the appropriate approvals are in place for all collaborative arrangements. Furthermore, in 2019-20 the CPA Sub-Group undertook oversight for the implementation of institution-level Study Abroad agreements, providing the opportunity for further reflection, harmonisation and consistency of the student experience across the University, with partner institutions. All CPA Sub-Group activity is scrutinised through the Senate Business Committee with final approvals made through Senate.

4. Commendations: embedding areas of positive practice

- 4.1. The Outcome Report identified seven commendations, which we continue to build upon and use to inform ongoing enhancement priorities and projects.

4.2. Institutional approach to articulating and implementing vision

- 4.2.1 *The University has a clearly articulated vision which is implemented in a coordinated manner enabling it to enhance the curriculum and the wider student experience.*
- 4.2.2 The University reviewed its institutional strategy and launched the refreshed Strategic Plan for 2020-2025 in 2019-20 [1.3]. The new Strategic Plan builds on our collective achievements over recent years in realising our vision of Strathclyde as a leading international technological university. The key themes underpin strategic planning processes at all levels: institutional; faculty/department/school/service; and individual. This cohesion in core message permeates all our activities (operational and strategic) and has facilitated the focusing of efforts and resource on key institutional priorities. Staff engagement with and commitment to our vision and strategy is further reinforced through our University values and the Strathclyde Medal Awards in recognition of staff who consistently demonstrate the University's values in their work and relationships.

4.3. Benefit to learning and teaching of institutional links with industry

- 4.3.1 *The University has well-established links with industry which impact positively on curriculum development, pedagogy and the student learning experience. Related to this, the implementation of the Graduate Apprenticeship and Degree Apprenticeship schemes has informed the enhancement of the University's other provision.*
- 4.3.2 Since launching our first Graduate Apprenticeship in 2017, we have broadened our portfolio of programmes to offer both undergraduate and masters qualifications across various disciplines. We now offer five Graduate Apprenticeship and two Degree Apprenticeship programmes, with further programmes planned for commencement in 2020-21.
- 4.3.3 Our campus-based undergraduate programmes are benefiting from the learning and experience drawn from our Graduate Apprenticeship programmes, with online content and activities now being adapted for delivery in campus-based provision. The ongoing partnerships with industry through our GA and DA activities are leading to extended engagement across campus-based activity including further opportunities for projects and employer engagement in campus provision.
- 4.3.4 In 2019-20, the University extended its engagement with alternative modes of provision through the delivery of short upskilling courses, underpinned by the SFC Upskilling Funds. These courses provide an additional mechanism through which the University is engaging with industry, business and the public sector to provide effective learning opportunities to a diverse student population.
- 4.3.5 Our Strathclyde Online Learning (SOL) Committee, which reports into Education Strategy Committee, continues to ensure the quality of provision, highlight effective practice and opportunities for development. SOL, and the reporting Graduate and Degree Apprenticeships Steering Group, provides opportunities for identification of further opportunities to expand industrial engagement, national partnerships and potential international partnerships, complementing our existing collaborative education portfolio.

4.4. Working in partnership with students

- 4.4.1 *The University's approach to student partnership has continued to evolve since the previous ELIR. Student partnership is evident in a range of ways including in the work of the student-led Student Experience Committee, engagement with substantial campus infrastructure projects and in the opportunities provided by the University's use of student interns.*
- 4.4.2 We are proud that student partnership plays a vital role in all of our major projects and all activities focused on enhancing the student experience across our diverse student population. The University ethos is underpinned by the belief that students are partners in improving the learning experience, engaging in decision-making and in enacting change. This partnership is manifested through both formal and informal means to ensure that the student voice informs all our developments and education structures: within academic governance; throughout quality assurance processes; and embedded within our enhancement projects, with a commitment to the incorporation of student interns as equal contributors.
- 4.4.3 The Student Experience Committee continues to provide an effective mechanism for engaging on key matters of importance to students, across the student body. This has facilitated the approval of key decisions at institutional level, such as the removal of graduation fees, as well as championing enhancement projects such as the *Student Transitions: Leadership and Retention* project, to provide support, development, training, and opportunities for under-represented groups, societies and liberation groups. The Committee has also played an influencing role in the development of University policy including enhanced mechanisms to protect Wednesday afternoons for extra-curricular, sporting and wellbeing activities, and the provision of emergency short-term accommodation for vulnerable students.
- 4.4.4 The SEC has provided an effective mechanism to progress the first student-led digital transformation project, funded through the University's Digital Campus Sub Committee. This project will provide a unified system for the management of student class reps across the University and Strath Union, using Myplace, the Strathclyde App, and the Corporate Integration Hub (StrathReps project). It will extend and enhance existing University systems and processes, harnessing the capabilities of University services for the sharing of information between systems, to achieve consistency in the management of StrathReps for both the University and Strath Union.
- 4.4.5 Alongside this, members of Strathclyde Students' Union Executive Team are full members of education related University committees, such as Education Strategy Committee, Learning Enhancement Committee, Quality Assurance Committee and the Strathclyde Online Learning Committee. They have full member status in both University Senate and University Court, attending associated strategic planning events. Additionally, the Strathclyde Students' Union President and Vice President Education have direct access to the Principal and Vice-Principal with whom they meet regularly throughout the year.
- 4.4.6 Our approach to working in partnership with students was approved and endorsed by the StrathUnion executive through our Student Partnership Agreement, underpinning our commitment and belief that students and staff have equally vital roles and responsibilities in educational enhancement and ensuring an outstanding learning experience for all.

4.5. Availability and use of data to inform decision-making

- 4.5.1 *The University makes extensive suites of data available to academic and professional services staff which are widely and actively used to inform evaluation and decision-making.*
- 4.5.2 Our approach to decision making is informed by reflection, self-evaluation, action and monitoring, which is enabled by consistent use of data across the different levels of the organisation. In recent years, the University of Strathclyde has invested in various data driven, evidence based and technology-based projects, which are mapped to our Strategic objective to provide an outstanding student experience.
- 4.5.3 The Surveys and Metrics Working Group continues to play a key role in examining and reflecting on key surveys, internal and external, to identify areas for cross-institution action and reflection, for

onward reporting to Education Strategy Committee. The Group is informed by sector analysis, external metrics and key trends which help contextualise the University's approach and focus on the effectiveness of our support for the student experience.

- 4.5.4 Exploration of the effective use of student survey data has increased awareness of student feedback themes and contributed to the phased implementation of our institutional system for module evaluations in AY2019-20. The SMWG receives reports on the progress of the University's Student Module Evaluation project, informing the decisions on consultation, implementation and emerging policy.
- 4.5.5 The University is continuing the development of the Learner Experience Framework, a measure of tracking Strathclyde's distinctive learner journey leading to positive graduate destinations, which is providing valuable insights to course design. This will help inform the development of a renewed institutional strategy for employability, which was initiated in 2019-20.
- 4.5.6 In parallel to these developments, learning analytics continues to be piloted across all four faculties, capturing evidence of impact on learning, teaching and student success. While recruitment challenges placed a pause on the progress of an institutional project to consolidate the early pilot work within institutional systems, this resumed towards the latter part of 2019-20. The Covid-19 pandemic will have implications for how this work is progressed, with a focus on making effective use of data to support our mitigations and actions to prepare for the forthcoming academic session.

4.6. Approach to digital education

- 4.6.1 *The collaborative approach adopted by the Strathclyde Online Learning Committee towards the development and delivery of online courses, has transformed the way in which expertise and resources are shared across the University. As a result, the University's use of digital technologies and online resources has acted as a catalyst for enhancement across its portfolio of provision.*
- 4.6.2 Our Strathclyde Online Learning portfolio has continued to expand throughout 2019-20. The SOL Committee introduced enhanced processes for quality assurance of online course and class development, including light-touch peer review, to maximise the effectiveness of online pedagogies and quality of student learning experience. The University invested in the development of three new studio spaces to support the expansion of digital media production. An effective model of cross-institution skills, resources and knowledge sharing has been implemented to ensure we make most effective use of our resources in this area.
- 4.6.3 Additional projects to support the continued expansion in the use of technologies for learning and teaching have been resourced by the University's Digital Campus Sub Committee. These include: an online proctoring pilot to support online assessment; and a parallel installation of our institutional VLE to support industry-facing and corporate education. The University's Electronic Management of Assessment project successfully concluded in 2019-20, harmonising the marks return process through the institutional VLE to the corporate student records system. This project now provides the baseline for the continuing enhancement of online assessment processes through the consistent and systematic presentation of assessment data.
- 4.6.4 Throughout 2019-20, all Faculties were involved in the development and delivery of a 20-credit cross-institutional online learning elective module which launched in January 2020, providing a unique opportunity for multidisciplinary, collaborative learning and teaching available to all undergraduate students across all four faculties. Content is focused on specific UN Sustainable Development Goals and further similarly-focused modules will be developed in the future.

4.7. Alignment of staff development with institutional strategy

- 4.7.1 *The University's staff development opportunities are aligned to the institution's strategic ambitions and to supporting staff in delivering institutional strategy, particularly in the areas of digital education.*
- 4.7.2 The University continues to maintain its strong alignment between institutional strategic ambitions for education and support provided for staff in delivering this strategy. The University's Learning

Enhancement Committee has oversight of academic staff development for the enhancement of learning and teaching and receives regular reports from the key professional services that provide this support and Faculty reports on local enhancement developments. Professional Services teams in the Directorate of Education Enhancement and the Organisational and Staff Development Unit within the Human Resources Directorate, collaborate to provide a range of support for digital education covering online & blended course development, 'demystification' sessions focused on School/Department upskilling and the STEP:TECH programme to bring together staff to share their own experiences, learn and be inspired about technology-enhanced teaching.

- 4.7.3 A focus within 2019-20 has been the rollout of staff support tailored to underpin the implementation of the University's new Assessment and Feedback Policy. This has incorporated: practical 'at a glance' guides and infographics; online marking and feedback guidance and videos; assessment design; coordinating assessment at programme level; preparing students for assessment; and using technology to support assessment. Aligned to this, the University has implemented a new IT solution for a University-wide marks return process, embedded within the University VLE, Myplace. The rollout of this system has been strengthened by online support, tailored department/school demonstrations and training sessions supporting the implementation.
- 4.7.4 Over 2019-20, a renewed Leadership in Learning and Teaching Network provides a further mechanism for supporting current, experienced, and emerging leaders within a learning and teaching context. The network is led by the Professor of Learning and Teaching, and convenor of two committees/working groups reporting in to Education Strategy Committee (Strathclyde Online Learning Committee/Careers and Employability Working Group), in partnership with OSDU. Over 40 staff have been engaging in this network, taking forward projects which are focused on progressing existing and emerging institutional priorities, for example around student transitions, employability, international student experience, and education for sustainable development.
- 4.7.5 Mechanisms have been introduced to recognise and reward Teaching Excellence at Faculty level from 2018 onwards and these have been endorsed by the Education Strategy Committee. Mechanisms for Faculty recognition include: awards recognised within the Accountability and Development Review process; certificates and funding towards educational activities. This is in addition to the well-established Strath Union Teaching Excellence Awards.

4.8. *International outlook and opportunities*

- 4.8.1 *Students are provided with an international element to their experience, drawn from a diverse range of opportunities including study or work abroad. In addition, there are positive examples of the University's links with international partners being used to inform the curriculum.*
- 4.8.2 Throughout 2019-20, the University has continued to strengthen its focus on the diverse range of international opportunities for incoming and outbound students, as well as creating opportunities for extending the international outlook of home-based students. Alongside our existing mechanisms for extending our collaborative provision partnerships, the University's Recruitment and International Office (RIO) has worked alongside Faculties to deliver a growing number of Study Abroad arrangements, providing the opportunity for a consistent University-wide approach to incoming students.
- 4.8.3 The range and diversity of international study and work opportunities are captured in the Faculty Annual Reports and also within an annual Student Exchange Activity Report prepared by RIO, all of which are shared with the Quality Assurance Committee to strengthen opportunities for cross-institution sharing of good practice for curriculum design and student experience. Faculties embed good practice through a range of mechanisms, tailored to the demographic and subject area of the Faculty.
- 4.8.4 Our tailored support includes a range of types and durations of international experiences to suit our diverse student population. This approach has provided parents, young carers, students from SIMD 0-40 and care experienced students the opportunity to have an international experience in a way that suits their commitments and their budget. Departments and Schools have extended the support mechanisms in place for all international students through effective use of Personal Development Advisors and PGT-specific student-staff liaison committee meetings. These activities

are reflected upon through Faculty Learning and Teaching Fora, which encourage the sharing of good practice and alignment with the University's Learner Experience Framework with the aim of ensuring that all students have an industrial and/or international experience during their degree.

5. *Final commentary and future plans*

- 5.1. The process of preparing for, engaging with and evaluating the outcomes of ELIR 4 continues to be an important driver in continuing to enhance our ongoing quality assurance and enhancement processes, the functions of our committees and the onward connections with schools, departments, faculties and professional services.
- 5.2. Reflecting on our engagement with sector best practice, the Technical Report highlighted our long-term engagement with the QAA national Enhancement Themes. This has continued in 2019-20 with widespread engagement in the current theme, *Evidence for Enhancement*, with our three strands of activity reaching their evaluation phase. At Strathclyde, our projects have culminated in defining an outstanding student experience through the Learner Experience Framework, exploring data potential and its impact on teaching and learning through Learning Analytics and using data effectively for enhancement of the student experience through our Programme Directors. We have seen great value in the sector-wide engagement on this theme, not only by leading a collaborative cluster on Learning Analytics, but through engaging with the QAA sector events and resources that have been shared by peers. The Enhancement Themes model offers colleagues across the sector opportunities to share knowledge, collaborate and provides momentum for progress on each theme. We look forward to engaging with the QAA international Enhancement Themes conference later this year, as well as the announcement of the next Enhancement Theme and the new opportunities it will bring.
- 5.3. Informed by our refreshed strategic plan, the Education Strategy Committee (ESC) will continue to lead institutional reflection and action on our strategic approach to ongoing enhancement of learning, teaching and the student experience. As detailed earlier within the report [2.2], the end of year annual reporting process for all committees and working groups to ESC, presents an important opportunity for reflection on progress made within 2019-20, as well as providing a forum for agreeing priorities areas of activity within the forthcoming academic session. In the current context of responding and adapting to the Covid-19 pandemic, this will include reflection on a new strategic project led by ESC and delivered through the Learning Enhancement Committee to explore how learning and teaching delivery and support has been adapted in light of the current exceptional circumstances. The early phase of this work to collate initial reflections and feedback has been completed, and the next phase, to capture and analyse data and information to inform future developments, strategy and practice is underway.
- 5.4. Within the 2020-21 academic year, the University looks forward to opening the new Learning and Teaching Building and the creation of opportunities that this will present to reinforce our focus on outstanding learning and teaching, integrated within the wider student experience.
- 5.5. The key messages highlighted within the ELIR Outcome and Technical Reports have provided a pivotal framework to our strategic priorities for education over 2019-20; aligning with our self-evaluation and coalescing with our high-level strategic plans for education. The review outcomes have proved a timely external reflection on our progress to date and serve as an important driver for action, as we seek to embed the revised approaches to enhancing our practice developed over the past year.

Annual review of key Court documentation 2020/21

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, a number of amendments are proposed, in each case for one or more of the following reasons:
 - to reflect the requirements of the Higher Education Governance (Scotland) Act 2016 (henceforth 'the Act'), which the University has implemented for the present academic year (the legal deadline for implementation being 30 December 2020);
 - to align with the University's Charter and Statutes, as revised earlier in 2020 in the context of Act implementation;
 - to reflect changes made within the last year to certain committees of Court; or
 - to improve the clarity of the text
4. Significant amendments are as follows (these are tracked in the attached drafts):

Standing Orders:

- Material relating to the position of Convener changed to reflect the statutory role of 'senior lay member', as detailed in the Act (paragraphs 1-7)
- Material added regarding the procedure for removal of a member of Court, reflecting requirements of the Act (paragraphs 29-33)

Court Handbook

- Updated material relating to the University's Strategic Plan (section 1.1)
- Updated composition of Court, reflecting changes made in implementing the Act (section 1.2 and Annex 3)
- Description of the Convener role changed to reflect the requirements of the Act and the revised University Statutes (section 1.3)
- Description of the role of Enterprise & Investment Committee (EIC) and chairing of EIC and SACSOH updated to reflect revised terms of reference (section 8)
- Re-ordering of text to clarify the description of Court Officers (Annex 4)

Statement of Primary Responsibilities (Annex 1 of Handbook)

- Insertion of Court's responsibility to ensure that procedures are in place to deal with complaints, reflecting existing practice and expectations of the Scottish Public Services Ombudsman.

Recommendation

5. Court is invited to **approve** the key documents presented with this paper, amended as shown within the draft documents and as 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 Senior Lay Member shall be appointed by virtue of an open advertising and recruitment process in accordance with the Higher Education Governance (Scotland) Act 2016 and shall be designated Convener of Court. The Convener of the Court is responsible for the leadership and effectiveness of the Court, for the efficient and effective conduct of its business and ensuring that there is an appropriate balance of authority between the Court and the Principal of the University.

2.3. 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.~~

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

6.5. 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. for re-appointment but shall not serve continuously for more than eight years in that office.~~

7.6. 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.

7. The person presiding over any meeting of the Court shall have a deliberative vote and also a casting vote.

Meetings of Court

8. 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.
9. 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

10. One-third of the membership of the Court shall constitute a quorum (Statute 2.6-8). 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.
11. The Convener may, ~~also adjourn with the consent of~~ any meeting at which a quorum is present, ~~adjourn the meeting with the consent of the meeting, (and shall if so desired by the meeting-), but~~ no business shall be transacted at any adjourned meeting other than the business left unfinished at the original meeting.

Procedure at Meetings of Court

12. 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.
13. 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 confidentiality or commercial sensitivity, he or she may ask that any attendees at the meeting recuse themselves for that particular item of business.
14. 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.
15. 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.
16. 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.
17. Any Motion or Amendment put to a meeting of Court shall be decided on a show of hands (of members only).
18. 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.
19. 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.

~~—The Convener shall have both a deliberative and a casting vote.~~

Annex 1

~~21.20.~~ All ordinary meetings of the Court shall terminate within three hours from the commencement of the meeting unless Standing Order 3~~52~~ is invoked. If the meeting has been in progress for more than three hours opposed business will not be taken except by a leave of a majority of not less than two-thirds of the members present.

Court Papers and Minutes

~~22.21.~~ The University Secretary and Compliance Officer shall be responsible for providing secretarial services for the Court.

~~23.22.~~ Papers relevant to a meeting of the Court shall be issued one week in advance of the meeting. Late papers will be issued at the discretion of the Convener.

~~24.23.~~ The Minutes of meetings of Court shall normally be circulated to members within two weeks of the meeting to which they refer.

~~25.24.~~ The agenda, minutes, and selected papers are published on the Court website as soon as practicable following a meeting of Court. The kinds of matter that may not be published, for reasons of confidentiality, include (but are not limited to) commercially sensitive items, items containing personal information and draft reports.

Committees of Court

~~26.25.~~ The Court may establish Committees of its members, and others as considered appropriate, to which it may delegate such powers or functions which it is itself competent to perform (Statute 2.2). The Court may also establish Joint Committees of Court and Senate to which the Court may appoint members of Court and the Senate may appoint members of Senate (Statute 2.2).

~~27.26.~~ In addition to those specified in Statutes, the Court, consistent with its obligations under the terms of the Financial Memorandum between the University and the Scottish Funding Council, has established an Audit & Risk Committee, a Remuneration Committee and a Nominations Committee (Court Membership Group).

~~28.27.~~ Such committees may report direct to the Court or through an intermediate body as the Court may determine.

~~29.28.~~ Any member of the Court who is not a member of a given Committee may submit to the Committee any matter within the Committee's terms of reference, and the member of Court referred to shall be entitled to appear before the Committee to explain or support the said matter, but ~~he/she~~ shall not be entitled to vote thereon.

Removal of Convener or Member of Court

~~30.29.~~ Under the terms of Ordinance 4.5 any member of the Court, other than an ex officio member or a member of academic staff to whom Ordinance 4.3 applies, may be removed from office ~~for good cause~~after investigation, on the grounds of serious personal misconduct, inability to exercise the functions of Convener of Court or of membership of the Court, abuse of the rights and privileges of membership of Court, bringing the University into disrepute, persistent absenteeism, medical incapacity or legal impediment. by the Court.

~~9. Ordinance 4.5 defines 'good cause' as meaning:~~

Annex 1

- ~~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.~~
- ~~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. If a member of Court or any other person believes that there is a *prima facie* case under the terms of Statute 2.11 for the removal from office of the Convener of Court or any other member of the Court, that person shall inform the University Secretary & Compliance Officer, who shall make a recommendation to the Convener of Court (or the Vice Convener if the Convener of Court is the subject) to investigate the case for removal from office. The Convener of Court (or the Vice Convener if the Convener of Court is the subject) shall appoint an appropriate investigator.~~
- ~~31. While an investigation of the case is ongoing, the individual concerned shall be suspended from Court membership, without prejudice, pending the outcome of the investigation and the Court's decision thereon, but shall have the right to respond to the allegations.~~
- ~~32. On conclusion of the investigation, a report shall be submitted to Court Membership Group (CMG) for consideration. CMG will make a recommendation to Court. Court may decide to remove the member if not less than 75% of those members of Court present and voting agree that it would be in the interests of the University for such member to be removed. A member so removed shall have the right to seek a review of the decision.~~
- ~~33. If CMG concludes that the grounds for dismissal cannot be substantiated or are insufficient and if Court accepts that conclusion, then the suspension of the member concerned shall be immediately rescinded.~~

Suspension, Amendment or Repeal of Standing Order

- ~~39-34.~~ 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.
- ~~40-35.~~ These Standing Orders may be amended or repealed by the Court at any meeting provided that any proposed amendment or repeal is stated in the papers of the meeting and is approved by not less than two-thirds of the members present and voting.

Approved by Court on ~~1 October 2019~~

HANDBOOK FOR MEMBERS OF THE UNIVERSITY COURT 2020/21

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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 2020-25](#) was approved by Court in [November 2019](#). It represents the core of the University's ambitions up to [2025](#) and demonstrates how these will be achieved. [It builds on Strathclyde's collective achievements over recent years in realising our vision of Strathclyde as a leading international technological university that makes a positive difference to the world.](#) The Plan is structured around a number of Strategic and Cross-cutting [Goals](#), 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 [February 2020](#)) 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 [25](#) 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 [one member elected by and from among the Professional Academic staff](#), one member elected by and from among the Professional Services staff, [two members of staff elected by the Senate, one member nominated by a trade union from among the academic professional staff and one member nominated by a trade union 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 [normally](#) a residential meeting in November, spread over two days, where all members have the opportunity to meet and discuss a range of matters in a more informal atmosphere.

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 through 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/whystrathclyde/universitygovernance/accesstoinformation/data-protection/privacynotices/>

.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](#).

3. CONVENER OF COURT

The Convener of Court occupies the position of senior lay member as defined in the Higher Education Governance (Scotland) Act 2016 and is appointed ~~from amongst the lay members of Court~~accordingly, 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~~eight 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 University Chairs and the Committee of the Chairs of Scottish Higher Education Institutions.

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.

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 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

Court is supported 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.
- **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~~ a lay member of Court.
- **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 a lay member of 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~~ a lay member of Court.

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:

- 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
- 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.
- 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.
- 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.
- 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.
- 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.
- 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.
- Leadership** – holders of public office should promote and support these principles by leadership and example.
- 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' items of business (e.g. sensitive staffing matters), which should be viewed and discussed only by members of Court;
- 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.

Approved by the University Court October 2020

UNIVERSITY OF STRATHCLYDE COURT STATEMENT OF PRIMARY RESPONSIBILITIES**General**

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

Court's Primary Responsibilities are detailed as follows:

Staff and Students

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

Financial responsibilities

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

Strategic responsibilities

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

Approved by the University Court October [2020](#).

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~~The University's Statutes do not allow the appointment of current staff or students as lay members.

CONVENER OF COURT

The Convener of Court occupies the position of senior lay member as defined in the Higher Education Governance (Scotland) Act 2016 and is appointed ~~under the terms of Statute 2, accordingly, initially~~ for a period of two years, and may be reappointed for a further three years, provided that no person shall hold office for more than fiveeight consecutive years.

Role and responsibilities:

- The leadership and effectiveness of the Court.
- To chair the governing body of the University and to ensure that such meetings proceed efficiently and effectively
- To conduct Court business efficiently and effectively, 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.
- To ensure that there is an appropriate balance of authority between the Court and the Principal 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.

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

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.

Senior Deputy Convener (and “Court intermediary”)

The purpose of the Senior Deputy Convener role is to enable 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. The Senior Deputy-Convener will also act 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 (and “Court intermediary”)

~~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. The Senior Deputy Convener will also act 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.~~

Approved by the University Court October 2020

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Annual Statement on Institution-led Review of Quality Academic Year 2019/20 for the Scottish Funding Council

Introduction

1. This report provides the University of Strathclyde's annual statement on institution-led review of academic quality assurance and enhancement activity for the academic year 2019/20.
2. 2019/20 has been an exceptional and extraordinary year, which has brought unprecedented challenges. The University has responded to these challenges in a way that supports the health and wellbeing of students on and off-campus, and to ensure their learning continues with as little disruption as possible while maintaining academic standards. Through its robust and agile governance structures, the University together with the Student Executive has developed and introduced policy, procedures and guidance that have enabled staff to quickly adapt to changing circumstances and to support student progression while maintaining quality. The University is well placed to continue to respond flexibly to the changing Scottish and UK government guidelines as these evolve.
3. This report outlines the University's response to Covid-19 and its impact on quality institution-led review. The report then goes on to outline the University's substantive quality assurance mechanisms that are in place to secure academic standards, highlighting any significant changes since 2018/19.

University response to Covid-19

Overview

4. The challenges presented by Covid-19, and in particular the resulting "lockdown", have fundamentally changed the nature of engagement with students. Learning and teaching delivery, assessment and feedback and student support have all been impacted, with associated implications for all our staff in academic departments and schools and across professional services. From the outset the University was able to adapt academic governance processes to suit the new distributed way of working, in a way that was responsive and effective, while ensuring oversight through Senate. Senate met virtually as scheduled on 25th March and 3rd June 2020.
5. In addition to evolving policy and guidance, as outlined in paragraphs 6-8, the University also initiated

proactive reflection on the lessons learned and opportunities that arose through the early phase of the pandemic. Education Strategy Committee (ESC) initiated a project to explore and record the lessons learned in this area (as part of the Start of the Academic Year work stream). In April, Learning Enhancement Committee (LEC) held a single item agenda meeting with members and additional colleagues from relevant areas to discuss this; LEC also managed a subsequent consultation with the wider University. The latter consultation focused on the following areas:

- i. adaptations to teaching and learning;
- ii. modifications to assessment;
- iii. approaches to academic support for students;
- iv. approaches to non-academic support for students;
- v. sources of support and information for staff; and
- vi. any other comments and feedback.

Given the evolving landscape, work to coordinate the University's response to the pandemic will be ongoing and it is expected that this project will continue to run into the next academic year (i) to reflect the changing discourse surrounding the Covid-19 pandemic and online and blended learning, and (ii) to capture attitudes and opinions as lockdown restrictions ease but blended learning remains in place.

6. To support students in their learning, Quality Assurance Committee (QAC) developed the undernoted policy, guidance and procedures following the outbreak of the pandemic. The following all received Senate review and approval:
 - i. No Detriment Policy*;
 - ii. Guidance for Boards of Examiners in the Event of Disruption;
 - iii. Formal Assessment Period: Guidance in the Event of Disruption;
 - iv. Guidance on the Use of Videoconferencing or Skype (or equivalent) for Viva Voce Examinations;
 - v. Guidance on Changes to Programmes & Modules in Response to Covid-19 Disruption: Approval Routes, Consultation & Reporting;
 - vi. Extended Timeline for Marks Returns and Boards of Examiner Meetings;
 - vii. A revised timeline for Boards of Examiners and associated processes leading to the conferment of degree awards for MBA students.

*The No Detriment Policy was introduced to provide reassurance to students that a lower performance during the pandemic circumstances would not negatively impact a final degree award.

At its meeting on 5th June 2019, Senate approved the proposal to change the procedure for the conferral of awards *in absentia*. As this change to procedure had already been agreed Senate was able to grant awards within the original timescales.

7. The QAC Convener approved, via Convener's action, a revised assessment strategy for International Study Centre (ISC) students as a result of the Covid-19 pandemic. This strategy has been shared with the University's Link Tutors and relevant External Examiners. The Convener commented that the proposals were appropriate and provided comprehensive coverage of the learning outcomes. It was considered that the revised strategy maintains the appropriate rigour, range and depth required in the assessment process for the Strathclyde ISC's students to prepare them for progression to the University's programmes.
8. Faculties are required each year to prepare a Faculty Annual Report which is designed to represent

an overview of the Faculty's activities (see paragraph 21). In the reports Faculties are asked to provide a critical analysis of what happened during the previous academic year, consideration of progress against any identified actions from the previous year's report, and, identification of future plans and developments. A joint meeting of QAC and LEC is held every year to discuss these reports and consider common themes and identify lessons learned that can be applied across the institution. These reports were prepared for a meeting scheduled for 18th March, however due to the stage in responding to the pandemic a decision was taken to cancel the meeting. QAC formally approved the reports at its meeting on 22nd April 2020 but also noted that they would be reviewed and discussed more fully at a future joint meeting with LEC members. Each report was peer reviewed, which is a key part of the drafting and reporting process undertaken on behalf of QAC and LEC. It is recognised that there is a huge amount of work put into preparing, writing and peer reviewing these reports. In recognition of the ongoing impact of the pandemic, a light touch Faculty Annual Report template is currently being developed for Faculties to reflect and focus on lessons learned from 2019/20. It has been agreed with the Deputy Associate Principals (Learning and Teaching) that a summary report of the 2019/20 FARs will be produced encapsulating the key themes arising across the four faculties. This will be discussed at the December meeting of QAC and at a future meeting of LEC.

9. Survey operations have continued at the University despite the Covid-19 pandemic and the University's move to distributed, non-face to face learning and teaching in March 2020. Response rates for PTES and internal surveys were affected in 2019/20 due to a pause in direct surveys communications to students to allow a focus on Covid-19 communications. Nevertheless, all surveys remained open to students and implementation of the institution-wide module evaluation project continued in line with the planned timescale.

Impact on Institutional Led Review from Covid-19

10. The reviews scheduled to take place in 2019/20 were not affected by the outbreak of the pandemic. The review of the department of Physics took place in October 2019 and the review of the department of Mechanical and Aerospace Engineering took place in November 2019. The School of Education was due to be reviewed in 2019/20 however it was agreed with the Convener of QAC and Director of Education Enhancement that this review would be postponed by one full academic year from 2019/20 to 2020/21 due to restructuring within the School.
11. A 5 year Institution Led Review Schedule can be found in Appendix 1. This review schedule has been developed in light on the Covid-19 pandemic and in consultation with the Faculties. From 2020/21 all reviews within the Faculty of Science and Humanities and Social Sciences have been postponed by one full academic year. Despite this deferment, these reviews will fall within the Scottish Funding Council's six-year timeframe. Reviews due to take place within the Faculty of Engineering and the Business School currently remain unaffected.
12. 2018/19 was the first year in which TESTA (Transforming the Experience of Students Through Assessment) was formally integrated into the Internal Review process. In April 2020, Quality Assurance Committee took the decision to postpone the forthcoming TESTA exercises due to the impact of the Covid-19 pandemic. Plans to resume TESTA activity, most likely in an amended and potentially at a reduced scale in 2020/21, are currently being considered. Central to these discussions will be maintaining the link between TESTA and the University's ILR processes.

Impact on the review of Professional Services from Covid-19

13. In 2019/20 Senate approved [Thematic Review Policy and Procedure](#). QAC agreed that the Thematic Review process would be piloted in year 1 and, through ESC consultation, a theme of 'Student Mental Health' was selected for the pilot. Prior to the Covid-19 pandemic, the University was planning for submission of the Reflective Analysis to be completed on 31 March 2020 and for the Thematic Review panel meetings to be undertaken on 26-27 May 2020. Unfortunately, the challenges associated with the pandemic, in particular the move to remote working and the ceasing of face-to-face contact, have impacted the original Thematic Review pilot timeline. Reflecting on this situation and recognising this is a pilot year, it was concluded that it would not be possible to have the same quality of engagement and dialogue, were the University to proceed with the review within the original timescales, which coincided with the government lockdown. Furthermore the services under review had a requirement to focus on the need to pivot their services to fully online provision and to support the needs of the distributed student population. It also made the sourcing and involvement of students in the review meetings problematic, which is a key part of the University's design of Thematic Review. Collectively these factors meant that, with regret and following consultation, the University postponed the pilot. It was agreed that the work already undertaken to consult on and draft the Reflective Analysis will still be of value, and the final submission to the review panel will consist of this evidence, plus an addendum outlining developments since the postponement to provide context for the reviewers. This decision was formally approved by QAC at its meeting on 22 April 2020, and reported to Education Strategy Committee in May 2020. A revised review date is tentatively planned for the second semester of 2020/21; once confirmed by ESC, the date will be reported to the QAA.

University's Governance Structure

14. 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, at institutional and Faculty level, 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 ESC, convened by the Vice Principal, provides strategic direction with QAC overseeing our institutional quality framework and 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 convenership of LEC and QAC. The Student Experience Committee (SEC) is convened by the Strath Union Student President and is comprised of membership from Strath Union sabbatical officers, permanent staff of the Union and University academic and professional services staff. SEC also reports to ESC. Each Education committee produces an annual reflective report which draws together achievements for the year and proposes priority areas for the year ahead. These reports are reviewed in detail by a subgroup of ESC to reflect on the current academic session and to inform priorities for the next session. The reports are available on request.

15. All University committees and working groups fulfilled their planned schedules and activities and continued to meet online following the outbreak of the Covid-19 pandemic.
16. One year after publication of the ELIR Outcome and Technical reports, the institution is required by QAA, to submit a Follow-up report. Follow-up reports indicate the actions taken (or in progress) by the institution to address the outcomes of the ELIR, and are required to be endorsed by the institution's governing body. Along with the Outcome and Technical reports, Follow-up reports are published on the QAA website. The University's ELIR Follow-up report was presented to Senate at its meeting on 3rd June 2020 and submitted to the QAA on 6 July 2020.
17. The University's ELIR 4 follow-up action plan is regularly monitored and scrutinised through Education Strategy Committee. Key messages from the ELIR Outcome and Technical Reports are embedded within our frameworks, working groups and institutional priority projects.
18. The University engaged with the Quality Assurance Agency (Scotland) in a constructive annual discussion with the QAA Institutional Contact in December 2019. Discussions focused on the ELIR 4 action plan, Education Strategy Committee priorities and Institution-led Review.

Institution-Led (Internal) Review Activity

Overview

19. QAC 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 [Internal Review: Policy, Procedure and Guidelines](#) set by the University in line with its statutory responsibilities. Oversight for the delivery of reviews is undertaken by QAC on behalf of Senate.
20. Responsibility for annual programme and module monitoring and review lies at Faculty and Department/ School level. In September 2019, Senate approved a revised [Policy and Procedure on Programme and Module Approval](#). The revisions allow for a more accurate reflection of the practice in approving new programmes and modules and provide a clear timeline for the development of a new programme. There is now a risk analysis framework and course costing principles, which were developed by the Faculties to ensure a consistent approach to identifying the academic and financial viability of new programmes. The responsibilities of departments/ schools, faculties and professional services staff and key committees in the approval process, is also set out in the revised policy and procedure.
21. Faculty Annual Reports are normally considered at a joint meeting of the Quality Assurance and Learning Enhancement Committees of Senate as outlined in paragraph 8. These reports provide updates on enhancement activities and confirmation that appropriate quality assurance is in place in each of the four Faculties. The FAR template encourages each Faculty to focus on how enhancement activities contribute to the delivery of our agreed strategic priorities. 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) and will be used to determine the focus of future Thematic Reviews.

22. 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 LEC, QAC and ESC. The Student Experience Committee has an integral role in supporting joint priorities for enhancing the student experience and enables the University and Strath Union to focus on issues of importance to advance the outstanding student experience and provide a vehicle to move issues forward.

Institution-Led (Internal) Review Schedule 2019/20

23. Institution-Led (Internal) Reviews took place in 2019/20 as outlined in the table below.

Faculty	Department/ School
Engineering	Mechanical and Aerospace Engineering
Science	Physics

24. As per paragraph 10 the review events for the department of Physics took place in October 2019 and those for the department of Mechanical and Aerospace Engineering took place in November 2019. The submission of the reports from these reviews to QAC has been slightly impacted as a result of the Covid-19 pandemic. The full reports are scheduled to be submitted to QAC within the first half of 2020/21.
25. The review events for the Strathclyde Institute of Pharmacy and Biomedical Sciences, the department of Electronic and Electrical Engineering and the School of Government and Public Policy took place late in in 2018/ 19 with the full reports presented to QAC during 2019/ 20.

Institution-Led (Internal) Review Outcomes

26. Senate has oversight of all internal review outcomes through the Senate Business Committee, which receives Internal Review reports submitted to the QAC. These are provided in Faculty reports to Senate and Senate also receives minutes of QAC meetings at which the Review reports are considered, highlighting any commendations and recommendations.
27. Internal Review Panels are chaired by the Executive Dean of the Faculty (or nominee) 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](#).

28. Common themes emerging from the internal reviews presented to QAC in 2019/20 were effective leadership, collaborative working across academic schools/ departments and Professional Services areas and student engagement. Key highlights include:
- i. The **Strathclyde Institute of Pharmacy and Biomedical Sciences (SIPBS)** was praised for its proactive and innovative approach to managing student recruitment, particularly international recruitment. The department has an International Joint Education Programme (IJEP) with the China Pharmaceutical University and a fruitful collaboration with the Middle East University. The Panel was impressed by the approach taken with regards to student support, particularly in relation to first year students; all first year students are allocated a Personal Development Advisor and SIPBS use induction week to help orientate students to the campus and inform their expectations of university life. All students are invited to participate in Academic Family meetings which allows them to form links with the years above and below.
 - ii. The review of the department of **Electronic and Electrical Engineering** was a very positive one with the support provided to exchange students, innovations in teaching and supporting student transitions of particular note. Engagement with the Vertically Integrated Projects (VIPs) is positive for students and is a pathway to interdisciplinary activity. The department is encouraged to upscale its activity in this area. The department was praised for its international recruitment activity but encouraged to diversify into different geographical areas to reduce its reliance on China.
 - iii. Of particular note within the review of the **School of Government and Public Policy** was the recent reforms to the undergraduate and graduate curricula. To determine and deliver the curricular changes an ad hoc reform committee was convened. The cohort entering Politics classes in 2019/20 would be the first to undertake the revised programme that delivered research-led teaching, with a coherent curriculum in both the content offered and in the development of advanced writing, research, and methodological skills to undergraduates. It was noteworthy that many of the changes focused directly on themes mentioned by students in feedback sessions in the School's recent TESTA review. Changes to the 4th year Honours course were implemented early and students reported an improvement in their planning for the dissertation.
29. The internal review process also involves making recommendations to Schools/ Departments on areas for future focus, for example:
- i. A specific challenge for the Department of **Electronic and Electrical Engineering** was highlighted in terms of its joint programme with the department of Mechanical and Aerospace Engineering and the different cultures that exist across the two departments. It was recommended that the two departments work together to develop a more effective ownership and management structure to better address these issues. The department was also asked to conduct a curriculum review of its UG and PGT portfolio to ensure its offerings are distinctive and to ensure that non-engineering aspects (such as VIPs) are adequately highlighted.
 - ii. The review of the **School of Government and Public Policy** highlighted that HaSS BA students start to identify with their chosen subject area as they progress further into their academic studies. This is due to the structure of the degree programme which sees students taking additional

subject area(s) in the first three years of their programme giving them a broader curriculum. To help new students feel more aligned to Politics for example, students suggested subject specific inductions for first years as well the generic Faculty induction. QAC noted that enabling students to identify with their chosen subject area earlier in their academic studies is currently being addressed within the Faculty and by each individual School.

- iii. Within **SIPBS** it was recommended that the Institute review material on the Enhancement Themes website to determine how it can further engage with the process. It was also suggested that it familiarise itself with the University's engagement with the current theme. It was noted within the review that this recommendation will be reviewed by the Teaching, Learning and Assessment Committee to ensure better engagement.
30. In 2019, senior colleagues met with the ELIR panel during its visit and set out plans to enhance the institution-led review process by (i) reviewing the templates and guidance documentation, and (ii) creating a process by which QAC could have greater oversight and scrutiny over the recommendations arising from reviews and actions taken in response. At its meeting in December 2019, QAC approved a framework for progressing outcomes and recommendations arising from Institution-led Reviews. The outcomes and recommendations from the reviews will be considered by QAC alongside the initial report of the review event, and then again approximately 12 months after the review has taken place. This process should ensure that the University has documented oversight that recommendations have been actioned and should allow common themes to be more effectively surfaced arising from recommendations.
31. As per paragraph 12, 2018/19 was the first year in which TESTA (Transforming the Experience of Students Through Assessment) was formally integrated into the Internal Review process. In February 2020 QAC approved a slight amendment to the [Internal Review: Policy, Procedure and Guidelines](#) to reflect how TESTA is run for degree programmes which may be delivered in combination with other subjects. It was agreed that, in these circumstances, an alternative arrangement for the implementation of TESTA may be undertaken that will provide useful, relevant information to the Department/School. Any such amendments to the core TESTA process must receive prior approval from the Faculty VDA and the Deputy Associate Principal Learning and Teaching.
32. Outcomes from Internal Reviews are reported to the QAC, 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, at institutional level, these are monitored through the QAC and enhancements are progressed through LEC.
33. 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 2020.

External Review

34. The University fully engages in the QAA Transnational Education review process. In 2019/20 the University responded to the Consultation on Future Approaches to the External Quality Enhancement of UK Higher Education Transnational Education, run by Universities UK, Guild HE and the QAA.

35. In 2019/20 the University responded to the Universities UK consultation on Understanding Degree Algorithms. Representatives from the University, including the Convener of QAC, also attended a sector-wide follow-up event hosted by UUK that took place in March 2020.
36. 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. Further, the DAP (Learning and Teaching) convenes the ISC's Academic Management Board which also has representation for Faculties and key Professional Services. 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.

External Accreditation

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

Student Progression, Retention and Awards

38. 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. Members of the Quality Enhancement and Assurance Team are currently working with the Strategy and Policy Directorate to determine the most appropriate and effective way of presenting this information at QAC in 2020/21.
39. QAC reviews the annual monitoring of Module Pass Rates within each Faculty at its December meeting. The total number of modules 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. It should be noted that the number of modules falling into these categories is minimal and QAC is satisfied that often the reason for a module falling into either the 'borderline' or 'at risk' category is procedural rather than academic.

Feedback from Students

40. As part of the University's continuing Learning and Teaching Improvement Framework, personalised survey data sets for Departments and Schools inform ongoing planning and enhancement. In 2019/20, short video resources were developed to give an overview from the DAPs and each Vice Dean Academic about key priorities and activities in the Faculties of Engineering, Humanities and Social Sciences, Science and Strathclyde Business School. In addition, two Learning and Teaching Improvement Forums were held in 2019/20 for colleagues to share good practice to improve the student experience at Strathclyde with opportunities for discussion and a question and answer session with colleagues from the Faculties and Deputy Associate Principals for Learning and

Teaching and colleagues in Education Enhancement.

41. The University's Surveys and Metrics Working Group is an established forum for dissemination and discussion of key surveys and metrics information, for reporting on progress of strategic projects relating to surveys and metrics and for highlighting related developments in the sector. It is chaired by the Deputy Associate Principal for Learning and Teaching with membership from across the Faculties and Professional Services. Key developments reported at the working group this year include phased implementation of an institutional approach for module evaluation via a newly procured system now integrated with the University's Moodle-based VLE.
42. The Assessment and Feedback Working Group has continued its work throughout 2019/20 focusing particularly on reviewing the impact of the policies introduced for that academic year. The Working Group has also provided an essential forum for the discussion and introduction of assessment and feedback related policy amendments and new provisions such as the No Detriment Policy, introduced following the outbreak of Covid-19 as indicated in paragraph 4. The Working Group is now reflecting on the assessment changes that were instigated as a result of the pandemic and the longer-term benefits to assessment practices that may be derived from this.
43. Our long-term engagement with the QAA national Enhancement Themes has continued in 2019/20 with widespread participation in the current theme, *Evidence for Enhancement*, with our three strands of activity reaching their evaluation phase. At Strathclyde, our projects have culminated in defining an outstanding student experience through the Learner Experience Framework, exploring data potential and its impact on teaching and learning through Learning Analytics and using data effectively for enhancement of the student experience through our Programme Directors.

Institutional Reporting on Quality

44. While the University Senate confers delegated responsibilities for detailed scrutiny of quality assurance matters to QAC, significant matters of note, such as the introduction of new academic policy are referred to Senate for consideration and approval. Quality assurance matters are incorporated within reports on our Education provision that are reviewed annually by ESC at a dedicated meeting combining reflection on the current session and forward planning.

Forward plan of Internal Reviews

45. A summary of the forward plan of internal reviews is attached as Appendix 1.

Annual Statement of Assurance

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

Further information

47. For further information, contact Sarah Currie, Quality Enhancement and Assurance Officer sarah.currie@strath.ac.uk 0141 548 4602.

Appendix 1

University of Strathclyde

Schedule of Internal (Subject Area) Reviews

Any delays to the schedule as a result of Covid-19 are indicated in the table below.

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	2024/25	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	2021/22 (delayed 1 year)	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)	2022/23 (delayed 1 year)	2016/17 (May 2017), 2011/12 (April 2012); 2006/07 - Maths; 2005/06 - STAMS
Science	Departmental	Physics	2025/26 (delayed 1 year)	2019/20 (30 Oct 2019); 2014-15, 2009/10 (Oct 2009); 2004/05.
Science	Departmental	Pure and Applied Chemistry	2023/24 (delayed 1 year)	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	2024/25 (delayed 1 year)	2018/19 (2 nd 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	2020/21 (delayed 1 year as per para 10)	2014/15
Humanities & Social Sciences	School	Humanities	2023/24 (delayed 1 year)	2017/18 (April 2018), 2012/13
Humanities & Social Sciences	School	Psychological Sciences and Health	2022/23 (delayed 1 year)	2016/17 (May 2017), 2011/12 (March 2012)
Humanities & Social Sciences	School	Social Work and Social Policy	2021/22 (delayed 1 year)	2015/16 (April 2016) deferred from 2014/15
Humanities & Social Sciences	School	Government and Public Policy (Government)	2024/25 (delayed 1 year)	2018/19 (16 th and 17 th May 2019), 2013/14; 2008/09 (Nov 2008) 2001
Humanities & Social Sciences	School	Law (Law School)	2021/22 (delayed 1 year)	2015/16 (April 2016); 2009/10 (Feb 2011)

Appendix 2

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

Please note there were no accreditation visits scheduled within the Strathclyde Business School in 2019/20.

Faculty	School/ Department	Programme	Reviewing body	Date of visit
HaSS	School of Education	Education/Professional Update Process	General Teaching Council for Scotland	6 th Feb 2020
		Education/BA Childhood Practice	Scottish Social Services Council	No Visit (only occurs every 5 years)
	Law School	LLB Hons Scots & English Law	Solicitors Regulation Authority (SRA) Law Society of Scotland	19 th Sept 2019
		LLB GE Scots & English Law		
		LLB Hons Clinical Scots & English Law		
		LLB Clinical Scots & English Law		
		LLB Hons English		
	School of Psychological Sciences and Health	BSc Speech and Language Therapy	HCPC annual monitoring review	Review over a period of time but approval appeared on 21/05/2020
		BSc Speech and Language Therapy	Royal College of Speech and Language Therapists	5th September 2020
		BA Psychology	British Psychological Society	December 2019
		MSc Counselling and Psychotherapy	BACP	No visits due - granted another 4 years accreditation from 19/20.
		MSc Psychology with a Specialisation in *Business	British Psychological Society	December 2019
		BSc Psychology and	British Psychological	December 2019

		Counselling	Society and COSCA	
	School of Social Work and Social Policy	Mental Health Social Work	Scottish Social Services Council	Schedule for 2019-20 but due to lockdown has been pushed back to 2020-21
		MSc Child and Youth Care Studies	Child and Youth Care Canadian Education Accreditation Board	2020
Science	Computer and Information Sciences	MSc/PG Dip Information Management with Industrial Placement	Chartered Institute of Library and Information Professionals	December 2019
		MSc/PG Dip Information and Library Studies		
		MSc/PG Dip Digital Health Systems		
		MSc/PG Dip Information Management		
	Strathclyde Institute of Pharmacy and Biomedical Sciences (SIPBS)	BSc with Honours in Biomedical Science	Royal Society of Biology	December 2019
		BSc with Honours in Biochemistry and Immunology		
		BSc with Honours in Biochemistry and Microbiology		
		BSc with Honours in Immunology and Microbiology		
		BSc with Honours in Immunology and Pharmacology		

		BSc with Honours in Microbiology and Pharmacology		
		BSc with Honours in Biomolecular Science		
		BSc with Honours in Biochemistry		
		BSc with Honours in Immunology		
		BSc with Honours in Microbiology		
		BSc with Honours in Pharmacology		
		MPharm Pharmacy	General Pharmaceutical Council	March 2020
		MChem Applied Chemistry and Chemical Engineering	IChemE	December 2019
		BSc (Hons) Physics with Teaching	General Teaching Council	May 2020
		BSc (Hons) Chemistry with Teaching		
		BSc (Hons) Mathematics with Teaching		
	Physics	BSc Hons Physics	Institute of Physics	20 th March 2020 – didn't take place due to lockdown. Rescheduled to late October 2020 (virtual meeting).
		BSc Hons Physics with Teaching		
		MPhys Physics		
		MPhys Physics with Advanced Research		
Engineering	Biomedical Engineering	BSc Prosthetics and Orthotics	International Society for Prosthetics and Orthotics (ISPO)	8-10 January 2020
	Civil and Environmental Engineering	MEng/BEng Civil Engineering	JBM: Institution of Civil Engineers (ICE), The Institution of	21-22 November 2019

		MEng/BEng Civil Engineering	Structural Engineers, Institute of Highway Engineers, Chartered Institution of Highways and Transportation	
		MEng/BEng Civil and Environmental Engineering		
		MSc Environmental Engineering		
		MSc Sustainability and Environmental Studies		
		MSc Civil Engineering		
		MSc Civil Engineering with Structural Engineering and Project Management;		
		MSc Geotechnical Engineering and Project Management		
		MSc Civil Engineering and Geoenvironmental Engineering and Project Management		
		MSc Civil Engineering (with Industry Placement)		
		MSc Hydrogeology		
	Chemical and Process Engineering	MEng/BEng Chemical Engineering	IChemE (The Institution of Chemical Engineers)	4-5 December 2019
		MEng/BEng Chemical Engineering by Distance Learning		
		MSci Applied Chemistry and Chemical Engineering		

		MSc Process Technology & Management		
		MSc in Sustainable Engineering: Chemical Processing		
		MSc in Advanced Chemical and Process Engineering		
		Degree Apprenticeship in Chemical Engineering		

Annual Survey of Court Members 2020 Summary of Responses

Paper L

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. The second is the survey of members which provides the opportunity for anonymised feedback.
2. Responses to one question, about the Convener's role, have been supplied to the Senior Deputy Convener, in line with our standard practice. Otherwise, the full responses have been shared with the Convener and a summary of findings is provided below. A graphical representation of the responses is included at Annex B.
3. During August 2020, Court members from 2019/20 were invited to complete an online survey on their experiences of Court and its effectiveness over the previous 12 months. The survey contained 14 questions (see Annex A) and responses were received from 15 members (a response rate of 63%). The 15 respondents comprised 9 Lay Members and 6 staff members.
4. The survey responses, along with the direct feedback from the Convener's discussions with members, will be carefully considered and, where appropriate, used to enhance and improve the operation of Court.

Summary findings

5. An analysis of the survey responses indicated that Court members generally:
 - understood their role as a member of Court;
 - were familiar with Court's Primary Responsibilities;
 - felt able to contribute to the University's strategic development;
 - felt that Court adds value to the effectiveness with which the University is governed;
 - felt they have made positive and evident contributions to the work of the University;
 - were pleased with the level of support provided to enable them to participate effectively as a member of Court;
 - were content with the timing of Court meetings and with the transition to online meetings;
 - were satisfied with the induction process;
 - were content that the regular reports to Court from various committees provide appropriate information.
6. Respondents felt that their most significant contributions included:
 - contributions to standards of governance on Court and committees
 - participating at Strategy Sessions;
 - input to Court Committees;
 - sharing examples of best practice ;
 - being an advocate/ambassador for the University within their own area of influence;
 - experience in identifying and managing risks ;
 - lay objectivity, an independent perspective;

- providing constructive challenge and support;
 - providing additional context, information and background to Court to support Court's considerations and deliberations.
7. When asked what, if anything, prevented them from contributing further some respondents cited lack of time and the constraints of remote meetings as limiting their ability to contribute as much as they would have liked.
 8. When asked directly about the move to online meetings, respondents were positive and generally felt that Court had continued to discharge effectively its governance duty with appropriate support, scrutiny and direction. Most respondents indicated that the current remote working arrangements were working for them and had no further suggestions.
 9. Suggestions for improvements made by individual respondents include:
 - More focus on strategic considerations and challenges and less on operational updates
 - Papers for information should be taken as read
 - The move to virtual meetings may bring along opportunities for more efficient use of time
 - Give thought to the format of the strategy session if we are still remote working
 - Continue to encourage all Court members to participate in discussion
 - Informal interaction between Court members could be picked up via a pre-Court Zoom chat
 - Keep all meetings on Zoom
 - Release more of the papers early, leaving fewer papers to read within a few days
 10. Comments on the University's handling of the disruption caused by the Covid-19 pandemic include:
 - Business has continued seamlessly
 - Extremely well managed
 - Great examples of best practice and concern for staff, students etc.
 - The University's handling of C19 across the board has been exemplary
 - Court has been kept well advised and every effort has been made to be inclusive of Court members
 - Regular zoom Court updates on how the University is preparing and responding to the situation have been much appreciated
 - Very impressed with the handling of this very difficult situation
 - The focus on risk, immediate priorities, the wider picture and the longer term impact on strategy has been impressive
 - Court was fully informed of the challenges and strategies put in place
 - The University has done all it can to maintain business as usual

Action requested

11. Court is invited to:
 - **Note** the summary findings of the 2020 survey.

Annex A – Survey Questions

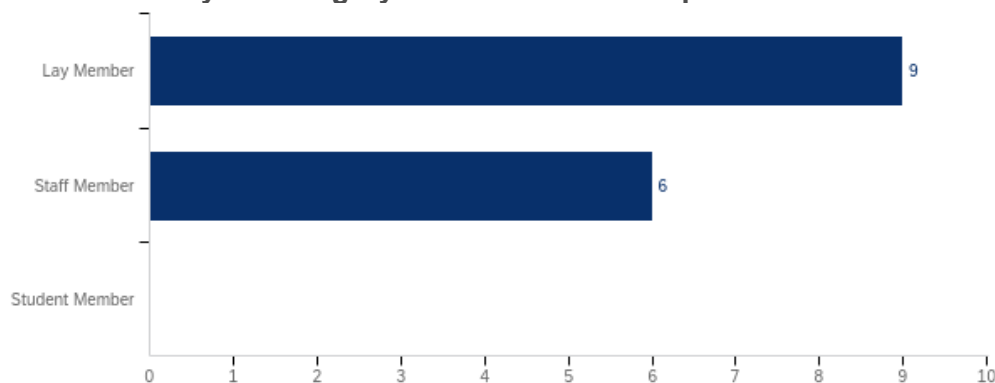
1. *Please indicate your agreement with the following statements:*
 - a *I understand my role as a member of Court*
 - b *I am familiar with Court's Primary Responsibilities*
 - c *I feel able to contribute to the University's strategic development*
 - d *Court adds value to the effectiveness with which 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,)? If appropriate, please provide further details in the text box below, including suggestions for how the timing of meetings could be made more appropriate. Please also comment on how you have found the move to online meetings during the recent lockdown.*
5. *Do you feel that you have been given the necessary support and training 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/training that you would find useful.*
6. *If you were new to Court this year were you satisfied with the induction process? Please comment further on the induction process and any additional information/support you would have found useful.*
7. *Are you content that the regular reports to Court from various committees provide appropriate information? Please provide further feedback.*
8. *Do you have any suggestions on how to improve the effectiveness of Court meetings in the coming year?*
9.
 - a *Please comment on your impression of the University's handling of the disruption caused by the Covid-19 pandemic in relation to its impact on Court business.*
 - b *During the period of disruption do you feel that Court has discharged effectively its governance duty with appropriate support, scrutiny and direction?*
 - c *During the ongoing period of remote working, do you feel the arrangements work for you, is there anything else that can be done to facilitate your remote working?*
10. *Do you have any suggestions on how the Convener, specifically, might improve the effectiveness of Court? Please note that any comments will be shared in confidence with the Vice-Convener, who is collating feedback for the Convener.*

For Members who serve on University committees: CBG, CMG, Staff, Audit & Risk, Remuneration, Estates, EIC etc.

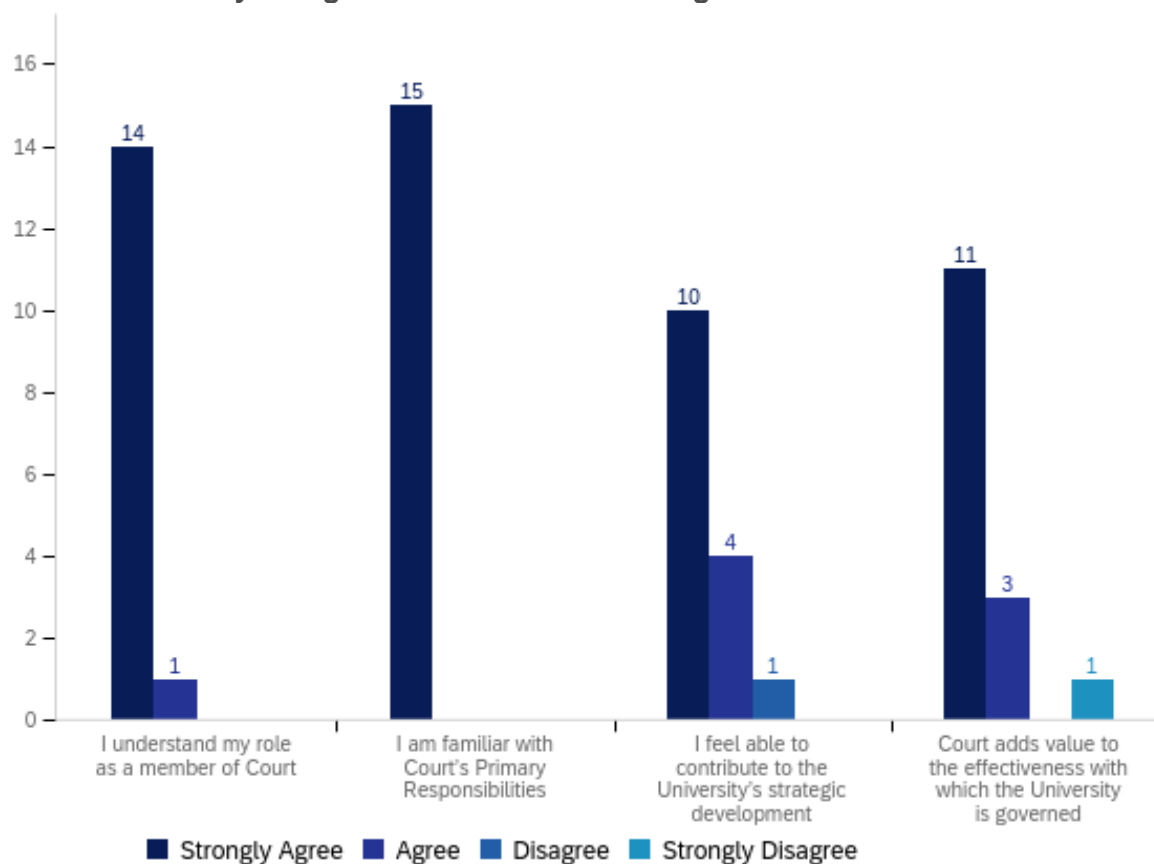
- 11. Do you consider that you have sufficient resources available to support you in your committee role?*
- 12. Do you have sufficient time to fulfil your responsibilities as a committee member? If you do not have sufficient time what is the main reason for this?*
- 13. Do you consider the number and length of meetings of the committee to be appropriate?*
- 14. Do you consider the committee papers to be concise, relevant and received sufficiently in advance of meetings?*

Annex B – Results for Quantitative Questions

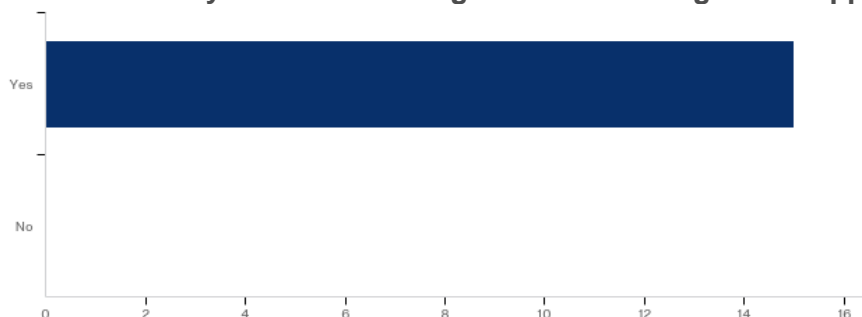
Please indicate your category of Court membership to enable the results to be effectively analysed:



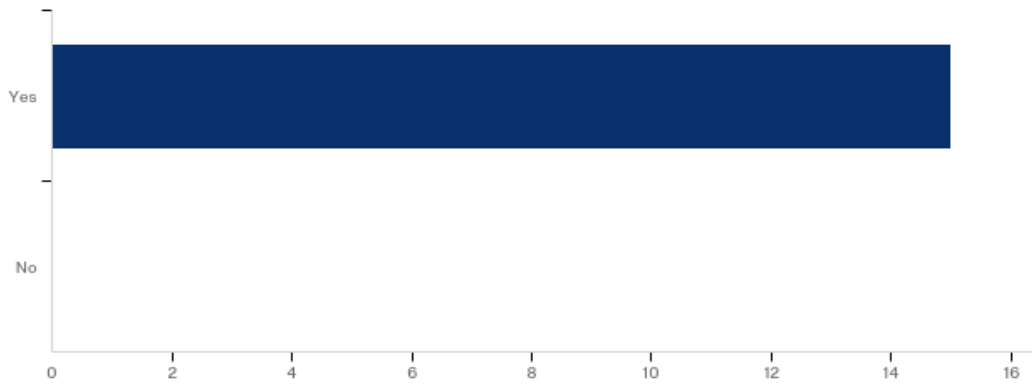
Question 1: Please indicate your agreement with the following statements:



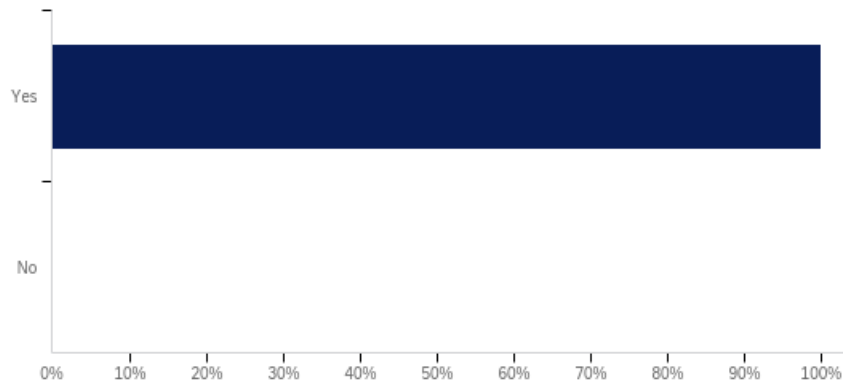
Question 4: Do you find the timing of Court meetings to be appropriate?



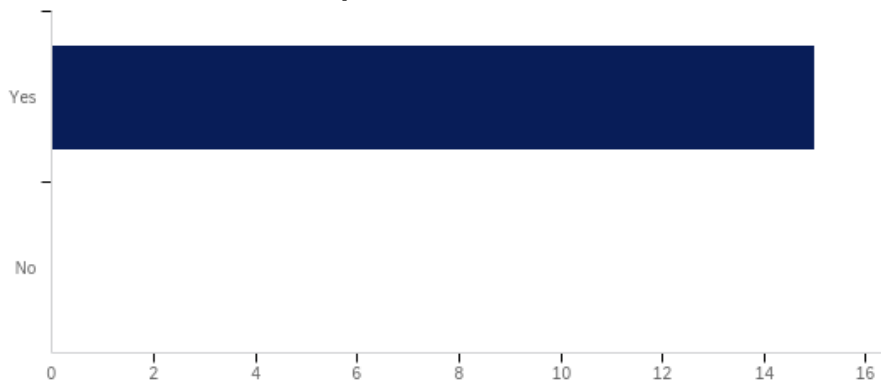
Question 5: Do you feel that you have been given the necessary support to participate effectively as a member of Court (at meetings and more generally)?



Question 6: If you were new to Court this year were you satisfied with the induction process?

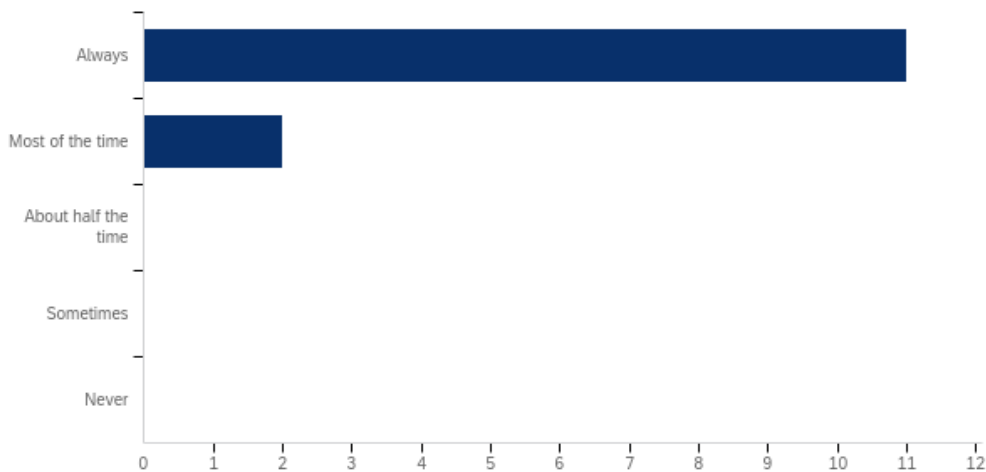


Question 7: Are you content that the regular reports to Court from various committees provide appropriate information? Please provide further feedback.

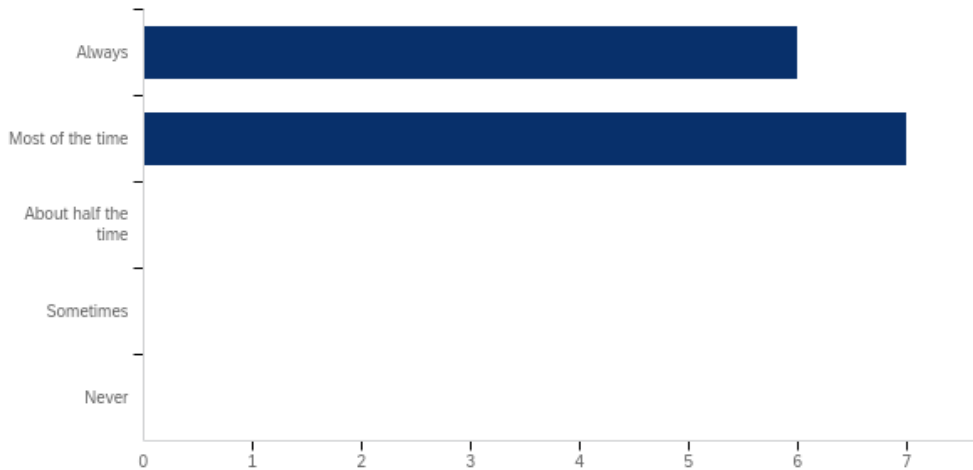


For Members who serve on University committees: CBG, CMG, Staff, Audit & Risk, Remuneration, Estates, EIC etc.

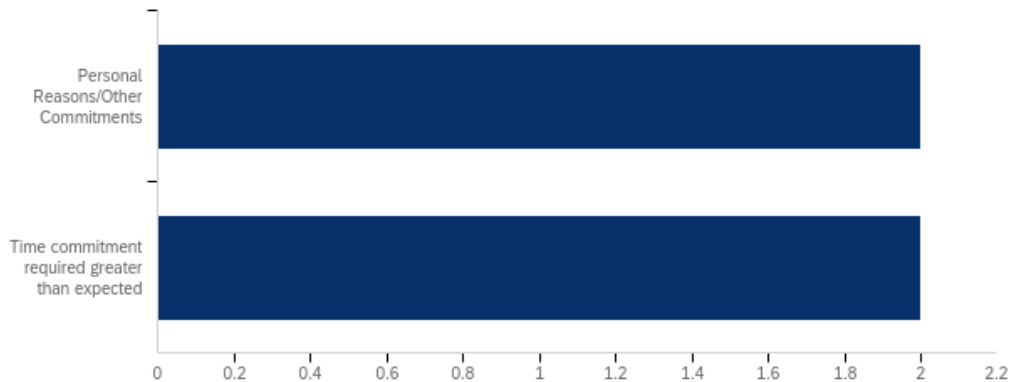
Question 11: Do you consider that you have sufficient resources available to support you in your committee role?



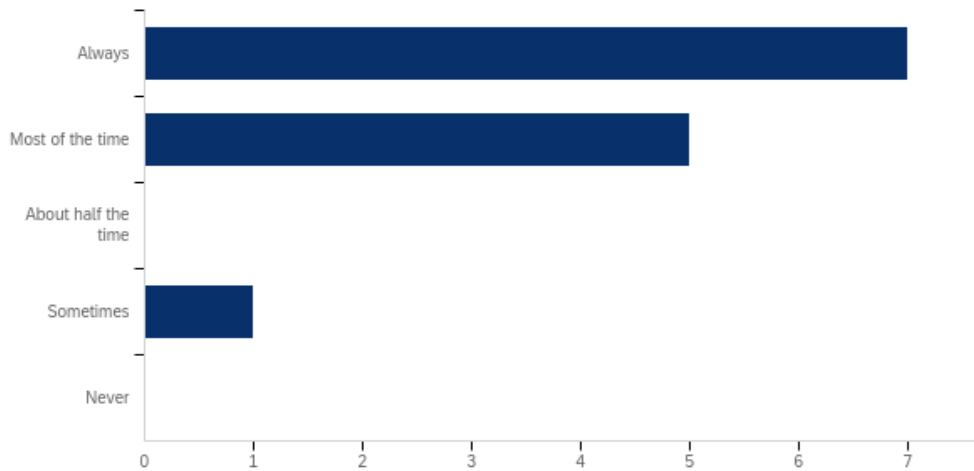
Question 12: Do you have sufficient time to fulfil your responsibilities as a committee member?



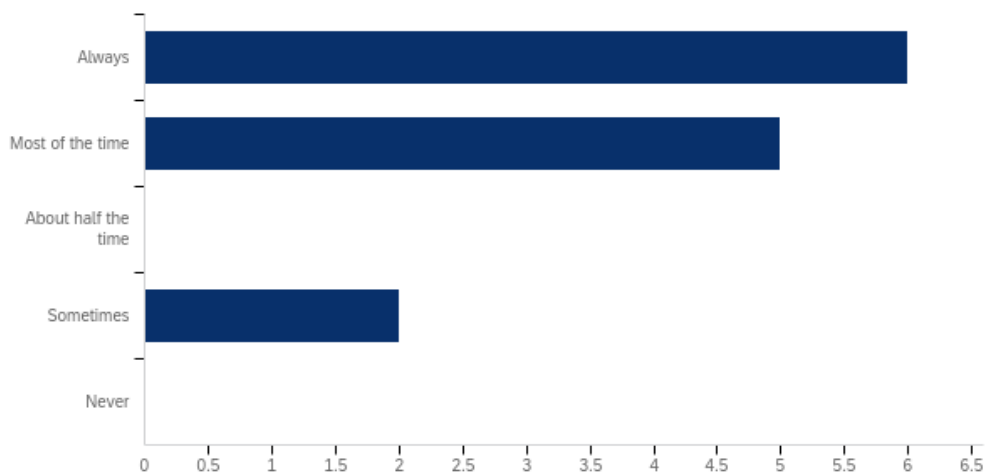
If you do not have sufficient time what is the main reason for this?



Question 13: Do you consider the number and length of meetings of the committee to be appropriate?



Question 14: Do you consider the committee papers to be concise, relevant and received sufficiently in advance of meetings?



Complaints Handling Procedure Annual Report 2019/20

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/1newwebsite/documents/complaintsprocedure/FINAL_ComplaintsProcedure_withCoverSheet.pdf
3. The SPSO published a revised model Complaints Handling Procedure at the end of January 2020 which the University is required to adopt by April 2021. Work is ongoing to meet the implementation date. One aspect of this revised procedure is a specific definition of “resolved” at both frontline and investigation stage. Therefore the categories of “upheld” or “not upheld” have been added to the options, on the recording system, at frontline stage. These new categories are beginning to be used but, as the revised procedure has not yet been fully implemented, the majority of frontline complaints are still categorised as resolved. This is anticipated to change as the revised procedure is publicised over the next year.

Recording and Reporting

4. 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
5. Annex A provides key performance information on the volume and types of complaints received during 2019/20 and on the resolution times achieved. Annex B 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 2019/20.

Summary Analysis

6. The University recorded 93 complaints during the 2019/20 academic year. This is a slight decrease on 2018/19 but is likely to be connected to the national lockdown and closure of the campus. The majority of complaints (83%) 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.

7. Complaints were received across all academic faculties with a reasonably even spread across faculties. Twenty three percent of complaints received were related to areas within Professional Services, predominantly Student Experience.
8. The percentage of complaints resolved at frontline was 73%, significantly increased from 47% the previous year. In the final quarter, when more complex complaints are often submitted and when staff were working remotely, 50% of complaints were handled at frontline. This was still a significant increase on 20% in the final quarter of 2018/19.
9. The time taken to resolve frontline complaints fluctuated throughout the year, averaging 5.5 days, only very slightly above the 5 working day target and a slight improvement on the 2018/19 average. Seventy percent of frontline complaints were resolved within the 5 working day target, up from 60%. This suggests that the focus on improving frontline complaint handling over recent years is showing results.
10. Complaints investigated at stage 2 of the procedure were resolved within an average of 31.7 days, well above the 20 working days target. This resolution timeframe has always been considered to be very challenging, particularly for complex complaints. This year, for over a third of the year, staff have been working remotely, unable to meet colleagues or complainants in person. The SPSO recognises that this situation is likely to increase the time needed for investigations. It is a credit to the staff conducting investigations for the University that the average time taken remains as low as it does and that thorough investigations have continued to be completed with alternative ways of working used to facilitate this. Twenty eight percent of stage 2 complaints were completed within 20 working days and 68% within 30 working days.
11. The most frequent types of complaints recorded were those relating to:
 1. Staff Attitude and/or Conduct (25%)
 2. Teaching and/or assessment (18%)
 3. University Policy, Procedures or Administration (15%)
12. Complaints relating to disruption caused by the COVID-19 pandemic and industrial action have not been given a separate category as, to be classified as complaints, they would need to include allegations relating to failure to provide a service or the quality of facilities or learning resources and would therefore be captured in existing categories. Only a small number of complaints about these issues have been recorded to date. However, the University has received a significant number of requests for fee refunds due to the move to online provision. The Complaints Handling Procedure states that a request for compensation only is not a complaint and therefore these requests do not impact on the figures in this report.
13. Lessons learned and actions taken to improve services are recorded following each complaint, where appropriate, and examples of the learning points recorded during 2019/20 are included at Annex B.
14. Staff continue to engage well with the complaints process and work is continuing to encourage a greater focus on frontline resolution. During 2019/20 briefing sessions on handling frontline complaints, open to all staff, were attended by circa 40 staff. These were delivered monthly until the campus closed in March. Additional briefings were held for groups of staff in Student Experience, HR and SIPBS. As part of the implementation of the revised procedure, there is a requirement to deliver frontline complaint handling training as part of staff induction and also to provide refresher training at regular intervals. To this end, the existing training has been paused with online training in development to meet the new requirements. The training for those investigating complaints was delivered twice during 2019/20.

SPSO Recommendations

15. 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, with those responsible for the operational delivery of the service and across the organisation. It also expects the University to embed learning from complaints in governance structures and to ensure recommendations are shared with the relevant internal and external decision-makers, including members of Court.
16. The SPSO has made one recommendation and given feedback to the University in the last year, following complaints raised by 2 former students. Annex C contains details of the SPSO's recommendations and feedback along with the action taken in response. Recommendations from the SPSO, along with follow up actions, where appropriate, are reported to Executive Team quarterly.

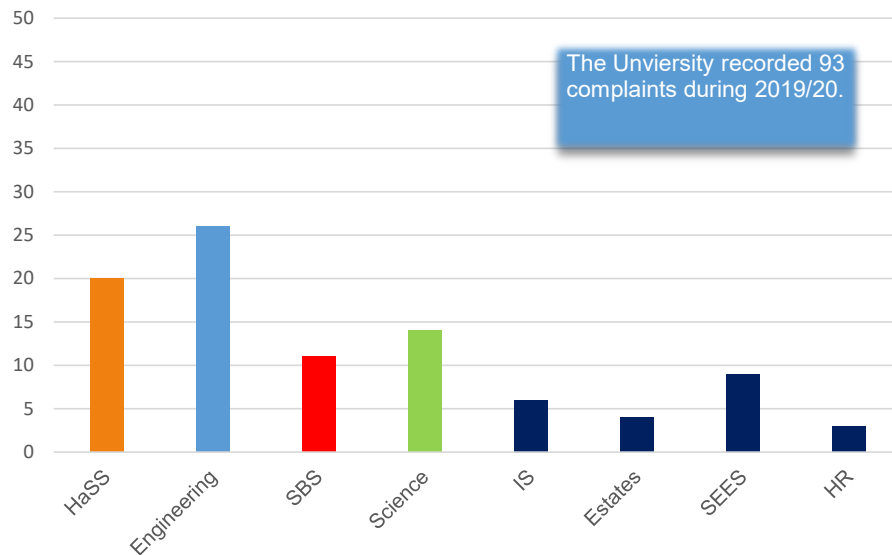
Recommendation

17. Court is invited to **note** the Complaints Handling Annual Report for 2019/20.

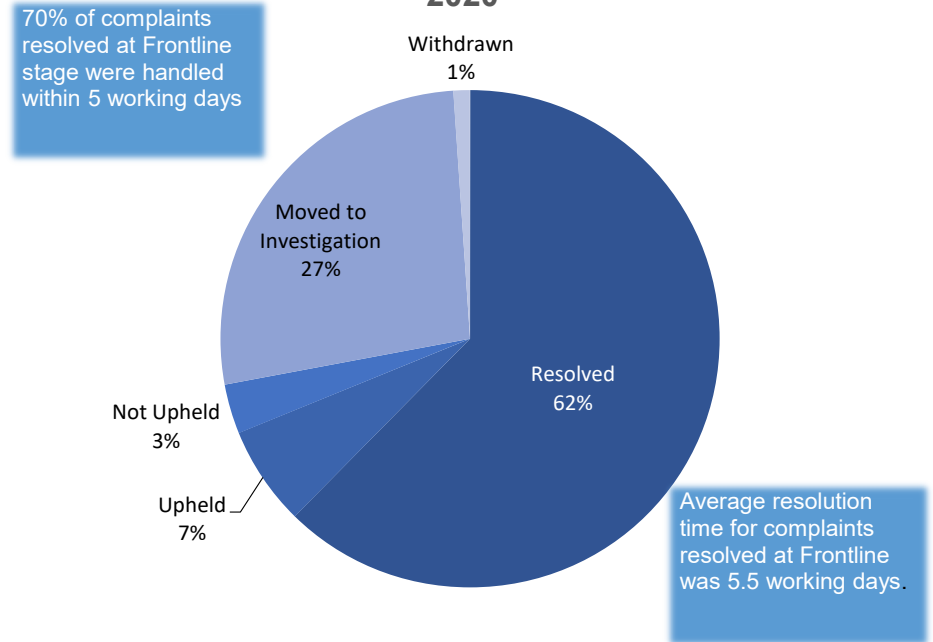
Complaints Recorded 2019/20

ANNEX A

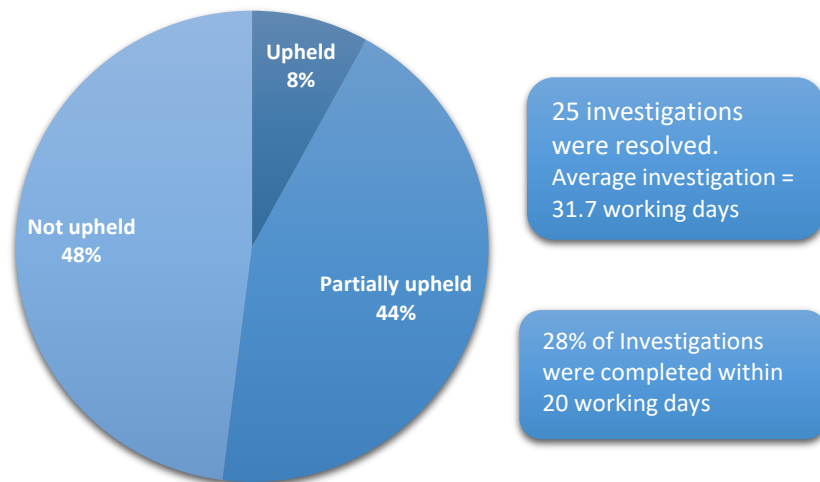
Complaints Received by Area 1 August 2019 to 31 July 2020



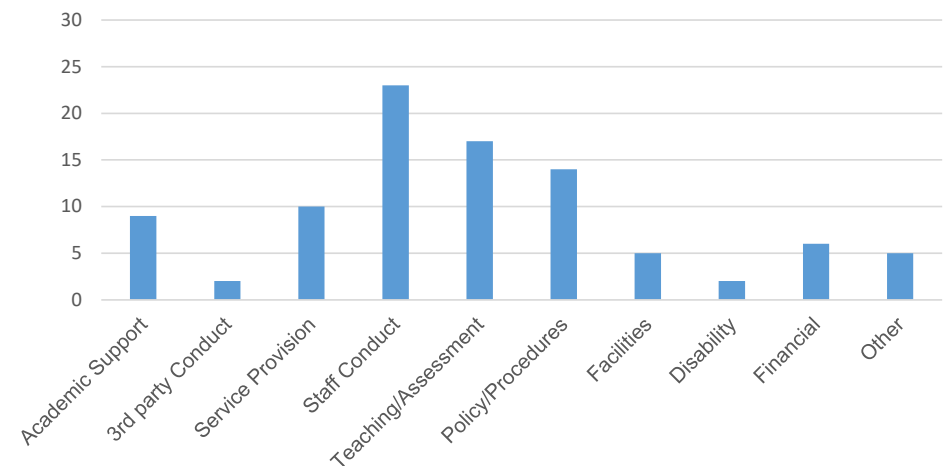
Frontline (Stage 1) - 1 August 2019 to 31 July 2020



Investigation (Stage 2) Outcomes 1 August 2019 to 31 July 2020



Complaints Received by Category 1 August 2019 to 31 July 2020



Learning from Complaints 2019/20 – Examples

Complaint Category	Complainant	Complaint Summary	Outcome	Frontline Learning
University Policy, Procedures or Administration	Applicant for study	Complaint about the time taken for a fee assessment.	Resolved	Discussion ongoing with ISD colleagues to automate part of the process to speed it up.
Financial Issues	Student	Student complained about the process and timeframe for refunds.	Resolved	Explore with Finance methods of shortening the refund process.
Academic Support	Student	The student believes that they were incorrectly informed about the start date of the next year of their course	Partially Upheld	<p>The University webpage be updated to include reference to sources of information for students interested in changing course.</p> <p>School should consider whether it would be appropriate to make Course Handbooks and similar documentation available earlier in the admissions-registration cycle.</p>
Attitude and/or Conduct of a Third Party Contractor	Student	Student was verbally abused by contractor in lift.	Resolved	Contractors will be reminded of the University Dignity and Respect policy
Teaching and/or Assessment	Student	Student complained that there were mistakes in the way Myplace quizzes allocated marks.	Resolved	Academic staff will be made aware of how to set up a Myplae test avoiding this error.
Service Provision	Student	Relating to appointment for Needs Assessment at the Disability & Wellbeing Service.	Resolved	Frontline reception staff will be made aware that when a student/applicant discloses details surrounding their needs these can be logged and support begun prior to meeting with an adviser.
Teaching and/or Assessment	Student	Student taking an exam complained that, although the class was informed via MyPlace which material would not be examinable because it had not been covered during the industrial action, there was no announcement at the start of the exam. Also, a student's mobile phone rang in a different part of the exam hall but none of the invigilators took any action.	Resolved	Instructions to invigilators to be modified to ensure that exams affected by strike action include an announcement at the start of the exam. Staff will also be reminded to deal quickly with issues such as mobile phones ringing and to remind students to have their phones on silent.

ANNEX B

Complaint Category	Complainant	Complaint Summary	Outcome	Frontline Learning
Academic Support	Student	Student was withdrawn from exchange programme at a very late stage having booked and paid for flights and accommodation.	Resolved	Department will review procedures for decision making and check points for students participating in exchange programme.
Teaching and/or Assessment	Student	Group complaint about a module not taught with the seriousness offered in other modules. Assignments too difficult for the skills developed in tutorials, requiring a software knowledge that students did not have. Practical exercises not done in class.	Resolved	Staff involved with the module to hold a teleconference to discuss how the module has progressed and lessons learnt.
Teaching and/or Assessment	Student	Concerns raised about the assessment procedure for a group project.	Resolved	There was already a review of the assessment under way and outcomes will be implemented in 2020/21
University Policy, Procedures or Administration	Student	Complainant alleges International team had wrong credit value logged on their record.	Partially Upheld	The Exchange team added extra process to ensure year-long exchange students have signed up for the correct number of classes.
Staff Attitude and/or Conduct	Student	Student complained that Security staff were not following the correct procedure for out of hours access to buildings.	Not Upheld	Security to review the wording of the Access Policy to make the role of the department, in setting time limits for the use of red cards, clearer.
Service Provision	Student	Complaint regarding communication and support given to a student on exchange during the COVID-19 pandemic.	Not Upheld	Procedures should be developed regarding what will happen when unforeseen circumstances impact the continuation of student exchanges. Guidance should be provided to students going on exchange detailing the support framework in place and the steps that would be taken. Information and guidance should be available on the website.
University Policy, Procedures or Administration	Student	PEGASUS account was taken down prematurely depriving complainant of a vital part of documentation.	Partially Upheld	Clear information should be provided to applicants on when access to their PGR applicant record will be deactivated, how it can be reactivated, when messages in the Pegasus messaging service are automatically removed and instructions on how these can be saved. Applicants should receive alerts prior to deactivation.

SPSO Recommendations and Feedback

During 2019/20, one recommendation was made by the SPSO following complaints raised against the University by an ex-student.

Complaint	Outcome	Recommendation	University Response
Student complained about the conduct of their tutor in meetings and the University's subsequent consideration of this.	Sent back after early assessment for further response from University.	Referred complaint back to the University to provide a more detailed response covering the following points: <ul style="list-style-type: none"> • reasons for the decision on the complaint; • fuller explanation of whether or not tutor had acted inappropriately; • fuller explanation of how the University assessed or balanced the differing positions of witnesses; • explain the weight given to an independent, third party. 	Outcome letter revised and reissued, within requested timescale, with a letter from the USCO.

The following feedback was provided by the SPSO, following a complaint raised against the University by an ex-student, during 2019/20. These are not formal recommendations and no confirmation to SPSO was required.

Complaint	Outcome	Feedback	University Response
Various concerns raised about Fitness to Practice Procedures (FTP).	No further investigation by SPSO.	The University's complaint response did not specifically address a point made by the complainant. It is good practice for complaint responses to address all the issues raised and the University may want to reflect on their complaint handling in this case.	This was fed back to the investigators. However, it should be noted that the complainant had raised an earlier complaint with the University which had dealt with issues related to this point, therefore this investigation dealt only with the FTP complaint.

**Statutory Advisory Committee on Safety and Occupational Health
Annual Safety, Health and Wellbeing Report
2019/2020**

Sections

1. Executive Summary
 2. Consultation and Trade Union Involvement
 3. Health & Safety Management
 4. Planning & Reporting on objectives and priorities
 5. Review & Approve OH Corporate written arrangements
 6. Monitoring
 7. Enforcement Authorities Involvement
 8. Health & Safety Staff training
 9. OHS Audit Programme
- Appendix 1 – OHSaW Policy
- Appendix 2 – OHSaW Strategic Priority Indicators 19/20

1. Executive Summary

This report updates Court on the activities of SACSOH for the academic year 2019/20, in keeping with the University's Occupational Health, Safety and Wellbeing (OHSaW) strategic priorities. The revised University OHSaW Policy is available within Appendix 1.

2019/2020 was dominated by the emerging Covid-19 virus and subsequent pandemic which necessitated closure of University buildings, and consequently, the report provides detail on the efforts to recover from the business disruption caused by the pandemic and its restrictions. The report also includes, where possible, information relating to 'business as usual' activities undertaken by the corporate Safety, Health and Wellbeing (SHaW) team.

Since mid-January 2020 SHaW have been monitoring the situation with Covid-19 and developing guidance to ensure the health, safety and wellbeing of our staff, students, visitors and contractors. Initially this was done by alerting staff and students travelling to or returning from overseas on University business about the symptoms and precautions to protect themselves. When the virus started to spread across Asia the University Incident Response Team convened in January and holding 14 meetings to co-ordinate actions and communications to keep the University community safe and informed in line with government advice. As the number of cases in the UK increased and a positive case was recorded in Scotland, the Incident Management Team/Crisis Management Team was convened in late February. When lockdown was introduced by the Scottish Government and all staff were working from home and students were studying remotely, the Executive Team acted as the Emergency Management Team, with meetings held daily throughout the lockdown, following by twice-weekly meetings. The Incident Response Team was reformed as the Operational Business Continuity Group, which met were between April and May to co-ordinate actions and communications and to ensure the safety of essential staff and remaining students residing in student accommodation. In May, the Return and Resume Development Groups (Strategic and Tactical) were formed to concentrate on assisting research groups working in the national interest to return to their labs and to plan for other research to re-commence and to make arrangements for the start of the academic year.

The Occupational Health, Safety and Wellbeing Strategic Priority Indicators have been reported in Appendix 3, however there has been limited analysis of these indicators in light of the need to divert resources and effort to respond to the COVID-19 pandemic.

2. Consultation and Trade Union Involvement

- 2.1. Campus Trade Unions were participated in weekly meetings as a subset of the CJNCC following the closure of the University in March 2020. The meetings allowed University senior management to maintain regular dialogue with the campus Trade Union Representatives to consult them on matters relating to planning, such as Working at Home and Return and Resume.
- 2.2. An extraordinary meeting of SACSOH was convened in June to give Committee members an opportunity to be consulted on the proposed return and resume management

arrangements, which had been developed by a number of workstreams feeding into the Return and Resume Development Group.

- 2.3. SACSOH met for two of the three planned Committee Meetings of the annual cycle, where the regular business of the Committee was conducted, the highlights of which are identified in the following sections of this report.

3. Health and Safety Management

- 3.1. The Executive Team established the Return and Resume Delivery Group at strategic (RRDG (S)) and tactical levels (RRDG(T)). Reporting to the Executive Team, this provided governance and oversight for the University's recovery and resumption of campus activities.
- 3.2. There was significant effort by SACSOH members who were represented on RRDG and a number of workstreams, to provide support to the return and resume process, initially involving research groups engaged in Covid-related projects.
- 3.3. The returns application and approval process for all University personnel and third parties was developed and captured in the Readiness Approval Flowcharts. The process was supported by a management pack, including application and approval forms and risk assessment templates.
- 3.4. The Head of Safety, Health and Wellbeing was appointed by the Chair of RRDG(S) to lead the Safeguarding and Compliance workstream to provide competent health and safety advice and written guidance to support RRDG (T) Workstream Leads to fulfil the legal duties placed on the University of Strathclyde and ensure the university was compliant with Scottish Government, public health, HSE and higher education sector guidance with regard to staff, students and contractors during each of the planned return and resume phases.
- 3.5. The Roles, Responsibilities & Accountabilities OHS Management Standard was approved by SACSOH in September 2019 and launched across the University in November. The document outlined the safety, health and wellbeing roles, responsibilities and accountabilities for all staff, students and other interested parties engaged with the University, to implement the University's Occupational Health, Safety and Wellbeing Policy at each level of the organisation.

4. Planning and Reporting on Objectives and Priorities

- 4.1. Following a very rigorous application process, the University was awarded the Royal Society for the Prevention of Accidents (RoSPA) Silver Award in July 2020 in recognition of its commitment to achieving excellent health and safety standards.
- 4.2. The NHS Scotland's Healthy Working Lives Gold Award was retained for a 5th consecutive year. Due to the demands on Public Health Scotland the award team have delayed revalidation requirements until 2021 and all those institutions holding the award can retain the award until such time as they can be re-assessed.
- 4.3. The new University website templates have been used by SHaW to improve the communication and accessibility of health and safety information within the organisation.

This has been particularly beneficial for departments seeking information on how to plan and return to campus safely and for staff who continue to work from home.

- 4.4. An online system to improve the reporting of accidents and incidents was successfully procured following a submission to the Digital Campus Sub-Committee. The system will be developed and implemented in collaboration with colleagues from Security Services and Student Experience during 2020/21.
- 4.5. The University Secretary and Compliance Officer was provided with regular updates and briefings on health and safety issues and corporate risks by the Head of Safety, Health and Wellbeing. These updates coincided with Executive Team Meetings and continued until the University closure in March 2020.

5. Review & Approve OH Corporate Written Arrangements

- 5.1. In line with the remit of the Committee, significant effort was invested to improve the quality of the health and safety management system before and during the lockdown period, including guidance and information for departments.
- 5.2. In response to the closure of the University and to help staff work safely at home, members of the SHaW team developed guidance and checklists for the Wellbeing and Working from Home Hub. User guidance for display screen equipment was updated to manage the risks from working on a computer while at home, homeworking checklists were developed and a template homeworking risk assessment made available for adaption by University colleagues.
- 5.3. To keep staff up to date with the latest requirements from the WHO, UK and Scottish Governments, Foreign and Commonwealth Office, Health Protection Scotland and sector guidance and the SHaW website provided a range of guidance and information, including a series of Frequently Asked Questions. This information continues to be under constant review to ensure it continues to be up-to-date and relevant.
- 5.4. Research in the national interest meant a small number of research groups returned in Phase 1 followed by more research groups in Phase 2, followed by staff groups and third parties in Phase 3, as the lockdown restriction eased. SHaW supported the returning groups with written processes and supporting template documents. SHaW contributed to the Building Readiness part of the approvals process in conjunction with colleagues in Estates Services by conducting a Fire Safety Re-Occupation Checklist for each building before it was re-opened.
- 5.5. To prepare staff returning to campus the SHaW Team developed a 'Return to Campus Safety, Health and Wellbeing Pack' containing a Return to Campus Leaflet and an Induction Checklist guidance document for departments. All returning staff are currently required to complete a Return to Campus Agreement and a Health Self-Assessment. A set of Covid-19 specific guidance documents have been developed to ensure continued compliance with health and safety regulations and requirements introduced by the Scottish Government. These include 'First Aid', 'PPE and Face Coverings', 'Cleaning and Hygiene', 'University Buildings New Working Arrangements' and risk assessment guidance. Currently under development is a suite of documents designed to support staff and students in the event that positive cases are identified on campus.

- 5.6. A number of OHS Standards were approved by SACSOH during the reporting year. The Standards, which provided operational control arrangements for specific hazard groups, including ionising radiation, biological safety, road risks and electromagnetic frequencies.

6. Monitoring

- 6.1. Consistent with the remit of SACSOH and the University's safety management system, the SHaW team, in conjunction with University stakeholders, developed a plan to provide assurances to RRDG (S) that the return and resume processes adopted by departments were working correctly. The plan detailed a requirement for weekly self-monitoring by departments and monthly assurance visits by SHaW. The scope of the assurance plan extended to contractors and third-party organisations working in University buildings. Guidance was also developed to support HoDs and DSCs in maintaining a safe working environment.
- 6.2. Monthly fire safety checks within University buildings have been in place for a number of years. During the return and resume phases the schedule was maintained to ensure the safety of any remaining building users in the event of a fire. The University Fire Safety Adviser liaised with departmental fire safety contacts and continued to progress the checks where local resources were no longer working on Campus.
- 6.3. Health assessments were recommended by the Scottish Government, the Society of Occupational Medicine and the Faculty of Occupational Medicine, for those returning to work. There have been 116 return to work health assessments referred to Occupational Health Team to date, with outcome reports provided to managers enabling them to protect staff who are more at risk of becoming seriously ill if they contract Covid-19. This process has helped managers to prioritise which staff should continue to work from home, or to assess the capacity in which staff can return to campus. These assessments are intended to be temporary during the initial return to work phases to ensure vulnerable staff are not exposed to increase risk.
- 6.4. The University's Occupational Health Service completed the scheduled statutory health surveillance programmes for staff and students for the 2019/20 period. The HSE executive recommended suspension of physical testing since the Coronavirus emergency so lung function testing, and audiometry have temporarily paused. This has been replaced by paper screening for those staff returning to work (mainly researchers). It is anticipated that the demand for statutory health surveillance will be reduced temporarily in the coming period as there are significantly reduced staffing numbers on campus. 316 staff were screened 2019-2020.
- 6.5. The occupational hygiene programme continued with 13 surveys being carried out, covering 3 different types of monitoring across 5 departments. The most common types of surveillance undertaken was noise (46%), vibration (15%) and air (39%) monitoring. Where results of occupational hygiene monitoring recommend health surveillance, a referral is made to the OH Service.

7. Enforcement Authorities Involvement

7.1 SHaW and Estates Services collaborated successfully to revise the written arrangements for management of asbestos on campus in advance of a planned HSE inspection visit in August 2019. The management arrangements were deemed to be excellent by the HM Inspector.

8. Health & Safety Staff Training

- 8.1. Training of staff in new ways of working was an essential component of the return to campus process. To support staff the OHS training arrangements were reviewed and following engagement with university stakeholders, an online induction course was developed with supporting guidance for returning staff, contractors and third parties.
- 8.2. In recognition of the new ways of working and the reduced number of fire marshals available within the cohort of returning staff, an online fire safety training course was developed.
- 8.3. Delivery of the planned OHS Training Programme, in particular the content delivered in a classroom environment, was impacted by the lockdown and on-going restrictions associated with the Covid pandemic. The SHaW Team began reviewing the Training Programme, prioritising the needs of those groups who had returned to campus to ensure an accessible training programme remained in place, and alternative means of training delivery was adopted where practicable to do so. In anticipation of 'homeworking' being a long-term solution for many staff, options will be developed to ensure that staff have access to appropriate training to ensure they remain safe and well whilst working at home. Training to support staff who work from home will add to the guidance, checklists and risk assessments already available on the Wellbeing and Working from Home Hub.

9. OHS Audit Programme

- 9.1. To support compliance with the International Standard ISO 45001, the SHaW Team initiated a gap analysis of the University's Corporate Safety Management System which will be used to inform the OHS auditing system.
- 9.2. There was engagement and collaboration with representatives from the British Standards Institute (BSI) on the opportunities and pathway to certification for ISO 45001. BSI have presented the University with proposals for training, gap analysis and certification services.

Appendix 1

September 2020

OCCUPATIONAL HEALTH, SAFETY AND WELLBEING POLICY STATEMENT

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 v1.3
Issue Date: September 2018

Owner: Head, Safety, Health and Wellbeing
Last Review Date: September 2020

Page 1 of 1
Next Review Date: September 2021

For the latest version of this document please go to <https://www.strath.ac.uk/safetyhealthwellbeing/>

Appendix 2 OHSaW Strategic Priority Indicators 2019 - 20

Strategic Priority	2019/20	2018/19	2018 (calendar year)	Comment
Leadership and Commitment				
Number of Executive Team and Court Members attending IOSH Leading Safely Course.	0	4	0	
Risk Control				
No. of RIDDOR reportable incidents.	3	6	10	
No. of RIDDOR reportable accidents involving students as a proportion of the total.	0%	50%	40%	

No. of HSE regulatory enforcement action.	0	0	0	
Total no. of near miss incidents.	41	75	62	
Total no. of near miss incidents which could have resulted in a major incident or fatality.	1	3	2	
Total no. of fire incidents	4	3	3	
% of Fire Risk assessments completed against plan	81%	97%	100%	
Communication and Engagement				
No. of staff participating in SHaW promotional events	67	569	406	

No. of joint departmental H&S inspections completed in collaboration with the SHaW Advisory Team	13	10	Figures not available	
No. of departmental H&S committee meetings attended by a member of the SHaW Advisory Team	28	32	Figures not available	
Training and Competence				
No. of participants attending the SHaW classroom training programme	744	993	917	
No. of staff having completed the online stress awareness course provided by the British Safety Council	134	132	Figures not available	
Performance Management				
No. of OHS Audits conducted against plan	3 (of 8)	5 (of 8)	5 (of 5)	

Number of OHS audit recommendations closed and complete	24	12	Figures not available	
No. of management referrals to OH for work-related illness <ul style="list-style-type: none"> • Mental health • Musculo-skeletal disorder 	49 16	45 20	62 22	

Executive Team Report to Court

The Executive Team (ET) met on 1 July, 8 September and 23 September, in addition to regular meetings, at least weekly, for management of the University's response to the Covid-19 pandemic, in its capacity as the University's Emergency Management Team. The following key items were discussed by the Executive Team and are provided here for Court to note:

1. Management of the Covid-19 pandemic response

ET took and/or reviewed a number of decisions in key areas, including

- management of the University estate (including residences);
- volunteering by University staff and students;
- establishment and funding of a dedicated hardship fund;
- appropriate use of the government Job Retention Scheme;
- HR procedures and policy in relation to workers and employees on atypical contracts;
- the framework for bonus payments for exceptional contributions by staff (in relation to the Covid-19 crisis and otherwise);
- extensions to PhD stipends for students not funded by UKRI;
- the provision of 'rest and recuperation' days during the crisis;
- procurement of face coverings;
- co-ordination of efforts to contribute to tackling the pandemic from within the University and from external organisations, in particular in manufacturing and supply chain management;
- approval of actions to support a staged return to on-campus activities, as proposed by the Return & Resume Development Group (RRDG);
- establishment of a Strategic Campus Recovery Group, reporting to RRDG;
- arrangements for learning and teaching in the new academic year, in line with government guidance on management of the pandemic;
- systematic monitoring of key strategic investments in the context of the impacts of the pandemic;
- suspension of international exchange schemes in Semester 1 of the new academic year;
- regular reporting on student recruitment;
- additional January starts for selected taught postgraduate programmes.

2. Response to SFC consultation on the Review of Coherent Provision and Sustainability in Further and Higher Education

ET considered and approved a draft University response to the Scottish Funding Council's initial consultation on Phase 1 of its Review of Coherent Provision and Sustainability in Further and Higher Education.

3. REF 2021

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

4. Agile Working Toolkit

ET considered a draft Agile Working Toolkit, noting that it offered ways to build on the experience of home working as undertaken by most of the University's staff during the height of the pandemic, both in the immediate future and in the longer term.

5. Corporate Risk Registers

ET received the updated Corporate Risk Register and Covid-19 Risk Register and approved these for transmission to Audit & Risk Committee.

6. Annual Operating Plan

ET endorsed a near-final draft of the Annual Operating Plan for completion and circulation to Court, in line with an expectation of the Scottish Code of Good Higher Education Governance.

7. Strathclyde Cloud Programme Business Case

ET approved the Strathclyde Cloud Programme to start in August 2020, with early pilots beginning immediately in HaSS, and agreed the goals for the programme, as recommended by Information Strategy Committee.

8. Q4 Complaints Handling Report

ET received and noted the University's Q4 Complaints Handling Report.

9. Health & Care Futures and University Status for NHS Boards

ET received an update on work conducted under the University's Health & Care Futures initiative, approved proposals to grant University Status to NHS Lanarkshire for transmission to Senate and Court, and noted on-going discussions concerning possible similar relationships elsewhere in NHS Scotland. ET also approved a Framework Agreement for future collaborative work with NHS Lanarkshire.

10. NMIS Steering Group

ET approved changes to the governance arrangements for the National Manufacturing Institute Scotland (NMIS), commensurate with the stage of development of NMIS.

11. Strategy Sessions

ET held two sessions, one of these with a wider group of those in leadership positions in the University, on development and implementation of the University's strategy in the light of the Covid-19 pandemic.

12. Renegotiation of EIB covenant

ET approved an outline approach to renegotiation of the University's debt covenant with the European Investment Bank to take account of the potential impacts of the pandemic, as previously agreed by Court.

13. Annual Statement on Institution-led Review of Quality

ET endorsed the Annual Statement on the Institution-led Review of Quality for submission to QAA Scotland, subject to approval on behalf of Senate, and transmission to Court.

Senate Report to Court

Senate met on 3rd September 2020. The Senate meeting took place online (via the Zoom platform) in accordance with measures in place to minimise the spread of Covid-19.

This report provides Court with key points from the Senate meeting.

FOR APPROVAL

Senate invites Court to **approve** the following recommendation considered and endorsed by Senate on 3rd September 2020:

1. University Status for NHS Lanarkshire

Senate considered a proposal approved by the Executive Team that University Status for NHS Lanarkshire be agreed with the University. Senate welcomed the consolidation of this strategic and collaborative partnership which would provide additional benefits to the Student Experience through increased opportunities for Learning and Teaching, Research and CPD. Senate **endorsed** the proposal that NHS Lanarkshire be granted University status and **recommended this to Court for adoption**.

FOR NOTING

Senate invites Court to **note** the following items considered by Senate on 3rd September 2020.

2. Report from Senate Business Committee:

Senate Business Committee (SBC) noted at its meeting on 21 August 2020 that, since the last meeting of Senate on 3 June 2020, the Collaborative Provision Agreement (CPA) Subgroup had considered eleven new agreements (comprising validation, articulation, joint PhD supervision and Study Abroad arrangements).

Senate was invited to consider and approve the reports for the September Senate meeting. Senate approval was given where requested in the reports, and is documented in the formal minute of the Senate meeting.

Senate homologated the following Convener's Actions approved by the Principal on behalf of Senate since the last Senate meeting:

- a. The revision of the timeline for Boards of Examiners and associated processes leading to conferment of degree awards for students graduating from MBA and SBS Faculty Unit programmes in November 2020;
- b. The approval of eleven new scholarships following approval by Quality Assurance Committee via Convener's action. These scholarships have all been approved by the relevant Boards of Study;
- c. Specific recommendations pertaining to the implementation of the 'No Detriment' Policy (NDP Policy) being extended to include the resit diet; and
- d. Out of Cycle approval of a request from Strathclyde Business School MBA Unit to create the new Executive MBA programme to integrate the current part-time and flexible learning MBA study modes to a new Executive MBA 2-year part-time programme.

Senate deferred consideration of the Annual Statement to the Scottish Funding Council on Institutional Quality and Institution-Led Review. This was currently being produced by Education Enhancement. Instead, it was agreed that, following endorsement via QAC and ESC, the report would be circulated electronically to Senate Business Committee members for approval and recommendation via Senate Convenor's Action to Court for endorsement ahead of the end of September deadline. The full report would be shared with Senate at its November meeting.

3. Principal's Report

The Principal welcomed new members of Senate and provided a comprehensive report on news and items of interest since the last meeting, covering the following key topics:

- Covid-19 News
- Intake for AY2020-21
- Start of the Academic Year
- The Strathclyde Student Pledge
- SFC Review of Coherent Provision and Sustainability
- UK and Scottish Government funding and support
- Agile Working
- Principal's Staff Engagement Sessions
- Sustainable investment plans
- Awards
- Research news
- Honorary Degrees – nominations proposed by the Honorary Degrees Committee to be shared with Senators in confidence for comment.

4. Substantive Items of Business

Senate received brief updates on the following items:

- i. The Deputy Associate Principal (Learning and Teaching) and Director of Education Enhancement presented Senate with a summary of the National Student Survey (NSS 2020) results. Positive headline messages were highlighted, demonstrating that the University had maintained its position in the top quartile in the UK for 'Overall Satisfaction' for the second year in a row (achieving 86.36%), moving up from 33rd to 31st of the 153 HEIs in that category. In terms of next steps, there would be a continued focus on the two key areas of Assessment & Feedback and Organisation & Management and this would be progressed through on-line fora, sharing good practice and reflecting on the challenges of blended learning.
- ii. The StrathUnion President shared priority issues for the coming academic year; the top priority being supporting students through the COVID-19 pandemic and ameliorating its impact. The StrathUnion President was appreciative of the measures put in place by the University to support students during the pandemic, making particular reference to work of the Return and Resume workstreams and the strong communications from the University that had helped alleviate students' fears. Key areas of student focus included (i) the financial impact of tuition fees given necessary changes to modes of delivery, (ii) extended or local lockdowns and travel restrictions, and (iii) social isolation and limited interactions with peers. Freshers and Welcome events have been moved on-line and adapted for the gradual arrival

of students extending over four weeks. The Student Mental Health Agreement was being developed and would soon be brought to the Student Parliament - its timely introduction was welcomed.

- iii. The Chief Financial Officer presented Senate with a financial update focusing on the current forecast on the 2020/21 budget and the impact of the pandemic, addressing uncertainties facing the HE sector that had been widely reported in the media. It was reported that the University was in robust financial health, in a position of relative strength and would continue to seek out opportunities for growth.
- iv. The University Secretary and Compliance Officer presented Senate with an informative update on Return and Resume Development Group measures introduced in accordance with Phase 3 the Scottish Government's COVID-19 route map in terms of how the campus looked, new procedures, systems and signage in place for campus navigation mindful of spatial distancing and hand hygiene requirements, and detailing the re-opening schedule for buildings and facilities with reduced occupancy.
- v. The Vice-Deans Academic followed this by presenting a brief overview of the plans within each Faculty for the delivery of learning and teaching within Semester 1 of AY2020-21 within an agreed framework. The SoTAY Continuity Group's planned approach was outlined, transitioning from an initial online approach to blended learning which would include increasing levels of on-campus activity during the remainder of the first semester. Senate was satisfied that both the general approach and Faculty interpretations offered focus and agility and were consistent with the University's and Scottish Government expectations.

Court Business Group Report to Court

The following items were discussed by Court Business Group on 23 September 2020 and are provided here for Court to note.

1. REF update

CBG received a report on preparations for the REF2021 submission. The current focus of preparations was on enhancing Environment and Impact statements and case studies. The University continued to take a conservative approach in estimating outcomes.

2. Student Recruitment and fee income 2020/21

The Director of Strategy & Policy and the Chief Financial Officer updated CBG on student recruitment and fee income. Because of the Covid-19 pandemic, the picture was more complex than in other years and the data likely to be subject to change for a longer period.

Widening Access admissions were very close to the target set by the Commission on Widening Access. The University was not expected to exceed tolerance levels for recruitment of SFC-funded students. In general, recruitment of home and rUK students at both undergraduate and PGT levels was strong. Research postgraduate recruitment was showing growth from the previous year.

[Reserved]

The University was engaged in co-ordinated communications efforts to provide as much reassurance as possible to new and continuing students.

3. SFC Outcome Agreement: update

The Director of Strategy & Policy outlined the current position regarding the University's Outcome Agreement with the Scottish Funding Council (SFC). The SFC had suspended the Outcome Agreement process in response to the pandemic crisis, but Strathclyde had submitted its near-final document for the previous year, with appropriate caveats.

No guidance had yet been received regarding the current academic year's Outcome Agreement process, but the University and the wider sector were in dialogue with the SFC. Both the content and timing of the process were expected to differ from other years.

4. Corporate Risk Register

The University Secretary & Compliance Officer (USCO) presented the two corporate risk registers, one being dedicated to risks relating to Covid-19 and the other a continuation of the pre-pandemic register. The intention was to merge these two registers in the near future, with input from the Executive Team, as 'risk owners'.

5. National Student Survey 2019/20: Results and Reflection

CBG received a summary of key results of the National Student Survey (NSS), which had been largely completed prior to the Covid-19 crisis. Strathclyde's results showed that the gains of the previous year had been maintained and significant improvement made in many areas, with the overall satisfaction rating improving relative to the University's benchmark group.

Full analysis would be carried out of areas in which improvement had been evident and where more work was required, to learn lessons from both. Past successes had been used to disseminate good practice more widely across the University and this approach would continue.

6. Draft Court agenda, 6 October 2020

CBG **approved** the agenda, subject to minor adjustments.

Court Membership Group Report to Court

The following items were discussed by Court Membership Group on 23 September 2020.

1. Enterprise & Investment Committee: Amendment to Terms of Reference

CMG **approved** the removal from the terms of reference of Enterprise & Investment Committee of the numerical upper limit on co-opted members of, in order to create more flexibility in the future management of the committee's skills profile. CMG **recommended to Court** the amendment of relevant Ordinances to effect this change.

2. Recruitment exercise for lay members of Court

CMG discussed the recruitment of lay members, noting that a relatively large number of vacancies would arise at the end of the current academic year. CMG agreed that Court should seek to engage new members of the highest calibre, while also seeking to use the opportunity to increase the diversity of Court's membership. CMG agreed that the recruitment process should proceed immediately, with oversight of this delegated to the Convener, Vice-Convener and Senior Deputy Convener, in frequent communication with CMG.

3. Court members' survey

CMG received a summary of the results of the annual survey of Court members.

Report to Court from Audit & Risk Committee

The Audit & Risk Committee met on 2 September 2020 by videoconference.

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

1. REF Preparation

The Research Policy Manager took Members through a summary of the preparations underway for REF2021, the revised timetable for submission and the impact of the pandemic and associated delays on preparations. The University was continuing to work on its REF submission as planned and had not made significant changes to the process although the best possible use would be made of the extension to the submission date.

Events that had been planned to support impact cases had successfully moved online and the University would make full use of the extension to the submission deadline to collect evidence of impacts. The impact on the team of the disruption had mainly been the result of increased workloads for academic staff moving to online teaching. The centralisation of the work to fully develop the submission with the REF team had gone some way to mitigate this. The greatest risk remained converting potential ratings into reality and a more extensive scoring system had been used to try to mitigate optimism bias.

2. IAS Activity Report

The Committee noted the Audit Plan for 2019/20 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 disruption and move to home working.

IAS had updated the Key Control Checklists, to reflect changes in University, regulatory and legislative requirements, and issued them in May requesting that, where there had been any alterations to embedded key control practices due to altered working practices, these be highlighted in the comments section of each subject area. A minor number of alterations due to homeworking, such as alternative right to work check arrangements, pausing of departmental health and safety inspections and increases in incidental business expenditure due to the purchase of equipment for use during remote working, were noted.

The 2020/21 Audit Plan, which included several planned reviews with Covid-19 related impact, would be kept under review in case of a requirement to swap in other risk areas or to review what could be achieved given the anticipated, extended timescales occasioned by remote working.. . Any changes required to the Plan would be reported to ARC for approval.

3. IAS Annual Report 2019/20(Draft)

The Head of IAS presented the Draft report noting several updates that would be made before the report was finalised at the November meeting. IAS had continued working on a business as usual footing and had delivered the full audit plan enabling them to give a standard opinion. Members supported IAS decision to complete the audit plan and issue a standard opinion.

4. Audit Report: Review of Discretionary Funds

Members noted the Report on the review of Discretionary Funds, which had been extended to include the Covid-19 Hardship Fund, and the overall grading of reasonable assurance. One medium risk and four low risks had been identified along with several examples of good practice which included an in-house model used to calculate the level of shortfall or surplus. The medium risk related to the consistency of financial information recorded on the Funding and Financial Support Database System and Finance Management System (FMS). The low risks were opportunities for improvement rather than control weaknesses.

5. Audit Report: Review of Procurement – Tender Process

Members welcomed a report on the review of Procurement and the overall grading of substantial assurance. Two low risks/ opportunities for enhancement had been identified along with extensive evidence of good

practice. Procurement had been externally audited in October 2019 by the Procurement & Commercial Improvement Programme ('PCIP') and received an Assessment Rating of 88% (Performance Band F1), which was above the 70% threshold of the highest scoring range.

6. Audit Report: Review of International Travel

The Head of IAS introduced the Review of International Travel noting that the review had been split into two tranches: the first formed part of the 2019-2020 audit plan and the second would be undertaken at the beginning of the 2020-21 audit year. This interim report summarised the work completed in the first tranche. The timing of the review had been fortuitous as international travel had been paused due to the pandemic. There was therefore an opportunity to reflect on future plans taking duty of care, value for money and carbon footprint into account.

It was envisaged that a workshop would be undertaken with key stakeholders, once both tranches of the work had been completed, to facilitate a transparent and collaborative approach to identifying the management actions required to address IAS findings. A standard audit report and action plan would be presented to ARC which would provide full detail of the work completed in both tranches.

7. Review of Corporate Risk Register

The USCO introduced the Corporate Risk Register which was in two parts: a non Covid-19 risk register, which was developed by the risk group from information in Departmental Risk Registers, and a Covid-19 risk register, which was developed at Executive level and was based on the new risk themes that had been developed. To avoid duplication in future reports, it was intended to merge the risk registers into one in order that Covid-19 risk mitigation would become business as usual.

It was noted that the University had begun to learn lessons from its response to the pandemic. For example while pilots of online delivery had been planned, having to move to full online delivery in one weekend had shown that the University was better prepared and equipped to do this than had been previously thought. Lessons would continue to be learned from the response to the crisis and feed into future Business Continuity Planning.

In discussion the following points were noted:

- In a normal year there would be a range of outcomes, in relation to numbers of international students, and some certainty as to which was most likely to materialise, by early September. In the current year this was not the case and, although the University was reviewing the situation on a weekly basis, it was still too early to draw any conclusions;
- Considerable work had gone into building student confidence in coming to Strathclyde and preparations were being made to support students who were required to quarantine on arrival;
- The outcomes of the initial phase of the SFC's review of the sector were expected to be known in late September with a ministerial response expected in October. However, the Review was expected to take considerably longer with the second phase commencing at the end of 2020;
- The Finance risk had increased in likelihood although its rating on the non-Covid-19 register was still medium. However, the associated risk on the Covid-19 register was rated as high. This reflected the fact that general business risks were unchanged. It was anticipated that this would be revised once more information was available at the end of September.

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

8. Addendum to External Auditor's Audit Planning Report 2019/20

The External Auditor introduced the addendum which provided an update on the planned scope and approach to the external audit for 2019/20, which had been approved at the May meeting, in light of the significant impact of the Covid-19 global pandemic on the Higher Education sector. The addendum outlined the key areas of impact for the audit in 2019/20, particularly going concern. Following a review of the consideration of the

overall materiality levels used for the audit, it had been concluded that it remained appropriate to maintain the materiality level at 2% of revenue.

The University was required to prepare their financial statements on a going concern basis and any material uncertainties potentially impacting the going concern basis should be appropriately disclosed. In light of the unprecedented nature of Covid-19, its impact on funding and uncertainty over the form and extent of government support as well as the future of other key income streams, there would be a significantly increased focus on management's assessment regarding the going concern basis of preparation in the financial statements. International student data would be key to this assessment and the uncertainty surrounding this would potentially delay the finalisation of the financial statements.

It was anticipated that the audit opinion issued would be unqualified with an Emphasis of Matter. This would not be classed as a modified opinion and was the most common form of opinion being issued since the outbreak of Covid-19.

9. Audit & Risk Committee Annual Report 2019/20 (Draft)

Audit & Risk Committee **noted** the draft report and the opportunity to provide comments, directly to the Committee Manager, ahead of the November meeting. Members suggested that further disclosure around the effects of the pandemic and remote working on the control environment should be added to the Annual Report and also to the Statement on Corporate Governance and Internal Control. Paragraphs on the enhanced work taking place over going concern and enhanced disclosure around the impact of the UK's departure from the EU should also be added.

10. Review of 2019/20 Accounts Direction from the Scottish Funding Council

Audit & Risk Committee **noted** the paper.

11. 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 suggested that further disclosure around the effects of the pandemic and remote working on the control environment should be added to the Statement on Corporate Governance and Internal Control. Paragraphs on the enhanced work taking place over going concern and enhanced disclosure around the impact of the UK's departure from the EU should also be added.

12. IAS Internal Audit Charter

Audit & Risk Committee **noted** and **approved** the refreshed Internal Audit Charter.

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 10 SEPTEMBER 2020

Strategic Recruitment

The Strathclyde Global Talent Attraction Programme (GTAP) 2019/20 has now concluded though the University continues to proactively seek talent. The past year's campaign received an unprecedented number of applications with 1358 applications received from 1191 applicants. This resulted in 42 successful appointments (16 Professor / Reader, 26 Chancellor's Fellowships) with 40 of those now in post.

National Pay Negotiations

In April UCEA made a final offer relating to the 2019/20 pay round that included extensive proposals on the non-pay items of the Union claim relating to workload, gender equality and casualisation. UCU undertook a consultative ballot in July with a member turnout of 30%. Of those that voted, 61% rejected UCEA's final offer. UCU have indicated that they will not take any further steps until the autumn when a UCU special Higher Education (HE) conference will decide on whether or not to continue the dispute over the 2019-20 round.

At the first JNCHES meeting on the 7 July, UCEA indicated that they had did not have a mandate to offer any increase to pay for 2020-21. UCU, UNISON and Unite rejected this but have indicated that they are willing to hold further meetings to discuss the non-pay elements of the unions' claim. UCEA has agreed to a JNCHES meeting in autumn to review the financial position of the sector and, if circumstances allowed, to begin negotiations for the 2021-22 pay round earlier in the calendar year.

Pension Provision

During the summer, the USS trustees held a consultation on new arrangements for the monitoring of debt levels amongst USS employers. In its response to the consultation, the University highlighted its concerns with the proposed timescales for the potential changes.

A further USS consultation has since been launched on the proposed Technical Provisions assumptions for the 2020 valuation. The Committee were provided with overview of the potential ranges on the fund deficit and the cost of maintaining current benefits as a percentage of payroll based on the initial information contained in the consultation. The CFO, Steven Wallace, will lead the University's response to the consultation.

Equality, Diversity & Inclusion

A University Race Equality Working Group (REWG) is being established, chaired by Professor Krishna Paudyal, Vice Dean (Research), Strathclyde Business School. The group will report to the Equality, Diversity and Inclusion Committee (EDIC) and Staff Committee will receive updates on this important work.

The Committee approved the draft updated Equality, Diversity & Inclusion Policy prior to it being submitted to Senate for final approval.

Draft University Community Code

The Committee reviewed a draft version of a new 'behavioural code' for staff and students which was a key deliverable of the 'Strathclyde Pledge' in the People Strategy. This Code

was due to be subject to further consultation with staff and student groups including the trade unions, with the subsequent versions to be shared with the Committee.

Draft Agile Working Toolkit

The Committee reviewed the draft Agile Working Toolkit which gave guidance to staff and managers on new flexible and agile ways of working. The Committee confirmed their support for the toolkit noting the importance of this new way of working.

GS/JF

21.09.2020

Enterprise & Investment Committee
[RESERVED ITEM]