UNIVERSITY COURT – AGENDA

Tuesday 5 October 2021, 09.30-12.30
By videoconference:

Apologies: TBC
Declarations of interest: None

	Introduction	
1.	**Minutes of the meetings held on 17 June 2021 and 30 August 2021**	**Paper A**
		Paper B
		5 mins
2.	**Matters arising**	**Oral**
3.	**Principal's Report** *Principal*	**Oral** *40 mins*
	Substantive items	
4.	**Student Recruitment 2020/21** *University Secretary & Compliance Officer*	**Oral** *10 mins*
5.	**SFC Outcome Agreement update** *University Secretary & Compliance Officer*	**Paper C** *10 mins*
6.	**Corporate Risk Register** *University Secretary & Compliance Officer*	**Paper D** *10 mins*
7.	**Court Strategy Session, November 2021 – initial planning** *Convener, Principal*	**Oral** *10 mins*

	Items for formal approval	*20 mins*
8.	**Amendment to the Ordinances: Associate Principal positions**	**Paper E**
9.	**Convener's Action:** Establishment of an International Centre in Belgrade, Serbia. For homologation.	**Paper F**
10.	**Annual review of key Court documentation 2021/22:** a) Court Standing Orders b) Handbook for Members of the University Court, incorporating c) Court's Statement of Primary Responsibilities d) Schedule of Delegated Authority	**Paper G**
11.	**Annual Statement on Institution-led Review of Quality for Scottish Funding Council, Academic Year 2020/21**	**Paper H**
	Items for information	*10 mins*
12.	**Court Members' Annual Survey 2021**	**Paper I**
13.	**Complaints Handling Annual Report 2020/21**	**Paper J**
14.	**Health & Safety Annual Report and Strategy update** For approval: amendment to SACSOH Terms of Reference	**Paper K**
	Committee reports *(for noting, unless otherwise stated)*	*5 mins*
15.	**Executive Team**	**Paper L**
16.	**Senate**	**Paper M**
17.	**Court Business Group**	**Paper N**
18.	**Court Membership Group** For approval: appointments of Court members to committees For noting: election of staff members of Court (by Academic Staff and by Senate)	**Paper O**
19.	**Audit & Risk Committee**	**Paper P**

20.	Staff Committee	Paper Q
21.	Enterprise & Investment Committee	Paper R
	Closing remarks	**5 mins**
22.	Any other business	

Date of next meeting
25 & 26 November 2021

MINUTES OF UNIVERSITY COURT
17 June 2021
Meeting held by videoconference

Present: Dame Sue Bruce (Convener), Paula Galloway (Vice-Convener), Professor Sir Jim McDonald (Principal), Virginia Beckett, Dr Jeremy Beeton, Dr Archie Bethel, Linda Brownlow, Kayla-Megan Burns, Ronnie Cleland, Alison Culpan, Andrew Eccles, Gillian Hastings, Dr Barbara Keating, Susan Kelly, Professor Scott MacGregor, William McLachlan, Dr Katharine Mitchell, Malcolm Roughead, Heather Stenhouse, Marion Venman, Peter Young

Attending: Professor Tim Bedford, Professor Douglas Brodie, Adrian Gillespie, Professor David Hillier, Professor Atilla Incecik, Dr Veena O'Halloran, Professor Ian Rivers, Gordon Scott, Professor Eleanor Shaw, Rona Smith, Professor Iain Stewart, Steven Wallace, Dr Daniel Wedgwood, Manish Joshi (item 8), Olga Kozlova (item 11), Kirsty MacLeod (items 4 & 5), Lucy Noble (items 4 & 5)

Apologies: Chelbi Hillan, Stephen Ingledew, Councillor Ruairi Kelly

Welcome and apologies

The Convener welcomed Court members and attendees to the meeting, noting apologies as above.

No interests were declared.

1. Minutes

Court **approved** the minutes of the meeting held on 11 May 2021.

2. Matters arising

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

3. Principal's Report

The Principal updated Court on recent developments, noting that Court was now also being kept informed by receipt of the Principal's weekly messages to staff and the *Inside Strathclyde* bulletin. Key points included the following:

- The University intended to provide opportunities for all recent graduates to attend a graduation ceremony, following the cancellation of such ceremonies during the time of Covid-19 pandemic restrictions.
- The Strathclyde Acceleration Teams were working at pace to progress ideas developed through the Court strategy session in May.
- The Principal was engaging with key figures in and around the HE sector, following a number of significant political and public appointments, including the new Scottish Minister for Higher Education and Further Education, Youth Employment and Training, Jamie Hepburn MSP. Initial engagements were positive in all cases and Strathclyde was well placed to influence and deliver on relevant priorities.
- Following a vote by staff and students, which had attracted high levels of interest, the two parts of the Learning & Teaching Building development were to be named after Professor Dame Jocelyn Bell

Burnell and Professor Mary Dunn. The University was considering ways to honour the other women who had been shortlisted in this process.

- The University's new Chief Digital & Information Officer, Beth Lawton, was to join the University in July.
- The current Executive Deans of the Faculties of Engineering and Science would be stepping down from these roles within the next academic year. The Principal expressed his gratitude to Professor Incecik and Professor Stewart for their significant contributions to the University's success in these roles. A recruitment process would be initiated during the summer, overseen by the Convener and Senior Deputy Convener of Court.
- The Principal was shortly to begin new staff engagement sessions, the fourth round of these sessions since the Covid-19 pandemic had begun.
- The Global Talent recruitment programme was reaching its final stages of the annual cycle. Offers had been made to highly talented researchers at both Chancellor's Fellow and professorial levels. The programme had attracted high quality candidates from around the world. 1400 applications had been received in total.
- The Executive Team had undertaken First Responder training in relation to sexual assault. This training was now to be rolled out through Leadership Group. In this context, the Principal reminded Court of the University's selection as a pilot institution for the EmilyTest Charter on gender-based violence and of the implementation of the QC Inquiry report recommendations (see item 12).
- Strathclyde had become the first Scottish university, and third in the UK, to be accepted as a signatory to the University Global Coalition, a global platform established to support the United Nations' Sustainable Development Goals (SDGs).
- Three members of Strathclyde staff were among the 100-strong cohort selected worldwide this year to take part in the Homeward Bound global leadership programme for women in Science, Technology, Engineering, Mathematics and Medicine.
- The University had seen positive results in national and international rankings, both institutionally and in the performance of individual subject areas. It was noted that such progress came from delivering the University's strategy, not targeting success in rankings.
- Eight members of Strathclyde staff had been elected Fellows of the Royal Society of Edinburgh.

The University Secretary & Compliance Officer (USCO) updated Court on developments in the management of Covid-19. The number of positive tests recorded in the University community had been low and the number of cases continued to be monitored carefully in the context of the easing of national restrictions. Planning was underway for the potential establishment of vaccination sites on campus. The government had announced that international students would be able to benefit from national vaccination programmes within the UK.

The Convener commended the effective and efficient handling of the Covid situation by the University and, more broadly, the University's achievements over the academic year, in spite of the unusual circumstances.

Court **noted** the report.

4. Q3 Business Report 2020/21

The Chief Financial Officer (CFO) presented the core financial data from the Business Report, focusing on progress between the Q2 and Q3 forecasts.

[Reserved] The value of the University's investment portfolio had recovered to a level slightly above pre-pandemic levels. Both income and expenditure were reduced relative to the Q2 forecast (underlyingly, accounting for capital grant recognition), largely due to direct effects of the pandemic. **[Reserved]** The forecasts gave grounds for cautious optimism, based on the expectation of further easing of Covid-19 restrictions nationally.

Members commented that the report demonstrated excellent stewardship of the University's resources. The CFO also provided a brief summary of progress with the Learning & Teaching Building project. The University had taken possession of the building and fit-out was in progress. It was noted that the University had settled,

at an appropriate and proportionate level, a claim from contractors in relation to additional costs brought about by the pandemic. This had been met within the project budget.

The Director of Strategy & Policy summarised other elements of the report. Key points included that:
- the value of research applications was in line with the same reporting stage in previous years;
- the value of research awards was lower than the same point the previous year, but this was partly attributable to uneven distribution of awards and the year-end position would be key;
- PGR numbers would be monitored carefully, as extensions due the pandemic were known to have expanded the overall PGR population temporarily;
- new Global Research Scholarships would help to increase the PGR intake and also mitigate the effects of the change in fee status of EU-domiciled students;
- although global uncertainty remained, student recruitment was showing strong positive trends, with both applications and offer-making showing growth on this point in the cycle in previous years.

Members noted the positive overall picture and commented on the student recruitment figures in particular, noting that the University's overall public profile was strong and continuing to grow, including through good performances in league tables and well-targeted online marketing during the pandemic.
Court **noted** the business report.

5. **Budget, Financial Forecasts and Operating Plan, 2021/22**

The Chief Financial Officer presented the budget and financial forecasts for 2021-23.

The budget would produce a robust cash position and preserve headroom on all debt covenants. No new borrowing was foreseen, although the University would apply for SFC Financial Transactions loans as in recent years.

In the context of global uncertainty surrounding anticipated emergence from the Covid-19 pandemic, the budget was tipped to risk. It had been prepared on the basis of the best available information regarding the re-opening of the economy and the lifting of Covid-19 restrictions and this suggested a near-normal return to operations in most areas. Given the possibility of different scenarios, it was recognised that the University would need to maintain an agile approach in the coming year. Revised cost control mechanisms and an increase in 'stage-gating' for significant investments would contribute to this. This approach to planning would allow the University to capitalise optimally on opportunities in the post-pandemic context.

An overall surplus was forecast on the basis of the budget, but it was noted that a significant item of capital grant recognition, relating to the National Manufacturing Institute Scotland (NMIS) project, heavily influenced this outcome. An underlying breakeven position was budgeted for.

While income from tuition fees was recognised to be a risk area, current indications supported the assumption of a return to growth in this area. The University's successful introduction of PGT courses with January intakes, alongside increasing maturity of online delivery, provided significant opportunities to support budgeted growth.

Budgeted expenditure included provision for the costs of returning to campus in the wake of the pandemic and assumed a reduction in travel costs relative to pre-pandemic levels.

The Treasurer commented that the budget assumptions were well evidenced and that the approach to managing the level of risk in the external environment was well considered. The University's record to date enabled Court to take confidence in both the budget process and the ability to deliver the budget.

Members enquired as to the University's exposure to exchange rate fluctuations. The CFO noted that some parts of the University's operations were affected by exchange rates, notably purchasing of stock for the library, but that the financial implications were not significant in the institutional context.

The Director of Strategy & Policy presented the University Operating Plan. Priorities for the year ahead included the University's response to the impacts of Covid-19, delivery against the Vision 2025 KPIs and embracing the opportunities brought by major new developments, including the Learning & Teaching Building, NMIS, the Glasgow City Innovation District and opportunities around the UN Climate Change

Conference, COP26. It was noted that presentation of the Plan fulfilled a requirement of the Scottish Code of Good HE Governance, in addition to providing additional context to the budget.

Court **approved** the budget and the Operating Plan.

6. TIC Zone Planning: Design Stage 3 Approval

The Chief Commercial Officer (CCO) provided an update on the TIC Zone project. The Covid-19 pandemic had unavoidably brought about delays to the project, in part through its impact on funding partners, but the importance of the potential contribution of the TIC Zone, as a driver of city centre economic recovery, was heightened in the current circumstances and it was well aligned with the priorities of both Scottish and UK governments.

It had been agreed that the project would be phased, with the TIC East building developed first. Estates Committee and the Executive Team had agreed that the building should be designed to the Passivhaus standard, the highest possible environmental standards for buildings of this kind, and to Wellness Design standards.

A full revised business case was to be presented to Court in the autumn. The project was now at a stage where discussions could be progressed with funders for all of the three parts of the funding package.

Approval to commence Design Stage 3 at this stage would prevent delays of some months and would help to create clarity for potential funders. Court's approval was sought in line with an earlier commitment to seek approval for significant new stages in the project.

Members enquired as to the risk of escalating materials costs in the current global environment. The CFO noted that the procurement and planning were being carried out with awareness of this and other risks and with a view to protecting the University from them. The project budget contained appropriate levels of contingency funding.

Court **approved** the next stage of design and contractor procurement and associated costs.

7. Concordat to Support the Career Development of Researchers: Progress Report and Future Plans

The Associate Principal (Research & Innovation) gave a summary of the background to the report. The use of such Concordats was the primary mechanism for setting agreed standards in relation to research across the autonomous institutions of the higher education sector. This new Concordat would complement others that were already well established. The intention was to co-ordinate annual reporting to Court on all relevant Concordats. For this reason, Court had been supplied with a brief interim update at this stage. It was noted that this national Concordat was well aligned with Strathclyde's own work in relevant areas, including elements of the People Strategy and work on PGR experience.

Court **noted** progress within the first year of Strathclyde becoming a signatory to this Concordat and the strategic objectives that would drive progress over the next year.

8. University of Strathclyde Students' Association (USSA) Budget and Plan, 2021/22

The USSA President and Chief Executive presented the Student Union's budget for the financial year 2021/22, noting risks and mitigations in relation to the Covid-19 pandemic and opportunities that would be created by the opening of the Learning & Teaching Building. A number of achievements over the last year were noted, including significant work in tandem with the University to ensure that students were supported in the difficult circumstances of the pandemic. The Union's appreciation was noted in relation to an agreed increase to the block grant received from the University.

The CFO noted the Union's strong cash position and overall resilience in the face of a period of external uncertainty but also significant opportunity.

Members noted the potential impacts of any changes to pensions costs over the coming year. While the budget did not make provision for these, this area was being closely monitored by the Union and its trustees. Members enquired as to the impact of the pandemic on Freshers' Week in the new academic year. The Union had taken the decision not to plan large events under the current circumstances, but hoped to be able both to provide a suitable welcome to new students and to benefit commercially through appropriate use of its venues in the new building.

Court **approved** the budget.

Items for formal approval

9. Court and Committee membership 2021/22

The USCO summarised the proposed membership of Court and its committees for the coming academic year and remaining vacancies to be filled over the summer.

Court **approved:**
- an amendment to the Regulations, with respect to the Terms of Reference of Audit & Risk Committee, to allow the appointment of an additional co-opted (non-Court lay) member;
- the appointment of Neelam Bakshi, Melfort Campbell and Mary-Jo Jacobi as lay members of Court from 1 August 2021;
- the re-appointment of Virginia Beckett and Paula Galloway as lay members of Court, each for a term of four years from 1 August 2021;
- the appointment of Elaine Blaxter, University Librarian & Head of Library Services, as a member of Court, on the basis of election by Administrative and Professional Services, Technical and Operational Services staff;
- the re-appointment of Paula Galloway to the role of Vice Convener;
- the appointment of Virginia Beckett to the role of Deputy Convener, Estates; and
- the extension of the Convener's term of office by one year, in the context of the unusual conditions of emergence from the pandemic and the consequent development of key strategic initiatives on new timescales.

Court **noted:**
- a remaining vacancy for a member of Court elected by Senate, which would be filled in due course through the usual Senate processes;
- appointments and re-appointments to co-opted (non-Court) positions on Court committees;
- remaining vacancies for Court members on Court committees, which would be filled, through correspondence with Court Membership Group and Court, over the summer; and
- other details of the anticipated membership of Court and relevant committees.

10. Case for Investment for Royal College Fire Safety Improvements

Court **approved** the proposed fire safety improvement works.

11. Intellectual Property & Commercialisation Policy

The Director of Innovation & Industry Engagement introduced the paper, noting that the policy was largely a consolidation of and update to existing policies.

Court **approved** the policy.

Items for Information

12. Report of the Inquiry Recommendations Implementation Group

Court **noted** the report.

13. Equality, Diversity & Inclusion Committee Annual Report

Court **noted** the report.

Committee Reports

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

14. Executive Team
15. Senate
16. Court Business Group
17. Court Membership Group
18. Audit & Risk Committee
19. Staff Committee
20. Estates Committee
21. Enterprise & Investment Committee, incorporating Annual Report

22. AOB

The Convener thanked the following members, who were due to demit office at the end of the academic year, for their substantial contributions to Court and to the wider University:

- Dr Jeremy Beeton
- Dr Archie Bethel
- Kayla-Megan Burns
- Chelbi Hillan
- Dr Katharine Mitchell
- Heather Stenhouse
- Marion Venman

The Convener and the Principal also thanked Rona Smith, who was leaving her role as Director of Strategy & Policy, for her many important contributions to the University.

Date of next meeting

- Tuesday 5 October 2021

MINUTES OF UNIVERSITY COURT
30 August 2021
Meeting held by videoconference

Present: Dame Sue Bruce (Convener), Paula Galloway (Vice-Convener), Professor Sir Jim McDonald (Principal), Neelam Bakshi, Kirsty Bannatyne, Virginia Beckett, Linda Brownlow, Melfort Campbell, Ronnie Cleland, Alison Culpan, Andrew Eccles, Gillian Hastings, Stephen Ingledew, Mary Jo Jacobi, Councillor Ruairi Kelly, Susan Kelly, Professor Scott MacGregor, William McLachlan, Benn Rapson, Malcolm Roughead, Peter Young, Brenda Wyllie

Attending: Professor Tim Bedford, Karen Boyle, Professor Douglas Brodie, Dr Jeff Fergus, Adrian Gillespie, Professor David Hillier, Professor Atilla Incecik, Ray McHugh, Dr Veena O'Halloran, Professor Ian Rivers, Gordon Scott, Professor Eleanor Shaw, Professor Iain Stewart, Steven Wallace, Dr Daniel Wedgwood

Apologies: Elaine Blaxter

Welcome and apologies

The Convener welcomed Court members and attendees to the meeting, extending a particular welcome to those who had recently been appointed to Court.

No interests were declared.

1. **Charles Huang Foundation (CHF) Donation**

This Principal summarised the background to this extraordinary meeting of Court. The University had been offered a substantial philanthropic donation from Dr Chun-Hua (Charles) Huang, a double graduate (MBA and PhD) of Strathclyde, through his charitable foundation, CHF. If agreed, the size of this donation would be highly significant not only to Strathclyde but also in the context of donations received historically in UK Higher Education. It was therefore likely to attract external attention and scrutiny. The donation reflected Dr Huang's gratitude towards the University and, in particular, towards his PhD supervisor, the late Professor Stephen Young. It was noted that the donation was not only highly significant in itself, but also marked a new relationship with a major international charitable foundation.

The Chief Commercial Officer (CCO) summarised the intended investments to be made with the donation, which had been agreed with CHF. These included a mix of research-related and teaching-related investments, with facilities, awards and programmes within the Strathclyde Business School carrying the names of Professor Young or Dr Huang, and a significant investment in the TIC Zone development within the Glasgow City Innovation District, which would be associated with building naming rights.

The CCO also summarised due diligence carried out by the University with the involvement of independent external agencies.

Members noted that the diligence work had been thorough and provided significant reassurance. Reflecting on the potential risks of any high-profile donation of this scale, members enquired as to the University's ability to withdraw from any aspect of an eventual agreement. Members were informed that standard withdrawal clauses were to be included in the agreement. [**Reserved**]

Members enquired as to preparations for publicising the donation and handling any external scrutiny that might arise. It was noted that a communications plan had been prepared and potential reactions carefully

considered. It was recognised that additional scrutiny could arise as a result of the involvement of Dr Huang's companies in government contracts that were crucial to the UK's response to the Covid-19 crisis. These dealings had been considered in detail as part of the University's diligence and lines for external communications developed accordingly. It was noted that the donation provided the opportunity to celebrate the pivotal contribution of higher education and, in particular, that of effective supervisors and academic mentors, given the donor's desire to celebrate Professor Young's contribution to his success.

Members also enquired about and received reassurances on the recognition of the CHF's charitable status in its home country, the USA, and in the UK.

Details of the intended timing of the donation, if agreed, were also discussed.

Court **approved** acceptance of the proposed gift under the arrangements set out in the paper.

[Reserved]

Date of next meeting
Tuesday 5 October 2021

<u>**Briefing on key points: SFC Outcome Agreement Guidance for 2021-22**</u>

Background

1. On 31 August 2021, the Scottish Funding Council (SFC) published guidance on the process and timetable for negotiating 2021-22 University Outcome Agreements.

2. The guidance outlines the process for preparing a transitional year Outcome Agreement (OA) for 2021-22, to set out deliverables, impact and outcomes at a high level and to give assurances on the use of allocated funding during this academic year.

3. In the guidance, SFC note that they recognise that universities are working towards recovery following last year's Covid-19 pandemic related OA emergency period and that institutions are continuing to deliver a responsive learning approach. The guidance also references the Coherent Provision and Sustainability Report and outlines that a new overarching National Impact Framework (NIF) is in development which will ensure greater alignment with Scotland's National Performance Framework and the UN Sustainable Development Goals. The NIF will be relevant to future OAs but for this year however, the OA policy priorities are broadly the same as in the SFC OA guidance for 2020-2021.

4. On the 20 August 2021, the Minister for Higher Education, Further Education, Youth Employment and Training, Jamie Hepburn MSP, wrote to the Chair of the SFC Board Mike Cantlay to outline an Initial Letter of Guidance for 2021-2022. The letter proposes that the SFC take a similar approach to last year and focus on meeting the immediate challenges of the pandemic, recognising the need for the SFC to continue to be responsive as circumstances change. On the final Phase 3 report of the Coherent Provision and Sustainability Report, the Minister sets out that he expects to issue the Scottish Government's formal response to the report to be issued by late Septembers.

Key OA Guidance points

5. In recognition of the historic volume of reporting requested from institutions throughout the academic year, the guidance outlines a reduced ask compared to pre-pandemic years. As a result, the guidance published for 2021-22 OAs has no significant changes in comparison to the guidance for 2020-21.

6. One key difference is that the timetable for preparing OAs for 2021-22 is significantly behind the usual cycle. Prior to the pandemic, guidance for the OA for the subsequent academic year would be issued in October and a well-developed draft would be submitted in December. Following SFC feedback on this draft, the final OA would be submitted in April the following year.

7. This year, the final version is expected to be submitted to SFC by 30 November 2021. It should be noted that as a result, for some of the National Measures, targets will be set for measures that are already complete, for example, Scottish domiciled undergraduate entrants (SDUE).

8. On the 8 September 2021, SFC published 'Guidance for universities on the Upskilling Fund for Academic Year 2021-22'. While there are no funded student places allocated as part of the Upskilling Fund, SFC will monitor the delivery and uptake of activity through specific reporting from universities via two monitoring reports due at the end of January 2022 and the end of August 2022.

9. The University's completed OA for 2021-2022 will be accompanied by:

    *   A National Measures data return reporting on institutional commitments. For this 'Transition Year' SFC have asked institutions to submit one year of projections for the revised list of measures, for AY 2021-22.

    *   An attachment outlining plans on the use of the University Innovation Fund (UIF) allocation. Institutions are asked to consider how protected characteristics and

special interest groups impact on the core measures and to account for any variance within the OA.
- A self-evaluation report detailing progress made against the University's previous 2020-2021 OA.

10. The University's completed OA for 2021-2022 will also include:

- Case studies showing how SFC research excellence grant funding is being used to achieve/work towards greater excellence, but with additional emphasis on the sustainability and resilience of the institution's research base; and on the contribution to broader recovery.
- Information on how we are responding to the Climate emergency including any specific strategies and work linked to COP26.
- A brief narrative summarising our response to the immediate challenges of the pandemic, including details on how we are continuing to delivery high quality learning and teaching, and ensuring the health and wellbeing of staff and students. Details will also be provided on our commitments and contribution to economic and social recovery.

Structure of the University's OA for 2021-22

11. The SFC guidance outlines that the three headline areas are:
- Outcomes for Students;
- Outcomes for Research; and
- Outcomes for Economic Recovery and Social Renewal.

12. The key sector policy priorities listed within these three headline areas are:
- Fair access and transitions;
- Quality learning and teaching;
- Learning with impact - students are equipped and ready to take up appropriate employment in the future;
- Student participation and engagement in their educational experience;
- Equalities and inclusion;
- High quality research and innovation;
- Meeting future skills needs, skills alignment and including upskilling and reskilling;
- Responding to the climate emergency.

13. The early working draft outline of the University's OA for 2021-22 has been structured around the three headline areas and key sector policy priorities.

Recommendation

14. Court is asked to:

- **note** the briefing provided on the SFC OA process for 2021-22;
- **note** that a near-final version of the University's OA for 2021-2022 will be provided in the paperwork for the 25 November Court meeting; and
- **comment** on the early working draft outline of the University's OA for 2021-2022.

SFC Outcome Agreement update
2021-22 Outcome Agreement - Early Working Draft Outline
[RESERVED ITEM]

Corporate Risk Register
[RESERVED ITEM]

Amendment to Ordinances: Associate Principal positions

Overview

1. As Court will be aware, it has been proposed that Professor Atilla Incecik, currently Executive Dean of Engineering, should take up a new position as Associate Principal, with a brief centred on Internationalisation. This will allow Professor Incecik to focus his expertise in this priority area to the benefit of the University, contributing directly to the Executive Team. Subject to the completion of relevant process, it is anticipated that this new role should begin around the beginning of 2022.

2. In addition, this would allow the existing three Associate Principals to continue in their roles, subject to re-appointment processes in due course.

3. Currently, the Ordinances present a barrier to these plans: Ordinance 4.1.9 states that "up to three Associate Principals may be appointed".

4. The creation of and recruitment to Senior Officer positions are always subject to Court's oversight, implemented via Court-approved protocols, whereby senior Court members are directly involved on behalf of Court. On this basis, there is no clear rationale to maintain a fixed limit to the number of Associate Principal positions.

5. Therefore, it is proposed that Ordinance 4.1.9 be amended as follows (i.e. the struck-through text being deleted):

   > ~~Up to three~~ *Associate Principals may be appointed under the direction of the Principal or Vice-Principal following Court's approval of specified portfolio areas of leadership responsibility and shall exercise such functions and responsibilities, and be engaged at such remuneration and upon such terms and conditions, as the Court shall deem fit.*

6. If this amendment is approved, relevant processes will be implemented for the appointment or re-appointment of Associate Principals in line the current proposals. Court will be kept informed of progress.

Recommendations

7. Court is invited to **approve** the proposed amendment to Ordinance 4.1.9, removing the upper limit on the number of Associate Principal positions.

Establishment of an International Centre in Belgrade, Serbia
PAPER AS APPROVED BY THE CONVENER

1. Approval is requested for an International Centre to be established in partnership with the Executive School of Economics and Management, Belgrade, Serbia. This will enable the delivery of Strathclyde programmes, including the executive MBA, in Belgrade.

2. Court's approval is sought in line with the University's Statute 2.1.2, which specifies Court's responsibility for establishing certain new entities, including Centres, 'after report from Senate'. Senate's recommendation that Court approve the creation of the proposed Centre has been secured, following review and recommendation by Senate Business Committee, by Senate Convener's Action (that is, by the Principal). This will be presented for homologation at the next meeting of Senate.

3. Court's approval is sought by Convener's Action in order to meet the partner institution's timescales for delivery of teaching in the forthcoming semester.

4. The annex to this paper presents the details of the proposed initiative, in the form of a business case for the International Centre, as presented to Senate and at previous stages of the approvals process.

Recommendation

Court Convener's Action is requested to **approve**, on behalf of Court and in line with the recommendation of the Convener of Senate, the establishment of the proposed International Centre in partnership with the Executive School of Economics and Management, Belgrade, Serbia, as set out in the attached business case.

Convener's Actions will be presented for homologation at the next general meeting of Court, on 5 October 2021.

Convener's Action:
Establishment of an International Centre in Belgrade, Serbia
Annex
[RESERVED ITEM]

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.

2. For the avoidance of doubt, the University's governing instruments (Charter, Statutes, Ordinances and Regulations) take precedence over these Standing Orders in the case of any conflict or inconsistency.

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

3. 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 Court is responsible for the leadership and effectiveness of the Court, 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.

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

5. In the absence of the Convener, the Vice-Convener shall preside.

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

7. 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.

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

Meetings of Court

9. 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.

10. 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

11. One-third of the membership of the Court shall constitute a quorum (Statute 2.8). 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.

12. The Convener may, with the consent of any meeting at which a quorum is present, adjourn 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

13. 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.

14. A Member may speak on any item(s) of business which is before the Court for consideration or on points of information, points of explanation or points of order. If the Convener declares, exceptionally, that an item is 'closed business' for reasons of confidentially or commercial sensitivity, he or she may ask that any attendees at the meeting recuse themselves for that particular item of business.

15. 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 23. 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.

16. 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.

17. 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.

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

19. 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.

20. 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.

21. All ordinary meetings of the Court shall terminate within three hours from the commencement of the meeting unless Standing Order 35 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. The University Secretary and Compliance Officer shall be responsible for providing secretarial services for the Court.

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

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

29. 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 shall not be entitled to vote thereon.

Removal of Convener or Member of Court

30. 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, after investigation by the Court, 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.

31. 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.

32. 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.

33. 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.

34. 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

35. 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.

36. 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.

HANDBOOK FOR MEMBERS OF THE UNIVERSITY COURT 2021/22

Contents

2021/22 Edition

1. THE UNIVERSITY

.1 Introduction

The University of Strathclyde was founded in 1796 by Professor John Anderson who bequeathed the bulk of his property 'to the public for the good of mankind and the improvement of science'. Following various transitions and mergers the University of Strathclyde was granted a Royal Charter in 1964. The University is now the third largest in Scotland with approximately 22,500 students, and some 3,600 staff. The University's main campus is the John Anderson Campus in the centre of Glasgow. There are four academic Faculties: Humanities and Social Sciences; Engineering; Science; and the Strathclyde Business School.

The Strategic Plan 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. 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 Academic Professional 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.

In addition, the Scottish Code of Good Higher Education Governance requires Court to hold an annual Stakeholder Meeting.

.4 Induction

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

.5 Register of Interests

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

.6 Equality and Diversity

The Scottish Code of Good Higher Education Governance states that the governing body "must provide leadership in equality and diversity across all protected characteristics, assuming responsibility for the Institution's strategy and policy on equality and diversity" and must monitor its own composition with regard to equality and diversity. Any reporting on this will be on an anonymous, purely statistical basis.

In addition, the Higher Education Statistics Agency (HESA) requires that all UK higher education institutions collect and return equality and diversity data relating to members of their governing bodies. Court members will be asked, on an annual basis, to provide relevant information, confidentially, through the SharePoint portal. In line with best practice in equality and diversity, any Court member may choose not to provide any 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 accordingly, initially for a period of two years, but the individual may be reappointed, normally for a further three years, provided that no person shall hold office for more than 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 reports regularly to Court. It is chaired by 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 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:

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

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

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

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

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

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

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

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

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

In particular members of Court should:

- declare any interest, whether personal or business, which may conflict with their role as a member of Court, or other University Committee, or with any particular item of business under discussion. This might involve the individual leaving the meeting during discussion of a particular item of business or, in extreme cases, resigning their membership of Court;
- accept that decisions are taken in the manner of corporate responsibility. If an individual does not agree with any decision taken they may either accept corporate responsibility or ask that their objection to the decision be recorded in the minutes of the meeting;
- respect certain aspects of confidentiality depending on the nature of the business concerned. This relates primarily to matters of commercial confidentiality (e.g. spin-out companies) or draft reports;
- be aware that from time to time there may be other 'reserved' 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 when acting 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 2021

Annex 1: University of Strathclyde Court Statement of Primary Responsibilities

<u>General</u>

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

Court's Primary Responsibilities are detailed as follows:

<u>Staff and Students</u>

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

<u>Financial responsibilities</u>

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

<u>Strategic responsibilities</u>

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

Controls

18. To ensure that systems are in place for meeting all the University's legal obligations, including those arising from contracts and other legal commitments made in the University's name;
19. To ensure compliance with the University's Charter, Statutes, Ordinances and Regulations, as well as all UK and European legislation where applicable;
20. To be responsible for the form, custody and use of the University's Common Seal;
21. To make clear and to review regularly the executive authority and other powers delegated to the Convener of Court, the Principal and Vice-Chancellor, to other senior officers and to all bodies of the University including the Senate and committees of Court;
22. To ensure that systems are in place for the assessment and management of risk, to regularly review such matters and to conduct an annual assessment;
23. To establish and monitor effective systems of internal control and accountability throughout the University;
24. To ensure that appropriate arrangements are in place for external and internal audit;
25. To ensure that appropriate arrangements are in place for the proper management of health and safety in respect of students, staff and other persons on University premises or affected by University operations;

Monitoring performance and effectiveness

26. To monitor the University's performance against its strategic plan and key performance indicators, and to benchmark the University's performance against other comparable institutions;
27. To monitor and review the performance and effectiveness of the Court itself and other University committees;
28. To ensure, through the appointment of lay members in accordance with the University Statutes, a balance of skills and expertise amongst the membership of Court, such as is required to meet its primary responsibilities;
29. To ensure that the proceedings of Court are conducted in accordance with best practice in higher education corporate governance and with the Nine Principles of Public Life in Scotland (which incorporate the original seven "Nolan Principles" drawn up by the Committee on Standards in Public Life);
30. To ensure that procedures are in place within the University for dealing with complaints, internal grievances, conflicts of interest and public interest disclosure.

Approved by the University Court October 2021.

Annex 2: The Role of Members of The University Court

1.   The role of All Members

All members of Court should:

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

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

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

2. The qualities required of members of Court

The qualities required of members of Court include:

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

3. Time required

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

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

4. Persons not appointable as lay members

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

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

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

Updated September 2021

Annex 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 accordingly, initially for a period of two years, and may be reappointed, normally for a further three years, provided that no person shall hold office for more than eight 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 and Risk 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 Review and Development Panel
- the Court Membership Group
- the Court Business Group

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

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

The role of Convener of Court is a demanding one and requires individuals who are prepared
- to commit to the University;
- to work with the Senior Officers of the University to ensure that the University achieves its strategic aims, providing appropriate and rigorous challenge when necessary;
- to provide leadership to the Court; and
- to represent the University at events as appropriate.

The time commitment for this post varies throughout the year, as some periods are more demanding than others. This is particularly evident in the lead-up to Court meetings. The

Convener also attends other committee meetings. Additionally, there are certain duties which are required of the Convener and others where the Convener may exercise some choice whether to undertake or not.

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

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

Updated September 2021

Annex 4: The Role of Court Officers

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

<u>Vice-Convener of Court</u>

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.

<u>Senior Deputy Convener (and "Court intermediary")</u>

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.

<u>Treasurer</u>

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.

<u>Deputy Convener (Estates)</u>

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.

<u>Deputy Convener (Staff)</u>

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.

<u>Convener of the Audit & Risk Committee</u>

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.

Schedule of Delegated Authority – Explanatory Notes

Introduction

1. This Schedule records the delegated authority for decisions taken in the name of or on behalf of the University Court.

2. The provisions of the Charter, Statutes, Ordinances and Regulations will always take precedence over the Schedule. The Schedule is not intended to include areas of decision-making or responsibility where the Court's authority is already delegated via these governing instruments.

3. Faculties and Directorates may develop and maintain their own internal documentation describing processes for developing strategic, policy and business proposals but should refer to the University's governing instruments and this Schedule to note where final decision-making authority rests.

Court's primary responsibilities and the principles of delegation

4. The Court is the governing body of the University, with overall responsibility for the general supervision, direction and control of the University. Its powers and functions are described in the University Charter and Statutes.

5. However, it is not practical for the Court to make every decision that is required, and the Court has agreed to delegate authority for certain decisions and certain areas of responsibility to appropriate individuals and committees. Where this is the case, it is recognised that Court retains the ultimate accountability and corporate responsibility for any decisions made on its behalf.

6. In accordance with the University's Charter, the Court may not delegate responsibility for any of the following:

    a) determination of the character and mission of the University
    b) ensuring the solvency of the University and for safeguarding its assets, including the appointment of auditors, the establishment of an audit committee and the approval of the University's annual audited accounts
    c) making alteration, amendment or addition to the Charter or the Statutes
    d) appointment and removal of the Principal or University Secretary
    e) reducing the academic staff of the University as a whole or of any faculty, school or department by way of redundancy

7. The University Court has agreed a *Statement of Primary Responsibilities*, which is available on the University's website and should be read in conjunction with the Schedule set out below.

8. The University's Charter and Statutes can also be accessed on the University's website.

Convener of Court

9. The Convener of Court is responsible for the leadership of the Court, for the efficient and effective conduct of its business and for representing the Court within the University's system of governance. Court delegates authority to the Convener of Court to take decisions on behalf of Court in relation to both routine and non-routine matters of business on the understanding that all such action is reported to the next meeting of Court.

Principal and Vice-Chancellor

10. As the principal academic and administrative officer of the University, the Principal is directly responsible to the Court for the general supervision of the University, its finances and its efficiency and good order.

11. Under this Schedule, and subject to the Charter and Statutes, Court delegates full authority to the Principal to act on its behalf in order to exercise these responsibilities, subject to the following principles:

    a) The Principal will at all times act in accordance with the best interests of the University and be mindful of the importance of preserving and enhancing the University's reputation
    b) The Principal will act within the terms of the prescribed conditions of their appointment
    c) The Principal's actions must be:
        i.   consistent with the University's budget, as approved by Court;
        ii. consistent with the University's strategic plans and objectives;
        iii. consistent with accepted standards of behaviour in public life; and
        iv. compliant with relevant legislation and externally prescribed conditions, including the Principal's responsibilities as designated accounting officer under the Scottish Funding Council Financial Memorandum.
    d) The Principal will report to each meeting of Court all significant actions taken on its behalf, and will be accountable to Court for such actions
    e) In cases of doubt, or in regard to novel or potentially contentious matters, the Principal will consult with the Convener of Court, Vice-Convener or an alternative lay member, prior to exercising their delegated authority
    f) In the Principal's absence, their authority may be delegated to the Vice-Principal, acting on the Principal's behalf.

Senate

12. The Senate is the academic authority of the University. In accordance with the Charter and Statutes and subject to the general control and approval of Court, Senate is responsible for the academic work of the University, in teaching, research, and in knowledge exchange, and for the regulation and oversight of the education and discipline of students. The full powers and functions of Senate are described in Statute. Operational responsibility for these matters may be delegated by Senate.

This Schedule of Delegated Authority was approved by the University Court in November 2019 and has effect from 1 December 2019. The Schedule will be reviewed annually.

SCHEDULE OF DELEGATED AUTHORITY

The following principles apply to the granting and use of Delegated Authority:

a) Court may choose to review or rescind authority delegated under this Schedule.
b) Individuals and Committees exercising authority delegated to them must do so in accordance with the University's strategic ambitions and with all relevant University Regulations, Policies, Procedures and Guidance.
c) Particular attention should be paid to procurement law and guidance. In case of any doubt, the University's Head of Procurement should be consulted, in order to establish the appropriate procurement processes that must be completed for a given item of expenditure.
d) The use of Delegated Authority should be reported to Court, as appropriate, including any decisions that entail significant novel actions and/or unusually high expenditure or a high degree of financial or reputational risk. All uses of Delegated Authority by committees of Court will be reported as a matter of course through their reports to Court.
e) In potentially contentious matters, or for decisions where Court would be reasonably expected to have a significant interest, it may be appropriate to seek Court approval even where authority is normally delegated and even when spending within the Court-approved budget.
f) Except as otherwise provided, individuals and committees in whom authority is vested by the Schedule may sub-delegate to a nominee provided that such sub-delegation is consistent with relevant financial and other regulations and is recorded and reported appropriately. Where sub-delegation occurs, the individual or committee named in the Schedule remains accountable to Court for any actions taken.
g) Any delegations to a vacant post pass to that post's immediate line manager unless there are documented cover arrangements in place. In either case, previously agreed and documented sub-delegation arrangements may be continued.

ITEM FOR DECISION OR APPROVAL	DELEGATION OF AUTHORITY
1. Financial Transactions, Borrowing, Lending and Investments	
Notes: a) All decisions on financial expenditure should adhere to the requirements of the University Financial Regulations and Treasury Management Policy, along with the principles and practice set out in the University Procurement Manual. b) For sections 1.3 to 1.11 below – in regard to novel or potentially contentious matters, the CFO will consult with the Treasurer prior to exercising their delegated authority.	
1.1 Expenditure within Court-approved budgets a) Faculties b) Professional Services c) University	 a) Executive Deans b) University Secretary & Compliance Officer (USCO), Chief Financial Officer (CFO), Chief Commercial Officer (CCO), or Chief Digital & Information Officer (CDIO), as appropriate c) Executive Team

1.2	General authority limits for financial transactions and contracts relating to items of non-recurrent spending not within the Court-approved annual budget (unless specified differently elsewhere in this Schedule) **Note**: In cases of doubt or potentially contentious items of expenditure, including spending within the Court-approved annual budget, approval should be sought at the next highest level in the hierarchy. Where this financial authority is to be exercised more than twice between any two consecutive meetings of Court then the Convener of Court should first be consulted. a) Value up to £1 million b) Value >£1 million - £2.5 million c) Value >£2.5 million	a) Executive Team b) Court Business Group* c) Court * In exceptional circumstances, Executive Team may approve following consultation with Convener of Court
1.3	Banking arrangements	CFO* * The establishment of new bank accounts, other than with the University's retail bank, will also require agreement from one of the USCO, Vice-Principal or Principal Changes in the University's retail bank will require approval by Court Business Group on the recommendation from the CFO.
1.4	Borrowing and Lending	CFO* * In line with Treasury Management Policy, borrowing arrangements require the approval of the Court Business Group and, in certain circumstances set out in the Financial Memorandum, may also require the prior consent of Scottish Funding Council
1.5	Management of University Investments (other than investment in spin-out companies and other companies; see para 4.1) and Endowment Funds (including sale and purchase of investments)	CFO* * In line with Treasury Management Policy, the CFO will consult the Treasurer before any long-term arrangements are entered into
1.6	Formation, acquisition and disposal of companies, joint ventures or consortium arrangements (other than formation of spin-out companies (see para 4.1))	CFO

1.7	Administration of Gifts, Benefactions and Donations	CFO
1.8	Settlement of tax matters with tax authorities	CFO
1.9	Write-off or write-down of moneys due to the University	CFO
1.10	Changing signatories on existing bank accounts and opening new accounts with the University's retail bankers	CFO
1.11	Procurement and administration of insurance cover on behalf of the University and negotiation of insurance claims	CFO
2	**Property Transactions and Major Capital Projects**	
2.1	Acquisition or disposal of properties, land or major assets (including equipment), regardless of source of funding, as individual projects or groups of related projects as appropriate, taking into account proposed future phases. a) Value up to £500,000 b) Value £500,000 - £2.5 million c) Value >£2.5 million Note: The disposal of an exchequer-funded asset where the proceeds are likely to exceed £3 million requires prior approval from the Scottish Funding Council.	a) CFO b) Estates Committee c) Court
2.2	Leases (University as Tenant or Landlord) a) Market value up to £20,000 per annum, duration less than 5 years b) Market value >£20,000 - £100,000 per annum, less than 5 years c) Market value >£100,000 per annum, duration less than 5 years Note: The lease of an exchequer-funded asset for 5 years' duration or more requires prior approval from the Scottish Funding Council.	a) Director of Estates Services b) CFO c) Estates Committee
2.3	Major Capital Projects within the Court approved estates strategy: approval of detailed business case and to proceed (except CPR projects – see below), regardless of source of funding and considered as individual projects or groups of related projects as appropriate, taking into account proposed future phases a) Value up to £500,000 b) Value >£500,000 - £1 million c) Value >£1 million - £2 million d) Value >£2 million	a) Director of Estates Services b) CFO c) Estates Committee d) Court

2.4	Capital Projects from Revenue (CPR)	Estates Committee
2.5	Variations to Previous Project Approvals a) Value up to £250,000 b) Value >£250,000 - £500,000 c) Value >£500,000 - £1 million d) Value >£1 million The above levels apply to variations in the monetary value of projects. Changes in the nature of proposed projects require re-approval in accordance with the levels set out in paragraph 2.3 above.	a) Director of Estates Services b) CFO c) Estates Committee d) Court
2.6	Student Rentals	CFO
2.7	Car Parking Charges	CFO
3	**Human Resource Matters**	
3.1	Approval of HR policies and procedures where approval is not already reserved to Staff Committee (see Ordinance 4)	Director of HR
3.2	Appointment of staff and issue of formal offers of appointment	Director of HR
3.3	Conferment of Emeritus Professorships	Academic Professional Appointments Panel
3.4	Implementation of nationally-negotiated annual pay awards	Director of HR (following agreement by Remuneration Committee)
3.5	Remuneration of: a) Senior Officers and Directors of Professional Services b) Professorial and other senior academic staff c) All other staff	a) Remuneration Committee (as per Regulations) b) Senior Academic Review and Development Panel c) any of Executive Deans/USCO/CCO/CFO/CDIO in partnership with Director of HR /nominee (as appropriate)
3.6	Terms and conditions of service of: a) Senior Officers and Directors of Professional Services b) All other staff	a) Remuneration Committee (as per Regulations where appropriate) b) Staff Committee (as per Regulations where appropriate)
3.7	Staff development and performance measurement systems	Staff Committee

3.8	Termination of employment: a) Redundancy (for non-Academic staff on fixed term and open-ended contracts) b) Disciplinary or incapacity c) Voluntary severance	a) Director of HR * b) Director of HR c) Director of HR * The authority to reach a decision as to whether there should be a reduction in academic staff by way of redundancy is reserved to Court.
4	**Research and Knowledge Exchange and Commercialisation**	
4.1	Authorisation for research grant applications, agreement of contracts to undertake research, consultancy and knowledge exchange services and ancillary agreements (including ancillary intellectual property agreements), confidentiality agreements, material transfer agreements, EU partnership bids and contracts. Authorisation for the formation of spin-out companies, stand-alone intellectual property rights agreements and filing of patents. Investments in spin-out and other companies a) Value up to £1 million b) Value >£1 million - £2.5 million c) Value >£2.5 million **Note**: Committing more than 50% of the annual funds available for investment in spin-out companies to one company requires approval from Court Business Group.	Director of Research and Knowledge Exchange Services (RKES) Director of Innovation and Industry Engagement (IIE) a) Enterprise & Investment Committee b) Court Business Group c) Court
4.2	Management of Commercial Development Funds	Director of IIE
4.3	Approval for consultancy work undertaken by staff of the University a) Value up to £10,000 (standard, pro-forma contract) b) Value up to £10,000 (non-standard) c) Value >£10,000	 a) Head of Department/School b) Director of RKES c) Director of RKES
4.4	Ethical approval of investigations involving human participants **Note**: The University's Code of Practice on Investigations Involving Human Beings should be consulted to determine the appropriate approval process.	University Ethics Committee (UEC) and Departmental/ School Ethics Committees (DEC/SEC)

5	Student-related Matters	
5.1	UK Visas and Immigration compliance	USCO
5.2	Approval of all course and tuition fees	CFO
5.3	Revision to the name of a Department, School, Institute or Centre a) Minor change b) Major change **Note**: Senate will determine whether a proposed name change is minor or major	 a) Senate b) Court
5.4	Approval and publication of Regulations on student-related matters	Senate
5.5	Collaborative agreements leading to awards or joint awards of the University	Senate
5.6	Establishment of Fellowships, Scholarships, Studentships, Exhibitions and Prizes	Senate
6	Information Services	
6.1	Corporate Digital and Information Strategy	Executive Team
6.2	Information Services-related projects – approval of detailed business case and to proceed (items of non-recurrent spending not within the Court-approved budget) a) Value up to £500,000 b) Value >£500,000	 a) Information Strategy Committee b) As per limits defined in Section 1.2 above
6.3	Development and approval of policies, guidance or procedures on the use of University computing facilities and resources	Information Strategy Committee
7	Other Matters	
7.1	Use of the University Seal a) Degrees, diplomas and other academic awards b) Financial and property transactions or other Court business already delegated via this Schedule or the University's governing instruments c) Financial and property transactions or other Court business for which authority has been reserved to Court	 a) Principal and USCO b) Principal and CFO c) As per University Regulation 1.12
7.2	University response to external consultations, calls for evidence, etc.	Member of Executive Team or Professional Services Director, as appropriate depending on the nature of the consultation/ request

Annual Statement on Institution-led Review of Quality Academic Year 2020/21 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 2020/21.

2. The University continues to respond to the challenges that have arisen as a result of the Covid-19 pandemic in a way that supports the health, safety 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 our 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 continue to evolve.

3. This report outlines the University's response to Covid-19 and related 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 2019/20.

University Response to Covid-19

Overview

4. The challenges presented by Covid-19 continue to change the nature of engagement with students. Learning and teaching delivery, assessment, feedback and student support have all been impacted, with associated implications for all our staff in academic departments and schools and across professional services. All University committee meetings, including Education Strategy Committee (ESC), Court and Senate, have successfully met via the Zoom platform since March 2020.

5. As part of the response to the pandemic, the University formed a number of Start of the Academic Year (SOTAY) groups to facilitate swift communication and decision making among key staff and student stakeholders. Led by the Vice Principal through the SOTAY Overview and Continuity Groups, these were supported by an Operational Delivery Group, attended by

Faculties, Professional Services and StrathUnion student representatives. The University level Groups were also replicated at Faculty level to plan the safe delivery of University services, high quality learning and teaching and a positive student experience. The groups met regularly (weekly/fortnightly) and were sustained throughout AY 2020/21. The success of this model, and the evolution beyond immediate pandemic response to longer term planning and delivery for AY 2021/22 gave rise to the development of the e-FIRST framework (Education – Future, Innovation and Reflection on Strathclyde Teaching). e-FIRST is underpinned by an overarching strategic objective of integrating existing strategic priorities for Education, linking in with other working groups and actions which are underway, reporting to ESC. This includes the work of the Strategic Timetabling Group, Strathclyde Online Learning Committee (SOL) and the Careers and Employability Working Group, in addition to ongoing business of Quality Assurance Committee (QAC) and Learning Enhancement Committee (LEC). The e-FIRST Continuity Group meets weekly, led by the Vice Principal and the plans for AY 2021/22 will continue to be reviewed in accordance with University priorities and pending updates to Scottish Government guidance .

6. Following the outbreak of the COVID-19 pandemic and the impact this had on assessment and exam schedules, a number of policies and procedures were introduced to enable the University to mitigate against tlearning ehis disruption, to minimise the impact on students and to ensure consistency of student experience. These are collated in the following guidelines approved by QAC, ESC and Senate:

    i.   Procedure for Markers and BoEs in Response to Covid-19 (AY 2020-21);
    ii. Guidelines to Support the Learning & Teaching of Students During Periods of Disruption: 2020/21 Covid-19 Pandemic;
    iii. Online Student Engagement Guidance.

    In addition to this, a comprehensive suite of learning and teaching guidance is published online for our staff, relating to adjustments that have been implemented throughout the pandemic and is available at: https://www.strath.ac.uk/coronavirus/staff/learningandteachingsupportandguidance/

7. Faculties are required each year to prepare a Faculty Annual Report (FAR) which is designed to represent an overview of the Faculty's activities (see paragraph 19). In the reports, faculties are asked to provide a critical, reflective 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. As reported last year, the meeting scheduled for March 2020 did not take place as a result of the pandemic, however the meeting scheduled for March 2021 did take place as scheduled. In 2020/ 21 the reporting template was adapted to streamline focus on key issues including reflection on the Student Experience, the impact on teaching as a result of the pandemic and future proofing. Following the submission of the FARs and the peer review meeting (an integral part of the FAR process), the Quality Enhancement and Assurance Team produced a Thematic Report for both 2018/19 and 2019/20. This thematic

analysis and reporting was welcomed by members of QAC and LEC and will be retained for future years.

8.   Survey operations have continued as usual at the University over 2020/21, despite the ongoing Covid-19 pandemic. Alongside our standard set of surveys, several additional surveys were designed and run to gather specific feedback on the impact of the pandemic: the Shaping the Future survey, the Return to Campus survey, and several short surveys to gauge demand for on-campus resources during the Formal Assessment Period. Unlike in 2019/20 (when communications to students were paused to allow a focus on Covid-19 communications) response rates were not significantly affected by Covid-19. In addition, in 2019/20, the University completed the final phase of the institution-wide Module Evaluation project. This has been an increasingly important source of student feedback and staff / student communications and will be fully implemented in AY 2021/22.

Impact on Institutional Led Review from Covid-19

9.   The University's Institution Led (ILR) Review Schedule can be found in Appendix 1. Following the outbreak of the Covid-19 pandemic, a number of requests were made by departments/ schools wishing to delay their reviews by one year to the maximum six-year period. These requests were approved by exception and in recognition of the implications associated with the response to the pandemic, on the understanding that no further delay would be permitted. A revised ILR Schedule was presented to QAC and all reviews have now been completed in accordance with the agreed Schedule.

10.   In April 2020, QAC took the decision to postpone the forthcoming TESTA (Transforming the Experience of Students through Assessment) exercises due to the impact of the Covid-19 pandemic. The Covid-19 pandemic also affected the ILR schedule to which TESTA is linked. Notably, where ILRs will now take place one year later than originally planned. This had a significant impact on the number of TESTAs required to be delivered in 2020/21. As a result, QAC agreed that amended "mini" TESTAs would be delivered throughout this academic year. This revised approach, based on the standard TESTA process, retains the standard evidence-gathering, focused on assessment and feedback, engaging students directly, and feeding back useful information to programme teams.

Impact on the Review of Professional Services from Covid-19

11.   Following revisions to the Scottish Funding Council (SFC) guidelines, the outcome of our Enhancement-led Institutional Review (ELIR) in 2019 and in line with our Strategic Educational priorities, the University initiated a Thematic Review process for student-facing Professional Services. Student Mental Health was selected as the theme for the first review as a result of consultation through QAC, Student Experience Committee (SEC) and ESC in September and October 2019. The initial timeline for this review, with preparation beginning in late 2019 and the review event due to take place in May 2020, had to be amended as a result of Covid-19. It was agreed through QAC in April 2020 that the Thematic Review would resume as soon as practicable, and preparation was resumed in April 2021 with the new dates for the review event confirmed as 24 & 25 June 2021.

12. The review event took place as planned with engagement from a wide range of contributors and Convened by the Deputy Associate Principal (Learning and Teaching). The outcomes from the review have been compiled into a report which will be presented to QAC and SEC for discussion at their meetings on 13 September (SEC) and 22 September (QAC), and to ESC at its meeting on 7 October 2021.

University's Governance Structure

13. 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. Senate has approved all new policy and guidance developed during the pandemic. 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 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. These annual reports are acknowledged as being highly informative, reflecting the breadth of development and enhancement activity in place across our Education priorities and are available on request.

14. 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.

15. The University's ELIR 4 follow-up action plan is regularly monitored and scrutinised through ESC. Key messages from the ELIR Outcome and Technical Reports are embedded within our frameworks, working groups and institutional priority projects.

16. The University engaged with the Quality Assurance Agency (Scotland) in a constructive annual discussion with the QAA Institutional Contact in November 2020. This provided an opportunity to bring the QAA up to date on current strategic education priorities including an update on progress with the ELIR 2019 recommendations and the University's response to Covid-19 incorporating an update on the Start of the Academic Year framework and plans for the Thematic Review of Student Mental Health. Also discussed were the Institution-led Reviews

that had taken place, which were presented for information.

Institution-Led (Internal) Review Activity

Overview

17. 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.

18. Responsibility for annual programme and module monitoring and review lies at Faculty and Department/ School level.

19. Faculty Annual Reports are normally considered at a joint meeting of the Quality Assurance and Learning Enhancement Committees of Senate as outlined in paragraph 7. 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 by academic and professional services colleagues 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 inform and determine the focus of future Thematic Reviews.

20. 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 (StrathUnion) are members of Senate and Court and the key University Committees including LEC, QAC and ESC. The SEC has an integral role in supporting joint priorities for enhancing the student experience and enables the University and StrathUnion to focus on issues of importance to advance the outstanding student experience and provide a vehicle to move issues forward.

21. As part of our continued enhancement of processes in line with best practice in the sector, our ILR policy is currently being updated following review of ILR reports and implementation throughout the past two sessions. The new policy and procedure will be shared with QAC for

comment in September 2021 with a view to subsequently gaining ESC endorsement and Senate approval in December 2021 for immediate introduction.

Institution-Led (Internal) Review Schedule 2020/21

22. Institution-Led (Internal) Reviews took place in 2020/21 as outlined in the table below.

Faculty	Department/ School
Engineering	Civil and Environmental Engineering
HaSS	School of Education

23. The review event for the department of Civil and Environment Engineering took place in April 2021 and the review of the School of Education took place in May 2021. The full reports are scheduled to be submitted to QAC within the first half of 2021/22.

24. The review events for the departments of Physics and Mechanical and Aerospace Engineering took place in 2019/ 20 with their full reports presented to the December 2020 meeting of QAC. The outcomes and recommendations from these reviews were considered alongside the initial report of the review event, and will be looked at again within the first half of 2021/22.

Institution-Led (Internal) Review Outcomes

25. 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. The Senate also receives reports from QAC meetings at which the Review reports are considered, highlighting any commendations and recommendations.

26. 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.

27. Common themes emerging from the internal reviews presented to QAC in 2020/21 were student engagement and support, effective leadership and collaborative working both externally and across academic schools/ departments and Professional Services areas. Key highlights include:

    i. The department of **Physics** was praised for its support of students, in particular that students reported they felt listened to due in part to the staff open door policy. The Physics Society was commended for its organisation and the range of opportunities it promotes to students, with annual trips to places of interest, such as CERN, weekly drop in sessions where students can bring academic problems for support, and collaborative social events with other societies. Strong staff engagement was noted in the review, with successful recruitment and retention of high-quality staff commended as well as the development of a transparent academic workload model where staff take responsibility for managing their workload in a way that is effective for them and in support of the strategic priorities of the Department, Faculty and University. It was also highlighted that the Department fostered a

range of significant collaborations both within and outside the University, and that their success was demonstrated through various income streams and through their engagement with Industry.

ii. The review of the department of **Mechanical and Aerospace Engineering** was positive, with impressive UG student retention rates, international opportunities for students and team work among staff of particular note. The newly appointed Head of Department was commended for his openness, and commitment to creating a more collegiate, forward-thinking department. Student support was highlighted as commendable, both broadly through the new approach to the Personal Development Adviser (PDA) process and in specific cases, such as the support for students participating in an exchange programme. The Administrative Team and Technical Team were each praised for their strong team ethos, and the work of the Education Committee was commended with encouragement to continue sharing good practice across the Department.

28. 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 **Physics** was around graduate prospects, and it was noted that improving student outcomes could have a positive impact on international student recruitment. It was recommended that clear articulation of why applicants should choose Physics at Strathclyde would also assist with this goal. The Department were encouraged to continue to search for other avenues of income for PGR studentships in order to expand their numbers of research students. It was also noted by the panel that introducing mechanisms which better support researchers' career development would enhance their integration with the department and would in turn provide a clear pathway for research students to consider beyond their PhDs.

ii. Within the department of **Mechanical and Aerospace Engineering** it was recommended that funding streams are fully explored and departmental finances are regularly communicated, with a specific recommendation to look at leveraging more support from industry partners. The panel also encouraged further focus on diversifying the student population, with the current efforts to increase the number of female undergraduate students noted as good practice that could be expanded. It was recommended that the department fully utilises all feedback to enhance the student experience, for example through the external examiner reports, through the TESTA assessment audit, and through increased frequency of Student-staff Liaison Committees.

29. 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.

30. The outcomes of external accreditation visits are considered at Faculty Academic Committees

and also reported to QAC on an annual basis; these will be considered at QAC's first meeting of the session in September 2021.

External Review

31. The University of Strathclyde continues its partnership with Study Group UK (Bellerbys Education Services Ltd) to host the International Study Centre (ISC). QAC receives the Centre's annual progress report which reports on the ongoing academic quality and enhancement activities of the Centre. Further, the Deputy Associate Principal (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

32. 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

33. In December 2020, QAC received a proposal for the analysis of student retention and attainment developed to incorporate changes to the formal assessment period as a result of the COVID-19 pandemic. It was agreed at that meeting that the Directorate of Strategy and Policy would submit the completed analysis to the April meeting of QAC. QAC welcomed this paper at its meeting in April and in particular the detailed analysis around retention and completion rates. Further UG attainment analysis for 2020/21 will be presented to QAC by the Directorate of Strategy and Policy. Further discussions will also take place around enhanced approaches to postgraduate research student reporting.

34. QAC received the Annual Module Monitoring report from each Faculty at its meeting in December 2020. Each Faculty is asked to provide commentary on modules where the pass rate is less than 75% for both UG and PGT students. Across the Faculties, the data return for modules either in the 'borderline' or 'at risk' categories had significantly reduced in session 2019-20. It is considered that the 'No Detriment Policy'- introduced to ensure students were supported and not disadvantaged as a result of changes to assessment following the COVID-19 pandemic- had a positive impact on the pass rate for 2019-20. This report will continue to be further refined for future years.

Feedback from Students

35. 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 addition, a Learning and Teaching Improvement Forum was held in

2020/21 for colleagues to share good practice to improve the student experience at Strathclyde with opportunities for discussion and a question and answer session, with a follow-up on Myplace.

36. 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 the new institutional KPI for the NSS, the institutional rollout of module evaluation, and the Shaping the Future and Return to Campus surveys focused on the impact of the pandemic.

37. The Assessment and Feedback Working Group has continued its work throughout 2020/21 focusing particularly on reviewing the impact of the policies introduced for that academic year. The Working Group continues to be an essential forum for discussing a wide range of assessment and feedback issues, bringing together insight and experience from across the University, as well as sharing good practice emerging in the wider sector. The Group maintains an ambitious agenda which focuses on the discovery and development of practical instruments to help implement assessment and feedback policies so as to more effectively enhance practice across the University. The development of new Feedback to Large Classes Guidance and guidance and resources to maintain Academic Integrity are good examples of this with the latter particularly well-received by students and staff.

38. Our long-term engagement with the QAA national Enhancement Themes has continued in 2020/21 with widespread participation in the new theme, *Resilient Learning Communities*. This first year of the new theme has been predominantly focused on exploring and reflecting upon the key priorities and work areas of the institution. Work has also been progressing on four projects (supported by student interns) on resilience among students at undergraduate, postgraduate taught, and postgraduate research level, as well as resilience among staff.

Institutional Reporting on Quality

39. 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

40. A summary of the forward plan of internal reviews is attached as [Appendix 1](#).

Annual Statement of Assurance

41. 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

42. For further information, contact educationenhancement-quality@strath.ac.uk.

Appendices

Appendix 1: Schedule of Internal Review
Appendix 2: Accreditation & re-accreditation visits by various Professional, Statutory and Regulatory Bodies

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 ILR review date	Last ILR Review
Engineering	Departmental	Architecture	2021/22 (delayed 1 year)*	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 (22nd April 2021)	2015/16 (Nov 2015) 2010/11 (Nov 2010);
Engineering	Departmental	Design, Manufacturing and Engineering Management (DMEM)	2022/23 (delayed 1 year)*	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 (2nd May), 2013/14; 2008/09 (Feb 2009).
SBS	Learning, Teaching, Assessment and the Student Experience	Accounting and Finance	2021/22	2017/18 (Nov 2017)
SBS	Learning, Teaching, Assessment and the Student Experience	Work, Employment and Organisation	2021/22	2017/18 (Feb 2018)

SBS	Learning, Teaching, Assessment and the Student Experience	Management Science	2022/23	2016/17 (April 2017)
SBS	Learning, Teaching, Assessment and the Student Experience	Economics	2022/23	2016/17 (June 2017)
SBS	Learning, Teaching, Assessment and the Student Experience	Marketing	2023/24 (delayed 1 year)*	2017/18 (March 2018)
SBS	Learning, Teaching, Assessment and the Student Experience	Hunter Centre for Entrepreneurship	2023/24 (delayed 1 year)*	2017/18 (May 2018)
Humanities & Social Sciences	School	Education	2020/21 (delayed 1 year) (19th and 20th May 2021)	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 (16th and 17th 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 2020/21, however there will be an EQUIS re-accreditation visit in 2022/23.

Please note that the Royal Society of Statistics has amended the accreditation standards and application process, and in recognition of this has extended the agreement for courses already accredited until the 2023/24 cohort begin their studies. This applies to the Faculty of Science, department of Mathematics and Statistics courses.

Faculty	School/ Department	Programme	Reviewing body	Date of visit
HaSS	School of Education	Into Headship (Pg Cert Specialist Qualification for Headship)	General Teaching Council for Scotland	2 March 2021
Science	Pure and Applied Chemistry	BSc (Hons) Chemistry	Royal Society of Chemistry	Letter dated 10 June 2021
		BSc (Hons) Chemistry with Professional Experience		
		BSc (Hons) Chemistry with Drug Discovery		
		BSc (Hons) Chemistry with Forensic Chemistry		
		BSc (Hons) Chemistry with Analytical Chemistry		
		BSc (Hons) Forensic and Analytical Chemistry		
		BSc (Hons) in Applied Chemistry		
		MChem in Chemistry		
		MChem in Forensic and Analytical Chemistry		
		MChem in Chemistry with		

		Teaching		
		MChem in Drug Discovery		
		MSci in Applied Chemistry and Chemical Engineering		
	Strathclyde Institute of Pharmacology and Biological Sciences (SIPBs)	Independent Prescribers	General Pharmaceutical Council (GPhC)	25 February 2021
	Physics	MPhys Physics	The Institute of Physics	30 November 2023 (remote 'visit' via zoom)
		MPhys Physics with Advanced Research		
		BSc Physics		
		BSc Physics with Teaching		
		BSc Mathematics and Physics		
		MSc Advanced Physics		
		MSc Applied Physics		
		MSc Nanoscience		
		MSc Optical Technologies		
		BSc Physics with Teaching	General Teaching Council for Scotland	26 May 2021
Engineering	Architecture	BSc Architectural Studies	**RIBA** (Royal Institute of British Architects)	10-11 December 2020
		BSc Architectural Studies with International Study		
		BSc (Hons) Architectural Studies		
		BSC (Hons) Architectural Studies with International Study		
		PG Dip/MArch Advanced Architectural Design		
		PG Dip/MArch Architectural Design (international)		

	Design Manufacture & Engineering Management	MEng/BEng Product Design Engineering	**EAB** (Engineering Accreditation Board – includes IET, IED, IMechE)	9-10 June 2021
		MEng/BEng Production Engineering & Management		
		BSc Product Design and Innovation		
		MEng/BEng Sports Engineering		
	Faculty of Engineering	BEng Engineering Design & Manufacture (Graduate Apprenticeship)	**EAB** (Engineering Accreditation Board – includes IET, IED, IMechE)	9-10 June 2021

Annual Survey of Court Members 2021
Summary of Responses

Background

1. The Scottish Code of Good Higher Education Governance requires Court to keep its effectiveness under annual review. The survey of members provides the opportunity for anonymised feedback and the summary findings from this survey are detailed below. A graphical representation of the responses which supported this analysis is included at Annex B.

2. During July 2021, Court members were invited to complete an online survey on their experiences of Court and its effectiveness over the previous 12 months. The survey contained 9 questions on Court membership with a further 4 questions for members of other committees (see Annex A) and responses were received from 17 members (a response rate of 68%). Of the 17 respondents, 65% were Lay Members and the remainder were staff members.

Summary findings

3. 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 had 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 satisfied with the induction process;
- Were content that the regular reports to Court from various committees provide appropriate information.

Comments made about Court generally included:

- I find the Court a highly inclusive environment where I am able to contribute freely;
- Like most businesses operating within C-19 restrictions I believe Court has operated effectively in the main.

4. Respondents felt that their most significant contributions included (in their own words):

- Providing constructive challenge;
- A willingness to help out as required;
- Comparing and contrasting the response (to the pandemic) in their own sector
- Support to the Principal;
- Ability to give an objective view;
- Support for the executive and university in governance;
- Help 'keeping the show on the road' in what has been a very difficult year for all;
- Providing feedback and insight on strategic developments;
- Input to strategy based on experience learned elsewhere;

- A critical understanding of business opportunities and the workings of government and their policies;
- Bringing industry/commercial experience to influence or validate a variety of matters presented to court.

5. When asked what prevented them from contributing further, a number of respondents cited the effects of the pandemic and the constraints of remote meetings as limiting their ability to contribute as much as they would have liked, including not being able to attend graduations. Other comments included:

- Over the last few years I have found it more difficult to contribute as readily as before. I think there is less discussion generated/ robust challenge at Court. That is not to say there is none but certainly less of it. I think the Convenor is perhaps too quick to summarise matters in the most positive of ways before any discussion has taken place and therefore setting up anything other than complete praise as a contradiction or a negative comment.
- I think I made all the contributions I wanted to make, and was pleased to be able to speak out on issues which matter to me and the University community as a whole.
- I find the Court a highly inclusive environment where I am able to contribute freely. If I have any questions which I think may be "daft questions" I can take them to another member of Court for testing or to the Convener directly. I have not faced any barriers in providing contributions.
- We all miss the personal contact that restrictions have brought but feel that otherwise contributions have been as good as possible.
- I may not have been assigned to the most appropriate court strategy group for the group discussions.
- Opportunity to hear from senior management on more of the specific strategic initiatives.

6. Suggestions for improvements made by individual respondents include:

- A return to in-person meetings;
- Keep some meetings online e.g. the strategy sessions;
- Some informal time with other Court members to be able to get to know them better;
- The trick is to 'bring in' the Lay members such that they contribute their personal strengths and knowledge;
- Keep up presentations from university staff which are a great way of understanding university business;
- Papers to have concise executive summaries with key questions for the Court to consider;
- Opportunity to hear from senior management on more of the specific strategic initiatives;
- General training for the Court on the high-level function, purpose and structure. Previous experience cited, where this training was run every four years, to ensure the Court were all very familiar with its role.

7. The restrictions in place due to the Covid-19 pandemic were still in place throughout session 2020/21. While the previous year's survey had suggested general satisfaction with online meetings, a wider variety of opinions on this topic were expressed this year. Several respondents took the opportunity to record that they were looking forward to a return to face-to-face meetings and less reliance on remote working. Some, however, wished to retain some of the perceived benefits of remote meetings. Comments in this area included:

    • Online meetings have worked well;
    • The move to online was fairly slick but I do worry about the security protocol concerns;
    • I think the Court meetings on Zoom were far more effective than the in-person meetings. I felt less inhibited to speak out;
    • The online approach has worked well during the period and there could be aspects of this which could be retained;
    • On-line is fine for occasional, task related issues.
    • The move to online meetings has been smooth and functions well albeit face to face meetings bring added value due to the opportunity to network pre-and post meetings;
    • After a year of on-line for all business my impression is now of a rather jaded group. This is not confined to just Strathclyde Court;
    • There appears to have been less feedback to the various aspects of Court business. I can't tell whether this is as a direct consequence of the restrictions or not;
    • A face-to-face format will allow better communication and in particular the chance to have informal interaction with other court members.

8. A final section of the questionnaire asked respondents who also served on another University committee to comment on their experience of that committee. The majority of respondents felt that they had sufficient resources available to support them in their committee role and sufficient time to fulfil their responsibilities. The majority also considered the number and length of committee meetings to be appropriate and the committee papers to be concise, relevant and received timeously.

Annual appraisal of the Chair's performance

9. The Scottish Code of Good Higher Education Governance includes the process led by the member in the 'intermediary' role, whereby the members of the governing body appraise the Chair's performance at least annually, without the Chair present.

10. The annual survey is our means of satisfying this requirement, with the inclusion of the question 9: "*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 Senior Deputy Convener, who is collating feedback for the Convener.*"

11. The feedback received was discussed at a meeting between the Senior Deputy Convener and the Convener of Court on 20 September 2021. The feedback was overwhelmingly positive with responses highlighting the Convener's professionalism, effectiveness, facilitative and inclusive approach, particularly in the difficult circumstances of the pandemic.

12. A suggestion on how the effectiveness of the Court might be enhanced has been captured above.

Recommendation

13. CMG is invited to **note** the summary findings of the 2021 survey.

Annex A – Text of the survey questions

1a *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

1b *If you disagree or strongly disagree with any of the statements above please explain your reasons for this.*

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 Court 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. *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, SACSOH etc.

10. Do you consider that you have sufficient resources available to support you in your committee role?

10a Please comment further on the nature and range of any additional help/support/training that you would find useful.

11. 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?

11a Please comment further on anything that you think would help to alleviate the time pressure.

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

12a If not, please provide further details.

13. Do you consider the committee papers to be concise, relevant and received sufficiently in advance of meetings?
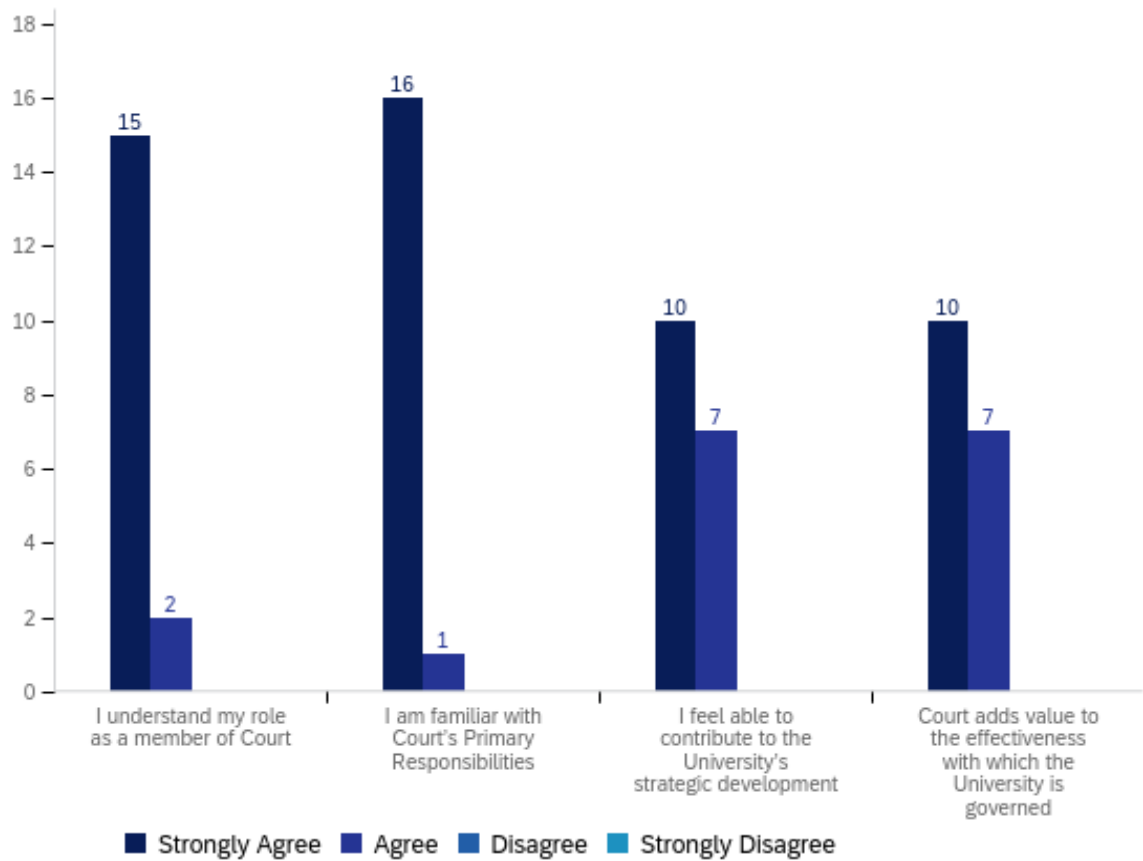*13a If not, please provide further details.*

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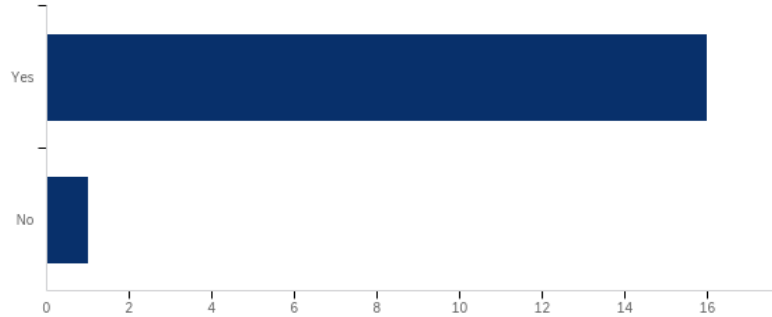**Annex B – Results for Quantitative Questions**

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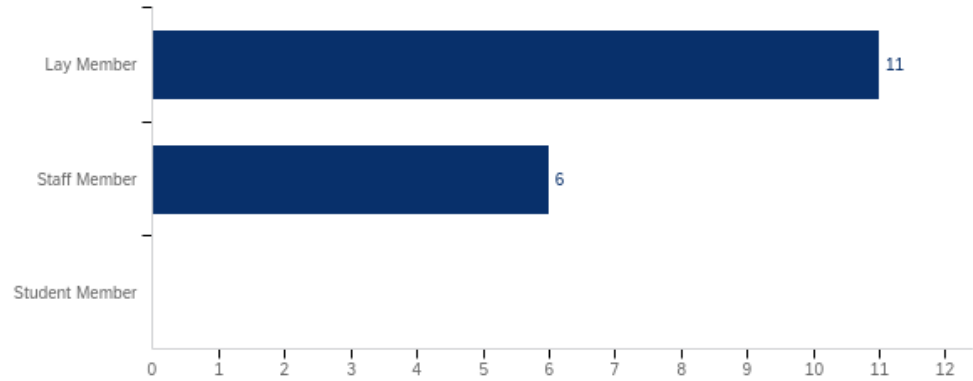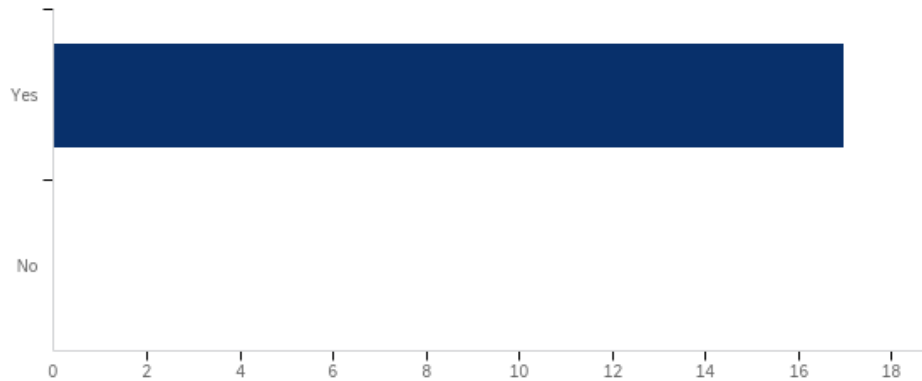

Question 1: Please indicate your agreement with the following statements:


**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)?

Yes	████████████████████ (17)
No	

0　2　4　6　8　10　12　14　16　18

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

Yes	████████████████████
No	

0%　10%　20%　30%　40%　50%　60%　70%　80%　90%　100%
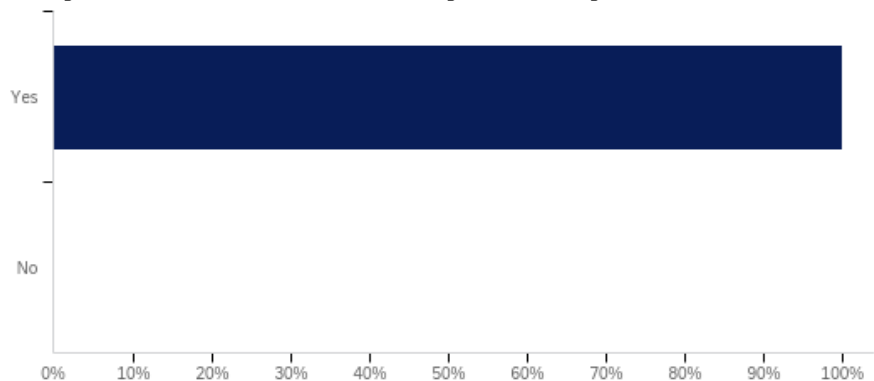
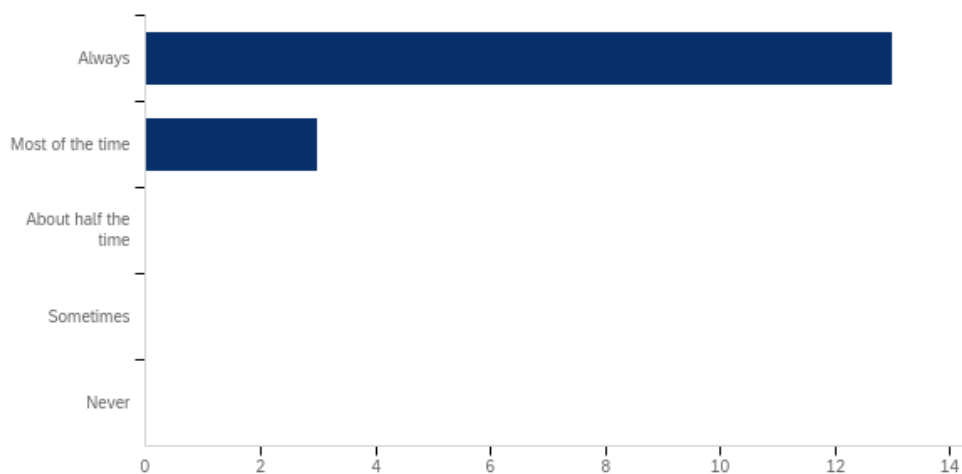**Question 7: Are you content that the regular reports to Court from various committees provide appropriate information?**

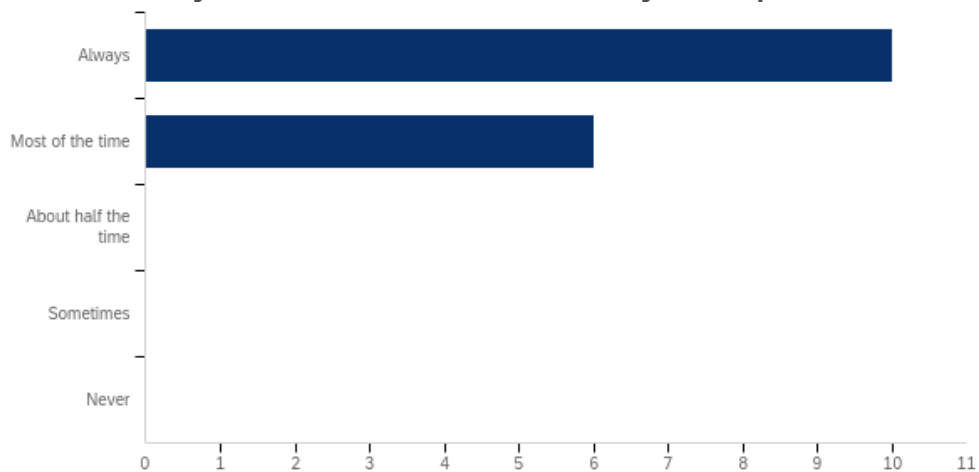|	
Yes	████████████████████ (17)
No	

0　2　4　6　8　10　12　14　16　18
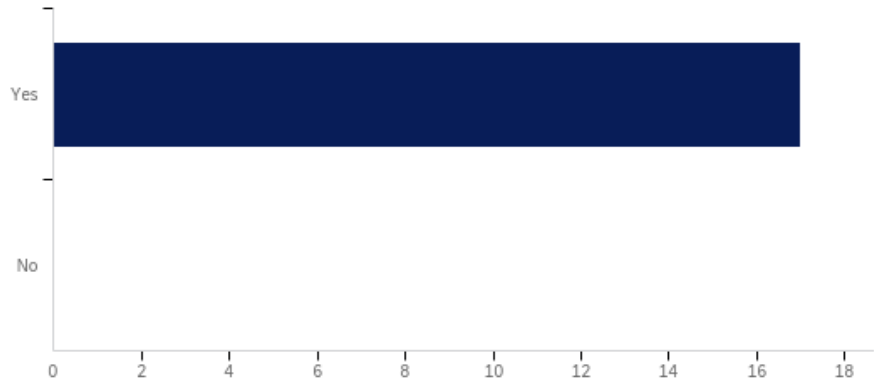
For Members who serve on University committees: CBG, CMG, Staff, Audit & Risk, Remuneration, Estates, EIC etc.
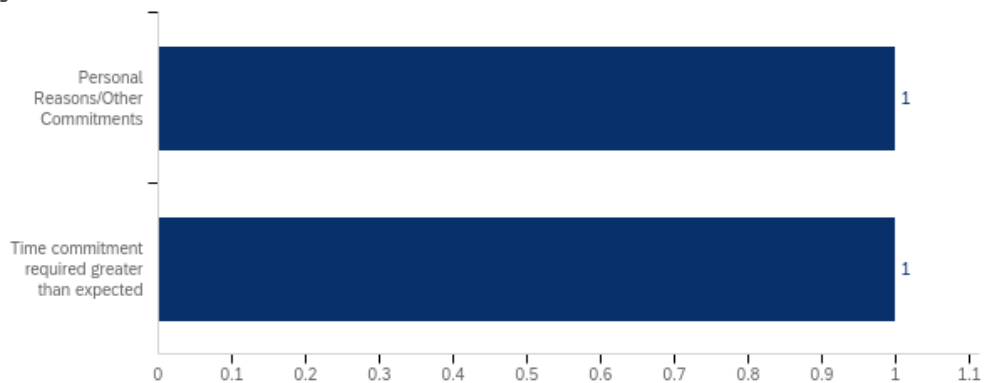
Question 10: Do you consider that you have sufficient resources available to support you in your committee role?
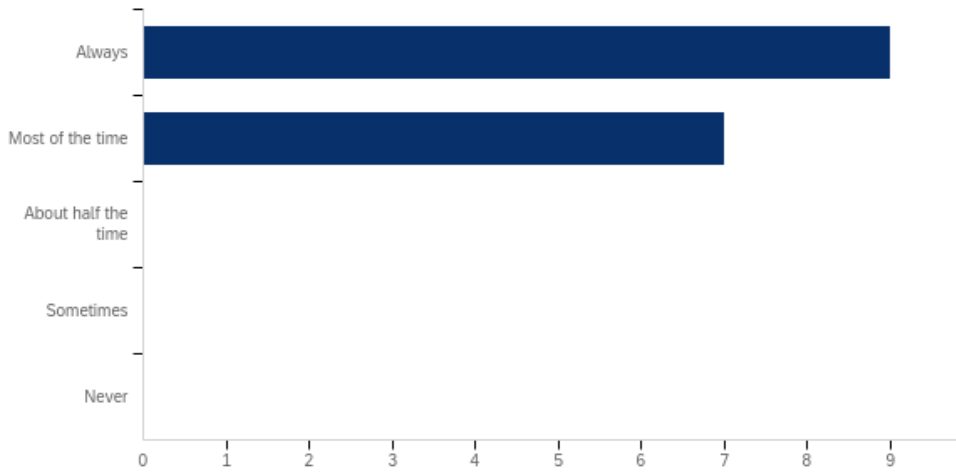

Question 11: Do you have sufficient time to fulfil your responsibilities as a committee member?
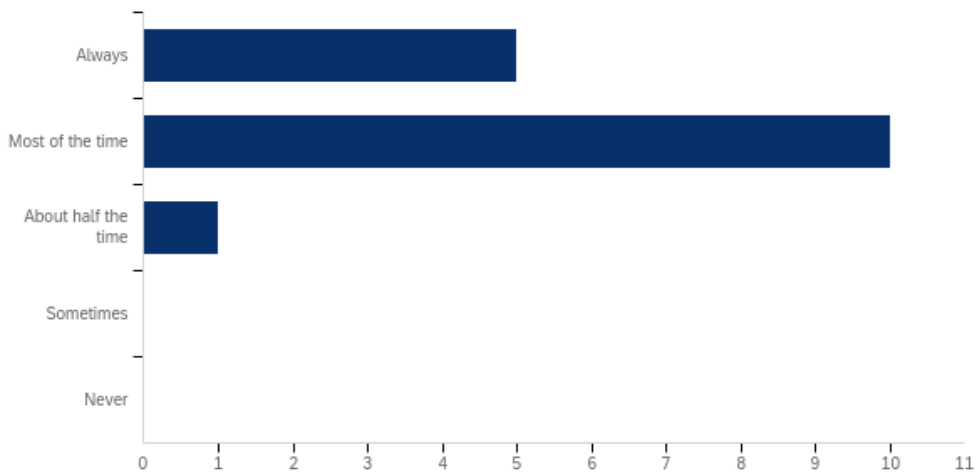

If you do not have sufficient time what is the main reason for this?

Question 12: 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 2020/21

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. The SPSO published a revised model Complaints Handling Procedure at the end of January 2020 which the University implemented in April 2021. One aspect of this revised procedure is a specific definition of "resolved" at both frontline and investigation stage. Therefore the categories of "upheld", "partially upheld" or "not upheld" have been added to the options, on the recording system, at frontline stage and "resolved" as an option at investigation stage. These new categories are beginning to be used but, as the revised procedure was only adopted in April 2021, there is still significant use of the "resolved" option at frontline in this report. This is anticipated to change as the revised procedure continues to bed in and as uptake of online training increases.

Recording and Reporting

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

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

4. Annex A provides key performance information on the volume and types of complaints received during 2020/21 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 2020/21.

Summary Analysis

5. The University recorded 122 complaints during the 2020/21 academic year. This is an increase on 2019/20 but is in line with the figure for 2018/19 suggesting that the national lockdown and closure of the campus impacted 2019/20 figures. The majority of complaints (91%) were received from students or former students of the University. The remainder of complaints received were from members of the public and applicants for work or study.

6. Complaints were received across all academic faculties with the biggest faculties of Engineering and HaSS recording the most complaints. Twenty four percent of complaints received were related to areas within Professional Services, predominantly Information Services and Student Experience. The Information Services Directorate operates the University library, one of the few areas on campus that was open during a significant part of the pandemic, and the temporary closure of which, along with restrictions when it did open, affected all students.

7. The percentage of complaints closed at frontline was 69%, slightly down on 73% the previous year. The time taken to close frontline complaints fluctuated throughout the year, averaging 6.5 days, only very slightly above the 5 working day target. Sixty percent of frontline complaints were closed within the 5 working day target, down from 70% the previous year.

8. Complaints investigated at stage 2 of the procedure were closed within an average of 29 days, slightly above the 20 working days target but down from 31.7 days in 2019/20. This timeframe has always been considered to be very challenging, particularly for complex complaints. This year, the majority of 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. Thirty six percent of stage 2 complaints were completed within 20 working days and 54% within 30 working days.

9. The most frequent types of complaints recorded were those relating to:
    1. Staff Attitude and/or Conduct (18%)
    2. Teaching and/or assessment (18%)
    3. University Policy, Procedures or Administration (15%)
    4. Service Provision (15%)

10. The University 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.

11. Complaints relating to disruption caused by the COVID-19 pandemic which included allegations relating to failure to provide a service or the quality of facilities or learning resources were captured in existing categories and have potentially impacted the numbers of complaints relating to teaching and assessment and service provision. Complaints relating to University policy have also been received relating to policy decisions made to comply with Scottish or UK Government guidelines. For example, several complaints were received about the restrictions on library opening hours and complaints were received in Engineering from several students who wished to undertake placements or exchanges overseas during a period when overseas travel was restricted.

12. Lessons learned and actions taken to improve services are recorded following each complaint, where appropriate, and examples of the learning points recorded during 2020/21 are included at Annex B.

13. Staff continue to engage well with the complaints process and work is continuing to encourage a greater focus on frontline resolution. During 2020/21 briefing sessions, on the revised CHP, were held online.

14. 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, online training has been developed and is available to staff through MyPlace. The training for those investigating complaints was delivered once during 2020/21.

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 no recommendations to the University in the last year.

Recommendation

17. Court is invited to **note** the Complaints Handling Annual Report for 2020/21.

Complaints Received by Area 1 August 2020 to 31 July 2021

The Unviersity recorded 122 complaints during 2020/21.
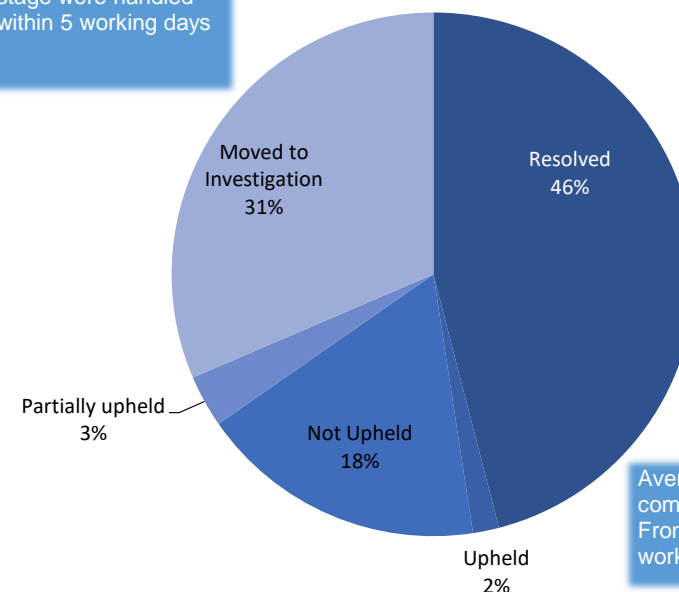
Chart axis values: 50, 45, 40, 35, 30, 25, 20, 15, 10, 5, 0

Categories: HaSS, Engineering, SBS, Science, IS, Estates, SEES, Finance, HR
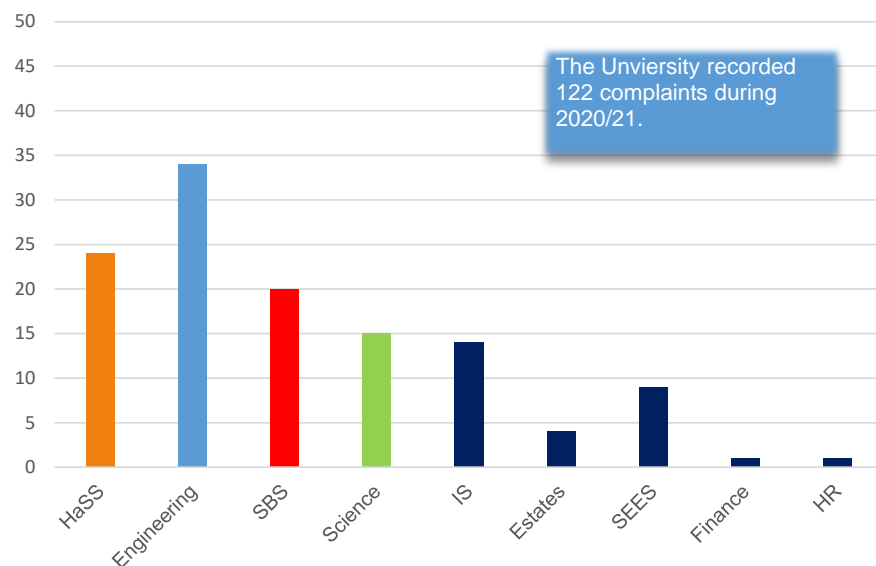
Frontline (Stage 1) - 1 August 2020 to 31 July 2021

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

- Resolved 46%
- Moved to Investigation 31%
- Partially upheld 3%
- Not Upheld 18%
- Upheld 2%

Average time for complaints closed at Frontline was 6.5 working days.

Investigation (Stage 2) Outcomes 1 August 2020 to 31 July 2021

- Resolved 8%
- Upheld 8%
- Partially upheld 38%
- Not upheld 46%
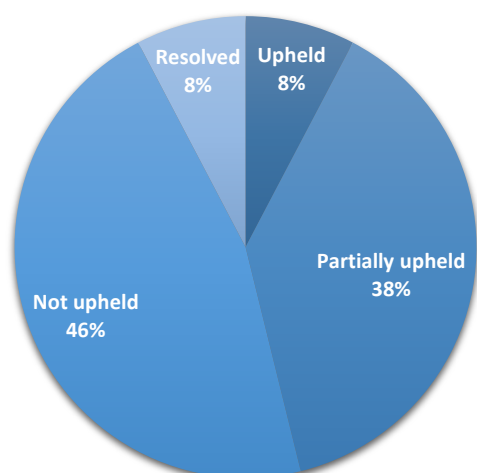
39 investigations were resolved. Average investigation = 29 working days

36% of Investigations were completed within 20 working days

Complaints Received by Category 1 August 2020 to 31 July 2021

Chart axis values: 30, 25, 20, 15, 10, 5, 0

Categories: Academic Support, Accommodation, 3rd party Conduct, Service Provision, Staff Conduct, Teaching/Assessment, Policy/Procedures, Facilities, Disability, Student Conduct, Financial, Other
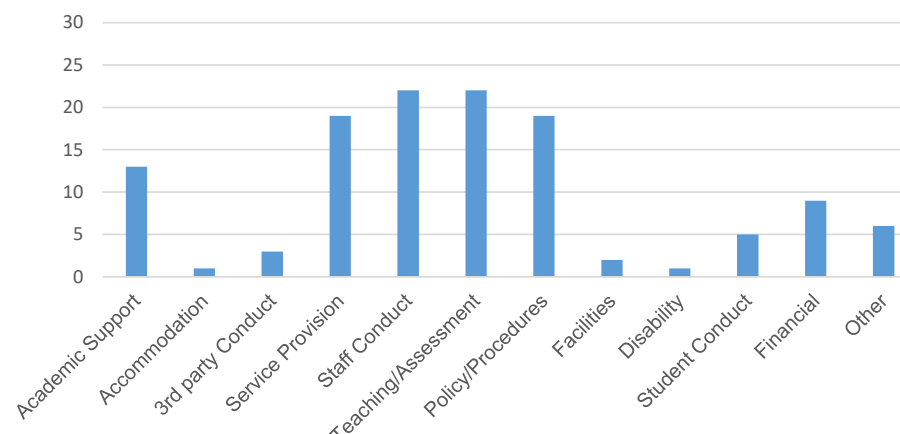
Learning from Complaints 2020/21 – Examples

Complaint Category	Complainant	Complaint Summary	Outcome	Frontline Learning
Academic Support	Student	PGT student complained that project supervision was poorly supported and communication between supervisor and student inadequate.	Frontline Partially Upheld	Department requested to establish better guidelines for staff and students on level of supervision a student should expect for MSc PGT courses.
Academic Support	Student	Complaint regarding the process and administrative procedures followed in a student dissertation class	Partially Upheld	• Department to ensure all information uploaded on MyPlace is clear and up to date. • Where there is a fail in a substantial piece of coursework external examiners should be asked to review the work prior to the September Board of Examiners.
Staff Attitude and/or Conduct	Applicant for study	Applicant was unsuccessful at interview and at the first stage the following year. Failure to meet the entry criteria was not highlighted the first year.	Not Upheld	• Notes added to applications to outline how credit totals are met; • More robust checking of reasons given for unsuccessful applications. • More detailed feedback to be provided post-interview, if requested; • Detailed interview notes to be kept on file; • Review of the entry criteria to emphasise need for a breadth of subjects; • Enhanced training in the assessment of overseas qualifications.
Staff Attitude and/or Conduct	Student	Complaint that a member of staff approached a student who had temporarily removed their mask and spoke in a rude and disrespectful tone.	Resolved	• Library continues to review and adjust internal processes, staff training and messaging in light of any feedback and evidence received.
Reasonable Adjustment/ Disability-related	Student	Complaint regarding Department's inability to resolve issues between student and Supervisor.	Not Upheld	• Review portfolio of Researcher Development courses to ensure coverage of topics around managing supervisory relationships including conflict; • Develop a toolkit/guidance on managing conflict in supervisory relationships and signposting to further support and training; • Consider an independent arbitration process for when a change of supervisor request is not granted.
Facilities	Student	Complaint regarding maintenance work being conducted during the library opening hours. Request information regarding maintenance work and disruptions and when works can be expected to be finalised.	Resolved	Publicising essential maintenance work in the Library via website, social media and digital signage.

Complaint Category	Complainant	Complaint Summary	Outcome	Frontline Learning
University Policy, Procedures or Administration	Student	The complainant believed that procedures were not followed in a case of academic dishonesty.	Resolved	The Department has instigated a new standard approach to communicating with students when dealing with a case of academic dishonesty.
Academic Support	Student	Complaint regarding quality of feedback on assignments, assignment too challenging, insufficient support and feedback was too harsh.	Moved to Investigation Stage	Course Team will ensue that there is some individual form of feedback fed into the question next year and that feedback sheets are suitably amended. There will be a longer gap between the two assessments.
University Policy, Procedures or Administration	Applicant for study	Applicant's previous study initially deemed acceptable proof of language ability. Subsequently a further HE Assessment was required. Applicant complained about the duplication in the process.	Resolved	A review of checking off English language conditions to be undertaken.
Staff Attitude and/or Conduct	Student	Attitude of Library staff when dealing with customer non-compliant behaviour relating to the COVID control rules.	Not Upheld	• Library to confirm widespread publicity of Covid-19 measures. • Recommend restrictions on Annex rooms be retained and the feasibility of more regular changing of the access code to restricted rooms be considered.
Other	Student	Student complained that the department withheld their PhD award despite revisions being completed and that Academic staff were utilising student's IP without agreement.	Partially Upheld	• Arrange for PhD award to be released to enable student to graduate as planned. • Ensure that all PGR students have valid Data Management Plans in place and are fully aware of their obligations in relation to IP.
University Policy, Procedures or Administration	Student	Delay in provision of paper graduation certificate. Accommodation service handling of issues with another resident	Partially Upheld	• The production of paper certificates should be an operational priority in the graduation period and, if necessary, additional staff employed/re-deployed to assist. Option of a paid courier delivery could be made more prominent on web pages. • Accommodation Services to consult with appropriate colleagues to develop a clearer process for dealing with such circumstances in line with the Student Discipline Procedure and Data Protection regulations.

Paper K

Statutory Advisory Committee on Safety and Occupational Health
Annual Safety, Health and Wellbeing Report
2020/2021

Sections

1. Executive Summary

2. Consultation, Engagement 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. Management Review and Actions

   Appendix 1 – OHSaW Policy

   Appendix 2 – OHS Risk Profile September 2021

   Appendix 3 – OHSaW Strategic Priority Indicators 2020/21

   Appendix 4- Terms of Reference reviewed for 2021

1. Executive Summary

This report updates Court on the activities of SACSOH for the academic year 2020/21. The report is in keeping with the University's Occupational Health, Safety and Wellbeing (OHSaW) strategic priorities and fulfils the requirement to undertake an annual management review of the occupational health and safety management system.

The Government and University response to the ongoing COVID-19 pandemic played a major part in the planning activities for the year, for members of the SACSOH Committee and the corporate Safety, Health and Wellbeing (SHaW) team. In this report the response to COVID-19 is treated as 'business as usual'. The 2020/21 academic year commenced with a blended learning approach for academic activities and 'working form home' the default for staff.

The revised University OHSaW Policy is available within Appendix 1. The Occupational Health, Safety and Wellbeing Strategic Priority Indicators are provided in Appendix 3.

2. Consultation, Engagement and Trade Union Involvement

2.1. The University is Committed to its people-orientated values and through the Committee's activities, sought to involve workers and their representatives in matters affecting their health, safety and wellbeing.

2.2. SACSOH met for each of the three planned Committee Meetings of the annual cycle, where the regular business of the Committee was conducted.

2.3. University senior management regularly met with campus trade unions to maintain regular dialogue and consult with them, providing updates from the Scottish Government in relation to Covid-19 and measures in place to support a return to campus.

2.4. The SHaW team utilised an established consultation process to gain the views of trade unions, management, SACSOH Committee members and department safety coordinators on standards prior to their launch.

2.5. The SACSOH Committee reviewed its effectiveness via a survey of its membership and a number of changes were taken forward in the terms of reference.

2.6. The return of staff to campus during COVID-19 restrictions required that staff agreed with line managers any changes to their role, processes and team operations, via the Staff Return to Campus Agreement and complete an individual health risk assessment.

2.7. Department Safety Committee meetings continued to take place virtually on a regular basis and supported by SHaW team members where available.

3. Health and Safety Management

3.1. Readiness Approvals Flowchart was developed to explain the process for applying and ensuring the correct arrangements were in place for staff and students returning to campus. This was expanded over the year in response to the implementation then easing of lockdown/restrictions and included additional activities such as research visits, fieldtrips in the UK and overseas.

3.2. The OHS Standard Hazard Identification and Risk management was developed, consulted upon, and launched to the University in February 2021. The Standard

strengthened the University's approach to OHS risk management by aligning it to the Risk Management Framework and Business Continuity Framework. The Standard developed the management arrangements for reporting and management of OHS risks.

3.3. The SHAW Team developed and worked through a gap analysis tool to assess the University safety management system's compliance to ISO 45001. The gap analysis was used in an assessment of the management system with the British Standards Institute (BSI) in August 2021.

4. Planning and Reporting on Objectives and Priorities

4.1. The OHSaW Strategy 2016-2021 has been extended by two years to reflect the ongoing work on the strategic objectives which have been delayed due to work on COVID-19 contingency planning and recovery. The Project Plan, ISO 45001 was revised to reflect enhanced planning, progress on the actions and amended timescales.

4.2. The NHS Scotland's Healthy Working Lives Gold Award was retained for a 6th consecutive year. Due to the demands on Public Health Scotland the award team have delayed revalidation requirements until 2022 and all those institutions holding the award can retain the award until such time as they can be re-assessed.

4.3. An online incident reporting system, Safe360, has been developed in collaboration with Security Services and Student Experience and is expected to be completed by the start of the 2021/22 academic session. The launch of the system was delayed due to the Covid-19 pandemic. The system will replace the current paper S1 Safety Incident Reporting form, the Security IMP reporting system and Report and Support, and is anticipated to bring substantial benefits to management reports.

4.4. The University Secretary and Compliance Officer was provided with regular briefings on health and safety issues and corporate risks by the acting Head of Safety, Health and Wellbeing. Safety Moments are included in all Court and Executive Team meetings.

4.5. In response to a campus incident, Estates Services and the SHaW team jointly established a process for the survey and creation of a Campus fall from height risk log. The log was used to identify, assess and track remedial actions where there are publicly accessible heights around the main campus.

4.6. The Occupational Health Adviser is undertaking a gap analysis to ensure the University is meeting its statutory obligation to minimise the risk of work- related stress and identify improvements that can be made to current procedures.

5. Review & Approve OH Corporate Written Arrangements

5.1. In line with the remit of the Committee, significant effort was invested in improving the quality of the health and safety management system before and during the lockdown period, including guidance and information for departments.

5.2. Due to the rapidly changing nature of restrictions and guidance on COVID-19, the University developed, consulted, approved and launched this documentation outwith the cycle of SACSOH meetings.

5.3. The SHaW team kept abreast of the latest advice and established a comprehensive suite of over 30 Covid documents to support the safety of staff and students whilst at home or

on campus. The documents were updated regularly to keep pace with changes to Scottish Government, Public Health, and HSE information.

5.4. The OHS DSE Standard was provisionally approved by SACSOH subject to additional comments from a TU Safety Rep being addressed. This OHS Standard aims to support University colleagues to work safely with display screen equipment in compliance with the Health and Safety (Display Screen Equipment) Regulations 1992, both in the workplace and in an agile manner.

5.5. 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 Artificial Optical Radiation, Display Screen Equipment, Hazard Identification and Risk Management.

6. Monitoring

6.1. Monitoring, measuring and reviewing performance have been vital components in evidencing full legal compliance, by allowing leaders and managers the opportunity to test the effectiveness of the OHS Management System.

6.2. The Return and Resume process required weekly monitoring by departments and third parties to ensure that the workplace remains covid-safe. Guidance and tools were developed to support HoDs and DSCs in maintaining a safe working environment. The SHaW team undertook 3 departmental visits to gain assurances on the University's arrangements for managing the return to work during the Covid-19 pandemic.

6.3. The SHaW Operational Report, detailing indicators on the University's strategic objectives, was submitted to SACSOH committee meetings, with the year's running data. Responding to a request from trade unions, the SHaW team included the data from the previous year's equivalent period. The full year's reported data, compared with the previous two years, has been appended to this report.

6.4. The OHS Audit Programme continued to be suspended until the criteria can be aligned with ISO45001 and forthcoming revised sector guidance. Work was taken forward to complete those audits in progress and close out actions.

6.5. The University's cyclical programme of fire risk assessments was an important component in monitoring fire safety arrangements. The programme continued during the Covid restrictions and was amended to reflect the developing campus asset uses. With University buildings being unoccupied or partially occupied, the SHaW team completed monthly fire safety checks in all buildings. These checks have been simplified to cover accessible areas and escape routes only.

6.6. In September 2020, the University responded to a Public Health Scotland request to assist with the monitoring of COVID cases on Campus. The Covid Notifications webform and database was developed in collaboration with HR and Student Experience. Staff and students were encouraged to report positive Covid results, or instances of self-solation. Collation of the statistics on staff/student notifications enabled weekly reporting to the Scottish Government and provided an overview of cases to senior management. The statistics also facilitated continual monitoring for possible incidences of transmission on campus and where necessary seeking advice from Public Health.

6.7. The Occupational Hygiene Programme was suspended during lockdown. Work continued through the pandemic to review the rolling programme and work is ongoing to

reach out to the University community to determine monitoring requirements in order to maintain compliance. A review of the administration of the programme has been carried out jointly between the SHaW Safety Advisers and Occupational Health.

6.8. The SHaW team continued to collaborate with Internal Audit by updating the Key Controls Checklist (safety, health and wellbeing questions) and reviewing those checklists returned by departments.

6.9. The Occupational Health Service undertook a programme of assessments for staff returning to work on Campus who were considered to be at increased risk from the effects of COVID-19. The COVID -19 health self-assessments were recommended by the Scottish Government and used the evidence-based 'COVID-Age' tool to make recommendations to managers on actions to be taken to protect their staff. With the easing of restrictions, more staff were able to return to work on campus and in line with the guidance, an Individual Occupational Risk Assessment will replace the previous health assessment.

6.10.   The University's Occupational Health Service have maintained the scheduled statutory health surveillance programmes for staff and students for the 2020/21 period. In keeping with the Health and Safety Executive's recommendation to suspend of physical testing, lung function testing and audiometry have temporarily paused. Physical tests were replaced by non-contact screening method for staff in work. While physical testing is intended to resume during the next academic year for those identified at highest risk, the Occupational Health Service is currently reviewing all health surveillance programmes and associated guidance to identify where physical testing can be rationalised in the future. The review will include a move away from paper records with test results being stored digitally.

6.11.   The rapid set up of the Asymptomatic Test Centre was supported with health and safety advice, training, compliance monitoring, management team participation and Department of Health and Social Care (DHSC) communications.

7.   Enforcement Authorities Involvement

7.1 Following a fatality on Campus in December 2020, the incident was reported to the Health and Safety Executive under the requirements of RIDDOR. An HSE inspector has since met with University representatives on 3 occasions and information has been provided to the investigating inspector. There has been no enforcement action to date.

7.2 HSE Specialist Inspectors in both Radiation and Bioagents have contacted Safety Advisers (April 2021 and Feb 2020), with a view to conducting scheduled inspections. A radiation inspection is scheduled for September 2021.

8.   Health & Safety Staff Training

8.1 A robust and accessible training programme is required to ensure competent, well trained people at every level of the organisation are in place to ensure that all stakeholders fulfil the health and safety responsibilities expected of them.

8.2 The University continued to invest in health and safety training, with a sizeable budget for OHS training made available.

8.3 Significant progress was made in improving the quality of the OHS training programme, including communication of and access to its content.

8.4 The OHS training course catalogue was re-developed and published using a software package already utilised by OSDU.

8.5 Classroom-based training was moved to a virtual classroom or online-only resource to improve accessibility and allow homeworkers to access training during pandemic restrictions.

8.6 Bespoke fire safety related training was created to ensure that, in the absence of fire marshals on campus, all staff in the workplace, are provided with the necessary training. The University Fire Safety Adviser has invited departments to arrange 'bulk' training events, prior to return to campus, so that fire marshals will be available as soon as staff and students return to campus.

8.7 An OHS Training forum was established within Safety, Health and Wellbeing to monitor the training programme. The Forum will have the overall objective of achieving continual improvement in the OHS training programme.

8.8 The following training courses were developed and placed online during the academic year:
- Head of Department Legal Responsibilities
- COSHH Essentials
- COSHH Assessors
- Departmental Fire Safety training
- Evacuation Chair theory training
- Evacuation Lift training
- Fire Safety Awareness
- Fire Safety Awareness for Externally Recruited Staff
- Safe 360 Incident Reporting and Investigation
- Departmental Safety Inspection

9   Management Review and Actions

The following opportunities for improvement have been recommended to University Court to ensure the Occupational Management System continues to meet its intended outcomes:

9.1 Continue to monitor University Covid-19 controls and align these with Government and sector guidance

9.2 Progress with the existing plan to implement ISO 45001 requirements and seek accreditation, where practicable to do so. This action will be inclusive of addressing those recommendations identified by the British Standards Institute (BSI), following their assessment of the University in August 2021.

9.3 Develop a health, safety and wellbeing audit tool which accommodates legislative, higher education sector and ISO 45001 requirements.

9.4 Continue to develop and improve the OHS documentation.

9.5 Review the Occupational Health Service's health surveillance programmes, with the overall objective to increase paper-screening where possible and reduce the amount of physical testing. The review will consider a move away from paper records with test results being stored digitally.

9.6 Take forward a stress gap analysis to ensure compliance with legislation and HSE guidance, contributing to the development of a wellbeing policy.

Appendix 1- OHSaW Policy

September 2021

OCCUPATIONAL HEALTH, SAFETY AND WELLBEING POLICY

University of **Strathclyde** Glasgow

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

This Policy 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 (OHSaW) Strategy underpins the Policy by detailing how the University intends to organise itself in a planned and co-ordinated way to fulfil legal and other requirements, as a minimum, and to promote a positive, sustainable OHSaW 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 environment and working conditions where this is within our influence. Primarily, this will be achieved through the implementation of relevant HSE and sector specific guidance and by:

- Continually reviewing objectives and improving the management framework;
- Achieving a recognised accredited international standard to further promote the systematic management of occupational health and safety.

The Principal Aims of this Policy are to ensure:

- All University leaders understand their roles and responsibilities and accept ownership and full responsibility for health and safety matters;
- All workplace hazards are assessed, mitigated and controlled in a proportionate manner to reduce associated risks and prevent work-related injury and ill health;
- Effective communication mechanisms are in place to ensure consultation and participation of staff, students, their representatives and third parties on matters affecting their health, safety and wellbeing;
- All staff, including members of Court, leaders and managers are sufficiently trained to enable them to discharge competently their legal duties;
- All staff, students and those who could be affected by the University's work activities take reasonable care of their own health and safety, and that of others who might be affected, and as far as is necessary co-operate and assists the University in complying with its statutory health and safety obligations;
- OHSaW performance standards are monitored and measured against clear, measurable indicators aimed at continuous improvement.
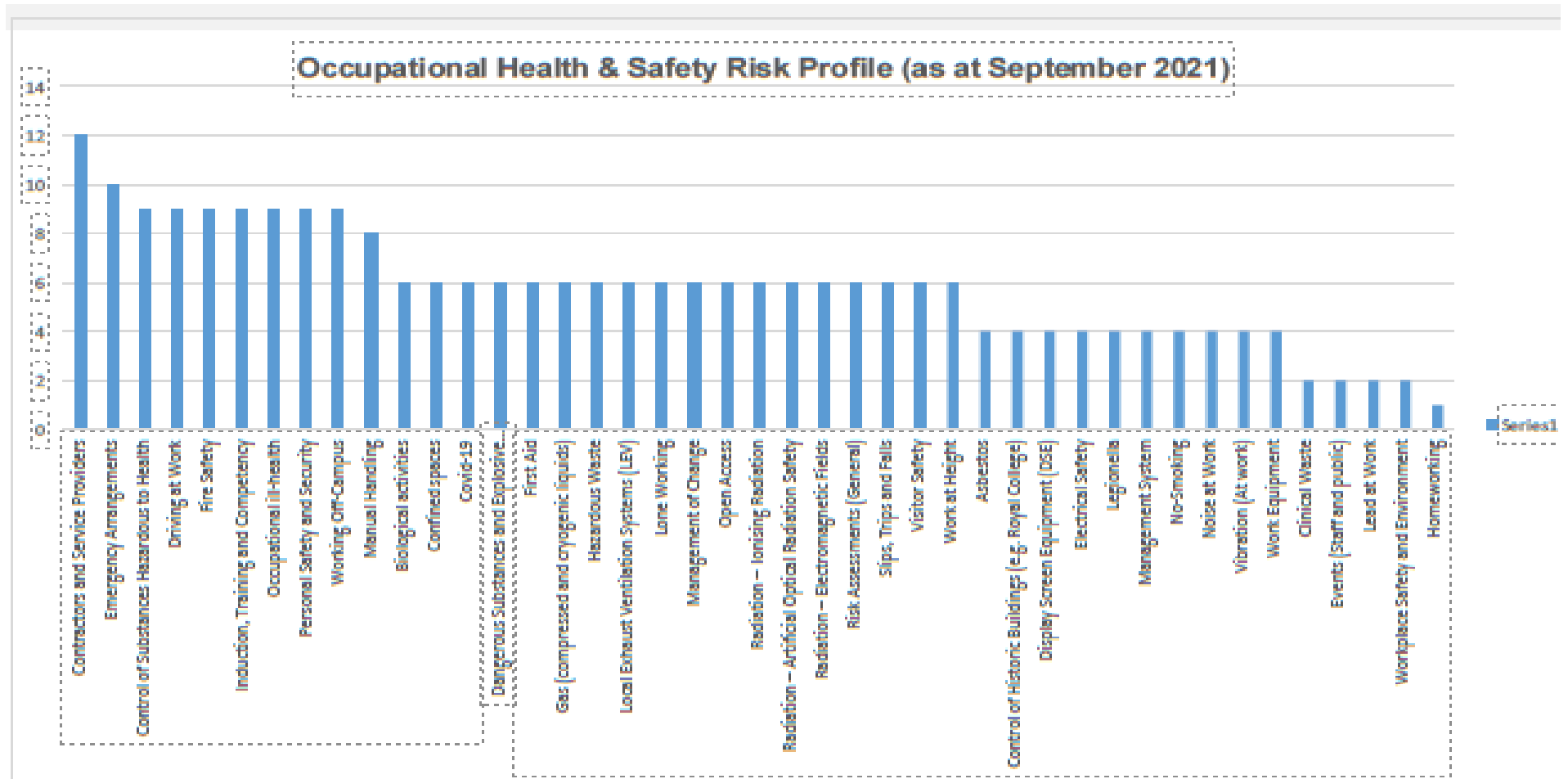
The University of Strathclyde commits itself to the highest standards of OHSaW by allocating suitable and sufficient resources to fully implement the Policy, in keeping with its values and standing as a leading international technological university.

This Policy will be reviewed annually and updated as necessary.

Dame Sue Bruce
Convener of Court

Professor Sir Jim McDonald
Principal and Vice-Chancellor

OHSPS001 v 1.4
Issue Date: September 2018

Owner: Head, Safety, Health and Wellbeing
Last Review Date: September 2021

Page 1 of 1
Next Review Date: September 2022

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

Appendix 2 OHS Risk Profile

Occupational Health & Safety Risk Profile (as at September 2021)

Appendix 3 OHSaW Strategic Priority Indicators

Strategic Priority	2020/21	2019/20	2018/19	Comment
Leadership and Commitment				
Number of Executive Team and Court Members attending IOSH Leading Safely Course.	0	0	4	An effective method of top management OHS awareness training will be taken forward in 2021/22.
Risk Control				
No. of RIDDOR reportable incidents.	6	3	6	The number of RIDDOR reported incidents has remained fairly consistent for a number of years. The low number in 2019/20 can be attributed to the University closure for several months.
No. of RIDDOR reportable accidents involving students as a proportion of the total.	17%	0%	50%	The University reported the fatality of a student to the HSE during the reporting year. A package of work to assess accessible heights on campus has been progressed.
No. of HSE regulatory enforcement action.	0	0	0	

Total no. of near miss incidents.	36	41	75	
Total no. of near miss incidents which could have resulted in a major incident or fatality.	1	1	3	
Total no. of fire incidents	3	4	3	The number of fires on University grounds continue to be low and of a minor nature.
% of Fire Risk assessments completed against plan	98%	81%	97%	The University Fire Safety Adviser adjusted the risk assessment programme to reflect a number of buildings or new operations coming online and requiring assessment. A number of outstanding risk assessments from the previous reporting year were also completed in 20120/21.
Communication and Engagement				
No. of staff participating in SHaW promotional events.	389	67	569	Hello March! Was an online event throughout the month to promote wellbeing amongst staff and students. The online event replaced the traditional Wellbeing Week activities. No other promotional events were taken forward by SHaW during the year.
No. of joint departmental H&S inspections completed in collaboration with the SHaW Advisory Team.	3	13	10	Joint departmental inspections were suspended due to Government restrictions however, 3 covid-focussed assurance visits were conducted in the Q4 of the reporting year.

No. of departmental H&S committee meetings attended by a member of the SHaW Advisory Team	31	28	32	
Training and Competence				
No. of participants attending the SHaW classroom training programme	291	744	993	The relatively low number of attendees has been due to: • traditional classroom-based training has been moved to online learning (Myplace) • A number of classes have not been able to be taken forward • Reduced demand due to staff working from home Note: virtual classrooms training has been included in these figures.
No. of staff having completed the online stress awareness course provided by the British Safety Council	150	134	132	
Performance Management				
No. of OHS Audits conducted against plan	2	3 (of 8)	5 (of 8)	The audits conducted were carried over from previous year, which had been suspended due to the Covid pandemic. The audit plan has been concluded and no further audits will be carried out from the plan.

Number of OHS audit recommendations closed and complete	30	24	12	The SHaW team has continued to support departments in closing audit actions. A full review of the OHS auditing system will be taken forward by Internal Audit Service in 2021/22.
No. of management referrals to OH for work-related illness • Mental health • Musculo-skeletal disorder	55 17	49 16	45 20	There has not been a significant change in management referrals for work-related illness. The three-year comparison indicates a ~20% increase in mental health management referrals. The Occupational Health Service will take forward a stress gap analysis, prior to the development of a new wellbeing policy.

University Occupational Health and Safety Information Sheet
THE UNIVERSITY OF STRATHCLYDE – COMMITTEE OF COURT – STATUTORY ADVISORY COMMITTEE ON SAFETY & OCCUPATIONAL HEALTH (SACSOH)

Introduction

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

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

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

Terms of Reference

SACSOH meets three times per year to fulfil its remit and carry out the following:
- Provide a mechanism for the effective consultation with all staff through the Trade Union Health and Safety representatives on matters affecting their health, safety and wellbeing.

- Ensure that a suitable health and safety management structure is in place within the University, to maximise the protection of the health, safety and security of all staff, students, visitors and contractors and to ensure legislative compliance.
- Plan and report to the Committee on progress in relation to safety, health and wellbeing objectives and priorities;
- Review and approve all corporate OHS written arrangements, including the OHSaW Policy and associated written standards and supporting documentation;
- Monitor the implementation and operation of the University's Occupational Health, Safety and Wellbeing Policy statement and management arrangements, to ensure the key risks are identified, and appropriate control measures are in place via reports from:

  1. Executive Officers;
  2. The Head of Safety, Health and Wellbeing;
  3. The Director of Estate Services;
  4. The Head of Security Services;
  5. The Director of Human Resources;
  6. The Director of Student Experience;
  7. Each of the Faculty/Professional Services Representatives relating to matters escalated from departmental safety committees in their area;
  8. The President of Strath Union. Consider any findings following health and safety inspections of the workplace and any investigations of accidents, incidents, ill health, cases of occupational disease or dangerous occurrences undertaken by Trade Union representatives;

- Consider reports from the Health and Safety Executive and other relevant enforcement authorities;
- Consider safety, health and wellbeing matters raised by the Executive Team where appropriate;
- Review the provision of health and safety training for staff;
- Monitor and review the 3-year rolling OHS Audit Programme
- Report to the University Court on the activities of the Committee, the effectiveness of the occupational health and safety management system, and actions to ensure its continual improvement.

The Constitution of the Committee is as follows:
  i. **Committee Chair:** A lay member of Court, appointed by the Court. In the absence of the Chair, the USCO will chair meetings.
  ii. **Ex-Officio Members**: The University Secretary and Compliance Officer (in their absence a member of the University Executive Team, as nominated by the USCO), Head of SHaW and the Health and Safety Manager.

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

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

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

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

vii. **Co-opted members**: Such other members that the Convener may wish to co-opt because of their expertise, either members of Court or individuals external to the University.

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

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

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

Organisation
- The University publishes the meeting dates on an annual basis in advance of the first meeting of the new meeting cycle in September of each year.
- Meetings should not be cancelled or postponed except in exceptional circumstances, when the rearranged date should be announced as soon as possible.
- A meeting agenda, draft minutes and committee papers are made available on the SACSOH SharePoint site 7 days in advance of the next committee meeting.
- Responsibility for meeting arrangements and facilitation, as well as recording minutes and distributing committee papers lies with the SACSOH Committee Manager.

- Draft minutes of each meeting are agreed with the Chair of the Committee before circulating to committee members no later than 21 [previously 14] days after the date of each meeting.
- Terms of Reference are reviewed and approved by SACSOH on an annual basis.
- The Committee is quorate with 5 members present, i.e. the Chair of the Committee (or their nominated representative), two management representatives and two representatives for staff/students.

Executive Team Report to Court

The Executive Team (ET) met on 14 June, 5 July and 20 September 2021. During the summer period, ET considered and approved a range of proposals by circulation, outlined under section 1 below. The following key items were discussed and are provided here for Court to note:

1. **Health and Safety moment and Covid-19 Updates**

Under the 'Safety Moment' led by the University Secretary and Compliance Officer, the Team took the opportunity at each meeting to discuss health, wellbeing and safety matters and Covid-19 related updates. Over the summer period covering 5 July to 16 September 2021, ET had also considered and approved a range of proposals relating to:

   a. Planning Principles for on-campus activity AY 2021-2022;
   b. The approach to Social Distancing Measure on Campus beyond level 0;
   c. Proposals for commercial activity to operate without physical distancing;
   d. Semester 1 Strath Union proposals for Student Union activity;
   e. Formal Assessment Period Semester 1 - Academic Year 2021/22;
   f. Updated Face Coverings Guidance and Strathclyde approach.

2. **Pay and pensions**

ET received regular updates on national pay negotiations and the Universities Superannuation Scheme (USS).

3. **Student Recruitment**

ET received regular updates on student recruitment.

4. **Budget 2021-2022**

ET received regular high-level updates on the 2021-2022 budget process from the Chief Financial Officer (CFO) and approved the Budget 2021-2022.

5. **2022-2023 Financial Forecasts**

ET noted that the Principal had approved the 2022-2023 Financial Forecasts on behalf of ET ahead of presentation of the budget and financial forecasts to Court in June. ET homologated the Principal's prior approval.

6. **Intellectual Property and Commercialisation Policy**

ET endorsed the Intellectual Property & Commercialisation Policy, subject to minor revisions, ahead of Court approval being sought at the June Court meeting, noting that the policy had been approved by Senate on 25 March 2021 and (with some relevant revisions) by EIC on 1 June 2021.

7. **Graduation ceremonies**

ET noted that students graduating *in absentia* this academic year would be offered the option to participate in a replacement graduate event in 2022. This option would also be extended to students who had graduated in the 2020 summer and autumn periods.

8. **Centre for Sustainable Development: Business Case**

ET approved the business case for the Centre for Sustainable Development.

9. **2021/22 Student Intakes targets**

ET noted the approach taken to intakes target setting and confirmed the intakes targets.

10. **Netball Scotland Strategic Partnership – two-year extension**

ET considered and approved a two-year extension of the existing partnership with Netball Scotland and semi-professional [Strathclyde] Sirens netball team by circulation.

11. **NMIS Vision Consultation**

The NMIS Chief Executive Officer presented an update on the NMIS Vision Consultation and invited ET Members to share their feedback. During the presentation, Members received updates on the NMIS Vision workshops, key stakeholders, values and priorities, progress roadmaps and KPIs.

12. **Inquiry Recommendations Implementation Group (IRIG) Report and Recommendations**

The USCO updated ET on the on the work of IRIG between December 2020 and June 2021. ET noted that IRIG would now reconvene as the 'Strathclyde Safe 360 Group' and focus on progressing longer-term actions to ensure a safe university environment. ET endorsed the recommendations for investment.

13. **Net Zero Framework/Trajectory and Ross Priory Solar Array project**

ET endorsed the Ross Priory solar array proposal and approved the application for grid connection noting the need to secure connection capacity.

14. **Corporate Risk Register**

ET reviewed and noted the top risks and mitigation actions in the Corporate Risk Register.

15. **HR Payroll Project**

ET received an update on the procurement process for the HR Payroll Project which had identified a provider to deliver the new HR system.

16. **UUK September 2021 consultation on the USS Pension Scheme**

On Friday 17 September 2021 and by circulation, ET reviewed and approved the University's proposed response to the UUK September 2021 Consultation on the USS Pension Scheme, ahead of its being considered by the University's Staff Committee and senior members of Court.

17. **Enhanced cost control mechanisms and investment stage gates**

ET considered proposed enhanced cost control mechanisms and an investment stage gating process for adoption for AY 2021/22. ET approved the adoption of a Pre-Business Case Review process through Performance Development Group and the continuation of investment stage-gating following each of the Quarterly Business Report updates.

18. **Values Survey**

ET received an update on the University Staff Values Survey 2021, which would be launched in October 2021. The University's socially progressive and people-oriented values had underpinned the response to the pandemic and it was agreed that now was an opportune time to check in with staff on engagement and alignment with the values.

19. **Athena Swan Update**

ET received an update on the Athena Swan transformed Charter and outlined plans for the institutional application, due in November 2022. ET approved the continuation of the University's participation in the Athena Swan Charter.

20. **Investment Opportunity: [Reserved]**

[Reserved Item]

21. **Annual Statement on Institution-led Review of Quality for Scottish Funding Council, Academic Year 2020/21**

ET endorsed the report ahead of submission to the SFC and circulation to Court.

22. **Learning & Teaching Post-building Handover (Phase 2): Staffing Resources Requirements**

ET endorsed the proposed two stage Phase 2 recruitment plan and progression with Phase 2a and related recruitment for the Learning & Teaching Building.

23. **Reports**

ET noted the following reports:

- Performance Development Group meeting reports;
- An SFC Outcome Agreement Guidance Briefing;
- The Q4 Complaints Handling Report.

Senate Report to Court

Senate met on 15 September 2021. The first meeting of Academic Year 2021-22 was conducted as a hybrid meeting with approximately 25 members of Senate attending on campus in room 325 of the new Learning and Teaching Building, and 55 members attending via Zoom.

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

Senate invites Court to **endorse** the following recommendation considered by Senate on 15th September 2021:

FOR ENDORSEMENT:
1. Senate **approved** the Annual Statement to SFC on Institutional Quality and **recommended the report for endorsement by Court**. The University is required to submit a final report to the Scottish Funding Council (SFC) by 30th September 2021.

Senate invites Court to approve the following recommendation considered by Senate on 15th September 2021:

FOR APPROVAL:
2. Senate considered the proposed establishment of the new Safety and Wellbeing Directorate, building on the University's commitment to enhancing a safe, secure and health environment for the University community. This proposal is now **recommended for approval at Court.**

FOR NOTING
Senate invites Court to **note** the following items considered by Senate on 15th September 2021.

Senate observed a one-minute silence in memory of Gianna Devin, Head of Student Lifecycle and Admissions, Emeritus Professor Michael John Baker, Founding Professor of Marketing at Strathclyde, and Professor Stephen Young, co-founder of the Strathclyde International Business Unit.

1. Report from Senate Business Committee

Senate Business Committee (SBC) noted at its meeting on 26th August 2021 that, since the last meeting of Senate on 2nd June 2021, the Collaborative Provision Agreement (CPA) Subgroup had processed eleven agreements, most of which were renewals comprising International Joint Education Programmes, Study Abroad and articulations. Also of note within this report was the renewal of the International Management Studies (IMS) agreement for a further 5 years. IMS acts as the Business School's representative in Greece in all aspects of the delivery of the Programmes.

Senate was invited to consider and approve the reports for the September Senate meeting. Senate approval was given where requested in the reports, and will be 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 business case from the Business School for the establishment of an International Centre in Belgrade, Serbia;

- a request from the Business School to approve a new programme titled MSc Sales and Marketing;
- a NHS Strategic Partners agreement in relation to the MRes Physical Activity for Health;
- the renewal of an existing collaborative agreement with Pusan National University;
- an addendum to the Collaborative Articulation Agreement with Universidad Pontificia Comillas and Iberdrola Espana;
- the Policy on the Recognition of Prior Learning and Credit Transfer;
- the Covid 19 impact statement for PGR thesis submissions; and,
- the Guidelines to Support the Learning and Teaching of Undergraduate and Postgraduate Taught Students During Periods of Disruption: Covid 19 Pandemic.

Senate was also asked to approve the dates of the Winter 2021 graduations being changed to the second half of November, to take place during the period between 15 and 30 November 2021 as the scheduled dates clash with COP26 which takes place in Glasgow between 31 October and 12 November.

2. 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 Latest, including the Community Immunity campaign led by Strath Union
- Mental health and wellbeing
- V2025 progress
- Professional Services realignment, in particular the proposal to establish of the new Safety and Wellbeing Directorate, and the appointment of the new Chief Digital Information Officer
- National Student Survey – the University now sits 4th in the UK, according to analysis by the Times Higher Education
- The University has won two Herald awards, namely the Outstanding Business Engagement in Universities award, and the Marketing/PR Campaign of the Year for the '1796 Minutes to Give' fundraising campaign led by Alumni & Development
- Organisational Staff Development Unit won the Best Employer Learning & Development Initiative at the s1 Recruitment Awards
- The University has been shortlisted for three Times Higher Education awards: Outstanding Contribution to Equality, Diversity & Inclusion (for our rest days/COVID response), and two nominations for Research Project of the Year – Arts, Humanities & Social Sciences (for our NHS Lanarkshire COVID modelling project; and for our toolkit for journalists to support responsible reporting of suicide)
- Race Equality Working Group and Safe 360 work being undertaken on campus
- Campus update
- Campus calendar events, namely Conferment Day online celebrations and the first summer online Undergraduate Open Day
- COP 26 – the University has been selected as the official host for the UN Climate Change Conference of Youth (COY16), which will be held in partnership with Strath Union
- [Strathclyde Medals Ceremony](#)
- Additional days' annual leave for all staff to mark the Queen's Platinum Jubilee in 2022
- Research wins

3. Substantive Items of Business

Senate welcomed presentations on the following items:

i.   The Director of Education Enhancement presented Senate with a summary of the National Student Survey (NSS 2021) results. The University's Overall Satisfaction Score for NSS 2021 is 85.15%, which compares to 86.36% in 2019/20 - set against a substantial drop in performance across both the Scottish and UK sectors. The University retained its Upper Quartile/UK position, for the third year running. It was highlighted that the Times Higher Education has ranked Strathclyde 4th in the UK for Overall satisfaction (from 150 Universities) moving up 28 places from joint 32nd place last year. In terms of next steps further in-depth investigation around Assessment and Feedback would be beneficial to better understand students' experience in this area and what targeted action could improve this.

Following this presentation, the Executive Deans were asked to highlight those departments/ schools that had performed particularly well and to provide confirmation that for those departments/ schools requiring it, a performance plan was in place.

ii.   The Deputy Associate Principal (Learning and Teaching) presented an overview of the E-First (education-Future Innovation and Reflection on Strathclyde Teaching) Framework, focusing on preparations for on-campus teaching, specifically highlighting the teaching logistics and planning in place, such as enhanced AV capability in teaching rooms, individualised student timetables through the Stratchlyde App, and the enhanced induction and transition support in place. 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 AY 2021-22 outlining their Faculties' approaches to blended learning, and an overview of on-campus activities.

iii.   The Vice President Community in the recorded absence of the Student President, introduced the new Student Executive Team and shared priority issues for the coming academic year, the first being welcoming new and returning students to campus. Also highlighted were the various areas that Strath Union are currently involved in, namely, accessibility in sport, decolonisation of the curriculum and COP 26 as well as some of the initiatives they are leading on, namely the 'Community Immunity' campaign and the 'Safe and Secure Strathclyde' messaging. Key areas of concern affecting students that the Union will work to address include, the cost of living, continual online learning and the impact of this on the student experience as well as its impact on social isolation. The Strath Union is now located in its new premises in the new Learning and Teaching Building and the VP Community drew attention to the positive impact this new space will have on the overall student experience. The Principal recorded his formal thanks to Strath Union on its work and its commitment to progressing the priorities it shares with the University.

iv.   The University Secretary and Compliance Officer presented Senate with an overview of recruitment for AY 2021-22 so far. The University is currently exceeding its targets for SIMD0-40 students as well as non-SIMD students, and undergraduate RUK students. The University is still recruiting PGT Home and Overseas students but the picture is looking healthy so far. Full time PGR recruitment is a year-round activity, and this will be discussed further at Executive Team w/c 20th September 2021. The University Chief Financial Officer then presented Senate with an overview of the University's financial position, highlighting

that the institution is in robust financial health and will continue to seek out areas for growth. Also presented was a forecast for Q3 growth and a Year-End timeline.

4. Items for Senate's Information

Senate appointments and membership of Senate committees were noted, with Senators being encouraged to engage in Senate committees and note the vacancies listed.

5. Reserved business

Senators were asked to approve the Honorary Degree nominations to be conferred in 2021/2022. Members were asked to observe confidentiality in relation to this matter and feedback any comments in relation to this list to the Senate Manager within ten working days.

End

COVER SHEET FOR PAPERS TO BE CONSIDERED BY SENATE

Establishment of the Safety and Wellbeing Directorate	
Date of Meeting:	15 September 2021
Purpose of Paper:	SBC review prior to consideration by the Senate
Intended Outcome:	Senate is invited to **endorse** the establishment of the Directorate of Safety and Wellbeing and recommend its establishment to the University Court.
Key Points:	During the past year the Executive Team has considered how the Strathclyde's Professional Services Directorates might be realigned to build on areas of shared expertise and enable colleagues to collaborate and work ever more closely on our Vision 2025 objectives. In July the Principal announced that subject to due process, the Executive Team was planning to build on the University's commitment to enhancing a safe, secure and healthy environment for our University community by establishing a new *Safety and Wellbeing* **Directorate***,* reporting to the University Secretary and Compliance Officer, Dr Veena O'Halloran. Furthermore, the existing *Security Services* and the *Safety, Health and Wellbeing* **department** would transfer to the new Directorate once a Director was appointed.
Paper Submitted by:	Dr Veena O'Halloran, University Secretary and Compliance Officer
Resource Implications:	Funding for the appointment of a Director is in place this financial year.
Equality & Diversity:	An Equality Impact Assessment (EIA) needs to be undertaken and will be completed in time for the September meeting of Senate.
Freedom of Information:	Open
Reserved business:	No
Key contact(s):	Dr Veena O'Halloran, veena.o-halloran@strath.ac.uk
Date of Production:	August 2021

Establishment of the Safety and Wellbeing Directorate

Background:

1. The health and wellbeing of our whole community of students and staff is important to us. As a socially progressive University we are committed to providing the study and work environment where everyone is supported to achieve their full potential.

2. During the past year the Executive Team has considered how the Strathclyde's Professional Services Directorates might be realigned to build on areas of shared expertise and enable colleagues to collaborate and work ever more closely on our Vision 2025 objectives.

3. In July the Principal announced that subject to due process, the Executive Team was planning to build on the University's commitment to enhancing a safe, secure and healthy environment for our University community by establishing a new *Safety and Wellbeing* **Directorate,** reporting to the University Secretary and Compliance Officer, Dr Veena O'Halloran. Furthermore, the existing *Security Services* and the *Safety, Health and Wellbeing* **department** would transfer to the new Directorate once a Director is appointed.

Rationale:

4. The development of the University's vision for Strathclyde 2025 created the impetus for further reflection on ways of working to ensure continued and accelerated success in a dynamic external environment. Since the establishment of the office of the University Secretary and Compliance Officer 5 years ago, and particularly in the last 18 months of the global pandemic, the role of the Safety, Health and Wellbeing have become increasingly important. As a socially progressive University safety, health and wellbeing is at the heart of what we do and is fundamental to our ability to thrive today and to successfully deliver our future vision for 2025.

5. The role of Security Services has also been reviewed and a new strategy developed, the objective of which is to facilitate security services playing a greater role in crime prevention, ensuring understanding and safeguarding the University community rather than reacting to incidents as they occur.

6. Both departments have safeguarding, community wellbeing, business continuity, risk management and legislative compliance in common. In recognition of the synergies between the two areas the Executive Team concluded that it was time to refresh our approach by establishing a new Directorate and appointing a Director to have delegated authority for Safety, Health and Wellbeing and Security.

7. The establishment of the new Directorate also provides the opportunity to fully implement Thrive@Strathclyde, our holistic and collaborative framework to enhance the health and wellbeing of the whole University community of students, staff and visitors.

8. "Thrive@Strathclyde" complements the University's "People Strategy". It will take health and wellbeing to the next level by going beyond compliance and integrating a supportive health and wellbeing strategy into day-to-day decision making and business operations.

9. Whilst we provide staff with access to many health and wellbeing activities and services, we recognise that work can have a profound effect on physical, social and emotional wellbeing. As the pace and nature of work has altered – through greater flexibility, technological

advances, and the blurring of what constitutes 'work' and 'home' life – the understanding of the impact that work has on people's emotional and mental wellbeing is receiving closer attention.

10. As a socially progressive University we recognise that wellbeing embraces the whole person and both physical and mental health. In recent years we have implemented a highly effective Mental Health Action Plan for students. We now need to give attention to doing the same for staff. The University's commitment to maintaining a healthier and safer workplace is enshrined in the new People Strategy and is recognised by the achievement of the NHS Scotland's Healthy Working Lives (HWL) Gold Award for the past five consecutive years.

11. The new Directorate will lead on Wellbeing in the workplace and will prioritise the development of a Workplace Mental Health Action Plan. This will apply to all University of Strathclyde staff to ensure our whole community is appropriately supported whilst at work. The aims are to:
    - Ensure Positive Mental Health
    - Develop positive mental health awareness among staff
    - Support colleagues with a mental health condition, building resilience and competence;
    - Communicate internal and external wellbeing support for staff, including training and engagement opportunities;
    - Deliver targeted support for staff, informed by data; and
    - Ensure Strathclyde is a sector exemplar by going beyond the minimum level of statutory compliance.

12. The plan will be delivered through collaborative, cross-organisational working by a Thrive@Strathclyde Wellbeing Group, chaired by the Director of Safety and Wellbeing. The Group will include colleagues from across the Faculties, Academic Departments, HR, Student Experience, Strathclyde Sport and StrathUnion and will be guided by academic experts, industry collaborators and third sector partners.

Director of Safety and Wellbeing:

13. Filling the position of Director of Safety and Wellbeing now – as we embark on a new approach to working, work life balance and wellbeing – is therefore critically important. Doing so also provides the opportunity to build on the partnerships that already exist between these areas and the *Student Experience* **and Estates Services** Directorates.

14. Reporting to the USCO, the Director will have strategic and operational responsibility for the full range of health, safety, wellbeing and security matters, including leading the development and delivery of best practice and identifying opportunities to enhance the effectiveness of operations across the University.

15. The Director will ensure consistent processes are in place for the management of people and assets across the organisation, to ensure regulatory compliance, business continuity and risk management, by:

    - Providing leadership to raise employee and student awareness of health and safety and security issues, promoting a positive safety culture at all levels of the University.
    - Ensuring that the University meets the necessary legislative obligations.
    - Developing innovative policies and practices to ensure that Strathclyde is a leader in all aspects of health, safety, security, and wellbeing.

- Advising University management (at all levels) on their obligations under health and safety legislation, supporting them in delivering of those obligations and acting as the 'Competent Person' in line with the Management of Health and Safety at Work regulations.
- With the USCO and ET, Directors and Heads of Department and the Workplace Wellbeing Manager ensure the implementation of Thrive@Strathclye, the framework to enhance the health and wellbeing of the whole University community.
- Leading and coordinating all health and safety related liaisons with government departments, professional associations and regulatory agencies including the HSE.
- Directing staff will responsibility for Safety, Campus and People Security, Fire Safety, Occupational Health and Staff Wellbeing, Radiation Protection, Biological Protection, and Hazardous Waste Disposal.
- Developing and establishing key relationships with the other Directors and key stakeholders across the University.
- Leading on new operational initiatives, specifically around the implementation of new management systems and processes.
- Identification of the evidence baseline for KPI monitoring, impact assessment and reporting.

Conclusion:

16. The Professional Services ambitions and expectations for 2025 include enhancing effectiveness in all that we do by realigning resources to maximize service and delivery. Establishing a Directorate of Safety and Wellbeing will deliver:
    - Enhanced modes of working, focused on consistency, efficiency and partnership with the Faculties and other Professional Services.
    - Enhanced collaborative delivering of improved and coordinated support, strengthening institutional capacity and organisational resilience to align with the University's vision for 2025.
    - Strong, resilient and supportive leadership and management, able to identify and lead continuous improvement and effective change to support strategic priorities.

Recommendation:

17. Senate is invited to endorse the establishment of the Directorate of Safety and Wellbeing and recommend it to the University Court.

Court Business Group Report to Court

The following items were discussed by Court Business Group (CBG) on 20 September 2021 and are provided here for Court to note.

1. **Student Recruitment 2021/22**

CBG received an update on student recruitment. It was noted that the recruitment cycle was on-going and that the balance of the University's international recruitment had shifted towards later markets, meaning that only a preliminary update could be provided at this stage.

UK-based undergraduate recruitment was strong, with targets for widening access (SIMD0-40) and for other home students already exceeded and with RUK recruitment significantly above targeted levels. International and postgraduate recruitment were still in progress. While recruitment in these areas was currently below targets, applications had been strong and the University was working intensively on conversion. Meaningful comparison with the same point in previous recruitment cycles was difficult to achieve, due to both the unusual global context and shifting patterns in the University's global markets. The University was working to provide information, reassurance and practical help to prospective students in relation to Covid-19 and its impacts.

2. **SFC Outcome Agreement 2021/22: update on process**

CBG received a summary of the Outcome Agreement (OA) process for 2021/22. Guidance on this process had recently been received from the Scottish Funding Council (SFC). It was noted that Court would be presented with an outline of the OA at its October meeting and that a complete version would be presented to Court for approval at the November meeting, ahead of the SFC's deadline for submission.

3. **Corporate Risk Register**

CBG reviewed the Corporate Risk Register ahead of transmission to Court.

4. **Draft Court Agenda, 5 October 2021**

CBG **approved** the agenda.

Court Membership Group Report to Court

The following items were discussed by Court Membership Group on 20 September 2021.

1. **Court and Committee Appointments**

Court Membership Group (CMG) noted that
- Kirsty Bannatyne, the Students' Union's Vice President for Sport, had been appointed as a student member of Court;
- Professor Jan Sefcik, Head of Department, Chemical and Process Engineering, had been elected by Senate to serve on Court; and
- an election was in progress for a member of Court elected by Academic Professional staff because the previous incumbent had left the University.

CMG considered and **recommended to Court** the following appointments to fill vacancies for lay members of Court in Court and strategic committees:
- Virginia Beckett to Court Business Group;
- Melfort Campbell to Audit & Risk Committee; and
- Neelam Bakshi to Estates Committee.

CMG **agreed** that a vacant position in Court Business Group for staff member of Court should remain open until the election for a member of Court drawn from Academic Professional staff had been completed.

2. Recruitment of Lay Members of Court: priorities and process

CMG discussed the framework for recruitment of lay members of Court during 2021/22. An analysis of Court's key skills needs was considered. It was noted that specialist financial skills had been identified previously by CMG and Court as a particular priority for at least one of the vacancies arising in the next year.

CMG **agreed** other aspects of the proposed framework, including the use of a search agency, and agreed to delegated authority to a small group, consisting of the Convener of Court, Vice Convener, Senior Deputy Convener and Treasurer, to take forward the recruitment exercise on behalf of CMG.

3. Annual Survey of Court Members 2021

CMG received a summary of the results of the annual survey of Court members, as part of Court's annual self-evaluation. It was noted that the results were overwhelmingly positive. The most common topic on which Court members had commented was the experience of online meetings, on which a variety of views had been expressed.

Report to Court from Audit & Risk Committee

The Audit & Risk Committee met on 9 September 2021 by videoconference.

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

1. COVID-19 Update

The USCO updated members on the current situation and the plans underway for the beginning of the 2021/22 academic year. The following points were noted:

- Scotland had moved beyond Level 0 on 9 August 2021;
- Planning had been underway since the early spring for the resumption of on-campus learning, combined with online activities, for all students, in accordance with the priorities of the subject area and level of study;
- Guidance on and principles for ventilation in University buildings would be published shortly;
- Students were due to start arriving in the next few days and those moving into accommodation needed to book a specific slot for arrival. Residences were expected to be fully occupied as students were keen to return to campus;
- Consideration was being given to offering students vaccinations on site along with a collection service for lateral flow test kits for students and staff;
- The outbreak plan had been updated and a desktop exercise to test it would take place shortly;
- Centres such as the AFRC and PNDC were operating professionally without disturbance to their work programme;

2. Review of Corporate Risk Register

The USCO introduced the Corporate Risk Register noting that the two risk registers circulating the previous session had been combined into a single register which was linked with strategic priorities. It was planned to refine this further combining some risks and moving the more operational ones to departmental risk registers.

While it was noted that there was an improving trend in terms of the risk profile for Financial Sustainability, given the information available on student numbers, Executive Team had not adjusted the risk score. The Executive risk owners would be considering this again shortly in light of recruitment, accommodation take up and the recommencing of conferencing and events.

Members felt that some of the University's strategies for risk mitigation were not currently visible in the risk register due to a focus on the mitigations relating to the pandemic and associated operational detail. This would be fed back to the Risk Group to inform the refining of the document as noted above.

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

3. Internal Audit

4. IAS Activity Report

The Committee noted that three reviews had been completed since the last meeting and that the review of the GCID Financial Model would take place in September.

IAS had updated the Key Control Checklists, to reflect changes in University, regulatory and legislative requirements, and issued them in May. All Checklists had been returned to IAS who had reviewed them and followed up anomalies and queries. IAS had noted increasing quality in the completion of the checklists with detailed commentary and departments using the exercise as a prompt to send reminder emails to staff. What could have been a tick box exercise was being used to add value. The subsequent completed Statements of Assurance, signed by the Executive Deans and Chief Officers, had been submitted to the University Secretary

and Compliance Officer, Principal and Treasurer and were available on the Audit & Risk Committee SharePoint site.

Following approval of the 2020/21 Internal Audit Plan, IAS had met with all audit sponsors to discuss the scope of the reviews and agree the most appropriate timing for each review. Scoping documents had been sent to all Audit Sponsors for their review and approval.

5.   IAS Annual Report 2020/21(Draft)
The Head of IAS presented the Draft report noting that there were two sections to be completed before the report was finalised at the November meeting. IAS expected to give a clean audit opinion. Consideration was being given to moving the review of the GCID Financial Model to the 2021/22 plan. Following the Quality Assurance Assessment exercise, benchmarking data from CHEIA was awaited in order to complete the report.

6.   Audit Report: Review of Procurement Contract Management
Members noted the Report on the review of Procurement Contract Management and the overall grading of reasonable assurance. The objective of the review was to provide assurance over how the University managed its contracts and to review and assess the operational effectiveness of controls and processes in place for a range of contracts. Three medium risks and two low risks had been identified along with several examples of good practice.

7.   Audit Report: Review of PGR Admissions and Lifecycle
Members welcomed the report on the review of PGR Admissions and Lifecycle and the overall grading of substantial assurance. The IAS review had followed a large-scale project to review the Postgraduate Research ('PGR') lifecycle from regulations to administrative processes and systems. This was in support of the KPI to increase the PGR student population. Four low risks/ opportunities for enhancement had been identified along with numerous areas of good practice.

8.   Audit Report: Review of CMA Compliance
The Head of IAS introduced the Review of CMA Compliance noting that it had been a challenge to assess the risk of non-compliance. At present, the CMA had limited powers but that was expected to change. The review had been given a grading of limited assurance but it was recognised that a working group was in place, the members of which had a clear understanding of the areas of non-compliance. Furthermore, it was planned to recruit a CMA Project Manager to progress the necessary work to address the report's recommendations.

One high, four medium and two low risks had been identified along with three areas of good practice. It was noted that a measured response was required to ensure compliance in a way which did not compromise operational flexibility.

9.   Holistic Risk Approach to Cybersecurity
Following the request at the last meeting for details of the holistic risk approach being used for cybersecurity and the part staff and student training played in this, the Chief Digital & Information Officer (CDIO) briefed Members on the key points. The subject was covered in more detail in the Cyber Security Annual Report.

It was explained that the University used a layered concept to protect its systems, not relying on any one system. If one layer failed the others would provide additional protection. The University used the JANET network, provided by Jisc, to interface with the internet. Within the JANET network, the University had its own boundary security. Beyond this there was systems security. Work was ongoing on the roll out of system segmentation software and multi factor authentication (MFA). All new undergraduate student accounts would have MFA as standard.

Cyber security awareness training was one of the measures used to reduce the impact of the human factor. Other measures included: effective account control, MFA, activity scanning and phishing simulation exercises. To date 85% of staff had completed at least the basic training but this figure had ceased to continue growing so further activity was being considered.

Cybersecurity was now business as usual and new governance structures covered the operational measures with a reporting line to Executive Team. Members noted the presentation and welcomed the University's appointment of the CDIO.

10. Comparison of Sector Key Risks
Audit & Risk Committee **noted** the paper, which had been produced in response to a request to produce a matrix showing where Strathclyde sat in relation to other institutions in key risk areas. Members were pleased to note that the University's focus on people and innovation was visible. The USCO noted that this comparison exercise was done annually. The University was confident that its approach reflected its strategy and values.

11. Senate: Mitigating Risks to the Delivery of an Outstanding Education and Student Experience
Audit & Risk Committee **noted** the paper, which was produced in response to the request for a briefing paper which outlined the role of Senate under the University's charter and statutes and the control measures in place to mitigate the risks to the delivery of an outstanding education and student experience.

12. Cyber Security Annual Report 2020/21
Audit & Risk Committee **noted** the Cyber Security Annual Report. The CDIO would be invited to attend the January 2021 Workshop to discuss the report and the key risks relating to Cyber Security at the University.

13. IAS CHEIA Quality Assurance Assessment Results
Audit & Risk Committee **noted** the results of the Quality Assurance assessment. Members were pleased to note the very positive outcomes and looked forward to reviewing the benchmarking data when it became available.

MATTERS TO BE NOTED FROM THE STAFF COMMITTEE MEETING HELD ON 9 SEPTEMBER 2021

Strategic Recruitment

The Strathclyde Global Talent Attraction Programme (SGTP) 2020/21 is now concluded, though the University continues to proactively seek talent. This strategic recruitment initiative is aimed at recruiting exceptional staff in areas of strategic interest. This year's campaign received 1399 applications, an increase from the previous year. The campaign resulted in 36 appointments (9 Professor / Reader, 27 Chancellor's Fellowships). Various measures had been taken to ensure the recruitment advertising and related promotion through stakeholder networks was inclusive to encourage as diverse a range of candidates as possible. We continue to attract high quality international candidates from top Universities with 42% of those appointed from outwith the UK.

Equality, Diversity & Inclusion

An update was provided to Committee on the transformed Charter from Athena Swan and the University's plans towards an institutional application due November 2022. The Committee approved the proposal to sign up to the revised charter. A Self-Assessment Team will be set up to review the new Charter and application requirements and make a recommendation on whether the University should apply for a Silver award in November 2022 when our current award is due to be renewed. It was noted that the University currently holds an institutional Bronze award.

Socially Progressive Employer & Coronavirus Response

The Committee was given an overview of various initiatives that the University continued to undertake to support staff, including the ongoing transition to agile working, updated guidance on ventilation, physical distancing and face coverings and the close monitoring of numbers of Covid cases on campus.

The Committee agreed the proposed plans to carry out the Values survey for all staff in autumn 2021.

USS Pension Provision

The Committee was given an update on a package of measures in relation to the USS Pension Scheme on which the USS Joint Negotiating Committee had voted in favour in August 2021. These would be subject to a 60-day formal consultation and if agreed, would be effective in April 2022. The proposed measures include a reduction to the defined benefit upper salary threshold, greater covenant support, and a reduced accrual rate. It was noted that as a result of the proposed changes the contribution rate increases planned for October 2021 would be reduced and this would be subject to a short consultation in September. Briefing sessions had been held for staff based on earlier updates and it was anticipated that further session would be proved for staff during the formal consultation period.

Employee Relations

The national pay negotiations for 2021/22 were now concluded. The full and final offer made by UCEA in May was 1.5%, with higher percentage uplifts for lower grades. On 4 August, UCEA advised employers participating in the 2021-22 New JNCHES pay round that the pay negotiations were concluded in light of there being no indication that a settlement was achievable with the UCU, UNISON, Unite, EIS and GMB unions. UCEA notified us to implement the pay uplifts offered with effect from 1 August 2021 and this was actioned in the August payroll and communicated to staff. The unions remain in dispute over the outcome and were considering balloting their members for industrial action [it has since been confirmed that UCU intend to ballot their members for industrial action in relation to pay and pensions].

Revised Protection of Vulnerable Groups (PVG) Policy

Revisions to the PVG Policy to incorporate the requirement for Basic Disclosure Checks for new appointments in Academic and Learning and Teaching roles was approved.

GS/JF
23.09.2021

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