

WEB COPY

Court

Minute of Meeting held on Wednesday 14 February 2018 at the Kelvin Conference Centre, Garscube

Present:

Mr Aamer Anwar Rector (to item 31 inclusive, left at break), Mr Dave Anderson Employee Representative, Mr Graeme Bissett Co-opted Member, Ms Heather Cousins Co-opted Member, Professor Lindsay Farmer Senate Assessor, Mr David Finlayson Co-opted Member, Professor Carl Goodyear Senate Assessor (to item 31 inclusive, left at break), Professor Nick Hill Senate Assessor, Dr Simon Kennedy Senate Assessor, Professor Kirsteen McCue Senate Assessor, Dr Morag Macdonald Simpson General Council Assessor, Ms Margaret Anne McParland Employee Representative, Mr Ronnie Mercer Co-opted Member, Dr June Milligan Co-opted Member, Mr David Milloy Co-opted Member, Professor Sir Anton Muscatelli Principal, Ms Elspeth Orcharton Co-opted Member, Ms Elizabeth Passey Co-opted Member (Convener of Court), Ms Kate Powell SRC President, Mr Gavin Stewart Co-opted Member (to item 31.1 inclusive), Dr Ken Sutherland Co-opted Member, Ms Lesley Sutherland General Council Assessor, Dr Bethan Wood Senate Assessor

In attendance:

Dr David Duncan (Chief Operating Officer [COO] & University Secretary), Mr Robert Fraser (Director of Finance), Professor Neal Juster (Senior Vice-Principal), Ms Deborah Maddern (Administrative Officer)

Apologies:

Members: Cllr Susan Aitken Glasgow City Council Assessor, Mr Elliot Napier SRC Assessor

CRT/2017/25 Announcements

Court was welcomed to Garscube.

Dr Ken Sutherland was welcomed to his first meeting.

There were the following declarations of interest in relation to business to be conducted at the meeting: Dave Anderson and Margaret Anne McParland relating to their appointments to Court; and Professor Sir Anton Muscatelli as a Trustee of USS, as an ongoing declaration, given the updates on the triennial valuation of the scheme.

CRT/2017/26. Minutes of the meetings held on Wednesday 13 December 2017

The minutes were approved subject to two changes.

CRT/2017/27. Matters Arising

With regard to matters raised by the Rector at the last meeting, relating to his receipt of complaints from some students that the University was failing to take action about harassment, Court heard that the Principal and the COO & University Secretary has spoken to the Rector, asking him to encourage anyone who wished to come forward to do so. The COO & University Secretary had also written to

the Rector in similar terms, and had referred to the possibility of confidential counselling being arranged if individuals were unwilling to approach University authorities. The Rector commented that students wished to remain anonymous and did not feel confident about any approach; the Rector had however advised them about the reassurances made by the Principal and COO & University Secretary, and had assured them that the University would not tolerate harassment. The Rector added that some students had academic work to complete and might have the confidence to come forward later, but the issue was jeopardising their studies, for some individuals. Others had finished their course and he was waiting to hear from them. The Principal advised that a confidential intermediary could be offered by the University to take any evidence. The University could not investigate anything that was not on record, but would pursue matters under robust processes if there were formal complaints.

CRT/2017/28. Students' Representative Council Annual Report

Kate Powell, SRC President, briefed Court on the 2016/17 SRC annual report, and on initiatives, activities and priorities in the current academic year.

Particular highlights of the past year had been: the Student Teaching Awards, which had seen a 45% increase in nominations since last year, and continued to inform good practice; the ongoing work of Class Representatives, with over 1,000 representatives in post, 75% feeling that action had been taken as a result of their feedback, and further development of the role by the SRC; the achievements of Volunteering clubs and societies, which facilitated opportunities for students to be active citizens, participate fully in campus life, and encourage reflection and engagement in developing graduate attributes; sexual violence prevention training, working in partnership with Rape Crisis Glasgow and the University to develop student and staff knowledge and confidence to intervene in situations; engagement with, and facilities and policies for, students who are parents; engagement with political issues such as Brexit and the increasing international student profile; and work in the Mental Health sphere, including development of the Action Plan and the Mind Your Mate initiative. With respect to the latter area, Ms Powell noted that demand for counselling remained very high, with sessions full and support needed to make the action plan sustainable.

Ongoing SRC activity in the current year included the areas of Volunteering, Mental Health, Student Integration, PG representation, Brexit/political uncertainty and the campus development. With regard to student integration, there would be further analysis of the international student cohort in particular, to establish preferences in respect of integration activities. The SRC would also be gathering more refined information about the way in which PGs would like to be represented, given that their experience and needs were different from those of UGs. It was noted that with regard to the campus development, the SRC was well engaged and represented, but that this was resource-intensive for the SRC members involved.

In discussion, it was suggested that student entrepreneurship models from European universities might be useful for the SRC. Court heard that the University has provided good support to the SRC with respect to facilitating engagement with the Learning & Teaching Hub project and that this might be used as a model for other projects, where support from the University would be welcome for focus group and survey work. The newly created Student Experience Committee was seen as a positive step. It was acknowledged that current students might not see the benefits of the campus development, given the timescales, and that it was therefore important to work with them to aid understanding of the long-term advantages of the various capital projects.

Ms Powell was thanked for the briefing.

CRT/2017/29. Report from the Principal

CRT 2017/29.1 Higher Education Developments

Scotland Higher Education Budget for 2018-19

Following the December meeting, Court members had been contacted with a summary of the budget for SFC HE resource and capital. The revenue budget for next year represented a 1.1% cash increase. The capital budget had been reduced, but the budget was likely to be sufficient to meet all current SFC commitments. The SFC would provide indicative funding decisions to the sector later in February for the major core teaching and research grants, based on the draft budget. The final funding allocations would be decided in May once the Scottish Parliament had approved the final budget.

Court would be kept updated. In the meantime, Court was advised that the University had taken steps to try to protect strategic funding for museums and arts galleries, since the University received a significant share of this for the Hunterian. The funding had been protected until 2017-18 but was due for review from 2018-19 onwards.

Review of HE funding in England

There would be a review of HE funding in England, coordinated within government and to include a review of tuition fee levels. The outcome of any review could impact on Scotland and on some Scottish HEIs in particular, as a result of any changes in the fee regime for Rest-of-UK Undergraduate students, or to the regulatory regimes such as the Teaching Excellence Framework (TEF) and the Office for Students (OfS).

Brexit Negotiations and Universities

In December, the UK and EU had reached an agreement on Phase 1 of the negotiations. There had been statements in the agreement on securing the rights of EU citizens living in the UK before March 2019, and continued UK participation in existing EU programmes until their end in 2020. On 1 February, the Scottish Government had announced continuation of funding for EU citizens as Home students for academic year 2019-20, providing clarity to Universities in Scotland as they recruited EU students through the next admissions cycle beginning in summer 2018. The longer-term position was uncertain and could affect recruitment.

The second phase of UK-EU negotiations would include focus on the future EU-UK relationship. Universities UK continued to argue strongly that the UK should have access to, and participate actively in, a Framework Programme 9 and should continue to participate in Erasmus+ and successor programmes.

CRT 2017/29.2 USS and pensions update

The Principal had declared an interest as a member of the USS Board.

At a meeting in January, the Joint Negotiating Committee (JNC) of USS had failed to reach unanimous agreement on the issue of benefit reform, with UCU and UUK presenting very different proposals. The JNC had reached a decision in favour of the employers' (UUK) proposal, based on the casting vote of the independent chair. This now represented the formal proposal of the JNC and the basis on which the USS Board would determine its valuation, which had to be submitted to the Pensions Regulator by the end of June 2018. There would now be a formal consultation on the proposed benefit changes.

The decision by the JNC has triggered an industrial dispute between the employers (mainly pre-92 Universities) and UCU. The University Secretary's report contained further details.

CRT 2017/29.3 Outcome Agreement

For the past 5 years, Court had received updates on the content of the University's Outcome Agreement, which was required to be submitted to the SFC as a condition of funding. The Agreement set out what the University would deliver in return for Government funding. The document's focus was on the contribution made towards improving life chances, supporting world-class research and creating sustainable economic growth for Scotland.

Last year, Court had approved a new agreement for the period 2017/18 to 2019/20. At the time, Court had been advised that the University was expected to update this annually. The updated document would come to Court in April.

CRT 2017/29.4 . Update on Vice-Principal and staff appointments:

Clerk of Senate/Vice-Principal Appointment

Professor John Briggs would demit office as Clerk of Senate and Vice Principal on 31 July. Court was pleased to learn that Professor Jill Morrison, currently Professor of General Practice and Primary Care and Dean of Learning and Teaching, College of MVLS, would take up the role from 1 August 2018 for a period of 4 years, and would be appointed concurrently as Vice-Principal.

Re-appointment of Vice-Principal (Academic and Educational Innovation)

Professor Frank Coton's tenure as Vice Principal Academic and Educational Innovation had been extended to 1 January 2022.

Director of Development and Alumni Office

Frances Shepherd had been appointed the new Director of Development and Alumni Office (DAO) in December 2017.

Chief Transformation Officer

An appointment would be made shortly, with Court members being kept informed. With regard to governance of the Transformation Project, Court heard that the Project Board received reports from the HR, Estates and Finance areas and there would be further discussion to optimise provision of information and sightlines. The Audit and Risk Committee would also be involved.

CRT 2017/29.5 Student Visa Pilot

The University was one of 23 universities chosen by the Home Office to take part in an extended pilot scheme for streamlining the process for international Masters students wanting to study in the UK. In Scotland, the pilot had only been extended to Glasgow and Edinburgh Universities at present. The pilot, which covered Masters courses of 13 months or less, would make the process easier for those students. It also provided greater support for students who wished to switch to a work visa and take up a graduate role, by allowing them to remain in the UK for 6 months after they had finished the course. Court heard that this was an important step in maintaining the UK's competitiveness in attracting such students.

In discussion, it was agreed that the University would review its communications policy with employers to ensure that the latter were fully briefed on the current visa position.

CRT 2017/29.6 Key Activities

Court noted a summary of some of the main activities in which the Principal had been involved since

the last meeting of Court, covering internal and external activities beyond daily operational management and strategy meetings. The activities were under the broad headings of: Academic Development and Strategy; Internationalisation activities; Lobbying/Policy Influencing and Promoting the University; Internal activities and Communications.

CRT/2017/30. Report from the University Secretary

CRT/2017/30.1 Industrial Action Working Group/USS

Since the last meeting, Court had received updates on possible industrial action arising from the ongoing USS triennial valuation and the potential for the scheme to be changed.

The local ballot of UCU members over the proposed changes to USS had shown strong support for both strike action and action short of a strike on a 57% turnout (about 25% of academic and related staff being members of UCU). The UCU had announced strike action on 22-23 February, 26-28 February, 5-8 March and 12-16 March. The action short of a strike would essentially involve a 'work to contract'. The Industrial Action Working Group had been meeting and was in regular communication with Colleges and Schools; regular updates had also been issued to staff and students. The main aim of the group was to minimise disruption for students.

The University had set out a clear position on USS. The University would like to keep the best possible terms for staff provided that: these were affordable for employers and staff; the terms were acceptable to the Pensions Regulator; and the settlement was enduring and did not lead to a further round of changes at the time of the next valuation. The University would continue to call for further discussion at national level to try to find an acceptable way forward.

The Rector welcomed the approach but commented that students would like assurances about action arising from lecture cancellations, and that some had concerns about dissertations. The University Secretary advised that staff were being encouraged to communicate in advance with students to minimise disruption.

CRT/2017/30.1.2 Student Experience Committee

At the last meeting, Court had approved the establishment of the Student Experience Committee. At its 1 February meeting, the Council of Senate had also agreed the formation of the Committee. The Committee would meet for the first time in March, with Court receiving a report in April.

CRT/2017/30.1.3 Media Update

Court noted a digest of recent media coverage and summary details of social media interaction with the University. Court agreed that such details be provided from time to time during the year, to include a balanced summary of coverage.

CRT/2017/30.1.4 Scottish Code of Good HE Governance – external review

At the last meeting, Court had been updated on areas for actions arising from the new Code. One of these was the expectation that there would be an externally facilitated evaluation of Court's/Committees' effectiveness, including size and composition of membership, at least every five years. Court heard that a review would be arranged for the summer. Proposed areas for inclusion were discussed, Court agreeing that some additional areas might be included ahead of the review remit being finalised. These additional areas covered: the inclusion of a reference to 'experience' as well as to 'expertise'; coverage of Court's fitness for the future, through dynamic development; ensuring diversity was in the foreground; clarifying in what ways Court might add value; inclusion of the relationship between Senate/Court/management, staff/Court/management and students/Court/management; specific reference to the Transformation Programme and Campus

Development; Court's involvement with developing strategy; and opportunities for Court discussion beyond meetings and lunchtime briefings. More generally, consideration might be given to having such reviews more frequently e.g. every four years, although it was noted that Court provided regular feedback as part of the meeting cycle, giving the opportunity to pick up issues on an ongoing basis.

CRT/2017/30.1.5 Organisational Change – UoG Sport

At the December meeting, members of Court had been informed that the Joint Committee of Consultation & Negotiation had met in November and reached an agreement on the way forward with regard to the restructuring of UoG Sport. The University and unions had agreed to work together to limit as far as possible the number of redundancies arising from the restructuring. Efforts were also being made to ensure that remaining members of staff did not suffer detriment in terms of lost income as a result of the restructuring. Meetings with individual members of staff were currently under way to provide further reassurance about their roles and about the future of the Garscube sports facilities.

The Rector advised that he was aware of meetings taking place with staff but that documents he had received gave him cause for concern about the information provided by local management to senior management. He also advised that staff were leaving, with consequential impact on the student experience, and that an MSP had recently made a statement regarding a perceived managed decline of the Garscube sports facilities. The University Secretary advised that there was a change in opening hours, which management considered was to the right level; it was unhelpful to repeat misinformation that the University intended to close the Garscube sports facilities.

CRT/2017/30.1.6 Organisational Change Governance Group

Court noted the Group's annual report. There was a vacancy for a lay member on the Group. A replacement would be made, with Court being kept advised.

In discussion, Margaret Anne McParland commented that the operation of the group had left staff affected by organisational change feeling as if they could not present their views, and that the management case she had seen for UoG Sport made omissions and had reportedly not been seen by the staff affected. The Rector commented that staff had expressed concerns that the figures/statistics presented by UoG Sport management with regard to Garscube were erroneous and also selective in that they did not include all users or all the times of day that facilities were used.

Court heard from members of the OCGG that it would be helpful if the role and purpose of the group could be looked at; in the present case the group had had concerns about what management were seeking and about what questions to ask, and had not had complete information. With regard to comments about use of the Garscube facilities, the University Secretary responded that given the pattern of usage across the two campuses, it made good sense to reduce opening hours at Garscube and extend the hours at the Stevenson Building. The University Secretary agreed that the role and purpose of the group would be reviewed.

CRT/2017/30.1.7 Graduate Teaching Assistants and Demonstrators

At the December meeting of Court, a concern had been raised about the timely payment of GTAs and Demonstrators. There had been delays in issuing a number of employment contracts and establishing the current year's cohort on to the HR payroll systems. Remedial action had been taken to minimise any financial impact on the individuals concerned and a working group had been created to review the process.

As the review had progressed, it had become clear that the issue went beyond the administration of the contracts. The review would therefore consider how work was planned, allocated and recorded to ensure that Schools were rewarding the work done, including appropriate time for preparation and marking, in a consistent and transparent manner. It would also look at matters relating to

communication and training.

A comment was made that attention should be paid to any differences of approach to GTA employment that indicated a gender pay gap, with HR keeping this matter under review, and that there should be communication to the University community that the problems with GTA contracts were being addressed and changes would be put in place. Comments were also made that delays in payment should not be conflated with other matters, and that the GTA appointment process in general should be as streamlined as possible. The Rector expressed a concern that there had been delays of months in some staff getting paid; the University Secretary responded that emergency payments had been made to prevent this happening.

Court heard that the HR Committee had received assurances that steps were being taken to ensure the situation did not happen again, and had been satisfied with these but would be maintaining a watch on the matter.

CRT/2017/30.1.8 Annual Court Self-Assessment and Convener appraisal

A questionnaire for Court self-assessment/feedback on performance would be circulated; this would be arranged so as to take account of the externally facilitated review and thereby avoid duplication.

The Convener left the meeting for the next item, under which it was agreed that Ronnie Mercer would undertake the appraisal of the Convener's performance.

CRT/2017/30.1.9 Court members – information for HESA

The Higher Education Statistics Agency HESA collected, processed and published data about HE in the UK, as a source of national statistics and public information. There was a new 2017/18 requirement by HESA to capture information about governors of Universities. The University's HR service would contact Court members for this purpose, and would retain the data confidentially. Data provided to HESA would be anonymised.

CRT/2017/30.10 Employee Representatives on Court

Dave Anderson and Margaret Anne McParland left the meeting for this item.

At the last meeting it had been agreed that Dave Anderson's term on Court would be extended in the context of a Court/Senate working group considering the future composition of Court to comply with the Higher Education Governance (Scotland) 2016 Act. The group was looking in particular at the various staff memberships of Court, including members from Senate, the trade unions and the wider staff body.

To provide further flexibility, ahead of compliance with the 2016 Act via a revised Ordinance on the composition of Court, Court approved extension of terms for Dave Anderson and Margaret Anne McParland's to the end of 2018.

CRT/2017/30.11 Contracts monitoring

There had been recent media coverage about the Carillion construction group's liquidation. The University did not have building contracts with the group. Large value estates contracts were kept under review. The potential impact of the liquidation on sub-contractors was also being monitored.

CRT/2017/30.12 Mental Health Working Group

The Mental Health Working Group had met for the first time on 23 January. The group included a wide range of professional support staff, academics and student representatives from across the

University. The group had received reports from key individuals and agreed a number of actions covering both staff and students. These focused on specialist provision; training of non-professionals across the institution; and general awareness raising. The training programme would continue to make use of a range of interventions which had proved effective at Glasgow and at other universities.

CRT/2017/30.13 Equality and Diversity Strategy Committee

At the last meeting, Court had asked for a report from the Committee to be provided, to aid visibility for members. The report would be brought to Court in April.

CRT/2017/30.14 Heads of School appointments

College of Science & Engineering: Head of School of Computing Science

Professor Chris Johnson had been reappointed as Head of the School of Computing Science for 2 years from 1 August 2018.

College of Social Sciences: Head of School of Physics & Astronomy

Professor Martin Hendry had been reappointed as Head of the School of Physics & Astronomy for 2 years from 1 August 2018.

CRT/2017/30.13 General Data Protection Regulation

Court would receive a briefing on the GDPR at its April meeting. The GDPR, which would come into effect in May 2018, required revised data protection arrangements to be in place, with Court having overall responsibility for compliance.

CRT/2017/31. Report from the Rector

There having been no written report circulated in advance of the meeting by the Rector, the Convener asked the Rector to summarise the main themes of his oral report at the beginning of his presentation. The Rector advised that he wished to cover 1. The block grant from the University to the student unions; and 2. Sexual harassment.

1. Grants to Student Unions

The Student Finance Sub Committee would shortly be deciding on the allocations for the coming year. The Rector had met with the unions and believed there was a lack of understanding by the University that while the overall grant for 2017-18 might be at the same level, there had been a cut in real terms. The GUU had already had its grant cut between 2016 and 2017, with the QMU's and GUSA's frozen from 2015. Additional support was needed to allow the union boards to enhance the student experience and address the needs of students. The Rector had concerns about levels of spend per student head on unions at Glasgow as compared to other Universities: based on the block grant of £1.2M, Glasgow was currently spending £46 per head compared to Edinburgh (£83, up from £77) and UCL (£100). The unions had tried to manage their budgets, but felt they had little direction from the Student Finance Sub Committee. The Rector believed they were frustrated with the allocation process which they felt was an intimidating experience and pre-decided 'checkbox' exercise, and did not think that the University understood the function of the unions. There were some commercial operations at the unions, but the opportunities for commercial activity were limited, and unions were mindful of being socially responsible by not focusing on alcohol and cigarette sales. Student footfall at the QMU was affected by ongoing demolition work close by; the Rector felt that a recent cancellation of an event because of this showed that there could be an impact in the future. This left no room for manoeuvre; any further cuts would be extremely difficult to manage. The Rector felt that there was a potential threat to viability and some concerns that amalgamation or non-viability were being forced

upon unions. The SRC had received additional funding, which the Rector had discussed with the SRC President. He understood that the SRC could not be expected to refuse such additional funding.

The Rector commented that other HEIs operated differently. There were no outrageous demands being made by the unions at Glasgow; they simply wished to survive and to be given time to present their cases. There were costs such as the Living Wage to be covered by unions. Investment was needed since there was no point in having a Learning and Teaching Hub if the student experience was reduced by the inability of unions to provide for students. The Rector urged Court to look at increasing the grants to unions.

In discussion, Court heard that Glasgow was unusual in having several unions including a statutory representative body (the SRC), whereas other institutions typically had a single body that provided both representative and social functions. The reasons for the Glasgow arrangements were partly historical, there having been separate men's and women's unions when they had originally been set up. There was no drive to merge the unions – indeed the number of unions was a good selling point and the unions had different missions – although there were possible collaborative opportunities, for example with regard to joint arrangements for managing finances.

Court also heard that the breakdown of allocations had changed slightly recently, as had been referred to by the Rector, with the SRC receiving additional funding and the unions slightly less. There was no wish by the University to direct the unions/SRC, since they managed their own affairs, although five 'common principles' including Clubs and Societies, International students and Employability had been put to all the bodies. Additional funding amounting to £200k had been provisionally earmarked to address these themes in the 2018/19 allocations, subject to approval in the overall University budget round; if this was allocated, it would represent an average increase of 16% from 2017/18 to 2018/19.

Heather Cousins, a member of the Sub Committee, reassured Court that decisions were not made in advance, with cases being looked at on merit and changes to grants made within the overall envelope. The Rector commented that students had advised him their impression was that they did not feel listened to by the Committee; he cited an example of a member of the Sub Committee closing his laptop computer and folding his arms during the meeting.

Court heard that the overall block grant referred to, totalling £1.2M, was the direct grant and did not take account of costs such as maintenance of buildings, which were covered from other University budgets. Care would need to be taken if comparisons were made in any data provided to Court.

The Rector acknowledged points made about comparative data and about the University not wishing to run down what was a unique union set-up, but expressed a concern that the reality could be that decreasing budgets resulted in unions becoming unviable.

Court agreed that a paper should be provided for the April meeting. The paper should contain factual background/framework information about the unions' structure, their respective roles and activities, the budget allocation process, the 'common principles' referred to, and whether budgets had changed in light of increased student numbers; and comparative data that presented like-for-like information about other HEIs' student union financing.

2. Sexual Harassment

The Rector advised that he had received figures on sexual harassment cases at the University, which he felt demonstrated significant under-reporting to University points of contact. He commented that this demonstrated that the system was not working. He was aware that there was similar under-reporting of racial harassment. The Rector noted that anonymous reporting was permitted in some other institutions and that he believed the University had dismissed this as a possibility. He added that students did not have confidence in processes and that the reporting figures were evidence of this.

The University Secretary reminded Court of the briefing members had received ahead of the December meeting, which had referred to the Equality and Diversity unit and positive work being done by the Gender Based Violence Strategy Group. There would be a report to Court from the Equality and Diversity Strategy Committee at the April meeting.

In discussion, Court heard that the University was in fact still considering the possibility of a system of anonymous reporting. Comments were supportive of such reporting if it encouraged individuals to come forward for assistance, but felt that a formal complaint would be needed before an investigation could be conducted. Anonymous reporting might also help to identify areas where there were particular problems. The Rector stated that such reporting in the Scottish Parliament had led to a culture of change and debate and had given people confidence to come forward.

It was suggested the Rector might speak to the E&DU to obtain further information on the work being done by the University.

[There was a short break before the Court Committee items on the agenda.]

The Convener sought brief initial feedback on the three previous reports; this would be an ongoing part of Court meetings and would be in addition to feedback sought after the meetings.

Feedback was given that there appeared to be an issue with internal communication; connected to this, it was suggested that some specific communications should be separate from general communications to staff and/or students, to increase impact and awareness; that there was repeat business coming to Court and a better process was required to close items; and that some discussions were becoming focused on management rather than governance.

It was agreed that senior management would address these issues.

CRT/2017/32. Reports of Court Committees

CRT/2017/32.1 Finance Committee

CRT/2017/32.1.1 Capital Programme

The Committee had received a report providing an overview of progress on the Campus Development and the governance arrangements for capital projects, together with details of workstream progress and principal risks. Court now received this report, which was noted.

The Committee had received a paper setting out options for acceleration of projects within the Campus Development. It had been agreed that the 5th floor of the Research Hub should be delivered as part of the main build, subject to business case approval, since the cash flow impact was limited and to accelerate the matter should lead to overall cost savings. The Committee had also agreed to review the Arts and Engineering projects in 12 months' time, in tandem with the Estates Committee, with a view to making a decision on acceleration of these projects.

CRT/2017/32.1.2 CapEx Projects

The Committee had approved five Capex applications, with aggregate capital spend of £11.18m, £2m of which would be funded by an external grant for one of the projects. Funding for four of the projects was included within the approved Capital Plan and the fifth project – PGT Learning and Teaching Space at a cost of £2.39m – had not been included. The Committee had requested further information on this project, but had been content to approve. Court noted summary details of the projects.

CRT/2017/32.1.3 Annual TRAC Return

The Committee had noted a briefing on the annual TRAC return process. This had included an explanation of significant changes which had come into effect for the calculation of the 2016/17 return. The Committee had retrospectively approved the TRAC return, which had been submitted at the end of January.

CRT/2017/32.1.4 Endowment Investment Report

The Committee had noted a report providing a view of investment performance against targets, including reporting on the stewardship of cash funds raised from the bond issue in 2017. Performance would continue to be monitored as the year progressed. Court received and noted the endowment investment report.

CRT/2017/32.1.5 Financial reports

The Committee had noted the overview of performance, which incorporated a view on short- and long-term cashflow. The results for Period 4 showed a projected surplus at full year of £25.6m, £7.9m ahead of budget. Court received and noted this overview of performance as at 30 November 2017.

The Finance Committee report was noted.

CRT/2017/32.2 Estates Committee

CRT/2017/32.2.1 Capital Programme Governance Board Report

The Committee had noted a summary report and key activities during the last two months, relating to the Capital Programme. The Committee had also noted the Green RAG status of all major projects.

CRT/2017/32.2.2 CapEx Applications

Court noted Estates Committee's approval of CapEx applications relating to: Western/New Build/College of Arts £2.58m; Gilmorehill/James Watt/JWNC E-Beam £4,153,741; Gilmorehill/Rankine Building/QT Faccio Lab £960,800; Gilmorehill/Various/Pilot Teaching Spaces expenditure up to £1.1m; and Gilmorehill/Various/PGT Learning and Teaching Spaces £2.39m.

CRT/2017/32.2.3 Capital Programme acceleration

The chair of the Committee, Ronnie Mercer, advised Court that the Estates Committee had also considered acceleration of projects within the Campus Development, reported earlier under the Finance Committee item. The Committee had agreed in principle with the proposal to accelerate the 5th floor Research Hub fit-out, subject to development of the detailed business case.

Court asked that it be sighted as early as possible on details – including resource matters – relating to any accelerations, so that it had the opportunity to consider options available, in the context of cash flow and its overall role in approving the capital plan.

CRT/2017/32.2.4 Risk Register

The Committee had noted eight red risks. Court heard that the number of red risks had increased to ten in the period between Estates Committee and Finance Committee; the two new risks related to obtaining Building Warrants and to resource levels to cover the number of concurrent large capital projects.

The Estates Committee report was noted.

CRT/2017/32.3 Health, Safety and Wellbeing Committee

The Committee had received: an update on the pilot of central recording of overseas travel and a report from the new EAP Provider; discussed a Safety Representative role and employer duties, a report on a Unite Scotland education sector stress survey, and a report on pedestrian and transport safety on campus. The Committee had covered its usual range of business in reviewing standard reports on Occupational Health activities, Audit updates, Accident reporting and Employee counselling. With respect to staff counselling, the Committee would monitor uptake of the new outsourced counselling service for staff. The Committee had agreed that a more detailed local guidance document detailing best practice for managing the relationship between TU safety representatives and managers should be developed.

In response to a comment, it was agreed that opportunities for staff to receive the annual flu jab would be improved. It was asked that feedback like this be conveyed to management at the point that the concern was raised, rather than after the event, which made it difficult for management to improve the situation in a timely manner.

The Health, Safety and Wellbeing Committee report was noted.

CRT/2017/33. Communications from Meeting of Council of Senate 1

The Council of Senate had: received the Library Annual report for 2016-17, and reports from the Student Support and Development Committee, the Research Planning and Strategy Committee and Education Policy & Strategy Committee; received and approved a recommendation from the Finding Committee that Professor Jill Morrison be appointed as Clerk of Senate for 4 years from 1 August 2018, succeeding Professor John Briggs; approved the establishment of a new Student Experience Committee as approved by Court at its meeting on the 13 December 2017; received a report from the Principal on the Scottish Government Draft Budget, on the review of university funding and student finance in England and on USS Pension Reform; received an update on Mental Health support, from the COO and University Secretary; and noted individuals' acceptances of nominations for honorary degrees in 2018.

The communications from Council of Senate were noted.

CRT/2017/34. Any Other Business

There was no other business.

CRT/2017/35. Date of Next Meeting

The next meeting of Court will be held on Wednesday 11 April 2018 at 1.45pm in the Senate Room.

Court Context Card 11 April 2018 - Principal's Report

Speaker	Professor Anton Muscatelli	
Speaker role	Principal	
Paper Description	For information	
Topic last discussed at Court	Last report to Court was February 2018	
Topic discussed at Committee	NA	
Committee members present	NA	
Cost of proposed plan		
Major benefit of proposed plan		
Revenue from proposed plan		
Urgency	NA	
Timing	Various	
Red-Amber-Green Rating	Various	
Paper Type	For approval (Outcome Agreement); other items for information / discussion	
Paper Summary	<p>Updates on areas listed in the paper as follows:</p> <ol style="list-style-type: none"> 1. Higher Education Developments 2. USS and Pensions update 3. Outcome Agreement 4. Vice-Principal appointments 5. Queen's Anniversary Prize 6. Key activities 7. Senior Management Group business 	
Topics to be discussed	In line with paper's headings	
Action from Court	To note/discuss if wishes; Outcome Agreement for approval	
Recommendation to Court		
Relevant Strategic Plan workstream	Empowering People, Agility, Focus	
Most relevant Primary KPI it will help the university to achieve	NA	
Most relevant Secondary KPI it will help the university to achieve	NA	
Risk register - university level		
Risk register - college level		
Demographics		
% of University	Items mainly relate to the University as a whole	
Operating stats		
% of		
Campus	All locations	
External bodies	UK Government; Scottish Government; SFC; Pensions regulator	
Conflict areas		
Other universities that have done something similar		
Other universities that will do something similar		
Relevant Legislation	Pensions legislation	
Equality Impact Assessment		
Suggested next steps		
Any other observations		



Court - Wednesday 11 April 2018

Principal's Report

Items A: For Discussion

1. Higher Education Developments

Scotland Higher Education Budget for 2018-19

At the last meeting, Court received a summary of the budget for SFC HE resource and capital. We have received guidance from the SFC on priorities for Further and Higher Education, and the indicative funding allocation is set out below:

SFC Indicative Allocation 18/19 variance to 17/18 Actual Allocation

	£k		YoY
	17/18	18/19	Variance
Teaching Grant	80,846	82,262	1.8%
Research Excellence Grant	45,935	46,762	1.8%
University Innovation Fund	1,409	1,549	9.9%
Research Postgraduate Grant	7,344	7,560	2.9%
Grants for Innovation, Teaching and Research	135,534	138,133	1.8%

Teaching Grant

Increase of 1.8% for Glasgow is in-line with the sector's overall 1.8% increase.

Research Excellence Grant

Glasgow's 1.8% increase is in line with overall sector increase.

University Innovation Fund

Glasgow's 9.9% increase is in line with overall sector increase.

Research Postgraduate Grant

Glasgow's 2.9% increase is greater than the overall sector increase of 1.8%. YOY differences reflect PGR activity within institutions.

Glasgow's £216k increase (2.9%) is in contrast to >£100k reductions at Edinburgh (-£117k, -1.4%), St Andrews (-£101k, -4.9%) and Dundee (-£101k, -5.2%). Strathclyde (£272k, 5.9%) and Heriot-Watt (£125k, 5.5%) were the only other institutions with >£100k increases.

We are still awaiting outcome of some strategic grants such as the museums grant.

Review of HE funding in England

As referred to at the last meeting, the review of HE funding in England could impact on Scotland and on some Scottish HEIs in particular, if there are changes in the fee regime for Rest-of-UK Undergraduate students, or to the regulatory regimes e.g. the TEF and the Office for Students (OfS). The fees review will be led by UK government, with an independent panel chaired by Philip Augar. The terms of reference for the review can be found at: <https://www.gov.uk/government/publications/review-of-post-18-education-and-funding-terms-of-reference>. The review should be concluded 'in early 2019'.

2. USS/pensions update

As Court members are aware from previous reports, every three years there is a statutory valuation of USS (the 3-year period is set in law), to ensure there are sufficient funds to pay pensions earned, and that future contributions into the scheme will cover the payments and other benefits, such as ill-health retirement. The latest valuation, dated 31 March 2017 showed an increase in the estimated funding deficit to £7.5 billion. The independent Pensions Regulator expressed concern about aspects of the assumptions in the valuation. The USS Trustee must sign off the valuation and submit a report and recovery plan to the Regulator by 30 June 2018.

Court has been updated over the past few months on discussions between employers and the employees' representatives. The UCU and UUK negotiated an agreement at a national level, with details published on Monday 12 March. A revised benefit reform proposal was agreed, subject to consultation by both parties and subsequent agreement at the USS Joint Negotiating Committee (JNC).

The main points of the agreement were:

- a transitional benefit arrangement outcome for the scheme's valuation, maintaining a meaningful level of defined benefits (DB) for all scheme members. The transitional arrangement will take effect from 1 April 2019, and last for 3 years. Employers and members will be required to pay higher contributions: a total employer contribution of 19.3% of salaries and a total member contribution of 8.7%, with these increased contributions in place only for the duration of the 3-year transitional arrangement.
- convening of an independent expert valuation group, given the concerns raised by some employers and UCU about the scheme's valuation methodology and assumptions.
- a commitment to engage in meaningful discussions as soon as possible to explore risk sharing alternatives from 2020, in particular Collective Defined Contributions (CDC).

Court has been updated on progress, between meetings, and will be aware that UCU branches and its Higher Education Committee rejected the negotiated agreement.

Following this, a proposal, issued on Friday 23 March under the auspices of ACAS, has been made to establish an independent expert panel to review the 2017 valuation. The panel, described as the Joint Expert Panel, will consist of actuarial and academic experts, with a jointly agreed independent chair and will review the basis of the scheme valuation, assumptions and associated tests. Meantime the status quo would apply on benefit accrual and contribution levels. Subject to support from UCU members and employers in principle to the proposal, detailed terms of reference will then be agreed and published. The proposal is subject to consultation with union members and USS employers. As part of the ACAS proposal, UCU will consult its branches and members on suspending industrial action while the review takes place.

With respect to the proposals and the UUK consultation with employers, the University of Glasgow, along with all other affected Universities, was invited to respond to the latest initiative aimed at moving the dispute forward. As a member of the USS trustee board, I did not contribute to the University's response, which was provided by the Senior Vice-Principal and Chief Operating Officer & University Secretary. They will be happy to update Court on their response but in summary it indicated the University's support for the establishment of the Panel, noting, that given the offer to retain current benefits and contribution levels while the Panel proceeds with its work, that there may be a welcome suspension of industrial action across the sector. In acknowledging the challenges that remain, the letter identified four key points: the need for early discussion with the USS trustee and the Pension Regulator to ensure they are satisfied, vital before any lasting settlement can be reached; that further consultation be carried out with employers regarding their appetite for higher contribution levels and attitude to employer risk; that the Panel be established as soon as possible; and that the Panel's work be taken forward with a high degree of transparency and clarity given the serious lack of understanding that has been evident during the dispute and which has led to a break down in trust across the parties.

As of 28 March, UUK has indicated that employers' responses received to date have been supportive towards the UUK Board recommendation to convene a Joint Expert Panel with UCU. I also understand that UCU branches and their Higher Education Committee have indicated their support for the proposal to be taken to consultation with UCU members. At the time of writing we do not know when this ballot of UCU members will take place, but it may be in the week beginning 2 April.

We await the outcome of this consultation and clarification from UCU, that if members agree to the proposal, industrial action (planned to recommence on 16 April) will be called off.

The University Secretary will provide an update on the related industrial dispute.

I will update Court further at our April meeting.

3. Outcome Agreement

For the past 5 years Court has received updates on the content of our Outcome Agreement, which is required to be submitted to the SFC as a condition of funding. The Agreement sets out what the University will deliver in return for Government funding. The document's focus is on the contribution made towards improving life chances, supporting world-class research and creating sustainable economic growth for Scotland.

Last year, Court approved a new agreement for the period 2017/18 to 2019/20. At the time, Court was advised that we are expected to update this annually.

The updated agreement is for Court's approval. Specific points to note are:

- The Outcome Agreement has been updated to reflect the past year. This allows the Outcome Agreement to reflect new developments and initiatives across the University. Examples include:
 - Launch of Medical School Glasgow Access Programme (21 students);
 - £8m award from CRUK to design clinical trials that will accelerate treatment for pancreatic cancer (PRECISION Panc);
 - Innovation District update.
- The SFC has strengthened its stance on Widening Access and we now have targets for full-time MD20 entrants that have been prescribed by SFC. These are documented in the national table of measures in the Outcome Agreement.
- The national table of measures has replaced the previous SFC targets table. This contains many more measures than the previous Outcome Agreement and a number of these measures also have associated targets for the next three years.
- A UIF update has been prepared via RSIO and this will be sent as an Annex to the Outcome Agreement.

As in the past, the large majority of SFC funding will continue to be formula based, through allocations for teaching, research and knowledge exchange funding. Specific sums may be linked to the achievement of specific outcomes.

The SFC is currently working on the Outcome Agreement for the Crichton Campus.

Professor Neal Juster will be able to respond to any questions that Court members may have.

Items B: For Information

4. Vice Principal appointments

I am pleased to report that Ms Bonnie Dean, OBE has been appointed to the post of Vice Principal, Corporate Engagement and Innovation. Bonnie has a background in industry, working

for various engineering companies, and Bristol and Bath Science Parks. She is a member of the EPSRC Council. She will formally join the University on 1 May 2018 though she is planning to participate in an Innovation Zone workshop scheduled for the 10 April.

I have also agreed with the VP Research Professor Miles Padgett that his current appointment should be extended from 31.7.2019 to 31.12.20 to coincide with the end of the current REF cycle.

5. Queen's Anniversary Prize

On 22 February, the University was presented with its Queen's Anniversary Prize for Higher Education, in recognition of a half century of work on the Historical Thesaurus.

The Thesaurus contains nearly 800,000 words, arranged by their meaning, and spanning more than 1000 years of the English language. We have now agreed to invest more than £400,000 over the next five years in the second edition of the Thesaurus and in the creation of a new Lectureship in Historical Thesaurus Studies. This edition will benefit from new research and allow updates on around 35% of the current entries and the addition of 20, 000 new words.

6. Key activities

Below is a summary of some of the main activities I have been involved in since the last meeting of Court, divided into the usual 4 themes: Academic Development and Strategy; Internationalisation activities; Lobbying/Policy Influencing and Promoting the University; Internal activities and Communications and Alumni events. In order to cut the length of this report, I have, in the main, provided brief headings and can expand on any items of interest to Court.

Academic Development and Strategy

16 February & 30 March: As a member of the Board of The Guild of European Research-Intensive Universities (of which University of Glasgow is a member), I took part in Board Meeting Conference calls.

9 March: Chaired interview for the Vice Principal - Corporate Engagement & Innovation (see section 4 above).

14 March: Chaired, School of Engineering, Rankine Chair interviews and on 23 March, interviews for the Daniel Jack/Cairncross Chairs in Economics.

19 March: Dropped in on a Tech Start-up Mentoring Session. This is a new activity in the School of Computing Science and it was an opportunity to meet the industry mentors (many of them alumni) who have volunteered their time to support this initiative.

20 March: Hosted a Lodging dinner for EQUIS and members of the Adam Smith Business School, our Strategic Advisory Board, the College of Social Sciences and EQUIS panel members. EQUIS was undertaking its re-accreditation visit, which ran from 20th to 22nd March 2018.

Internationalisation Activities

3 April: With the VP Internationalisation, attended a Chinese Consul General Dinner in Edinburgh.

Lobbying/Policy Influencing and Promoting the University

Russell group activity

15 February: Attended a Russell Group Board Meeting and Dinner. Sam Gyimah MP, Minister for Universities Science and Research joined us for part of the meeting.

20 February: Led a Russell group delegation to Brussels. As part of this, took part in Scotland Europa discussion series - Future of Research and Innovation, and gave a presentation on *Universities as engines of regional prosperity: the case for greater investment in European R&I*.

5 March: Took part in a Russell Group Chairs of Working Group teleconference.

15 - 16 March: Attended Russell Group Strategy Away Day, Nottingham University.

Other activities

15 February: Attended a USSL Trustee Board meeting and on 21-22 March, attended a further USSL Trustee Board meeting, which also included a workshop. An additional Board meeting has been planned for 10 April.

21 February: Attended the Queen's Anniversary Prize dinner in the Guildhall and the award ceremony the following day (22nd) in Buckingham Palace (see section 5 of this report).

22 February: Met with the President of the French CPU (organisation of University presidents) and officials of the French Embassy with colleagues from the Russell Group to discuss post-Brexit collaboration.

23 February: Attended, with other Scottish Principals/Principals' delegates, a roundtable meeting, held in Glasgow, and initiated by the Shadow Chancellor, Rt Hon John McDonnell. The roundtable was intended to provide a forum to discuss with the Shadow Chancellor a range of issues relating, not just to higher education, but wider economic policies.

23 February: Hosted a meeting and dinner for University of Edinburgh colleagues regarding the Life Sciences Sector Deal.

24 February: Attended and spoke at the annual Snell Dinner, held in Balliol College Oxford.

2 March: Teleconference meeting with the Minister for Further Education, Higher Education and Science in the Scottish Parliament, Shirley Anne Somerville and Director of Universities Scotland, Alastair Sim.

6 March: Opened an event held for ESRC Newton award holders and hosted by Glasgow.

7 March: Attended a USS Investment Committee Meeting in London.

10 March: Attended and spoke at the Adam Smith Economics Society Gala Dinner, which was organized by ASBS students, and which as part of the evening showcased the impact and activity of 8 of the 14 student societies associated with the ASBS.

13 March: Interviewed for a live broadcast of the BBC R4 Today programme.

13 March: Representing the Council of Economic Advisors (CEA), I was invited to give evidence to the Economic Performance Inquiry, led by the Economy Jobs and Fair Work Committee, Scottish Government. Sir Harry Burns and Professor Sara Carter (Strathclyde University), fellow members of the CEA also took part in the session.

13 March: Chaired a Commission for Economic Growth (Glasgow City Deal) meeting.

19 March: Chaired a meeting of the First Minister's Standing Council on Europe.

23 March: Attended a Powerful Women Roundtable Event – led by Scottish Power. I agreed, alongside 18 CEOs, to volunteer for a mentoring programme which will support senior female leaders.

23 March: Met with the President and the Secretary General of the Italian Chamber of Commerce and Industry for the UK and the Director of the Italian Trade Agency.

26 March: Travelled to Brussels and in partnership with Professor Peter Mathieson, Principal of the University of Edinburgh, took part in a Scotland's Place in Europe Event arranged through the Scottish government and Scotland Europa. This aimed to showcase the impact on research of partnerships across Scotland and Europe. The Minister for Further Education, Higher Education and Science attended and spoke.

27 March: Met in Edinburgh with Sir Martin Donnelly and Drew Scott. Sir Martin was Permanent Secretary of the Department for International Trade, until leaving the Civil Service in 2017. He has particular knowledge and interest in the EU.

28 March: Attended Glasgow Life Board & Trading CIC Board Meetings.

28 March: I attended a dinner hosted jointly by the British Council and Glasgow Life to discuss Glasgow's international ambitions and strengths, particularly through the lens of its educational and cultural assets.

10 April: Attended a Session of the Association of Heads of University Administration conference in Manchester and took part in a panel session on governance which was led by Chris Sayers, Chair of Committee of University Chairs.

Internal activities and Communications and Alumni events

19 February: Welcomed a meeting of the Royal Institute of Chartered Surveyors (RICS), Scottish division to the University and gave a presentation on Brexit and its economic impact followed by a Q&A session. Peter Haggarty, who is the University's Director of Construction & Facilities Management, Estates and Buildings, is current chair of RICS.

23 February: Met with Sir Angus Grossart, vice-Chair of Glasgow Life and colleagues to tour and discuss the Kelvin hall development.

23 February: Met with Tom Williams, COO of Airbus, and a graduate of Glasgow, who was visiting the University and giving a talk to students.

26 February: Hosted the annual Student Volunteers Reception in the Lodging.

27 February: Attended and introduced the Holocaust Memorial Lecture & Dinner. The lecture was given by Emeritus Professor Otto Hutter.

27 February & 27 March: Monthly meetings with SRC President and sabbaticals.

5 March: Lodging dinner for Murdoch MacLennan, to mark his retirement from Court.

8 March: Attended and was the guest speaker at the Senate Guest night. I spoke on recent developments around Brexit.

19 March: Participated in a visit of Benny Higgins, Chair of the National Galleries of Scotland, which had a particular focus on the Kelvin Hall development.

27 March: Attended the annual Durkan Lecture, delivered by Professor Sally Mapstone, VC and Principal of St Andrews University and hosted a Lodging dinner thereafter.

28 March: Delivered a lecture on the effect of Brexit, particularly on Scotland and the Scottish economy, followed by Q&A session. This was in response to a request from colleagues in the College of Social Sciences who are running an ESRC-funded Impact Acceleration Account project on Brexit and the Devolved Nations and Ireland and involves lectures around the UK. As a standard part of the project, I also provided a filmed summary of my talk.

4 April: Gave a welcome and opening remarks to the Association of Catholic Institutes for the Study of Education (ACISE) conference which the University was hosting this year.

7. Senior Management Group business

In addition to standing and regular items, which over recent meetings has included and update on the industrial action, the following issues were discussed:

SMG Meeting of 20 February

- Draft Corporate Risk Register
- Risk Management Policy

- Preparing for REF2021: Projected GPA Ranking for Outputs
- Car Parking
- Early Career Development Programme: Progress, Promotion & Prospects
- REF reviews
 - UofA 2 Public health, Health Services & Primary Care
 - UofA 10 Mathematical Sciences
 - UofA 25 Education
- Glasgow Research Beacons – Update and Content Calendar
- Career Track Review for Academic staff: update
- General Data Protection Regulation

SMG Meeting of 26 February

- Capital Programme Update

Monday 5 March SMG Risk Workshop

SMG Meeting of 12 March

- Preparation for REF2021: Developmental Timetable
- Interim Impact Reviews: Winter 2017 Session
- REF2021 UoAs – Configuration (MP/HoCs)
- Policy on Advances to External Research Collaborators
- Lobbying (Scotland) Act 2016
- Catering in the Learning & Teaching Hub

SMG Meeting of 20 March

- TNE Strategy
 - TNE Secretariat
- Mira Kelly – Strategic Partnerships
- Edinburgh Theological Seminary – Partnership review and continuation
- REF reviews
 - UoA 9 Physics
 - UoA 10 Mathematical Sciences
 - UoA 19 Business and Management Studies
 - UoA 22 Social Policy
- Professorial Recruitment Fund
- Undergraduate Intake Targets

SMG Meeting of 26 March

- Budget update

SMG Meeting of 3 April

- James Watt Bicentenary
- UofG Representation on REF2021 Panels
- Draft Outcome Agreement

Court Context Card 11 April 2018 - University Secretary's Report

Speaker	Dr David Duncan	
Speaker role	COO and University Secretary	
Paper Description	For information / some items for discussion/decision/approval	
<i>Topic last discussed at Cour</i>	February 2018	
<i>Topic discussed at Committ</i>	NA	
<i>Committee members prese</i>	NA	
<i>Cost of proposed plan</i>		
<i>Major benefit of proposed plan</i>		
Revenue from proposed plan		
<i>Urgency</i>	Medium/Low	
<i>Timing</i>	Immediate where relevant	
<i>Red-Amber-Green Rating</i>	Green	
<i>Paper Type</i>	Decision/Discussion/Information	
Paper Summary	<p>Report from Secretary on a number of items for Court's discussion/decision and/or information. A Items are:</p> <p>A1 An update on the Industrial Action Working Group/USS</p> <p>A2 A briefing on the General Data Protection Regulation (Annex). The Deputy Secretary Dr Dorothy Welch will attend for this item.</p> <p>A3 A paper on Student Unions and their financing. The Deputy Secretary Dr Dorothy Welch will attend for this item.</p> <p>Other items for decision are:</p> <p>B1 Court is invited to approve a recommendation from the Nominations Committee for lay members of the Student Experience Committee</p> <p>B4 Court is invited to approve the terms of reference for the externally facilitated review of Court.</p> <p>B5 Court Strategy Day: Court members' additional views on areas to cover would be welcome as we finalise the programme.</p>	
Topics to be discussed	As above plus any A or B items Court members may wish to discuss	
Action from Court	Listed under each item: specific decision requested under:	
Recommendation to Court	B1, B4	
Relevant Strategic Plan workstream	Empowering People, Agility, Focus	
Most relevant Primary KPI it will help the university to achieve	NA	
Most relevant Secondary KPI it will help the university to achieve	NA	
Risk register - university level		
Risk register - college level		
Demographics		
% of University	100% Cross University application on several items	
% of college		
Operating stats		
% of		
Campus	All locations	
External bodies	USS, UUK, UCU	
Conflict areas		
Other universities that have done something similar	Other HEIs will be considering GDPR, Mental Health, Sexual and Racial Harassment, GBV	
Other universities that will do something similar		
Relevant Legislation	Education Act 1994 (student bodies); HE governance legislation/code; Data protection/GDPR	
Equality Impact Assessment		
Suggested next steps		
Any other observations		



Court – Wednesday 11 April 2018

Report from the University Secretary

SECTION A - ITEMS FOR DISCUSSION / DECISION

A.1 Industrial Action Working Group/USS

Since the last meeting, Court has received emailed updates on the industrial action arising from the ongoing USS triennial valuation and the potential for the scheme to be changed. More than 400 members of staff took part in the strike action, which ran over 14 days from 22 February-16 March.

Throughout the period of industrial action, the University has maintained a consistent position, calling for a negotiated settlement which is affordable and enduring. We have expressed a clear preference for retaining a defined benefit element to the scheme and made known that we would support a modest increase in employer contributions to help make this possible.

We have recognised the concerns expressed by many students about the disruption to classes and sought to keep them informed through regular information releases, answers to frequently asked questions and more detailed advice on academic matters. The Senate Office has supported Schools and Research Institutes who have dealt with queries and concerns from students on a daily basis, and has monitored the situation regarding exam papers and external examiners.

We have maintained good relations with local UCU representatives as well as contributing to national consultations and events.

In addition to the strike action, a group of 14 students took part in an overnight sit-in in the Senate Room on 15-16 March. The SRC President, the Rector and the President of UCU Glasgow all visited the students during the sit-in. Following a meeting with the Director of Communications and me on the morning of 16 March, the students left the Senate Room and took part in a UCU rally in the city. The sit-in was entirely peaceful.

On 23 March, Universities UK made a proposal to the UCU that a joint expert panel be established to review the valuation of USS. Universities UK has expressed its support for the proposal and the UCU is balloting its members on it. If it is supported by the UCU and by the USS Trustee Board (which meets on 10 April), we expect the next phase of industrial action – scheduled to begin on 16 April – will be suspended.

The proposal would involve a panel with an independent chair being set up to review the valuation used to make decisions about USS contributions and benefits. USS contributions and benefits would remain as at present until at least April 2019.

A.2 *General Data Protection Regulation*

The General Data Protection Regulation (GDPR) comes into force on 25 May 2018, as part of revised UK legislation. The GDPR will replace provisions under the Data Protection Act, and is the most significant update to the regulation of data protection in two decades. The Regulation will strengthen individuals' rights and put corresponding new requirements on organisations to demonstrate accountability, with new penalties for non-compliance.

In summary, the GDPR has been introduced to: better reflect the data protection challenges arising in the digital age; modernise data protection arrangements to make organisations more accountable; give individuals greater control over their own personal data; and address globalisation and harmonise data protection practice across Europe. Key changes include: tougher financial penalties – fines of up to €20 million or 4% of turnover (whichever is the larger) – c€24m for UoG; strong rules around record keeping and new financial penalties for not being able to evidence accountability for our processes – fines of up to €10 million or 2% of turnover; a more stringent data breach notification process: only 72 hours from detection to notify a data breach to the ICO; a broader definition of personal data; a new approach to consent, freely given positive opt-in and easy withdrawal; mandatory privacy impact assessments for new services/projects where risks are high; and a requirement for larger organisations to appoint a Data Protection Officer.

As the governing body, Court has ultimate responsibility for ensuring compliance with the GDPR, and indeed already has responsibility arising from the existing DP requirements (and many other statutory requirements). The University already has a well-established Data Protection office that addresses the current regulatory framework. The University's breadth of business is particularly wide in terms of data processing, covering for example the student body, research involving subject data, alumni information and personal details of those contributing to our campus development.

Ahead of the new regime, we are adopting an 'Information Asset' approach to manage data consistently, to bridge the transition to the new legislation and future-proof our privacy management.

Annex provides further details of the actions being taken by the University via the DP Office. Dr Dorothy Welch, Deputy Secretary, will attend the Court meeting to present the paper and to respond to questions.

A.3 *Student Union Finance*

At the last meeting, there was a discussion on the financial allocations by the Student Finance Sub-Committee to the student bodies. Court asked for a paper for the current meeting, to include some background information about the unions, and the budget allocation process.

Dr Dorothy Welch, Deputy Secretary, will attend the Court meeting for this item also.

SECTION B – ITEMS FOR INFORMATION / ROUTINE ITEMS FOR APPROVAL

B.1 *Student Experience Committee*

At the December meeting, Court approved the establishment of the Student Experience Committee. Arrangements for its membership has been finalised in the interim – to this end, the Nominations Committee **recommends that David Finlayson and Morag Macdonald Simpson be appointed** as lay members on the Committee.

Court’s approval of this recommendation is sought.

The Committee was originally due to meet for the first time in March, but because of diary problems the first meeting will now be on 16 April, with Court receiving a report in June.

In the meantime, we have begun a review of the shared services provided to staff and students of the School of Interdisciplinary Studies at Dumfries. The review will consider the provision of infrastructure and professional services including library, estates and facilities, IT, student services, union facilities and catering. It is expected that proposals for future arrangements will be agreed before the summer.

B.2 *Organisational Change Governance Group*

At the last meeting Court was advised that following Ken Brown leaving Court, there was a vacancy for a lay member on the Group. David Finlayson will fill the vacancy.

Following discussion at the last meeting, it was agreed that the role and purpose of the Group would be reviewed. The review is taking place via the HR Committee and will be an item on its May meeting agenda. Court will be provided with a report in June.

B.3 *Equality and Diversity Strategy Committee*

At the December meeting, Court asked for a report from the E&DS Committee to be provided, to aid visibility for members. The report will be brought to Court in June, to allow for the full year’s business to be covered.

B.4 *Sexual and racial harassment*

To highlight a number of specific actions, we have:

- Revised the information made available to students via the website to ensure that it is clear, comprehensive and easily accessible
- Expedited the development of a Personal Relationships Policy (discussed at Human Resources Committee on 28 March)
- Expanded the number of Respect Advisers who can act as the first point of contact for students or staff members with concerns about any form of harassment or bullying

- Assessed the value of an app which is widely used in other universities campuses as a means of summoning assistance in moments of crisis
- Continued to implement the ‘Let’s Talk About Sexual Violence’ training initiative, in collaboration with the SRC and Rape Crisis Scotland

We will consider carefully external reports such as the UUK’s ‘Changing the Culture: One Year On’ and the Equality and Human Rights Commission’s ‘Turning the tables: ending sexual harassment at work’ (both published in March 2018), and evaluate the Scottish Government’s toolkit, ‘Equally Safe’ (due out shortly).

We will also undertake an evaluation of the anonymous reporting tools implemented at a small number of other universities such as Strathclyde and Manchester.

At the same time, we have been reaching out to student associations and societies to explore any concerns they may have regarding racial harassment, Islamophobia or Anti-Semitism.

A paper on safeguarding issues will be brought to the next meeting of Court.

B.5 *Court Assessment and Convener appraisal*

The Court annual self-assessment was referred to at the last meeting, but will not take place this year because there is an externally facilitated review, which will cover areas normally included in the annual self-assessment.

Following suggestions from Court members at the last meeting, the terms of reference for the review have been updated and are attached together with a proposed approach. (**Annex**).

Court is invited to approve this approach.

As part of the good practice set out in the Code of Good HE Governance, Ronnie Mercer has undertaken an appraisal of the Convener's performance. Court members have been provided with a summary.

B.6 *Court Strategy Day*

The Strategy Day is scheduled for 28 September. A draft programme will be developed, with possible areas of coverage being the University’s mission and values as we move towards development of the next strategic plan; public engagement; and economic impact.

Court members’ additional views on areas to cover would be welcome as we finalise the programme.

The day will include opportunities for Court members to contribute to discussions via plenary sessions and group workshops.

B.7 *SFC Strategic Dialogue meeting*

As Court was advised in the December Secretary’s report, the SFC has a cycle of dialogue meetings with all HEIs. The University’s latest meeting

was on 13 February 2018. The meetings involve discussion between representatives of the University and the SFC. The dialogue aims to help the SFC's understanding of our mission and progress in meeting Scottish Government priorities, and to assist the University's understanding of the SFC's strategic aims.

The 13 February meeting included sessions on:

- Governance and financial sustainability – covering details about refinements to Court's operation arising from its self-assessment; about Court and Committee interaction with financial planning at the University, including approval of the annual budget and plan; and examples of the University's collaborative approaches and use of new technologies, such as the Research Beacons and the technology-enabled approach to the design and operation of the Learning & Teaching Hub.
- The transformative impact of the campus redevelopment – including an update on new and planned buildings included in the capital plan;
- Creating growth in the city through city/University interaction, which included a visit to the Kelvin Hall. The session highlighted the planned Interdisciplinary Innovation Zone, part of the campus development (Phase 1B of the capital plan) and a major contribution to the Glasgow University Innovation District – this will complement the existing Clinical Innovation Zone at the QEUH and offering space for start-ups, spin-outs, corporate collaboration and digital skills development. The majority of funding for the Zone is expected to be found from corporate partnership and external strategic sources.

The University team for the SFC visit included members of senior management and three lay members of Court. There were also staff and student sessions, both involving a cross-section of representatives from all Colleges.

We have not yet received the formal feedback report from the SFC, but in the brief roundup session on the day, the SFC team was very positive about the presentations and about its meetings with members of the University community.

B.8 *Mental Health*

As reported at the last meeting, the Mental Health Working Group met in January and agreed a number of actions covering both staff and students, the main areas relating to: specialist provision; training of non-professionals across the institution; and general awareness-raising.

At the beginning of March, Court members were contacted with information about how we marked University Mental Health Day, a national campaign to focus on promoting mental health of the Higher Education community. The message highlighted the expansion of the Counselling and Psychological Services for students; our work with a counselling service called PAM Assist, which helps staff who have mental health conditions or who need help with problems such as debt; and listed University/SRC initiatives such as Mental Health First Aid training, Mind Your Mate training and the Peer Support Programme.

The Mental Health Group met for the second time on 27 March to review progress and agree future priorities. These were the key points from the meeting:

- All additional posts in Counselling and Psychological Services will be filled by early April. Building on a host of recent changes, the Director anticipates further improvements in response times and overall quality of service over the coming months
- Mental Health First Aid training continues to be rolled out across the University, with strong uptake across all Colleges and University Services. By the end of the semester, an additional 100 mental health first aiders will have been trained.
- The SRC has secured additional funding to extend the highly successful Mind Your Mate training initiative.
- A sub-group has been tasked with exploring how we can articulate in-house provision for students with additional external support delivered online or by telephone. The aim is that by the autumn, all students will have access to professional counselling support within 24-48 hours of making contact.
- In terms of policy development, we will prioritise (a) the development of an institution-wide Wellbeing Framework; (b) a review of the Student Mental Health Policy; and (c) a review of the Managing Stress in the Workplace policy
- Support and training for Advisers will be a key component of our work over the coming months. The aim is to raise awareness and ensure a basic level of training for all Advisers and PG Conveners.

B.9 *Sustainability Working Group*

The Sustainability Working Group met for the second time on 7 March. The group approved in principle a waste management strategy and noted the work underway on a sustainable food strategy and a climate change adaptation plan. The group discussed key messages which would be disseminated across the University community and identified 10 priorities for action from the long list of objectives in the University's overarching sustainability strategy. A member of the Glasgow University Environmental Sustainability Team (GUEST) reported on a wide range of awareness raising activities being undertaken on campus.

B.10 *Snow*

The University has an Inclement/Adverse Weather policy, which outlines general arrangements when bad weather occurs and when it is difficult for staff to get to work. The policy also explains that the University issues instructions arising from specific situations, such as early closure if bad weather takes hold during the day. Further details are at:

<https://www.gla.ac.uk/myglasgow/humanresources/a-z/adverseweather/>

In early March, the University and the country as a whole were badly affected by heavy and prolonged snowfalls. The weather caused severe disruption for students and staff working at all campuses and other locations.

While classes were cancelled for three full days, we kept key buildings such as the Library and the Fraser building open. The Library in particular was

heavily used by students throughout the period. Staff were advised to heed local weather and traffic advice and only come to work if it was safe to do so.

Tremendous efforts were made by Estates and Commercial Services teams to clear access at Gilmorehill and Garscube. IT Services worked to maintain systems, and student and staff IT Helpdesks in the Library were fully operational during the period. IT specialists also worked to increase capacity on the remote connection services, for people working from home. Other staff also made a vital contribution, for example looking after animals in the Small Animal Hospital and in research facilities.

Managers and trade union representatives have since met to review the actions taken and identify lessons we can learn for the future.

B.11 *General Council Assessors on Court*

Dr Morag Macdonald Simpson and Ms Lesley Sutherland have been reappointed as General Council Assessors on Court for 4 years from 1 August 2018.

B.12 *SRC Elections*

The following candidates were successful in the Spring 2018 SRC elections and will take up sabbatical officer posts on 1st July 2018:

President: Lauren McDougall

VP Education: Emma Hardy

VP Student Support: Fatemeh Nokhbatolfoghahai

VP Student Activities: Scott Kirby

Getting ready for GDPR

The General Data Protection Regulation (GDPR) comes into force on 25 May 2018. To determine the University's readiness for GDPR, an audit was performed by PwC in the autumn of 2017. That audit identified two high risk findings (lack of a programme or plan to prepare for GDPR and a lack of awareness, training and cultural change required for GDPR) and two medium risk findings (poor understanding of data held across the University and policies and procedures not fit for GDPR).

Since then a programme has been put in place to actively prepare for GDPR; this is overseen by a governance board with representation of all types of personal data and all parts of the University. Awareness of GDPR, and the changes requiring to be made, has been raised across the University through a series of articles in MyGlasgow News, through presentations to meetings (including existing fora, Schools etc.), bespoke training sessions, in addition to pop-up events taking place across the University. This awareness-raising work is continuing. A key message is minimising data that is held including deleting it if it is no longer required.

All parts of the University have been asked to complete a questionnaire to help document what personal data the University holds, where it comes from, why we hold it and who it is shared with. This request has gone to all corporate information system owners as well as to all Schools, Research Institutes, College Offices and Services to capture the information that they hold outside of the corporate systems. Support in responding to the questionnaire is being provided by the Data Protection/FOI Office and IT Services. The questionnaire covers how the information is stored, where it is stored, how it is managed, how it is documented, what security controls are in place, how the data is used including identifying the legal basis for processing, and the risks associated with use or disclosure of the information. Copies of the questionnaire are available on request. The result of the questionnaire will be an information asset register that will help prioritise our GDPR plan and aid or assist our compliance as well as improving our data governance.

Early priorities evident from the questionnaires returned include the need to formulate and apply retention schedules (in some cases working with our software suppliers on providing the capability to delete records), establishing the most appropriate approach to the processing of the personal data of key contacts including applicants for places and alumni, and ensuring the development of our systems and processes to enhance communication with data subjects and allow them to exercise their new and enhanced rights under GDPR.

The Information Commissioner's Office has published a document identifying 12 Steps to Prepare for GDPR. The table below identifies how the University is ensuring progress on each of the 12 points for action:

Information Commissioner's Office (ICO) 12 Steps to prepare for GDPR	UoG Action
1 Awareness Ensure decision makers and key people in your organisation are aware that the law is changing to the GDPR and appreciate the impact this is likely to have.	Brief to SMG Nov-17 and communications running during 2018

<p>2 Information you hold</p> <p>Document what personal data you hold, where it came from and who you share it with. You may need an information audit.</p>	<p>Information Asset Register</p>
<p>3 Communicating privacy information</p> <p>Review your current privacy notices and put a plan in place for making any necessary changes in time for GDPR implementation.</p>	<p>DP/FoI drafting/revising main notices (students, staff, alumni, applicants) and Privacy Notice template writer being piloted</p>
<p>4 Individuals' rights</p> <p>Check your procedures to ensure they cover all the rights individuals have, including how you would delete personal data or provide data electronically and in a commonly used format.</p>	<p>Information Asset Register</p>
<p>5 Subject access requests</p> <p>Update your procedures and plan how you will handle requests within the new timescales and provide any additional information.</p>	<p>DP/FoI procedure & staff awareness</p>
<p>6 Lawful basis for processing personal data</p> <p>Identify the lawful basis for your processing activity in the GDPR, document it and update your privacy notice to explain it.</p>	<p>Information Asset Register</p>
<p>7 Consent</p> <p>Review how you seek, record and manage consent and whether you need to make any changes. Refresh existing consents now if they don't meet the GDPR standard.</p>	<p>Information Asset Register</p>
<p>8 Children</p> <p>Think now about whether you need to put systems in place to verify individuals' ages and to obtain parental or guardian consent for any data processing activity.</p>	<p>Information Asset Register</p>
<p>9 Data breaches</p> <p>Make sure you have the right procedures in place to detect, report and investigate a personal data breach.</p>	<p>DP/FoI and IT Services are reviewing and linking to Information Security processes</p>
<p>10 Data Protection by Design & Data Protection Impact Assessments</p> <p>Familiarise yourself now with the ICO's code of practice on Privacy Impact Assessments (PIA) and the latest guidance from the Article 29 Working Party, and work out how and when to implement them in your organisation.</p>	<p>UoG PIA is in development, aligned to new risk categories and project management</p>

The final two steps, *11 Appoint a Data Protection Officer*, and *12 International, identify your lead data protection supervisory authority*, have been dealt with within Strategy and Planning.

D A Welch
3 April 2018

External Review of Court, 2018

Questions for the review:

1. Are the distinction between governance and management and the need for constructive challenge by the governing body understood and accepted by Court and Senior Management Group, with appropriate and effective outcomes?
2. Does the Court meet its responsibilities for overseeing the development of strategy and monitoring the University's performance?
3. Is the Committee structure effective and appropriate?
4. Are the main Committees of Court effective in overseeing specific aspects of business (for example, the campus development programme and the transformation programme) and in providing advice to Court?
5. Does Court have sufficient opportunity to discuss and debate major issues?
6. Does Court make effective use of the informal lunchtime presentations slot?
7. What improvements if any could be made to the induction process and to the way serving members of Court are kept informed about the business of the University outwith the formal meetings?
8. In general, does the Court offer 'value added' to the University – for example by ensuring effective decision making, balancing ambition and risk, and protecting the reputation and standing of the University?
9. Is the interaction between Senate, Court and senior management effective and appropriate?
10. Is the interaction between Court and the staff and student communities effective and appropriate?
11. Are the staff and student voices heard clearly at Court?
12. Are there any areas of expertise which are missing in the current lay member complement?
13. Is there sufficient diversity in the lay member complement?
14. What improvements if any could be made to the:
 - a) preparation of papers and data for Court?
 - b) way meetings of Court are run?
 - c) presentations made to Court?

The process to comprise:

i. Attendance at the following meetings/interviews with key individuals:

May: 16th Estates Committee and meeting with chair of EC / Court members.

23rd Audit & Risk Committee and meeting with Chair/members.

30th / 31st Finance Committee and HR Committee and meetings with Chair/other Committee members/senior management .

June: 20th Court meeting, meeting with Convener, student/staff reps and other Court members

Summer: a meeting of Court Governance working group.

September: 28th Court Strategy Day.

- ii. Undertaking a questionnaire of Court members (questions to align with those on p1).**
- iii. Reviewing Court and Committee papers for recent session(s) and reviewing background documents about governance arrangements and how they operate.**
- iv. Drafting answers to the pre-defined questions - drawing on the views of individuals, plus observations by reviewer and University Secretary/Clerk to Court.**
- v. Identifying recommendations for action in the light of those answers.**
- vi. Seeking agreement to the answers and recommendations, from the Court Governance working group (including meeting with the group).**
- vii. Seeking Court's approval for the final document.**

Court Context Card - Court 11 April 2018 - Finance Committee Report

Speaker	Graeme Bissett
Speaker role	Finance Committee Convener
Paper Description	Finance Committee Report to Court from meeting on 28 March 2018
<i>Topic last discussed at Court</i>	Feb-18
<i>Topic discussed at Committee</i>	Mar-18
<i>Committee members present</i>	Court members present at last meeting: Graeme Bissett, Simon Kennedy, Ronnie Mercer, Anton Muscatelli, Elspeth Orcharton, Elizabeth Passey (by telephone), Kate Powell
<i>Cost of proposed plan</i>	
<i>Major benefit of proposed plan</i>	
<i>Revenue from proposed plan</i>	
<i>Urgency</i>	High
<i>Timing</i>	Immediate
<i>Red-Amber-Green Rating</i>	Green
<i>Paper Type</i>	Discussion
<i>Paper Summary</i>	<p>FC/2017/62 - Finance Committee noted an update on the Capital Programme</p> <p>FC/2017/63 - Finance Committee approved 3 Capex applications</p> <p>FC/2017/66 - Finance Committee noted the Investment Reports</p> <p>FC/2017/74 - Finance Committee noted a report showing the Overview of Performance as at 28 February 2018</p>
<i>Topics to be discussed</i>	Progress of Capital Projects; Capex Applications approved; Investment Reports; Period 7 Overview of Performance.
<i>Action from Court</i>	Items for noting.
<i>Recommendation to Court</i>	
<i>Relevant Strategic Plan workstream</i>	Agility, Focus
<i>Most relevant Primary KPI it will help the university to achieve</i>	Cash generation
<i>Most relevant Secondary KPI it will help the university to achieve</i>	
<i>Risk register - university level</i>	5. Financial Resource
<i>Risk register - college level</i>	
<i>Demographics</i>	
<i>% of University</i>	<ul style="list-style-type: none"> 100% undergraduates 100% postgraduates 100% home students 100% overseas students 100% staff
<i>Operating stats</i>	
<i>% of</i>	<ul style="list-style-type: none"> 100% revenues 100% of costs 100% of profits 100% real estate - land 100% real estate - buildings 100% of total assets 100% of total liabilities
<i>Campus</i>	All
<i>External bodies</i>	
<i>Conflict areas</i>	
<i>Other universities that have done something similar</i>	
<i>Other universities that will do something similar</i>	
<i>Relevant Legislation</i>	
<i>Equality Impact Assessment</i>	
<i>Suggested next steps</i>	
<i>Any other observations</i>	

University of Glasgow
Finance Committee
Minute of Meeting held on Wednesday 28 March 2018
Committee Room 251

Present:

Mr Graeme Bissett (Convener), Mr Robert Fraser, Prof Neal Juster, Dr Simon Kennedy, Prof Sir Anton Muscatelli, Ms Elspeth Orcharton, Ms Elizabeth Passey (via teleconference), Ms Kate Powell, Mr Iain Stewart

In attendance:

Mr Ronnie Mercer, Dr David Duncan, Ms Brenda Massie, Ms Fiona Quinn

Apologies:

Mrs Ann Allen, Mr Gregor Caldow, Ms Heather Cousins, Prof Nick Hill, Mr Gavin Stewart

FC/2017/58. Summary of main points

- A report providing an overview of progress on the campus development was discussed, noting that there had been substantial movement in the timing though not the quantum of expenditure compared to the profile discussed at the previous Committee meeting. Expenditure planned for the current and succeeding year was now forecast to arise in the period 2019-2022 and expenditure planned for the period beyond 2023 was now planned to be accelerated. The Committee requested more detail on the movements and it was explained that a further full evaluation was underway in the context of the Capital Plan supporting the Budget for 2018-19.
- The Committee reviewed the Summary of the Risk Register provided, noting that while in overall terms the programme risk profile appeared to be stable, changes from the version reviewed at the previous meeting were not explained. The Committee requested that version-to-version explanations be provided at future meetings, a request that had also been tabled by the Estates Committee.
- Three Capex applications were considered and approved, with aggregate capital spend of £1.95m. Funding for all projects was included within the approved Capital Plan. One of the applications related to fire safety improvement works in the Queen Margaret Union and the Committee were assured that a systematic process to identify such requirements was executed under the oversight of the Health, Safety & Wellbeing Committee.
- The Committee noted a report providing a view of endowment investment performance against targets. Performance would continue to be monitored as the year progressed.
- Papers from the previous meeting of the Investment Sub-Committee, which oversees the management of liquid funds aggregating £210m, were discussed and noted. The future operation of the Endowment Investment Advisory Committee and the Investment Sub-Committee was under review to assess whether there was a more efficient way to monitor the aggregate of endowment and liquid funds.

- The Committee received a comprehensive update on the budgeting process and overview of cash flow forecasting, noting that the University Budget and Financial Forecasts would be considered in detail at the May meeting including updates on the forecasts presented at this meeting. The overall picture remained in line with previous expectations, subject to the evolution of the capital expenditure profile.
- The outlook for the full financial year was discussed and it was noted that outturn remained in slightly ahead of budget, with a stronger than budget short-term cash flow performance due to capital expenditure deferral and working capital.

FC/2017/59. Declarations of Interest

No new declarations were made.

FC/2017/60. Minutes of the meeting held on Thursday 1 February 2018

The minutes of Finance Committee held on 1 February 2018 were approved.

FC/2017/61. Matters arising

FC/2017/61.1. Capex Application Summaries – PGT Learning and Teaching Space (Item FC/2017/48 refers)

At its last meeting, the Committee had approved a Capex application for up to £2.39m for PGT Learning and Teaching Space and had requested a breakdown of spend and the DCF for this project. This would be circulated to members.

FC/2017/62. Capital Programme Update and Capital Expenditure as at 28 February 2018 (papers 5.1 and 5.2)

Finance Committee received an update on current capital projects and a summary of progress of the capital plan. It was noted that the underspend reported was due to a delay in the Learning and Teaching Hub build, and delayed start on site of the Research Hub. In the case of the L&T Hub, some time had been made up and the Committee noted the project was now one week behind. In the case of the Research Hub, the anticipated delay was due to identification of additional asbestos during demolition of the Western Infirmary.

The Convener noted that there was substantial movement in the timing though not the quantum of expenditure compared to the profile discussed at the previous Committee meeting. Expenditure planned for the current and succeeding year was now forecast to arise in the period 2019-2022 and expenditure planned for the period beyond 2023 was now planned to be accelerated. The Committee requested more detail on the movements and it was explained that a further full evaluation was underway in the context of the Capital Plan supporting the Budget for 2018-19. In future, it would be important for the Committee to receive more detailed explanatory narrative and also a version-to-version trail on reports for future meetings. The Convener of Estates Committee confirmed that this information would also be welcomed by Estates Committee members.

The Committee reviewed the Summary of the Risk Register provided, noting that while in

overall terms the programme risk profile appeared to be stable, changes from the version reviewed at the previous meeting were not explained. The Committee requested that version to version explanations be provided at future meetings, a request that had also been tabled by the Estates Committee.

The Committee noted the reports.

FC/2017/63. Capex Application Summaries (paper 5.3)

Finance Committee received three capital expenditure applications, summarised in the table below:

Project	Purpose of funding application	Total Projected Cost	Provision in capital plan	Other Funding Source	Value of funding sought under application	Action required
Gilmorehill / Queen Margaret Union / Fire Improvement Works	Full Business Case		Yes	N/A		Approval sought
Gilmorehill / Davidson Building / West Medical Refurbishment	Supplementary request		Yes	N/A		Approval sought
Gilmorehill / Rankine Building / Weides Lab	Full Business Case		Yes	N/A		Approval sought

In discussing the Capex applications, the Committee focused on the Fire Improvement Works in the Queen Margaret Union and sought clarification on the process by which fire safety inspections were carried out across the University estate. The Committee were assured that a systematic process to identify such requirements was executed under the oversight of the Health, Safety & Wellbeing Committee but that the Secretary of Court would provide the Committee with further information in this regard.

Finance Committee approved the Capex applications.

FC/2017/64. Status of Capital Grant Funding (paper 5.4)

Finance Committee noted the position with regard to capital grants related to previously approved Capex applications. Committee members were reminded that capital projects linked to external grant applications would proceed only if the bids were successful.

The Committee noted that the MIMUMED and Edge Wave Laser/Microwave System projects had not yet been funded and would not currently proceed.

Applications relating to the Insectary in the Jarrett Building, the Macromolecular Imaging Centre, and the E Beam had been successful and these three projects would proceed.

The outcome was still awaited on the EPSRC grant for the specialist Inkjet Printers.

FC/2017/65. Treasury Policy Updates (paper 6.1)

Finance Committee received a paper proposing two changes to the University's Treasury Policy.

The Committee approved both changes.

FC/2017/66. Investment Funds Performance (paper 7.1)

Finance Committee received reports on endowments investments.

The Chair of the Investment Advisory Committee, which oversees endowment investment performance, would be asked to attend a future meeting of Finance Committee.

FC/2017/67. Investment Sub-Committee Papers from the meeting held on 20 March (paper 7.2)

Finance Committee noted the papers and minutes from the meeting of the Investment sub-committee held via teleconference on 20 March. This Committee oversees the investment of liquid funds held aggregating £210m and which will be applied in due course to the campus development programme. It was agreed that the sub-committee would be known as the Operational Investment Sub-Committee in order to distinguish it from the Investment Advisory Committee.

There had been a discussion of the differences between the Operational Investment Sub-Committee and the Investment Advisory Committee (IAC). It was noted that the Operational Investment Sub-Committee was focused on managing short term counterparty risk and the limited returns available through investing cash until required for the campus development programme, whereas the IAC meets twice a year and is focused on providing oversight on endowment investment performance, with a longer term focus.

The Operational Investment Sub-Committee had agreed to continue meeting but in parallel an evaluation would be prepared to assess whether there was a more efficient way to monitor the aggregate of endowment and liquid funds.

FC/2017/68. University Cash Flow Forecast (paper 7.3)

Finance Committee received a paper setting out a more detailed explanation of the University cash flow forecasts and the rationale behind their preparation and monitoring. The Committee noted that an updated 20 year cash flow plan would be submitted as part of the current budget cycle.

The Committee discussed the need for a more detailed month-to-month cash flow for 2023-25 when the cash position was forecast to be lowest, acknowledging that the forward planning period was lengthy and subject to changes in assumptions and also queried what contingency

plans the University would put in place. The Director of Finance noted that the forthcoming tender exercise for operational banking would include provision of an overdraft facility of up to £50m for this purpose – noting that the facility would be available but not activated until/unless required. It was noted that the evaluation of the tenders would require to incorporate the financial and commercial terms, but also the legal interaction between a new debt facility and the facilities already held by the University. The Committee welcomed this action.

FC/2017/69. Treasury Audit Terms of Reference (paper 7.4)

Finance Committee noted that PwC would undertake a Treasury Review as part of the 2017/18 internal audit plan, approved by the Audit Committee.

The Committee noted the Terms of Reference of the Review.

FC/2017/70. Budget Update (paper 7.5)

The Committee received an update on the University 2018-19 planning process to date. Members noted the main issues which had emerged from budget meetings. The Senior Vice Principal informed Committee members that there was now more certainty with regard to SFC income, with an increase of 1.8% in 2018-19, assuming flat cash thereafter. The Committee would receive an update on the Transformation Programme at a future meeting.

In discussing the budget, the Committee touched on the issue of student accommodation costs, noting that the University now had discretion to set price increases and had done so in moving to reduce rent increases from the levels which would have arisen from application of the previous formula under the outsourced GSV arrangement. There were ongoing discussions with the SRC regarding accommodation costs and particularly quality. The Committee noted that the Director of Estates and Commercial Services was embarking on a review of the residence strategy which would include rent levels. The details of decisions on accommodation rents would be reflected in the 2018-19 budget for review at the Committee's May meeting.

FC/2017/71. TRAC (T) Return (paper 7.6)

The Committee received a briefing paper explaining the Transparent Approach to Costing for Teaching (TRAC (T)) process. The TRAC (T) return had been submitted at end of February 2018.

The Committee noted that the TRAC process had undergone significant changes, particularly with the introduction of the Margin for Sustainability and Investment Adjustment (MSI). As discussed at the previous Finance Committee meeting, there were concerns with this methodology. Primarily as a result of the MSI adjustment, subject related costs had reduced by £9.8m or 7.4%.

Members noted that prior year results had been used for the Russell Group comparison, as current year benchmarks had not yet been released. The University of Glasgow FACTS (full annual cost of teaching a student) for each subject are generally lower than the Russell Group with the exception of Veterinary Medicine.

The Director of Finance confirmed that notwithstanding misgivings about the methodology, the process had been followed correctly and the University was meeting its obligations as required by the Scottish Funding Council.

FC/2017/72. Trust update

The Director of Finance provided an update on the University of Glasgow Trust. As discussed at the previous meeting of Finance Committee, since 2016 donors to the University were being encouraged to make gifts direct to the University itself and not to the Trust. The University had opened a bank account with HSBC that could be used for philanthropic donations, and payments to this account would flow into University funds, allowing the Trust to be wound up in time. It was noted that all appeals to donors – including on the web pages – must be consistent in instructing donors to make gifts to the University and not to the Trust. Internal work to implement the change fully was ongoing and was expected to be finalised soon.

FC/2017/73. Online Distance Learning Partnership (paper 7.8)

The Committee received a paper prepared by the Vice Principal (Academic & Educational Innovation) outlining developments in relation to the support and expansion of online distance learning.

The Committee noted the paper.

FC/2017/74. Overview of Performance as at 28 February 2018 (paper 8.1)

The Group Financial Controller presented the overview of performance for Period 7.

The projected surplus at full year was £5.8m (£8.2m higher than budget) and under FRS 102 the projected surplus stood at £23.9m, £6.2m ahead of budget. Tuition fees were £4.3m ahead of budget, and salaries were £3.6m lower than budgeted.

The short and long term cash flows were noted. The University had generated cash from operations of £35.7m. The positive cash variance was mainly attributable to delays in capital spend, amounting to an underspend of £44.8m. The Committee noted that the capital expenditure which was forecast to be spent before the year end was very significant, including £23m in June/July.

FC/2017/75. Debtors Reports as at 28 February 2018 (paper 8.2)

Finance Committee received an update on debtors as at 28 February 2018. Overall debt stood at £41.69m in comparison to £47.94m at February 2017.

Student and sponsor aged debt had reduced by £2.96m in the year, including reduction of £2.4m in sponsor debt due to quicker billing and collections. Commercial aged debt had reduced by £3.1m in the year.

FC/2017/76. AOB

Finance Committee was notified that the University's overdraft facility with the Clydesdale Bank was due for renewal. The Committee agreed that the facility should be renewed on the same basis as before.

FC/2017/77. Table of Actions

Action	Date Due	Notes
Circulate the DCF and breakdown of spend for the PGT Learning & Teaching Space Capex application	Ahead of next meeting	Director of Estates and Commercial Services
Incorporate further narrative and version-to-version trail in Capital Programme expenditure and risk reports	30/05/18 and future meetings	Director of Estates and Commercial Services
Provide information on fire safety inspections and rationale for undertaking fire improvement works	30/05/18	Secretary of Court
Invite Chair of IAC to future meeting	Ahead of next meeting	Convener/Clerk
Outcome from assessment of investment sub-committee structure and roles	30/05/18	Director of Finance
Outcome of discussions with Royal London and their report on fund performance	30/05/18	Director of Finance
Committee to be advised of results from banking tender and overdraft facility	When available	Director of Finance
Produce paper setting out actions to manage cash position between 2023 – 2025	30/05/18	Director of Finance
Provide feedback on TRAC results across the sector	When available	Group Financial Controller
Monitor capex applications approved subject to final agreement of grant funding	On a rolling basis	

FC/2017/78. Date of next meeting

30 May 2018, 2.00pm, Melville Room.

Prepared by: Fiona Quinn, Clerk to Committee, Fiona.Quinn@glasgow.ac.uk

Court Context Card - 11 April 2018 - Report from Estates Committee

Speaker	Mr Ronnie Mercer
Speaker role	Estates Committee Convener
Paper Description	Report from Estates Committee (7 March 2018 meeting)
Topic last discussed at Court	Feb-18
Topic discussed at Committee	Various
Committee members present	Professor L Farmer, Mr R Mercer (Convener), Ms K Powell, Dr B Wood
Cost of proposed plan	Various
Major benefit of proposed plan	
Revenue from proposed plan	
Urgency	Various
Timing	Short, Medium and Long Term
Red-Amber-Green Rating	Not Applicable
Paper Type	Information
Paper Summary	Minutes including update on Capital programme and Project progress/approval
Topics to be discussed	
Action from Court	<p>Court is asked to NOTE the following:</p> <p>Estates Committee's approval of CapEx applications:</p> <p>Estates Committee's approval of CapEx applications: Gilmorehill/Queen Margaret Union/Fire Improvement Works in the sum of £950k (EC/2017/33.2 refers); Gilmorehill/Davidson Building/West Medical Refurbishment in the sum of £224,520 (EC/2017/33.3 refers); and Gilmorehill/Rankine Building/Weides Laboratory in the sum of £780k (EC/2017/33.4 refers)</p>
Recommendation to Court	Note as above
Relevant Strategic Plan workstream	People, Place and Purpose
Most relevant Primary KPI it will help the university to achieve	All
Most relevant Secondary KPI it will help the university to achieve	Effective use of the Estate
Risk register - university level	Delivery of campus development programme
Risk register - college level	Not Applicable
Demographics	
% of University	100% staff and students
Campus	Entire University Estate (all campuses)
External bodies	Not Applicable
Conflict areas	Not Applicable
Other universities that have done something similar	
Other universities that will do something similar	
Relevant Legislation	Building and Planning legislation
Equality Impact Assessment	On a building by building basis/by CapEx, where applicable
Suggested next steps	
Any other observations	

UNIVERSITY of GLASGOW
Estates Committee

Minute of the meeting held in Hunterian Board Room, Kelvin Hall on Wednesday 7 March 2018

Present: Mrs A Allen, Professor L Farmer, Mr R Fraser, Professor N Juster, Mr R Mercer (Convenor), Ms K Powell, Mr A Seabourne, Dr B Wood.

In Attendance: Mrs N Cameron, Mrs L Duncan (Clerk), Mr P Haggarty, Mr R Smith.

Apologies: Dr D Duncan, Mr D Milloy, Professor A Muscatelli (Principal), Mr D Smith.

EC/2017/29 Minute of the meeting held on 15 January 2018

The minute was approved as an accurate record.

EC/2017/30 Matters Arising

There were no matters arising.

EC/2017/31 Declarations of Interest

There were no declarations.

EC/2017/32 Capital Programme Update

EC/2017/32.1 Capital Programme Governance Board Report

The Committee noted the summary report and key activities during the last two months. It noted the **green** RAG status of all major projects.

EC/2017/32.1.1 Major Project Dashboard Reports

The Committee noted the current **green** status of all major project workstreams.

Workstream 1b (Infrastructure) – Enabling Works

The Committee noted that demolition of the Phase 1 Building had been completed with no significant issues. A delay of eight weeks was noted due to a delay in receiving Demolition Warrants and additional asbestos removal works.

EC/2017/32.1.2 Cost Report (Number 9)

The Committee noted the report. In respect of the Learning and Teaching Hub the majority of Compensation Events were covered by sums identified within the budget and would not impact the contingency sum.

It was agreed that the column relating to Capital Plan (February 2018) would be removed.

EC/2017/32.2 Capital Projects Governance Board Report

EC/2017/32.2.1 Summary Report

The Committee noted the report and the current **green** status of: College of Arts; Adam Smith Business School; Institute of Health and Wellbeing; Research Hub; and Joseph Black Building (Professor Skabara Laboratory, Fabric Repairs and Corr Laboratory).

It noted the **amber** status of the Learning and Teaching Hub, primarily due to weather-related time loss and Joseph Black Building (Fire Upgrades) which had potential for additional cost due to an earlier delay in obtaining a Building Warrant.

The Committee noted the on-going difficulties in obtaining Building Warrants generally. In order to maintain progress on business critical projects, exceptionally, it may be necessary to proceed ahead of warrants being formally granted.

EC/2017/32.2.2 Project Dashboard Reports

The current status of the major projects was noted.

The Committee noted that current costs for the Institute of Health and Wellbeing project sit higher than the sum allocated within the Capital Plan. This was primarily due to a change in the design of the building which had been necessary to address the anticipated level of use, the need to deliver on the strategic imperative for Placemaking and to ensure that the final design was truly transformational.

EC/2017/33 CapEx Committee Report

EC/2017/33.1 CapEx Application Summary

The summary was noted.

EC/2017/33.2 Gilmorehill/Queen Margaret Union/Fire Improvement Works

The Committee noted and approved the CapEx application in the sum of £950k for essential fire improvement works throughout the Queen Margaret Union building. It was agreed that the Secretary of Court would be asked to update the Committee on the University strategy in respect of student unions.

EC/2017/33.3 Gilmorehill/Davidson Building/West Medical Refurbishment

The Committee noted and approved the CapEx application in the sum of £224,520 for the reconfiguration of space to accommodate the Medical Veterinary and Life Sciences Human Resources Team. It noted that a sum of £4,215,886 had previously been approved for related works and that the total for those works and the additional works currently being considered was £4,440,406 (£90,406 above the Capital Plan allowance).

EC/2017/33.4 Gilmorehill/Rankine Building/Weides Laboratory

The Committee noted and approved the CapEx application in the sum of £780k for the creation of a new Quantum Technology Laboratory.

EC/2017/34 Control and Monitor Reports

EC/2017/34.1 RAG Report

The Committee noted that since its last meeting one project had completed: Gilmorehill/Joseph Black Building/Corr Laboratory.

Two projects were noted as **red**: Gilmorehill/New Build/Data Annexe; and Gilmorehill/Kelvin Building/Essential Works.

Ten projects were noted as **amber**.

EC/2017/34.2 Risk Register - The Committee noted the current Risk Register and that there were currently ten **red** risks.

EC/2017/34.3 Programme - The Committee noted the current Master Programme.

EC/2017/34.4 Health and Safety Dashboard - The Committee noted the workstream status as **green**.

EC/2017/35 Estates Reports

No items to consider.

EC/2017/36 Any Other Business

EC2017/36.1 Parking Permit and Enforcement Scheme

The Committee noted the draft proposal, previously endorsed by SMG, which outlined the process for the management of campus car parking. It agreed that a clear communication plan should be developed and implemented ahead of launch of the new scheme and that this should include communication with residential neighbours.

EC/2017/37 Schedule of Meetings for 2017/18

The schedule of dates was noted:

16 May 2018

Court Context Card 11 April 2018 - Audit & Risk Committee

Speaker	Ms Heather Cousins	
Speaker role	Audit & Risk Committee Chair	
Paper Description	Minute of Committee meeting 21 February 2018 Audit & Risk Committee Annual Plan 2017/18 and forward plan	
Topic last discussed at Court	Last Audit & Risk Committee report December 2017	
Topic discussed at Committee	See paper summary section.	
Committee members present	Heather Cousins, Lindsay Farmer, Lesley Sutherland	
Cost of proposed plan		
Major benefit of proposed plan		
Revenue from proposed plan		
Urgency	Low	
Timing	NA	
Red-Amber-Green Rating	Green	
Paper Type	Information	
Paper Summary	The Committee received internal audit reports on reviews of: Payroll; Staff Global Mobility; and also received the updated 1718 Audit Plan and draft plan for 2018-20, which will be reviewed further at the next meeting. The Committee received the updated University Risk Register. The Committee received an update on Implementation of Outstanding Recommendations from prior internal audits	
Topics to be discussed	As Court wishes	
Action from Court	To note and discuss if desired.	
Recommendation to Court	To note.	
Relevant Strategic Plan workstream		
Most relevant Primary KPI it will help the university to achieve		
Most relevant Secondary KPI it will help the university to achieve		
Risk register - university level		
Risk register - college level		
Demographics		
% of University	100% Cross University application on several items	
Operating stats		
% of		
Campus	All	
External bodies		
Conflict areas	None Highlighted	
Other universities that have done something similar		
Other universities that will do something similar		
Relevant Legislation	Statements of Recommended Practice (for audits)	
Equality Impact Assessment		
Suggested next steps	N/A	
Any other observations		

UNIVERSITY OF GLASGOW
Audit & Risk Committee

Minute of Meeting held on Wednesday 21 February 2018
in the Melville Room, Main Building

Present:

Mr Simon Bishop (SB) (by telecon), Ms Heather Cousins (HC) (chair), Professor Lindsay Farmer (LF), Mr Vincent Jeannin (VJ), Ms Lesley Sutherland (LS), Mr David Watt (DJW)

In attendance:

Dr David Duncan, COO & University Secretary (DD), Mr Gregor Caldow, Group Financial Controller (GC), Ms Denise Gallagher (PWC) (DG), Ms Deborah Maddern (Clerk) (DM), Mr Stephen Reid (Ernst & Young) (SR), Dr Dorothy Welch (Deputy Secretary) (DAW)

Apologies: Mr Ken Baldwin (Ernst & Young) (KB), Mr Robert Fraser (Director of Finance) (RF), Professor Sir Anton Muscatelli (Principal) (AM), Ms Lindsey Paterson (PWC) (LP),

AUDIT/2017/22 Declarations of Interest

There were no declarations of interest.

AUDIT/2017/23 Minutes of the meeting held on 7 November 2017

The minutes were approved.

AUDIT/2017/24. Matters Arising

The internal audit plan and risk register items were dealt with under the main agenda items. There were no other matters arising.

AUDIT/2017/25. Internal Audit Update

25.1. Summary report (Internal Audit Progress Report to February 2018)

In addition to internal audit reviews reported at the present meeting, the auditors had conducted a review of the operating effectiveness of compensating controls that were in place to respond to findings from previous Internal Audit findings. Where management had identified compensating controls to reduce the residual risk associated with outstanding recommendations, the auditors had confirmed the controls were in place and operating effectively.

The Committee asked for the full report to be circulated for the next meeting.

ACTION PWC

It was noted that the reports for scheduled reviews relating to the James Watt Nanofabrication Centre JWNC and Imaging Centre of Excellence ICE would come to the next meeting.

With regard to the scoping of the review of the Project Management Office PMO, the Committee's comments were sought. It was confirmed that best practice would be looked at, involving specialist teams from PWC, and that Estates Committee input would be sought, including input from lay members.

25.1.1 Payroll

The objective of the review had been to assess the design and operating effectiveness of key controls in place with regard to the Payroll function. The report classification was Low risk. Examples of good practice had been noted, and the majority of key controls found to be mostly well designed. There was one Medium-rated finding, three Low-rated findings and one advisory finding, the former relating to some instances where evidence of controls being applied was not retained. Management had accepted the findings of this review and had, or were in the process of, implementing its recommendations.

It was agreed that in relation to a low-rated finding about data security and the need for cabinets containing hard copy data to be locked, the auditors should consider adding in coverage of cabinets and hard copy data storage to the follow-up audit on the General Data Protection Regulation.

ACTION PWC

LF noted that the recent problems about payment of Graduate Teaching Assistants GTAs had not been covered by the scope of the audit. It was agreed that DD would discuss the matter with the auditors to scope out a separate review, which might be covered by the 2018 contingency.

ACTION DD/ PWC

25.1.2 Staff Global Mobility

The University had many international connections, including collaborations in Singapore and China. In addition, academic staff carried out research worldwide, and there were regular lectures and visits by overseas academic staff to Glasgow, and many instances of Glasgow staff doing the same overseas. The review had focused on employment taxes, international mobility, short-term business visitors, and remuneration, in this context. The report had been classified as High risk, with two High rated findings and two Medium rated findings.

The report had noted that the global mobility strategy was at an early stage, with no formally agreed accountability and ownership of it within the University, with Colleges taking an individual approach to the matter. In this context, there were High risk issues relating to: the inability to track and record business visitors accurately, both into and out of the UK and globally, which could create problems relating to PAYE reporting, visa/Immigration failures, inaccurate cost recording for budgetary purposes, and security risks for those not tracked into disaster/war zones. There were also potential reputational risks and risks relating to tax/pay and related compliance.

The report noted that senior managers had taken ownership of action points, with target dates for action in the current session, which it was acknowledged was challenging given the volume of global travel. It was noted that there were alerts relating to staff travel in dangerous zones. A comment was made that some more granularity might be required in the analysis of the areas reviewed, given the very many different types of activity that staff undertook, both inwards and outwards. It was explained that the review had been at a relatively high level, but that tax and other financial implications could be relevant whatever the circumstances. It was agreed that the areas examined would be looked at in more depth as separate audits in the future, and that the interaction with the travel agency and insurance arrangements at the University were also relevant. Student Mobility might also be looked at as a separate review.

ACTION DD DAW RF GC PWC

25.2 Internal Audit Risk Assessment and Draft Plan 2018-20

It was noted that the 'longlist' of areas under the Administration and Infrastructure section of the plan was for consideration by management and then the Committee, as possible areas for review. It was likely however that the three year plan would cover all these areas in due course, unless there were changes to the risk horizon. It was agreed that all members of senior management would be included in discussions about possible areas of review where applicable, although it was noted that in addition to those who attended Audit & Risk Committee meetings, discussions were

already held with some other members of SMG, and topics for inclusion in the plan were also considered at the annual Risk Workshop. As part of obtaining input, DD would include the draft plan on a future agenda for SMG.

ACTION DD

It was agreed that the Transformation Project should be included in the plan. Reference to TEF would be removed for the time being, but might be included in the future. As had been discussed earlier in the meeting, inclusion of coverage of Student Mobility and GTA payments would be discussed. Consideration would be given also to including an audit relating to the recent OSCR requirement about Safeguarding assurances. It would be important to ensure that timings of audits were spread out over the reporting quarters, to ensure a balanced flow of reports to the Committee. In terms of presentation, it was requested that the colour contrasting be improved.

ACTION UoG Management/PWC

It was requested that the scopes for a number of proposed audits, including those on Cyber Security, Procurement, Contracts and Payroll, be further defined. It was also requested that the contingency be monitored carefully.

ACTION UoG Management/PWC

It was agreed that the plan for 2017/18 would be signed off, with the plan to come back to the May 2018 meeting for further consideration of proposed audits beyond the current year.

ACTION PWC

25.3 Internal Audit Charter

The charter provided the framework for the conduct of the internal audit function at the University. It had been created with the objective of formally establishing the purpose, authority and responsibilities of the function. The charter had been approved following the previous appointment of PWC in 2014.

It was suggested that the document should include some reference to monitoring of stakeholder satisfaction with the service, and to KPIs. Some of this information was already included in PWC's annual reports. DG would discuss further with PWC and an updated document produced. It would be put on the website and referred to as a link for information for those services and areas being audited.

ACTION DG/PWC

AUDIT/2017/26. Risk Management (Strategic Risk Summary)

26.1 University Risk Management Policy and Risk Register

At the last meeting, the Committee had requested that the register be revised, in both form and content. The Committee had also asked that consideration be given to including a reference to risk appetite, and to including scoring and RAG status.

DD explained that the refreshed document had been produced following a review of corporate risks and the presentation of these, from first principles, to provide clearly defined risks, including their background and details of control and actions. RAG scoring had been introduced. The SMG had been involved in discussions about content, with individual risk owners contributing to the text. The Risk Management Policy had also been reviewed and refreshed, with changes made including a reference to risk appetite.

It was noted that some minor presentational issues would be corrected, and that Committee input was now being invited, ahead of the document being circulated for the Risk Workshop.

In discussion, it was agreed that the policy should further clarify roles and responsibilities and the flow of delegation/accountability, and that consideration should be given to: making reference to a RACI matrix, possibly in an appendix; some detail being provided on how the various risk registers across the University interacted with the institutional one; some background to methodology, including consideration of impact, being included in the policy; the possibility of charts/visual aids being included, one of these to include impact; and inclusion of a summary page in the main register, showing basic risk names and their scores.

It was noted that risks currently in the register covered a wide area of University governance, in addition to finance-specific risks. The Committee noted that, connected to this, overall responsibility for the register should be reviewed, with an update provided in May. Other points referred to in the discussion would be covered further at the Risk Workshop in March.

ACTION DD

26.2 Risk Workshop 2018

The workshop would take place on 5 March. Simon Bishop and Vincent Jeannin from the Committee, and Ronnie Mercer from Court, would be attending as externals from the University governance structure.

AUDIT/2017/27. Implementation of Outstanding Recommendations

The update on implementation actions was noted. DAW advised that implementation of the Health and Safety audit recommendations was also relevant to the Global Mobility matter, therefore these areas would be looked at in the round. GC advised that actions against four High risk recommendations were all being progressed.

The Committee noted that there was co-ordination between the Data Governance review outcomes and the ongoing work relating to compliance with the General Data Protection Regulation, noting also that a tender was underway for software to assist effective management of GDPR requirements.

AUDIT/2017/28. Any Other Business

It was noted that in relation to Emergency Planning, there was some dedicated resource for this area and for Business Continuity, particularly in high risk areas. There would be an exercise undertaken shortly.

The clerk would shortly circulate a questionnaire for the Committee's annual self-assessment.

AUDIT/2017/29. Date of Next Meeting

Wednesday 23 May 2018 at 2pm in the Melville Room

Court Context Card 11 April 2018 - HR Committee

Speaker	Ms June Milligan
Speaker role	HR Committee Chair
Paper Description	Draft minute of committee meeting held on 28 March 2018 (rearranged from 1st March)
Topic last discussed at Court	Last HRC report Sept 2017
Topic discussed at Committee	See paper summary section.
Committee members present	See Attached.
Cost of proposed plan	
Major benefit of proposed plan	
Revenue from proposed plan	
Urgency	
Timing	
Red-Amber-Green Rating	
Paper Type	Information
Paper Summary	Draft minutes of meeting held on 28 March 2018. Mrs Christine Barr provided an update to her Strategic update on HR matters. This included information regarding the ongoing dispute and recent industrial action in relation to proposed changes to the USS pension as well as the University's arrangements for addressing sexual harassment which prompted a detailed discussion. There were also updates on the Immigration landscape, Strategic Recruitment and the commencement of this year's pay negotiations as well as in regard to the review of the processes and employment framework for GTAs and Demonstrators. The Committee received a presentation from Ms Lesley Cummings regarding Pay Performance and Reward processes including strategic updates on PDR and Gender Pay. Mr Richard Cloughton introduced a discussion on the draft Personal Relationships Policy which was explored in some depth by the Committee. This will be presented to Court at its June meeting following wider consultation. Finally, the Committee also reviewed the latest set of MI along with the minutes of recent meetings of the EDSC and JCCN.
Topics to be discussed	
Action from Court	To note and discuss if desired.
Recommendation to Court	To note and discuss if desired.
Relevant Strategic Plan workstream	Agility, Focus, Empowering People
Most relevant Primary KPI it will help the university to achieve	Staff Engagement
Most relevant Secondary KPI it will help the university to achieve	Gender Equality/Service Delivery
Risk register - university level	1. Organisational Effectiveness 3. Immigration policy/EU staff & students - Staff Recruitment; 11. Organisational Culture; 10. Staff Development;
Risk register - college level	
Demographics	
% of University	100% staff and students
Operating stats	
% of	
Campus	All
External bodies	
Conflict areas	None Highlighted
Other universities that have done something similar	
Other universities that will do something similar	
Relevant Legislation	Employment legislation (UK & European)
Equality Impact Assessment	There are significant gender equality as well as safeguarding aspects to the various papers discussed by the Committee.
Suggested next steps	N/A
Any other observations	

UNIVERSITY OF GLASGOW
Human Resources Committee

Minute of meeting held in the Principal's Meeting Room, Main Building
on Wednesday 28 March 2018
Meeting re-arranged from 01 March due to adverse weather.

Present: Ms J Milligan (JM) (Chair), Mrs C Barr (CB), Dr D Duncan (DD), Professor K McCue (KM), Professor R O Maolalaigh (ROM), Mr R Goward (RG), Ms Margaret Anne McParland (MAP), Mr R Cloughton (RPC),

By Invitation: Ms L Cummings (LC) Item 4.

Apologies: Ms S Ashworth (SA), Professor C Goodyear (CG), Dr M Macdonald Simpson (MMS), Ms S Campbell (SC),

HR/17/23 Opening Remarks & Apologies
Update from meeting of Court/HR Committee Remit
JM opened the meeting and apologies were noted as above.

JM gave a brief update on matters of relevance from the last meeting of Court. There had been a discussion regarding sexual harassment and JM noted that HRC had a role to play in ensuring the University had appropriate measures in place to maintain a safe environment for all and support students and staff who may experience inappropriate behaviours. Industrial Relations matters had been discussed in relation to the current dispute regarding pensions and also in relation to organisational change and in particular the role of the Organisational Change Governance Group (OCGG). A discussion paper regarding the important governance role played by the OCGG would be brought to the next meeting of the HRC enabling MMS, who sits on the Group, to participate.

HR/17/24 Minute of Meeting held on 15 November 2017
The minute of 15 November was approved as a true record.

HR/17/25 Strategic HR Report
CB spoke to her report, updating items where matters had developed since it was initially prepared.

There had been significant employee relations activity in the period as a consequence of the proposed reform & benefit changes to USS in which the University has maintained its original position as previously reported and acknowledging the importance of securing the long term future of the scheme for both current and future members.

CB noted that the planned member consultation regarding proposed changes to USS is currently on hold and the associated dispute is ongoing. The strike action had received a high level of support from local members with the largest impact being felt in the Colleges of Arts and Social Sciences. A number of classes were cancelled and Senate were leading our response, with all staff working hard to minimise the impact on our student population. University Management had maintained a positive dialogue with UCU Glasgow representatives during the industrial action, resulting in a number of joint statements being issued. The current status was that UUK and UCU have proposed to jointly establish a panel to review the valuation of the pension fund and both parties are currently consulting their respective stakeholders. It was noted that the USS Trustees were due to meet on 10th April.

JM noted that Court members had been kept updated on the Industrial Action and MAP stated that she felt that generally staff appreciated the stance and approach adopted by the University. Finally, CB noted that UNISON has also now notified the Universities of its intention to ballot members in relation to the proposed changes to the scheme.

Separately CB noted that this year's pay negotiation round had begun with the first of three scheduled meetings having taken place at a national level.

In relation to Strategic Recruitment, CB was pleased to confirm the appointment of Chris Green to the new role of Chief Transformation Officer. It was agreed to invite him to attend the next meeting of the HRC.

Action: RPC

Bonnie Dean has been appointed to the role of VP – Corporate Engagement and Innovation. Meanwhile the appointments of the VPs of Research and Academic and Educational Innovation had both been extended.

In relation to recruitment, CB was pleased to report that the review of the recruitment process and structure was very much in the implementation phase, working towards a go live date at the end of April. The function had welcomed Martina Cooper to the team providing maternity cover for Tracey Stirling.

CB referred to the changes to the Immigration Landscape, welcoming the changes to Tier 1 (Exceptional Talent) arrangements whilst noting that, at a national level, the maximum number of Tier 2 visas had been reached in the current year, though the period ends at the end of March.

Prior to the next topic, JM reminded the Committee that she had previously declared her role as an Equality and Human Rights Commissioner and noted that the Commission had just published guidance for employers entitled *Turning the tables: ending sexual harassment at work*.

In relation to Sexual Harassment, CB spoke to the various arrangements that exist across the organisation as well as work that was ongoing to improve these. She noted that there were relatively few recorded staff cases relating to sexual harassment however she stressed the need to ensure there were different routes available to encourage affected staff to report and seek support. It was also agreed that there was a need to further raise awareness and the general profile of this issue and the University's strong stance against such behaviours. CB noted the potential for resources to be made available via the Scottish Government in relation to *Equally Safe HE*, part of Scotland's strategy for preventing and eradicating violence against women and girls. This would supplement existing training and support offered to staff and students.

It was noted that a summary report had been discussed at the March meeting of the EDSC and DD was to update Court further at its next meeting. He noted that the Respect Advisors Network had recently been expanded and it was felt there may be a need to recruit further, whilst ensuring that Advisors were matched to the demand such that they were gaining experience appropriately. JM reflected upon the pre-court session delivered by Mhairi Taylor which had been very well received. There was a brief discussion on the potential benefits of introducing an anonymous reporting tool whilst recognising that feedback from other HEIs in this regard was mixed. However as one potential route to support it was felt this should be explored further and would provide useful insights for the University and maybe a useful step in encouraging survivors to seek support. CB welcomed any challenge and ideas that members of the committee may wish to raise to ensure the University continued to improve in this area.

RPC provided a brief updated in relation to the review of the GTA process, noting that this was considering aspects of work allocation and appropriate time allowances for preparation and marking as well as ensuring the process of recruiting, contracting and paying GTAs (and Demonstrators) was put on a more secure footing going forward.

Finally, CB reported that a decision had been taken to schedule this year's bi-annual staff survey at the end of the summer following a procurement process which had selected a new supplier, ORC.

HR/17/26

Pay Performance and Reward Strategic Update

Lesley Cummings, Head of PPR, joined the meeting and delivered a comprehensive presentation on the various critical HR processes, managed from the Pay, Performance and Reward team.

The presentation included a detailed analysis of the results from the 2017 Performance Development Review (PDR) process, showing the overall distribution of ratings at a University level and by College/US as well as by grade. Participation rates in PDR remain strong and the on-line process is now well established. The statistics demonstrate that there is no discrepancy in terms of gender though it remains more likely for staff in higher grades to be rated as Exceptional. Those staff in grades 1-9 had received a one off reward payment with colleges and US managing reward to grade 10 staff based on an agreed budget window.

LC then spoke to the Reward and Recognition process, which allows teams to be nominated for one-off payments as well as individuals to seek accelerated incremental progression or movement into the contribution zone of their grade. It was noted that more might be done to publicise this process and ensure that applications are truly distributed across all job grades.

In relation to Academic Promotion, LC was pleased to highlight the increased pipeline of female staff progressing through the grades, in part supported by the Early Career Development Programme. The time spent at Grade 7 was now the same for male and female academics and application and success rates continue to be encouraging. This will assist the University to achieve its goal of reducing the gender pay gap and in relation to this LC reported the University's intention to publish data in line with the requirements in England as well as fulfilling our duties under the Scottish Public Sector Equality Duty (PSED). Additionally in future all pay elements, including allowances and non-fixed pay, will be included in these calculations and the committee requested that an update be provided once this analysis had been carried out.

Finally LC updated the Committee on the ongoing work to develop a Competency Framework for professional staff, building on the Glasgow Professional model.

HR/17/27 Policy Update – Personal Relationship Policy.

RPC introduced the draft policy which had been prepared by colleagues in the Equality and Diversity Unit and Senate in wide consultation with staff and student groups. JM invited comments from the committee and a full discussion was held. There was strong overall support for the policy and its stated goals.

Members of the Committee were keen to ensure that the rationale for the policy was set out clearly and the framework of guidance about appropriate behaviour was proportionate. Where the policy contained strong guidance, the basis for this must be made clear, e.g. compliance with safeguarding legislation. So, for example, on the draft text, before the Committee, it was asked that consideration be given to the statement that intimate relationships between staff and students were strongly discouraged. It was understood that in cases where a member of staff had a role in teaching, supervising or directly supporting the student such guidance may be appropriate. However, there was some concern that a blanket statement may appear to impact on individual's right to a private life and extend to situations where there was limited potential for conflict of interest, integrity or safeguarding concerns. The HR lead agreed to consider further how best to reflect this balance.

It was noted that consideration had been given in preparing this policy to having a separate policy for relationships between staff members but it was felt this wasn't appropriate, not least given the fact that many staff are also students at the University. It was suggested that a clear statement of what the University was **not** seeking to prevent may assist in enabling staff and students to understand when reporting a relationship may be necessary.

There was also discussion regarding the approach to reporting and recording relationships with some concerns expressed that providing too many routes for staff or students to report may give rise to complications regarding confidentiality and data capture. RPC noted that work was continuing in relation to data and privacy considerations and that legal advice would also be obtained. There was also a request that policies referenced in this one, e.g. the Disciplinary Policy, be reviewed in parallel with the introduction of this new policy, so that proper consideration be given to ensuring all those involved are appropriately supported and the University fulfils its duty of care as an employer to those against whom allegations may be raised.

It was agreed that allowing a short time more for consultation would be beneficial and that this would hence be brought back to HR Committee in May prior to being presented to Court at its June meeting. RPC would provide feedback from the Committee to EDU and Senate staff.

Action RPC.

HR/17/28 HR Analytics

RPC spoke briefly to the paper and a short discussion followed touching on gender pay, age demographics and the recruitment of Non-UK EU staff. In relation to the latter the fact that numbers of staff from the EU had increased, including those on open ended contracts was noted and welcomed. MAP noted that whilst staff and unions recognised the need to review allowances in relation to equal pay, it appeared that for those in higher grades the aim was to 'lift females' but

there was a concern that for those in lower grades the approach may be to reduce the pay of male colleagues.

HR/17/29 Draft Minutes of the JCCN & EDSC

Minutes of the above meetings were reviewed and noted.

HR/17/30 Matters Arising from 15 November 2017

The Committee noted that there were no outstanding actions, not covered in the HR Director's Report or other agenda items.

HR/17/31 Closing Remarks

There being no further business JM thanked the members of the Committee and the meeting closed.

HR/17/32 Date of Next Meeting

The next meeting is scheduled to take place on Thursday 31 May 2018 at 10am in the Melville Room.

DRAFT