



## AGENDA

### COUN21-A4

#### Notice of meeting

The next meeting of the University Council will be held on **Thursday 1 July 2021** at 1:30pm in the **Turing Room, Sir Denis Rooke Building and via MS Teams**.

Lunch will be available in the restaurant at 12.45pm.

#### 1 Business of the Agenda

Members are reminded that a starred item is approved at this stage unless notice is given of intention to speak to it. Any member wishing to speak to a starred item, to raise an item under any other business or to challenge the unconfirmed minutes is asked to give notice to the Secretary by **midday on Monday 28 June 2021**.

Members are asked to declare any interest they may have in an item at the start of the meeting.

Please note that the papers for items in Sections B and C are available at the following url:

<https://www.lboro.ac.uk/committees/council/meetings/1jul21/>

#### 2 Minutes

##### 2.1 Ordinary Meeting

COUN21-M1 – Minutes of the previous meeting.

To **CONFIRM** the minutes of the Ordinary meeting held on 16 March 2021.

##### 2.2 Extraordinary Meeting

COUN21-M3 – Minutes of the previous meeting.

To **CONFIRM** the minutes of the Extraordinary meeting held on 11 May 2021.

#### 3 Matters arising from the Minutes

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## SECTION A – Items for Discussion

#### 4 Chair's Report

To **RECEIVE** a verbal report from the Chair.

## 5 Starred Items

To **APPROVE** all starred items in Section B of the agenda.

## 6 University Strategy

### 6.1 Update on the Higher Education External Environment

COUN21-P38

To **NOTE** an update on the external environment in which the University operates and **COMMENT** on the highlighted issues.

### 6.2 Developing the University Strategy

COUN21-P39

To **NOTE** an update on progress.

### 6.3 Key Performance Indicators

COUN21-P40

To **NOTE** the KPIs that have been updated for this meeting.

## 7 University Finance

### 7.1 Financial Out-Turn 2020/21, Budget 2021/22 and Financial Forecasts 2022/23-2025/26

COUN21-P41

- i. On the recommendation of Finance Committee, to **APPROVE** for adoption by the University the estimated out-turn for 2020/21 and budget 2021/22.
- ii. To **NOTE** the University's initial forecasts for the period ending 31 July 2026, which will be brought to Council for approval in the autumn, prior to submission to the Office for Students (OfS) at the end of the calendar year.

### 7.2 Revolving Credit Facility

COUN21-P42

To **APPROVE** a one-year extension to the University's revolving credit facility including delegated authority to the Director of Finance to complete such legal documents as may reasonably be required on behalf of the University.

## 8 Race Equality Charter

COUN21-P43

To **ENDORSE** the proposed approach and the draft Race Equality Charter (REC) Submission.

*Secretary's Note: At the meeting of 16 March 2021, Council delegated authority to the Chair of Council to approve the Race Equality Charter for submission to Advance HE between meetings.*

## 9 Audit Committee

### 9.1 Report of Meetings

COUN21-P44

To **RECEIVE** a report from the meeting of the Audit Committee held on 10 June 2021.

## 10 Effectiveness Review of Council

COUN21-P45

To **NOTE** an update.

## 11 Capital Framework

### 11.1 Sport Park Pavilion 4

COUN21-P46

To **DELEGATE** authority to the Chair of Council to **APPROVE** a Stage D proposal for Sport Park Pavilion 4.

### 11.2 \*Progress Report

COUN21-P47

To **RECEIVE** a progress report.

## 12 Covid-19 Response

COUN21-P48

To **NOTE** an update on the University's response to the Covid-19 pandemic.

## 13 Appointment of Acting Vice-Chancellor

COUN21-P49

To **CONFIRM** the appointment of an Acting Vice-Chancellor and Accountable Officer.

## 14 Health, Safety and Environment Committee

### 14.1 Report of Meetings

To **RECEIVE** a verbal report from the meeting of the Health, Safety and Environment Committee held on 26 May 2021.

*Secretary's Note: Health and Safety Bulletins circulated since the last meeting are available [here](#).*

## 15 Nominations Committee

### 15.1 Membership of Council

COUN21-P50 (to be tabled – presentation)

To **APPROVE** the appointment of co-opted members of Council.

### 15.2 \*Nominations Committee Minutes

COUN21-P51

To **RECEIVE** minutes of the meetings of Nominations Committee held on 15 March and 20 May 2021.

## 16 Risk Management

COUN21-P52

To **APPROVE** the University's strategic risk register including risk evaluation and mitigating actions.

## 17 Amendments to Ordinances

## 17.1 Amendments to Ordinance XVII – First Hearing

COUN21-P53

On the recommendation of Senate, to **APPROVE** revisions to Ordinance XVII (Conduct and Discipline of Students).

## 18 Loughborough Students' Union Annual Report

COUN21-P54

To **RECEIVE** the Annual Report.

## 19 Matters for Report by the Vice-Chancellor

To **RECEIVE** a verbal report from the Vice-Chancellor.

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## SECTION B – Starred Items for Approval

### 20 \*Remuneration Committee

COUN21-P55

To **APPROVE** amendments to the composition of Remuneration Committee.

### 21 \*Tuition Fees

COUN21-P56

On the recommendation of Operations Committee, to **APPROVE** tuition fees for the 2022/23 academic year.

### 22 \*Ethical Policy Framework

COUN21-P57

To **APPROVE** the Ethical Policy Framework for 2021/22.

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## SECTION C – Starred Items for Information

### 23 \*Senate

COUN21-P58

To **RECEIVE** minutes of the meeting of Senate held on 10 March 2021.

### 24 \*Matters for Report

#### 24.1 \*Pro-Vice-Chancellor (Enterprise)

COUN21-P59

#### 24.2 \*Pro-Vice-Chancellor (Research)

COUN21-P60

### 24.3 \*Pro-Vice-Chancellor (Teaching)

COUN21-P61

## 25 \*Office for Students

### 25.1 \*Registration Conditions

COUN21-P62

To **NOTE** an update on compliance with the OfS' regulatory framework.

### 25.2 \*Access and Participation Plan 2019/20 OfS Monitoring Report

Further to minute COUN20/89.3, to **NOTE** that the Access and Participation Plan 2019/20 OfS Monitoring Report was **APPROVED** by the Chair of Council on 11 May 2021 for submission to the OfS.

### 25.3 \*Prevent Duty

To **NOTE** that the OfS have concluded the 2019/20 process for monitoring the University's compliance with its Prevent Duty.

### 25.4 \*OfS Reportable Events

To **NOTE** that no reportable incidents have taken place since the last meeting of Council.

## 26 \*Senior University Appointments

To **NOTE** the following appointments:

- The extension of the appointment of Professor Liz Peel as Associate Pro Vice-Chancellor for the Doctoral College until 31 March 2022.
- The appointment of Professor Janet Godsell as the Dean of the School of Business and Economics with effect from 1 September 2021 for a period of 5 years.
- The appointment of Spencer Graydon as the new Chief Executive of Imago Venues with effect from 4 May 2021.

## 27 \*Sustainability Annual Report

COUN21-P63

To **RECEIVE** a report on sustainability.

## 28 Equality, Diversity and Inclusion Sub-committee

To **NOTE** the establishment of an Equality, Diversity and Inclusion Sub-Committee of Human Resources Committee.

*Secretary's Note: Further details are contained in the minutes of the most recent meeting of the Human Resources Committee (COUN21-P69).*

## 29 \*Common Seal

COUN21-P64

To **RECEIVE** a list of documents to which the University Seal has been attached.

## 30 \*Reports from Committees

To **RECEIVE** reports from the following Committees:

COUN21-P65	Enterprise Committee of 24 March and 11 May 2021
COUN21-P66	Estates Management Committee of 12 February 2021
COUN21-P67	Ethics Committee of 25 May 2021
COUN21-P68	Finance Committee of 19 March 2021
COUN21-P69	Health, Safety & Environment Committee of 26 May 2021
COUN21-P70	Human Resources Committee of 26 May 2021
COUN21-P71	Information Technology and Governance Committee of 28 January and 27 May 2021

## **31 \*Dates of meetings in 2021/22**

14 October 2021, Away Day - all day meeting  
25 November 2021, 09.30-14.00  
31 March 2022, 09.30-15.00 (at London Campus – to be confirmed)  
30 June 2022, 13.30-17.00

## **32 Any Other Business**

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## Minutes COUN21-M1

Minutes of the Ordinary meeting held on 16 March 2021.

### Attendance

#### Members:

	Christine Hodgson CBE	
Prof. Bob Allison (from item 6)	Ann Greenwood	Peter Saraga (ab)
Fejiro Amam (except item 13.1)	Sally-Ann Hibberd	Oliver Sidwell
Prof. Malcolm Cook	Paul Hodgkinson	John Sinnott
Dr Marcus Collins	Alan Hughes	Jane Tabor
Prof. Andy Dainty	Prof. Chris Linton	Steve Varley (ab)
Prof. Claudia Eberlein	Pauline Matturi	Tony Williams
Andrew Fisher	Jennifer Maxwell-Harris	Matt Youngs (except item 13.1)

#### In attendance:

Ffiona Baker (for item 7.1); Prof. Tracy Bhamra; Chris Carpenter; Andrea Davies (except item 15.1); Dr Jennifer Nutkins; Prof. Steve Rothberg; Miranda Routledge (for item 7.1); Andy Stephens; Richard Taylor; Prof. Rachel Thomson (except item 18.1)

#### Apologies received from:

Peter Saraga; Steve Varley

### Business of the Agenda

No items were unstarred.

#### 21/1 Previous Minutes

COUN21-M6 - Minutes of the previous meeting.

Council **CONFIRMED** the minutes of the meeting held on 26 November 2020.

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## SECTION A – Items for Discussion

#### 21/2 Chair's Report

Council **RECEIVED** a verbal report from the Chair on items discussed at the most recent meeting of the Chair's Advisory Group, including the appointment of the Vice-Chancellor, the effectiveness review of Council, the next University strategy and the approach to the meeting.

## 21/3 Appointment of Vice-Chancellor

COUN21-P1

Council **RECEIVED** a progress report on the process for the appointment of a new Vice-Chancellor, including the composition of a Joint Committee of Council and Senate to manage the search. A consultation process had been undertaken to seek the views of students, staff and alumni. Whilst there had been some differences between the groups in their feedback, an overwhelming picture of the type of leadership needed and a strong consensus over other qualities had emerged. The published particulars and the Joint Committee's selection process reflected the results of this consultation.

Working with an external search consultant, a small number of very high-quality candidates had been shortlisted. It was expected that an appointment could be made in early May. In accordance with Statute V, the Joint Committee would make a recommendation for Council to approve and so a short extraordinary online meeting was likely to be required in May.

## 21/4 Starred Items

Council explicitly **APPROVED** all starred items in Section B of the agenda.

## 21/5 University Strategy

### 5.1 Draft Framework for the Next University Strategy

COUN21-P2

Council formally **ENDORSED** the strategic framework that will underpin the next University Strategy. The strategy would be outward looking and would have a particular focus on two broad overarching themes used to tie together activities which are aligned to maximise their impact. Equality, Diversity and Inclusion (EDI) would be a key strand and sustainability would also feature heavily throughout the strategy, as the title reflected. Activity which spans more than one domain (research, teaching, enterprise, sport and EDI) would receive strategic prioritisation to provide the best value by ensuring these domains do not compete for resources.

Feedback from Council members drew out the following points:

- i. The proposals were felt to be bold and brave, with the focus on impact viewed as a positive.
- ii. Some consideration should be given to the University's purpose and operating as a 'purpose-led' organisation by placing a greater emphasis on 'why we are here' rather than 'what we are going to do'.
- iii. Greater clarity over the competitive landscape was needed, including threats and external factors, to understand how differentiated the University would be, against whom and to what benefit.
- iv. The vision should be more inclusive and ambitious in its language.
- v. The two strategic themes intentionally did not cover the full range of the University's activity. Whilst the culture of the organisation needed to be inclusive, the strategic foci did not. Indeed, by making them too broad, focus would be lost and the institution would neither deliver on the strategy's ambitions, nor have the desired impact. Moreover, having these strategic foci would not exclude excellence from occurring outside of them.
- vi. Greater emphasis should be placed on the value of a Loughborough University degree, its student experience and the University's 'specialness'.

### 5.2 Key Performance Indicators

COUN21-P3

Council **NOTED** KPIs that had been updated since the previous meeting. Council's attention was drawn to the fact that overall KPI performance was still amber largely due to external factors over which the University had little or no control. The rating for the "outstanding partnerships to deliver social, economic and cultural prosperity" ambition had been moved from green to amber due to a decline in the proportion of students undertaking placements, albeit to a smaller extent than had been expected. Hence, for the first time, all main indicators were rated as amber.

## 21/6 Covid-19 Response

COUN21-P4



Council **NOTED** an update on the University's response to the Covid-19 pandemic. Those students studying practical disciplines – which represented just over half of the student body – had already returned to campus. The core plan was to seek the return of all remaining students for the summer term and to resume a similar pattern of operation as had been in place in October with hybrid teaching delivery.

The testing regime was critical. A decision had been taken early on to undertake a dual registration process for asymptomatic testing, whereas most other institutions were only registering through the NHS. Registering students with the University, as well as the NHS, meant Loughborough had a clear picture of positive cases and student engagement with testing, and could take follow up action where needed which had led to strong compliance. Feedback had indicated that students appreciated this compliance which had made them feel safer in teaching and other spaces.

Students were continuing to be supported in the same way as the Autumn term and thanks were expressed to the Students' Union for their support which complemented the University's provision.

It was hoped that graduation ceremonies would take place outdoors in the summer.

## 21/7 University Finance

### 7.1 University Budget 2020/21 and Financial Forecasts 2021/22 to 2025/26

COUN21-P5

Council **RECEIVED** an update regarding performance against the approved budget for 2020/21, **NOTED** the forecast out-turn for the current year, and **NOTED** planning parameters for the forecast period 2021/22 to 2025/26.

The University's underlying trading position was positive. Loss of income experienced as a result of the coronavirus pandemic was being mitigated through a variety of means, including spend tests, capital deferrals, staff furlough and reduced utilities spend. The recruitment freeze also remained in place, although Operations Committee reserved the right to flex this where posts were urgently required. The severance programme, aimed at addressing the structural issue of rising costs and flat tuition fees, had been successful in creating sufficient headroom for future years, but had been at a significant cost in the current financial year, thereby giving a deficit. Nonetheless, the strategic cash reserve was being protected, the revolving credit facility would be intact and sufficient headroom over covenants was expected.

A budget for 2021/22 would be set starting at 2019/20 levels. This would assume that increases in USS pension contributions from the previous valuation would come to pass, but not the larger increases mooted by the current, incomplete 2020 valuation round.

Forecasts, which would be submitted following the November meeting of Council, currently assumed a slow and steady return to previous student numbers. A change announced on 11 March 2021 to the Global Challenges Research Fund to discontinue a range of funding was expected to have a £4.5M impact over the forecast period and this would be incorporated into the forecasts received by Council in July. A more detailed view of the capital framework would also be included at that time.

Pensions remained a significant financial risk to the sector. The 2020 USS valuation had not provided the solution that had been anticipated, with the trustees instead suggesting combined contributions should rise from 35% to 57%. Universities UK had written to the trustees and pensions regulator highlighting concerns of excessive prudence and undervaluing of the covenant strength in the sector. Council members requested that the topic return to the next meeting of Council to understand what the University's options were. **ACTION: Director of Finance.**

### 7.2 \*Recurrent Grant Letter(s)

Council **NOTED** that that the University had not yet been notified of the likely dates for recurrent grant letter(s) from funding bodies.

## 21/8 Race Equality Charter

COUN21-P6

Council **WELCOMED** an update on progress with the Race Equality Charter submission for a bronze award which was expected to be put forward in July. Work was underway to create an honest and genuine assessment of the University's position on race equality, with short- to medium-term actions being identified. Given the timing, the submission would not be reviewed at a Council meeting in advance, although Council members were welcome to engage more deeply in the work by contacting the Chief Operating Officer. Council expressed its support for the development which it saw as an

important initiative, and **DELEGATED** authority to the Chair of Council to **APPROVE** the Race Equality Charter for submission to Advance HE between meetings.

## 21/9 Audit Committee

### 9.1 Report of Meetings

COUN21-P7

Council **RECEIVED** a report from the meeting of the Audit Committee held on 11 February 2021 and **NOTED** the following points:

- i. An update on the University's response to the coronavirus pandemic, focussing on the impact on finances and forecasting, had been received. To ensure the University operates good practice, this update provided an opportunity to benchmark against the experiences of the auditors who were very complimentary.
- ii. The Director of Planning had attended the meeting to seek input from members on the development of the next University strategy, specifically in relation to any changes to risk appetite that the new strategy might imply or require.
- iii. The internal auditors had been working with the Director of Finance on risk management policy and processes. Audit Committee would be undertaking a deep dive at the July meeting to review progress and give further input.
- iv. The internal auditors' term was due to finish at the end of July. A retendering process would be initiated at the end of March involving the incoming Chair to ensure good handover.
- v. The Vice-Chancellor attends Audit Committee once each year and this had been the last of his meetings. Audit Committee conveyed their thanks to the Vice-Chancellor for his open and transparent approach and the auditors had remarked that this attendance was best practice within the sector.

## 21/10 Effectiveness Review of Council

COUN21-P8

Council **APPROVED** the composition and terms of reference for the next Effectiveness Review of Council. John Sinnott and Tony Williams were agreed as the additional lay Council member representatives.

The review would not only look at Council itself, but also its subcommittees. In addition, it would gauge Council's compliance with the revised CUC code of governance (currently in draft) and whether Council executes its EDI responsibilities effectively. An interim report would be presented at the October meeting, prior to the final report in November.

## 21/11 Capital Framework

### 11.1 Transfer of LSU Assets

COUN21-P9

Council **AUTHORISED** the acquisition of Loughborough Students' Union (LSU) assets and **DELEGATED** authority to the Chair of Council to **APPROVE** the final form of the transaction. The LSU was unusual within the sector as it owned its own land and building and so the proposal would move the position to the standard operating model whereby the University leased the building to the LSU as a tenant. A detailed valuation was still required. The University had already acquired the Nursery business, but the transfer would also include the property.

The transfer would place the LSU in a more financially viable position, becoming cash rather than asset rich, and give them more resilience. It would also give the University access to a strategic piece of land; indeed, this was a prime site at the entrance to the University, where a new LSU building was planned.

*Secretary's Note: The Chief Operating Officer declared an interest in this item as a Trustee of the Loughborough Students' Union.*

### 11.2 \*Progress Report

COUN21-P10

Council **RECEIVED** a progress report.

## 21/12 Health, Safety and Environment Committee

### 12.1 Report of Meetings

Council **RECEIVED** a verbal report from the meeting of the Health, Safety and Environment Committee held on 3 February 2021. Conversations continued to be dominated by Covid-19. The response by the HSE team had been outstanding, with much of the good practice put in place rolled out across the nation. Two current issues, which were driving the amber health and safety KPI, were **NOTED**:

- i. A build-up of legionella had been identified in one of the halls of residence as a consequence of buildings not being occupied in the way in which they were designed to be. Students had been moved out whilst significant work to fix the issue was undertaken.
- ii. Work was underway to address a risk to assets in relation to fire compartmentalisation on Holywell Park given building subdivisions.

### 12.2 Annual Health, Safety and Environment Report

COUN21-P11

Council **NOTED** a summary of the strategic issues contained within the Annual Health, Safety and Environment Report.

### 12.3 \*Annual Report from the Radiation Protection Officer

COUN21-P12

Council **RECEIVED** the Annual Report from the Radiation Protection Officer.

## 21/13 Nominations Committee

### 13.1 Membership of Council

COUN21-P13

Council **APPROVED**:

- i. the appointment of Graham Corfield, Andrea Davies and Mike Wedderburn as co-opted members of Council from 1 August 2021 until 31 July 2024.
- ii. the appointment of Graham Corfield as Chair of Audit Committee from 1 August 2021.
- iii. the reappointment of John Sinnott and Tony Williams as co-opted members of Council until 31 July 2024.

### 13.2 Officers of the University

Council **APPROVED** the appointment of Jennifer Maxwell-Harris and John Sinnott as Pro-Chancellors from 1 August 2021, including the appointment of Jennifer Maxwell-Harris as the Deputy Chair of Council.

### 13.3 \*Nominations Committee Minutes

COUN21-P14

Council **RECEIVED** minutes of the meetings of Nominations Committee held on 25 November 2020 and 24 February 2021.

## 21/14 Risk Management

COUN21-P15

Council **RECEIVED** an update regarding Risk Management and **ENDORSED** the proposed approach. Support had been sought from PwC to review the risk management framework and a cause, event, consequence model had been proposed. Detailed one-to-one interviews had taken place with the University executive to draw out key issues and these were presented in the model. This had reduced the number of risks from ten to seven to ensure a focus on the strategic risks which would prevent the University delivering on its strategic ambitions.

A more detailed discussion on risk mitigation would take place at the July meeting of Council.

## 21/15 Matters for Report by the Vice-Chancellor

On behalf of Council, the Vice-Chancellor welcomed Christine Hodgson CBE as the Senior Pro-Chancellor and provided a verbal report on the following matters:

- i. The recruitment of a new Dean of the School of Business and Economics was in the final stages. An excellent and diverse field of internal and external candidates was under consideration.
- ii. An alumnus had recently made the single largest donation (£2M) ever to the University. The funds were intended to support disadvantaged students.
- iii. Team GB would be departing for the final training camp in Japan before the next meeting of Council and it was estimated that over 100 of these athletes would be from Loughborough University.
- iv. It had been hoped that graduation for the 2020 cohort could be delivered in the week commencing 12 April 2021, but this had alas not proved possible. All being well, ceremonies would instead run in the last two weeks of July to cover the 2020 and 2021 cohorts. This would be a different format to normal years, with ceremonies taking place outside, but it was important to offer graduands the opportunity to celebrate, rather than cancelling ceremonies.
- v. If the Government's Covid-19 roadmap goes to plan, all social distancing restrictions would be lifted ten days before the next meeting of Council on Thursday 1 July. That being the case, the meeting would be held in-person for those who wished to do so and the Council/Senate dinner would be held in the evening to celebrate.

## 21/16 Appointment of Pro-Vice-Chancellors

### 16.1 Re-appointment of Pro-Vice-Chancellor (Teaching)

Council members were invited to **PROVIDE COMMENTS** to the Vice-Chancellor on the possible reappointment of Professor Rachel Thompson as Pro-Vice-Chancellor for Teaching for a further period of 5 years from 1 August 2021 to 31 July 2026.

Senate had unanimously supported the proposed reappointment. Council members also unanimously supported the proposal and the Vice-Chancellor would make his recommendation to the Chair of Council immediately after the meeting.

### 16.2 Appointment of Pro-Vice-Chancellor (Enterprise)

Council **RECEIVED** a verbal update on the appointment of the Pro-Vice-Chancellor for Enterprise. The Vice-Chancellor congratulated Professor Tracy Bhamra who had been appointed as Senior Vice-Principal at Royal Holloway, University of London. It had been agreed not to make an immediate appointment and instead await the arrival of the new Vice-Chancellor before proceeding.

Professor Bhamra would leave the University at the end of April, at which point her responsibilities would be shared across a number of individuals. Professor Claudia Eberlein would chair Enterprise Committee and report to Council on enterprise matters.

Professor Bhamra was thanked for her contributions to the University, including leading the expansion of LUSEP and the impact element of the REF submission.

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## SECTION B – Starred Items for Approval

### 21/17 \*Conditions of Service

COUN21-P16

On the recommendation of Senate, Council **APPROVED** amendments to Conditions of Service to come into line with the recently adopted IP Commercialisation Policy.

### 21/18 \*Human Resources Committee

#### 3.1 \*Annual Equality, Diversity and Inclusion Compliance Report

COUN21-P17

Council **APPROVED** the Annual Equality, Diversity and Inclusion (EDI) Compliance Report for publication and **NOTED** that EDI will be included on the October Away Day agenda.

## 21/19 \*Information Technology and Governance Committee

### 19.1 \*Terms of Reference

COUN21-P18

Council **APPROVED** revisions to the Terms of Reference for Information Technology and Governance Committee.

## 21/20 \*Amendments to Ordinances

### 20.1 \*Amendments to Ordinance XVII – Second Hearing

Further to minute COUN20/93.1 (COUN20-M6, paper COUN20-P98 refers), Council **CONFIRMED** revisions to Ordinance XVII (Conduct and Discipline of Students).

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## SECTION C – Starred Items for Information

## 21/21 \*Senate

### 21.1 \*Senate Minutes

COUN21-P19

Council **RECEIVED** the minutes of the meeting of Senate held on 11 November 2020.

## 21/22 \*Matters for Report

### 22.1 \*Pro-Vice-Chancellor (Enterprise)

COUN21-P20 – **NOTED**

### 22.2 \*Pro-Vice-Chancellor (Research)

COUN21-P21 – **NOTED**

### 22.3 \*Pro-Vice-Chancellor (Teaching)

COUN21-P22 – **NOTED**

## 21/23 \*Office for Students

### 23.1 \*Registration Conditions

COUN21-P23

Council **NOTED** an update on compliance with the OfS' regulatory framework.

### 23.2 \*Access and Participation Plan 2019/20 OfS Monitoring Report

COUN21-P24

Council **NOTED** an update on the Access and Participation Plan 2019/20 OfS Monitoring Report.

### 23.3 \*OfS Reportable Events

Council **NOTED** that no reportable incidents had taken place since the last meeting of Council.

## 21/24 \*Annual Report on Academic Partnerships

COUN21-P25

Council **NOTED** the annual report on major academic partnerships.

## 21/25 \*Annual Report on Philanthropy

COUN21-P26

Council **NOTED** the annual report on philanthropic income 2019-20.

## 21/26 \*Reports from Committees

Council **RECEIVED** reports from the following Committees:

COUN21-P27	Enterprise Committee of 12 January 2021
COUN21-P28	Estates Management Committee of 18 June and 6 November 2020
COUN21-P29	Ethics Committee of 2 February 2021
COUN21-P30	Finance Committee of 11 December 2020 and 18 January 2021 and 12 February 2021
COUN21-P31	Health, Safety & Environment Committee of 3 February 2021
COUN21-P32	Human Resources Committee of 3 February 2021
COUN21-P33	Information Technology and Governance Committee of 27 October 2020

## 21/27 \*Dates of meetings in 2020/21

1 July 2021, 13.30

Author – Chris Carpenter

Date – March 2021

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## Minutes COUN21-M3

Minutes of the Extraordinary meeting held on 11 May 2021.

### Attendance

#### Members:

	Christine Hodgson CBE	
Prof. Bob Allison (ab)	Ann Greenwood (ab)	Peter Saraga (ab)
Fejiro Amam	Sally-Ann Hibberd (ab)	Oliver Sidwell
Prof. Malcolm Cook (ab)	Paul Hodgkinson	John Sinnott
Dr Marcus Collins	Alan Hughes	Jane Tabor
Prof. Andy Dainty	Prof. Chris Linton (ab)	Steve Varley
Prof. Claudia Eberlein	Pauline Matturi	Tony Williams
Andrew Fisher (ab)	Jennifer Maxwell-Harris	Matt Youngs

#### In attendance:

Chris Carpenter; Ally McDonald Alonso; Dr Jennifer Nutkins; Prof. Steve Rothberg; Andy Stephens; Richard Taylor; Prof. Rachel Thomson

#### Apologies received from:

Prof. Bob Allison; Prof. Malcolm Cook; Andrew Fisher; Ann Greenwood; Sally-Ann Hibberd; Prof. Chris Linton; Peter Saraga;

### 21/31 Business of the Agenda

Apologies for absence were **NOTED** and no members declared an interest.

### 21/32 Appointment of Vice-Chancellor

COUN21-P37

Council **RECEIVED** a report from the Joint Committee of Council and Senate appointed to co-ordinate the search for a new Vice-Chancellor. Members were satisfied that an appropriate and robust procedure had been adopted and offered their unanimous support for the recommendation. The Chair of Council thanked everyone who had been involved in the process.

On the recommendation of the Joint Committee of Council and Senate, Council **APPROVED** the appointment of Professor Nick Jennings CB FREng as the ninth Vice-Chancellor of Loughborough University. A start date was still to be agreed but was anticipated to be immediately before the new academic year.

### 21/33 \*Dates of meetings in 2020/21

1 July 2021, 13.30

Author – Chris Carpenter  
Date – May 2021  
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# COUNCIL



Loughborough  
University

**Paper Title: Update on the Higher Education External Environment**

**Origin: Provost and Director of Planning**

**Date: July 2021**

1. Decision Required by Committee	Council is asked to <b>NOTE</b> this update on the external environment in which the University operates.
2. Executive Summary	This paper provides an update to members of Council on some of the major external factors affecting higher education (HE) at the moment. The purpose of the paper is to provide the context in which we are developing the next strategy. There are significant uncertainties in the external environment and Council's advice and counsel is sought on one or two major issues.
3. Committees/Groups previously considering item.	University Senior Officers and Senate. The paper will also be circulated to Academic Leadership Team, Professional Services Leadership Team and Operations Managers.

## Update on the Higher Education External Environment

For several years, universities have been subject to a great deal of uncertainty and volatility and the last 12-18 months have certainly been no exception. This paper outlines some of the major factors affecting today's higher education operating environment. We need to be especially mindful of these factors as we develop our new strategy. Council is asked to reflect on the contents of this paper and ***comment on the issues highlighted in bold italics.***

The Covid-19 pandemic has exacerbated many of the issues that existed previously. Universities have had to adapt rapidly to remote learning and working. As we emerge from the pandemic universities will have to consider and respond to:

- New ways of working and studying.
- Student expectations around the digital offer
- Demonstrating further value for money.
- Long-term impact on revenue. In particular international student fee income, changed working practices impacting residential and commercial (e.g. tenants and conference) income. Given the relatively high level of income from commercial activity at Loughborough, this is a particular issue for us.
- The spotlight that has been shone on inequities in society and organisations. HEs will need to play an appropriate part in the economic recovery of the UK.
- The levelling-up and regional agendas are likely to dominate the rest of this parliament. One element of this may well be the demise of LEPS and a move towards local accountability – particularly around enterprise / innovation / small and medium enterprise (SME). The role of LUSEP will need to be considered in this regard.
- Future government policy and legislation, particularly in relation to post-18 education and potential changes in the home student fee regime.
- The increasing influence of the Office for Students – recently shown through directives on matters such as freedom of speech, anti-Semitism and harassment.

## Financial uncertainty

- Across the sector, rising costs continue to outstrip relatively flat income, driven primarily by frozen UK/EU undergraduate tuition fees. The risk around fee income is not limited to a lack of future inflation. If the recommendations of the Augar review of post-18 education funding (which we expect decisions on in the autumn) are accepted, this could result in a significant loss of funding for the sector and will put some universities in financial difficulty. If a flat fee of £7500 were introduced with no Treasury support for high-cost subjects, then we would be looking a loss of circa £25m per annum should there be no alternative grant funding. Of course, there is some expectation that high-cost STEM subjects will receive a “top-up” as currently and this would help to mitigate some loss of income, especially at Loughborough where we have a high proportion of high-cost subjects. ***Council is asked to comment on how the University might respond should the UK UG fee be cut to £7500.***
- There are particular risks around pensions. The 2020 valuation of the Universities Superannuation Scheme (USS) was intended to remove the need for a further increase to contributions for both employers and members in October 2021. However, market conditions at March 2020 mean that the estimated deficit of the scheme has increased substantially and the USS Trustee has proposed very high levels of contribution increase to maintain current benefits. Efforts by UUK and UCU to challenge what is perceived to be excessive prudence on the part of the USS Trustee have so far been unsuccessful. It appears inevitable that contributions will have to rise, employers will have to offer significant covenant support measures or benefits to members will have to be fundamentally reformed (or some combination of all three) in order for the March 2020 valuation to be concluded to the satisfaction of the Pensions Regulator. There is

a high likelihood of further industrial action in the latter part of 2021. USS is not, of course, the only pension scheme in the sector. Changes to USS will be watched closely by other pension schemes, most notably the Leicestershire Local Government Pension Scheme. Government will, in turn, monitor closely the level to which employers are able to fund increased contribution demands as a proxy for the overall financial health (and perceived wealth) of the sector. Similar valuations for government funded pensions including the Teachers' Pension Scheme and NHS pension scheme will follow and the response to a challenging valuation for USS may be seen as a precedent for change elsewhere.

- The Covid-19 pandemic has had a devastating effect on the international student market, not just in the UK but around the globe. Our financial forecasts assume 50% of target is reached in 2021/22 with a slow recovery to target by 2025/26. However, there are significant concerns that the Chinese market will not fully recover and, like others in the sector, we are heavily reliant on China for our international student intake. This particularly affects activity on the London campus. ***Council is asked to comment on how the University might mitigate a substantial and permanent reduction to the Chinese market.***

### Skills reform

As well as looking at the funding of post-16 education, the Augar review made several recommendations on skills reform, some of which are starting to appear in draft legislation:

- **Skills and Post-16 Education Bill:** The introduction of the Westminster government's Skills and Post-16 Education Bill in the House of Lords last month marked another step on the long road to a response to the Augar review. The bill makes provision for the development of local skills improvement plans – and charges college governing bodies with regularly reviewing provision in light of local skills needs.
- **Lifelong Learning Entitlement (LLE):** LLE is intended to make student loan finance available for an equivalent of four years' study throughout life across post-compulsory further and higher education and is due to go live in 2025 following pilots. Through LLE it is clear that the government perceives a gap at levels 4 and 5 and is keen to fill it with smaller periods of study at multiple providers. Funding things in this way might make it easier to offer part time and flexible provision, all part of the skills reform agenda.

The focus on FE, technical skills and more flexible study is a significant departure from Loughborough's current model of delivery (dominated by full-time UG study on campus). If funding (including the student loan book) follows these priorities, there could be increased risk to the UG revenue that Loughborough relies so heavily on. ***Council is asked to reflect on what these reforms could mean for the University in the future and comment on how we might respond.***

### Office for Students - regulatory environment

The Office for Students (OfS) continues to assert its regulatory role in a number of ways, meaning new obligations and ways of working across the sector. The most significant include:

- A greater focus on graduate outcomes and increasing regulation to "drive out" low quality courses. This points to much more control of the market by the regulator than we have seen previously. Indeed, the new bill (see above) makes provision for the OfS to assess quality of provision with reference to student outcomes measured "by any means (whether qualitative or quantitative) that the OfS considers appropriate." This essentially paves the way for OfS to set un-benchmarked baseline thresholds for institutional performance on student outcomes as part of its regulation of quality.
- The introduction of new, but still experimental, projected completion and employment from entrant (Proceed) data, which expresses an estimate of students' likelihood of gaining an award and progressing to graduate level employment as a percentage. Published as an experimental

statistic with no current plans for active use in regulation, the metric nevertheless sits squarely within the government's "tackling low-quality courses" policy agenda and will no doubt make its way into league tables and public discourse more generally, with a knock-on impact on student choices. Loughborough is ranked in the top 20 on this measure. Providers with medicine and dentistry courses tend to score most highly and so this measure is heavily impacted by subject mix at a provider.

- A review of the recurrent teaching grant to increase funds for high-cost subjects (including medical/nursing) and reduce funds for the creative arts, media and archaeology. This is combined with an increase in the number of places for medicine and dentistry students, all to be funded from the same budget, driving down the unit of resource per student. This may be a precursor to the way the Augar recommendations will be implemented. Capital funding is also likely to move to a bidding process whereby high-cost subject requirements will be prioritised.

In future we are expecting:

- An announcement on the future format of the Teaching and Student Outcomes Excellence Framework (TEF). The review by Dame Shirley Pearce has not yet received a full response.
- Greater powers for the OfS in relation to freedom of speech.

### **Research landscape**

- REF 2021 submissions were submitted in March. Originally due to be submitted in November 2020, Research England extended the submission deadline in recognition of the disruption of the pandemic. We know that there has been a significant increase in the number of staff returned in 2021 compared to 2014. We do not yet know how funding profiles will be determined but it seems almost certain there will be an increased weighting towards the highest quality (4\*) ratings.
- No sooner than the REF2021 submissions were in, and Research England has launched the Real-Time REF Review pilot. Rather than waiting for REF 2021 to complete before looking afresh at how it is working, a new pilot will test the feasibility of evaluating perceptions and experiences of the REF in real-time, among researchers at all career stages, and across a wide range of disciplines and universities.
- The government has announced the launch of the Advanced Research & Invention Agency (ARIA) to support high risk, high reward science. The new agency will be independent of government and led by some of the world's most visionary researchers. The intention is to deliver funding to the UK's most pioneering researchers flexibly, without bureaucracy and at speed. Legislation is required to create the new agency and the aim is for ARIA to be fully operational by 2022.
- Research funding is under increasing pressure.
  - We are already aware of specific cuts – for example, cuts to the Official development assistance (ODA) budget have impacted the Global Research Challenge and Newton Fund (reduction of up to £1M in 21/22 (compared to 20/21) for Loughborough). Cuts to the Foreign, Commonwealth & Development Office have already led to a 64% cut on a significant project at the University.
  - It has not been agreed how the (post Brexit) new EU research programme or ARIA (see above) will be funded.
  - UKRI and BEIS have only had an interim budget of one year, and so there will remain a great deal of uncertainty until after the comprehensive spending review.

### **Post Qualifications Admissions review**

The DfE have recently completed a consultation on a review of Post Qualification Admissions, more details can be found at:

<https://www.gov.uk/government/consultations/post-qualification-admissions-in-higher-education-proposed-changes>

## **The Sector's Response**

Universities have to find an appropriate strategy to respond to increasing financial, political and regulatory pressures. Loughborough University remains well positioned to weather the storm. We are in the top ten in the national league tables (although our position is not fully secure), even in the wake of the pandemic we have relatively robust finances and we have the opportunity to develop strong regional economic partnerships. In the short term we remain exposed to fluctuations in our strong NSS and graduate outcomes scores.

We recognise that to maintain our position in the sector we not only need to protect and maintain our outstanding student experience, but we still need to increase our international reputation and raise our aspirations around research and impact. To do this, we will need to be more outwardly focussed and demonstrate the material impact that our work has on making the world a better place. The new strategy will help us to set a course to achieve this and provide a framework around which to base our investment decisions.

# Council



**Paper Title:** University Strategy: Update on progress

**Origin:** Provost and Director of Planning

**Date:** July 2021

1. Decision Required	Council is invited to note this paper.
2. Executive Summary	<p>The paper provides Council with an update on strategy development.</p> <p>In an increasingly competitive and post-covid world, it is clear that we will need to set out the strategic ambitions for the university's future.</p> <p>Key to our success will be getting the balance right between</p> <ul style="list-style-type: none"><li>• articulating our high-level ambitions to set the strategic direction for the next 10 years and</li><li>• developing a clear decision-making framework which enables us to prioritise activity that will help us to achieve our strategic objectives.</li></ul>
3. Committees/ Groups previously considering item.	Audit Committee and Senate received this paper at their respective meetings in June.

## Update on activity since last meeting

At its meeting in March 2021, Council endorsed the overall direction of travel for the University strategy. Key to our success will be getting the balance right between:

- articulating our high-level ambitions to set the strategic direction for the next 10 years and
- developing a clear decision-making framework which enables us to prioritise activity that will help us to achieve our strategic objectives.

Since March, we have been engaging in further internal communications and engagement regarding the development of the new strategy. To this end, the following actions/activities have taken place:

1. A **dedicated internal webpage** has been created to host high level detail as presented to Council. The web pages include a form by which staff can submit comments and suggestions. Since launching the website at the end of April, the site has received over 900 visits (circa 720 unique visits) and we have started to receive comments via the feedback form.
2. Three **internal online briefing sessions** were held in May to which all staff were invited. There was also the opportunity to attend in person for those colleagues who do not have easy access to a computer. The sessions have been recorded and will be available from the strategy webpage for those that were unable to attend. Over 300 staff have engaged in these sessions. Feedback to date has been positive and there is general enthusiasm for the overall direction of travel and ambitions outlined to Council in November. We are conducting an Equality Impact Assessment on the attendance data to help us identify any particular groups of staff that have not yet engaged with the process. A more targeted approach will be taken to access these staff where appropriate.
3. Two **external briefing sessions** for senior and influential Alumni members were held in March. There was some useful challenge about the clarity of our strategic ambitions and the need to be bold in protecting what is special about Loughborough yet future proofing our offer for our students, partners and staff.
4. The **Provost met with the LSU Executive** in March to discuss how to maintain their involvement in the strategy as it develops. LSU Executive members provided useful insights and suggestions for engaging the wider student body at a later date and we will work with them to do this. There will need to be a hand-over/new session when the new Executive team are known.
5. **Further work on the proposed strategic themes** (Environment & Society and Sport & Health) is being led by Professor Phil Eames and Professor Lorraine Cale. These workstreams are bringing together staff from across the campus to share ideas and propose a collection of strategic ambitions for further debate and discussion. The “bottom up” approach will add a richness to our discussions and help with staff engagement, contribution and buy-in. The two groups are due to report back to the Provost before the next Council meeting.
6. Strategic leads<sup>1</sup> for Research, Teaching & Learning, Enterprise, Sport and Equality, Diversity & Inclusion have identified their **top strategic priorities, in particular highlighting opportunities to integrate these activities**. These inputs are being synthesised with a view to generating a list of strategic statements equivalent to the “ambitions” in Building Excellence.

## Timescales

We had originally planned to bring a more detailed strategy document to Council in July 2021, with final approval in October/November 2021. Following conversations with the incoming Vice-Chancellor, Professor Nick Jennings, we have agreed to extend the timescale to allow him to input appropriately into the new strategy. It is now anticipated that we will seek formal approval from Council in March 2022. We will ensure that the Council Away Day in October gives adequate opportunity to reflect on the strategic themes emerging.

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<sup>1</sup> Pro-Vice-Chancellors for R, T and E; APVC Sport, Director of People & Organisational Development, Chair of EDI Sub-Committee and Co-Chair of Race Equality Charter Working Group.  
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# Council



**Paper Title:** Key Performance Indicators

**Origin:** Provost and Director of Planning

**Date:** June 2021

1. Decision Required	Council is asked to <b>NOTE</b> the KPIs that have been updated for this meeting.
2. Executive Summary	<p>The University continues to be successful, maintaining a top 10 position in national league tables. However, an increasing number of our metrics are coming under pressure both because of our high level of ambition and significant uncertainties that exist in the sector. The pandemic has further increased our risk and Council will note that a number of key individual metrics (and subsequently all the ambition rankings) remain amber in this latest update. This reflects our view of the University's position based on the current external environment which is affected by a range of factors over which we have little or no control. Given that there is so much uncertainty in the sector at the moment, not least as a consequence of the pandemic, we have taken a prudent rather than optimistic view of our performance and, as a result, the University performance rating remains amber. We will continue to monitor the situation carefully and act appropriately as a) the longer-term impact of Covid-19 becomes clearer and b) we continue work on the new University strategy.</p> <p>The financial sustainability rating also remains amber. Based on data reported to OfS in December, we have substantially adjusted the forecasts to take account of the impacts of the pandemic and the uncertainties around international market recovery. Whilst we have successfully mitigated both the short term impacts of the pandemic and the longer term £50M structural gap, the uncertainty around student fees and related income in 2020/21 and 2021/22 mean that the performance rating remains amber.</p> <p>A number of KPIs have been updated for this meeting as the new data sets become available. More detail on individual metrics is available in the data tables. The cells shaded in peach indicate the data and commentary that have been updated for this meeting.</p> <p>Only a very small number of KPIs have been updated for this meeting. The publication of most sector data sets have been delayed, due to deadline extensions granted in response to covid-19 pressures in the sector. Until these data sets become available, we are unable to determine our sector ranking upon which many of our measures are based. More detail on individual metrics is available in the data tables. The cells shaded in peach indicate the data and commentary that have been updated for this meeting.</p> <p>The RAG ratings for all individual measures are unchanged. Consequently, all five strategic ambitions remain rated as amber.</p>
3. Committees/ Groups previously considering item.	The data and assessments have been reviewed by the University's Senior Officers. Senate received this paper for information at its meeting in June.



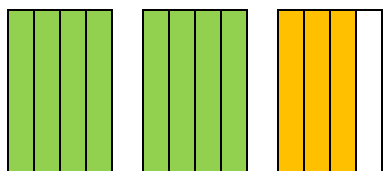
## University Strategy: Building Excellence

### Summary Assessment of Performance (updated quarterly)

2018-19				2019-20				2020-21			
Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4

#### Basis of assessment for Q3 2020-21

#### Institutional Performance



The University continues to be successful, maintaining a top 10 position in national league tables. However, an increasing number of our metrics are coming under pressure both because of our high level of ambition and significant uncertainties that exist in the sector. The pandemic has further increased our risk and Council will note that a number of key individual metrics (and subsequently all the ambition rankings) remain amber in this latest update. This reflects our view of the University's position based on the current external environment which is affected by a range of factors over which we have little or no control. Given that there is so much uncertainty in the sector at the moment, not least as a consequence of the pandemic, we have taken a prudent rather than optimistic view of our performance and, as a result, the University performance rating remains amber. We will continue to monitor the situation carefully and act appropriately as a) the longer-term impact of Covid-19 becomes clearer and b) we continue work on the new University strategy.

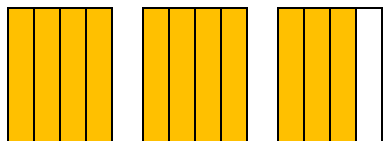
#### Financial Sustainability (As reported to OFS)



Based on data reported to OFS in December, we have substantially adjusted the forecasts to take account of the impacts of the pandemic and the uncertainties around international market recovery. Whilst we have successfully mitigated both the short term impacts of the pandemic and the longer term £50M structural gap, the uncertainty around student fees and related income in 2020/21 and 2021/22 mean that the performance rating remains amber.

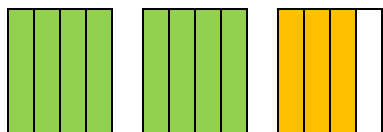
#### Key Ambitions

#### A distinctive international reputation for excellence



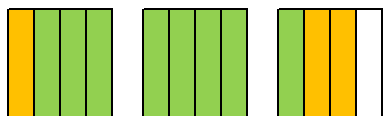
No data update for this meeting. The overall performance rating remains amber.

#### A life-shaping student experience



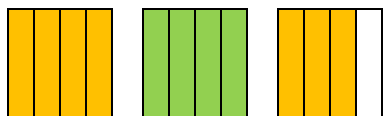
No data update for this meeting. The overall performance rating remains amber.

#### Outstanding partnerships to deliver social, economic and cultural prosperity



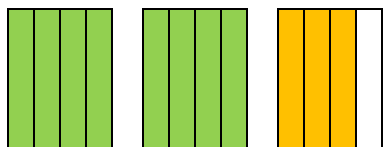
No data update for this meeting. The overall performance rating remains amber.

#### A culture that delivers success



No data update for this meeting. The overall performance rating remains amber.

#### One outstanding University: two vibrant campuses



Data updated for this meeting are 1) Progress against the People and Organisational Development (P&OD) Strategy, 2) ICM Reputation tracking (open question) and 3) ICM Reputation tracking (closed question). The P&OD strategy measure covers six priority areas. Human Resources Committee considered the measures in June 2021 and agreed an overall rating of amber as per the previous year. Regarding the reputation survey, the open question ranking has improved by two places and the closed question ranking remains the same. In terms of performance against target, both the metrics retain their amber and green rating respectively. The overall performance rating remains amber.

Good Performance is on track this year

Problematic Performance this year reveals some concerns which could be damaging to this area if not addressed. A plan is in place to address the concerns.

Immediate Action Required Performance this year reveals some concerns which could be damaging not just to this area but potentially to the University's overall performance. There is currently no plan in place to address the concerns.



**Paper Title:** Financial Out-Turn 20/21, Budget 21/22 and Financial Forecasts 22/23 to 25/26

**Author:** Director of Finance

<p><b>Actions Required</b></p>	<p>On the recommendation of Finance Committee, to <b>APPROVE</b> for adoption by the University the estimated out-turn for 2020/21 and budget 2021/22.</p> <p>To <b>NOTE</b> the University's initial forecasts for the period ending 31 July 2026, which will be brought to Council for approval in the autumn, prior to submission to the Office for Students (OfS) at the end of the calendar year.</p>
<p><b>Executive Summary</b></p>	<p><b>Estimated Out-Turn 2020/21</b></p> <ul style="list-style-type: none"> <li>• <b>I&amp;E</b> - A full year deficit of £2.0m driven by severance costs and income losses attributed to tuition fees and student accommodation, offset by cost restraint measures.</li> <li>• <b>Cash</b> - Closing cash of £89.8m boosted in the final quarter by the release of contingencies and rephasing of capital expenditure.</li> <li>• <b>Bank Covenants</b> – Headroom of £22.8m on our operating cash covenant.</li> </ul> <p><b>Budget 2021/22 and Forecasts to 31 July 2026</b></p> <ul style="list-style-type: none"> <li>• <b>I&amp;E</b> - A forecast deficit of £2.9m in 2021/22 albeit with the potential for significant improvement subject to student recruitment outcomes in the autumn. Modest surpluses / near break-even in the following years. A clear declining trend in underlying surplus/deficit as inflationary pressures continue to grow.</li> <li>• <b>Cash</b> – An annual reduction in closing cash over the period closing at £58.4m, noting that is after a placeholder for capital expenditure in the final year. Maintains Council's remaining £46.5m strategic cash reserve.</li> <li>• <b>Bank Covenants</b> – Compliant throughout.</li> </ul> <p>The budget for 2021/22 includes a 50% provision for income from international students, which we hope will prove to be overly prudent. Forecast intakes are then modelled to return steadily to normal levels, including the previously planned growth at Loughborough University London, over the remainder of the forecast period.</p> <p>When intakes is are known in the autumn, we will have the opportunity to re-visit, at a relatively high level, the budget and five-year forecast before submission to OfS in December.</p>

## 1. Estimated Out-Turn 2020/21

- 1.1 The estimated out-turn for 2020/21 represents 9 months of actual performance, to 30 April 2021, and 3 months forecast to 31 July 2021.
- 1.2 It includes the release of £5m remaining contingencies held to mitigate further losses to income including student accommodation. It also reflects final intake data, the total losses expected as a result of accommodation fee rebates and updates expenditure forecasts to reflect lower levels of expenditure due to ongoing cost constraint.
- 1.3 These actions result in a year end deficit of £2.0m. Severance costs of £5.5m and income losses (tuition fees, accommodation and commercial income) have been largely offset by cost mitigation measures in place for the duration of the year.
- 1.4 We forecast a closing cash balance of £89.8m and a net operating cash inflow of £32.8m which provides headroom of £22.8m over the related bank covenant.
- 1.5 Work has commenced in preparation for the financial year-end, and we are engaging early with our external auditors KPMG. We do not currently anticipate any significant changes to year-end reporting requirements and will bring our usual update to Council in the early autumn.

## 2. Budget 2021/22 & Forecasts to 31 July 2026

- 2.1 We continue to follow our planned timeline which ends with the submission of forecasts to the Office for Students (OfS) in December 2021.
- 2.2 The budget presented in this report which will be used to devolve budgets to Schools and Professional Services. However, with the OfS submission not being until December, we will have the opportunity to re-visit the numbers post confirmation of student intakes in the autumn.

**Table 1: Forecast and related submission timings**

Date	Committee	Detail
1 February	Operations Committee	Iteration 1 of forecast and assumptions for discussion
12 February	Finance Committee	Iteration 1 of forecast and assumptions for comment
1 March	Operations Committee	Iteration 2 of forecast and assumptions for discussion
19 March	Finance Committee	Iteration 2 of forecast and assumptions for comment
April		Detailed budget work by Schools, Professional Services and Commercial areas and provisional reviews by Provost & COO.
12 & 13 May	Operations Committee	Review of budget submissions
18 June	Finance Committee	Recommend to Council the budget and five-year forecast
1 July	Council	Approve budget for 2021/22 and provisionally approve five-year forecast
September	Finance Committee	Recommend to Council any updates to five-year forecast
November	Council	Approve the five-year forecast for submission to OfS
December		Submit financial forecast to OfS

- 2.3 We are projecting a deficit of £2.9m in 2021/22; noting this includes a 50% provision for international student recruitment.
- 2.4 We have a target to achieve net operating cashflow at 10% of income; our forecasts show a low point of 8% against this measure in 2021/22, again driven by the prudent forecasting of fee income.
- 2.5 We have a target for capital expenditure not to exceed our net operating cash inflow over a forecast period. Over this six-year forecast period capital is balanced to 100% of net operating cashflow.

**Table 3: Budget/Forecast Headlines**

	Surplus/deficit						Cash					
	20/21	21/22	22/23	23/24	24/25	25/26	20/21	21/22	22/23	23/24	24/25	25/26
<b>Current Forecast</b>	<b>(2.0)</b>	<b>(2.9)</b>	<b>7.4</b>	<b>5.3</b>	<b>7.1</b>	<b>2.5</b>	<b>89.8</b>	<b>70.1</b>	<b>67.4</b>	<b>72.1</b>	<b>81.6</b>	<b>58.4</b>
<b>Memo's:</b>												
Exceptionals*		(16.1)	(4.8)	(5.3)	0.1	0.1						
Underlying (Deficit)/Surplus	(2.0)	13.2	12.2	10.6	7.0	2.4						
Net Operating Cashflow							<b>32.8</b>	<b>27.5</b>	<b>31.3</b>	<b>36.0</b>	<b>38.4</b>	<b>33.8</b>
Net Operating Cashflow %							<b>11%</b>	<b>8%</b>	<b>9%</b>	<b>10%</b>	<b>10%</b>	<b>9%</b>
Capital Expenditure							(10.3)	(50.6)	(30.6)	(28.1)	(25.8)	(53.9)
Capital / Net Operating Cash							<b>31%</b>	<b>184%</b>	<b>98%</b>	<b>78%</b>	<b>67%</b>	<b>159%</b>

\*exceptionals included are recognition of capital grants and the international student recruitment provision

- 2.6 All budget and forecast assumption have been updated to reflect best estimates. This includes an anticipated final pay award of 1.5% effective from 1 August 2021 which adds £7.8m to cash over the forecast period.
- 2.7 Strategic capital expenditure of £3.5m (subject to valuation) associated with the potential transfer of LSU assets has been rephased from the current financial year to 2021/22.
- 2.8 A more detailed table setting out the financial forecasts is provided at Appendix 1.

### 3. Risks & Opportunities

- 3.1 The financial planning environment remains highly uncertain and there are many risks inherent in the forecasts being presented to Council.
- 3.2 We will continue to monitor the UK's anticipated emergence from Covid19 restrictions, the ongoing impact of both Covid19 and Brexit on the domestic economy and changes to government funding policy for Higher Education. Detailed scenario planning will take place over the summer in order to inform Council's consideration of going concern matters pertaining to the audited financial statements.
- 3.3 Funding policy for domestic undergraduates remains under review by government. With over £100m of annual fee income from this student population any change to fees payable would have a material impact on the university. By way of example, a reduction in the headline fee from £9,250 to £7,500 would (in the absence of additional grant support for high-cost subjects) remove c.£20m of annual income.
- 3.4 Demand for UK higher education from international students appears strong although the actual international mobility of students is yet to be seen. We have taken a very prudent approach to international student recruitment in our forecasts and our starting assumption of 50% of a normal intake is below even our 2020/21 actual intake. This reflects our concern that international forbearance on matters such as partial study online and/or deferred start dates will reduce over time. A strong recruitment round in autumn 2021 would present additional income opportunity of up to £18m in 2021/22.

- 3.5 We await the outcome of the recent Research Excellence Framework (REF) exercise. While government policy continues to flag enhanced funding of science and technology budgets, the creation of new oversight committees announced on 21 June 2021 (<https://www.bbc.co.uk/news/science-environment-57548531>) signals that in the BBC's words "With greater budgets, comes greater ministerial supervision - in the form of a new committee chaired by the prime minister. On the one hand, it puts science at the heart of government, but on the other there's concern that there will be more political control on research budgets that could mean money being diverted toward pet projects - rather than spent on what is independently judged by experts to be the best science - as is currently the case." We have forecast a rise in REF income of £2m pa based on increased volume but no overall change in quality.
- 3.6 We are mindful of the inflationary pressure in our financial forecasts that arises as a result of static domestic tuition fees and a rising cost base driven by staff costs and notably by employer pension contributions. In recent years, our strategy has been to diversify income both in terms of a growth in the international postgraduate student population but also through commercial activity such as operation of the Science & Enterprise Park and the hotel/conference business running through Imago. Commercial activity has been significantly impacted by Covid19 and we have had to reduce expectations of returns from both the Science & Enterprise Park and Imago in our forecasts. Focus of the relevant management teams is on achieving the best possible financial recovery with support from the University.
- 3.7 The 2020 valuation of the Universities Superannuation Scheme (USS) has yet to be resolved. The USS Trustee has signalled that contributions from employers and members would need to rise very significantly in order to retain current benefits. While both UUK and UCU have been critical of the USS Trustee for what is seen as excessive prudence in the valuation it remains the case that the Trustee is able to impose contribution increases on the sector unless a resolution can be found to the satisfaction of the Pensions Regulator. At present we have forecast only the anticipated contribution increase in October 2021 and expect that further contribution rises will be avoided through a combination of increased employer covenant support, revision of valuation assumptions by the Trustee and reform to benefits. Should contribution increases be imposed on the sector these could (under the USS Trustees scenario 3) amount of an additional £14m pa. There is a further risk of contagion to other pension schemes including the Leicestershire Local Government Pension Scheme and the disruption caused by the potential for a further round of industrial action.
- 3.8 Finally, our capital expenditure plans have been on hold during the Covid19 pandemic and we will need to revisit the balance between maintenance of our existing estate, new build projects including a new home for Loughborough Students' Union and strategic investment in our student accommodation where we know there is a looming gap in our surplus generating income or a material call on our cash reserves.

**Appendix 1 - Five-year forecast summary**

£m	July 2021					
	2020/21	2021/22	2022/23	2023/24	2024/25	2025/26
Tuition fees and education contracts	173.7	166.6	179.1	192.0	204.0	207.3
Funding Body grants - Recurrent	34.3	31.3	33.2	33.2	33.2	33.2
Funding Body grants - one off	4.8	3.2	3.2	3.2	3.2	3.2
Research Grants & Contracts	37.0	60.4	49.2	52.8	57.4	59.6
Other Income	58.3	69.4	75.3	72.1	70.0	69.2
Other Income - One off	0.0	1.8	6.0	0.1	0.1	0.1
Donations and Investment Income	2.9	1.7	1.8	1.8	1.9	1.9
<b>Total Income</b>	<b>311.0</b>	<b>334.4</b>	<b>347.8</b>	<b>355.2</b>	<b>369.7</b>	<b>374.5</b>
Staff Costs	(177.8)	(188.8)	(192.6)	(201.0)	(210.3)	(218.5)
Other operating expenses	(98.3)	(114.6)	(114.8)	(115.4)	(118.1)	(118.9)
Depreciation	(31.3)	(28.7)	(28.0)	(28.6)	(29.5)	(30.2)
Interest and other finance costs	(5.4)	(5.2)	(5.0)	(4.8)	(4.6)	(4.4)
<b>Total Expenditure</b>	<b>(312.8)</b>	<b>(337.3)</b>	<b>(340.4)</b>	<b>(349.8)</b>	<b>(362.6)</b>	<b>(372.0)</b>
Gain on disposal of fixed assets	0.4	0.0	0.0	0.0	0.0	0.0
Loss on Investments	(0.7)	0.0	0.0	0.0	0.0	0.0
<b>Surplus/(Deficit)</b>	<b>(2.0)</b>	<b>(2.9)</b>	<b>7.4</b>	<b>5.5</b>	<b>7.2</b>	<b>2.5</b>
Depreciation	31.3	28.7	28.0	28.6	29.5	30.2
Working Capital	0.6	2.6	1.6	2.1	2.4	2.2
Capital grants - income recognised	(5.5)	(6.3)	(10.5)	(4.6)	(4.6)	(4.6)
Other Operating cash flow adjustments	9.7	5.3	4.9	4.5	3.9	3.4
<b>Net Operating cash flow</b>	<b>32.8</b>	<b>27.5</b>	<b>31.3</b>	<b>36.0</b>	<b>38.4</b>	<b>33.8</b>
Capital grants - cash received	6.5	11.4	4.6	4.6	4.6	4.6
Capital expenditure - cash paid	(10.3)	(50.6)	(30.6)	(28.1)	(25.8)	(53.9)
Loan payments and other adjustments	(7.9)	(8.1)	(8.0)	(7.9)	(7.8)	(7.7)
<b>Net cash flow</b>	<b>21.0</b>	<b>(19.8)</b>	<b>(2.6)</b>	<b>4.7</b>	<b>9.5</b>	<b>(23.2)</b>

## **Appendix 2: Key Assumptions**

### **Funding Body grants**

- Teaching grant held flat at 20/21 level.
- QR funding, as a result of REF 2021, increased to by £2.0m per annum, to £19.9m, from 22/23
- RCIF/TCIF capital grants maintained at £3.2m per annum in line with core grant in 20/21
- HEIF maintained at £4.3m per annum in line with 20/21 recurrent allocation

### **Tuition Fees**

Excluding the additional contingency applied, our tuition fee forecast assumes:

- Home undergraduate fees assumed to stay at £9,250 throughout the forecast period
- Fee inflation for non-regulated fees assumed at 2.0% UKEU and 4.0% International
- Undergraduate numbers remain broadly flat
- Home PGT remains largely flat, reflecting 21/22 targets with small growth in London thereafter
- International PGT on the Loughborough campus modelled in line with planning assumptions to include growth in 21/22 but then flat for remainder of period
- International PGT on the London Campus to grow to 24/25 to reach steady state.
- Under recruitment provision of 1.5% assumed from 22/23 and each year after.
- Agents' commissions – assumption that 80% of international students come via agent.
- Degree apprenticeship income of £1.7m per annum (incl. £0.2m recovery of levy paid).
- Bursaries paid in line with student numbers
- PhD tuition fee scholarships grow at 2.0% in line with fee inflation

### **Research grants & contracts**

- These reflect School based awards targets and Council reported KPI's up to 22/23 with a 2.5% increase thereafter, with an overhead recovery at 26%.

### **Other Income**

- Hall fees included at set 21/22 rates, 1.4% inflation in 22/23, 1.5% in 23/24 and 2.0% annual inflation for the remainder of the forecast period. Hall occupancy assumed at 98% for whole of forecast period.
- Other income rising in line with inflation, except for retail activity which assumes full recovery to pre-covid levels is not achieved until 22/23

### **Donations & Investment income**

- £0.25m of budget relieving donations assumed each year

### **Staff costs**

- 1.5% inflation in 21/22, rising to 2.5% thereafter.
- Staff efficiencies from severance scheme as actioned and Professional Services savings identified.
- Rewards and promotions assumption static at 1.5% of total pay costs from 21/22.
- No staff growth, other than to service increase in student numbers in London
- Pension – LGPS to rise to 26.6% from Apr '21 and 27.6% from Apr '22.; USS capped at 23.7%
- One off increased slippage savings of £1.0m as a result of the current vacancy freeze.

### **Other operating expenditure**

- Non-Pay – assumed returns to pre covid levels in 21/22 (other than savings already identified, or unavoidable increases). 2% annual inflation assumed from 22/23 onwards
- Utilities – increasing in line with inflation
- £1.0m of one-off strategic investment contingency in 21/22, rising to £2.0m from 22/23

### **Capex**

- Includes £6m grant for Sport Park 4<sup>th</sup> Pavilion





**Paper Title:** Revolving Credit Facility - Extension

**Author:** Director of Finance

<p><b>1. Decision required by Council</b></p>	<p>Council is asked to <b>APPROVE</b>, with the recommendation of Finance Committee, an extension to the University's Revolving Credit Facility with delegated authority to the Director of Finance to complete all associated legal documentation.</p>
<p><b>2. Executive Summary</b></p>	<p>In October 2019, Council approved the procurement of a Revolving Credit Facility (RCF) with a three-year committed term (2020-2023) and the possibility of two further one-year extensions subject to re-pricing at the time of extension.</p> <p>In January 2021, discussions with Lloyds Bank to exercise the first extension were instigated. Matters were progressing well until it was noted that the terms of the proposed extension fell outside of the pricing range set out in the original delegation of authority to the Director of Finance.</p> <p>Council is therefore asked to approve the proposed re-pricing and to reaffirm the delegated authority to the Director of Finance to complete the necessary legal documentation.</p> <p><b>Facility:</b> £50,000,000  <b>Extension:</b> To 20 February 2024</p> <p><b>Margin on Borrowing:</b> Original 35bps  Extension 50bps</p> <p><b>Non-Utilisation Fee:</b> Original 15bps  Extension 27bps</p> <p><b>Arrangement Fee:</b> £25,000</p> <p>The cash impact of the proposed re-pricing is as follows:</p> <p><b>Full Draw Down:</b> Original £575,000  (Annual Interest) Extension £650,000</p> <p><b>Zero Utilisation:</b> Original £75,000  (Annual Cost) Extension £135,000</p> <p>It remains an option for Council not to exercise the extension but to remain at the originally envisaged term ending 20 February 2023.</p> <p>Lloyds Bank's draft letter of amendment is attached as Appendix 1, found <a href="#">here</a>, and should inform Council's decision regarding the requested delegation of authority.</p>

# Council



**Ref:**

Date: June 2021

**Paper Title:** Race Equality Charter (REC) Submission

**Origin:** Richard Taylor (REC Co-Chair), James Esson (REC Co-Chair)

1. Specific Decision Required by Committee	Council is asked to <b>ENDORSE</b> the University's approach and submission.
2. Executive Summary	<p>The University is preparing its Race Equality Charter (REC) Bronze submission. The Bronze Award is a focussed piece of work that requires us to take stock of our current position regarding race and racism and establish focussed short to medium term actions to make progress.</p> <p>The paper summarizes the key points of the submission which are relevant for the University's governing bodies. These points will underpin the proposed action plan and wider race equity strategy.</p> <p>Please note – the document contains special category data and must be treated in accordance with GDPR law and Data Protection training. The data must not be shared or accessed by anyone besides Council members. The data should not be used for any purpose other than for the purpose of the REC submission.</p>
3. Committees/Groups previously considering item.	<p>Human Resources Committee Race Equality Action Group Race Equality Working Group BAME Staff Network ALT</p>

## **Council**

**1 July 2021**

### **Race Equality Charter**

As previously reported to Council, the University has been working extensively to prepare a submission for the Race Equality Charter Bronze Award. The Bronze Award is not a panacea for racism. Instead, it is a focussed piece of work that requires us to take stock of our current position regarding race and racism and establish focussed short to medium term actions to make progress.

The University's application is due to be made later this month. You can find the draft narrative submission [here](#) and the associated action plan [here](#).

The following summarises the position we have taken in the submission:

- Through the submission we adopt a position as an institution that is actively anti-racist.
- We acknowledge institutional racism is present at Loughborough (Council may be interested in this [film](#) where leaders, including the Vice Chancellor are interviewed by Mike Wedderburn). We observe and document superficially fair processes and structures that produce inequitable outcomes in terms of race that we attribute, at least to a significant part, to institutional racism.
- We acknowledge that the presence of institutional racism will have a negative impact on Black, Asian and Minority Ethnic staff and students. We commit to implementing measures to understand and reduce institutional racism.
- We identify a lack of diversity in the senior leadership of our organisation, that is and will continue to hold us back as we progress our anti-racist work. We commit to address this through actions.
- Noting the limited scope of REC Bronze, we commit to the development of a wider race equity strategy that will form the basis of future REC submissions.
- Our proposed action plan addresses these issues. It will require a collegiate, institutional-led effort to implement where every member of the University community has a part to play.

**Council is asked to endorse this approach and submission.**

Dr James Esson, Richard Taylor  
Co-Chairs of the Race Equality Action Group

# COUNCIL



**Paper Title:** Report of the meeting of Audit Committee on 10 June 2021

**Origin:** Audit Committee Secretary

**Date:** June 2021

1. Decision Required by Committee	To NOTE the report
2. Executive Summary	This report contains the minutes of the meeting of Audit Committee held on 10 June 2021, prefaced by a foreword from the Chair of the Committee.
3. Committees/Groups previously considering item.	The issues outlined in this report were discussed by Audit Committee at its meeting in June 2021. Internal Audit reports are discussed with the University's senior management team.

## **Audit Committee report to Council, March 2021**

### **Foreword from the Chair of Audit Committee**

This brief summary highlights relevant key points from the June meeting of the Audit Committee for the information of Council members.

Of note for Council is the re-appointment of PWC as Internal Audit providers following a competitive tendering process, which involved both the current and incoming Chair of Audit Committee. PWC have been reappointed on a 2 year + 3 year basis.

At the June meeting, the Committee received a further briefing from Senior Management on the University's response to Covid-19 and the return to campus of our students.

Members were provided with a comprehensive overview of proposed reforms to corporate governance and audit which were currently subject to a consultation by the Department for Business, Energy and Industrial Strategy (BEIS). The reforms were wide reaching with over 140 recommendations. It was important that Council should also understand the potential implications of the proposed reforms and work would be done to enable this, including a briefing from PWC once the outcome of the consultation was known. Council should be aware that, should the proposals be enacted, they would likely lead to an increase in the responsibilities and accountability of lay members.

An extensive discussion of Risk took place, informed by work which had been undertaken by PWC to support the development of LU's risk management process & policy. Audit Committee recommended that this work be discussed further with the G8 Senior Management Group, with ALT and ultimately with Council. Additional work on assurance mapping was required and this would be reported to a future meeting of the Audit Committee.

Audit Committee will have turnover of 4 members, including the Chair, from the 2021/22 session. An induction programme has taken place and training & development of the new Chair and members is ongoing.

Finally, I would like to express my thanks to the Committee for their support and commitment to their responsibilities. On behalf of the Committee, I would like to express our thanks to our External and Internal Auditors, the Finance Team, and Sophie Crouchman, our Secretary.

Ann Greenwood

Chair of Audit Committee

June 2021

# Audit Committee



Loughborough  
University

## MINUTES

### AUD20-M2

10 June 2021

#### Attendance

##### Present:

Ann Greenwood (Chair), Sally Ann Hibberd, James Hunt, Sarah Sandle

##### In attendance:

Sophie Crouchman (Secretary), Andy Stephens, James Henry, Richard Taylor, Graham Corfield, Mark Dawson, Alison Breadon, Ben Connor, Callum Bright, Yasmin Phillips, Claudia Eberlein, Renae Huggan-Broughton, John Rushforth

#### Apologies for Absence

Jennifer Maxwell-Harris

#### 21/18 Business of the Agenda

No conflicts of interest were declared.

#### 21/19 Reports of Previous Meetings

##### AUD21-M1 (*previously circulated*)

The minutes of the meeting held on 11 February 2021 were confirmed as a correct record.

#### 21/20 Matters Arising

##### 20.1 Summary of Outstanding & Completed Actions AUD21-P12

A summary of movements on matters arising since the last report on 11 February was noted. Completed or closed actions would be removed from the summary document following the meeting.

##### 20.2 Any Other Matters Arising

There were no other Matters Arising.

#### 21/21 Emerging Issues

##### 21.1 Sector Wide Issues and Best Practice

PWC referenced two reports which had been included in the agenda and noted the following points arising from those:

##### 21.2 Reforms to corporate governance and audit

AUD21-P13a

AUD21-P13b

PWC and KPMG provided an update on proposed corporate governance & audit reforms, and the impacts on LU.

It was noted that the reforms were wide reaching with over 140 recommendations but that they were still at the proposal stage and a consultation on the changes was ongoing. Within the proposals there were some substantial changes which could potentially have a significant impact on HEIs. One of these was whether all Universities would be classed as Public Interest Entities (PIEs). In addition, the proposals recommended a broadening of existing control frameworks around reporting meaning that the regulatory framework would extend beyond financial reporting in HEIs. There were also a number of other proposals which would increase the responsibility & accountability of directors.

It was suggested that the HE sector was already very heavily regulated, and that this should be made clear in any response to BEIS. However, it was noted that the University should be cautious about overstating the level of regulation in the sector because audit, assurance and internal financial control were currently not highly regulated, despite the vastness of the regulatory environment in which Universities operated.

Committee members appreciated the update and suggested that it would be helpful for Council to understand the potential implications. PWC were running a sector-wide event for Governors but could also provide a bespoke session for Council if required. The University was urged to undertake a piece of work to consider the impact of the proposals, should they come to pass, and to feed this back into Audit Committee at a future date. However, it was noted that to do a detailed analysis of the impacts of all changes would be very onerous and so it was not felt that this was an appropriate response given that there was no guarantee the changes would be implemented. However, it was felt that a high level analysis would be helpful and also that LU should be encouraged to submit a response as part of the consultation, noting that not all questions had to be addressed but rather than the university should select particular areas of concern when compiling a response.

**Action: Secretary to schedule follow-up. DoF/COO to consider appropriate work on proposals in context of the regulatory environment.**

### 21.3 University Senior Officers' Report

The Director of Finance and COO provided an update the Committee as follows:

- Regarding Covid LU was still seeing low numbers of cases on campus. The asymptomatic testing regime was believed to be one of the most rigorous in the sector and compliance amongst students was around 95%. The testing regime was helping the University to bring students back onto campus, into classrooms and allowing them to participate in sports.
- Going into the new academic year, the University was considering 3 different scenarios ranging from relative normality through to a retention of moderate restrictions including distancing. Home UG Recruitment for 2021 entry was looking positive.
- Information/data security was a significant issue. Remote working meant that the University was under increased vulnerability of cyber-attack. 15 HEIs had suffered an attack so far this year and LU had brought forward a range of measures to mitigate risk, including Multi-factor authentication for students.
- Water hygiene had become an issue due to buildings being unoccupied for significant periods of time, however work had been undertaken to address the problems.
- The new VC, Nick Jennings, would take up his appointment in the autumn.
- PWC had been re-appointed as internal auditors after a competitive tender process.
- Budgets for 2021/22 had been set and would be considered by Finance Committee later in the month before being approved at Council. Although budgets had not been devolved to Schools/Services in 2020/21, they would be devolved in 2021/22 and the freeze on vacancies would be lifted from 1 July for appointments after 1 August. Financial planning had been prudent, partially due to uncertainties around International student recruitment.

## 21.4 Chair's Report

The Chair provided a brief report on the Internal Audit tendering process. Both Simon Steele and the incoming Chair Graham Corfield had been involved in the exercise. The panel felt that PWC could deliver continuity at a time of considerable change not just for the University but also for the membership of Audit Committee. PWC had been contracted on a 2 year + 3 year basis. The Chair and incoming Chair had both met with PWC following reappointment to discuss next year's Audit plan. The Chair had also met with KPMG to discuss forthcoming audit of the financial statements.

## 21.5 Member's Business

One member raised the issue of compliance culture and it was agreed that this would be picked up under items 21/22.2 and 25. There was no additional members business.

## 21/22 Internal Audit

### 22.1 Internal Audit: Recommendations Tracking Report AUD21-P14

The Deputy DoF presented a document detailing the status of items arising from Internal Audit, including high risk recommendations. It was noted that LU would be rolling out PWC's tracking software TrAction and this would assist with both tracking and reporting of recommendations.

Concern was expressed in relation to some Services not fully understanding what was required as a result of internal audit reports, and/or disagreeing with stated actions. It was important to ensure that this was not endemic in the organisation and the COO & Deputy DoF were tasked with making it clear to Services what is expected of them following receipt of an IA report. **Action: COO & Deputy DoF.**

### 22.2 Internal Audit: Individual Reports

#### (AUD21-P15) UUK Accommodation Code of Practice Compliance

Compliance with the UUK Accommodation code of practice was audited on a cyclical basis. No major issues were identified although it was noted that some compliance activities had been paused or delayed due to the pandemic, but that there was a plan to address these. There was a divergence between University policy on fire risk assessments, which were undertaken every 2 years, and the guidance issued by UUK which suggested assessments annually. The Director of Health, Safety & Wellbeing has been approached to provide an explanation for the discrepancy and this is included below:

*The UUK standard suggests a regular review of accommodation fire risk assessments (FRAs). The audit standard specifies 'regular', while the guidance to the audit says 'regular i.e. annually'. We do not believe that this frequency would significantly reduce risk. FRAs will be undertaken sooner than two years where the criteria under the regulatory reform (fire safety) order, RR(FS)O 2005 explicitly states this.*

*Health, Safety & Environment Committee approved a 2 year review cycle having considered the issue.*

The relevant minute from the May 2021 meeting of the Health, Safety & Environment Committee is as follows:

*28.3 The Committee CONFIRMED its commitment to the current two-year Fire Risk Assessment review period for accommodation and APPROVED a proposed wider position on University fire risk assessment review periods.*

#### (AUD21-P16) Financial Forecasting

Linkage between the Financial Strategy and the overall University Strategy was noted as a weakness, but the challenge in weaving the 2 strands together was appreciated.

Members queried whether the level of uncertainty experienced by the sector in the last 18 months was falling and although uncertainty linked to the pandemic was easing, there remained significant issues around the UG fee environment; top up funding for STEM



subjects; International Recruitment and the USS pension scheme.

#### (AUD21-P17) Financial Systems

The most fundamental issue identified was around the volume and justification of manual journals. It was hoped that the recommendation would drive efficiencies & reduce the volume of manual journals posted. Finance should consider how good practice identified within Estates & Facilities Management in terms of how financial activities were managed & approved could be rolled out to other sections. There was no management response in the report, but it was clarified that the Finance had provided feedback and that several recommendations were already being progressed.

### 22.3 Internal Audit: Progress Report AUD21-P18

PWC presented their progress report which summarised findings and presented an update on progress for planned work in 2020/21.

PWC also presented 2 recent pieces of work on Managing Risk in HE and on Data Quality analysis. In relation to the former, it was notable that risks identified by HEIs were very similar despite the diverse nature of the sector, with cyber security being the top risk.

### 22.4 Internal Audit: Plan of work 2021/22

#### AUD21-P19

PWC had held a number of conversations to inform the drafting of the 2021/22 plan of work. Notably, a number of days had been held back in contingency to allow for additional work to be undertaken once the new VC, Nick Jennings, had started in post. Areas where PWC were not providing assurance should be scrutinised to ensure the Committee and the University more widely had alternative assurance mechanisms in place. The Internal Audit Charter was included in the plan.

It was suggested that although LU had very robust policies in place, there were systemic issues with assurance which related to variation across campus and the balance between allowing managers to have sufficient autonomy to run sections effectively, and the need for consistency in compliance matters. Concern was expressed that there was insufficient assurance around second line of defence – including monitoring; KPIs; governance and escalation of risks. Although the Committee received assurance of specific processes/policies it was suggested that it would be useful to look at compliance at a broader scale within the institution. Assurance mapping had been discussed at the Committee previously and it was agreed that this piece of work be completed to provide assurance to members on the 2<sup>nd</sup> line of defence. This should be linked with the work that had taken place on risk management (item 21/25). **Action: COO/DoF to take forward assurance mapping work & report back to a future meeting.**

In response to a query, it was noted that recent Freedom of Expression legislation concerning HEIs would be progressed by the OfS working group in the first instance. The Working Group reported regularly to Audit Committee.

## 21/23 External Audit

### 23.1 External Audit: Plan of work

#### AUD21-P20

The approach to Audit was broadly in line with the previous year – there were no new accounting standards or directions from OfS and the same significant risks and areas of focus had been identified. On pensions, LGPS and USS had been included as 2 separate risks where they were previously considered together as 1.

A question was raised in relation to subsidiaries which may have made a loss in 2020/21. Although there were implications for the University of this, the impact on the accounts would be limited and LU would provide assurance to the Auditors in any such case.

## 21/24 Access and Participation Plan

The Committee noted an update from the Access and Participation plan Sub-Committee, confirming that the APSC had completed a Risk Register and that this was monitored regularly and approved annually. A full report on the APP targets would be provided to Audit Committee in the Autumn of 2021.

## 21/25 Risk Management

### AUD21-P21 (late paper)

The Committee received an update from the Director of Finance and Callum Bright (PWC) in relation to Risk. The University's Senior Leadership Team had been consulted on the previous strategic risk register and to determine its relevance and to better articulate risks currently being faced by LU. PWC had also held individual briefings with risk owners, and this had fed into the documents presented to the Committee which outlined gross; net and target risks (the latter being a proxy for risk appetite). The gross/net/target risk framework would inform what assurance was required. Further work was needed around risk assurance mapping, 3 lines of defence and accountability.

It was important for the University to be very clear about what risks it wanted to take & how these risks could be managed in a sensible way. Members noted how far the University had come in relation to risk management and appreciated that there were resource implications where controls were set at too high a level. However, concern was expressed around where some of the target levels were set and what this indicated about the organisation, particularly in relation to regulatory or legislative compliance. It would be helpful to differentiate between running at a high level of risk due to external factors and those risks which were solely within the University's purview to influence. The piece of work undertaken suggested that the University's senior team had a higher risk appetite than Council was likely to, and this was common within HEIs.

Members noted that the presentation of the 'heatmap' within the report could be cause for alarm due to the colours used – nothing on some risks, ~50% of the grid was coloured red. The heatmap approach had limitations as it tended to focus on a worst-case scenario, but it was helpful in terms of rating impact over likelihood, as it had been shown that people are inherently less accurate at estimating likelihood.

It was important that this work was a starting point for further discussions at Council, who were ultimately responsible for setting the University's risk appetite. The development of the risk register and risk appetite also need be progressed alongside the development of the new University Strategy. Initially, the senior team should consider the minute from this Committee meeting alongside the work done by PWC to articulate their overall risk appetite. A discussion should also take place at Academic Leadership Team. **Action: Secretary to liaise with Dof/PWC to ensure work is taken forward through Senior Team (G8); ALT and Council.**

## 21/26 University Strategy

### AUD21-P22

An update from the Director of Planning on the development of the new University Strategy was noted. Some of the strategy work would be paused to allow the incoming Vice Chancellor the opportunity to feed in. It was noted that the timetable in the document would be communicated to Council as part of the Strategy update being taken to the July 2021 meeting.

It was suggested that a risk relating to government policy on the financial framework for HE should be for inclusion in the list of risks to strategy development. **Action: Director of Planning**

## 21/27 OfS Compliance

### AUD21-P23

A report from LU's OfS Working Group held on 24 May 2021 was noted.

## 21/28 Preparations for Discussions with the Provost and Deputy Vice Chancellor

The following points for discussion with the Provost, Professor Chris Linton, who will be attending the meeting to be held on 23 September 2021, were suggested:

- Student recruitment
- Budgets for 2021/22
- Strategy update
- Preparations for the start of the new academic year including evolution of teaching & learning
- Response to the development of the Risk Register & risk appetite
- What are we doing differently coming out of the pandemic?

## 21/29 Review of Committee Effectiveness

### AUD21-P24

Members were asked to consider the effectiveness of the Committee and where there were areas for improvement. External Audit noted that many other Audit Committees were spending a significant amount of time on OfS compliance and the regulation agenda and it was suggested that the Committee may wish to increase the frequency of reporting on this. **Action: Chair/Secretary**

It was noted that co-opted members may not have the same opportunities as Council lay members to understand the wider operating context of the University. It was suggested that parts of the Council induction for new members could be extended to include co-opted members of the Audit Committee. **Action: Secretary**

The University was commended in being clear and transparent with the Committee and in bringing forward issues, however the lack of opportunities to come onto campus in the last year could have the effect of making members feel less connected.

It was agreed that the self-assessment exercise undertaken in 2019 should be repeated in the future, particularly given the significant turnover in membership. **Action: Secretary.**

## \*21/30 Loughborough Students Union Management Letter

### AUD21-P25

The Loughborough Students' Union accounts for 2019/20 and the associated management letter were noted.

## \*21/31 Accounting Matters

### Accounting policies

#### AUD21-P26

Accounting policies to be used for the 2020/21 Financial Statements were noted.

## \*21/32 Non-Audit work Undertaken by Internal or External Audit

### AUD21-P27

The Committee received a report from the Director of Finance regarding use of Internal and External Audit for non-audit work.

## \*21/33 Annual Monitoring Return to OfS

### AUD21-P28

The Committee received the Access and Participation Annual Monitoring Return to OfS, as approved by the Chair as action between meetings.

### **\*21/34 Report of Finance Committee**

#### **AUD21-P29**

A report of the meetings of Finance Committee held on 12 February and 19 March 2021 was

### **\*21/35 Report of Council Business**

noted.

#### **AUD21-P30**

Extracts of the minutes of Council held on Tuesday 16 March 2021 regarding Audit Committee Business and the Vice-Chancellor's report was noted.

### **21/36 Any Other Business**

There was no other business

### **21/37 Valediction**

Two members of the Committee, James Hunt and Sarah Sandle, were coming to the end of their membership and this was their last meeting of Audit Committee. James had been a member for 10 years and Sarah for 3. The Chair offered thanks on behalf of both Committee members and the University to both James and Sarah for their valuable contributions to the work of the Committee and the experience that they had both brought to the role.

The Chair of the Committee, Ann Greenwood, had come to the end of her term of office as a Council member and would therefore also be stepping down from the Committee. Ann had been a member of Audit Committee for 9 years and the Chair for 3 years. Ann was thanked by the University and Committee members for her service and her contributions to the work of the Audit Committee and the wider University.

### **21/38 Schedule of Meetings**

*Provisional Dates for 2021-22 academic year as follows (Venue TBC):*

Thursday 23 September	09.30-12.30
Tuesday 26 October	09.30-12.30
Thursday 10 February	13.00-17.00
Tuesday 24 May	13.00-17.00

### **21/39 Private Meeting**

The minutes of the private meeting would be circulated by separate cover where actions were noted.

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Author – Sophie Crouchman

Date – June 2021

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# COUNCIL



**Paper Title:** Update on proposed 2021 Effectiveness Review of Council

**Origin:** Head of Governance on behalf of Review Group

**Date:** 21 June 2021

1. Decision Required by Committee	Council is asked TO NOTE the update on progress below.
2. Executive Summary	<p>The Working Group established by Council in March has now met formally on 2 occasions and the President of LSU has been added to the membership. Following a tendering process, has selected Advance HE to act as external consultants to support the review.</p> <p>The methodology agreed with Advance HE includes:</p> <ol style="list-style-type: none"><li>1. A short questionnaire to Council members</li><li>2. 1:1 interviews with lay members, the President of LSU and senior officers including the current and incoming Vice-Chancellors</li><li>3. 3 Group sessions with staff members, staff working with Council and current and former student members</li><li>4. Observation of a Council meeting and several sub-committee meetings</li><li>5. A review of relevant documentation</li></ol> <p>The Review Group's next meeting is on 29 June 2021 and a verbal update will be provided to Council from that meeting.</p> <p>A session will be held on the initial findings of the review at the October Away Day and a final report presented to Council in November 2021.</p> <p>Council members are thanked for their contribution to the review to date.</p>
3. Committees/Groups previously considering item.	<p>Effectiveness Review of Council Working Group:</p> <p>Jane Tabor (Chair), Tony Edwards, Pauline Matturi, John Sinnott, Tony Williams, Matt Youngs supported by Richard Taylor and Jennifer Nutkins</p>

# COUNCIL



**Paper Title:** Sport Park Pavilion 4

**Origin:** Director of Estates & Facilities Management

**Date:** July 2021

<p>1. Decision Required by Committee</p>	<p>Council is asked to <b>DELEGATE</b> authority to the Chair of Council and VC to <b>APPROVE</b> a Stage D Major Capital Project application for the Sport Park Pavilion 4 project.</p>
<p>2. Executive Summary</p>	<p>Sport Park Pavilion 4 is a £9m major capital project, with £6m of external funding from the Leicester &amp; Leicestershire Enterprise Partnership (LLEP) secured through central Government's Getting Building Funding (GBF). LU will provide match-funding of £1.5m and reclaim a further £1.5m in VAT. The grant funding must be drawn down by March 2022.</p> <p>The project will create a 2108m<sup>2</sup> fourth pavilion to the south side of the existing Sport Park building on Oakwood Drive, replicating the footprint of Pavilion 2 to create commercial office accommodation over four floors. The building will be occupied by UKAD (UK Anti-Doping) as the anchor tenant once construction is complete. The Property Office are leading the Heads of Terms negotiation with UKAD and a signed agreement is expected imminently.</p> <p>Dependent on securing appropriate governance approvals construction works would commence on site on 27 September 2021 with the project completion date set as 23 September 2022.</p> <p>The Chief Operating Officer will provide the following verbal updates at the Council meeting on 1 July:</p> <ul style="list-style-type: none"> <li>• Outcome of the completed tender evaluation.</li> <li>• Status of the Heads of Terms agreement with the anchor tenant.</li> <li>• Outcome of the APVC for Sport's meeting with the Chair of the LLEP regarding the grant funding timescales.</li> </ul>
<p>3. Committees/Groups previously considering item.</p>	<p>Operations Committee, Estates Management Committee, Sport Park Pavilion 4 PMB</p>

## COUNCIL



### Subject

Sport Park Pavilion 4

### Origin

Director of Estates and Facilities Management (E&FM)

### Decision required by the Council

Council is asked to **DELEGATE** authority to the Chair of Council and VC to **APPROVE** a Stage D Major Capital Project application for the Sport Park Pavilion 4 project.

### Executive Summary

Sport Park Pavilion 4 is a £9m major capital project, with £6m of external funding from the Leicester & Leicestershire Enterprise Partnership (LLEP) secured through central Government's Getting Building Funding (GBF). LU will provide match-funding of £1.5m and reclaim a further £1.5m in VAT. The grant funding must be drawn down by March 2022.

The project will create a 2108m<sup>2</sup> fourth pavilion building to the south side of the existing Sport Park building on Oakwood Drive, replicating the footprint of Pavilion 2 to create commercial office accommodation over four floors. The building will be occupied by UKAD (UK Anti-Doping) as the anchor tenant once construction is complete. The Property Office are leading the Heads of Terms negotiation with UKAD and a signed agreement is expected imminently. The Chief Operating Officer will provide a verbal update at the Council meeting on 1 July to confirm whether the Heads of Terms agreement has been signed.

The new pavilion will have the look and feel of the existing pavilions in terms of materials, scale and massing but has been developed with the aim of securing the environmental credentials of Passivhaus Classic certification. In line with the University Estate and Energy Strategies this building will be the first on campus to be developed to secure Passivhaus Classic Certification. This will be overseen by the certifying consultant ETUDE. E&FM have worked with academic colleagues in the School of Architecture, Building and Civil Engineering (ABCE) who are excited about the opportunities for building analysis via the building management system.

Dependent on securing appropriate governance approvals construction works would commence on site on 27 September 2021 with the project completion date set as 23 September 2022.

### Governance history and required approvals

Operations Committee last considered an update on the project on 8 June 2021 having previously approved a Stage A (November 2020) and Stage B (February 2021) major capital project application at a forecast capital cost of £9m. As tenders had not yet been returned, Operations Committee agreed to consider a Stage C application at their next meeting on 12 July 2021.

EMC last considered an update on the project on 18 June 2021 having previously approved a Stage B major capital project application in February 2021. Following discussion, EMC agreed to delegate authority to the Chair of EMC to approve the final Stage C and D major capital project application subject to:

- A signed Heads of Terms document between the University and the anchor tenant – EMC will not at this stage sign off on the project without this.
- A letter of comfort from the LLEP regarding the timescales for drawing down the £6m grant.
- Confirmation that the £500k highways contribution is not payable.
- Confirmation that the recommended appointment of the contractor with the highest scoring tender will not exceed the project budget.

Further information on these key risks are provided in this paper to Council. If any of these conditions are not met, EMC will be asked to consider and approve the final Stage C and D major capital project via email circulation.

Under the terms of the University's Major Capital Project Procedures all projects over £4m must receive Stage D (appointment of contractor) approval from full Council. Due to the pressures of the external funding timeline this paper asks Council to **DELEGATE** authority to the Chair of Council and VC to **APPROVE** a Stage D Major Capital Project application after securing relevant governance approvals from Operations Committee and the Chair of EMC under agreed delegated authority.

### Tender process update including costs

Three tenders were returned on 11 June 2021. The tender evaluation process will take two weeks and is not yet complete at the time of writing this paper. At their meeting on 18 June 2021, EMC received an update on the initial analysis of the three tenders returned and the planned tender scoring process. EMC agreed that the tender weighting of 40% cost and 60% quality is suitable.

EMC noted that two of the three contractors returned broadly similar overall costs under the net cost of £6.5m needed to return the £9m project on budget. Cost consultants, Gleeds, had advised that they expected net costs to be returned at £6.7m.

While the return of two contractors slightly under budget, E&FM would, in usual times, be confident that the project could be delivered for the budget of £9m. However, due to the pandemic, the market volatility for materials, labour and construction equipment availability is a key risk to the project. There are delays in all supply chains from raw materials to finished products. Basic building materials like concrete, steel and wood are in short supply with some manufacturers reporting 20-30 week lead periods. These shortages are then increasing market cost with concrete prices increasing around 15% and steel reportedly increasing by 50%. Labour force and skills are also limited, again pushing costs up.

All contractors have reported difficulty securing firm costs and programmes from sub-contractors. EMC lay members agreed that the market volatility risks are concerning and needed to be reported transparently to Council. They anticipate that materials prices are likely to be up to 15% higher by the September construction start date compared to today. A 60-week construction period has been assumed but the market is so volatile this cannot be guaranteed.

E&FM invited contractors to offer alternative cost saving solutions as part of the tender process and these will be evaluated. The construction works will be procured using a fixed price Design & Build contract and any cost increases will be met by the contractor, but LU will need to avoid any form of "mission creep" in the project specification to ensure the project remains on budget. EMC agreed that the design should be firmly locked down, no changes should be made without approval and this will be the responsibility of the APVC for Sport as the Chair of the Sport Park Pavilion 4 PMB to manage. EMC noted that as a new build there should be less need for changes to design or scope creep in comparison to the recent W&S Buildings refurbishment project.

The tender evaluation process will be complete by the time Council meets on 1 July and the Chief Operating Officer will give a verbal update on the outcome including the highest scoring contractor.



## Key project risks

### 1. Cashflow and external funding timetable

The biggest risk to the project is the inability to match project cashflow to the timetable stipulated in the LLEP funding requirements. We always anticipated that we would not be able to spend the full £6m grant by mid-March 2022 and E&FM and Research & Enterprise Office representatives have been explicitly clear in all dialogue with LLEP representatives on this, explaining the challenges of the project programme and that we predicted spending between £4m and £4.5m net by that point. Contractor cashflows submitted as part of the tender report spend of between £2.5m and £2.75m by mid-March 2022. Adding in spend on fees the University will have drawn down between £3.2m and £3.5m of the grant by mid-March 2022, leaving a potential underspend of up to £2.8m.

Following the departure of the PVC(E), Professor Mike Caine, APVC for Sport, has taken over the Chair of the Sport Park Pavilion 4 PMB. He is meeting with the Chair of the LLEP week commencing 21 June and will seek a letter of comfort from the LLEP in regard to the timescales for spending the £6m grant. EMC agreed that we need to be cautious regarding the terms of the LLEP funding and welcomed this approach to mitigate the risk to the University.

A verbal update on the outcome of the APVC's meeting with the Chair of the LLEP will be provided at the Council meeting on 1 July.

### 2. LCC Highways contribution

The planning application was submitted on 11th March 2021 and a decision was expected on 14th June 2021. However, Leicestershire County Council (LCC) Highways unexpectedly requested a highways contribution of circa £500k to mitigate the impact of increased traffic on the A512 as a condition of their approval. This was not mentioned during pre-planning consultation and traffic analysis evidence has been submitted to rebut this claim. Charnwood Borough Council (CBC) have extended the determination time for the application to 4th July 2021 and have verbally indicated they will not be supporting the LCC request for additional funding. This risk has been classified as amber as it is considered unlikely that this will be a condition of planning approval. EMC members agreed with this assessment.

### 3. Heads of Terms agreement with anchor tenant

The Property Office estimate that the yield/return of the University's capital contribution of £2m (£1.5m match funding plus land £500k market value) will be 12.6% based on a total rental income of £257k per annum (net weighted average rental of c£168 per m<sup>2</sup>). The building will have 1,496m<sup>2</sup> of lettable offices and 65 m<sup>2</sup> of meeting rooms.

The Heads of Terms agreement with the anchor tenant, UKAD, is expected to be signed in July at a rent of c£215 per m<sup>2</sup>. The yield/return calculation assumes that the rest of the building will achieve more conservative rents of £150 per m<sup>2</sup> consistent with recent market evidence.

EMC lay members strongly advised that the University does not proceed further with this project without a signed Heads of Terms agreement in place with the anchor tenant, UKAD. Lay members confirmed that if this was a commercial project, this would not progress until the contract was signed.

EMC noted that the Chief Executive of UKAD, has publicly stated the intention to move their headquarters from London to Sport Park Pavilion 4 once constructed but EMC did not consider this gave sufficient comfort. An interim UKAD office has been set up on campus in the existing Sport Park Pavilion with some staff set to relocate shortly to work from this new location.

The COO will provide a verbal update to Council on 1 July on the latest status of the Heads of Terms agreement with the anchor tenant.

# COUNCIL



Loughborough  
University

**Paper Title:** Capital Framework Progress Report

**Origin:** Operations Committee

**Date:** July 2021

1. Decision Required by Committee	Council is asked to <b>NOTE</b> the action taken by Operations Committee.
2. Executive Summary	<p>The paper details project approvals by Operations Committee by project type. The project approval process can be found at: <a href="https://internal.lboro.ac.uk/info/planning/capital-projects/">https://internal.lboro.ac.uk/info/planning/capital-projects/</a></p> <p>Council are reminded that due to Covid-19 only capital projects already in delivery, IT/AV projects and those relating to Health &amp; Safety and compliance are continuing as planned with all other projects deferred.</p>
3. Committees/Groups previously considering item.	Operations Committee



## Subject

Capital Framework Progress Report

## Origin

Operations Committee

## Committee Action Required

Council is asked to note the actions taken by Operations Committee.

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Council are reminded that due to Covid-19 only capital projects already in delivery, IT/AV projects and those relating to Health & Safety and compliance are continuing as planned with all other projects deferred.

Details of the changes since the meeting of Council in March 2021 are as follows:

### 1 Major Capital Projects

#### 1.1 Stage A Approvals

Operations Committee has moved the following project to Stage B, following a Stage A approval:

- i) Student Village Energy Hub & Village Centre  
Forecast cost: TBC (£8m in the Estates Capital Framework)

### 2 Minor Capital Projects

#### 2.1 Stage A Approvals

Operations Committee has moved the following project to Stage B, following a Stage A approval:

- i) AACME Research Vehicle Storage Building  
Forecast cost: £214k (including VAT & fees, but this is to be value engineered)
- ii) Student accommodation – Reconfiguration of rooms  
Forecast cost: Up to £680k
- iii) MArch refurbishment project  
Forecast cost: 400k (including VAT)

# COUNCIL



Loughborough  
University

**Paper Title:** Covid-19 Response  
**Origin:** Chief Operating Officer  
**Date:** 18 June 2021

1. Decision Required by Committee	Council is asked to <b>NOTE</b> an update on the University's Covid-19 response.
2. Executive Summary	This paper updates Council on the University's response and management of Covid-19, including updated governance arrangements, student and staff return to campus, testing, graduation and the 2021/22 academic year.
3. Committees/Groups previously considering item.	Senate

## **Covid-19 Update**

### **Council**

**1<sup>st</sup> July 2021**

Council is asked to note this update on the Covid-19 situation and be reassured that effective arrangements remain in place for the management of Covid-19 on our campuses.

#### **1. Governance**

The Gold-Silver operating structure will stand down at the end of this academic year. This is an attempt to reflect that we are now dealing with a challenging business-as-usual situation rather than a crisis. A new Covid Management Group has been formed as a sub-group of Operations Committee, chaired by the Chief Operating Officer, which will meet regularly.

#### **2. Student Return to Campus**

All students were told they could return to campus after Easter from 12<sup>th</sup> April. Those that chose not to return who did not have scheduled in-person delivery, continued to have accommodation fees rebated.

All students were informed they should return from 17<sup>th</sup> May unless they were currently overseas (in which case different advice was offered depending on the territory). Accommodation charges, other than in a small number of exceptional cases, recommenced.

#### **3. Staff Return to Campus**

Many groups of staff have already returned to our campuses to support our students. Staff who have not yet returned are being asked to spend some time over the summer working from campus as part of their return.

#### **4. Cases**

Case numbers have risen recently as the Delta Variant has reached Leicestershire. They remain relatively low however with nineteen cases over the last week amongst staff and students and, at the time of writing, do not appear to be rising significantly above this. The cases were almost all picked up early by the University's asymptomatic testing centre before the onset of symptoms, preventing spread.

#### **5. Testing & Vaccines**

Around 95% of students are being regularly tested through the asymptomatic testing centre. This level of compliance is by far the highest in the sector. Loughborough is responsible for 10% of all asymptomatic tests in the sector. This high level of compliance, together with good underpinning data records, should give Council confidence that Covid is contained to a reasonable degree on campus for the time being.

We retain a separate symptomatic PCR test facility which is also being used to support international students obtain flight certificates and manage quarantine.

We operate a testing system at our London campus which is broadly comparable albeit smaller in scale.

Almost all of our students are eligible for vaccines now and we have been working with local partners to facilitate this. A local shortage of Pfizer vaccine has meant there has been some reluctance to locate a vaccination centre on our East Midlands campus – although we have offered.

## **6. Sport**

A near-full programme of sport has resumed on campus. This has been strongly welcomed by students. Given many other universities have chosen not to recommence operations after Easter, we are at times struggling to find competitive fixtures.

## **7. Graduation**

Graduation will go ahead in person in July for the 2020 and 2021 graduating classes, including London campus students. An open-sided marquee will be erected by the Walled Garden and will serve as the venue. These events are not dependent on the move to Step 4 in the Prime Minister's roadmap planned for the 19<sup>th</sup> July.

## **8. Student Social Activities**

Student behaviour remains generally good. LSU and Hall Committees have recommenced social activity within the regulations. Hall Balls are planned but have been changed to comply with the Step 3 restrictions in place, given the delay in moving to Step 4.

## **9. Impact of Covid-19 on other activity**

There are a range of issues resulting from the pandemic that the University is contending with. For example, with large parts of the campus having been unoccupied for a significant period of time we are experiencing challenges with water systems caused by extended periods of low water usage.

The sector is also operating at heightened IT security risk because of remote working. The University's Information Technology & Governance Committee has addressed these risks and actions are detailed in the minutes of its meetings.

Additional resources have been released to support staff and student well-being.

## **10. Planning for the 21/22 Academic Year**

We continue to work closely with the national and regional public health teams and with the Department for Education to ensure that our planning scenarios are based on the latest intelligence. We are preparing scenarios which map onto the Department for Education's scenario planning and deal with national situations ranging from no significant outbreaks or variants, through to significant outbreaks and/or variants of concern.

## **11. Learning and Teaching for the New Academic Year**

It is likely that asymptomatic testing will be needed at start of the academic term. Our base planning assumption is that social distancing of 1m+ will be maintained in *technical teaching spaces*. A decision on the social distancing in lecture theatres will be taken later with the aim of maximising lecture theatre capacity within the prevailing rules. Please refer to Professor Thomson's report elsewhere on this agenda for more detail.

## **12. Job Retention Scheme**

At its peak circa 650 staff were furloughed by the university (mainly from Estates, Campus Services and Sports Development Centre). So far £3.1 million has been claimed through the scheme. It is

anticipated that use of the scheme will tail off considerably from July onwards as most staff have now returned to work.

Chief Operating Officer - 18 June 2021

# COUNCIL



**Paper Title:** Appointment of an Interim Accountable Officer & Acting Vice Chancellor  
**Origin:** Secretary to Council  
**Date:** 18 June 2021

1. Decision Required by Committee	Council is asked to <b>CONFIRM</b> the appointment of Professor Linton as Acting Vice Chancellor and the University's Accountable Officer between 31st July and 3rd October 2021.
2. Executive Summary	<p>Professor Allison's last working day at the University is Friday 30th July 2021. Professor Jennings's first working day is Monday 4th October 2021</p> <p>The University is required by the Office for Students to function with an Accountable Officer (who is normally the Vice Chancellor).</p> <p>Statute VI states that "The Deputy-Vice Chancellor shall.... [exercise and perform] all the academic functions of the Vice-Chancellor in the absence of the Vice-Chancellor."</p> <p>Council is asked to confirm the appointment of Professor Linton as Acting Vice Chancellor and the University's Accountable Officer between 31st July and 3rd October 2021. Following this agreement, the OfS will be informed of the arrangement.</p>
3. Committees/Groups previously considering item.	



# Nominations Committee



## Minutes

### NOM21-M2

Minutes of the meeting held on 15 March 2021.

#### Attendance

***Present:***

Christine Hodgson (chair), Professor Robert Allison, Alan Hughes, Professor Chris Linton, John Sinnott, Jane Tabor

***In attendance:***

Ally McDonald Alonso, Dr Jennifer Nutkins, Andy Stephens, Richard Taylor

Apologies: Pauline Matturi

#### 12/21 Minutes

The minutes of the meeting held on 24 February 2021 were CONFIRMED (NOM21-M1). It was NOTED that Jane Tabor would remain on the imago Ltd Board but Oliver Sidwell would serve as the Council member on the Board from summer 2021.

#### 13/21 Matters Arising

Minute 2.21 – The Committee NOTED that Tony Williams had now confirmed he was willing to serve a third term of Council from 1 August 2021 and his re-appointment would be recommended to Council at its meeting on 16 March 2021.

Minutes 6/21 and 7/21 – The Chair had spoken to Graham Corfield and Andrea Davies who were delighted to join Council. Graham Corfield had agreed to act as Audit Committee Chair with initial mentoring from Ann Greenwood and Andrea Davies had agreed to become a member of Finance Committee.

#### 14/21 Updated Timeline

##### NOM21-P6

The Committee NOTED the current lay membership of Council and relevant committees, including the dates on which vacancies would arise, updated in light of decisions at the previous meeting.

## 15/21 Senior Officer Appointments

### 15.1 Honorary Treasurer

Discussions were in train with a named lay member regarding the role of Honorary Treasurer from 1 August 2021 (vice Alan Hughes), noting that they appeared to offer the best fit for the role and the intention would be to provide full induction and support.

### 15.2 Deputy Chair of Council

The Committee AGREED to recommend to Council the appointment of Jennifer Maxwell-Harris to serve as Deputy Chair of Council from 1 August 2021 (vice Alan Hughes).

## 16/21 Appointments to Council and Non-Council Lay Vacancies on Committees

### 16.1 Committee Vacancies

The vacancies arising for lay members on Committees in 2021/22 were CONSIDERED. The timeline paper would be updated to include reference to the lay Council member of the imago Ltd Board. There was some discussion of the role of President of the Alumni Association and that a vacancy would arise in summer 2022. It was NOTED that candidates were elected and had some specific alumni-related duties to fulfil. The process was monitored carefully and the Vice-Chancellor had an ultimate right of veto.

The Committee also discussed the forthcoming Effectiveness Review of Council and NOTED that this provided an opportunity to review the number, purpose and composition of the University's senior committees. Committee memberships would be reviewed again at the next meeting. **Action: Secretary**

### 16.2 Human Resources Committee

#### NOM21-P7

The Committee APPROVED the appointment of Joanna Cound as a non-Council lay member of Human Resources Committee with immediate effect until 31 July 2024.

## 17/21 Future Recruitment of Lay Members

### 17.1 Additional New Lay Member from 2021/22

The Committee RECEIVED an update on recent discussions held by lay members and senior officers with Mike Wedderburn. He had a valuable and distinctive skills set, would offer constructive challenge and had a strong rationale for his interest in the role. Good induction into University governance would be important and could potentially be delivered with Graham Corfield and Andrea Davies. It was AGREED to recommend to his appointment to Council for an initial three year term from 1 August 2021. **ACTION: Secretary**

### 17.2 Open Advertisement

An open advertisement of lay vacancies would shortly be placed to contribute to future member recruitment. This indicated that candidates based overseas would be considered with the expectation that they would be able to attend at least one in person meeting each year.

## 18/21 Date of Next Meetings

All meetings are scheduled for 4pm:

20 May 2021

30 June 2021

# Nominations Committee



Loughborough  
University

## Minutes

### NOM21-M3

Minutes of the meeting held on 20 May 2021.

#### Attendance

**Present:**

Christine Hodgson (chair), Professor Robert Allison, Alan Hughes, Professor Chris Linton, Pauline Matturi, John Sinnott, Jane Tabor

**In attendance:**

Ally McDonald Alonso, Dr Jennifer Nutkins, Andy Stephens, Richard Taylor

#### 19/21 Minutes

The minutes of the meeting held on 15 March 2021 were CONFIRMED (NOM21-M2).

#### 20/21 Matters Arising

##### Council Appointments

It was NOTED that, at its meeting on 16 March 2020, Council had approved:

- (a) The reappointment of Tony Williams as a lay member for a third term from 1 August 2021.
- (b) The appointment of Jennifer Maxwell-Harris to serve as Deputy Chair of Council from 1 August 2021 (vice Alan Hughes).
- (c) The appointment of Graham Corfield, Andrea Davies and Mike Wedderburn as lay members for initial terms from 1 August 2021.

#### 21/21 Honorary Treasurer (minute 15/21 refers)

A named lay member had expressed interest in the role of Honorary Treasurer from 1 August 2021 (vice Alan Hughes) but was keen to understand better the time commitment bearing in mind their overall availability. They would attend the 1 July Council meeting before making a final decision.

#### 22/21 Recruitment of Future Lay Members

##### 22.1 Current Candidate

##### NOM21-P8

Penny Briscoe was CONSIDERED for recommendation to Council for appointment as a lay member from a date to be determined, following meetings with the Chair, lay members, the Vice-Chancellor and Chief Operating Officer. She would bring experience of mainstream and para sport together with an understanding of governance and compliance issues as well as commitment to the University's success.

Penny Briscoe was therefore RECOMMENDED to Council at its meeting on 1 July 2021 for appointment as a lay member of Council for an initial three year term to commence when the next vacancy becomes available.

## 22.2 Open Advertisement

The Committee RECEIVED an update on the placing of an open advertisement for potential new lay members, noting that the closing date was before the next meeting of Nominations Committee and further information would be provided then.

## 23/21 Lay Members of Committees in 2021/22

### NOM21-P9

The Committee NOTED the expected lay membership of committees in 2021/22 and CONSIDERED the filling of vacancies/whether any other changes were desirable.

There was some discussion of the purpose of some of the Committees and the role of lay members in relation to them. It was agreed that these issues should be explored as part of the ongoing Council Effectiveness Review and that individual lay members would be able to share their views through the 1:1 interviews which formed an element of the Review.

The following were AGREED for immediate action:

- a) **Finance Committee** – A named lay member should be invited to join with effect from 1 August 2021 (vice Jane Tabor). The Committee typically meets 5-6 times per year for up to two hours.
- b) **Nominations Committee** – A named lay member should be invited to join with effect from 1 August 2021 (vice Jane Tabor). The Committee typically meets 4-6 times a year for an hour.
- c) **Remuneration Committee** – The Deputy Chair of Council and a named lay members should be invited to join with effect from 1 August 2021 (vice Alan Hughes and Jane Tabor). Under the University's agreed governance procedures, the Deputy Chair of Council would act as Chair whilst the Vice-Chancellor's remuneration was discussed. The Committee typically meets twice a year for an hour.

*Secretary's Note: An amendment to the composition of Remuneration Committee is required as this currently refers to the Honorary Treasurer as an ex officio member rather than to a Pro Chancellor.*

- d) **Health, Safety and Environment Committee** – A named lay member should be invited to join with effect from 1 August 2021 (Oliver Sidwell). The Committee typically meets 3 times a year for approximately 2 hours.

**ACTION: Chair, COO and Secretary**

Further consideration would be given to committee involvement for Penny Briscoe once the timing of her appointment became clear. Committee requirements would be borne in mind for the current and future lay member recruitment exercises.

## 24/21 Date of Next Meeting

4pm on 30 June 2021

**Paper Title: Risk Management**

**Author: Director of Finance**

1. Decision Required	To <b>APPROVE</b> the University’s strategic risk register including risk evaluation and mitigating actions.
2. Executive Summary	<p>Detailed work to review the strategic risk register has now reached the stage where risks have been articulated, evaluated, and scored. Risks are presented in the form of a heat map and individual “risk on a page” sheets which are appended to this cover report.</p> <p>While each individual risk has been agreed by the relevant risk owner, the timing of meetings means that the Vice Chancellor’s senior management team has not yet been able to review the risk map in aggregate and validate the findings. This will take place over the coming weeks.</p> <p>Council has ownership of strategic risk and so is invited to comment on the strategic risks identified and the risk appetite which is presented as a ‘target risk’ score.</p> <p>Audit Committee helpfully framed the target risk discussion in the following way. “If we got to our target risk score and an incident happened, what would that look like, and would we be comfortable accepting that outcome?”</p> <p>Once the risks are confirmed as the basis for further work, detailed assurance mapping can then be completed, supported by PWC.</p> <p>Also appended to this report is PWC’s benchmarking report “Managing Risk in Higher Education” which Council may find helpful in evaluating the completeness of the strategic risk register in comparison to the wider sector. Linked paper can be found <a href="#">here</a>.</p>
3. Other Committees	The proposed risk register was considered by Audit Committee on 10 June 2021 and recommended to Council, subject to the further review comments noted above.

# Loughborough University

Strategic Risk Profile Refresh  
June 2021

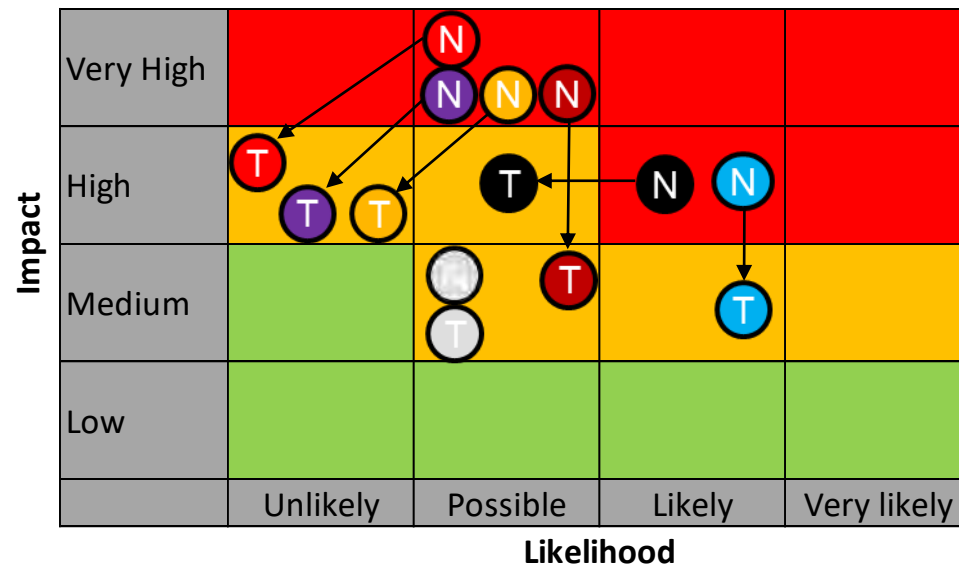
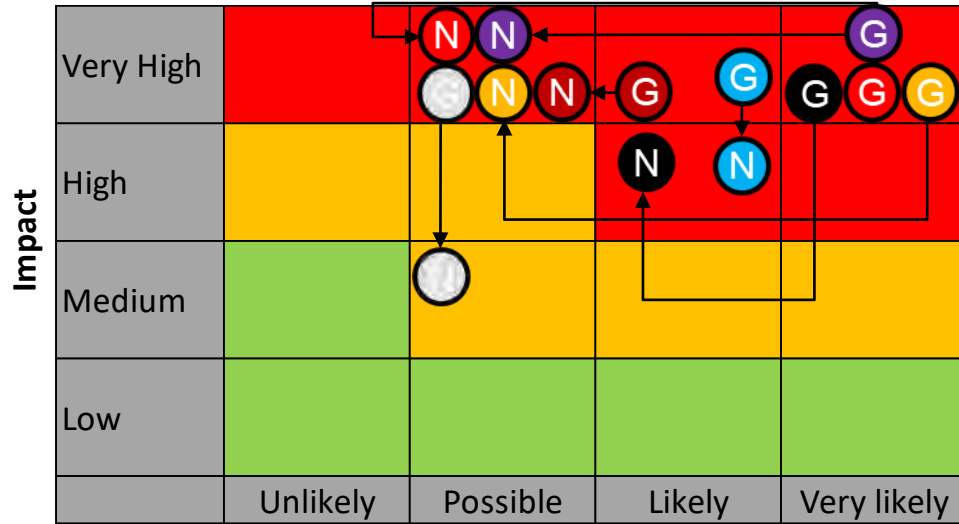
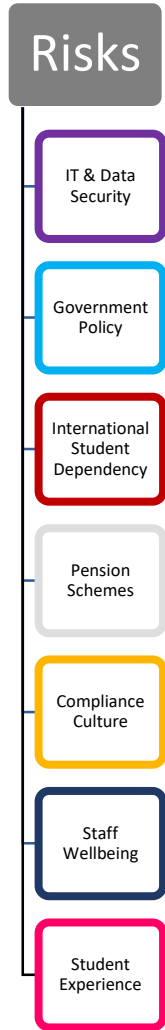


# Update on progress

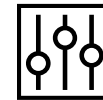
Since the last update to the Audit Committee we have worked with risk owners to identify the controls currently in place to manage the refreshed strategic risks and identify further actions planned to mitigate the risks further. Risk were also assessed on a gross, net and target basis using risk assessment criteria that has been revised to support more accurate scoring of risks.

Looking forward, the G8 will regularly spend time challenging risk owners on the effectiveness of the ongoing management of the risk profile and completion of further actions to reach the desired risk level. The Audit Committee provides a key forum for risk owners to be held to account for the effectiveness of current controls identified within their risk profile.

# Strategic risk profile summary



Does this accurately reflect your view of the University's risk profile?



Are any target scores set too high or too low? Do we want to be taking more or less risk in some areas?



Do we wish to obtain further assurance over any of these risks?

**Key:**

Gross risk score

Net risk score

Target risk score



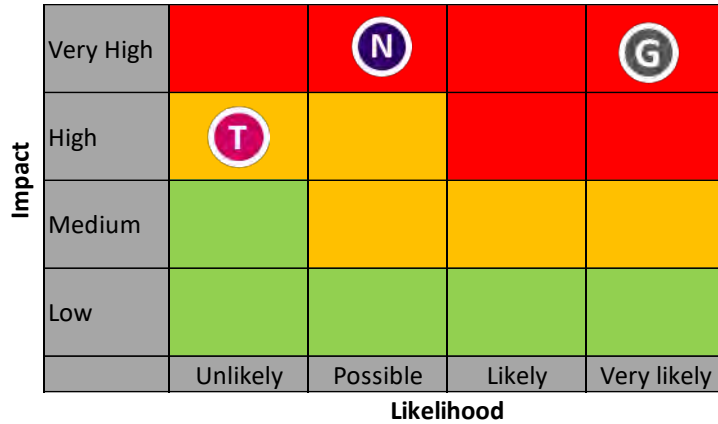
# Risk Title

## IT & Data Security

# Risk Owner

## Richard Taylor

### Risk Score



### The risk description is...

What is the risk cause, event and consequences?

Increasing demand on IT systems, could lead to a failure in the integrity of the IT infrastructure (which may include cyber breaches), resulting in operational disruption, major data loss, breach of regulations (particularly General Data Protection Regulation), reputational damage, potential fines or other financial losses.

### This risk matters because..

- Following the pandemic there far greater reliance on technology infrastructure
- Risk environment is more adverse – there has been a increasing number of ransomware attacks across the sector

### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Mandatory IT/data security training for all staff	Dr Jennifer Nutkins
Regular IT backups and resilient infrastructure (e.g. redundant data centres, multiple power supplies, cooling systems etc.)	Vipin Ahlawat
Technical IT security controls (e.g. firewalls, VPN, intrusion detection systems)	Vipin Ahlawat
Physical controls around data centres	Vipin Ahlawat
Regular penetration testing and vulnerability scanning	Vipin Ahlawat
MFA in place for staff	Vipin Ahlawat
Regular phishing simulations	Vipin Ahlawat
Information governance framework (e.g. asset registers, data ownership structures, DoA on data ownership and structure, identified data stewards)	Dr Jennifer Nutkins
Comprehensive IT business continuity plans in place	Vipin Ahlawat

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Obtaining cyber insurance	James Henry	January 2022
Ongoing programme of IT improvements (e.g. MFA for students etc.)	Vipin Ahlawat	October 2021 (for implementation of MFA for students)
Improvement of business continuity plans in relation to ransomware	Richard Taylor (PS) / Prof Chris Linton (Schools)	April 2022
Update to mandatory training policy (including information security training)	Adele Mackinlay	January 2022

# Risk Title

## Government Policy

# Risk Owner

## Prof Chris Linton

### Risk Score

Impact	Very High			G	
	High			N	
	Medium			T	
	Low				
		Unlikely	Possible	Likely	Very likely
	Likelihood				

### The risk description is...

What is the risk cause, event and consequences?

Loughborough University's over reliance on student fee income, could mean we are disproportionately affected by future changes to the HE sector funding system, resulting in loss of income, reputational damage, and an inability to undertake certain research and teaching.

### This risk matters because..

See risk description

### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Ability of senior management and lay members of Council to network and interact with national bodies informed by in-house specialist knowledge in government policy	Richard Taylor
Professional planning department supporting horizon scanning, analysis and action supported by wider representation on sector special interest bodies (e.g. HESPA, UUK, etc.)	Miranda Routledge
Supportive local MP who is able to support us where she can	Vice Chancellor
Additional resource and oversight of University action to meet access and participation plan targets	Prof Chris Linton & Prof Rachel Thomson
The university strategy encourages us to reduce our reliance on domestic undergraduate fee income	Andy Stephens
Established and forward looking financial planning structure	Andy Stephens
Ability to quickly set up agile governance structures to respond to policy change supported by degree of central control	Prof Chris Linton

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Implementation of the Governance and Policy Unit	Prof Tony Edwards	December 2021
Targeted activity to influence funding around high cost subjects – to discuss		

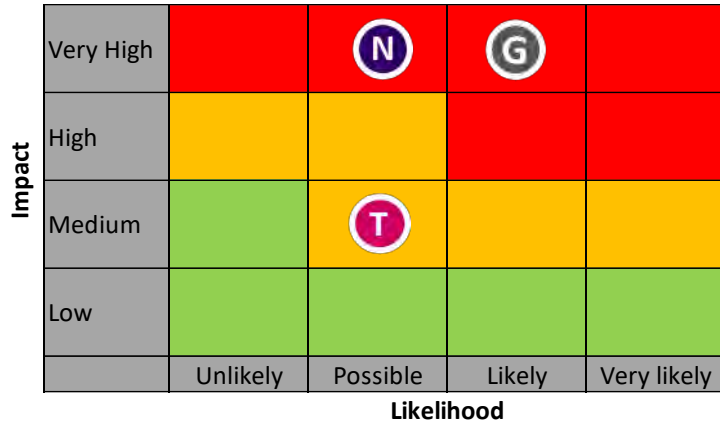
# Risk Title

International Student Dependency

# Risk Owner

Prof Rachel Thomson

## Risk Score



## The risk description is...

What is the risk cause, event and consequences?

An over reliance on a single geographical region and/or country, may mean we are vulnerable to political or macroeconomic factors that reduce international student demand, resulting in a loss of income, an inability to run some teaching and research programmes and detrimental impacts on the diversity of the student body.

## This risk matters because..

There are no other single countries that we could replace this reliance with.

## Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Oversight of overseas recruitment agents by International Office	Charlie Carter
Oversight of fee levels, bursaries and market demand by Tuition Fees sub-committee and Operations Committee	Prof Rachel Thomson
Oversight of overseas agent incentivisation by Student Recruitment and Admissions Sub-Committee and Operations Committee	Richard Taylor
Regular monitoring of number of applications, offers and conversions from each country during admissions cycle by Student Recruitment and Admissions sub-committee and Finance Committee	Richard Taylor
Targeted international outreach and engagement	Charlie Carter
An attractive degree programme portfolio and flexible delivery mechanisms for UK and International students	Prof Rachel Thomson
Manage in-country staff desk operations	Charlie Carter

## Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Development of 'Internationalisation' strategy (to include our Global league table position)	Vice Chancellor	March 2022
Develop a European recruitment and engagement strategy	Vice Chancellor	July 2023
Reviewing and maximising the impact from strategic international partnerships for student recruitment	Charlie Carter	July 2022
Targeted international marketing spend to be agreed for specific campaigns (including digital)	Martyn Edwards	July 2023
Considering expansion of in-country staff desk operations	Charlie Carter	July 2024
An institutional approach to developing and promoting PGT offer across both our campuses	Martyn Edwards	July 2022

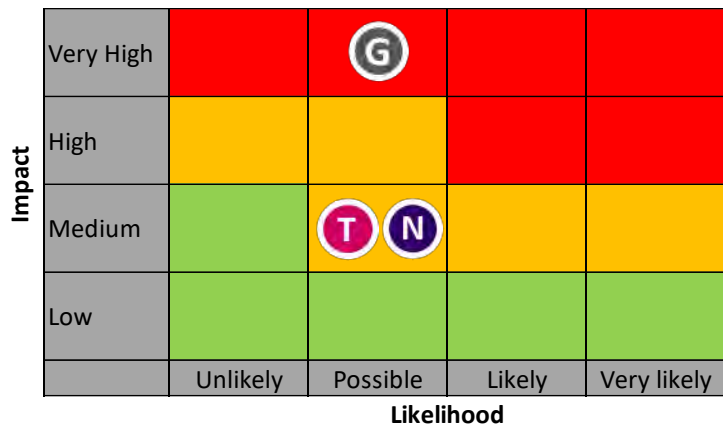
# Risk Title

## Pension Schemes

# Risk Owner

## Andy Stephens

### Risk Score



### The risk description is...

What is the risk cause, event and consequences?

The University's commitment to two defined benefit pension schemes which are in material deficit positions due to macroeconomic factors, could mean that meeting commitments for these schemes requires disproportionate allocation of resources. This may threaten financial sustainability, limiting direct investment to strategic priorities of the institution and/or lead to industrial action.

### This risk matters because..

The University's strategy commits to "Investing in our Staff". Pensions are a valued part of overall remuneration and disruption to pensions, as a result of external factors such as a triennial valuation, may reduce the real or perceived benefits of a career in higher education, make other employers look more attractive due to different pension schemes in operation and damage employer/staff relations within the organisation.

### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

National negotiating framework – Universities UK – we have to be consulted with and work together with other universities	Andy Stephens
Informal networks – we stay informed with what is going on with other FDs etc.	Adele McKinlay
Financial budgeting and planning regime – to plan how we would mitigate the financial impact (work out how to deal with impacts in the context of wider university finances)	Andy Stephens
Assumptions in pension matters are audited by external auditors	Andy Stephens
Well established formal consultation networks through trade unions	Richard Taylor

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Agree and plan proactive communication with staff in-person and through digital channels	Vice Chancellor	Summer 2021
Increase representation on relevant bodies – to discuss		
Help lay members and Chair of Council understand the risk better and become actively involved in its management – to discuss		
Seek our own actuarial support to model outcomes – to discuss		

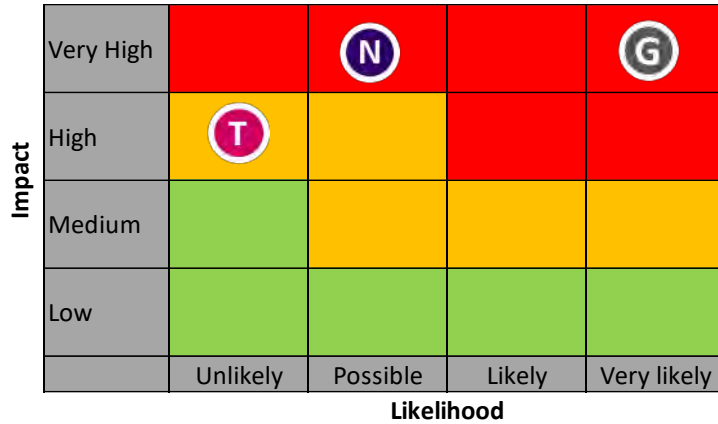
# Risk Title

## Compliance Culture

# Risk Owner

## Richard Taylor

### Risk Score



### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Provision of mandatory compliance training in a single location and continuous review of training requirements	Ffyona Baker
Pull through of mandatory training completion rates in PDR system to identify early warning signs	Ffyona Baker
Prominent conversations about compliance at leadership and team meetings	Vice Chancellor
Single policy gateway for published policies and procedures	Richard Taylor
Professional compliance teams with governance by Council sub-committee	Richard Taylor
Matrix in place to support holding to account for compliance failures and increase fairness	Richard Taylor

### The risk description is...

What is the risk cause, event and consequences?

**An inadequate compliance culture across the University, may lead to instances of non compliance with legislation or regulations or breaches of ethics , resulting in financial loss or criminal penalty, significant reputational damage, loss of students and/or staff and potential limitations on University operations and activities.**

### This risk matters because..

Compliance areas that could lead to criminal/corporate legal proceedings and significant impacts on organisation effectiveness and reputations include:

Health and Safety, EDI, Export Control and UKVI

*N.B. – Some compliance areas may score higher than possible on a net score – assessment of risk based on compliance culture rather than individual compliance risks*

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Increasing requirements for senior management to discuss compliance culture and related issues regularly with their teams	Vice Chancellor	September 2022
Implement formal consideration of compliance risks within new initiatives and processes	Vice Chancellor	September 2022

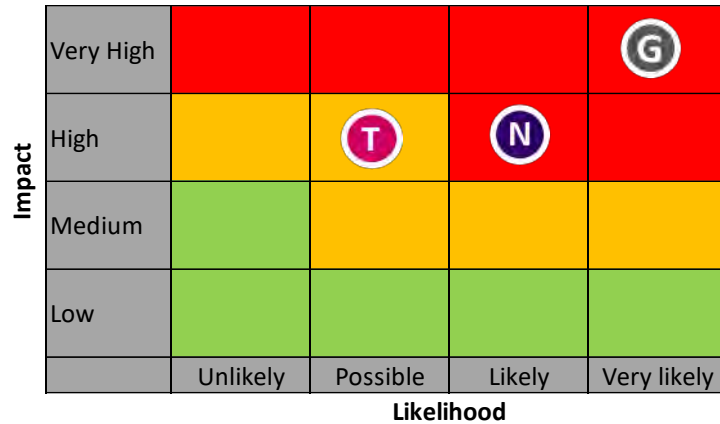
# Risk Title

## Staff Wellbeing

# Risk Owner

## Richard Taylor

### Risk Score



### The risk description is...

What is the risk cause, event and consequences?

Changes to the psychological contract with staff (e.g. changes to pension arrangements, increased oversight, workloads that become unsustainable, etc.), may mean the University is unable to protect their wellbeing, resulting in staff dissatisfaction, increased rates of absence and/or attrition, potential industrial action and reputational damage. Failure to be an inclusive community and reflect the diversity of the communities we serve may also have a detrimental effect on wellbeing and performance.

### This risk matters because..

See risk description

### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Monitoring of absence data, staff turnover and emerging issues through Human Resources Committee	Adele MacKinlay
Monitoring engagement through annual staff survey	Adele MacKinlay
University workload management system for academic staff enables monitoring and equitable distribution of workload	Prof Chris Linton
Wellbeing resources online accessible to all staff	Adele MacKinlay
Employee assistance programme accessible to all staff	Adele MacKinlay
Occupational health service accessible to all staff	Adele MacKinlay
Staff salary review process with oversight by Remuneration Committee	Adele MacKinlay
Performance and Development Review process to identify workload issues at an individual level	Adele MacKinlay
Monitoring of diversity data with action plans in place	Adele MacKinlay

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Active deprioritisation of work of lesser value	Richard Taylor and Prof Chris Linton	February 2022
Whenever processes are redesigned, they are designed with the assumption that workloads should reduce	Richard Taylor and Andy Stephens	February 2022
More appropriately communicate risk appetite to individuals who are responsible for the management of individual risks (including sharing of real-life examples)	Richard Taylor	February 2022
Create short guidelines on developing reports for committees and leadership	Richard Taylor	September 2021
Review Performance and Development Review to streamline process	Adele MacKinlay	September 2022
Embracing EDI as a strategic pillar within the new strategy	Vice Chancellor	September 2022

# Risk Title

## Student Experience

# Risk Owner

## Prof Rachel Thomson

### Risk Score

Impact	Very High		N		G
	High	T			
	Medium				
	Low				
		Unlikely	Possible	Likely	Very likely
		Likelihood			

### The risk description is...

What is the risk cause, event and consequences?

An inability to monitor, adapt to and manage changing student expectations may mean students do not consistently receive the best experience at the University leading to damage to the University's reputation (incl. NSS & Graduate Outcomes) and high performing students choosing to study at other institutions.

### This risk matters because..

See risk description

### Our current Controls to manage this risk...

*The most significant existing controls that are in place, with the biggest impact on mitigating the risk.*

Estate condition and adequacy of provision under regular review by facilities management team and University committee structure (Ops and EMC)	Graham Howard
IT infrastructure condition and adequacy of provision to support on and off-campus teaching and learning under regular review by IT management team	Vipin Ahlawat
Strong relationship with LSU to identify emerging issues and work collaboratively to deliver student-friendly solutions. Services delivered where strengths lie (LU vs LSU)	Richard Taylor
Governance structure including Learning & Teaching Committee providing oversight and challenge	Prof Rachel Thomson
Student Experience team (formal sub-committee of Learning & Teaching Committee) in place	Dr Manuel Alonso
Formalised student feedback mechanisms at multiple levels (Programme, School, University level etc.) in place with outcomes regularly reviewed at Learning & Teaching Committee	Prof Rachel Thomson
Formalised student discipline procedures for fair and proportionate means to tackle student disruption to experience of peers	Richard Taylor
Well established, appropriately resourced and easily accessible support services for students	Dr Manuel Alonso
Ensuring the right opportunities are available for students to participate in sport, and that facilities are maintained at the appropriate level (Governed through Sport Committee and relationship with the AU)	Prof Chris Linton
Access and Participation Sub-Committee and EDI Committee review data on access, participation, student success and graduate outcomes data and recommend action where required	Prof Rachel Thomson
Action plans to address issues emerging from student feedback	Prof Rachel Thomson

### Manage the risk further by...

*Any further activity that has not yet been fully embedded, future planned controls or improvement to existing controls needed to reduce the impact and/of likelihood of the risk.*

Embed culture of addressing poor performance in student experience related activity	Vice Chancellor	31 July 2023
Improving issues around waiting times for support services	Dr Manuel Alonso	31 July 2023
Embedding a culture of inclusion across the student body (measurement through KPIs covering training, campaign engagement, measure of number of incidents etc.)	Vice Chancellor	31 July 2024

# Thank you

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# COUNCIL



**Paper Title:** Amendments to Ordinance XVII – Conduct and Discipline of Students

**Origin:** Student Discipline Committee

**Date:** 1 July 2021

<p>1. Decision Required by Committee</p>	<p>On the recommendation of Student Discipline Committee, Council is asked to approve amendments to Ordinance XVII (Conduct and Discipline of Students) following a review of student disciplinary processes.</p>
<p>2. Executive Summary</p>	<p>In January 2021, Student Discipline Committee approved a review of student disciplinary processes, to be conducted by the University’s Head of Legal Services. (The review was a response in part to an increasing number of disciplinary cases involving issues of protected characteristics and/or sexual/other violence that were extremely complex, emotionally challenging, time-consuming, and highly charged from a public-perception perspective).</p> <p>The main body of the consultative work for the review has been completed and an initial draft report containing a number of recommendations produced. This has been considered on a preliminary basis by a small group of key internal stakeholders, which has proposed that some of the recommendations be progressed through Senate and Council in June/July 2021, to have effect from the 2021-22 academic year, while further consideration is given to the other recommendations over the summer, with a view to further proposals being brought forward in the Autumn.</p> <p>The proposals and associated amendments to Ordinance XVII being brought forward at this stage are intended to:</p> <ul style="list-style-type: none"> <li>i) Streamline the process for section 2 disciplinary appeals.</li> <li>ii) Provide a mechanism for section 2 disciplinary appeals to trigger a reinvestigation of the case if appropriate.</li> <li>iii) Rationalise and make fit for purpose the composition of Student Discipline Committee, Student Disciplinary Panels and Student Disciplinary Appeals Committees.</li> <li>iv) Provide a mechanism for Panel Chairs to request specialist advice from the University’s Professional Services.</li> </ul> <p>A further recommendation relates to the provision of guidance and training for Student Disciplinary Panel members and Student Disciplinary Appeals Committee members (this does not require any amendment to the Ordinance). Link to appendix can be found <a href="#">here</a>.</p>
<p>3. Committees/Groups previously considering item.</p>	<p>Student Discipline Committee</p>

## COUNCIL



Loughborough  
University

**Paper Title:** Loughborough Students' Union Annual Report

**Origin:** President, Loughborough Students' Union

**Date:** 18<sup>th</sup> June 2021

1. Decision Required by Committee	Council is asked to NOTE Loughborough Students' Union Annual Report presented by the President on behalf of the Executive.
2. Executive Summary	<p>This report summarises the work of the LSU Executive across the 2020-21 academic year. Whilst COVID-19 has dominated the year, the Students' Union has been able to diversify and develop its offering to students, seeing record levels of engagement in some areas of activity.</p> <p>Alongside our work in the University and local communities, the team have also worked on the national and international stage, leading on the delivery of projects to support university students across the world. During the year, the sabbatical officers have changed national law, supported Loughborough University students through a pandemic, and enhanced the representation of the Students' Union in the local community.</p>
3. Committees/Groups previously considering item.	N/A

## Loughborough Students' Union Annual Report 2021

### TERMINOLOGY

**The Executive/Officer Team:** All 11 sabbatical officers.

**Executive Officers (EOs):** President; Vice President; Education EO; Welfare & Diversity EO; Sport EO.

**Section Chairs:** Action Chair; Enterprise Chair; Rag Chair; Societies Chair; AU Clubs Officer; Media Chair\*.

\* the Media Chair is an uncontracted, voluntary position.

The Executive's term of office runs from 3<sup>rd</sup> August 2020 to 30<sup>th</sup> July 2021.

### 1. COVID-19

Loughborough Students' Union, like the majority of other organisations, has experienced significant disruption to its operations and activities as a result of COVID-19. What is more unusual however is that the organisation has been led through this period of volatility by 11 individuals aged between 19 and 24, for many of which this being their first experience of leadership and management. Despite this, the Executive have been exemplary role models for the wider student community and have been able to adapt their remits to continue to represent the student membership and facilitate opportunities for them to engage with the 'Loughborough Family'.

**Freshers 2020** saw the delivery of a blended model of events over a two-week period including the launch of 'The Socially Distanced Social Club' (SDSC) in a marquee on Shirley Pearce square, as well as a virtual Freshers Fayre and dedicated intra-Hall events. This was planned and delivered by the Executive, who also attended every single night to welcome and host students at tables. As part of our community engagement programme, 2500 local residents received a 'President's Newsletter' from the team, introducing ourselves as well as highlighting the work being done in the local community by the Students' Union.

In October 2020, we launched **COVID Community Champions** a student-led scheme that saw volunteers supporting students in self-isolation through the delivery of post, medication, library books, printing, and feminine hygiene products. This complemented the essential deliveries of food and laundry provided by the University. Conceived and launched within 36 hours, the scheme was the first of its kind in the UK to be run by a Students' Union and the blueprint has since been copied by other UK Universities including Swansea University and the University of Nottingham. To date, the scheme has received 2000 requests from students, supported by a team of 400 volunteers.

### 2. STUDENT GROUP ACTIVITY

Whilst a number of sections have understandably seen lower engagement levels compared to non-COVID years, the diversity of students engaging with activity run by the Students' Union has increased, reflecting

the accessibility of a blended (virtual & in-person) approach. Notable achievements across our six sections include:

- The delivery of a 'return to play', COVID-19 compliancy programme for our 60 Athletic Union Clubs, led by our Sport Executive Officer and AU Clubs Officer.
- £45,000 being raised for Rag's Movember campaign by clubs and societies, nearly double the previous record of £25,000.
- Over 940 toys being donated for Action's 'Operation Jingle Bells', supporting underprivileged children in the local community. This broke the previous record by 200 toys.
- Action's Soup Kitchen has operated every Sunday throughout the year, supporting the most vulnerable members of the community throughout multiple lockdowns.
- Enterprise has seen record-breaking levels of engagement through virtual workshops and 1-2-1s, alongside launching new student group opportunities through partnerships with Google, Accenture, and Caterpillar.
- Media has seen the highest levels of engagement in Label (e-magazine) in the section's history.
- A new 'Exec Forum' was launched by LSUTV, our student-run TV station, allowing students to question the Executive through a 'Question Time'-style format.
- Record numbers of students signed up for Rag's charity Skydive.
- Our Welfare & Diversity section has run over 150 events through our minority and liberation groups, including celebrations of 'Black History Month', 'Disability History Month', 'Women in Sport Week' and 'LGBT+ History Month'.

### 3. REPRESENTATION WORK

Alongside our student opportunities work, the Executive have extended our representation work at an organisational, local, national, and international level. Notable projects include:

- Implementing the rollout of a campus-wide Sunflower Lanyard Scheme
- Launching and delivering nine Project Management Boards to further the Students' Union's organisational strategy including work on Equality, Diversity, and Inclusion, and Financial Sustainability.
- Delivering a two-week timetable of activities for students staying in Loughborough over the Christmas holidays.
- Launching a COVID-19 Q&A portal to enable students to engage with University SMT, a portal which saw over 400 responses submitted.
- Leading on the lobbying of local landlords and estate agents, with the support of the University, to provide rent freezes for students in the local community.
- Co-delivering a series of projects with the University of Victoria (Australia), Nazarbayev University (Kazakhstan), the International Islamic University (Malaysia), and University College Dublin (Ireland)
- Appearing on BBC, ITV, and local radio to cover LSU's COVID-19 response.
- Fronting a campaign for the Department for Education, launching the rollout of COVID-19 testing for all University students.
- Co-delivering keynotes at national and international HE conferences with the Vice-Chancellor.

The President, Education Executive Officer, and Welfare & Diversity Executive Officer have also met with and lobbied the Prime Minister, Universities Minister, and our local MP on the legality of Essay Mill companies. Through this work we now have a bill being passed in the House of Commons to criminalise

the advertising of Essay Mill companies throughout the UK. This bill specifically mentions Loughborough Students' Union.

#### **4. COMMERCIAL AND CAPITAL WORK**

Throughout the academic year, where restrictions have permitted, we have run '[The Socially Distanced Social Club](#)' [link to video], allowing students to interact socially in a COVID-safe environment (Figure 1). The SDSC has had four iterations across five different venues and has been incredibly well received by students, the wider University community, as well as local stakeholders including Charnwood Borough Council and Leicestershire Police, both of whom have commented on its exemplary COVID-19 planning and delivery.

During the January-February 2021 lockdown, we extensively renovated the ground floor of the Students' Union, as half of the first floor. The latter was adapted from a dedicated nightclub space to improve its usage during the day for student-group activity. The ground floor has opened up an entirely new space for students and staff to socialise and work, and we have created a new 'coffee to cocktail' lounge in the space formerly occupied by the 'Cogs' nightclub (Figure 2). In light of the current exam period, the Students' Union is currently open 24/7 as a study space for students and is regularly full by 11am each day.

#### **5. CONCLUDING REMARKS**

This has been a year like no other for the Students' Union and the sabbatical officers. Despite the challenging backdrop, the Executive have furthered the organisation's strategy, developed new student opportunities, supported students in self-isolation, and undertaken significant refurbishment of an ageing building.

Alongside this, officers have made an impact on the local, national, and international stage, including changing the law, a move which will impact students across the UK. It is my hope that the 2020-21 Executive will not only be remembered for the work they did to lead an organisation and student population through a pandemic, but for the work we did to better the experiences of those on our doorstep, across the country and around the world.

I am grateful for the support of all members of Council, in particular the University's Senior Management, for the counsel and advice they have provided across this year. Finally, I wish my successor (Freya Mason) and the rest of the 2021-22 LSU Executive all the very best for the forthcoming academic year.

*Matt Youngs (President) on behalf of the LSU Executive 2020-21.*

- END -

6. APPENDIX



Figure 1. Two examples of 'The Socially Distanced Social Club'.



Figure 2. Examples of the ground floor renovation work that has taken place at LSU.

# COUNCIL



Loughborough  
University

**Paper Title:** Remuneration Committee Terms of Reference

**Origin:** Deputy Director of HROD

**Date:** June 2021

1. Decision Required by Committee	To APPROVE the changes to the Remuneration Committee Terms of Reference for 2021/22.
2. Executive Summary	Changes in membership of the Remuneration Committee requires some slight changes to the membership which are highlighted in the attached terms of reference.
3. Committees/Groups previously considering item.	Remuneration Committee

## Remuneration Committee Terms of Reference

**(Note – In these terms of reference senior staff refers to professorial or equivalent staff paid on Grade 9)**

- To oversee and govern the pay of senior staff within the University, ensuring issues such as equality and external market forces are monitored and addressed appropriately.
- To moderate the PDR outcomes for the University's Executive Team ensuring that performance is assessed fairly and with due regard to matters such as good governance, compliance and risk.
- To determine the procedures, criteria and scale of rewards to be used in the annual review of the remuneration of senior staff.
- To conduct an annual review of, and approve appropriate changes to, the remuneration of the Vice-Chancellor. The Vice-Chancellor shall be absent from the Committee for this review.
- To conduct an annual review of, and approve appropriate changes to, the remuneration of the members of the Vice-Chancellor's executive team and other senior managers, considering the advice of the Vice-Chancellor; market pay rates; performance, including risk and compliance standards.
- To receive recommendations from the Senior Staff Review Group for awards for staff under its purview.
- To recommend strategies to Council to reduce the gender and ethnicity pay gaps.
- As appropriate, to examine in more detail, recommendations made by the Review Group for awards to staff earning in excess of the figure required for enumeration in the University accounts.
- To note any increases in salaries for senior staff agreed, with delegated authority, by the Vice-Chancellor and the Senior Pro-Chancellor outside of the review meetings in order to retain staff.
- To note the salaries agreed, with delegated authority, by the Vice-Chancellor or Provost & Deputy Vice-Chancellor for newly recruited senior staff and to staff awarded Personal Chairs.
- To keep under review the levels of honoraria paid to various office holders.



## Membership

- [Christine Hodgson CBE](#) (Chair)
- Alan Hughes (Honorary Treasurer) (Chair of Remuneration Committee while VC pay is being reviewed)\*[see below](#)
- Tony Williams (Lay member of Council)
- Jane Tabor (Lay member of Council)
- Adèle MacKinlay (Director of Human Resources and Organisational Development) – Secretary to Committee

Deleted: Sir Peter Bonfield

The Chair may invite the Vice Chancellor and Deputy Vice Chancellor to attend to share information related to the remuneration of senior staff who report through them, although they will not be present for the final decisions. The Vice Chancellor and Deputy Vice Chancellor will never be asked to attend for any discussion or decision of their own remuneration.

The Committee may decide to invite appropriate remuneration specialists to offer guidance and advice on particular issues, e.g. pension changes and tax implications.

July 2021<sup>1</sup>

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\* Note that from 2021/22 onwards a Pro-Chancellor will be a member of the Committee and a senior lay member will be responsible for chairing the Committee while the Vice-Chancellor's pay is reviewed.

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# COUNCIL



Loughborough  
University

**Paper Title:** Tuition Fees 2022/2023

**Origin:** Tuition Fees Sub-Committee

**Date:** 17<sup>th</sup> June 2021

1. Decision Required by Committee	Council is asked to approve the tuition fee bands for new students registering from 2022/23.
2. Executive Summary	<p>Some changes are being suggested to the level of the home and undergraduate fee in the fee bands for postgraduate taught students as a result of extensive market comparison.</p> <p>Additionally, it is being proposed that a small number of specific degree programmes change band due to their current position in the market.</p> <p>In a small number of cases, these changes result in fee changes of more than 10% for entry in 2022.</p>
3. Committees/Groups previously considering item.	Operations Committee Tuition Fees Sub-Committee

[1] On the recommendation of Operations Committee, to **APPROVE** the following tuition fee change to PGT Band 4 for 2022/23 which has increased by more than 10% from the 2021/22 tuition fee.

Tuition Fee Band	Fee for 2021/22	Fee for 2022/23	% Change
PGT Band 4	UK: £14,500 INT: £24,650	UK: £16,700 INT: £28,500	15.17% 15.62%

[2] On the recommendation of Operations Committee, to **APPROVE** the amendment of tuition fee bands for the following programmes with effect from 2022/23 entry, which result in an increase/decrease in the fees for the programme by more than 10% from the 2021/22 level.

From PGT London 2 to PGT London 3

- MSc Sport Business and Innovation
- MSc Sport Business and Leadership
- MSc Sport Marketing
- MSc Sport Analytics

Fee for 2021/22	Fee for 2022/23	% Change
London2 UK: £11,300 INT: £26,500	London3 UK: £16,100 INT: £27,600	UK: 42.48% INT: 4.15%

From PGT Band 2 to PGT Band 3

- MSc Economics and Finance
- MSc Information Management and Business Technology
- MSc Human Resource Management
- MSc Employment Relations and Human Resource Management

Fee for 2021/22	Fee for 2022/23	% Change
PGT 2 UK: £14,500 INT: £23,850	PGT 3 UK: £11,900 INT: £26,500	UK: -17.93% INT: +11.11%

From PGT Band 1 to PGT Band 3

- MSc Mathematical Modelling
- MSc Industrial Mathematical Modelling

Fee for 2021/22	Fee for 2022/23	% Change
PGT 1 UK: £9,700 INT: £19,950	PGT 3 UK: £11,900 INT: £26,500	UK: 22.68% INT: 32.83%

# COUNCIL



Loughborough  
University

**Paper Title:** Ethical Policy Framework 2021

**Origin:** Ethics Committee

**Date:** 1 July 2021

1. Decision Required by Committee	To approve the Ethical Policy Framework for 2021.
2. Executive Summary	On the recommendation of Ethics Committee, Council is asked to approve the Ethical Policy Framework for 2021, following the completion of the usual annual update process.
3. Committees/Groups previously considering item.	Ethics Committee

# Loughborough University Ethical Policy Framework 2021

## A Foreword by the Vice-Chancellor

The Loughborough University strategy sets out our vision for the future. It recognises that the fundamental purpose of a university is to contribute to original knowledge and understanding and to develop students intellectually as critical thinkers and as responsible members of society and citizens of the world. It also accepts that we are part of a global community and that we have a responsibility to contribute to social and economic development at regional, national and international levels.

### Why we are here

- To further knowledge and understanding through internationally recognised research
- To provide a high quality, comprehensive educational experience that prepares our graduates for their future lives and the global workplace
- To influence the economic and social development of individuals, businesses, the professions and communities
- To shape national and international policy and practice

In delivering our strategy, we will adhere to a number of values which will influence the way we deliver our goals. We will:

- Respect each other and celebrate our diversity
- Recognise and reward excellence in our staff for their contribution and commitment
- Be inclusive and value the views of our staff, students, alumni and partners
- Respect the communities and environments in which we operate
- Work together as a team with professionalism and integrity
- Take pride in being the very best we can be

Upholding the mission and values of the institution is of the utmost importance to our long-term success and sustainability. In doing so, it is vital that, as individuals and as a community, we adhere to and promote the ethical principles set out in this framework.

Professor Robert Allison  
Vice-Chancellor

## 1. Introduction

### 1.1. Preamble

The University is an independent academic institution that exists for the creation, transmission and dissemination of knowledge for the social and economic enrichment of society. We must be committed to fulfilling that purpose only in ways that comply with broad obligations to social responsibility, including the protection of human rights, civil liberties (see Annex A) and the natural environment, with a special institutional commitment to the promotion of health and well-being. Integral to this commitment to social responsibility are the adoption of high ethical standards across every part of our activities. This framework provides a comprehensive statement of our expectations in relation to organisational and individual ethical behaviour, and a structure that supports informed decision-making when specific ethical issues arise in the course of the University's business.

### 1.2. How is the framework used and to whom does it apply?

We recognise the distinction between legal requirements (see Appendix 1) and ethical considerations, and aim to fulfil our obligations to both. No attempt is made in this framework to address or anticipate all possible ethical dilemmas. Nor will collaboration with any particular, legally constituted organisation or sector be ruled out simply to avoid confronting challenging ethical issues. Instead, the framework offers wide ranging guidance to all members of our university community on how to act with integrity, good conscience and good judgement at all times. Such members include our staff, including staff of our subsidiary companies, students and lay members of Council as well as visiting staff and students. Our ethical principles are summarised in Section 2 and the ethical review processes are summarised in Appendix 2.

### 1.3. How is the framework structured?

The framework is structured to reflect its essential connection to the university strategy and structure and considers each area of University activity in turn. When ethical issues arise in any one area of our activity, we also aim to consider any implications across all other areas of our activity. Each area is the responsibility of a named senior member of staff of the University (see Appendix 3).

Detailed Codes of Practice and further guidance in specific areas are set in context and the remit of the Ethics Committee is defined.

### 1.4. How can unethical behaviour be challenged?

Any member of the University community may challenge the institution if in good faith they feel that we have fallen short of the standards set out in this framework in relation to organisational or individual ethical behaviour. Initially, this should be discussed locally, for example with a tutor, supervisor, line manager, department / section head or Dean, but if a resolution cannot be found then contact should be made with the responsible person for the area of activity (see Appendix 3) in which the challenge is made. If a resolution still cannot be found, then this responsible person will ensure that the matter is passed to the Ethics Committee for resolution. Retaliation or retribution against any person making such a challenge will not be tolerated and shall attract disciplinary action.

### 1.5. Who is responsible for the framework and how often is it reviewed?

This framework was produced after consultation across the University and was first approved by the University Council on 14 July 2011. The Ethics Committee is responsible for updates to this framework which is reviewed annually.

## 2. Loughborough University Ethical Principles

As active members of an international academic community, we are fundamentally committed to:

- the creation, transmission and dissemination of knowledge for the social and economic enrichment of society,
- the Nolan principles of public life: selflessness, integrity, objectivity, accountability, openness, honesty and leadership,
- accepting our social, economic and environmental responsibilities and contributing to the wider goal of sustainable development.
- the protection of equity, human rights and civil liberties (see Annex A) around the world, and
- supporting the academic freedom to further knowledge and debate, within UK law.

As the representatives of a modern, progressive institution, we are also committed to:

- excellence in all our activities,
- good governance and collegiate, transparent leadership,
- safe working practices
- fair, rigorous and transparent processes and practice,
- encouraging social mobility and widening participation, and
- regarding legal compliance as a minimum expectation but it may not be a sufficient response to an ethical challenge.

But we will not tolerate:

- initiation of or collusion in harmful acts,
- giving, offering, receiving or requesting improper inducements to influence decisions affecting the interests of the University, or
- retaliation or retribution against any person who in good faith challenges our ethical position.

Furthermore, as members of the Loughborough University community, we are committed to:

- fostering a collegial community characterised by inclusivity, equality of opportunity, the valuing of diversity, mutual trust, respect for personal dignity and the promotion of unity across nations,
- respect for our diverse local community,
- listening to all members of the university community, past and present,
- the promotion of health and well-being,
- valuing participation, dedication and honest endeavour, and
- celebrating ever greater achievement and success fairly gained.
- demonstrating courage and consistency and transparency when facing challenging ethical dilemmas,
- choosing partners who share our ethical commitments, and
- ensuring that all members of the university community embrace and promote these ethical principles.

## 3. Research

Loughborough University is a research-intensive institution. The University undertakes, promotes and disseminates research of the very highest international quality and aims to engage with business, public and voluntary organisations to create social, cultural and economic impacts from its research.

Research leaders are accountable for ensuring adherence to this framework in respect of the nature, conduct, dissemination and foreseeable end-use of research and the behaviour of researchers. Researchers are expected to make objective research decisions and, where difficult ethical issues are encountered, demonstrate courage and consistency in those decisions with the backing of the institution as a whole.

Researchers should seek research partners who share the University's ethical principles, as demonstrated through their own ethical behaviour and commitment to relevant international ethical principles. The University is committed to maintaining the highest standards of rigour and integrity in the conduct of its research as embodied in the Concordat to Support Research Integrity (2019). All those engaged in research at the University are responsible for observing the principles in the UK Research Integrity Office (UKRIO) Code of Practice for Research (2009) in all aspects of their research from initial concepts through to final dissemination of outcomes.

Research misconduct, including but not limited to plagiarism or the falsification of data, will be regarded as a serious disciplinary offence. The University is committed to using transparent, robust and fair processes to deal with allegations of research misconduct should they arise. These processes are detailed in the University's Research Misconduct Policy. Staff and students should report any concerns according to the procedure laid out in this policy.

Our ethical principles go beyond statutory, regulatory or funders' requirements, and all research activities, funded or unfunded, must adhere to the ethical principles. The principal investigator (or project supervisor where studies are conducted by students) is responsible for ensuring that appropriate ethical review is undertaken. For certain areas of work, the Ethics Committee has established dedicated review processes (Appendix 2).

The online ethics system, LEON <https://leon.lboro.ac.uk>, integrates the ethical processes relating to research involving human participants, animals/animal cells and tissues and security sensitive research. The system will be fully introduced by May 2020 for academic staff and doctoral students and October 2020 for all submissions.

### 3.1. Internal links

- [Code of Practice for Research](#)
- [Research Misconduct Policy](#)
- [Research Data Management Policy](#)
- [Whistleblowing Policy and Procedure](#)
- [Guidance on applying for ethical approval for research within the NHS](#)
- [Health and Safety Policies](#)
- [Code of Practice on Investigations Involving Human Participants](#)
- [University HTA Licence Compliance Quality Manual](#)

### 3.2. Guidance from the Ethics Review Sub-Committee

- [Exposure to Hazardous Substances](#)
- [Exposure to Ionising Radiation](#)
- [Use of Pharmaceutical Drugs](#)
- [Data Protection Requirements](#)
- [Data Collection and Storage](#)
- [Studies Using Secondary or Pre-Existing Data](#)



- [Conducting Interviews and Working Alone Off-Campus](#)
- [Research with Children and Young People](#)
- [Online or Social Media for Research](#)
- [Online Questionnaires](#)
- [Incentives](#)

### 3.3. External Links

- [Concordat to Support Research Integrity](#) (2019)
- UK Research Integrity Office (UKRIO) publications including [Code of Practice for Research](#) (2009)
- [Human Tissue Authority](#)
- [Health Research Authority](#)

## 4. Learning and Teaching

At Loughborough, we are committed to research-informed teaching and to developing programmes of study that build on our exceptional reputation for effective collaboration with external partners in business, industry, the public sector and the professions. Our defining characteristics are a student-centred ethos and an outstanding national reputation for high quality teaching and student learning. Academic staff have the primary responsibility for providing diverse opportunities for all students to develop qualities of critical enquiry and independent learning within a supportive and intellectually stimulating learning environment. Crucially, we will listen to their needs and encourage their participation in enhancing the quality of learning and teaching.

Our recruitment and admissions process will be transparent, fair and explicit. Selection procedures will be followed courteously and expeditiously. Information concerning applicants will remain confidential. The University has a good record on widening access, in line with national policy objectives, and is committed to engaging in a range of activities in support of outreach and fair access.

Across the many facets of the relationships between learners and teachers, all parties shall act with integrity and honesty and be willing to act selflessly. All students should have access to personal academic tutors to ensure that appropriate advice and support are provided. Module design will consider the needs of all students and assessment procedures will be fair, rigorous and transparent. Academic misconduct, such as taking prohibited materials into examination halls, the use of essay mills and plagiarism, will not be tolerated.

The ethical principles associated with research apply equally to research work associated with taught programmes. In this case, responsible examiners / project supervisors are accountable for the nature and conduct of the research, the end-use of its findings, the behaviour of students and the choice of partners. Module / project definitions should involve students in a formal ethical scrutiny stage with responsible examiners/supervisors ensuring escalation as appropriate where specific review is deemed necessary. All students undertaking research projects are required to complete an Ethical Awareness form. Similar considerations apply to placements forming an integral part of Loughborough degree programmes. The health and safety of students on placement is of paramount concern and students are required to complete appropriate health, safety and risk assessments for their placements.

The institution has robust procedures to listen and respond to student complaints and appeals about academic matters. These are designed to ensure that students can raise matters of genuine concern without fear of disadvantage and in the knowledge that confidentiality will be respected.

**Section link:**

- [The Academic Quality Procedures Handbook Student Handbook](#)

## 5. Enterprise

Enterprise at Loughborough University is the term used to describe academic engagement with business, public and voluntary organisations to create social, cultural and economic impact through knowledge exchange. Enterprise is one of our four strategic themes, alongside teaching and learning, research and sport.

Enterprise initiatives include the formation of partnerships with business, public and voluntary organisations, the development of our Science and Enterprise Park, the nurturing of graduate start-up and University spin-out companies, and the creation of impact from our research base through a variety of project mechanisms. The Pro-Vice Chancellor (Enterprise) is accountable for ensuring adherence to this framework in respect of such initiatives. Acting with integrity, openness and honesty, the PVC(E) is expected to ensure that objective decisions are made concerning the choice of partners and the formation of new businesses and, where difficult ethical issues are encountered, demonstrate courage and consistency in those decisions with the backing of the institution as a whole. We will seek partners who share our ethical principles and respect our institutional values, as demonstrated through their own business practices. Through our shareholdings, we will encourage our subsidiary and spin-out companies to reflect our ethical principles in their own governance processes. For external organisations based on our campus, a commitment to the ethical principles in section 2 is a condition of tenancy.

In commercial activities, such as consultancy or IP exploitation, agreements must reward consultants and inventors fairly and respect the principles of academic freedom. Staff and students must give informed consent to confidentiality clauses where these are deemed necessary by the institution and its business partners, but every effort will be made to ensure that such dealings are as transparent and accountable as possible. The process for approval of commercial activities shall be subject to ethical scrutiny.

Each year, staff and members of the governing body must declare and provide details of any substantial involvement with an external organisation to ensure transparency in the University's current and future business relationships.

For all proposed studies, staff should initially complete the online [Ethical Quick Test Form](#). On submission, staff will either receive email confirmation that ethical clearance is granted or an email outlining the next steps they need to take to seek full ethical review for their study.

**Section link:**

- [Conflict of interest policy and procedure](#)

## 6. Sport

On global and national stages sport has experienced some profound ethical challenges in recent history and we would see this as a continuing issue. There are two main areas of concern bullying and doping which have to be high in terms of risk for the university. Loughborough University has so many connections to the broader sporting landscape that we could be connected unwittingly to an issue in these areas and we have to look to mitigate the risks and manage our media presence carefully. Recent issues have resulted in sanctions around the Paralympics and investigations into some of the UKs highest profile sports. Concerns and allegations around doping and bullying continue, with government Select Committee Reviews focusing in these areas. Loughborough plays a role in the national sports system and has national governing bodies of sport on campus as part of a vibrant sporting ecosystem. This offers many benefits but also potential risk of association with any unethical practices. It would be timely for Sport at Loughborough to consider and review its stance on “Ethics in Sport” and potentially play a lead role in helping create solutions and develop ideas.

Our reputation as the UK’s premier university for sport inspires us to act, across all activities, according to ideals which place fundamental value on participation, dedication and honest endeavour, while celebrating ever greater achievement, success fairly gained and unity across nations.

As the first university to be given the highest level of UKAD recognition via the UKAD University Accreditation scheme launched in 2015, a commitment to clean sport and the values associated with it are embedded within all elements of Loughborough University sporting practice. To demonstrate our unequivocal commitment to ‘Clean Sport’, the University, continually uses education as the best form of prevention on Campus. Loughborough host the training for national UKAD Educators alongside Doping Control Officers and offer tailored Clean Sport education to each performance athlete when transitioning to Loughborough University.

Loughborough also contracts UKAD to deliver a ‘no notice’ testing programme within its performance sport squads.

### Section links:

- [Athlete Clean Sport Commitment Statement](#) (PDF)
- [Loughborough Clean Sport Commitment Statement](#) (PDF)
- News: [Loughborough University the first to be awarded new UKAD education accreditation](#)

## 7. The Arts

Through a programme of arts-based activities we support the creative life of students while they are at university. Students are given the opportunity to learn creative skills and to engage with issues and ideas outside of their academic study. It provides an environment where there is an opportunity to meet students from different cultures and gain a breadth of knowledge that will support their lifelong learning. This commitment to the arts exemplifies our broader commitment to delivering a rich academic experience, beyond the economic imperatives increasingly associated with today's university education.

### Section link:

- [www.lboro.ac.uk/arts](http://www.lboro.ac.uk/arts)

## 8. The Loughborough Student Experience

The Loughborough Student Experience has always been a distinctive feature of the University. It is founded on a strong culture of student involvement in an energetic but caring community, characterised by high achievement, fun and a high degree of self-organisation. Effective partnership between Loughborough Students' Union, academic departments and support services has been central to this success, together with dynamic Hall communities and the strength of student sport.

The University attaches great importance to the student experience. We aim to provide an environment free from discrimination and characterised by mutual trust, respect for personal dignity, inclusivity and equality of opportunity. This spans every phase of the student experience, from recruitment to graduation. No student should be subjected to less favourable treatment on grounds of race, gender, disability, religious or political beliefs, age, sex, sexual orientation, pregnancy or maternity status, social or economic background.

Students must comply with the institution's rules and regulations, as set out in the Student Handbook which covers disciplinary and complaints procedures. We expect students to maintain high standards of personal and academic behaviour during their studies and we will not tolerate any form of harassment (including bullying) of, or by, our students. Students are expected to be open, honest and courteous with staff, with each other and with other members of the university as well as the local community. Academic freedom and freedom of speech are fundamental characteristics of the university environment. Debate, challenge and dissent are not only permitted but expected, and controversial ideas are likely to be advanced. Working with the Students' Union, we must ensure, however, that behaviour which contravenes our disciplinary standards is challenged and that any unlawful behaviour is communicated to the police. At the same time, we do not seek to impede the exercise of fundamental freedoms, in particular freedom of speech, through additional censorship, surveillance or invasion of privacy.

Accepting our duty of care, we will ensure the provision of appropriate support mechanisms for students including academic supervision, wellbeing, disability and mental-health related support, careers guidance and financial support for cases of hardship. We will also encourage participation in extra-curricular activity, particularly through academic departments, Halls and the Students' Union. We will empower students to take responsibility for their personal and professional development, enhancing their employability skills through, the breadth of opportunities provided. In these ways and in combination with high quality taught programmes, the University aims to equip its graduates for the challenging opportunities of a rapidly changing global environment.

## Section links:

### Codes of Practice

- Harassment and Bullying
- [Sexual Assault and Sexual Harassment Policy](#)
- [Alcohol, Drug and Substance Misuse Policy](#)
- [External Speaker Policy](#)
- [Loughborough University Prevent Policy](#)
- [Loughborough University Safeguarding Policy](#)

### Detailed Guidance:

- [The Student Charter](#)
- [Single Equality Scheme](#)
- Guidelines for Good Practice to Support Mature Students
- [Student Handbook: Equal Opportunities](#)
- [Student Handbook: Discipline](#)
- [Student Handbook: Complaints](#)
- [Alcohol free zone on Campus](#)

## 9. Sustainability and Social Responsibility (S&SR) at LU

The University is committed to acting in a socially responsible way that maximises its positive impact and minimises its negative impact on society and the communities in which it is based. This is reflected in the University's strategy Building Excellence which states that "we will embed sustainability and social responsibility into all of our processes, operations and developments" and also that we "will work closely with local partners to enhance the social, cultural and economic wellbeing of the communities and regions in which we reside".

In terms of sustainability, the University takes its responsibility for the environment seriously, and understands the need to respond to the challenges we face globally around issues such as climate change, human wellbeing, food, water supply and energy security. Loughborough seeks to respond to these opportunities by leading in environmental sustainability, building on the work of our research and enterprise activities and aspiring to make the campus a living laboratory demonstrating operationally our aim to develop a sustainable campus. Our commitment to sustainability also has an impact in teaching and learning where students are increasingly interested in courses which include sustainability and are seeking to attend HEIs which can demonstrate their commitment to the environment. Details of our sustainability response are available here:

[www.lboro.ac.uk/services/sustainability/](http://www.lboro.ac.uk/services/sustainability/)

Our response to the social responsibility agenda has wide-reaching implications for how staff and students are respected and supported:- for relationships with local communities: and for how we undertake our academic and business activities. There are also opportunities to embed research and enterprise and a strong link to the curriculum where, within the key aim Educating for Success, the University states that "we will develop our students as individuals, enhancing their capabilities as creative, confident and adaptable 21st Century citizens who will make a significant contribution to global society". The Students Union is central to our social responsibility response, in particular through the work of Action and RAG.

Our Environmental Management System is accredited to ISO14001:2015.

**Section link:**

Details of our approach and activities in respect of Social Responsibility:

- [www.lboro.ac.uk/services/community/](http://www.lboro.ac.uk/services/community/)

## 10. People and Organisational Development

The University values its people and recognises that its reputation is dependent on their engagement and commitment to excellence. Led by the Director of People and Organisational Development (also Leadership Champion for EDI), a [People and Organisational Strategy](#) has been developed, aligned with the University's Strategy, with a series of initiatives split across five priorities in the context of three themes:

- A culture that empowers people to perform at the highest levels.
- An agile organisation.
- An inspiring place to work and study.

We have developed a fair and supportive environment, which is concerned with employee wellbeing and aim to provide equity of opportunity and freedom from unlawful discrimination on the grounds of race, colour, nationality, ethnic origin, gender, gender identity (transsexuality), marital or civil partnership status, disability, religious or political beliefs, age, sexual orientation, pregnancy or maternity status, social or economic background, or other background. All staff hold responsibility for upholding the University's equality, diversity and inclusion policies. We aim to embed equity of opportunity in all of our processes e.g.: the recruitment and selection of staff, training, promotion, performance and development review, induction, probation, and communication. We endeavour to treat people fairly on the basis of individual need and we will value the diversity in the talented colleagues who work at Loughborough. All staff are encouraged to develop relevant skills and progress their careers. Training and development opportunities are readily available to facilitate this.

Staff must comply with the University's policies and procedures. In particular, when dealing with students, other staff, suppliers, business partners, government officials or other parties, no member of staff may give, offer, receive or request money or anything else of value, either directly or indirectly through connected parties, which could be construed as being intended as a bribe. Where an act of bribery is suspected, staff are obliged to take preventative action. Conflicts of interest must be disclosed, but confidentiality will be respected.

When representing the University externally, staff should act courteously and respectfully at all times, acknowledging specific local traditions and cultures in dealings overseas. We will not tolerate sexual, physical or mental harassment (including bullying) of, or by, our staff. Staff are expected to be open, honest and courteous with students, with each other, and with all members of the University community.

Codes of Practice:

- [Harassment and Bullying](#)
- [Equal Opportunities](#)
- [Research Staff Employment](#)
- [Disability](#)

Policies and detailed guidance:

[Anti-Bribery Policy](#)  
[Conditions of Service](#)  
[Recruitment Guide](#)  
[Equal Pay Policy](#)  
[Employment of Ex-Offenders](#)  
[Equality & Diversity Statement](#)  
[Whistleblowing Policy](#)

## 11. Financial Sustainability

The University holds and strives to maintain a secure and stable financial position, characterised by returning the net operating cashflow recommended by Council. By generating funding from a wider range of sources, we seek to retain the capacity to invest in staff and facilities in areas central to our academic strategies in the face of continuing change in the financial base for UK Higher Education.

Led by the Director of Finance, the university executive is accountable for the setting of budgets and policies and the implementation of procedures that conform to the highest standards in corporate governance. For example, procurement policies and procedures will deliver value for money and encourage fair and equitable, socially responsible and environmentally sustainable behaviour while an ethical investment policy will set out guiding principles for our investments. Individual budget holders are accountable for exerting appropriate financial controls in their areas of responsibilities and all members of the university community must play their part in ensuring our operations are cost effective.

Our efforts to generate income and attract resource generally, whether in collaboration or competition with other HE institutions or other bodies, will be characterised by our integrity and honesty. We seek suppliers, contractors and customers who share our ethical principles and respect our institutional values, as demonstrated through their own business practices and our relationships with these partners will be based on honesty, fairness and mutual trust, including adherence to agreed terms.

### Section links:

- [Ethical Investment Policy](#) (PDF)
- [Expenses Policy](#)
- [Sustainable Procurement Guidance](#)

## 12. Marketing and Communications

Our central marketing team undertakes activities that raise the University's profile with its external and internal stakeholders, inspire potential students, connect with alumni and competitively position the University nationally and internationally. We endeavour to ensure that all marketing materials are accurate at the time of publication, accessible and not misleading, and provide all the University's stakeholders with instructive information that helps them to make informed decisions and/or engage with the University. We endeavour to communicate policies, achievements and prospects honestly within and outside our University community.

### Section links:

- [Visual identity and key messaging guidelines](#)
- [Market research resources from applicant survey results to sector overviews](#)
- [Social media guidelines and channel strategy](#)

## 13. Commercial Services

The University engages in commercial and sponsorship activity to develop sources of revenue which maximise the University's facilities and expertise (including its commercial skills) in ways which are consistent with, and support, its core objectives as an academic institution. All profits are re-invested into the University. Led by the Chief Operating Officer, adherence to this framework is expected from all staff engaged in the delivery of commercial services. We will seek business partners who share our ethical principles and respect our institutional values, as demonstrated through their own business practices.

In the context of the University's ethical principles, staff considering a sponsorship agreement should consider:

- The suitability and reputation of the organisation according to the criteria outlined in the University's ethical principles.
- How a sponsorship agreement will be perceived by members of the University's community.
- How a sponsorship agreement will be perceived externally, for example in the local community or within Higher Education, or in the wider public domain.

## 14. Philanthropic gifts

The Philanthropy team within Marketing and Advancement is charged with building relationships with alumni and friends, charitable trusts, foundations and companies to solicit donations to support the University's strategy. The Philanthropy team operates in accordance with national guidelines advised by CASE and the Institute of Fundraising, and Loughborough University is registered with the Fundraising Regulator. In the first instance, all philanthropic gifts over £10,000 that the Institution applies for or is offered are considered by the Head of Philanthropy to ensure basic compliance with law and with our ethical principles. Gifts below this amount are considered by individual members of the Philanthropy team under the supervision of the Senior Development Managers and Head of Philanthropy as their line managers. The Head of Philanthropy has the authority to approve gifts below £50k. Above £50k, whether as a single gift or a combination of gifts, the acceptance of funding from a single source is considered by the Ethics Committee or a quorate sub-group of the Committee.

When considering the ethical nature of a gift the Loughborough University Ethical Policy Framework's Ethical Principles should be referred to, and these points should be of particular focus:

- The origin of the gift – where is the money or item coming from?
- The nature of the donor – are they an individual or organisation of integrity and good reputation?
- The legal and financial context of the gift – is the gift legal?
- The purpose of the gift – has the benefitting campaign, project or cause obtained ethical approval, or is it ethically sound, are there any conditions attached to the gift?

In the event that the donor wishes their gift to be used for a restricted purpose, approval should be sought from Operations Committee for pledges of £500,000+. Restricted donations below this threshold should be reviewed by the Head of Philanthropy. Approval is also required from Operations Committee where a restricted gift has implications for staff, space or revenue funding. The Head of Philanthropy is responsible for deciding when a gift should be referred in this way.



**Section link:**

- [Donation Acceptance Policy](#) (PDF, 2018)

## 15. Estate

The University is committed to acting in a socially responsible way that aims to maximise its positive impact and minimise its negative impact on society and the communities in which it is based.

Over the last 5 years the University has made significant progress in embedding environmental Sustainability across its operations. It also has a measurable track record of success in delivering on Social Responsibility. Our ongoing vision is to demonstrate a consistent and meaningful engagement with sustainability through our capital development programme, campus operations and academic activities and embed sustainability and social responsibility in our school and services management processes.

**Section link:**

- [Managing our environmental impacts](#)

## 16. Information Services

High quality, fit-for-purpose information services are required to support and underpin the work of a knowledge-based organisation such as Loughborough University. For this reason, we seek to promote and facilitate the proper and extensive use of Information Technology while ensuring responsible and legal use of the technologies and facilities made available to students, staff and partners of the University.

**Section links:**

- [IT Acceptable Use Policy](#)
- [University Information Governance Policies](#)

## 17. Ethics Committee

The Ethics Committee serves to advise Council on ethical matters arising in the conduct of the University's business. It is a Joint Committee of Senate and Council. Its terms of reference, constitution and membership and FAQs are available here: [www.lboro.ac.uk/committees/ethics/meetings](http://www.lboro.ac.uk/committees/ethics/meetings)

Its Sub-Committees are the Ethics Review Sub-Committee and Human Tissue Act Licence Sub-Committee.

## 18. Principal Sources of Information

A number of sources of information have informed the development of this framework. These have included:

- The Council for Industry and Higher Education: Ethics Matters – Managing Ethical Issues in Higher Education.
- The Council for Industry and Higher Education: Reviewing the effectiveness of ‘Ethics Matters – Managing Ethical Issues in Higher Education’.
- Royal Academy of Engineering Statement of Ethical Principles.
- OECD Guidelines for Multinational Enterprises.

## 19. Further Information

If your concerns have not been fully addressed by this Ethical Policy Framework, its Codes of Practice or the additional guidance provided, your next steps should be to:

- Raise the issue locally and in confidence with, for example, your tutor, supervisor, line manager or Dean of School.
- If resolution cannot be reached, you or your representative (as above) should refer the case to the person responsible for the area of activity in which the issue falls (see Appendix 3).
- If resolution still cannot be reached, the person responsible for the relevant area of activity should raise the matter with the Secretary of the Ethics Committee who will pass it to the Chair for consideration.

## Appendix 1: Legal Requirements

University guidance is available covering the following areas:

- [Freedom of Information](#)
- [Data Protection Policy](#)
- [Data Security and Information Privacy](#)

## Appendix 2: Ethical Review Processes

### ETHICAL QUICK TEST (FOR STAFF AND DOCTORAL STUDENTS)

For research and enterprise studies, the [Ethical Quick Test](#) is intended to prompt University staff and doctoral students to consider the action/activity in simple terms and to ensure that the conduct and outcomes of the activity adhere without question to the ethical principles outlined in Section 2 of the Ethical Policy Framework.

It is essential that reviewers consider the implications of an action/activity in all areas of the University's business, not just in the area within which the action/activity arises. On completion of the Ethical Quick Test, respondents will be advised by email whether additional ethical review is required and will advise on the appropriate course of action.

### ETHICAL AWARENESS FORM (FOR TAUGHT STUDENTS)

For taught student projects, the [Ethical Awareness Form](#) is intended to raise awareness of ethical considerations and ensure that the conduct and outcomes of the project adhere without question to the ethical principles outlined in Section 2 of the Ethical Policy Framework. Taught students should discuss the completion of the form with their project supervisors.

On completion of the Ethical Awareness Form, students will be advised whether additional ethical review is required and the appropriate course of action.

### ETHICAL REVIEW

For a range of activities, additional ethical review will need to be sought, as detailed on the following page.

Table 1. Ethical Review activities.

<b>Activity</b>	<b>Review Route</b>	<b>Process</b>
<b>Investigations involving human participants</b>	Ethics Review Sub-Committee	Follow the Code of Practice on Investigations involving Human Participants. Complete an ethics application via LEON <a href="https://leon.lboro.ac.uk">https://leon.lboro.ac.uk</a>
<b>Investigations involving activity falling under the Human Tissues Act</b>	Ethics Review Sub-Committee	Follow guidance from the Human Tissue Act Licence Sub-Committee. If necessary, complete an ethics application via LEON <a href="https://leon.lboro.ac.uk">https://leon.lboro.ac.uk</a>
<b>Investigations with military applications or using dual use technologies</b>	Dean/AD(R); Ethics Committee	Complete the Review Process for <a href="#">Projects Involving Research with Military Applications or Dual Use Technologies</a> .
<b>Investigations involving animals or animal cells/tissues</b>	Ethics Review Sub-Committee	Complete an ethics application via LEON <a href="https://leon.lboro.ac.uk">https://leon.lboro.ac.uk</a>
<b>Investigations involving accessing security sensitive material (e.g, online terrorist content or material).</b>	Ethics Review Sub-Committee	Complete an ethics application via LEON <a href="https://leon.lboro.ac.uk">https://leon.lboro.ac.uk</a>
<b>Activities involving Elevated Ethical Risk International Collaborations</b>	Ethics Committee	Complete the Review Process for <a href="#">Elevated Ethical Risk International Collaborations</a> .
<b>Possible conflict with ethical principles partially or wholly outside the above.</b>	Ethics Review Sub-Committee	Forward a study description to the Dean of School or the Responsible Person (see Appendix 3 for list)
<b>Funding by philanthropic gifts</b>	Ethical Advisory (Gifts)	Follow the process outlined in Appendix 4

For any other activities that sit partially or wholly outside those detailed above where there is a possible conflict with the ethical principles outlined in Section 2, please speak to the area's responsible person (detailed in Appendix 3) in the first instance.

## Appendix 3: Responsible Persons

Table 2. List of roles with responsibilities for ethical principles in given strategy areas.

Strategy Area	Responsible Post	Current Postholder
Research	PVC(R)	Steve Rothberg
Learning and Teaching	PVC(T)	Rachel Thompson
Enterprise	PVC(E)	Tracy Bhamra
Sport	Director of Sport	John Steele
The Arts	Director of Arts	Nick Slater
The Loughborough Student Experience	Director of Student Services	Manuel Alonso
Social Responsibility	Chief Operating Officer	Richard Taylor
Human Resource Management	Director of Human Resources and Organisational Development	Adèle MacKinlay
Financial Sustainability	Director of Finance	Andy Stephens
Marketing and Communications	Director of Marketing and Advancement	tbc
Commercial Services	Chief Operating Officer	Richard Taylor
Philanthropic gifts	Head of Philanthropy	Rachel Third
Estate	Director of Facilities Development	David Fulford
Information Services	Director of IT Services	Vipin Ahlawat

### Remit for the Responsible Person:

- To own the relevant section of this framework, ensuring that guidance provided, including linked documents, is accurate and sufficient. When the formulation of additional guidance is necessary, to recommend such action to the Ethics Committee.
- To guide the review, modification and production of Codes of Practice and guidance documents within their area of responsibility as requested by Ethics Committee.
- To receive ethical issues relating to their area of the business of the University which members of the university community have not been able to resolve locally.
- Where such issues still cannot be resolved, to ensure that the issue is considered within the process laid out in this framework.

## Appendix 4: Code of Practice for the Acceptance of Gifts

- See [Donation Acceptance Policy](#) (PDF, 2018)

## Annex A: Civil liberties

<http://legal-dictionary.thefreedictionary.com/civil+liberties>

The rights or freedoms given to the people by the First Amendment to the [US] Constitution, by common law, or legislation, allowing the individual to be free to speak, think, assemble, organise, worship, or petition without government (or even private) interference or restraints.

What rights does the Human Rights Act protect?

<http://www.liberty-human-rights.org.uk/human-rights/human-rights/the-human-rights-act/index.php>

- The right to life – protects your life, by law. The state is required to investigate suspicious deaths and deaths in custody.
- The prohibition of torture and inhuman treatment – you should never be tortured or treated in an inhuman or degrading way, no matter what the situation.
- Protection against slavery (see Annex B) and forced labour – you should not be treated like a slave or subjected to forced labour.
- The right to liberty and freedom – you have the right to be free and the state can only imprison you with very good reason – for example, if you are convicted of a crime.
- The right to a fair trial and no punishment without law - you are innocent until proven guilty. If accused of a crime, you have the right to hear the evidence against you, in a court of law.
- Respect for privacy and family life and the right to marry – protects against unnecessary surveillance or intrusion into your life. You have the right to marry and raise a family.
- Freedom of thought, religion and belief – you can believe what you like and practise your religion or beliefs.
- Free speech and peaceful protest – you have a right to speak freely and join with others peacefully, to express your views.
- No discrimination – everyone's rights are equal. You should not be treated unfairly – because, for example, of your gender, race, sexuality, religion or age.
- Protection of property, the right to an education and the right to free elections – protects against state interference with your possessions; means that no child can be denied an education and that elections must be free and fair.



## Annex B: Modern slavery and human trafficking statement 2019-20

Modern slavery is a crime and a violation of fundamental human rights. It takes various forms, such as slavery, servitude, forced and compulsory labour and human trafficking, all of which have in common the deprivation of a person's liberty by another in order to exploit them for personal or commercial gain.

We are committed to ensuring that our practices do not support organisations or individuals who engage in slavery and human trafficking.

**This statement is made pursuant to section 54(1) of the Modern Slavery Act 2015 and constitutes our slavery and human trafficking statement for the financial year ending 31st July 2020.**

### Organisational structure

We are a leading UK university in the higher education sector, with a reputation for excellence in teaching and research, strong links with business and industry and unrivalled sporting achievement. The University has over 18,800 students and over 3,900 staff. In 2019-20, we had total income of £327.3 million and total expenditure of £272.6 million.

Loughborough's Chancellor is the formal principal officer. The Chancellor is also an ex-officio member of the University Council and confers degrees on Loughborough's graduates. The day-to-day running of the University is the responsibility of the Vice Chancellor and President, Professor Robert Allison, who is the academic and executive head.

The Vice Chancellor works closely with the [Academic Leadership Team](#) which includes: the Provost and Deputy Vice Chancellor, three Pro Vice Chancellors, the Chief Operating Officer, the Director of Finance and nine School Deans. He also works closely with other senior officers.

The University Council is the governing body, responsible for the University's strategy and overall governance. It is the official employer of all staff and meets four times a year. Its Chair is the Senior Pro Chancellor, Sir Peter Bonfield.

Senate is responsible for the academic work of the University, academic awards, teaching and research quality. Its membership is drawn from the academic staff of the University.

The University has [9 academic schools](#), over [100 research groups, institutes and centres](#), and [12 professional service functions](#).

### Our supply chains

We categorise our procurement spend as follows:  
(% split based on 2019-20 spend profile, where total procurement spend was £65.5m)

University area	Indicative percentage split
Estates / Construction	42.4%
IT & Telecommunications	16.4%
Professional Services	15.4%
Laboratory & Medical	10.0%
Travel & Accommodation	4.5%

Catering	4.3%
Furniture	1.8%
Audio Visual	1.7%
Office Supplies	1.6%
Postal Services	1.0%
Domestic / Cleaning	0.7%
Library	0.3%

We have undertaken a high-level risk assessment of our contracts, identifying where supply chains extend into sectors and territories that are high risk in terms of the potential presence of modern slavery. The high risk sub-categories identified are estates / construction, IT & Telecommunications, catering, specialist cleaning services, taxis, laboratory supplies (gloves), and personal protective equipment / workwear / sports kit / promotional leisurewear.

## Our policies on slavery and human trafficking

Our University Strategy, workplace policies and procedures demonstrate our commitment to acting ethically and with integrity in all our business relationships. We are committed to ensuring that there is no modern slavery in our supply chains, or in any part of our business. Our HR policies and procedures reflect UK employment law.

The University's Procurement Regulations require compliance with the Modern Slavery Act 2015.

The University's Sustainable Procurement Guidance Note explicitly references the Modern Slavery Act 2015, with slavery and human trafficking included within the pre-procurement risk assessment tool. It also prompts consideration of the appropriateness of using labour standards (including ILO core conventions) as selection criteria.

As a member of Electronics Watch the University is able to build EW labour standards clauses into its contracts for IT hardware and receive compliance reports from EW monitoring organisations on factories which manufacture products ultimately supplied to the University.

## Due diligence processes for slavery and human trafficking

As well as being reflected in our policies and procedures, the requirements of the Modern Slavery Act 2015 are built into our working documents. The risk of modern slavery within the supply chain is flagged and mitigated within the Procurement Strategy checklist/template, pre-qualification/tender documents and the University's Standard Terms and Conditions.

The University has purchased [NetPositive Futures' Supplier Engagement Tool](#), meaning our suppliers can access the tool free of charge to create a Sustainability Action Plan for their business. Where relevant, the tool identifies actions for the supplier to take to mitigate the risk of modern slavery within their supply chain. The tool allows the University to run reports to see supplier progress against identified actions within their plan(s). The University's template contract award letter encourages suppliers to use the tool, where its use is not to be made contractual due to the significance of slavery (/ sustainability factors) given the nature of the contract.

Furthermore, our contract summary template, which is completed by the Procurement Team once a contract is awarded, focusing contract managers on the key contract deliverables, performance measures and risks etc., includes a modern slavery risk rating. The contract summary template, as well as our contract review

meeting agenda template, also note the availability of NetPositive action plan progress reports, including the supplier's progress in taking forward any modern slavery mitigation actions.

The University continues to engage with other universities and higher education purchasing consortia, not least the North Eastern Universities Purchasing Consortium (NEUPC) of which the University is a member, to agree how best our combined resource may be used to identify and monitor risks of modern slavery in our supply chains.

The Head of Procurement has joined a HE sector group established to facilitate best practice sharing in mitigating the risk of slavery and human trafficking in supply chains. The group intends to map the supply chain for a particular high risk product to develop knowledge, skills and tools to combat slavery and human trafficking in that area, as a proof of concept and to share across the sector.

## Supplier adherence to our values

We have zero tolerance to modern slavery. As well as taking mitigating measures through the procurement / contract management process (including adding appropriate pre-qualification / tender questions and standard contract clauses), the University expressed this policy, explained the Modern Slavery Act and the related measures we have added to our processes, at local supplier events.

## Training

The Procurement team have received Modern Slavery training from NetPositive Futures, the University of Greenwich and the Ethical Trading Initiative. All staff involved in procurement are made aware of the risks and indicators of modern slavery in our supply chains, along with the mitigating measures detailed above, as part of our rolling in-house Procurement training. All staff have been made aware of the free Modern Slavery online training module made available by the British Universities Finance Directors Group (BUFDG).

## Our effectiveness in combating slavery and human trafficking

All tendering exercises undertaken by the Procurement team during 2019/20 incorporated the standard modern slavery risk mitigation measures now built into our procurement process. For high risk contracts / framework agreements awarded during the year, such as mechanical and electrical works, windows and glazing, roofing works and fruit and veg, enhanced checks and provisions were added (including a contractual requirement to use the NetPositive tool described under the Due diligence section above).

Since the start of the coronavirus pandemic, we have sort and gained assurances from our PPE, cleaning product and computer suppliers that the rights of workers within their already vulnerable supply chains are fully observed at a time of high risk and demand.

### **Richard Taylor**

Chief Operating Officer  
Loughborough University

On behalf of the Council of Loughborough University which approved this statement on 26th November 2020.

# Senate



Loughborough  
University

## Minutes

### SEN21-M1

Minutes of the Ordinary meeting held on 10 March 2021.

#### Attendance

	Robert Allison	
Hemaka Bandulasena	Carolina Escobar-Tello	Valerie Pinfield
Tracy Bhamra	Ashleigh Filtness	Shahin Rahimifard
Ana-Maria Bilciu	Mey Goh	Chris Rielly
Ksenia Chmutina	Richard Hodgkins	Stewart Robinson (ab)
Marcus Collins	Eef Hogervorst	Steve Rothberg
James Colwill	Caroline Kennedy-Pipe	Tzameret Rubin
Paul Conway	Mark King	Darren Smith
Malcolm Cook	Mark Lewis	Robby Soetanto
Jennifer Cooke	Chris Linton	Christopher Spray
Andrew Dainty	Niels Lohse	Rachel Thomson
Abigail Davis	Mariateresa Lombardo	Emily Turnbull
Cees de Bont	Callie Merrick	Duncan Walker
Varuna de Silva	Andrew Morris	Emma Walton
Phil Eames	Kelly Morrison	Sian Williams
Claudia Eberlein	Fehmidah Munir	Brian Winn
Tony Edwards	Maria Nieswand	Amie Woodyatt
Fiona Ellis-Chadwick	Joao Oliveira (ab)	Matt Youngs
	Elizabeth Peel	

#### *In attendance:*

Chris Dunbobbin, Jennifer Nutkins, Miranda Routledge (for item 21/2), Andy Stephens, Richard Taylor.

#### *Apologies received from:*

Joao Oliveira, Stewart Robinson.

#### 21/1 Minutes

Senate confirmed the Minutes of the Ordinary meeting held on 11 November 2020 (**SEN20-M5**).

#### 21/2 University Strategy

##### SEN21-P1

- 2.1 Senate considered the strategic framework that would underpin the next University Strategy, and noted its satisfaction with the overall direction of travel.

The Vice-Chancellor thanked members for their input to the Senate Away Day in January 2021 – there had been many valuable discussions and the points raised had been incorporated into the latest iteration of the framework. Thanks were also offered to the Provost and Deputy Vice-Chancellor, Miranda Routledge and Ffyona Baker for their hard work in progressing the

document to this stage. Senate then received a presentation from the Provost, with the following points noted in discussion:

- i) Student members offered thanks for the opportunities afforded to the student community to contribute to the development of the new strategy, and welcomed the latest iteration of the framework. A specific point noted was the importance of ensuring that opportunities in sport were available to students on the LU London campus. Reassurance was provided that further alignment with the experience on the Loughborough campus in relation to sport and other areas would form part of LU London's next phase of development.
- ii) A number of members welcomed the greater emphasis within the new document on people being at the heart of the University's activities, and on Equality, Diversity and Inclusion.
- iii) Clarification was provided that the reference to reshaping engineering activities was intended to articulate that there were huge opportunities for engineering at the University, including promotion of the University's engineering activities in ways which maximised their sense of relevance and interest to potential students. Further consideration would be given to how this was expressed within the new strategy.
- iv) There were some concerns around the extent to which all staff, across all disciplines, would feel that the strategic themes of environment and society, and sport and health, as articulated within the current iteration, were relevant to their area of academic endeavour. Reassurance was provided that the themes were not intended to capture all that the University did. The University would continue to be a plural institution, supporting all staff to prosecute research, deliver enterprise, and educate students across the academic spectrum. Similar reassurances were provided that the prioritisation of activities that spanned more than one of the research, teaching, enterprise, sport and EDI domains was not intended to exclude activities that fell within only one domain. Further consideration would be given to how these issues were articulated in the next iteration.
- v) In relation to the statements of vision, mission and values, it was noted that:
  - Not all colleagues might consider themselves to be extraordinary (albeit that they might wish to be supported to do extraordinary things), and it was suggested that further consideration be given to the wording of 'Our Vision'.
  - The wording of 'Our Mission' could be revised to be more explicitly outward-looking, referring to people and groups beyond the University's students and communities.
- vi) The following additional suggestions were made:
  - Further consideration be given to the existing positioning of sport as both a main activity domain (along with research, teaching, enterprise, sport and EDI) and an enabling activity.
  - More specific content be included relating to opportunities in the post-Covid world.
  - A degree of flexibility be built-in to the articulation of the Environment and Society theme, noting that KPIs such as net zero emissions were likely to evolve over time.
  - Alumni be explicitly referred to as key partners.

## **SEN21-P2**

### **2.2 Key Performance Indicators**

Senate considered updates to KPIs for reporting to Council. The following points were highlighted:

- i) A number of key individual metrics remained amber, reflecting the uncertain nature of the external environment. Overall, a prudent view had been taken, and as a result the University's overall performance rating remained amber. The situation would be carefully

- monitored as the longer-term impact of Covid-19 became clearer and work continued on the new University strategy.
- ii) The RAG ratings for several key measures including those relating to sport experience, and student placements had changed from green to amber reflecting reduced opportunities for students linked to the impact of the pandemic.
  - iii) An error in the paper was noted: under 'a culture that delivers success', it was stated incorrectly that the continuation measure had moved from green to amber rather than amber to green.

## **21/3 Update on University Response to Coronavirus**

### **SEN21-P3**

Senate received an update on the University's response to the coronavirus pandemic. The Vice-Chancellor began by thanking all members of the University community for their response to the Covid-19 challenge.

The Chief Operating Officer provided an update on the University's operational response and management of the pandemic, highlighting several specific points. The University's working assumption was that it would be possible after the Easter vacation for all students to return to the University's campuses and for in-person teaching delivery and some other aspects of student life to resume. Planning was in progress for Graduation ceremonies in the two weeks commencing 19 July 2021. Regular testing, via the well-established symptomatic and asymptomatic testing centres on the University's campus, was in place for students and staff, with a current emphasis on a comprehensive one test per week approach. The number and proportion of positive tests was very low with just four cases, all asymptomatic, in the week to 2 March 2021. Thanks were offered to the PhD students and colleagues who had been staffing the test centres and to the vast majority of students who had been following Covid-19 guidelines.

The Pro Vice-Chancellor for Teaching provided an update on learning, teaching and assessment in 2020-21, highlighting in particular the key dates on which student groups had returned to campus, with all students expected to return by 26 April 2021.

## **21/4 Diversity of Senate Membership**

### **SEN21-P4**

Senate considered a report on the diversity of Senate membership. The key diversity issue for Senate related to BAME membership, and the recommendations at the end of the paper were endorsed: that further work should be undertaken with the Deans to maximise the selection of appointed members to improve Senate's diversity; and that further work should be undertaken on the mechanisms and messages used for recruitment of elected members to appeal more directly to individuals from under-represented groups.

It was agreed that Senate should receive an updated report on an annual basis and that data on a wider range of EDI characteristics should be included in future iterations.

## **21/5 Appointment/Reappointment of Pro Vice-Chancellors**

Senate agreed to recommend to Council Professor Rachel Thomson's reappointment for a further five-year term as Pro Vice-Chancellor for Teaching, to 31 July 2026. (Professor Thomson left the room for this item).

## **21/6 Health, Safety and Environment Committee**

### **SEN21-P5**

6.1 Senate received minutes of the meeting of Health, Safety and Environment Committee on 3 February 2021.

### **SEN21-P6**

- 6.2 Senate considered the Health and Safety Bulletins for October 2020 to January 2021. The Chief Operating Officer provided an update on actions taken in response to a health and safety issue in Towers Hall resulting from limited use of facilities during the current lockdown. This had unfortunately required temporary relocation of student residents. The Towers Hall Chair was thanked for her support to students and staff during this period.

## **21/7 Matters for Report by the Pro-Vice-Chancellor (Research)**

### **SEN21-P7**

Senate received a report including: a summary of items considered at the Research Committee meeting on 24 November 2020; a detailed breakdown of Research Grant and Contract performance at the half year 2020-21 stage; financial support for Doctoral Researchers who had been unable to mitigate against disruption caused by the pandemic; and REF 2020-21 preparations. The following points were noted in discussion:

- i) Thanks were offered to all colleagues at all levels who had offered leadership and support in relation to REF.
- ii) It was welcomed that Research Committee had approved a request for the University to become a signatory to the revised Concordat to Support the Career Development of Researchers. Further to this, Research Committee had proposed a research leadership programme taking in key stages of career development. It was noted as important that this should include training on how to be a team leader/manager.
- iii) Further information was provided on the success rates of Doctoral Prize Fellowship applications. A significant proportion of both cohorts were awaiting funding decisions, and following a review of the scheme, this issue, around the length of the Fellowships, would be addressed in the next iteration.

## **21/8 Matters for Report by the Pro-Vice-Chancellor (Teaching)**

### **SEN21-P8**

8.1 Senate received a report, and thanks were offered to all involved in ongoing activities in respect of Learning and Teaching at the University. The following points were highlighted:

- i) Module feedback had operated as normal in Semester 1 2020-21 and the results were broadly similar to Semester 1 2019-20, with a very slight (although not statistically significant) increase in overall satisfaction.
- ii) Significant staff training and development activity relating to flexible module delivery had been led by CAP and engagement levels had been very good.
- iii) Work was underway on the learning and teaching element of the University's submission to the Race Equality Charter (REC) for a possible bronze award, which was being led by Dr James Esson.
- iv) A further 266 full-time and 41 part-time new postgraduate taught students had started degree programmes in January 2021. This was a very positive outcome and thanks were offered to all involved. Work was underway on a similar process for a February 2022 entry.
- v) The position for 2021 student entry remained volatile and was being monitored carefully.
- vi) Withdrawals between October and December 2020 had impacted on the University's achievement of its access targets. Further work was ongoing to mitigate against this in the future.

### **SEN21-P9**

8.2 Senate considered a review of teaching delivery set up under the Framework for Flexible Module Delivery, with a view to informing delivery principles for the 2021-2022 academic year and the broader principles within the Learning and Teaching element of the new University Strategy. In discussion, it was noted by student members that levels of staff enthusiasm for and comfort with digital and dual delivery was variable. Reassurance was provided that this would be addressed through a number of mechanisms including expanded and refreshed training and sharing of good practice.

## **21/9 Matters for Report by the Pro-Vice-Chancellor (Enterprise)**

### **SEN21-P10**

Senate considered a report including updates on the Knowledge Exchange Framework; the Knowledge Exchange Concordat; and Enterprise Finance Reporting.

## **21/10 Matters for Report by the Provost and Deputy Vice-Chancellor**

### **SEN21-P11**

Senate considered a report. The following points were highlighted:

- i) ED&I issues had featured strongly at recent ALT meetings, including: In December 2020, race equality training, and a presentation on male allyship which had led to a productive discussion on how male leaders could become active supporters of EDI; and in January 2021, a proposed LU Race Equity Strategy (LURES), the adoption of which had subsequently been endorsed by Human Resources Committee.
- ii) Operations Committee:
  - a. The University would report a significant operating deficit in 2020/21, due primarily to the loss of fee income due to the pandemic. The deferral of all but non-essential capital spend meant that the University's cash position had been protected. Operations Committee was working on the assumption that devolved budgets would be in place for the new financial year starting on 1 August 2021.
  - b. Operations Committee was satisfied that the structural gap in University finances resulting from static home student fees coupled with rising staff costs and general inflation had been resolved until 2024/25.
  - c. Capital spend remained tightly constrained and no significant projects, other than those with a major proportion of costs covered from external sources, were envisioned in the near future. A high priority would need to be given to infrastructure maintenance projects as the University returned to a more normal operating environment.
  - d. Discussions with LSU over the purchase of land and building assets were ongoing.

## **21/11 Matters for Report by the Vice-Chancellor**

Senate received a verbal report on the following matters:

- i) Final interviews for the recruitment of a new Dean for the School of Business and Economics would be held in April 2021. There was a strong field of candidates with considerable diversity. Senate would be advised as soon as an appointment was confirmed.
- ii) An update was provided on the recent valuation of the USS pension scheme, which, notwithstanding some dispute about the parameters for the valuation, had indicated a large funding shortfall. The University would continue to work closely and constructively with the campus Unions and the Vice-Chancellor would arrange an open-meeting for all staff in due course.
- iii) Unfortunately, it had been necessary to postpone the graduation ceremonies scheduled for April 2021. It was hoped that it would be possible to hold ceremonies for the classes of 2020 and 2021 in the last two weeks of July 2021.
- iv) Thanks, and good luck for the future, were offered to Professor Tracy Bhamra, who was attending her final meeting of Senate as Pro Vice-Chancellor for Enterprise, prior to starting a new role as Senior Vice-Principal at Royal Holloway, University of London.

## **21/12 Appointment of Vice-Chancellor**

### **SEN21-P12**

The Vice-Chancellor left the room for this and subsequent items, and the Provost and Deputy Vice-Chancellor took the Chair.



Senate received a progress report on the process for the appointment of a new Vice-Chancellor, including the composition of a Joint Committee of Council and Senate to manage the search. The Joint Committee had retained consultants Saxton-Bampfylde to support the search process, and the role had been advertised publicly in January 2021. An engagement exercise had also been initiated to listen to views from different stakeholders, including colleagues, students and alumni. The process was progressing well, and it was anticipated that the Joint Committee would be in a position to make a recommendation to Council on an appointment in early May 2021. **ACTION: Secretary to circulate Chair of Council's introduction to the further particulars for the post to Senate members with the minutes.**

### **21/13 Prevent Annual Monitoring Report**

#### **SEN21-P13**

Senate noted Council's approval of the Prevent Annual Monitoring Report for submission to OfS.

### **21/14 Ethics Committee**

#### **SEN21-P14**

14.1 Senate received minutes of the meeting of Ethics Committee on 2 February 2021.

#### **SEN201-P15**

14.2 Senate approved the Annual Statement on Research Integrity 2021.

### **21/15 Human Resources Committee**

#### **SEN21-P16**

15.1 Senate received minutes of the meeting of Human Resources Committee on 3 February 2021.

#### **SEN21-P17**

15.2 Senate recommended to Council for approval the Equality, Diversity and Inclusion Compliance Report 2020.

### **21/16 IT and Governance Committee**

#### **SEN21-P18**

16.1 Senate received minutes of the meeting of IT and Governance Committee on 27 October 2020.

#### **SEN21-P19**

16.2 Senate recommended to Council for approval revisions to the Terms of Reference for Information Technology and Governance Committee

### **21/17 Research Committee**

#### **SEN21-P20**

17.1 Senate approved the establishment of a new Research Centre based in the School of Social Sciences and Humanities: STEER - The Loughborough Centre for Sustainable Transitions: Energy, Environment and Resilience.

#### **SEN21-P21**

17.2 Senate approved an amendment to Regulation XXVI (Research Degree Programmes) to discontinue the PhD by publication route for alumni.

### **21/18 Student Discipline Committee**

#### **SEN21-P22**

18.1 Senate received minutes of the meeting of Student Discipline Committee on 26 January 2021.

#### **SEN21-P23**

18.2 Senate approved revised Terms of Reference for Student Discipline Committee.

## SEN21-P24

18.3 Senate recommended to Council for approval a minor amendment to Ordinance XVII (Conduct and Discipline of Students).

## 21/19 Programme Proposals

Senate note the action of the Pro-Vice-Chancellor (Teaching), on behalf of Senate, in approving the following:

### 19.1 New programmes:

BSc/MChem Chemistry with Computing (from Oct 2021)  
MA Climate Change Politics and Policy (from Oct 2021)  
MSc Climate Change Science and Management (from Oct 2021)  
MA Creative Writing and the Writing Industries (from Oct 2021)  
MA Cultural Heritage Innovation (from Oct 2021)  
MA Design and Branding (from Oct 2021)  
MSc Diplomacy, Politics and Trade (from Oct 2021)  
Humanities with a Foundation/International Foundation Year (from Oct 2021)  
MSc Intelligent Transport Systems (from Oct 2021)  
MA International Development (from Oct 2022)  
MSc International Financial and Political Relations (from Oct 2021) \*  
MSc International Project Management (from Oct 2021)  
International Relations with a Foundation/International Foundation Year (from Oct 2021)  
MSc International Sustainable Development (from Oct 2022)  
BSc/MPhys Physics with Computing (from Oct 2021)  
MSc Service Design Innovation (from Oct 2021)  
PG Cert Storytelling (remote learning from Feb 2021 and blended learning from Oct 2021)  
MSc Sustainable Management (from Oct 2021)  
MSc User Experience Design (from Oct 2021) #

\* *New part-time version of existing full-time programme*

# *Part-time version has since been suspended until Oct 2023. The full-time version will be launched in October 2021 as planned.*

### 19.2 Award, title or major programme changes:

BEng/MEng Architectural Engineering (DIIntS option added from Oct 2020 intake)  
BEng/MEng Civil Engineering (DIIntS option added from Oct 2020 intake)  
Civil Engineering with a Foundation Year (title change to Civil Engineering and Architectural Engineering with a Foundation Year from October 2020 intake)  
Civil Engineering with an International Foundation Year (title change to Civil Engineering and Architectural Engineering with an International Foundation Year from October 2020 intake)  
BSc Commercial Management and Quality Surveying (DIIntS option added from Oct 2020 intake)  
BSc Construction Engineering Management (DIIntS option added from Oct 2020 intake)  
BA Fine Art (from Oct 2022 entry)  
MA Global Communication and Development (title change to MA Global Communication and Social Change from Oct 2021 intake)  
BA Graphic Design (from Oct 2022 entry)  
BA Textile Design (from Oct 2022 entry)  
BSc/MPlan Urban Planning (DIIntS option added from Oct 2020 intake)  
MA User Experience Design (title change to MA User Experience and Service Design from October 2021 intake onwards)

### 19.3 Suspension of programmes:

MA Cultural Heritage Innovation (No previous intakes; proposed first intake: Oct 2022)  
MA Media History (No previous intakes; next intake: Oct 2022)  
MSc Sustainable Management (No previous intakes; proposed first intake: Oct 2022)  
MSc User Experience Design - part-time version only (proposed first intake: Oct 2023)  
MSc Water Engineering for Development (F/T) (last intake: Oct 2020; next intake: Oct 2022)  
MSc Water Management for Development (F/T) (last intake: Oct 2020; next intake: Oct 2022)

#### 19.4 Termination of programmes:

MSc Banking and Finance (Last intake: Oct 2020)

MA Creative Writing (Last intakes: p/t 2018; f/t 2019)

MSc Economics and Business Strategy (Last intake: Oct 2019)

MSc Economics and International Business (Last intake: Oct 2019)

MSc Infrastructure Design and Management (no previous intakes)

MA Media History (no previous intakes)

## 21/20 Annual Report on Academic Partnerships

### SEN20-P25

Senate received the annual report on major academic partnerships.

## 21/21 Appointment of Associate Deans

Senate note the following appointments/reappointments:

21.1 Professor Vicky Story as Associate Dean (Teaching) for the School of Business and Economics from 1 February 2021 until 31 July 2024.

## 21/22 Reports from Committees

Senate received reports from the following Committees:

22.1 **SEN21-P26** Arts Committee of 2 February 2021.

22.2 **SEN21-P27** Enterprise Committee on 8 September and 3 November 2020, and 12 January 2021.

22.3 **SEN21-P28** Estates Management Committee of 18 June and 6 November 2020.

22.4 **SEN21-P29** Finance Committee of 21 October and 11 December 2020, and 18 January and 12 February 2021

22.5 **SEN21-P30** Learning and Teaching Committee of 28 January 2021.

## 21/23 Date of Remaining Meeting in 2020-21

Wednesday 16 June 2021, 10am

Author – Chris Dunbobbin

Date – March 2021

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# Senate



Loughborough  
University

Paper Title: Matters for Report on Enterprise

Origin: Claudia Eberlein, in lieu of PVC(E)

Date: 27 May 2021

<b>1. Decision Required by Committee</b>	<b>Senate is asked to NOTE the content of this report.</b>
<b>2. Executive Summary</b>	This report gives brief updates on issues discussed at Enterprise Committee, on the management of LUSEP, on progress of the Zero-Carbon working group of EMDC, and a summary of enterprise applications and awards for Q3 2020/21.
<b>3. Committees/Groups previously considering item</b>	Enterprise Committee.

## 1. Update from Enterprise Committee

Enterprise Committee meetings were held on 24 March 2021 (chaired by Professor Tracy Bhamra) and on 11 May 2021 (chaired by Professor Claudia Eberlein). The main items discussed were:

Careers and Enterprise Hub – The new hub opened in Loughborough town on 20 May 2021. It is run jointly by Loughborough University and Loughborough College and was made possible by funding through the Loughborough Town Deal.

East Midlands Freeport – Discussion of potential opportunities for Loughborough University.

Leadership & Management Framework – Discussion of how enterprise matters can be integrated in this new framework developed under the leadership of Ffyona Baker and Jenna Townend in order to improve training opportunities for RTE staff and researchers for all grades from 6 to 9.

IDEA and LEN – SBE and Wolfson have run a very successful summer programme to develop student enterprise which could be developed into a wider programme involving more Schools and integrated with Personal Best.

Spin-outs – Several LU spinouts have had great success. Previsico has won the 2021 British Data Awards. Alcuris won the Healthcare sector prize at the same awards. Recently created Figura Analytics has raised £180,000 in seed round funding from private investors.

Partnerships – Discussions on how to build and foster partnership relationships and how to work with Schools on that.

Enterprise strategy – Discussion of the new KEF dashboard, enterprise priorities and enablers to feed onto the new University Strategy.

## 2. Update from East Midlands Development Corporation – Zero-Carbon Working Group

- The group is working on a proposition for supporting the development of an East Midlands net-zero carbon ecosystem combining inputs from several HEIs (LU, UoN, NTU, Derby) and industry partners.
- The working group is now chaired by Professor Andy Dainty. Its purpose is to develop a single unified vision focused on the demonstration, translation and adoption of net-zero technologies at scale.
- The proposal is to establish a set of interrelated prototype installations across the region which could afford exciting collaborative opportunities for Loughborough University in partnership with a wide range of partners. This aligns very well with Loughborough University's emerging strategy and its focus on environment and society.

## 3. Update from LUSEP

- The LUSEP Management Team (LMT) is now chaired by Professor Malcolm Cook (ABCE) and has met once since Professor Bhamra's departure (10<sup>th</sup> May 2021). Its next meeting is on 21<sup>st</sup> June 2021.
- In addition to the operational aspects of LUSEP, the LMT have committed to establishing a LUSEP Strategy and Vision that is fully integrated with the emerging University Strategy and provides clarity of purpose and a means of opening up dialogue with stakeholders within and beyond the institution.
- Key elements of the discussion around the emerging LUSEP strategy include:
  - Collaboration and coordination with the University Enterprise and Estates Management Committees;
  - Cohesion and agreed activities with the local authority, the LLEP, and other stakeholders;
  - Clarity and communication around the opportunities LUSEP provides for the wider University, such as graduate jobs; placements; zero carbon; pathways to impact, and living lab;
  - Plans to contribute to key strategic themes within the new University strategy 'Environment and Society' and 'Sport and Health';
  - The concept of LUSEP as an 'ecosystem' and a 'journey' for tenants;
  - Identification of KPIs; and
  - A commercial and operations plan at its heart.

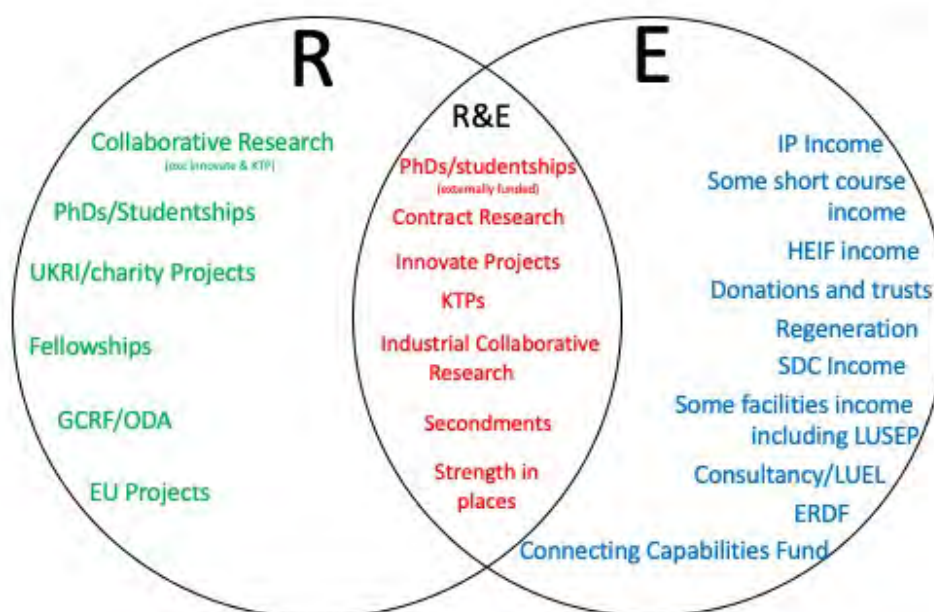
## 4. Enterprise applications and awards

**Origin: Anna Bullen & Claudia Eberlein**

As a result of the change in how enterprise activity is recorded and the standardisation of the finance system across Research and Enterprise, we are now able to regularly report enterprise activity at Finance Committee, in addition to the annual Higher Education Business and Community Interaction (HEBCI) return.

This report summarises enterprise activity at the end of Q3 FY 20/21 and covers 1) Enterprise Applications and 2) Enterprise Awards. In future quarterly enterprise reports will be presented that mirror the research reports. Benchmarking has also not been undertaken with this data; we will continue to use the HEBCI return, and from 2021 the KEF as our main mechanism for benchmarking our enterprise performance.

For the purposes of this report enterprise includes all **E** and **R&E** activity as illustrated in figure 1. We acknowledge that there is some overlap with the research report but this reflects the reality of research and enterprise activity where there are some activities which fall under both Research **and** Enterprise, as illustrated below. The quarterly report will only focus on applications and awards made, mainly, by Schools. It will not include income data on short courses, regeneration, facilities income, nor SDC income. This will continue to be reported annually to Finance Committee through our HEBCI reporting. We have recently finished collating the data for the 2019/20 HEBCI return and the HEIF eligible income is slightly down on last year, dropping from £33.9m to £32.1m. This is due largely to a reduction in consultancy and regeneration income for 2019/20. We do not anticipate that this will have a negative effect on HEIF income, assuming the allocation formula remains the same.

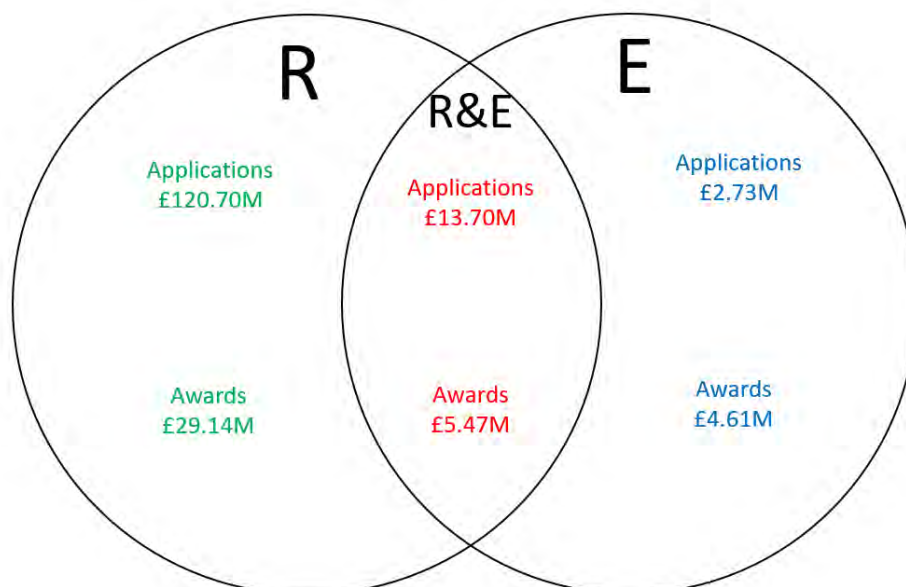


**Figure 1: R, R&E and E activity**

Figure 2 below shows the total applications and awards received at end of Q3 2020/21. Income in the Enterprise category includes primarily HEIF funding, iNet and LUEL consultancy. Work is ongoing to improve the processes to enable us to report more effectively on enterprise income that goes directly into Schools (known as S-code awards) as this is currently only captured as income annually for the University's HEBCI return.

For E activity, the awards figure is higher than the applications figure as there is no application process for the HEIF award which is awarded annually based on the HEBCI return. We continue to be one of 26 universities who receive the maximum HEIF allocation annually. In addition, it should be acknowledged that the mechanism by which

enterprise funding is awarded does not always follow a traditional application-and-award path; e.g. LUEL projects are commercial contracts and do not go through a review process.



**Figure 2: Total Applications & Awards at end of Q3 2020/21**

### Applications

Table 1 below shows value of applications submitted for E and R&E activity by funding scheme. 95 applications were submitted during the quarter totalling £4.96m. Innovate UK funding accounted for 55% of this total with a value of £2.7m. The category 'Other' covers a range of funding sources including enterprise funding that we receive from other universities, charities, sports governing bodies, and NGOs.

We aim for a value above 75% of last year's total figure; so, at 74% we are slightly behind target at Q3.

Funding Source	Value to LU	Value as a % of last year's app total
ERDF	£159,483.26	16%
EU Central Government	0	0%
Other	£1,537,936.18	51%
UK Central Government	£9,348,580.42	104%
UK Charities	£651,039.75	179%
UK Industry and Commerce	£4,734,665.68	77%
UK Research Councils	0	0%
<b>Grand Total</b>	<b>£16,431,705.29</b>	<b>74%</b>

**Table 1: Applications by type at end Q3 2020/21**

Table 2 shows the applications value by school.

School	Value to LU	Value as a % of last year's app total
AACME	£5,046,168.94	135%
ABCE	£1,280,282.70	55%
DCA	£267,224.40	36%
WSMEME	£7,081,269.28	128%

SCI	£1,013,360.44	29%
SSEHS	£1,011,678.99	55%
SSH	£145,904.40	18%
SBE	£175,308.86	21%
LUL	£15,172.32	1%
Professional Services	£395,334.96	39%
<b>Grand Total</b>	<b>£16,431,705.29</b>	<b>74%</b>

**Table 2: Applications by school at end Q3 2020/21**

### Awards

59 awards totalling £2.7m were received in Q3 2020/21. The highest single award was £0.2m which was made to Professor Jon Carrotte (AACME) for a contract research project with Rolls Royce (UK Industry), and the largest piece of consultancy was undertaken by Professor Kevin Lomas (ABCE) with a value of £92k (UK Industry).

Awards by value are down on targets at 53% of last years total. COVID led disruption has resulted in some delays in review processes for Innovate UK projects which may account for some of this.

Funding Source	Sum of Awarded Lboro £'s	Value as a % of last year's award total
ERDF	£159,483.26	16%
EU Central Government	0	0%
HEIF	£3,410,056.50	82%
Other	£846,154.61	32%
UK Central Govt	£1,547,852.34	24%
UK Industry and Commerce	£4,054,630.35	99%
UK Charities	£58,833.72	13%
UK Research Councils	0	0%
<b>Grand Total</b>	<b>£10,077,010.78</b>	<b>53%</b>

**Table 3: Awards by type at end Q3 2020/21**

The split of awards across the Schools is shown in table 4. AACME and SCI have received the highest totals at end Q3, with LUL and SSH receiving the lowest values.

Professional services awards refer to ERDF for business support activities carried out by the iNet, and consultancy activity carried out by professional services staff through LUEL (usually health and safety staff).

School	Sum of Awarded Lboro £'s	Value as a % of last year's award total
AACME	£2,631,483.65	85%
ABCE	£418,256.95	44%
DCA	£118,284.83	21%
MEME	£1,672,876.86	59%
SCI	£853,607.37	87%
SSEHS	£423,180.76	15%
SBE	£153,928.90	26%
LUL	0	0%
SSH	0	0%
Professional Services	£395,334.96	39%
Central University	£3,410,056.50	82%
<b>Grand Total</b>	<b>£10,077,010.78</b>	<b>53%</b>



**Table 4: Awards value by school at end Q3 2020/21**

**Appendix 1**

**Enterprise Projects Group (EPG) Funding**

EPG funding is not counted in the figures above to avoid double counting with HEIF income. Table 5 below shows the funding awarded by EPG for Q3 2020/21

Year	Source	Type	Number	Award Date	Project	PI	School	Dept	Awarded Value	Agress
2020/21	HEIF	EPG Chair's Action		10/02/2021	Non-Invasive System: Detection/Monitoring: Compartment Syndrome	Kaddour Bouazza-Marouf	MEME	Mechanical and Manufacturing	£9,939.00	S11854
2020/21	HEIF	EPG Chair's Action		10/02/2021	Co-Designing: Digital Media Survival Guide: People: With: Risk: Eating Disorders: With: National Charity Beat	Paula Saukko	SSH	Social/Policy Studies	£6,768.00	S11838
2020/21	HEIF	EPG	132	16/02/2021	Design Outreach: Utilizing Graphic Heritage For Heritage Interpretation	Robert Harland	DCA	Creative Arts	£21,205.00	S11855
2020/21	HEIF	EPG Chair's Action		16/03/2021	Loughborough University Surrogate Neck: Investigating Brain Injury/Protective Equipment	Sean Mitchell	MEME	Mechanical and Manufacturing	£6,000.00	IP1000
2020/21	HEIF	EPG	133	16/03/2021	Market Analysis/Patent Application: Self-Powered Wireless Sensor Device: Propulsion Systems	Stephanos Theodossides	MEME	Mechanical and Manufacturing	£5,000.00	IP1000
2020/21	HEIF	EPG	133	16/03/2021	A Rapid Point-Of-Care COVID-19 Antigen Test From Saliva - Optimisation/Clinical Trial	Sourav Ghosh	MEME	Mechanical and Manufacturing	£6,000.00	IP1000
2020/21	HEIF	EPG Chair's Action		20/04/2021	Anti-Reflective/IR Reflective Coatings: Photovoltaics	Michael Walls	MEME	Mechanical and Manufacturing	£9,800.00	IP1000
2020/21	EPSRC IAA LU 2017	EPG	132	16/02/2021	Biomechanical Assessment: Corneal Crosslinking (CXL): Determining: Potential: Vision Correction Through Quantification: Effects: Targeted Treatment	Abby Wilson	MEME	Mechanical and Manufacturing	£35,859.00	S11847
2020/21	EPSRC IAA LU 2017	EPG	133	16/03/2021	Vascularised/Innervated Tissue Engineered Skeletal Muscle Model: Traumatic Injury: Identification: Pro-regenerative Therapeutics	Mark Lewis	SSEHS	SSEHS	£20,000.00	TBA
2020/21	EPSRC IAA LU 2017	EPG	133	16/03/2021	A Rapid Point-Of-Care COVID-19 Antigen Test From Saliva - Optimisation/Clinical Trial	Sourav Ghosh	MEME	Mechanical and Manufacturing	£77,104.00	S11846
2020/21	EPSRC IAA LU 2017	EPG	133	16/03/2021	Market Analysis/Patent Application: Self-Powered Wireless Sensor Device: Propulsion Systems	Stephanos Theodossides	MEME	Mechanical and Manufacturing	£8,982.00	S11849
2020/21	EPSRC IAA LU 2017	EPG	134	20/04/2021	Photonic Integrated Adaptive Delay Lines For High-Speed Absolute Distance Measurement	Pablo Ruiz	MEME	Mechanical and Manufacturing	£43,079.00	TBA
2020/21	EPSRC IAA LU 2017	EPG Chair's Action		03/02/2021	Management/Evaluation: Additional: To 31/3/22: Top-Up Funding: £11,000 (3/2/21)	Tracy Bhamra	REO	Enterprise	£11,000.00	J15696

**Table 5: EPG funding awarded Q3 2020/21**

## Paper Title: Matters for Report by the Pro Vice-Chancellor (Research)

Author: Steve Rothberg PVC(R)

1. Specific Decision Required by Committee	<b>Council is asked:</b> <b>To NOTE this summary of research committee discussions, research grants and contracts performance, CALIBRE Awards and REF preparations.</b>
2. Relevance to University Strategy	Research is a core activity in the University strategy.
3. Executive Summary	This report lists agenda items considered at Research Committee meetings in April and May 2021. A summary of RG&C performance for the 3/4 year 20/21 is provided complemented by detailed analysis in Annex 1. At 3/4 year 20/21, £34.6M of awards representing 81% of this year's council KPI (£42.5M) have been received. A detailed breakdown of our REF submission is then provided, following its submission by the 31 March deadline.
4. Essential Background Information	n/a
5. Risks, Risk Mitigation and Governance / Accountability	Research Office Projects Team and Research Development Managers are active in supporting grant submissions. Director of the Doctoral College is leading formation of strategy for PhD studentship funding. REF results, HESA data and SciVal are providing important benchmarking.
6. Implications for other activities	n/a
7. Resource and Cost	n/a
8. Alternative Options considered	n/a
9. Other Groups/Individuals consulted.	Research Committee and Finance Committee <i>en route</i> to Senate and Council
10. Future Actions, Timescales & Frequency of Review by this Committee.	Updates are provided at each meeting of Council.
11. Success Criteria (KPIs)	Council has agreed KPIs for research.

## **1. Research Committee Agenda Items**

On 20 April 2021, Research Committee discussed the following major items:

- Dr Kathryn Brown presented proposals to raise the prominence of Humanities research at Loughborough. RC encouraged the SSH SMT to take this issue forward, working with other Schools as appropriate.
- Formation of a REF Review Working Group was agreed. The Group will consult widely and look at roles, structures, processes and schedule. The Group will also look at impact as it relates to REF and this will be a precursor to a more detailed look at research impact to follow.
- Discussion of the successor to CALIBRE continued. Though there is much more to be agreed, it is likely that the Beacon and Global Challenge programmes will merge in a simpler framework which will include the addition of 'Commissions' to deep dive into promising areas in need of a plan for development. Doctoral College, Research Leaders and IAS programmes will continue. For the broader university strategy, priorities related to external profile, discovery-led research and, particularly, research culture were proposed.
- The committee received a second draft of Schools' new Research and Impact Ambitions statements. These cover the identification of priority areas, including 'big questions' and big projects, partners (regional, national and international), impact and policy influence, funding, publication including open research, PGR recruitment, and new ways of working including EDI, leadership and creating space for major research activities.

On 25 May 2021, Research Committee discussed the following major items:

- The appointment of Open Research Leads in each School.
- Confirmation of LU's involvement in 4 submissions (one as lead) to the OfS / Research England call to improve the participation of Black, Asian and minority ethnic groups in postgraduate research study.
- Confirmation of the membership of the REF Review Working group which will be co-chaired by Prof Steve Rice (SSH ADR) and Dr Jen Fensome (REO Director) and will report in December with updates to Research Committee in September and November.
- Impact roadshows are planned for the summer.
- Research Quality Enhancement (ResQuE) meetings will resume in 21/22, having been paused in favour of LUSTRE meetings during the REF submission phase. Changes to format were agreed.
- Significant changes to PGR scholarship arrangements were agreed. These will make international students more affordable from school scholarship allocations and enable recruitment of students on fee-only (usually partial) scholarships in greater numbers.
- Following discussion at and since the last meeting, 5 strategic priorities for research were proposed: setting higher collective ambitions, focussing on research culture, making leadership a core value, increasing international influence and accelerating impact. These have been put forward to the university strategy discussions. They were also discussed in the context of a successor to CALIBRE.

## **2. Research Grants and Contracts**

A detailed breakdown at Q3 20/21 is provided in Annex 1.

For Q3 20/21, research income (excluding third party income) stands at £9.8M, including overhead recovery of £3M (30.2%).

At the three-quarter year point, research income stands at £27.3M including overhead recovery of £8.7M (32%). These income and overhead values represent 74% and 76% respectively of this year's targets of £37M for income and £11M for overheads. These figures are on target. The rolling year income figure sits at £9.4M just below the historic £10M level.

Research awards are the driver for research income over the next 1- 4 years. This quarter, 68 awards have been received totalling £10.4M. Three quarter year awards of £34.6M represent 81% of this year's council KPI (£42.5M).

171 applications totalling £41.8M have been submitted this quarter, similar to the previous quarter. Assuming a 20% success rate, a future overhead contribution from research income of £3.6M might be expected. This is a high figure.

Council's attention is drawn to tables 2 and 3 of Annex 1 where a school-level analysis of RG&C performance is presented showing performance trajectory in the context of agreed targets and key funding sources. It shows outstanding performance in SSSH, supported by SAACME, SABCE and SSCI. There is less good performance in other schools, though strong Q3 awards in WSMEME deserve mention.

New awards for May put our 20/21 total at £37.3M at 10 months which is on-track for over £44M at full year (5% above the Council KPI).

We have been severely affected by government cuts to the ODA budget. These have been devastating for individual GCRF- and Newton-funded projects, averaging 39%, though less significant from an institutional financial perspective. There has been a particular impact on the MECS (Modern Energy Cooking Services) FCDO-funded project which has seen its 21/22 budget reduced from £13M to £4M, with a further reduction to £4M expected for 22/23. Again, this is less significant from an institutional financial perspective because a significant proportion of the budget passes through LU and we do not count it in the applications, awards and income data presented here. It is, however, catastrophic for the project and has resulted in a number of redundancies.

The FCDO have told us that they remain committed to retaining the £40M original project budget but we are in discussions to determine exactly how this might be achieved. As an exceptional measure, the University has agreed to underwrite £1M of project costs in 21/22 to be recovered from the 22/23 budget. This allows the project to progress in 'MECS-lite' format, and emphasises the strategic importance of both the project and our partnership with FCDO. It has been well received by FCDO.

### **3. REF2021 submission**

#### **REF in numbers**

- 925 staff submitted (including 32 independent researchers, total 898.1 FTE, plus 93 former staff members) across 16 UoAs.
- 2,213 outputs made up of 13 different output types: 92% Journal Articles, 3% Authored books, 2% chapters, 1% Edited Books, with the remaining output types counting 10 or less.
- 69 impact case studies.
- 1,943 PhDs awarded, £282M worth of research income.
- 16 unit environment statements and 1 institutional environment statement.

<b>2014 Units of Assessment</b>	<b>2014 Staff FTE (Intensity)</b>	<b>2021 Units of Assessment</b>		<b>2021 Staff FTE</b>	<b>2021 Schools</b>
Chemistry	22.7 (91%)	B8	Chemistry	31	SCI, SEHS, AACME
Physics	19.7 (99%)	B9	Physics	19.8	SCI
Mathematical Sciences	33.8 (94%)	B10	Mathematical Sciences	34.82	SCI
Computer Science and Informatics	17.2 (91%)	B11	Computer Science and Informatics	26	SCI, LUL

2014 Units of Assessment	2014 Staff FTE (Intensity)	2021 Units of Assessment		2021 Staff FTE	2021 Schools
Aeronautical, Mechanical, Chemical and Manufacturing Engineering	127.4 (93%)	B12	Engineering	209.95	AACME, MEME, LUL
Electrical and Electronic Engineering, Metallurgy and Materials	37.6 (94%)				
Civil and Construction Engineering	31.9 (100%)	C13	Architecture, Built Environment & Planning	78.4	ABCE
Architecture, Built Environment and Planning	32.2 (101%)				
Geography, Environmental Studies and Archaeology	30.2 (101%)	C14	Geography and Environmental Studies	34.4	SSH
Business and Management Studies	60.5 (80%)	C17	Business and Management Studies	138.7	SBE, LUL, SEHS
Communication, Cultural and Media Studies, <b>Library and Information Management</b>	16.8 (93%)				
Area Studies	23.5 (98%)	C19	Politics and International Studies	30	SSH, LUL
Social Work and Social Policy	10.5 (95%)	C20	Social Work & Social Policy	11.6	SSH
Education	7.7 (70%)	C23	Education	18.4	SCI
Sport and Exercise Sciences, Leisure and Tourism	68.1 (92%)	C24	Sport & Exercise Sciences, Leisure & Tourism	94.9	SEHS, LUL
		A2	Public Health, Health Services, Primary Care	10.7	SEHS
English Language and Literature	20.5 (89%)	D27	English Language and Literature	32.89	SSH, DCA
Art and Design: History, Practice and Theory	54.7 (70%)	D32	Art and Design: History, Practice and Theory	86.53	DCA, SSH, LUL
<b>Communication, Cultural and Media Studies, Library and Information Management</b>	30.7 (102%)	D34	Communication, Cultural & Media Studies, Library & Information Management	40	SSH, LUL
<b>FTE Totals</b>	645.7 (90%)			898.1	

One of the big changes for this exercise was the shift from permitting a selective return to a 100% return, though this was somewhat moderated by the introduction of the concept of “significant responsibility for research”, which allowed legitimate exclusion of otherwise eligible staff. In line with many research-intensives, we did not have any such exclusions. All RTE staff were returned (plus a number of SSARs).

In July 2019, Research England (RE) surveyed the submission intentions (i.e. non-binding) of the sector. The data showed that HEIs expect to submit 74,584 FTE staff to REF2021, compared to 52,077 FTE in REF2014, which is a 43% increase. I found this number surprisingly high but RE have now confirmed that “over 76000 staff” have been submitted. Over the REF period, sector RT staff have grown 4% to 98000 (suggesting at least 22000 have no ‘significant responsibility for research’), R-only staff have grown 13% to 51000 and T-only staff have grown 26% to 70000. For larger research-intensives, like us, the growth figures are 11% for RT staff, 15% for R-only and, remarkably, 34% for T-only.

At LU, our growth in submitted FTE at 39% is similar to the overall figure for the sector. This is a combination of 10% staff not submitted in 2014 plus genuine growth. There was some variation between Panels, shown below for RE's July 2019 data, together with corresponding LU figures.

Main Panel	Anticipated FTE in REF 2021 (sector)	Submitted FTE in REF 2014 (sector)	Increase (sector)	Actual FTE in REF 2021 (LU)	Submitted FTE in REF 2014 (LU)	Increase (LU)
<b>A</b>	19,573	13,611	43.8%	10.7	0	n/a
<b>B</b>	17,956	13,352	34.5%	321.57	290.3	10.8%
<b>C</b>	23,194	14,415	60.9%	406.4	232.7	74.6%
<b>D</b>	13,861	10,698	29.6%	159.42	122.7	29.9%
<b>Total</b>	74,584	52,077	43.2%	898.1	645.7	39.1%

### Sub-panel membership

13 staff are sub-panel members in REF2021, following 7 additional appointments in the second appointment round in 2020.

Name	School	Main Panel	Sub-Panel	Appointment, role
Prof Amanda Daley	SEHS	A	UoA 2, Public Health	Appointed 2020, assessment phase
Prof Paul Conway	MEME	B	UoA 12, Engineering	Appointed 2018, assessment phase
Prof Colin Garner	MEME	B	UoA 12, Engineering	Appointed 2020, assessment phase
Prof Tony Thorpe	ABCE	C	UoA 13, Architecture, Built Environment and Planning	Appointed 2018, criteria phase, now Deputy Chair
Prof Rob Wilby	SSH	C	UoA 14, Geography and Environmental Studies	Appointed 2020, assessment phase
Dr Alok Choudhary	SBE	C	UoA 17: Business and Management Studies	Appointed 2020, assessment phase
Dr Crispin Coombs	SBE	C	UoA 17: Business and Management Studies	Appointed 2020, assessment phase
Prof Barry Bogin	Retired	C	UoA 22, Anthropology and Development Studies	Appointed 2018, criteria phase
Prof Barbara Jaworski	SCI	C	UoA 23, Education	Appointed 2018, assessment phase
Prof Richard Guilianotti	SEHS	C	UoA 24, Sport and Exercise Sciences	Appointed 2018, criteria phase
Prof Mark King	SEHS	C	UoA 24, Sport and Exercise Sciences	Appointed 2020, assessment phase
Prof Tracy Bhamra	DCA	D	UoA 32, Art and Design	Appointed 2018, criteria phase
Prof John Downey	SSH	D	UoA 34, Communication, Cultural and Media Studies	Appointed 2020, assessment phase

## **Final thoughts**

Between 2015-2019, we focussed on quality, visibility and impact generally, switching to emphasise the REF submission itself in 2019. Looking forward, we must maintain emphasis on improving quality and must embed quality assessment into our annual cycle as part of this. We must also mainstream impact activity more effectively. Our submission also exposed a lack of dialogue between cognate research activities, e.g. LUL and 'link' Schools, and engineering Schools, which must be remedied.

Finally, let me record my sincere thanks to the many colleagues (several 100s) across Schools and Professional Services who worked so effectively together on the submission during such a difficult time. It was really a pleasure to lead the activity, which was an outstanding example of team-working. We left it all out on the pitch, as they say in the beautiful game. Results are due in April 2022. By the time Council meets, our REF submission will have been made available internally for colleagues to access.

The thoughts of Council members on our REF submission are welcome.

## Annex 1

**Subject: Research Grants and Contracts Quarterly Report: Q3 20/21**

**Origin: Anna Bullen and Frida Skytt**

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This report summarises research grant activity at Q3 20/21 and covers 1) Research Income, 2) Research Awards, 3) Research Applications. This format is intended to demonstrate current financial performance (income) alongside indications of performance in the next 1-4 years (awards) and the next 2-6 years (applications). Breakdown of income, awards and applications by School and funding source is provided in sections 4 and 5, followed by success and overhead recovery rates in section 6.

### 1) Research Income

For each of the last 8 quarters, figure 1a shows total research income, with corresponding overhead contribution by value and rate shown in figures 1b and 1c. All plots also show the rolling 1 year data (divided by four as necessary to facilitate comparison with quarterly data). The research income plot shows the relatively small natural variation in this measure, with values ranging from £7.9M in Q1 20/21 to £9.8M in Q3 20/21.

This quarter's research income (excluding third party income) stands at £9.8M, including an overhead recovery of £3M (30.2%). For the three-quarter year, total income and overhead values now represent 74% and 76% respectively of the full year targets of £37M for income and £11M for overheads. The rolling year quarterly income figure currently sits at £9.4M.

For overhead recovery by value, the rolling year figure has increased steadily over the last 2 years. The rolling year overhead recovery is now £3.2M per quarter at a healthy rate of 34%.

### 2) Research Awards

For each of the last 8 quarters, figure 2a shows research awards by value, with corresponding expected overhead contribution by value and rate shown in figures 2b and 2c. The plots also show rolling 1 year data (divided by four as necessary to facilitate comparison with quarterly data). The plot of research awards by value shows the natural volatility in this measure, with quarterly values as high as £17.9M in Q4 18/19 and as low as £4.9m in Q4 19/20.

68 awards have been received, totalling £10.4M, in this quarter. Of these awards, 29% have been from UKRI Research Councils and 7% from UK Central Government. Three quarter year awards of £34.6M represent 81% of this year's council KPI (£42.5M).

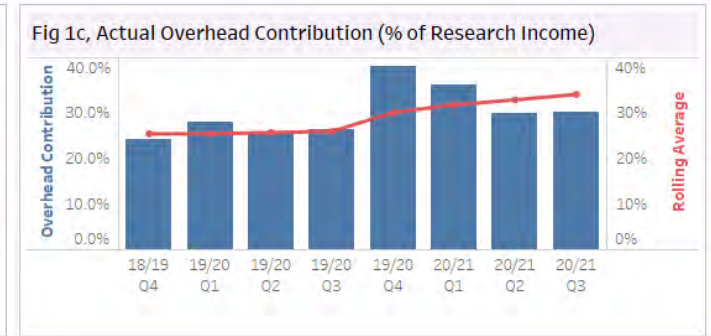
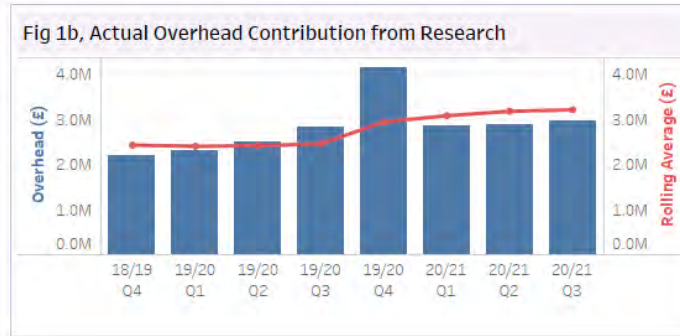
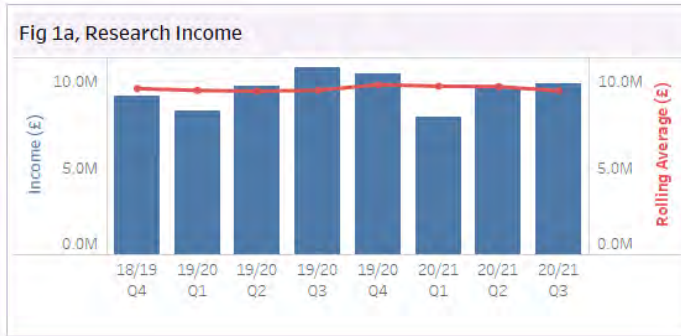
The rolling year data show the underlying trend more reliably. The rolling year awards figure has risen to £9.9M in this quarter. The rolling year expected overhead contribution now sits around £3.5M per quarter, ahead of with the current target from income of £3M. At 35%, rolling year expected overhead recovery rate has now held up well for all 8 quarters shown.

### 3) Research Applications

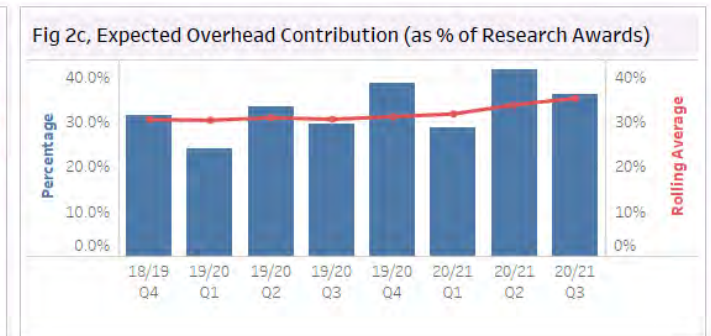
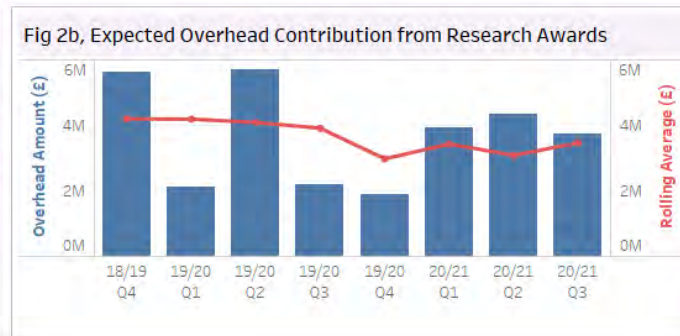
For each of the last 8 quarters, figure 3a shows research applications by value, with corresponding overhead contribution by value and rate shown in figures 3b and 3c. The plots also show rolling 1 year data (divided by four as necessary to facilitate comparison with quarterly data). The plot of applications by value shows the natural variation in this measure, with quarterly values ranging from £35.6M in Q4 18/19 to £57.1M in Q4 19/20.

171 applications totalling £41.8M have been submitted this quarter. 55% of applications (by value) have been to Research Councils (totalling £22.8M), which was made up of £11M (48%) to EPSRC, £0.8M (3.5%) to ESRC, £1.5M (6.6%) to NERC, £0.7M (3%) to AHRC, £0.1M (0.4%) to MRC, £0.05M (0.2%) to BBSRC, and £8.7M (38.6%) to UKRI.

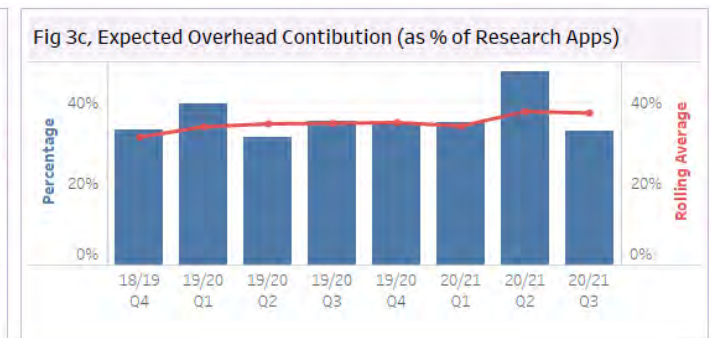
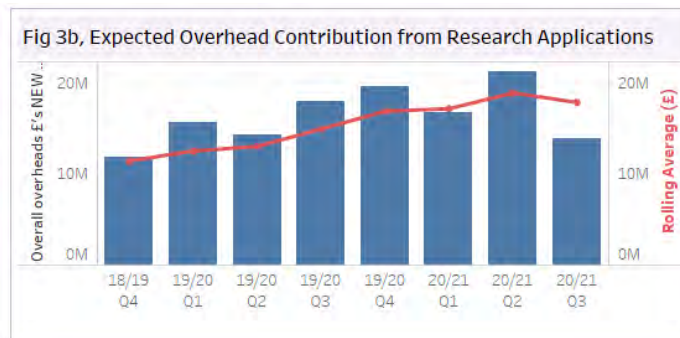
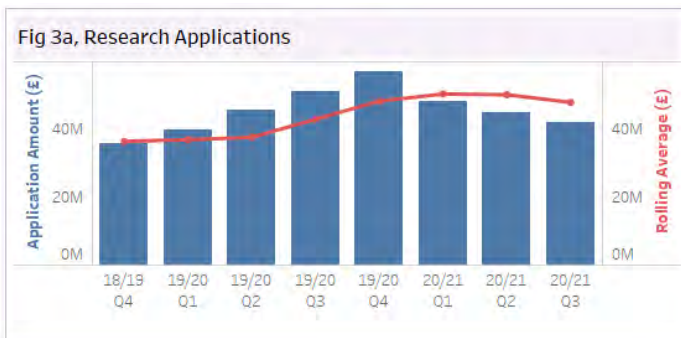




**Figure 1. Research Income a) quarterly total b) overhead contribution value c) overhead contribution rate (see note)**



**Figure 2. Research Awards a) quarterly total b) expected overhead contribution value c) expected overhead contribution rate (see note)**



**Figure 3. Research Applications a) quarterly total b) expected overhead contribution value c) expected overhead contribution rate**

Notes: Income and awards plots do not include third party income. Awards are now reported when a J code has been set up; this is usually when contract negotiations are complete but can also precede this in special circumstances where the Dean has agreed to underwrite initial expenditure.

Assuming a conservative 20% overall success rate, an estimate of future overhead contributions may be calculated. The rolling year data point for expected overhead contribution stands at £17.9M which indicates a future overhead contribution from research income of around £3.6M per quarter. This figure is above the equivalent figures of £3.2M from current income and £3.5M from new awards. Overhead recovery rate has been climbing for the last 8 quarters to reach a rolling year value above the desired 30% (currently 37%).

(Note: outline applications are not included in the application figures until either: (1) they are submitted at the full stage or (2) the Research Office is informed that the outline has not been invited to continue to the full stage).

#### 4) Income breakdown by School

Table 1 shows the Q3 RG&C income by School (income and overhead expectations are 75% at this point in the year). A simple colour coding shows those schools that are ahead of (green), on-track with – within 5% (black) and behind (red) targets. At the three quarter year stage, all schools are at or ahead of their overhead targets, and all schools are at or above income targets.

School	Income £k	Income % met	Overhead % met	Income
				£k / RTE FTE
AACME	6,196,536	76%	76%	78.9
WSMEME	5,642,429	74%	75%	49.0
ABCE	2,752,736	74%	73%	38.4
SCI	4,042,696	74%	74%	34.7
SSH	3,320,665	76%	79%	27.1
London	1,123,223	83%	79%	22.1
SSEHS	2,047,815	80%	87%	21.5
SDCA	1,398,281	74%	73%	18.0
SBE	810,426	73%	72%	7.0
<b>Grand Total</b>	<b>27,334,807</b>	<b>74%</b>	<b>76%</b>	<b>32.4</b>

**Table 1: Q3 20/21 research income and overheads by School**

For context, income is also shown normalised by the number of academic staff and the schools are presented in a rank order by this measure.

#### 5) Awards and applications breakdown by School and funding source

Council KPIs include an awards target that rises by 5% per annum from £35M in 16/17 to reach almost £47M in 22/23. To meet the KPI, research income targets were agreed (for the first time) at the School level at the beginning of 18/19. These individual targets sum to £56M in 22/23, setting an ambition that exceeds the Council KPI. These targets together with the awards trajectory by School are shown in Table 2. For 20/21, we have now agreed increased targets for SCI departments and set a provisional reduced target for WSMEME to acknowledge a difficult few years for funding.

Schools are presented by cost centres because some of the more diverse schools need to set targets in a way that acknowledges disciplinary difference. Targets are normalised in the form 'income per fte' and benchmarked from HESA data to provide an estimate of percentile rank within the cost centre, as shown in the final column of Table 2. The consistently high percentile ranks indicate a balance of ambition and realism in the targets. Using the current staff fte, these per fte targets are translated into the long-term (22/23) targets, as shown in column 7. Using an annual 5% growth target, the 22/23 target can be expressed as an appropriate 20/21 target (column 6). Columns 3-5 then show the awards trajectory from the last 2 full years to the current year towards the long-term target.

To show whether performance is on track with the longer term targets, awards and applications are quantified in terms of absolute value and as a proportion of the target for the year in question. Awards are shown in this way in Tables 2 and 3b. Applications are shown in this way in Table 3a.

Tables 3a and 3b show a breakdown by funding source for each School, as applications and awards respectively, at Q3 20/21. For each funder type, percentage figures express the proportion of the activity associated with that funder type. For example, the science and engineering schools generally make a higher proportion of applications to the research councils, while SSEHS and LUL make a higher proportion of applications to charities.

Research Council applications are particularly important because of their high total value and their overhead-bearing nature. An overall figure around 60% is the expected level. Applications to EU Central Government are at a very high level, driven by high Q1 applications which were probably driven by doubt about ongoing participation in EU programmes.

With emphasis now on the Table 2 targets, the final columns of Table 3a and 3b show applications and awards, respectively, as a percentage of the agreed awards target for each School. Overall, awards at Q3 amount to 68% of the 20/21 target from Table 2. SSH and AACME are well ahead of award targets at Q3.

We do not set targets on applications but success rates are typically around 25% so quarterly applications around 100% of the annual awards target are expected i.e. 300% at Q3. Under the difficult circumstances colleagues have been working this quarter, it is creditable that applications have held up well. To some extent this is underpinned by extremely high applications in SSCI.

School	HESA Cost Centre	18/19 awards (£k)	19/20 awards (£k)	YTD 20/21 awards (£k) (% of target)	20/21 target (£k)	22/23 target (based on current fte) (£k)	22/23 target estimated percentile rank (100 is high)	22/23 agreed target (£k/fte)
SAACME	116 Chemical engineering	7844	8930	8653 (79%)	10902	12020	80%	153
	117 Mineral, metallurgy & materials engineering						40%	
	120 Mechanical, aero & production engineering						80%	
SABCE	118 Civil engineering	9531	2773	3981 (70%)	5721	6308	70%	88
	123 Architecture, built environment & planning						90%	
SBE	133 Business & management studies	674	1066	540 (40%)	1,359	1498	80%	13
SDCA	138 English language & literature	3812	1736	964 (36%)	2665	2938	100%	38
	143 Art & design							
LUL	119 Electrical, electronic & computer engineering	909	2439	743 (50%)	1477	1628	70%	120
	133 Business & management studies						70%	7
	143 Art & design						90%	32
	145 Media studies						90%	20
WSMEME	119 Electrical, electronic & computer engineering	9,762	4247	8605 (59%)	14627	16127	80%	140
	120 Mechanical, aero & production engineering						80%	
SSCI	113 Chemistry	11509	5294	4021 (74%)	5426	5982	50%	77
	114 Physics						30%	58
	121 IT, systems sciences & computer software engineering						50%	44
	122 Mathematics						70%	39
	135 Education						90%	39
SSEHS	108 Sports science & leisure studies	3880	4053	1561 (30%)	5183	5714	100%	60
SSH	124 Geography & environmental studies	7309	7818	5539 (153%)	3623	3995	80%	64
	128 Politics & international studies						60%	12
	131 Social work & social policy						90%	67
	138 English language & literature						80%	10
	145 Media studies						90%	23
	<b>Total</b>	<b>55285</b>	<b>38357</b>	<b>34606 (68%)</b>	<b>50983</b>	<b>56208</b>		

Table 2: Research awards trajectory by School, based on agreed 22/23 targets

School	UK Research Councils (£k)		EU Central Government (£k)		UK Central Government (£k)		UK Charities (£k)		UK Industry and Commerce (£k)		Other (£k)		Total	
													(£k)	As % of 20/21 awards target
<b>AACME</b>	8,543	44%	1980	10%	3,309	17%	698	4%	2,714	14%	2061	11%	19,305	<b>177%</b>
<b>ABCE</b>	6,278	82%	221	3%	458	6%	226	3%	124	2%	393	5%	7,700	<b>135%</b>
<b>SBE</b>	1,231	67%	249	14%	115	6%	65	4%	88	5%	78	4%	1,825	<b>134%</b>
<b>DCA</b>	6,565	80%	200	2%	588	7%	672	8%	0	0%	188	2%	8,213	<b>308%</b>
<b>LUL</b>	1,105	30%	1,427	38%	139	4%	1025	28%	0	0%	16	0%	3,712	<b>251%</b>
<b>MEME</b>	23,835	72%	818	2%	5118	15%	1,600	5%	1064	3%	804	2%	33,238	<b>227%</b>
<b>SCI</b>	18,887	62%	5,179	17%	879	3%	3,264	11%	720	2%	1356	4%	30,286	<b>558%</b>
<b>SSH</b>	6,066	35%	3469	20%	5,157	30%	2,283	13%	138	1%	245	1%	17,358	<b>479%</b>
<b>SEHS</b>	6,624	52%	0	0%	477	4%	4,137	32%	196	2%	1328	10%	12,763	<b>246%</b>
<b>Total £k</b>	<b>79,134</b>	<b>59%</b>	<b>13,544</b>	<b>10%</b>	<b>16,241</b>	<b>12%</b>	<b>13,971</b>	<b>10%</b>	<b>5,043</b>	<b>4%</b>	<b>6,467</b>	<b>5%</b>	<b>134,400</b>	<b>264%</b>

**Table 3a: Research Applications by School and funder type at end Q3 20/21**

School	UK Research Councils (£k)		EU Central Government (£k)		UK Central Government (£k)		UK Charities (£k)		UK Industry and Commerce (£k)		Other (£k)		Total	
													(£k)	As % of 20/21 awards target
<b>AACME</b>	3,531	41%	559	6%	868	10%	24	0%	2,389	28%	1,281	15%	8,653	<b>79%</b>
<b>ABCE</b>	679	17%	0	0%	157	4%	83	2%	104	3%	2,958	74%	3,981	<b>70%</b>
<b>SBE</b>	225	42%	0	0%	0	0%	12	2%	88	16%	215	40%	540	<b>40%</b>
<b>DCA</b>	740	77%	0	0%	179	19%	45	5%	0	0%	0	0%	964	<b>36%</b>
<b>LUL</b>	427	57%	177	24%	139	19%	0	0%	0	0%	0	0%	743	<b>50%</b>
<b>MEME</b>	5,732	67%	0	0%	1,565	18%	43	1%	796	9%	469	5%	8,605	<b>59%</b>
<b>SCI</b>	2,898	72%	0	0%	281	7%	260	6%	505	13%	77	2%	4,021	<b>74%</b>
<b>SSH</b>	513	9%	0	0%	4,227	76%	734	13%	10	0%	55	1%	5,539	<b>153%</b>
<b>SEHS</b>	383	25%	0	0%	42	3%	544	35%	218	14%	373	24%	1,561	<b>30%</b>
<b>Total £k</b>	<b>15,128</b>	<b>44%</b>	<b>737</b>	<b>2%</b>	<b>7,457</b>	<b>22%</b>	<b>1,745</b>	<b>5%</b>	<b>4,111</b>	<b>12%</b>	<b>5,428</b>	<b>16%</b>	<b>34,606</b>	<b>68%</b>

**Table 3b: Research Awards by School and funder type at end Q3 20/21**

## 6) Success rate and overhead recovery rate breakdown by School

This analysis of success rates by value and number tracks awards back to their year of application. A summary of success rates by value and number from the last 3 years is shown in Table 4a, while overhead recovery is summarised in Table 4b. The colour coding indicates percentages above (green), close to (black) and below (red) the overall LU figure.

The 18/19 success rates will be fixed now, as should 19/20 rates. Success rates for 20/21 are meaningful at this stage in the cycle but still settling. Comparing with previous years at this point in the cycle:

- 18/19 (the last 'normal' year): success rates of 18% (value) and 25% (number) increased to 32% and 35% respectively.
- 19/20 (pandemic affected): success rates of 14% (value) and 23% (number) increased to 19% and 31% respectively.

School	Success rate (by value) from applications made in:				Success rate (by number) from applications made in:			
	17/18	18/19	19/20	20/21	17/18	18/19	19/20	20/21
AACME	23%	52%	29%	36%	46%	54%	44%	53%
ABCE	36%	28%	23%	3%	54%	40%	34%	25%
SBE	17%	9%	21%	14%	24%	17%	33%	28%
DCA	25%	33%	4%	10%	33%	32%	23%	14%
LUL	5%	14%	33%	9%	24%	21%	29%	9%
MEME	22%	23%	16%	12%	44%	38%	26%	26%
SCI	17%	40%	18%	4%	41%	28%	34%	22%
SSH	21%	40%	28%	26%	42%	37%	25%	24%
SEHS	12%	29%	10%	6%	30%	31%	31%	18%
<b>Total</b>	<b>21%</b>	<b>32%</b>	<b>19%</b>	<b>14%</b>	<b>40%</b>	<b>35%</b>	<b>31%</b>	<b>27%</b>

**Table 4a: Success rates by School**

Higher overall success rates by number rather than by value indicate more success for smaller grant applications than larger ones. This is an expected consequence of the way competition increases as proposal values increase.

Some of the differences in success rates are driven by the external environment e.g. School A seeks funds from different sources than School B and success rates from those sources are generally higher / lower.

AACME continue to have high success rates by value and number. In SSH, the FCDO awards are driving high success rates by value but success rates by number are falling. Success rates in ABCE have been falling from good levels and the current success rate by value this year is very low, while those in WSMEME have started to recover from levels described as 'problematic' last quarter. SCI success rates have been satisfactory but success rate by value is very low this year, on the back of high applications volume. Success rates have fallen in SDCA (by value and number) and SSEHS (by value) to low levels, though, in the case of SSEHS, the trend is affected by a single large and unsuccessful bid to UK central government in 19/20. Success rates in SBE are showing signs of improvement. Success rates in LUL are lower this year, by both value and number, following a period of good development.

As shown in Table 4b, good overhead recovery performance across most schools is apparent from the last 3 years' applications. In London, volatile rates are a consequence of relatively lower total value especially in early years. Increased recovery rates in DCA, MEME, SCI, SSH and SEHS are noteworthy. Overhead rates for 20/21 are starting to settle at this stage in the cycle. Overall, Table 4b shows overhead recovery rate continuing to improve.

	<b>Overhead recovery rate on awards from applications made in:</b>			
<b>School</b>	<b>17/18</b>	<b>18/19</b>	<b>19/20</b>	<b>20/21</b>
<b>AACME</b>	29%	21%	28%	26%
<b>ABCE</b>	50%	48%	22%	12%
<b>SBE</b>	23%	45%	38%	22%
<b>DCA</b>	32%	26%	34%	51%
<b>LUL</b>	16%	55%	25%	5%
<b>MEME</b>	31%	34%	40%	39%
<b>SCI</b>	32%	35%	44%	42%
<b>SSH</b>	24%	23%	42%	39%
<b>SEHS</b>	33%	24%	28%	48%
<b>Total</b>	<b>29%</b>	<b>31%</b>	<b>34%</b>	<b>34%</b>

**Table 4b: Overhead recovery rates by School**

## PVC(T) Report



Paper Title: Update on ongoing activities in Teaching and Learning

Origin: Professor Rachel Thomson (PVCT)

Date: 17<sup>th</sup> June 2021

1. Decision Required by Committee	The Committee is asked to NOTE the contents of the paper.
2. Executive Summary	The paper provides an update on the ongoing activities in respect of Learning and Teaching at the University, including the ongoing response to Covid, student recruitment, quality assurance and policy, new programme development, and external sector policy.
3. Committees/Groups previously considering item.	Learning and Teaching Committee and sub-committees, Student Recruitment and Admissions Committee, Academic Leadership Team



## **1. Update on the Delivery of Learning and Teaching in 2020/21**

Updates on the various changes which have had to be made to the teaching delivery during the course of the academic year as the pandemic has evolved have been detailed in earlier reports to Senate and Council. An update on the response is provided here which focusses on changes since Senate and Council in March 2021.

The committee is reminded that a plan was implemented for Teaching and Learning in 2020 which mandated Flexible Module Delivery, and a web resource and comprehensive training package was created for staff in preparation.

Throughout we have been clear that we have two over-riding priorities with regard to learning, teaching and assessment. First, to maintain quality and standards. Second, to ensure students can graduate or progress to the next year of study with confidence, having completed work that ensures learning outcomes are fully delivered.

### ***Phased Return to Campus for Semester 2***

It was previously reported that pending Government review, it was currently anticipated that all remaining students (~8,500) would return to the University at the end of the Easter vacation and that delivery from that point on will be a combination of in-person teaching with dual delivery, as per Semester 1. This turned out not to be the case, and to this end we were not able to bring students back into the lecture theatres as anticipated, and lectures remained online until Week 11, Monday 17<sup>th</sup> May, of the Semester, which for most modules was the last teaching week prior to the revision week (Week 12) which has a reduced number of revision sessions for each module.

We did return to in person teaching where it was appropriate to do so for the last couple of weeks (Week 11 and 12) prior to the exams, which was very much appreciated by students who were able to attend in person. Online options (including synchronous dual delivery) remained available for those students who were unable to travel to campus. Grateful thanks are extended to those colleagues who delivered in person during that time.

A number of students participated in an additional teaching period for one week commencing Monday 19<sup>th</sup> April, prior to the formal start of the summer term on Monday 26<sup>th</sup> April. This additional week was primarily used for subjects with practical elements which required 'Catch Up Activities'. We were also able to run two field courses in that period, which were both appropriately risk assessed, and students were very appreciative of being able to participate, and again thanks are offered to the staff running the field work who went the extra mile to deliver them in difficult circumstances.

It is noted that the summer term will now end on Friday 25<sup>th</sup> June instead of Wednesday 23<sup>rd</sup> June. This extension has allowed increased flexibility around assessment deadlines to ensure that the necessary practical work can be caught up during the Summer Term.

Schools are now giving thought to extended induction periods for new starters in the Autumn term, in recognition of content which students may have missed out in schools during the pandemic. Similarly, there will be an extended re-induction for returning students in the Autumn.

### ***Assessments***

Assessments were carried out successfully online at the end of Semester 1. Semester 2 exams are also primarily online in the same way as in Semester 1. As previously reported, our IT infrastructure continues to facilitate this successfully (written part way through the Semester 2 assessment process!) with ~98% of expected submissions received. This is comparable to, if not better than, the number of students who previously turned up to sit exams in-person. There was an increase in 'late' submissions compared to the previous period (in part attributable to a reduced time available to download the paper and upload assessments) however, appropriate mitigations have now been put in place to support students for whom this was a 'blip' where possible. Additional comms were deployed about the importance of submitting the correct file on time in

advance of the Semester 2 examination period, and these appear to have worked, with a significantly reduced number of late submissions.

A slightly updated version of the University Safety Net policy has been deployed for this academic year, which is now based in more 'routine business', but which will take into account the impact of Covid-19 both this year and last year for continuing students.

Examination Boards will be held during the latter part of June and early July, with External Examiners joining remotely. Appropriate policies are already in place to ensure that we are both in a position to graduate students, and to progress students from one year to the next, whilst ensuring that our rigorous quality standards are maintained.

### **Summary**

Throughout our announcements we have highlighted a range of support available to our students. This includes online self-help resources and also access to support from our mental wellbeing team should students wish to speak with someone about their health and wellbeing concerns. In inviting students back to campus, we have also instigated a rigorous asymptomatic testing protocol with students being required to take a test at least once a week, and we are undertaking a number of spot checks and other activities to create a culture of compliance. These have been detailed in the report from the Chief Operating Officer.

Our over-riding concern continues to be the health and safety of all members of the University community. The plans outlined above take this into account, have permitted a phased return to study within Government guidelines, and provided a framework where every student can be confident about their academic progress. Grateful thanks are extended to all colleagues who have supported the teaching and learning endeavour this academic year.

## **2. Update on the Framework for Delivery of Learning and Teaching in 2021/22**

A significant amount of activity has been undertaken to reflect on the delivery in this academic year to inform our future delivery framework for the next academic year. This is presented in full in the separate following paper.

## **3. Support for Race Equality Charter work related to Learning and Teaching**

Learning and Teaching Committee has continued to receive regular updates from Dr James Esson concerning the University's submission to the Race Equality Charter (REC) for a possible bronze award. The REC Learning and Teaching working group has now carried out a predominantly desk-based review (with support from PGR students) to identify the presence of diverse and inclusive approaches and content in our taught programmes which was intended to help gather an oversight of the current situation and guide us in the next steps we should take. LTC will receive at its June meeting and will continue to support the REC action plan and will take appropriate actions moving forwards.

## **4. Personalised Student Support**

The external programme #Me (providing tools for resilience and wellbeing) ran successfully again in Semester 2, converting to fully online towards Christmas as required. This also ran alongside the new pilot Academic Success Coach programme with the aim of helping students with particular academic profiles and has provided both group and time-limited 1-2-1 coaching support aimed at academic success. A full analysis of the impact of these activities is being undertaken and will be reported to the next meeting of the Committee, and will inform delivery for the next academic year.

## **5. Annual Programme Review**

A desk-based review has now been carried out by the PVC(T) and colleagues from the Academic Registry to consider key data from programme provision. It was agreed earlier that to reduce burden, Schools would not need to provide their own detailed commentary on the data this year. A

number of follow up conversations have been identified to complement the desk based review which will be picked up in the coming weeks. We will reflect on this process to inform strategy for future years.

## **6. Annual Module Update and Virtual Module Choice**

This exercise completed successfully in April/May, and included streamlining data collection through the Programme and Module Information project, and consideration of changes to modules in the light of the delivery framework for the next academic year and academic workload. The Virtual Module Choice event was held successfully in early May, following the success of the event last year, which allowed greater engagement of students on placement with a very successful outcome in terms of the numbers of students who engaged with this process and selected their module choices in advance of the next academic year.

## **7. Short Course and Professional Education Framework**

The committee was previously asked to note that a multidisciplinary group of academic and Professional Services colleagues working together had been set up with the aim of making it easier to navigate the processes necessary to set up and deliver short courses and professional education in the future. The Task and Finish group has progressed well over the last couple of months and is aiming to conclude the first phase of this work by the preparation of a business case to allow informed decision making about the future direction for this activity.

## **8. 2021 Entry Student Recruitment**

Detailed information is provided in the separate full paper which is annexed to this report.

## **9. Validation of Higher Education provision at Loughborough College**

As reported previously to Senate and Council, work has now progressed with Loughborough College to expand the validation of provision to include undergraduate engineering. A successful validation event has now taken place with Loughborough College to approve the validation of their new undergraduate degree programme in Sustainable Engineering.

## **10. Institute of Technology Bid Submission – Major Strategic Partnership Proposal**

Council is asked to note that a bid has now been submitted to the Department for Education Institute of Technology (IoT) competition. An outline bid was submitted to the DfE Wave 2 competition to set up additional Institutes of Technology in 2020. The competition was paused during Covid, and in May 2021 we were told we were successful in getting through to Stage 2 of this competition. The bid deadline for Stage 2 was fairly tight with the submission deadline on 16<sup>th</sup> June.

The competition only allows for bids for capital funds up to a total of £13M to deliver skills training from Level 3 through to Level 7.

We are one of four education providers (others are Loughborough College, the University of Derby and Derby College) working in partnership across Leicestershire, Derbyshire and Nottinghamshire with employer partners (Rolls-Royce plc, Uniper, National Grid, Toyota Manufacturing UK, Alstom (trains division), Fujitsu and Bloc Digital (an SME)).

This is a strategic partnership designed to deliver the Government agenda of seamless regional skills provision across the country from skills levels 3 to 7. The stated aim in the competition is to ensure that there is an IoT for every region of the country.

This is a competition for capital only (£13M) and would provide for a new building in Loughborough on Loughborough College land which would be appropriately branded as an IoT, with the University able to deliver Level 7 (Masters) courses, and short course/Professional Education from it in the future. If successful, the additional student numbers should provide an additional income stream which will outweigh any future contribution to the operation of the Institute. There are no significant revenue implications at this stage. The bid has followed due diligence in the University through Operations Committee.

## 11. National Student Survey

The NSS was launched at Loughborough in week 1, Semester 2, as in previous years. It is unfortunate that this is at a time of lockdown, and limited numbers of students on campus, however, normal promotion avenues were pursued and the number of students who completed the survey and the pattern of responses with time closely followed those in previous years. It has now been announced that the results will be published nationally on Thursday July 15<sup>th</sup> 2021 at 9.30am. Colleagues are thanked for their support with this important activity.

## 12. Digital Strategy for Learning and Teaching Digital Skills

The Digital Strategy for Learning and Teaching was created in the academic year 2016/17 and approved by Senate and Council in March 2017, with an initial 4-5 year horizon. It is therefore timely to refresh the strategy, reflect on the achievements, and look to the future to take account both the rapid digital transformation over the last 12 months and also to ensure that the implementation of the new strategy will provide both staff and students at the University with appropriate tools and training to make their lives easier.

The strategy (March 2017) focussed on three key areas for students, staff and the learning environment:

- Students - Digital Fluency; Learning Analytics and a Tailored Learning Experience
- Staff - Digital Fluency; Consistency in Processes
- Learning Environment - User Experience; Information Management and Governance

The refreshed Digital Strategy will act as an enabler to support the new University Strategy and will be accompanied by an implementation plan for the short (1 year), medium (2-3 years) and longer term (4-5 years).

The Student Systems roadmap is also being refreshed in parallel and forms an integral part of the overall Digital Strategy and its implementation plan. The three core themes in the refreshed Digital Strategy are likely to be as follows:

### ***Digital Skills***

As teaching, learning and working become increasingly digital, it is vital that staff and students have sufficient skills to use digital tools effectively and safely. Productivity gains can only be realised when staff and students understand which tool is appropriate for their needs, have the confidence to put them to use and have the knowledge to get the most out of them. Where digital skills are not yet developed, teaching and learning becomes less effective, information security risks are increased and even the wellbeing of our staff or students can be jeopardised. Digital skills are a clear success factor for our students as they transition into the workplace.

The pandemic has accelerated familiarity with new digital platforms but not uniformly and not always to a sufficiently high level.

### ***User Experience***

Students should expect a safe, inclusive and accessible digital experience at Loughborough. This means delivering well-designed services that anticipate and meet their needs, are easy to navigate and that support their learning regardless of when, where and how they are accessed. By co-designing our services with the staff and students using them, digital can deliver the greatest possible value to the Loughborough community.

### ***Data, Systems & Integration***

Data are the lifeblood of a digitally sophisticated University. Through understanding our data, having confidence in its quality and being able to access it when needed, we can become more agile, make more informed decisions and be better placed to help students succeed.

## 13. Personal Best

The Personal Best programme has continued in curriculum for all Part A undergraduates as last year. Sessions were delivered online this year, and the resources are accessible to all both in the MyLboro app and at [www.lboro.ac.uk/personalbest](http://www.lboro.ac.uk/personalbest)

An updated version of the Ready, Set, Lboro digital badge now being prepared for relaunch this summer to support new undergraduate students to the University who have experienced disruption to their learning in their schools as a result of the pandemic.

# Framework for Teaching Delivery

## Academic Year 2021/22



Paper Title: Framework for Teaching Delivery in 2021/22, and key points for the future L&T strategy informed by reflections on the 2020/21 teaching delivery

Origin: Professor Rachel Thomson (PVCT)

Date: 4<sup>th</sup> June 2021

1. Decision Required by Committee	The Committee is asked to NOTE the contents of the paper and COMMENT where appropriate.
2. Executive Summary	<p>The paper has been informed by the outputs from 15 different workshops held between January and March 2021 to reflect on the teaching delivery set up under the framework for Flexible Module Delivery to inform delivery principles for the next academic year, 2021-2022. Input from future strategy sessions at both Senate and Council has also been included where appropriate. Support from Ffyona Baker and Matthew Green is gratefully acknowledged.</p> <p>A number of questions were asked in each workshop, with the two key questions being what has worked well which we would want to keep, and what would we like to return to from pre-Covid. Additional questions concerned what should we do differently moving forwards, how can we ensure greater inclusivity in teaching and learning and technology infrastructure, both hardware and software. Key themes emerged across all of the different workshops held, and a summary was included in the papers to Learning and Teaching Committee and Senate in March 2021. The summary is included as an Appendix to this paper for convenience.</p> <p>The principles included in the Framework for 2021/22 have been used to inform the Annual Module Update taking place in March and April so that correct information can be provided to students in advance of them choosing specific modules for the next academic year, and to ensure that prospective students are provided with accurate information at the time of committing to their University places.</p> <p>Delivery in the next academic year should be viewed as a 'stepping stone' to the new University strategy, with further developments to follow.</p>
Committees/Groups previously considering item.	Covid Silver Teaching Group Learning and Teaching Committee Academic Leadership Team

## Framework for Teaching Delivery in the Academic Year 2021/22



### Overarching Principles for 2021/2022

- Build on and enhance the framework of Flexible Module Delivery that was rolled out for 2020/21 – High level principles remain valid
  - *Provide students with a strong narrative, or roadmap, for the module*
  - *Communicate clearly, effectively and regularly, including weekly expectations*
  - *Establish a clear module delivery framework using a coherent mix of delivery modes*
  - *Ensure teaching, learning and assessment are inclusive and equally accessible to all students*
  - *Keep the structure simple – focus on teaching, learning and assessment good practice*
  - *Encourage interaction and active learning*
  - *Co-create a resilient student learning community*
- Our on campus experience should continue to be our USP, particularly for undergraduate students, and prioritised at every stage, recognising that this encompasses both the broader student experience and the academic experience, with students developing skills from within and outside of the curriculum
- Any changes made to delivery identified as positive should be a stepping stone to a more permanent change, so that the time invested is worthwhile
- Each student should have the opportunity to experience ‘stand out moments of learning’ within their degree programme
- The scheduling of our in-person and online activities should allow students to maximise their experience whilst on campus

### Teaching Delivery and the Environment

- Dual delivery (i.e. simultaneous delivery in person and online) will continue to be needed for 2021/2022 and should be deployed where appropriate. There will be flexibility in implementation depending on module, discipline, programme Part and class size etc, and care will be taken to manage student expectations as to when it is appropriate for dual delivery to be implemented. Attention will be paid to the experience of staff & students both in the room in person and online.
- All teaching sessions should normally be recorded and made available on Learn (in line with Teaching Event Capture Policy)
- There should be a return to in person seminars/tutorials to maximise discussion and engagement
- Maintain MS Teams as both a teaching delivery and informal communication tool, maintaining module channels
- Any Programme Part should have no more than 33% of the delivery online to maximise student engagement (both online and in person). This figure represents an absolute upper limit for all students – in reality, this figure is likely to be discipline specific and to depend on the programme part, with higher in person figures in the early years of an undergraduate programme
- Recognition of the need to be flexible about delivery of ‘live’ teaching sessions in 2021/22 in response to any changes to the pandemic alert levels, such as the ability to move from in-person delivery to live Teams sessions if required at relatively short notice.

## **On demand content**

- It should be clear what is essential for students to watch in advance of lectures, and what is optional and available as supplementary resources
- Essential on-demand content and associated Q&A sessions should both be included in the concept of contact hours as integral parts of learning
- Where on demand content is deployed, it should normally be accompanied by a timetabled office hour / Q&A session to reinforce learning / followed by appropriate live sessions. Where applicable, on-demand content should provide fundamental content to allow live sessions to focus more on engagement and application
- Where possible, essential on-demand content should be included as a specific session on the timetable, or at the very least scheduled, to help direct student learning
- Normally no more than 33% of content for a single module should be essential on-demand. Under exceptional circumstances, an AD(T) would be able to approve a higher proportion, taking into account the specific circumstances of a module and the overall proportion of on-demand content across a programme, and the overall proportion of online delivery across a programme.

## **Learning Resources – MS Teams and Learn**

- Embed the use of critical engagement flags on resources in Learn
- On demand video content on Learn can continue to be used. A review of content is required every 2 years to ensure that it remains current
- Learn remains the formal repository of teaching materials for a module and the source of formal communication with students
- Teams will need to have a 'roll over' every year. Work should be undertaken to determine whether, and if so how, Teams content should be archived, bearing in mind that Learn should remain the formal repository of teaching materials.
- There will not be a maximum class size specified for Teams sessions, bearing in mind the maximum capacity of the Teams licence for interactive participation. Disciplines should determine the optimal class sizes for different types of teaching sessions, bearing in mind the ability to monitor the in class engagement and make good use of the chat function
- For 2021/22 only: It is possible that social distancing will remain / be required in specific periods of the academic year. We may need to define a maximum class size we will allow in our teaching spaces

## **Practical Work / Laboratories / Studios**

- Maintain the use of supplementary videos to watch in advance of taught sessions
- Keep the benefits accrued from smaller class sizes in practical classes where possible
- IT Labs should continue to be available for remote access . We should consider increasing the number of available fully remote computers

## **Assessment**

- Pedagogy should be at the heart of decisions around assessment for a module/programme, with a clear rationale for why different types of assessment are used for different purposes
- Ensure oversight at Programme/Part level of the overall assessment requirements and their timing, along with higher-level discipline oversight to make sure the assessment is appropriate
- Critically examine whether every piece of assessment is necessary / appropriate
- Consider how examination assessment needs change through a programme – for example, Part A may test more basic knowledge through to the later years in which application of knowledge is tested
- We need to consider that students become used to one type of exam mode (online or in person) and therefore it may become more difficult to switch in the future
- Maintain online exams where appropriate and continue to assess application of knowledge through open book exams. Academic integrity should be considered at all stages of assessment
- Moving forwards, the feedback to students on their work in online assessments needs to be carefully considered to enhance the learning experience

### ***Multiple Choice Questions***

- Multiple choice questions (MCQs), often delivered through Learn, were recognised as a valuable formative assessment tool, which had the ability to provide rapid feedback to students as to their progress
- For summative assessment, the use of MCQs should primarily be limited to Part A and limited to no more than 25% of the overall assessment load for a 20 credit module (i.e. 5 credits). Their use at Part B should be subject to AD(T) approval for a valid disciplinary reason
- If used for summative assessment, MCQs would be expected to make use of very large banks of questions or use systems which auto-generate data, such as Stack, so that students are all answering different questions within the framework to minimise the risk of academic misconduct

### ***Learn Quizzes – typically used to collect short answers to questions***

- For summative assessment, Learn Quizzes should primarily be limited to Part A and limited to no more than 25% of the overall assessment load for a module. Their use at Part B and above would be subject to AD(T) approval for a valid disciplinary reason, and where it can be demonstrated that the risk of academic misconduct has been mitigated
- Consideration should be given the future timing of Learn Quiz assessments which are held in the end of Semester assessment period to minimise system load and therefore streamline processes

### ***Timed end point assessments***

- Extended online assessments (23hrs, termed 1a exams recently) enabled the assessment of the application of knowledge and understanding and led to deeper learning. The effectiveness of this format of assessment would be maximised by good assessment design and clear guidance to students. The task required of the students should be very well bounded with clear expectations of time requirements within the 23 h period. It is expected that this format will have longevity
- Short window exam hall assessments and short window online assessments (termed 1b exams recently) have previously been focussed on the assessment of recall. Good assessment design is essential to ensure that they focus on testing understanding and the application of knowledge. While there was a place for them in the assessment portfolio, and noting that they may remain a requirement, particularly in some disciplines, the long-term direction should be to move away from this format



**2021/22 timed assessments:**

- For the next academic year, end of module assessments required (ie in the end of Semester assessment period) can be delivered online as long window (23 h) or short window 'exams'.
- For Semester 1, 2021/22, it was decided that short window assessments should be delivered online. A discussion was held around the possibility of these being in person in conditions in which they can be invigilated, but this was rejected in favour of rigorous and thoughtful assessment design. Schools can make a case for specific modules to have in person assessments, where deemed absolutely essential for particular persuasive reasons.
- For Semester 2, 2021/22, short window assessments should be designed robustly so that they can be delivered online if necessary. A decision will be made about the examination format for Semester 2, 2021/22 no later than the end of the Autumn Term in December 2021.

**Student Support**

- Greater use of online 'office hours' for students to ask questions from teaching (& other) staff
- Personal Academic Tutor meetings should be online by default (unless a student requests in person). They should be more frequent than the current policy, which will be reviewed, mandates. The first session of the year should be in person to maintain personal contact.
- Holistically review which Student Services could have an out of normal office hours engagement (as with Careers Network appointments) in the future.

## Shorter Term Action Points

A number of shorter term action points have been identified which are being picked up and addressed with various working groups and committees in collaboration with Professional Services colleagues, including Organisational Development. These include:

- Updated staff training package required for enhanced digital fluency, particularly around enhanced features and further embedding interactive tools (especially Learn)
- Develop staff training package around greater inclusion in teaching, learning and assessment (especially concerning the design of assessment, and design to mitigate academic integrity)
- Develop additional best practice and training for Personal Academic Tutors to enhance student support
- Develop a series of case studies to showcase the best of 2020/21 designed to inspire and share best practice [Best Practice Teaching Awards have been introduced this year].
- Undertake a piece of work to enhance the experience of dual delivery for both staff and students (to include classroom etiquette)
  - Investigate what additional technology may be required in teaching spaces (e.g. microphones and cameras)
  - Investigate if we can streamline the process of making MS Teams sessions available on Learn through ReVIEW and if it is possible to automate the process of turning on MS Teams recordings
  - Investigate additional needs for captioning for MS Teams sessions
- Investigate if improved video capture / editing tools are required for staff
- Investigate tools for and enhancing the experience of marking assessments on-line. Review outcome of Gradescope pilot, and explore working methodologies (e.g. OneDrive), other software providers of exam solutions, incorporating an end to end process review of exams
- Ensure suitable support structure is in place to respond to in class technology issues to be able to respond in real time
- Make the student support package clear for all to engage with (Student Services, Careers, Academic Success Coaches, #Me, Wellbeing Advisors etc)
- Define what is meant by student engagement in the longer-term, recognising that this may need to be discipline specific, to inform future Learning/Engagement analytics
- Consider how to manage student expectations around our chosen delivery modes – for example, dropping dual-delivery in some areas (even partially) could be seen as taking a step backwards by students if the rationale is not communicated clearly
- Consider any enhancements required for the Programme and Module Information project to capturing what each module/programme looks like given new delivery and assessment possibilities, and the ability to provide reporting tools for management information

## **Longer Term L&T Strategy**

The workshops held and feedback received were subsequently collated into a number of different statements which could inform the University's future Teaching and Learning strategy. These are listed below. Members of Learning and Teaching Committee were then asked to vote to prioritise each of these statements and make comments on them in order to arrive at the top 5 priorities relating to Learning and Teaching to inform the future University Strategy.

### **Teaching Quality and Curriculum Design**

1. Ensure that there are 'memorable moments of learning' for all students in their degree programmes, with opportunities for celebration and recognition of achievements
2. Provide opportunities for students to work collaboratively across disciplines on multidisciplinary projects, which address significant challenges for 21<sup>st</sup> century (for example - allow students to take University-wide 'grand challenge' modules as a substitute for an optional module)
3. Ensure greater awareness of / engagement in by taught students in our research endeavour, with opportunities for all taught students to engage in a research project
4. Ensure the academic year structure remains fit for purpose
5. Continue to refresh degree programmes to ensure their currency, and ensure that the curriculum is in tune with, and has the opportunity to shape, our students changing concerns, values and aspirations
6. Continuous curriculum refresh to ensure it is inclusive for all, is ethically and research informed, and is modern and responsive to the societal challenges of today, with particular threads of education for sustainable development running through all degree programmes
7. Develop a distinctive Loughborough Professional Education offer, including short courses, which provides flexibility to allow students to build up credit over a period of time (microcredentials) and tailor learning to their own needs and aspirations throughout their lives. We will work with a range of local partners to enhance the skills base across the region, and with other partners nationally and internationally where appropriate to extend our global reach
8. We will use innovative and sound pedagogy, working with our students, to develop new assessment methods which are inclusive, which support all students to succeed, and which build a bridge between theory and practice so that they are representative of real world environments and skills requirements
9. We will continue to nurture the staff-student partnership by working collaboratively with our students, to take on board their feedback and co-create new learning opportunities and experiences which empower students to shape their futures

### **Student Opportunities and Graduate Outcomes**

10. Equipping students with the right skills and experience for fulfilling future career(s)
11. Improve embedding of skills for life, (e.g. Personal Best) in later years within the curriculum, including content such as digital and data skills, and awareness of artificial intelligence etc and the importance of health, wellbeing and resilience
12. Enhanced employer engagement, and more flexible work placements, micro-internships and work experience opportunities – including curriculum refresh, for example, to allow a module to be substituted for a work placement

13. Further develop international partnerships so that students have the opportunity for experiences (either physical or virtual) to enrich their degree by working collaboratively with Universities around the world
14. Ensure that there are no gaps between different student groups in terms of take up of placements and other opportunities to ensure student success into graduate jobs

### **Learning Environment**

15. Delivering a distinctive and inclusive Loughborough experience with a unique combination of in person and online opportunities
16. Adapting the physical learning and teaching environments to suit new blended modes of delivery, recognising the need for more immersive classrooms and spaces which facilitate experiential learning
17. We will make the most of our two campuses to provide unique student opportunities and experiences, including using the campus environment, inside and outside, as a living lab
18. Deliver on the new Digital Strategy for Teaching and Learning 2.0 to ensure deployment of the latest tools and technologies to support learning and supporting staff and students to develop their digital skills, including ensuring that there is a level digital playing field for all students

*As a result of the voting and additional feedback, the following five points are likely to inform the future Learning and Teaching and University strategy developments.*

1. **Provide opportunities for students to work collaboratively across disciplines on interdisciplinary projects, which address significant global challenges for 21st century.** For example - allow students to take University-wide 'grand challenge' modules as a substitute for an optional module, informed by our research and in collaboration with partners.
2. **Further embed the development of skills for life within the curriculum, building on Personal Best, including providing opportunities for flexible work experiences, to ensure that the overall student experience equips students with the right skills and experiences for fulfilling future careers.** Key skills include digital and data skills for all, with an awareness of artificial intelligence, and an understanding of the importance of health, wellbeing and resilience.
3. **Undertake curriculum refresh activities to ensure content is inclusive for all, research-informed, modern and responsive to societal challenges, with particular threads of education for ethical, sustainable and international aspects running through all degree programmes.** The curriculum should provide memorable moments of learning and shape our students changing concerns, values and aspirations.
4. **Use innovative and sound pedagogy, working with our students, to develop and embed new assessment methods which are inclusive and support all students to succeed.** These should build a bridge between theory and practice so that they are representative of real world environments and future skills requirements.
5. **Develop a distinctive Loughborough Professional Education offer, including short courses, which provides flexibility to allow students to build up credit over a period of time (microcredentials) and tailor learning to their own needs and aspirations throughout their lives.** We will work with a range of local partners to enhance the skills base across the region, and with other partners nationally and internationally where appropriate to extend our global reach.

## Appendix: Reflections from the Teaching and Learning Strategy Workshops

What has worked well that we would like to keep?	What would we like to return to from pre-Covid?
<p><b><i>Teaching Delivery and Environment</i></b></p> <ul style="list-style-type: none"> <li>• <b>Dual delivery</b> has provided flexibility for how students engage with content – but needs improvement in terms of consistency of experience for students online and in the classroom simultaneously. Managing student expectations moving forwards will be really important</li> <li>• New digital tools – <b>MS Teams</b> roll out has been very positive</li> <li>• Enhanced engagement through chat and the ability for more instantaneous interaction and feedback, including embedded quizzes</li> <li>• Ability to split up into breakout groups very positive</li> <li>• MS Teams channels for modules provide effective means of (more informal) communication. Students have appreciated the private channels for group projects, which allow for document sharing. Consider automating the processes of putting students into groups across systems</li> <li>• Peer engagement in MS Teams through interacting with comments, voting for questions whilst also answering each other’s questions.</li> <li>• <b>On-demand video content</b> has allowed for contact time to be more discussion/application focussed. It is important to find the correct balance with in-session content, and to be clear about expectations with students as to what is compulsory and what is supplementary</li> <li>• <b>Other general points</b></li> <li>• The possibility of a wider variety of guest speakers online – we should better leverage our networks for this (including alumni networks)</li> <li>• Keep the work done to chunk up lecture slots into ~20 mins, so even if we timetable a 50 min activity – it should be broken up to create greater engagement and impact</li> <li>• Method of participation in teaching sessions, assessment methods and access to content may have increased inclusion in the classroom (but we need to be aware of digital poverty and specific disabilities)</li> <li>• Different modes of teaching have enabled a greater focus on student engagement in their learning, allowing teaching staff not only to share information but also to inspire and enthuse students in the subject</li> </ul>	<p><b><i>Teaching Delivery and Environment</i></b></p> <ul style="list-style-type: none"> <li>• A feeling of being part of a <b>connected, learning community</b> – Ability to interact with staff and peers and to make personal connections</li> <li>• The ability to ask and answer questions in the moment, often in the margins of formal taught sessions</li> <li>• Peer to peer interaction for students is very important, for example, through group working</li> <li>• <b>In person sessions</b> provide a structure and a rhythm to the day</li> <li>• Seminars / tutorials generally felt to be better in person</li> <li>• Maximise the quality of and engagement in in-person teaching to enhance learning community and create a ‘buzz’ and focus on the campus experience</li> <li>• Teaching in smaller groups in person allows for greater support and for some students to be stretched to maximise intellectual challenge</li> <li>• Use <b>online delivery</b> where appropriate to better exploit the on-campus experience, recognising that this encompasses both the wider student and the academic experience. Balance is key</li> <li>• Consider the way we schedule on campus activities to allow students to maximise their experience in person</li> <li>• Note from overall module feedback in Semester 1 2020/21 Part A and B students had more preference for in person delivery than Parts C, D and P, indicating variation across different years might be appropriate in the future</li> <li>• Visual (or other instantaneous) feedback is crucial to improving the quality of teaching at the point of delivery</li> <li>• <b>In-person social occasions</b> within disciplines</li> </ul>

<b>Practical Work / Laboratories / Studios</b>	<b>Practical Work / Laboratories / Studios</b>
<ul style="list-style-type: none"> <li>• Improved practical/laboratory experience – more space, more meaningful/impactful, less hanging around and less fainting!)</li> <li>• Use of videos in enhancing the practical experience via pre-work</li> </ul>	<ul style="list-style-type: none"> <li>• Testing with human participants in specific disciplines</li> </ul>
<b>Learning Resources</b>	<b>Learning Resources</b>
<ul style="list-style-type: none"> <li>• On-demand videos as an additional resource</li> <li>• Continue to use resources created to provide academic headroom</li> <li>• Work done to enhance the look and feel of Learn well-received</li> </ul>	<ul style="list-style-type: none"> <li>• On-demand videos did not work well as a stand-alone replacement for lectures – no ability to ask/answer questions in the moment</li> <li>• If we keep on-demand, must be accompanied by a live Q&amp;A session</li> </ul>
<b>Assessment</b>	<b>Assessment</b>
<ul style="list-style-type: none"> <li>• <b>Open book exams</b> – testing the application of knowledge and understanding (online exams thought to be beneficial by some)</li> <li>• <b>Variety</b> of assessment methods which have been introduced</li> </ul>	<ul style="list-style-type: none"> <li>• Limited return to <b>in person exams</b>, potentially for certain years of degree programmes, to ensure integrity of the process</li> <li>• Change the nature of the exams as students progress through the degree programme, from basic understanding to application of knowledge</li> <li>• Concerns over exam collusion and cheating when assessment is online only, and therefore more work needed on <b>assessment design</b></li> </ul>
<b>Student Support</b>	<b>Student Support</b>
<ul style="list-style-type: none"> <li>• Personal tutorials and project supervision has worked well online – greater engagement. Enhance training and ‘contact’ for personal tutor time. Supports greater inclusion, but also needs scrutiny on the frequency of in person contact to ensure no-one ‘falls through the cracks’</li> <li>• Concept of online ‘office hours’/‘drop in’ sessions has worked well online Consider this for other ‘services’, including access to School admin teams</li> <li>• Keep enhanced support for mental health</li> <li>• Keep out of normal working hours online Careers Network appointments</li> </ul>	
<b>Other</b>	<b>Other</b>
<ul style="list-style-type: none"> <li>• Keep the early ‘How’s it going?’ survey to allow students to feed forward</li> <li>• Remote access to on campus IT systems and software</li> <li>• Virtual Module Choice event popular - placement students can engage</li> <li>• Training for staff and students in digital skills and digital fluency has been very positive-needs expanding and refreshed, including broader skills</li> <li>• Regular University-level comms, supported by FAQs – central resource for staff &amp; students to refer to, maintains consistency in messaging</li> <li>• Webpages outlining our expectations &amp; guidance for how students should engage with their learning</li> <li>• Additional library texts and other resources available digitally</li> </ul>	



## Council – PVC(T) Report Student Recruitment



Paper Title: Student Recruitment 2021 Entry  
Origin: Rachel Thomson (PVCT)  
Date: 8<sup>th</sup> March 2021

1. Decision Required by Committee	The Committee is asked to note the contents of this paper which reports the current status of admissions for 2021 entry.
2. Executive Summary	<p><b>Undergraduate</b> applications through UCAS are positive for 2021 entry. We are in a very strong position in advance of the publication of A-level and other qualification results.</p> <p><b>Postgraduate Taught</b> student numbers remain volatile, with increases in UK applications and significant decreases in International applications.</p> <p>An additional start date of February 2022 has again been introduced this year on specific high volume postgraduate programmes given that international travel may remain restricted in the Autumn.</p> <p>Close monitoring of applications, offers and decisions is continuing to take place together with regular liaison between Admissions Tutors in Schools and staff in the Student Recruitment, Marketing and Admissions section.</p> <p>Additional monitoring and mitigation strategies are in place in the light of the international situation with the Covid-19 virus and the emerging situation with A-level results determination and publication this year is being closely monitored by colleagues in the Admissions Office.</p> <p>The data in this paper are taken from Admissions Statistics circulated on 7<sup>th</sup> June 2021.</p>
3. Committees/Groups previously considering item.	Student Recruitment and Admissions Committee meets regularly to monitor applications figures.



## Full-time Undergraduate and Postgraduate Taught Recruitment Report – 2021 Entry

(Information taken from admissions circulation on 7<sup>th</sup> June 2021)

### Undergraduate Recruitment

Note – from this year of entry students from the EU are considered to be International students, which makes comparators to previous years data concerning the split of UK (UK) and International (I) students more difficult.

### Applications

The UCAS extended equal consideration deadline for this year was back in January. Therefore, the number of new applications are small this stage in the cycle. An analysis of the number of applications and associated offers made for the last 3 years is presented in Table 1. The offer rate remains broadly consistent at ~75%.

**Table 1:** Details of number of applications and offers over the last 3 years for both UK (UK) and International (I) students.

	2019 entry	2020 entry	2021 entry
No. of applications (UK)	28,077	28,571	27,523
No. of offers (UK)	20,830	21,655	20,660
% of offers made	74.2	75.8	75.0
No. of applications (I)	3,718	4,355	5,189
No. of offers (I)	2,697	3,331	3,762
% of offers made	72.5	76.5	72.5

### Applicant replies

At this time in the application cycle, it is the replies from applicants which are most significant. The UCAS reply deadline has also been extended this year to 10<sup>th</sup> June and therefore these figures are not yet finalised, with further movement expected this week.

#### UK

We currently have **5,043 CFs** which is **3.5% up** on 2020 and **5.4% up** on 2019. We have received 86% of our total replies to date compared to 88% this time last year and almost all replies in 2019. The position is therefore a very positive one with a current **C:CF ratio of 30%**. This is significantly higher than the last two years at this stage – 24.0% in 2019 and 26.5% in 2020.

The position is variable across Schools/Departments but there are significant notable increases in the School of SSH (especially Social and Policy Studies in relation to the new single honours Criminology programme and Communication and Media), Mathematics, Creative Arts (fueled by Graphic Design and Fine Art) and the new BSc Design, English Literature and the renamed Sport Science, Coaching and Physical Education programme and Foundation (particularly the Elite Sport pathway). Areas of concern with consistent decline in applications include Chemical Engineering and Chemistry. Applications to Computer Science are also significantly down on previous years, although this is related to an increase in entry requirements and applications remain strong.

We also currently have **875 UFs**. This is a **55% increase** on 2020. This is predominantly the deferred applicants from last year (which is much higher than previous years because of the changes made to A-level grades last year) but also pre-qualified applicants from this cycle.

We are therefore in an extremely strong position this year at University level. We are currently undertaking the necessary work to enable us to forecast likely intake in August. This will be available after the UCAS reply deadline, although there may be an effect of A-levels being determined this year by Centre Assessed Grades.

### International

Following the recent publishing of post-Brexit tuition fee regulations, we are now in a position to give a more reliable idea of how we are placed internationally. The early position is positive as we currently have **478 CFs** which is **23% up** on 2020 and **2% up** on 2019. The percentage of replies received to date is 61%, compared with 59% this time last year, with both of these well behind the 96% received by this time in 2019 which explains why we are so far behind in comparison to that year. We also currently have **157 UFs** which is **over double** the amount of the 77 this time last year, and more than the 94 we had this time in 2019.

International applicant conversion is also increased compared to previous years, at 22.7% this year, compared to 21.1% in 2020 and 19.6% in 2019.

We are therefore currently, on paper, also in an extremely strong position with regard to international recruitment but many more offer holders are still to make their replies and of course, the external situation brings with it continued uncertainty.

### Widening Participation

We have received 2,083 applications from low participation neighbourhoods (POLAR4 Quintile 1) which is comparable with the previous year.

In terms of our 'access' targets within the University's Access and Participation Plan, the ratio of applications from the various POLAR4 Quintiles has improved slightly compared to last year. This year the ratio of Q5:Q1 students is 5.93 compared to 6.38 last year, and similarly the ratio of Q3-5:Q1-2 is 4.6 compared to 4.78 last year.

A close eye will be kept on these ratios during the Confirmation and Clearing part of the cycle. The widening of the criteria for our IMD flag (to include IMD Q2 alongside IMD Q1 and POLAR4 Q2) has led to a significant number of additional applications being flagged for additional consideration under our contextual admissions policy, which is positive.

Table 2 examines the POLAR4 breakdown at different stages of the application cycle, from numbers of applications through to the number of students selecting Loughborough as their Firm choice.

**Table 2:** UK applications broken down by POLAR4 Quintile as a function of different stages of the applicant cycle

	Q5	Q4	Q3	Q2	Q1
Applications	10,470	6,373	4,631	3,266	2,083
Offers	8,412	4,710	3,336	2,248	1,436
% of offers made	80.3	73.9	72.0	68.8	68.9
Number of CFs	1,981	1,184	870	543	334
% of CFs / Offers	23.5	25.1	26.0	24.2	23.2

## Postgraduate Taught

### October 2021

#### Loughborough Campus

**UK** applications for entry in October 2021 continue to paint a positive picture. Applications are currently at **+26%** on 2020 and **+48%** on 2019.

**UK applicant replies** are also looking positive despite it being relatively early days: provisional acceptances (CP) are 82% up on 2020, with firm acceptances (UF) 12% up.

**International** applications for entry in October 2021 are currently at **-28%** on 2020 and **-17%** on 2019, which is a fairly static position, with most Schools seeing a drop in applications to some extent. Looking at applications by domicile from our biggest markets, applications from China remain **-41%** down on 2020, and applications from India are **+5%** up on 2020. Application numbers from most other markets remain broadly comparable to 2020, although there are notable drops from EU countries.

**International applicant replies** we currently have a **-28%** drop in provisional acceptances (**CP**) compared to 2020, with firm acceptances (**UF**) being **+3%**. Many of these UFs are applicants who have deferred from 2020-entry, the conversion of which is traditionally not strong. We are currently encouraging international applicants to pay their CAS deposit if they intend to take up their place at the University, which over the next few months will start to give us an indication of likely numbers in the autumn.

#### LU London campus

**UK** applications for entry in October 2021 are **+36%** on 2020 and **+32%** on 2019, a picture which remains very positive.

**UK applicant replies** look positive at this early stage: provisional acceptances (CP) are 125% up on 2020, with firm acceptances (UF) 6% down (early days for results).

**International** applications for entry in October 2021 are showing a drop of **-34%** on last year and **-30%** on 2019. Applications from China are currently **-39%** compared to 2020, while applications from India are broadly similar to 2020, which is an improving picture given the challenges in that country.

**International applicant replies** we currently have a **-31%** drop in provisional acceptances (**CP**) compared to 2020, and a **-4%** drop in firm acceptances (**UF**). As with the Loughborough campus, we are currently encouraging international applicants to pay their CAS deposit if they intend to take up their place at the University, which over the next few months will start to give us an indication of likely numbers in the autumn.

### January 2022

A selection of programmes are now open for entry in [January 2022](#). As these programmes only opened on the Application Portal a few weeks ago, the numbers are very small at present. We currently have a total of 45 applications for January 2022 (44 international, 1 UK).

**Table 3: All (UK/EU and International) Undergraduate applications showing distribution across disciplines**

Drill through School, Stats Department, Course Title and Course Code																
School, Dept, Course >	Apps 19 Entry	Apps 20 Entry	Apps 21 Entry	% Change Apps 19-21	% Change Apps 20-21	Offers 19 Entry	Offers 20 Entry	Offers 21 Entry	% Change Offers 19-21	% Change Offers 20-21	Defers into 19	Defers into 20	Defers into 21	Diff Defers 19-21	Diff Defers 20-21	
School of AAE, Aeronautical and Automoti..	683	1,037	1,001	46.6%	-3.5%	374	427	630	68.4%	47.5%	12	10	24	12	14	
Chemical Engineering and Materials	510	503	368	-27.8%	-26.8%	303	313	310	2.3%	-1.0%	5	6	7	2	1	
Materials *1	367	415	368	0.3%	-11.3%	305	301	313	2.6%	4.0%	6	10	5	-1	-5	
Total	1,560	1,955	1,737	11.3%	-11.2%	982	1,041	1,253	27.6%	20.4%	23	26	36	13	10	
School of Business and Economics	3,697	4,220	3,882	5.0%	-8.0%	2,425	2,876	2,486	2.5%	-13.6%	40	26	83	43	57	
Economics	3,004	2,902	2,806	-6.6%	-3.3%	2,325	2,296	2,102	-9.6%	-8.4%	28	21	42	14	21	
Total	6,701	7,122	6,688	-0.2%	-6.1%	4,750	5,172	4,588	-3.4%	-11.3%	68	47	125	57	78	
School of Architecture, Buildi..	1,839	2,102	2,119	15.2%	0.8%	1,074	1,252	1,105	2.9%	-11.7%	32	13	48	16	35	
Total	1,839	2,102	2,119	15.2%	0.8%	1,074	1,252	1,105	2.9%	-11.7%	32	13	48	16	35	
School of Design and Creative Arts	1,500	1,351	1,409	-6.1%	4.3%	499	761	863	72.9%	13.4%	22	13	30	8	17	
Creative Arts	671	583	711	6.0%	22.0%	252	368	354	40.5%	-3.8%	21	24	26	5	2	
Total	2,171	1,934	2,120	-2.3%	9.6%	751	1,129	1,217	62.1%	7.8%	43	37	56	13	19	
Wolfson School of MEME	2,398	2,232	2,295	-4.3%	2.8%	1,266	1,252	1,303	2.9%	4.1%	35	34	45	10	11	
Total	2,398	2,232	2,295	-4.3%	2.8%	1,266	1,252	1,303	2.9%	4.1%	35	34	45	10	11	
School of Science	567	513	425	-25.0%	-17.2%	538	486	391	-27.3%	-19.5%	2	3	10	8	7	
Chemistry	211	231	225	6.6%	-2.6%	70	88	202	188.6%	129.5%	1	2	1	0	-1	
Natural Sciences	2,069	2,180	1,556	-24.8%	-28.6%	1,550	1,657	1,082	-30.2%	-34.7%	13	10	23	10	13	
Computer Science	1,117	1,007	1,083	-3.0%	7.5%	1,012	901	990	-2.2%	9.9%	13	13	12	-1	-1	
Mathematics	538	507	523	-2.8%	3.2%	483	461	471	-2.5%	2.2%	2	4	6	4	2	
Physics	4,502	4,438	3,812	-15.3%	-14.1%	3,653	3,593	3,136	-14.2%	-12.7%	31	32	52	21	20	
Total	503	605	723	43.7%	19.5%	405	459	468	15.6%	2.0%	4	5	9	5	4	
School of Social Sciences and Humanities	829	797	895	8.0%	12.3%	749	755	749	0.0%	-0.8%	21	21	21	0	0	
Communication and Media	380	423	549	44.5%	29.8%	340	389	490	44.1%	26.0%	3	3	6	3	3	
Geography and Environment	2,003	2,102	2,023	1.0%	-3.8%	1,855	1,956	1,798	-3.1%	-8.1%	16	24	31	15	7	
Humanities	520	621	1,044	100.8%	68.1%	444	532	781	75.9%	46.8%	2	8	6	4	-2	
Politics and International S..	4,235	4,548	5,234	23.6%	15.1%	3,793	4,091	4,286	13.0%	4.8%	46	61	73	27	12	
Total	507	628	558	10.1%	-11.1%	443	546	481	8.6%	-11.9%	3	7	11	8	4	
School of Sport, Exercise and Health Sciences	3,035	2,682	2,282	-24.8%	-14.9%	2,354	2,028	1,424	-39.5%	-29.8%	29	42	64	35	22	
Biosciences *2	2,661	2,915	3,416	28.4%	17.2%	1,147	1,358	1,420	23.8%	4.6%	39	43	89	50	46	
Psychology	6,203	6,225	6,256	0.9%	0.5%	3,944	3,932	3,325	-15.7%	-15.4%	71	92	164	93	72	
Sport	1,527	1,642	1,846	20.9%	12.4%	540	506	510	-5.6%	0.8%	16	15	31	15	16	
Total	1,527	1,642	1,846	20.9%	12.4%	540	506	510	-5.6%	0.8%	16	15	31	15	16	
Foundation Year	1,527	1,642	1,846	20.9%	12.4%	540	506	510	-5.6%	0.8%	16	15	31	15	16	
Total	1,527	1,642	1,846	20.9%	12.4%	540	506	510	-5.6%	0.8%	16	15	31	15	16	
<b>Grand Total</b>	<b>31,136</b>	<b>32,198</b>	<b>32,107</b>	<b>3.1%</b>	<b>-0.3%</b>	<b>20,753</b>	<b>21,968</b>	<b>20,723</b>	<b>-0.1%</b>	<b>-5.7%</b>	<b>365</b>	<b>357</b>	<b>630</b>	<b>265</b>	<b>273</b>	

Apps 19 Entry, Apps 20 Entry, Apps 21 Entry, % Change Apps 19-21, % Change Apps 20-21, Offers 19 Entry, Offers 20 Entry, Offers 21 Entry, % Change Offers 19-21, % Change Offers 20-21, Defers into 19, Defers into 20, Defers into 21, Diff Defers 19-21 and Diff Defers 20-21 broken down by School, Dept, Course and >. Colour shows Apps 19 Entry, Apps 20 Entry, Apps 21 Entry, % Change Apps 19-21, % Change Apps 20-21, Offers 19 Entry, Offers 20 Entry, Offers 21 Entry, % Change Offers 19-21, % Change Offers 20-21, Defers into 19, Defers into 20, Defers into 21, Diff Defers 19-21 and Diff Defers 20-21. The data is filtered on Selected School, Selected FeeStatus and Filter Apps & Offers Totals. The Selected School filter keeps True. The Selected FeeStatus filter keeps True. The Filter Apps & Offers Totals filter excludes Exclude.

**Table 4: UK Undergraduate applications showing distribution across disciplines**

Undergraduate Statistics : Applications and Offers																		
Fee Status: UK School: All Schools																		
Loughborough University		Year of Entry:		2019	2020	2021												
Undergraduate Statistics		Extract Date:		10 June 2019	08 June 2020	07 June 2021												
Applications and Offers		Day:		Monday	Monday	Monday												
2021 Entry (with 2019 and 2020 comparison data)		Week Number:		40	40	40												
		Fee Stat..		UK													Press F12 to reset..	
		School		All Schools													Course UCAS Codes...	
Drill through School, Stats Department, Course Title and Course Code																		
School, Dept, Course	>	Apps 19 Entry	Apps 20 Entry	Apps 21 Entry	% Change Apps 1..	% Change Apps 2..	Offers 19 Entry	Offers 20 Entry	Offers 21 Entry	% Change Offers ..	% Change Offers ..	Defers into 19	Defers into 20	Defers into 21	Diff Defers 19-21	Diff Defers 20-21		
School of AAE, Chemical Engineering and Materials *1	Aeronautical and Autom...	606	910	855	41.1%	-6.0%	463	679	723	56.2%	6.5%	11	10	21	10	11		
	Chemical Engineering	446	449	305	-31.6%	-32.1%	306	331	271	-11.4%	-18.1%	3	3	4	4	1		
	Materials *1	294	335	267	-9.2%	-20.3%	245	279	238	-2.9%	-14.7%	5	9	3	-2	-6		
	Total	1,346	1,694	1,427	6.0%	-15.8%	1,014	1,289	1,232	21.5%	-4.4%	19	22	28	9	6		
School of Business and Economics	Business	3,102	3,538	3,089	-0.4%	-12.7%	2,253	2,613	2,149	-4.6%	-17.8%	33	21	61	28	40		
	Economics	2,738	2,571	2,415	-11.8%	-6.1%	2,286	2,158	1,987	-13.1%	-7.9%	24	18	32	8	14		
	Total	5,840	6,109	5,504	-5.8%	-9.9%	4,539	4,771	4,136	-8.9%	-13.3%	57	39	93	36	54		
School of Architect.	Architecture, Building & C.	1,666	1,884	1,841	10.5%	-2.3%	1,055	1,329	1,164	10.3%	-12.4%	27	11	40	13	29		
	Total	1,666	1,884	1,841	10.5%	-2.3%	1,055	1,329	1,164	10.3%	-12.4%	27	11	40	13	29		
School of Design and Creative Arts	Creative Arts	1,371	1,168	1,189	-13.3%	1.8%	737	737	928	25.9%	25.9%	19	9	22	3	13		
	Design	552	452	537	-2.7%	18.8%	279	304	368	31.9%	21.1%	19	21	26	7	5		
	Total	1,923	1,620	1,726	-10.2%	6.5%	1,016	1,041	1,296	27.6%	24.5%	38	30	48	10	18		
Wolfson School of ..	Wolfson School of MEME	2,046	1,858	1,788	-12.6%	-3.8%	1,534	1,503	1,479	-3.6%	-1.6%	26	28	35	9	7		
	Total	2,046	1,858	1,788	-12.6%	-3.8%	1,534	1,503	1,479	-3.6%	-1.6%	26	28	35	9	7		
School of Science	Chemistry	548	495	390	-28.8%	-21.2%	528	478	375	-29.0%	-21.5%	2	4	9	7	5		
	Natural Sciences	203	224	208	2.5%	-7.1%	137	155	187	36.5%	20.6%	1	2	1	0	-1		
	Computer Science	1,782	1,840	1,209	-32.2%	-34.3%	1,419	1,461	942	-33.6%	-35.5%	9	9	16	7	7		
	Mathematics	1,068	933	1,017	-4.8%	9.0%	986	862	949	-3.8%	10.1%	12	11	10	-2	-1		
	Physics	516	480	496	-3.9%	3.3%	469	451	462	-1.5%	2.4%	2	4	2	0	-2		
	Total	4,117	3,972	3,320	-19.4%	-16.4%	3,539	3,407	2,915	-17.6%	-14.4%	26	30	38	12	8		
School of Social Sciences and Humanities	Communication and Media	324	365	459	41.7%	25.8%	274	301	389	42.0%	29.2%	4	3	4	0	1		
	English	372	420	520	39.8%	23.8%	341	390	480	40.8%	23.1%	3	3	6	3	3		
	Geography and Environm..	810	782	875	8.0%	11.9%	753	748	842	11.8%	12.6%	20	18	21	1	3		
	Politics and International..	1,912	1,998	1,881	-1.6%	-5.9%	1,802	1,899	1,781	-1.2%	-6.2%	15	20	27	12	7		
	Social and Policy Studies	510	599	989	93.9%	65.1%	447	523	859	92.2%	64.2%	2	6	4	2	-2		
	Total	3,928	4,164	4,724	20.3%	13.4%	3,617	3,861	4,351	20.3%	12.7%	44	50	62	18	12		
School of Sport, Exercise and Health Sciences	Biosciences *2	475	592	516	8.6%	-12.8%	423	537	469	10.9%	-12.7%	3	7	10	7	3		
	Psychology	2,834	2,496	2,045	-27.8%	-18.1%	2,231	1,936	1,412	-36.7%	-27.1%	26	36	54	28	18		
	Sport	2,491	2,697	3,015	21.0%	11.8%	1,107	1,251	1,332	20.3%	6.5%	35	36	67	32	31		
	Total	5,800	5,785	5,576	-3.9%	-3.6%	3,761	3,724	3,213	-14.6%	-13.7%	64	79	131	67	52		
Foundation Year	Foundation Year	1,411	1,485	1,617	14.6%	8.9%	755	740	874	15.8%	18.1%	13	11	16	3	5		
	Total	1,411	1,485	1,617	14.6%	8.9%	755	740	874	15.8%	18.1%	13	11	16	3	5		
Grand Total		28,077	28,571	27,523	-2.0%	-3.7%	20,830	21,665	20,660	-0.8%	-4.6%	314	300	491	177	191		

\*1 Materials includes Bioengineering

\*2 Biosciences includes Human Biology, Biological Sciences

**Table 5: International Undergraduate applications showing distribution across disciplines**

Undergraduate Statistics : Applications and Offers																
Fee Status: <b>International</b> School: <b>All Schools</b>																
Loughborough University		Year of Entry:		<b>2019</b>		<b>2020</b>		<b>2021</b>								
Undergraduate Statistics		Extract Date:		10 June 2019		08 June 2020		07 June 2021								
Applications and Offers		Day:		Monday		Monday		Monday								
2021 Entry (with 2019 and 2020 comparison data)		Week Number:		40		40		40								
										Fee Stat.: <b>International</b>		Press F12 to reset..				
										School: <b>All Schools</b>		Course: <b>UCAS Codes...</b>				
Drill through School, Stats Department, Course Title and Course Code																
School, Dept, Course	>	Apps 19 Entry	Apps 20 Entry	Apps 21 Entry	% Change Apps 1..	% Change Apps 2..	Offers 19 Entry	Offers 20 Entry	Offers 21 Entry	% Change Offers ..	% Change Offers ..	Defers into 19	Defers into 20	Defers into 21	Diff Defers 19-21	Diff Defers 20-21
School of AAE, Chemical Engineering and M..	Aeronautical and Autom..	92	145	149	62.0%	2.8%	75	120	115	53.3%	-4.2%	0	0	2	2	2
	Chemical Engineering	70	74	73	4.3%	-1.4%	57	65	64	12.3%	-1.5%	2	2	1	-1	-1
	Materials *1	83	87	111	33.7%	27.6%	76	81	97	27.6%	19.8%	0	0	1	1	1
	Total	245	306	333	35.9%	8.8%	208	266	276	32.7%	3.8%	2	2	4	2	2
School of Business and Economics	Business	667	800	868	30.1%	8.5%	474	613	641	35.2%	4.6%	2	2	19	17	17
	Economics	307	366	401	30.6%	9.6%	244	303	316	29.5%	4.3%	0	3	5	5	2
	Total	974	1,166	1,269	30.3%	8.8%	718	916	957	33.3%	4.5%	2	5	24	22	19
School of Architect..	Architecture, Building & C..	202	275	378	87.1%	37.5%	138	199	213	54.3%	7.0%	3	2	5	2	3
	Total	202	275	378	87.1%	37.5%	138	199	213	54.3%	7.0%	3	2	5	2	3
School of Design and Creative Arts	Creative Arts	175	205	228	30.3%	11.2%	74	103	129	74.3%	25.2%	1	1	5	4	4
	Design	132	139	188	42.4%	35.3%	54	87	107	98.1%	23.0%	1	1	0	-1	-1
	Total	307	344	416	35.5%	20.9%	128	190	236	84.4%	24.2%	2	2	5	3	3
Wolfson School of ..	Wolfson School of MEME	375	397	484	29.1%	21.9%	310	341	421	35.8%	23.5%	6	5	8	2	3
	Total	375	397	484	29.1%	21.9%	310	341	421	35.8%	23.5%	6	5	8	2	3
School of Science	Chemistry	29	24	38	31.0%	58.3%	26	21	32	23.1%	52.4%	0	0	0	0	0
	Natural Sciences	8	7	14	75.0%	100.0%	3	7	14	366.7%	100.0%	0	0	0	0	0
	Computer Science	339	384	386	13.9%	0.5%	251	310	286	13.9%	-7.7%	2	1	4	2	3
	Mathematics	73	90	76	4.1%	-15.6%	58	76	64	10.3%	-15.8%	0	0	1	1	1
	Physics	24	32	38	58.3%	18.8%	22	27	34	54.5%	25.9%	0	0	1	1	1
	Total	473	537	552	16.7%	2.8%	360	441	430	19.4%	-2.5%	2	1	6	4	5
School of Social Sciences and Humanities	Communication and Media	207	261	284	37.2%	8.8%	179	214	204	14.0%	-4.7%	0	1	4	4	3
	English	10	13	35	250.0%	169.2%	5	11	25	400.0%	127.3%	0	0	0	0	0
	Geography and Environ..	24	23	26	8.3%	13.0%	20	20	24	20.0%	20.0%	1	1	0	-1	-1
	Politics and International..	105	137	166	58.1%	21.2%	89	117	144	61.8%	23.1%	1	2	2	1	0
	Social and Policy Studies	20	34	58	190.0%	70.6%	17	29	41	141.2%	41.4%	0	0	0	0	0
	Total	366	468	569	55.5%	21.6%	310	391	438	41.3%	12.0%	2	4	6	4	2
School of Sport, Exercise and Health Sciences	Biosciences *2	39	43	51	30.8%	18.6%	33	31	38	15.2%	22.6%	0	0	0	0	0
	Psychology	237	230	269	13.5%	17.0%	184	180	184	0.0%	2.2%	0	1	6	6	5
	Sport	220	274	417	89.5%	52.2%	126	169	238	88.9%	40.8%	4	4	15	11	11
	Total	496	547	737	48.6%	34.7%	343	380	460	34.1%	21.1%	4	5	21	17	16
Foundation Year	Foundation Year	280	315	451	61.1%	43.2%	182	207	331	81.9%	59.9%	3	3	9	6	6
	Total	280	315	451	61.1%	43.2%	182	207	331	81.9%	59.9%	3	3	9	6	6
<b>Grand Total</b>		<b>3,718</b>	<b>4,355</b>	<b>5,189</b>	<b>39.6%</b>	<b>19.2%</b>	<b>2,697</b>	<b>3,331</b>	<b>3,762</b>	<b>39.5%</b>	<b>12.9%</b>	<b>26</b>	<b>29</b>	<b>88</b>	<b>62</b>	<b>59</b>

\*1 Materials includes Bioengineering

\*2 Biosciences includes Human Biology, Biological Sciences

**Table 6: Replies to offers from Undergraduate UK students**

Undergraduate Statistics : Replies																							
Fee Status: UK School: All Schools																							
Loughborough University		Year of Entry:		2019	2020	2021														Fee Stat..	UK	Press F12 to reset..	
Undergraduate Statistics		Extract Date:		10 June 2019	08 June 2020	07 June 2021														School	All Schools	Course UCAS Codes...	
Replies		Day:		Monday	Monday	Monday																	
2021 Entry (with 2019 and 2020 comparison data)		Week Number:		40	40	40																	
Drill through School, Stats Department, Course Title and Course Code																							
School, Dept, Course	CFs 19 Entry	CFs 20 Entry	CFs 21 Entry	% Change CFs 1..	% Change CFs 2..	C:CF rate 19 Entry	C:CF rate 20 Entry	C:CF rate 21 Entry	Cls 19 Entry	Cls 20 Entry	Cls 21 Entry	% Change Cls 19..	% Change Cls 20..	UFs 19 Entry	UFs 20 Entry	UFs 21 Entry	UFs changes 19 -21	UFs changes 20 -21					
School of AAE, Chemical Engineering and M..	136	235	244	79.4%	3.8%	30.1%	41.4%	39.2%	59	116	95	61.0%	-18.1%	12	12	29	17	17					
Chemical Engineering	68	70	49	-27.9%	-30.0%	23.0%	23.4%	20.5%	74	73	67	-9.5%	-8.2%	7	6	5	-2	-1					
Materials *1	64	81	66	3.1%	-18.5%	26.8%	33.9%	32.8%	61	55	31	-49.2%	-43.6%	7	12	6	-1	-6					
Total	268	386	359	34.0%	-7.0%	27.2%	34.9%	33.8%	194	244	193	-0.5%	-20.9%	26	30	40	14	10					
School of Business and Economics	512	575	498	-2.7%	-13.4%	23.6%	26.6%	28.7%	482	454	376	-22.0%	-17.2%	66	51	105	39	54					
Economics	491	427	424	-13.6%	-0.7%	22.1%	22.9%	26.1%	631	545	427	-32.3%	-21.7%	44	31	47	3	16					
Total	1,003	1,002	922	-8.1%	-8.0%	22.9%	24.9%	27.4%	1,113	999	803	-27.9%	-19.6%	110	82	152	42	70					
School of Architect..	364	383	362	-0.5%	-5.5%	35.6%	32.7%	38.3%	190	239	180	-5.3%	-24.7%	42	20	68	26	48					
Architecture, Building & C..	364	383	362	-0.5%	-5.5%	35.6%	32.7%	38.3%	190	239	180	-5.3%	-24.7%	42	20	68	26	48					
Total	364	383	362	-0.5%	-5.5%	35.6%	32.7%	38.3%	190	239	180	-5.3%	-24.7%	42	20	68	26	48					
School of Design and Creative Arts	216	240	300	38.9%	25.0%	34.3%	39.5%	44.8%	88	79	84	-4.5%	6.3%	67	40	98	31	58					
Creative Arts	131	155	164	25.2%	5.8%	50.2%	57.2%	53.6%	39	32	42	7.7%	31.3%	27	26	35	8	9					
Design	347	395	464	33.7%	17.5%	38.9%	44.9%	47.6%	127	111	126	-0.8%	13.5%	94	66	133	39	67					
Total	390	334	396	1.5%	18.6%	26.4%	27.0%	33.8%	356	285	255	-28.4%	-10.5%	47	34	61	14	27					
Wolfson School of ..	390	334	396	1.5%	18.6%	26.4%	27.0%	33.8%	356	285	255	-28.4%	-10.5%	47	34	61	14	27					
Wolfson School of MEME	390	334	396	1.5%	18.6%	26.4%	27.0%	33.8%	356	285	255	-28.4%	-10.5%	47	34	61	14	27					
Total	390	334	396	1.5%	18.6%	26.4%	27.0%	33.8%	356	285	255	-28.4%	-10.5%	47	34	61	14	27					
School of Science	85	74	57	-32.9%	-23.0%	16.7%	17.6%	18.2%	105	90	48	-54.3%	-46.7%	3	6	11	8	5					
Chemistry	273	253	203	-25.6%	-19.8%	19.7%	20.4%	26.5%	409	355	167	-59.2%	-53.0%	20	17	25	5	8					
Computer Science	176	140	202	14.8%	44.3%	18.7%	18.7%	26.0%	132	116	121	-8.3%	4.3%	30	19	22	-8	3					
Mathematics	28	23	20	-28.6%	-13.0%	21.9%	17.7%	13.7%	41	50	58	41.5%	16.0%	4	5	5	1	0					
Natural Sciences	60	36	53	-11.7%	47.2%	13.0%	9.4%	14.1%	121	108	94	-22.3%	-13.0%	3	7	6	3	-1					
Physics	622	526	535	-14.0%	1.7%	18.2%	18.0%	22.5%	808	719	488	-39.6%	-32.1%	60	54	69	9	15					
Total	60	64	103	71.7%	60.9%	23.3%	24.8%	30.7%	46	26	45	-2.2%	73.1%	12	8	10	-2	2					
School of Social Sciences and Humanities	55	73	84	52.7%	15.1%	17.2%	22.1%	20.9%	46	49	56	21.7%	14.3%	9	9	13	4	4					
Communication and Media	138	136	157	13.8%	15.4%	19.0%	21.3%	23.0%	107	90	86	-19.6%	-4.4%	35	26	28	-7	2					
English	255	254	259	1.6%	2.0%	14.7%	15.6%	17.5%	415	364	368	-11.3%	1.1%	31	49	48	17	-1					
Geography and Environm..	72	108	182	152.8%	68.5%	17.0%	23.7%	24.6%	46	51	85	84.8%	66.7%	10	11	16	6	5					
Politics and International..	580	635	785	35.3%	23.6%	16.7%	19.2%	21.6%	660	580	640	-3.0%	10.3%	97	103	115	18	12					
Social and Policy Studies	88	91	80	-9.1%	-12.1%	21.7%	19.8%	21.2%	66	81	68	3.0%	-16.0%	10	15	21	11	6					
Total	544	488	365	-32.9%	-25.2%	25.3%	28.5%	30.3%	300	242	154	-48.7%	-36.4%	66	65	76	10	11					
School of Sport, Exercise and Health Sciences	377	458	549	45.6%	19.9%	35.6%	42.5%	49.4%	125	107	129	3.2%	20.6%	53	54	95	42	41					
Biosciences *2	1,009	1,037	994	-1.5%	-4.1%	27.9%	31.9%	36.9%	491	430	351	-28.5%	-18.4%	129	134	192	63	58					
Psychology	203	173	226	11.3%	30.6%	29.4%	33.7%	35.6%	150	109	141	-6.0%	29.4%	46	41	45	-1	4					
Sport	203	173	226	11.3%	30.6%	29.4%	33.7%	35.6%	150	109	141	-6.0%	29.4%	46	41	45	-1	4					
Total	203	173	226	11.3%	30.6%	29.4%	33.7%	35.6%	150	109	141	-6.0%	29.4%	46	41	45	-1	4					
Foundation Year	203	173	226	11.3%	30.6%	29.4%	33.7%	35.6%	150	109	141	-6.0%	29.4%	46	41	45	-1	4					
Total	203	173	226	11.3%	30.6%	29.4%	33.7%	35.6%	150	109	141	-6.0%	29.4%	46	41	45	-1	4					
Grand Total	4,786	4,871	5,043	5.4%	3.5%	24.0%	26.5%	29.9%	4,089	3,716	3,177	-22.3%	-14.5%	651	564	875	224	311					

\*1 Materials includes Bioengineering

\*2 Biosciences includes Human Biology, Biological Sciences and Biochemistry

**Table 7: The number of offers made to UK students broken down by the POLAR4 measure**

Offers																							
Fee Status: UK School: All Schools																							
																		Select P..	Offers	School	All Schools	Age	All ages
																		Fee Stat..	UK	Stats Department	(All)	Press F12 to reset..	
Drill through School, Stats Department, Course Title and Course Code (UK domicile)																							
School, Dept, Course >	POLAR4 Q5	POLAR4 Q4	POLAR4 Q3	POLAR4 Q2	POLAR4 Q1	POLAR4 Unknown	POLAR4 Total	Ratio Q5-3: Q2-1	Ratio Q5: Q1	POLAR4 Q5 (last year)	POLAR4 Q4 (last year)	POLAR4 Q3 (last year)	POLAR4 Q2 (last year)	POLAR4 Q1 (last year)	POLAR4 Unknown (last ..)	POLAR4 Total (last ye..)	POLAR4 Ratio 5-3:2:1..	POLAR4 Ratio 5:1 (las..)					
School of AAE, Aeronautical and Auto..	274	156	133	86	58	5	712	3.91	4.72	244	146	92	75	53	6	616	3.77	4.6					
Chemical Engineering and Materials	97	62	50	34	24	2	269	3.6	4.04	122	71	60	31	28	1	313	4.29	4.36					
Materials *1	95	58	40	20	16	2	231	5.36	5.94	111	57	43	27	15	1	254	5.02	7.4					
Total	466	276	223	140	98	9	1,212	4.05	4.76	477	274	195	133	96	8	1,183	4.15	4.97					
School of Business and Economics	997	446	324	206	91	17	2,081	5.95	10.96	1,047	498	352	235	121	5	2,258	5.35	8.65					
Economics	906	455	326	169	94	9	1,959	6.41	9.64	909	514	339	176	106	14	2,058	6.25	8.55					
Total	1,903	901	650	375	185	26	4,040	6.17	10.29	1,956	1,012	691	411	227	19	4,316	5.74	6.62					
School of Architectu..	462	289	176	126	84	9	1,146	4.41	5.5	525	284	225	157	83	5	1,279	4.31	6.33					
Total	462	289	176	126	84	9	1,146	4.41	5.5	525	284	225	157	83	5	1,279	4.31	6.33					
School of Design and Creative Arts	368	222	134	108	79	5	916	3.87	4.66	301	144	122	83	52	2	704	4.2	5.75					
Design	188	66	50	30	23	2	359	5.74	8.17	140	70	39	18	13	5	285	8.03	10.77					
Total	556	288	184	138	102	7	1,275	4.28	5.45	441	214	161	101	65	7	989	4.92	6.76					
Wolfson School of M..	662	316	210	140	107	10	1,445	4.81	6.19	593	328	202	147	93	5	1,368	4.68	6.38					
Total	662	316	210	140	107	10	1,445	4.81	6.19	593	328	202	147	93	5	1,368	4.68	6.38					
School of Science	120	97	70	51	30	3	371	3.54	4	154	112	90	64	44	3	467	3.3	3.5					
Chemistry	95	39	34	14	4		186	9.33	23.75	77	39	22	11	4		153	10.6	16.05					
Natural Sciences	364	236	154	104	64	2	924	4.49	5.69	499	356	206	148	93	9	1,311	4.4	5.37					
Computer Science	345	230	154	153	54	4	940	3.52	6.39	284	203	180	107	57	2	833	4.87	4.98					
Mathematics	178	86	85	57	48	0	454	3.32	3.71	164	116	74	46	38	2	440	4.21	4.32					
Physics	1,102	688	497	379	200	9	2,875	3.95	5.51	1,178	826	572	376	236	16	3,204	4.21	4.99					
Total	1,102	688	497	379	200	9	2,875	3.95	5.51	1,178	826	572	376	236	16	3,204	4.21	4.99					
School of Social Sciences and Humanities	151	83	74	43	29	2	382	4.28	5.21	99	73	50	22	19	1	264	5.41	5.21					
Communication and Me..	159	104	93	71	44	4	475	3.1	3.61	144	89	65	42	37	2	379	3.77	3.88					
English	425	182	116	64	38	5	830	7.09	11.18	378	143	117	46	33	4	721	8.08	11.45					
Geography and Environ..	760	391	281	186	115	10	1,743	4.76	6.61	747	433	281	187	111	9	1,768	4.8	6.73					
Politics and Internation..	285	210	151	104	92	7	849	3.3	3.1	192	129	85	53	49	1	509	3.36	3.32					
Social and Policy Studies	1,780	970	715	468	318	28	4,279	4.41	5.6	1,560	867	598	350	249	17	3,641	5.06	6.27					
Total	1,780	970	715	468	318	28	4,279	4.41	5.6	1,560	867	598	350	249	17	3,641	5.06	6.27					
School of Sport, Exercise and Health Sciences	178	114	82	52	33	2	461	4.4	5.39	213	128	73	56	43	2	515	4.18	4.95					
Biosciences *2	507	330	245	166	125	7	1,380	3.72	4.06	685	429	322	239	138	8	1,821	3.81	4.96					
Psychology	545	314	209	134	79	10	1,291	5.01	6.9	483	265	206	133	63	7	1,157	4.82	7.67					
Sport	1,230	758	536	352	237	19	3,132	4.29	5.19	1,381	822	601	428	244	17	3,493	4.17	5.66					
Total	1,230	758	536	352	237	19	3,132	4.29	5.19	1,381	822	601	428	244	17	3,493	4.17	5.66					
Foundation Year	251	224	145	130	105	7	862	2.64	2.39	208	154	137	91	92	4	686	2.73	2.25					
Total	251	224	145	130	105	7	862	2.64	2.39	208	154	137	91	92	4	686	2.73	2.25					
Grand Total	8,412	4,710	3,336	2,248	1,436	124	20,266	4.47	5.86	8,319	4,781	3,382	2,194	1,385	98	20,159	4.61	6.01					

\*1 Materials includes Bioengineering

\*2 Biosciences includes Human Biology, Biological Sciences



**Table 8: UK Postgraduate taught applications showing distribution across disciplines**

**Postgraduate Taught Statistics: Applications and Offers**

Fee Status: UK School: All Schools Method of Study: Full Time

Loughborough University  
 Postgraduate Taught Statistics  
 Applications and Offers for Full Time Study  
 2021 Entry (with 2019 and 2020 comparative data)

Year of Entry: 2019  
 Extract Date: 7 June 2019  
 Day: Friday  
 Week Number: 39

2020  
 5 June 2020  
 Friday  
 39

2021  
 4 June 2021  
 Friday  
 39

Fee Stat.: UK Country Title: (All)  
 Cohort S.: Sept/Oct St... Stats Sc.: All Schools Method: Full Time

**Drill through Campus, School, Department/Institute and Programme Title**

Campus	Stats School	Stats Department / Institute	Apps 2019	Apps 2020	Apps 2021	Apps %change 19-21	Apps %change 20-21	Offers 2019	Offers 2020	Offers 2021	Offers %change 19-21	Offers %change 20-21
Loughborough	School of AAE, Chemical Engineering and Materials	Aeronautical and Automoti...	4	10	11	175.0%	10.0%	3	4	7	133.3%	75.0%
		Chemical Engineering	8	16	14	75.0%	-12.5%	4	13	9	125.0%	-30.8%
		Materials	5	11	3	-40.0%	-72.7%	2	9	3	50.0%	-66.7%
	School of Business and Economics	Business	143	191	191	33.6%	0.0%	89	140	144	61.8%	2.9%
		Economics	26	21	14	-46.2%	-33.3%	14	15	12	-14.3%	-20.0%
	School of Architecture, ..	Architecture, Building & Civ..	20	21	21	5.0%	0.0%	13	17	17	30.8%	0.0%
	School of Design and Creative Arts	Creative Arts	4	11	16	300.0%	45.5%	3	9	11	266.7%	22.2%
		Design	31	37	37	19.4%	0.0%	25	19	21	-16.0%	10.5%
	Wolfson School of MEME	Wolfson School of MEME	38	51	44	15.8%	-13.7%	33	34	37	12.1%	8.8%
	School of Science	Chemistry	11	8	27	145.5%	237.5%	9	3	23	155.6%	666.7%
		Computer Science	9	10	93	933.3%	830.0%	7	6	63	800.0%	950.0%
		Mathematics	13	23	20	53.8%	-13.0%	11	17	15	36.4%	-11.8%
		Physics	6	6	7	16.7%	16.7%	5	4	5	0.0%	25.0%
	School of Social Sciences and Humanities	Communication and Media	20	23	24	20.0%	4.3%	15	19	20	33.3%	5.3%
		Geography and Environment	33	30	44	33.3%	46.7%	31	27	38	22.6%	40.7%
		Humanities	10		4			8		3	-62.5%	
		Politics and International S..	8	17	10	25.0%	-41.2%	8	16	8	0.0%	-50.0%
School of Sport, Exercis..	Social and Policy Studies	3	2	11	266.7%	450.0%	3	2	11	266.7%	450.0%	
	Sport, Exercise and Health ..	293	318	422	44.0%	32.7%	214	228	297	38.8%	30.3%	
	Total	685	806	1,013	47.9%	25.7%	497	582	744	49.7%	27.8%	
London	Loughborough University, London	Institute for Design Innova..	7	9	11	57.1%	22.2%	6	8	7	16.7%	-12.5%
		Institute for Digital Techno..	30	30	52	73.3%	73.3%	21	23	36	71.4%	56.5%
		Institute for Diplomacy and..	19	13	18	-5.3%	38.5%	15	10	13	-13.3%	30.0%
		Institute for Innovation an..	12	11	6	-50.0%	-45.5%	7	8	6	-14.3%	-25.0%
		Institute for International ..	13	11	12	-7.7%	9.1%	7	5	10	42.9%	100.0%
		Institute for Media and Cre..		2	3		50.0%		2	3		50.0%
		Institute for Sport Business	45	46	64	42.2%	39.1%	38	40	59	55.3%	47.5%
	Total	126	122	166	31.7%	36.1%	94	96	134	42.6%	39.6%	
<b>Grand Total</b>			<b>811</b>	<b>928</b>	<b>1,179</b>	<b>45.4%</b>	<b>27.0%</b>	<b>591</b>	<b>678</b>	<b>878</b>	<b>48.6%</b>	<b>29.5%</b>

**Table 9: International Postgraduate taught applications showing distribution across disciplines**

Postgraduate Taught Statistics: Applications and Offers													
Fee Status: International School: All Schools Method of Study: Full Time													
Loughborough University Postgraduate Taught Statistics Applications and Offers for Full Time Study 2021 Entry (with 2019 and 2020 comparative data)			Year of Entry: Extract Date: Day: Week Number:	2019 7 June 2019 Friday 39	2020 5 June 2020 Friday 39	2021 4 June 2021 Friday 39	Fee Stat.: International	Country Title (All)	Cohort S.: Sept/Oct.St...	Stats Sc.: All Schools	Method .. Full Time		
Drill through Campus, School, Department/Institute and Programme Title													
Campus	Stats School	Stats Department / Institute	Apps 2019	Apps 2020	Apps 2021	Apps %change 19-21	Apps %change 20-21	Offers 2019	Offers 2020	Offers 2021	Offers %change 19-21	Offers %change 20-21	
Loughborough	School of AAE, Chemical Engineering and Materials	Aeronautical and Automoti... Chemical Engineering Materials	201 65 140	317 79 153	271 101 119	34.8% 55.4% -15.0%	-14.5% 27.8% -22.2%	109 49 108	182 63 138	176 73 96	61.5% 49.0% -11.1%	-3.3% 15.9% -30.4%	
	School of Business and Economics	Business Economics	6,765 488	7,185 399	4,232 142	-37.4% -70.9%	-41.1% -64.4%	5,223 333	5,578 278	3,243 89	-37.9% -73.3%	-41.9% -68.0%	
	School of Architecture, ...	Architecture, Building & Civ...	649	751	579	-10.8%	-22.9%	480	661	471	-1.9%	-28.7%	
	School of Design and Creative Arts	Creative Arts Design	408 980	594 1,394	545 1,552	33.6% 58.4%	-8.2% 11.3%	186 403	274 494	308 626	65.6% 55.3%	12.4% 26.7%	
	Wolfson School of MEME	Wolfson School of MEME	686	956	617	-10.1%	-35.5%	463	667	467	0.9%	-30.0%	
	School of Science	Chemistry		209	218	155	-25.8%	-28.9%	180	175	120	-33.3%	-31.4%
		Computer Science		256	495	714	178.9%	44.2%	143	318	476	232.9%	49.7%
		Mathematics		90	60	40	-55.6%	-33.3%	54	32	18	-66.7%	-43.8%
		Physics		32	37	16	-50.0%	-56.8%	20	26	11	-45.0%	-57.7%
	School of Social Sciences and Humanities	Communication and Media		1,004	1,188	617	-38.5%	-48.1%	761	907	490	-35.6%	-46.0%
		Geography and Environment		380	285	121	-68.2%	-57.5%	317	247	96	-69.7%	-61.1%
		Humanities		14		3			9		3	-66.7%	
		Politics and International S...		11	23	21	90.9%	-8.7%	5	17	14	180.0%	-17.6%
	School of Sport, Exercis...	Sport, Exercise and Health ...	20	15	14	-30.0%	-6.7%	11	12	10	-9.1%	-16.7%	
		Sport, Exercise and Health ...	942	1,271	1,184	25.7%	-6.8%	546	753	676	23.8%	-10.2%	
		Total	13,340	15,420	11,043	-17.2%	-28.4%	9,400	10,822	7,463	-20.6%	-31.0%	
	London	Loughborough University, London	Institute for Design Innova...	676	995	984	45.6%	-1.1%	580	860	870	50.0%	1.2%
		Institute for Digital Techno...	1,820	2,553	1,735	-4.7%	-32.0%	1,441	2,040	1,471	2.1%	-27.9%	
		Institute for Diplomacy and...	418	298	174	-58.4%	-41.6%	292	201	137	-53.1%	-31.8%	
		Institute for Innovation an...	1,560	1,146	506	-67.6%	-55.8%	1,230	899	407	-66.9%	-54.7%	
		Institute for International ..	1,399	1,456	795	-43.2%	-45.4%	803	849	530	-34.0%	-37.6%	
		Institute for Media and Cre...	917	755	420	-54.2%	-44.4%	679	615	340	-49.9%	-44.7%	
		Institute for Sport Business	396	464	443	11.9%	-4.5%	310	340	359	15.8%	5.6%	
	Total	7,186	7,667	5,057	-29.6%	-34.0%	5,335	5,804	4,114	-22.9%	-29.1%		
Grand Total			20,526	23,087	16,100	-21.6%	-30.3%	14,735	16,626	11,577	-21.4%	-30.4%	

# Council



Loughborough  
University

**Paper Title:** Office for Students Regulatory Compliance

**Origin:** Chief Operating Officer

**Date:** June 2021

1. Decision Required by Committee	Council is asked to <b>NOTE</b> this paper which assesses and gives assurance on the University's compliance with the Office for Students (OfS) registration conditions.
2. Executive Summary	<p>The OfS Group meeting, chaired by the Chief Operating Officer, met on 24 May 2021. The group concluded that the risk of breaching any of the OfS registration conditions remains low and wishes to assure Council that all guidance issued by the OfS is regularly reviewed to ensure we are meeting their expectations. Council's attention is brought specifically to the following issues:</p> <ul style="list-style-type: none"><li>• Under condition A1 the University has submitted its annual monitoring report to OfS (appears as a separate item on the Council agenda)</li><li>• Under condition C1, the University is working on a series of communications to comply with the OfS requirement to contact all students before the 10 June to outline the teaching arrangements for the academic year 2021/22.</li><li>• A new condition (C4: Student protection directions) has been introduced. In the OfS words, "the purpose of the new condition is to ensure that we can intervene rapidly and in a targeted way to protect the interests of students where a provider is at material risk of market exit. The condition would therefore only be used in the exceptional circumstances of a potential market exit and we would not expect to need to make use of it for most registered providers." It is highly unlikely that any action will be invoked against Loughborough University under this condition.</li><li>• Council will be asked to approve an acting Vice-Chancellor appointment at its meeting in July. Following this meeting, the relevant information will be reported to OfS as required under Conditions E3 and E4.</li><li>• In relation to conditions F3 and F4, we received a reminder from OfS in March detailing new/amended data requirements. All requests are routine and relevant staff have been informed and have provided assurance that processes are in place to comply.</li><li>• There have been no changes to any other conditions.</li></ul> <p>We hope that this update gives assurance to Council that there is minimal risk of the University breaching any of its conditions of registration.</p> <p>In addition to the specific registration conditions, we would like to draw Council's attention to the following issues:</p> <ul style="list-style-type: none"><li>• The OfS has issued a statement of expectation linked to sexual misconduct and harassment policies. This statement does not currently constitute regulatory powers in this area but may do so in the future. The statement provides a set of consistent recommendations to support higher education providers in England develop and implement effective systems, policies and processes to prevent and respond to incidents of harassment and sexual misconduct. Work is underway to assess the University's alignment to these recommendations and identify additional work that may be needed. A full</li></ul>

	<p>report will be received by Council, via Human Resources Committee at a future date.</p> <ul style="list-style-type: none"><li>• The University has a freedom of speech duty established through our Royal Charter, Statutes and Ordinances. We also have to comply with current legislative requirements around freedom of speech and balance these against our "Prevent" duties. A new bill – the Higher Education (Freedom of Speech) Bill – has been published and is making its way through Parliament. Whilst it is a long way off being passed, it is worth noting that, if passed, the bill will give OfS regulatory powers (likely a registration condition) linked to freedom of speech. The University will continue to monitor the progress of the bill and comply with any new legislative requirements.</li></ul>
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Condition	Responsible	Progress to date	Risk	Assurance/governance	Next key deadline	OFS Regulatory advice	Compliant	Updated for meeting
A1 Must have an Access & Participation Plan	Head of Student Recruitment, Marketing and Admissions	5 Year APP accepted	Moderate: Like a number of other HEIs, we have an enhanced monitoring notification - OFS have reduced reporting requirements on enhanced monitoring conditions. As part of the annual monitoring return process OFS have sought feedback from providers and students about the impact the pandemic is having on the delivery of access and participation plans. This will enable the OFS to gather sector-wide evidence to inform their overall approach to access and participation plan monitoring and regulatory decisions.	Progress is being closely monitored by the A&P Sub-Committee and reporting requirements will be signed off by this Sub-Committee. Budget has been ringfenced to fund new activity that the A&PSC thinks is needed to meet targets.  5 Year APP rolled forward to year 2 with no changes/amendments required.  Monitoring return (relating to 2019-20 APP and associated activity) including a student submission submitted in April 2021.	Apr-21	<a href="https://www.officeforstudents.org.uk/publications/regulatory-notice-1-access-and-participation-plan-guidance/">https://www.officeforstudents.org.uk/publications/regulatory-notice-1-access-and-participation-plan-guidance/</a>	Y	Y
B1 The provider must deliver well designed courses that provide a high quality academic experience for all students and enable a student's achievement to be reliably assessed.	PVC(T)/Academic Registry	The OFS will undertake routine monitoring in order to judge whether providers deliver this condition.	Low: HEIs are not issued with their own data or risk profile. Internal analysis against their baseline indicates we meet or exceed benchmark.	Council received assurance from LTC in Nov 2020 about the University's arrangements for continuous improvement of the student academic experience. In making any necessary actions to secure the academic standards of our awards and to maintain high quality teaching and learning during the Covid-19 pandemic, LTC has ensured compliance with guidance from the Office for Students and the QAA.		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>	Y	N
B2 Must support students to successfully complete and benefit from high quality academic experience	PVC(T)/Academic Registry	The OFS will undertake routine monitoring in order to judge whether providers deliver this condition.	Low: HEIs are not issued with their own data or risk profile. Internal analysis against their baseline indicates we meet or exceed benchmark.	Council received assurance from LTC in Nov 2020 about the University's arrangements for continuous improvement of the student academic experience. In making any necessary actions to secure the academic standards of our awards and to maintain high quality teaching and learning during the Covid-19 pandemic, LTC has ensured compliance with guidance from the Office for Students and the QAA.		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>	Y	N
B3 Must deliver successful outcomes for its students and these are recognised and valued by employers and/or enable further study	PVC(T)/Academic Registry	The OFS will undertake routine monitoring in order to judge whether providers deliver this condition. OFS to consult on changes to condition B3 (student outcomes) to raise the bar for all providers and address poor quality at subject level.	Low: Unknown impact of Graduate Outcomes Survey.	Council received assurance from LTC in Nov 2020 about the University's arrangements for continuous improvement of the student academic experience. In making any necessary actions to secure the academic standards of our awards and to maintain high quality teaching and learning during the Covid-19 pandemic, LTC has ensured compliance with guidance from the Office for Students and the QAA.		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>	Y	N
B4 Ensure value of qualifications in line with sector standards	PVC(T)/Academic Registry	Sector response to OFS attention on grade inflation is a requirement to publish a Degree Outcomes Statement - work is being led by PVC.T.	Low: OFS annually review degree classification and investigate where trends need explaining. LU has not been close to the threshold for investigation. OFS may undertake random audits which are significant pieces of work.	Degree outcomes statement was approved by Senate and Council, and published before the end of the 2019/20 academic year. At the end of the 2019/20 academic year the University operated a University Board for the first time. It confirmed that students were not disadvantaged in respect of their degree outcomes and ensured that everyone was treated fairly given the changes to teaching, learning and assessment due to the impact of the pandemic. It confirmed that every students' marks had been carefully scrutinised through a series of processes and reviewed multiple times and that they were in line with sector standards.		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>	Y	N
B5 Deliver courses that match academic standards at Level 4 or higher	PVC(T)/Academic Registry	No submission is required for registration.	NO RISK	<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-quality-and-standards-during-coronavirus-pandemic/</a>	Y	N

Condition	Responsible	Progress to date	Risk	Assurance/governance	Next key deadline	OFS Regulatory advice	Compliant	Updated for meeting
B6 Must participate in TEF	PVC(T)	Currently hold TEF Gold award. OFS will develop a new framework for the TEF during 2020 which will include arrangements for subject level TEF.	Low: we perform well on the metrics that contribute to the initial hypothesis. The PVCT has closely managed the process. There is some burden around requirements but we are on track.	Confirmation received on 21 January 2021 that Subject Level TEF is no longer going ahead, following publication of Independent Review led by Shirley Pearce. OFS to consult on revised Provider-level TEF with a view to assessments completed and published by September 2022. PVCT manages this process via Learning and Teaching Committee.	TBC		Y	N
C1 Must be able to demonstrate in developing policies and procedures for relationships with students that comply with consumer law	Academic Registry	Successfully submitted required self-assessment document during initial registration. Various additional guidance documents have been issued by OfS, mainly in relation to changes to taught provision linked to the pandemic. The University has complied with all instructions and emailed all students frequently and also published communications on its student FAQ website.	Moderate: Whilst we make best efforts to keep student informed of potential changes to their programmes and to deliver a high quality experience, government restrictions present considerable challenges and case law is still developing.	The University is working on a series of communications to comply with the OFS requirement to contact all students before the 10 June to outline the teaching arrangements for the academic year 2021/22.		<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/</a>	Y	Y
C2 Must cooperate with student complaints scheme run by Office of the Independent Adjudicator for Higher Education	Academic Registry	We cooperate fully with the student complaints scheme run by Office of the Independent Adjudicator for Higher Education	Low			<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/</a>	Y	N
C3 Must have a student protection plan (SPP)	Academic Registry	OFS have consulted on changes to student protection directions, which will enable it to take immediate action where it judges that a provider is reasonably likely to exit the market. This will include a requirement to publish a market exit plan or student protection measures. We have responded positively to the proposed changes.	Low: Our SPP has been accepted by OFS. Our implementation in relation to closure of Drama programmes has been positively commented on by OFS.			<a href="https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/">https://www.officeforstudents.org.uk/publications/guidance-for-providers-about-student-and-consumer-protection-during-the-pandemic/</a>	Y	N
C4 Student protection directions	Academic Registrar	Comes into force 1 April 2021.	Low: only comes into force where there is material risk that a registered provider may cease the provision of higher education.	Letter to Vice-Chancellor from the OFS Director of Regulation dated 31 March 2021 states "The purpose of the new condition is to ensure that we can intervene rapidly and in a targeted way to protect the interests of students where a provider is at material risk of market exit. The condition would therefore <b>only be used in the exceptional circumstances</b> of a potential market exit and we <b>would not expect to need to make use of it for most registered providers.</b> "	N/A	<a href="#">Regulatory notice 6: Condition C4: Student protection directions - Office for Students</a>	Y	Y

Condition	Responsible	Progress to date	Risk	Assurance/governance	Next key deadline	OFS Regulatory advice	Compliant	Updated for meeting
D1 Must be financially viable and sustainable	Finance	Finance return, accounts and forecasts plus annual assurance submitted in Dec 2020	Medium: Our submission to OFS in Dec 2020 reflected a strong cash position built on modest growth assumptions; Including significant contingency on International student recruitment for the next 5 years. Our key financial indicators, measured at that time, indicated a low risk to the University's financial sustainability. We believe that cost control and cash conservation measures implemented in response to Covid-19 will ensure continued compliance with the OFS liquidity threshold and our banking covenants. However given the potential error bar on these assessments, due to significant uncertainty as to the depth and duration of Covid-19 disruption, we have moved our risk assessment to medium, commensurate with the proposed change to the overall Council key performance indicator (green to amber).	<p>Operations Committee, Finance Committee and Council approve the financial return, accounts and forecast.</p> <p>In a usual cycle, the updated five-year forecast would be presented to Finance Committee and Council in Jun/Jul in order that the following years budget can be approved. The five-year forecast is then re-visited post student intake to ensure there are no significant changes before submission to OFS in December. In the wake of Covid-19, we were also required to submit an Interim financial data collection in October 2020.</p> <p>We successfully submitted both the Interim Financial return and the full five-year forecast in October and December 2020, respectively.</p> <p>In response to Covid-19, OFS also implemented an additional reporting requirement on liquidity; providers need to report to the OFS if it considers it to be reasonably likely that its liquidity will drop below 30 days at any point during a rolling three month period from the date of the report to the OFS. We keep this under review but at present, and in our future forecasts, our liquidity days based on the prescribed methodology is significantly above this, at 70 days+</p>		<a href="https://www.officeforstudents.org.uk/publications/regulatory-advice-9-accounts-direction-accounting-periods-beginning-on-or-after-1-august-2019/https://www.officeforstudents.org.uk/media/f17fe4d8-e0ed-4efc-b735-2bffd23b0a6d/regulatory-advice-14.pdf">https://www.officeforstudents.org.uk/publications/regulatory-advice-9-accounts-direction-accounting-periods-beginning-on-or-after-1-august-2019/https://www.officeforstudents.org.uk/media/f17fe4d8-e0ed-4efc-b735-2bffd23b0a6d/regulatory-advice-14.pdf</a>	Y	N
E1 Public interest governance	Academic Registry	Successfully submitted required statement during initial registration. No further submission required until further notice from OfS.	Low:			N/A	Y	N
E2 Management and governance	Academic Registry	Successfully submitted required statement during initial registration. No further submission required until further notice from OfS.	Low:			N/A	Y	N
E3 Accountability	Secretary to Council/Director of Finance	VC is the accountable officer and receives all notifications from OfS. These are forwarded to appropriate staff in the University to respond to.	Low: COO chairs a group overseeing compliance with OFS registration requirements. All communications are reviewed by VC and Director of Planning to ensure deadlines are met.	COO chairs a group overseeing compliance with OFS registration requirements. Any reportable events or breaches of conditions will be reported to Council.		<a href="https://www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/">https://www.officeforstudents.org.uk/publications/regulatory-advice-10-accountable-officers-guidance-for-providers-on-the-responsibilities-of-accountable-officers/</a>	Y	N
E4 Inform OfS of changes which affect the accuracy of the register	Council	Academic Registrar is responsible for reportable events and processes are in place to check accuracy of the register.				Regulatory advice published October 2019.	Y	N
E5 Facilitate electoral registration	Academic Registry		OFS may undertake random audits	No annual reporting required.		<a href="https://www.officeforstudents.org.uk/publications/regulatory-advice-11-guidance-for-providers-about-facilitating-electoral-registration/">https://www.officeforstudents.org.uk/publications/regulatory-advice-11-guidance-for-providers-about-facilitating-electoral-registration/</a>	Y	N
F1 Must comply with the transparency condition	Marketing & Advancement	Initial return submitted by August 2019 deadline. Reduced requirements in 2019-20 and 2020-21 due to COVID-19.	Low: requirement is to publish.	Submission deadlines monitored by COO group overseeing compliance with OFS registration requirements. In a 6 month period the Transparency return has had 46 page views (29 unique views) - the majority of these are internal. Average time on page was 3m19s.	Jun-21	<a href="https://www.officeforstudents.org.uk/publications/regulatory-advice-8-guidance-for-providers-about-condition-of-registration-f1-transparency-information/">https://www.officeforstudents.org.uk/publications/regulatory-advice-8-guidance-for-providers-about-condition-of-registration-f1-transparency-information/</a>	Y	N

Condition	Responsible	Progress to date	Risk	Assurance/governance	Next key deadline	OFS Regulatory advice	Compliant	Updated for meeting
F3 Provide OFS with information requested and cooperate in any verification/investigation	Various	We have complied with all requests for information.	Low: all requests for information are sent to the VC who forwards them to Director of Planning to action and monitor.	Submission deadlines monitored by COO group overseeing compliance with OFS registration requirements, delegated to Director of Planning.  Latest reminder received from OFS in March detailing new/amended data requirements. All requests are routine and relevant staff have been informed and have provided assurance that processes are in place to comply.		<a href="https://www.officeforstudents.org.uk/publications/annual-fee-information-collection-guidance/">https://www.officeforstudents.org.uk/publications/annual-fee-information-collection-guidance/</a>	Y	Y
F4 Provide information to HESA	Various	We have complied with all requests for information.	Low: Statutory returns are tightly managed at LU. Processes have been put in place to prevent repeat occurrence of HESA staff return deadline being missed. This mitigates risk.	All statutory returns are independently reviewed within the University. VC signs off all statutory returns following a briefing from relevant staff members. Internal audit regularly focus on statutory returns. Audit Committee receives an annual report on statutory returns.  Latest reminder received from OFS in March detailing new/amended data requirements. All requests are routine and relevant staff have been informed and have provided assurance that processes are in place to comply.		NOTE: Notice received from OFS detailing the suspension of data returns as a result of the pandemic, data returns now due in Autumn	Y	Y
G1 Charge fees to the cap permitted	PVC(T)	We charge regulated fee to the cap permitted by our registration category - currently £9250.	Low: We charge regulated fee to the cap permitted by our registration category - currently £9250.	Council approves fees on recommendation of Tuition Fee Sub-Committee and Operations Committee.		N/A	Y	N
G2 Comply with terms and conditions attached to funding from OFS or UKRI	Planning/Finance	We have complied with all requests for information.	Low: all requests for information are sent to the VC who forwards them to Director of Planning to action and monitor.	Submission deadlines monitored by COO group overseeing compliance with OFS registration requirements, delegated to Director of Planning.		N/A	Y	N
G3 Must pay annual registration fees	Director of Planning	We have paid all fees due by the deadline.	Low: We have paid all fees due by the deadline.	Payment deadlines monitored by COO group overseeing compliance with OFS registration requirements, delegated to Director of Planning.		N/A	Y	N
Z3 Temporary provision for sector stability and integrity	Head of Student Recruitment, Marketing and Admissions	The condition applies from 3 July 2020 to 30 September 2021	Low	Immaterial impact for LU as this is for mainly unconditional offers. <b>Extended to cover 2021 entry.</b>		N/A	Y	N



# SENATE



**Paper Title:** Sustainability Annual Report 2019/20

**Origin:** Jo Shields, Associate Head of Sustainability

**Date:** 27<sup>th</sup> May 2021

1. Decision Required by Committee	To RECEIVE paper.
2. Executive Summary	<p>This document is the Sustainability Annual Report providing an update on LU's performance over the last year and covers:</p> <ul style="list-style-type: none"><li>• Governance, Climate &amp; Environment Task Group and Sustainable Development Goals</li><li>• A snapshot of progress against objectives in the Sustainability Action Plan</li><li>• Environmental Management and Compliance</li><li>• Waste and Recycling figures</li><li>• Energy Management figures</li><li>• Sustainable Travel figures</li><li>• Biodiversity</li><li>• Sustainability Leadership Scorecard results</li></ul>
3. Committees/Groups previously considering item.	Sustainability and Social Responsibility Sub Committee Health, Safety & Environment Committee



## Executive Summary

The University takes its responsibility for the environment seriously, and understands the need to respond to the challenges we face globally around issues such as climate change, human wellbeing, food, water and energy security. For the purpose of implementing its *Building Excellence* Strategy, the University defines Sustainability as:

“Action by the University, and its staff and students that considers environmental impact from a social, economic and environmental perspective following the principles of inclusivity, integrity, stewardship and transparency, “embedding sustainability into all our activities, operations and processes”.

The pandemic has created a number of challenges for the University and is a sobering reminder of how vulnerable our societies are to threats beyond our control, and of the importance of addressing those risks we can mitigate – such as the climate crisis. The period characterised by Covid19 has provided some opportunities and potential for consideration of environmental benefits and risk management as the institution reviews its strategy and future objectives. Post lockdown, countries could revert to the unequal, unsustainable high-carbon economies of before, or they could shift to more inclusive, resilient and low-carbon development paths for the future. This geo-strategic context is relevant to the work already being done in space saving, IT and flexible working strategies across the two campuses as the University ‘builds back better’.

This report provides an update on LU’s performance over the last year and covers:

- 1.0 Governance, Climate & Environment Task Group and Sustainable Development Goals
- 2.0 A snapshot of progress against objectives in the Sustainability Action Plan
- 3.0 Environmental Management and Compliance
- 4.0 Waste and Recycling figures
- 5.0 Energy Management figures
- 6.0 Sustainable Travel figures
- 7.0 Biodiversity
- 8.0 Sustainability Leadership Scorecard results

## Headline results include:

- **Launch of an Energy Strategy committing to net zero greenhouse gas emissions by 2050**
- **Submission of first United Nations Sustainable Development Goals report**
- **Improved scores in the Sustainability Leadership Scorecard**
- **37% reduction in absolute carbon emissions against the baseline set in 2010/11**
- **Launch of a new Waste Management Strategy**
- **Increase in recycling to 78% with less than 5% of waste going to landfill**
- **Launch of public facing [website](#) on the LU climate and ecological response**

## Origin

Sustainability and Social Responsibility Sub Committee (SSRSC)

### Strategic objective met

The University is committed to acting in a socially responsible way that maximises its positive impact and minimises its negative impact on society and the communities in which it is based. This is reflected in the University's current strategy 'Building Excellence' which states that, "**we will embed sustainability and social responsibility considerations into all of our processes, operations and developments**" and also "**will work closely with local partners to enhance the social, cultural and economic wellbeing of the communities and regions in which we reside**".

This also underpins element three identified in the Higher Education Code of Governance Committee of University Chairs report which states the University;

- **3.3 "must rigorously assess all aspects of the institutions sustainability in the broadest sense, using an appropriate range of mechanisms which include relevant key performance indicators not just for financial sustainability of the institution but also for its impact on the environment."**

and

- **3.4 "In ensuring sustainability, the governing body must be in a position to explain the processes and the types of evidence used and provide any assurances required by funders. Where such assessments indicate serious issues which could affect future sustainability, the governing body must undertake appropriate remedial action."**

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## 1. Governance and Strategy

Led by the SSRSC and chaired by the Chief Operating Officer the committee reports into the Health, Safety and Environment Committee ultimately reporting through to Council.

The Sustainability [action plan](#) provides a set of strategic principles, congruent with the 'Building Excellence' theme in the overarching University Strategy and a rationalised and agreed set of Key Performance Indicators (KPIs) for sustainability. This existing plan will be reviewed later this year as part of the work undertaken by the Climate and Environment Task Group (CETG) to provide identify key elements in the sustainability framework that will be needed to align with the new University Strategy that identifies Sustainability as a key principle. The new University Strategy is due to be published later this year. The CETG continues to plan and articulate the University's response to global climate and ecological change and presented a set of key actions to Senate in June 2020 which they endorsed and are detailed below.

- 1.1 Develop a set of KPIs that can be integrated into the project management process and annual planning cycles, for the following:
  - a. % contribution from any project to be counted against the net zero greenhouse gas emissions target for 2050
  - b. % spend on enhancing and improving the green natural asset year on year
  - c. % funding for sustainable and climate related research
  - d. Evidence learning related to Climate & Environment for all students
- 1.2 Undertake a quantitative analysis of climate risks faced by the University. These include drought and water restrictions, impacts on key infrastructure and facilities, teaching, student experience, business continuity and supply chains. Primary concerns are likely to be flood, health and

biodiversity impacts on both campuses, along with some international dimensions such as student travel and supply chain.

- 1.3 Establish key priorities to inform the next University Strategy and produce an action plan framework aligned with it.
- 1.4 Align targets, KPI's and University activity with the UN Sustainable Development Goals in support of the sector Accord and UN Sports for climate framework.
- 1.5 Prioritise climate and environment work for internal research and enterprise funding (including PhD studentships) to ensure we meet our commitments in line with the Accord and more widely promote our climate and environment activities.
- 1.6 Identify, assess and implement new technology and aligned with our own research as well as future requirements for a low carbon estate (e.g. boiler replacement and renewables as the main campus moves towards low thermal demand infrastructure).
- 1.7 Undertake a programme of training for staff and students affiliated to the [Carbon Literacy Project](#) based on the premise that if we are to achieve net zero, then we will need to change behaviours as well as technology.
- 1.8 Review external sustainability indices that include environment and climate and identify those which align with LU priorities. Pro-actively engage with those chosen.
- 1.9 Make the Global Citizenship framework (or similar) element of 'Personal Best' compulsory for all participating students.
- 1.10 Work with other universities to develop a sector wide strategy/options appraisal for off-setting scope 3 emissions (waste, water consumption, staff/student commuting, business travel and procurement).

## 1.2 United Nations Sustainable Development Goals (SDGs) Accord and Report

LU signed the SDG Accord in the Autumn of 2019 supporting the critical role that education has in delivering the [SDGs](#) and the value they bring to governments, business and wider society. The Accord is a commitment learning institutions are making to one another to do more to deliver the goals, to annually report on each signatory's progress, and to do so in ways which share the learning with each other both nationally and internationally. Results are submitted annually to the UN High Level Political Forum. A copy of the first LU SDG report can be found [here](#).

The aim of the goals is to free humanity from poverty, secure a healthy planet for future generations, and build peaceful, inclusive societies as a foundation for ensuring lives of dignity for all. Much of LU research and enterprise activity already align with these goals. We are in a strong position operationally to evidence alignment and continue work to improve awareness of the goals.

The SDGs LU has had the highest impact on in the last 12 months are:



## 2. Sustainability [Action Plan](#)

This outlines how we will deliver this aspect of the 'Building Excellence' strategy, linking with the four themes, and connecting all areas (i.e. Teaching, Research, Enterprise and Operations). Snap-shot examples of progress against aims and objectives can be seen below.

### 2.1 Teaching



Work continues to promote the campus as a “living laboratory” with a number of examples of using the campus for students to learn and research. Examples include the Holywell Research Forest, Fruit Routes Project, water course and pond surveying work, phone apps and design school projects, transport collision research group and travel planning support as well as the Forest School.

- 2.1.1 Estates and Facilities Management (E&FM) colleagues continue to work with the School of Architecture Building and Civil Engineering (ABCE) aligning with the objectives in the Sustainability Action Plan, ‘to develop our students as individuals, enhancing their capabilities as creative, confident citizens’ and ensure we provide a ‘high quality student experience’ from the intake forwards. The approach ABCE has taken continues to be a great success with clear benefits to student learning, engagement and attendance.

The Sustainable Development Project element continues to run with E&FM colleagues participating in the programme and student projects being considered as part of the wider University Estates Strategy. This provides students with the type of experience they will have in industry. Specifically, students have been given the library extension and the new LSU project as case studies as well as opportunities to select parts of the campus to improve. The projects are provided by E&FM colleagues and relate to live issues/challenges and opportunities.

- 2.1.2 The School of Geography and Environment use the campus for teaching Geography fieldwork. Examples include the first year field trip compulsory for all geography students using the campus for field activities e.g. mapping, micrometeorology work (normally off-site, but brought on campus for 20/21). River Ecology in its second year uses the brooks alongside the campus perimeter for field data collection and this data is fed back into the campus Biodiversity Action Plan. Forest Ecology in its second year and uses Burleigh Woods and the ‘Loughborough University Research Forest’ for fieldwork regularly during the spring and summer terms each year. This year the forest and the pond near Martin Hall will be used for fieldwork to replace the residential field courses that normally run in second and final year.

Data from the meteorological station continues to be used to underpin a lot of teaching at all UG levels and PGT. Two new MSc programmes have been introduced in the school. MSc Climate Change Politics and Policy and MSc Climate Change Science and Management.

- 2.1.3 School of Sport Exercise and Health Science have been able to support the aim; “To enhance the student experience through informal learning using the biodiverse and exceptionally green campus as a platform to foster sustainable and healthy lifestyles alongside learning” through their Strength and Conditioning (S&C) coaching placements with some students who lead (‘non-performance’) AU team S&C support and there are examples of them using the green spaces

on campus to deliver sessions. Also examples of students who are on placements with the S&C coaches employed by Sports Development Centre. Some of these sessions take place outside and contribute to credit bearing assessment on the Professional Practice module.

## 2.2 Research & Enterprise Projects



2.2.1 Modern Energy Cooking Services ([MECS](#)) is a five-year programme funded by UK Aid (FCDO Foreign Commonwealth & Development Office). By integrating modern energy cooking services into the planning for electricity access, quality, reliability and sustainability, MECS hopes to leverage investment in renewable energies (both grid and off-grid) to address the clean cooking challenge. MECS is implementing a strategy focused on including the cooking needs of households into the investment and action on 'access to affordable, reliable, sustainable modern energy for all'.

The five-year programme combines creating a stronger evidence base for transitions to modern energy cooking services in DFID priority countries with socio-economic technological innovations that will drive the transition forward. It is managed as an integrated whole, however, the programme is contracted via two complementary workstream arrangements as follows:

- An Accountable Grant with Loughborough University (LU) as leader of the UK University Partnership;
- An amendment to the existing Administrative Arrangement underlying DFID's contribution to the Energy Sector Management Assistance Programme Trust Fund managed by the World Bank.

2.2.2 The Climate Compatible Growth (CCG) consortium – led by Prof Mark Howells, comprising Loughborough, Oxford, Cambridge, UCL, Imperial College and the Open University – is delivering the UK Government's £35M CCG programme (2021-2025). CCG is a UK-Official Development Assistance funded research programme helping developing countries take a path of low carbon development whilst simultaneously unlocking profitable investment in green infrastructure, opening up new markets and supporting delivery of the United Nations Sustainable Development Goals (SDG).

2.2.3 SolPV - £496K, Engineering and Physical Sciences Research Council - A key area of expansion in the field of solar conversion to electrical energy, known as photovoltaic (PV), is the integration in building and infrastructure in highly urbanised environments. For instance, the size of the building-integrated PV industry is reaching over \$2Bn in the US alone. SolPV aims at taking the performance of solution-processed solar cell devices to power conversion efficiencies above 15% using scalable manufacturing routes and Cd-free architectures.

2.2.4 In an age where chemical, biological, radioactive or nuclear (CBRN) emergencies, both accidental and deliberate, pose a real threat to society, we are creating new integrated systems and technologies to aid first responders and save lives.

Our multi-million pound [TOXI-Triage](#) project, which brings together experts from across Europe, is creating novel ways to give effective and diagnostically sound medical and toxic assessments to the casualties of a CBRN event amid the confusion, disorder, and dangers it would bring.

<https://www.emc-dnl.co.uk/news/2020/10/28/east-midlands-development-corporation-launch/>

2.2.5 We are also actively working with regional partners to develop a net zero research centre on the site at Ratcliffe-on-Soar. Transforming the UK’s last coal-field power station into ZERO, a global research centre that will develop real-world low-emission technologies, which open up new business markets and help the UK hit its climate change targets.

### 2.3 Loughborough University Science and Enterprise Park (LUSEP)

2.3.1 The Science & Enterprise park continues to prosper with a growing cluster of businesses with interests in energy and sustainability. The striking new global HQ for ‘The Access Group’ was recently opened on the park. Leicestershire County Council has invested in the new office space on [LUSEP](#) in an innovative move which will see revenue generated of £1.6m a year to support vital front-line county council services. It is believed to be the largest, single-occupier office deal in the county this century.

### 3.0 Environmental Management and Compliance

Our environmental performance is managed through the ISO 14001 2015 accreditation, which is an externally verified environmental management system. The 2020 external audit report confirmed the general management of the system provides the required level of control. The organisation’s context is well defined, leadership has been effectively demonstrated and commitment levels are evident.

This is reflected in the levels of compliance with requirements and operational control evident at the organisation which are appropriate to the risks and opportunities identified. There is good availability of documented information to demonstrate that the system is well implemented and well understood throughout the organisation. This audit involved a review of system administration activities, a review and sample of site activities at Loughborough, as well as review of job related records. Evidence was clearly available to demonstrate that the key policy commitments are being adhered to.

Continuation of certification was recommended with no findings identified relating to non-conformance or opportunity for improvement.



### 4.0 Waste and Recycling



Data for waste was severely impacted upon by COVID-19, so the following data varies considerably from previous years. Engagement was limited during the year with only one building specific campaign completed before lockdown struck. Work continues with Procurement to attempt to address waste at source. We are also continuing our roll out of the segregation of food waste into academic areas. A new [Waste Strategy](#) was also launched in 2020.



	2009/10	2018/19	2019/20
<b>Total Waste</b>	1799 tonnes	1898 tonnes	1299 tonnes
<b>Total Recycled</b>	28.53%	76.8%	77.96% (incl 20.85% food waste)

<b>Waste to Energy</b>	0%	18.0%	17.1%
<b>Landfill</b>	71%	5.2%	4.95%

Donations to British Heart Foundation continued in this period but unfortunately no data was available.

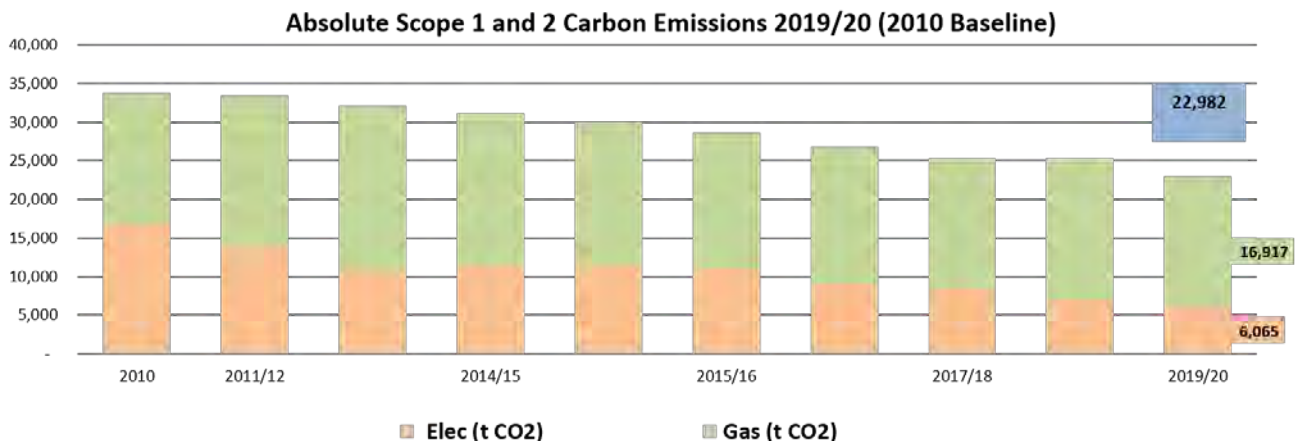
In February 2020 we launched our single use supplement, in the first three weeks of implementation we saw an increase in both customers drinking in (20% of sales) and those using a reuse cup (27% up from 10%). The sales of drinks in disposables reduced to 53% generating a fund for Environmental initiatives. The Single Use Supplement was suspended as a result of COVID-19 but will return in 2021 when it is safe to do so.

## 5.0 Carbon Management

 13 CLIMATE ACTION	 7 AFFORDABLE AND CLEAN ENERGY	The absolute emissions and emissions relative to student numbers for 2019/20 student numbers for the 2019/20 academic year have reduced by 37.2% compared to the baseline year
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	20010/11	2019/20
<b>Absolute Carbon Emissions</b>	33.820 tCO <sub>2</sub> e	22,982 tCO <sub>2</sub> e
<b>Emissions per FTE student</b>	2.10 tCO <sub>2</sub> e	1.32 tCO <sub>2</sub> e

*Note – The carbon emission data has been calculated using the latest Department for Business, Energy and Industrial Strategy (DBEIS) carbon emission factors for electricity and natural gas and reflect the increased decarbonisation of the national grid over recent years.*



The University Energy Strategy 2020-2050 was endorsed by Estates Management Committee (EMC) in November 2020. The purpose of the Energy Strategy is to set out a development framework covering a thirty-year period from 2020-2050 to provide a sustainable energy future for the University.

Key objectives of the strategy are to:

- Support the delivery of the Estates Strategy 2020-2040.
- Align with Government targets of achieving “net zero” greenhouse gas emission by 2050.
- Safeguard the University against escalating energy costs.



- Provide resilience and support business continuity.
- Support business development opportunities.

The Energy Strategy will be supported by a detailed delivery plan that sets out the road map to “net zero” greenhouse gas emissions by 2050.

## 5.1 Combined Heat and Power and carbon

The University has three Combined Heat and Power (CHP) Units:



- Central Park Energy Centre
- Holywell Park Energy Centre
- Claudia Parsons/ EAC Energy Centre

The CHP units continue to form an integral part of the University thermal and electrical infrastructure, providing 31% of the annual University electricity consumption and saving £1 million in energy cost in 2019/20.

The investment in CHP technology has historically produced both carbon and financial benefits for the University. The units continue to provide significant financial savings due the difference in the unit cost of electricity to gas. With the de-carbonisation of the national grid the carbon benefits associated with CHP operation have demised over the years as the electricity carbon emission factors approach parity with the gas carbon emission factors, as such CHP technology can no longer be considered a “low carbon” technology.

The CHP plant will continue to operate to support the University infrastructure until the units are life expired in around 10 years time, at which point the options for low carbon energy generation to support the University thermal and electrical infrastructure will be reviewed in line with the University Energy Strategy.



## 6.0 Sustainable Travel

 	<p>The pandemic has greatly impacted travel with less people travelling to, from and within Campus. As we begin to move back to campus the Travel Plan will need to be monitored and reviewed in light of new working patterns and travel behaviours.</p>
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Staff have still been accessing LU travel incentive schemes:

- 48 staff used the cycle to work scheme in the last 12 months
- 491 campus users are now signed up to the SmartGO Leicestershire travel discount scheme
- 31 new Electric or hybrid vehicles registered on the permitting system in the last 12 months
- 4 new charge points installed specifically for LU fleet vehicles

## 7.0 Biodiversity

	<p>In 2020 a new Gardens Strategy was produced. The University continues to monitor and manage the campus through the Biodiversity Action Plan, Woodland Management Plan and Loughborough Science &amp; Enterprise Park Ecological Management Plan.</p>
	<p>The University continues to maintain its accreditation to Green Flag status for the University campus. The scheme recognises and rewards well managed parks and green spaces, setting the benchmark standard for the management of recreational outdoor spaces across the United Kingdom and around the world.</p>
	<p>The University's Gardens team received exceptional feedback from the judges, with comments including <i>'the high standard of maintenance at the University grounds, including excellent herbaceous perennial beds designed by a member of the gardening staff, made the facility a pleasure to visit'</i> and <i>'the University takes environmental responsibility seriously with students encouraged to become conservation volunteers in woodland management and wildlife areas'</i>.</p>
	<p>The campus apiary continues to go from strength to strength and the bees produced 350lbs of Loughborough Gold Honey in 2020.</p>

## 8.0 Sustainability Leadership Scorecard (SLS)

The Sustainability Leadership Scorecard includes a direct link to the Estates Management Record data. It covers sustainability issues beyond the estates function and allows a coordinated whole-institution approach to sustainability providing reports that can be used to communicate the critical drivers within the institution set targets and monitor progress. There are numerous ways to manipulate the data and results link to the UN SDGs. The continued aim is to provide a useful management and developmental tool for reporting at a strategic level.

### Overall progress to date

**Improvement continues to be made across a number of areas with the overall score being retained as Silver.**

An institution overview can be seen in **Appendix 1**. Framework leaders through the completion of the index continue to learn how Sustainability and Social Responsibility might be embedded into their respective areas. Other areas of improvement have come from an increased understanding of applicability through discussion. The dashboard aligns with areas of weakness and opportunity in the Environmental Management System and reflects the findings from the SDG report submitted in 2020.

## Priority Area Scores

<b>Leadership &amp; Governance</b>	-	<b>Silver</b>
<b>Estates &amp; Operations</b>	-	<b>Gold</b>
<b>Partnership &amp; Engagement</b>	-	<b>Silver</b>
<b>Learning, Teaching &amp; Research</b>	-	<b>Bronze</b>

The framework areas where improvement has been seen in the last reporting cycle are:

- Health & Wellbeing
- Energy
- Climate Change Adaptation

The areas with little improvement or movement are currently:

- Student Engagement
- Learning & Teaching

The scorecard is meant to evidence the complex nature of sustainable development issues and promote discussion and analysis at a strategic level. More detailed reports can be provided for each priority area.

## Appendix 1

### Sustainability Leadership Scorecard: Institution Overview

The Sustainability Leadership Scorecard (SLS) provides the Higher and Further Education sector with a development framework that allows institutions to understand their current position with regards to issues of sustainable development and assist in developing routes for improvement.

The framework is designed to align with the wider challenges facing the sector, highlighting that sustainable development issues are a key part of the overall business strategy of an institution. The framework is intended to inform discussions around the role of sustainability within wider issues of reputation, student engagement and satisfaction, Excellence Framework performance and graduate attributes / outcomes.

Based on your institution's current SLS self-assessment, the overall performance for all frameworks is summarised in the figure to the right.

The SLS comprises 18 standard frameworks developed to address current and emerging sustainability themes important to the sector. Frameworks are grouped within four priority areas: Leadership and Governance; Partnerships and Engagement; Learning, Teaching and Research; and Estates and Operations. Each framework is made up of 8 activities and scoring is given at an activity level.

No overall score is generated as each institution had individual priorities that should not be reduced to one comparable number. Instead, the scorecard invites discussion and analysis by representing the complex nature of sustainable development issues. More detailed reports for each priority area are also available.





## COUNCIL

**Subject:** Common Seal  
**Origin:** Chief Operating Officer

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Council is asked to ratify the action of the Chief Operating Officer in affixing the University Seal to the following documents:

(From 26<sup>th</sup> November 2020)

Deed of Grant Agreement for SportPark	Between Loughborough University and Leicester City Council, on behalf of LEP x 2
Lease relating to ATIC Room 220/0/22, Loughborough University Science & Enterprise Park	Between Loughborough University and Incus Performance Ltd x 2
Lease relating to the Nursery at Loughborough Students; Union	Between Loughborough University and Loughborough Students' Union
Lease relating to The Contractors Yard at Holywell Park	Between Loughborough and Intelligent Energy Limited
Lease relating to Michael Pearson West, Oakwood Drive, Loughborough Park	Between Loughborough University and Cascaid Limited x 2
Bond Number 001894/1220/004358	Between the Contractor B & K Building Services Ltd, the Guarantor Zurich Insurance and the Employer Loughborough University
Parent Company Guarantee	Between Bowmer & Kirkland Ltd, B & K Building Services and Loughborough University x 2
Licence for topsoil on farmland temporarily during highway works.	Between Owner:Loughborough University, Licensor: John Robert Tolley

	of Hurst Farm and Morgan Sindall Construction & Infrastructure Ltd
Form of Collateral Warranty from Sub-Consultant	Between Price Myers LLP, LU & Gleeds Cost Management Ltd
JCT Contract for ECB Cricket Practice Hall	Between Loughborough University and Sport (UK) Ltd x 2
Grant Agreement 'Restocking the Business Base' – CBC to distribute grant from LLEP to University to run the course.	Loughborough University and Charnwood Borough Council

Richard Taylor

01 July 2021

## Enterprise Committee



### Minutes

#### EC21-M58

Minutes of the meeting held on Wednesday, 24th March 2021 at 10.00am, via Microsoft Teams

#### Attendance

**Present:**

Mark Bennett, Tracy Bhamra (Chair), Kathryn Burchell, Rebecca Cain, Claudia Eberlein, Terry Everett (Secretary), Jen Fensome, Andy Harland, Tarek Hassan, Donald Hirsch, Sophie Hyde, Mark King, Emanuele Maccotta, Aaron Smith, Anne Souchon, Adrian Spencer, Liz Stokoe

**In Attendance:**

Bob Allison, Paul Burrows, Graham Hitchen, Pete Hitchings, Roshna Mistry, Sarah Wheatley

**Apologies:**

Emanuele Maccotta, Jenna Townend

#### Business of the Agenda

No items were unstarred.

#### 1 Minutes

The Committee RECEIVED the minutes of the previous meeting.

#### EC20-M57

The minutes of the meeting held on Tuesday, 12<sup>th</sup> January 2021 were CONFIRMED.

#### 2 Matters arising from the Minutes

Gateway Policy: KB to circulate for approval once changes have been incorporated.

Partnership Framework/KEF Strategy/Income Generation all to be addressed in May meeting.

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## SECTION A – Items for Discussion

### 3.1 Updates

TB welcomed the VC to the meeting who opened by talking about Celebrating Loughborough University's relationship with China, a week of virtual events where participants will be joined by our

Chinese alumni who will lead a panel to share their experiences of studying at Loughborough University.

VC put into context the situation with TB moving to Royal Holloway and the interim support, from 1<sup>st</sup> May which will be divided between Claudia in a co-ordinating role and as Chair of EC and representative on Senate and Council, and once a successor is identified to BA then filling the post long term will be addressed. JF will undertake some responsibilities, along with Andy Dainty, Steve Rothberg, ADE's and others.

He finished by thanking TB for her professionalism and excellence achieved in her Enterprise role across campus, the Science and Enterprise Park, the Ratcliffe Power Station, the Research and Enterprise agenda as well as Student Enterprise, she would leave a significantly positive mark. TB's role at Royal Holloway was greatly deserved.

AH requested advice on who would be dealing with the terms of reference and the development of the Enterprise Strategy.

VC stated this question had 2 contexts:

1. Chair of Enterprise Committee and working with ADE's – Claudia Eberlein
2. Influencing LU Strategy – Claudia through ALT, Senate and Council

AS expressed concerns about emphasizing the importance of Enterprise in the wider context with staff and colleagues in the interim period.

VC two areas of influence.

1. Claudia / VC / Provost – CE main person for help/advice.
2. In the transition period before a new VC is appointed advice will be available and his successor will take the lead in appointing a new Enterprise lead. There is a process to adhere to and Ali/Alonso will take the lead in this process.

AS reiterated his concerns and the importance of Enterprise being addressed.

VC stated he would be very happy to share information in his April Newsletter about TB and the interim arrangements, and once his successor was identified information would be shared with that person.

### REO Update

A thank you was extended to MB, who will be leaving LU in April, for his work on the IP and Spin-Out Policies and governance IN relation to commercialization. The Head of Commercialisation post will not be advertised immediately as the requirements may be addressed and the emphasis of the post reviewed.

KB will act as line manager in the interim period.

### REF Impact

LS confirmed all case studies have now been collected and collated along with evidence, submission today/tomorrow. Thanks were extended to ADE's PDM's and everyone involved with writing and submitting the impact case studies, all of which tell compelling stories which will be reported into the Strategy going forwards.

Reflections thoughts and learning on evidence and expertise to be captured, not just in relation to REF but imbedding into the future Enterprise Strategy.

A special thank you was extended to Liz for her hard work and best wishes for her Industry Fellowship post.

TB suggested extending LS an invitation to give a post REF review at the May EC meeting.

LS suggested measurement may change but the outputs would remain the same and it was important to make the most of the learning. The Impact Tacker License ends in July and a new repository to collate data/leavers stories must be addressed.

MK has Impact Champions in the school and would be happy to get involved.

AS emphasised the importance of the Enterprise messaging and that REF lessons are learnt and a priority of having partners on board. This time should be a trigger to build momentum in how we work with partners.

DH asked about access to ICS.

**Post meeting note:** The plan is to launch all the new ICS as part of the new research website sometime in April. A specific date cannot be given as it is dependent on how quickly the new content for the remaining Beacons and Challenges can be finalized, it will definitely be after Easter.

### IP Update

MB provided an update see papers EC21-P121 and EC21-P122.

Project Highlights included an IUK grant of £300k to AACME – Darren Cadman. Zayndu secured £700k IUK loan and are sourcing match funding. Figura in first funding round, hoping to raise £180k of VC funding.

IP Assignment AACME – Rapid Powders. Carelight terms being finalised for commercialization. SSEHS collaboration with Joyan Cruff Institute to promote Sports Agent training courses.

AH asked about the Lachesis Fund allocation.

MB confirmed yet to be signed off and governance being addressed. Would not be available as an open call, the fund would be used for commercialisation projects for patents, market research and for funding spin-outs.

MK asked for a copy of the JCI Heads of Terms.

**ACTION MB**

### LUSEP Roundup

KB provided an update:

SportPark development – claims on track with LLEP, working with Malcom Cook on costs. Ongoing interactions with campus partners.

Revised Gateway Policy – Partners are both downsizing and growing, clusters engaging with professional service bodies. Actively engaging with service organisations. Information on engagements to be forwarded to KB.

**ACTION ALL**

REEEP Project – working with Gary Dimmock who is leading with LLEP in driving engagement with SME's. COVID has had an impact with regard to events but progressing with building the eco-system in the community.

Enterprise Zone – JF reported the Town Deal proposal has been submitted (a total of 49 applications). The government has not given any indication on when decisions will be made.

Development Corporation engagement critical – being managed by Andy Dainty, Dean ABCE.

Framework to be addressed in May, AS and AH working on the development, PDM's looking at data in conjunction with ADE's time needed to pull together and focus data.

**ACTION ALL**

SBE Engagement - looking at partnership data in conjunction with the framework to help with focus, together with REF partners.

### Student Enterprise



SH gave an update on LEN SAGE

#### LSU Activities:

Refreshers - 4 events across the 10 days.

Enterprise Meet and Greet from Enterprise Committee,

A Green Pea Kahoot game, Movie night with Green Pea, and CodeLabHackathon.

Overall, we had 83 students attend throughout our activities.

International Women's Week - 4000 students and engagement online, in collaboration with Women's Network 'Females in Enterprise'.

Student Group Committee Elections

Shark Tank with Hall Reps

Round 2 of Santander Initiate Fund (opens Friday 26 March).

#### Initiate Programme

A 7-week programme of Introductory Workshops, Open to all students, for general knowledge and overall learning. Repeated in Term 1 and Term 2.

#### Freelancer Programme Pilot

Jan – March 2021, open to SDCA students interested in Freelancing.

Launch event, 7- week online course, mentoring with Alumni & live Q&As News story feature in Alumni Newsletter, exploring options in SSEHS.

#### Evolve Programme

A 7-week intense programme of support – more developed ideas and existing student / grad start-ups

Real focus on Testing & Validation, Start-Up Fund / Studio readiness

Launching pilot in London.

Placement Year in Enterprise Applications.

Santander Initiate Fund - open to all students, to fund Market Research, Testing and Prototyping £5k awarded to 23 successful recipients.

Breakdown of individual school data to be circulated.

**ACTION SH**

LEN Pipeline Overview report of outcome at May meeting.

**ACTION SH**

TB Thanked SH for the information and excellent collation of data, saying it would be good to review how it has changed over time and become more accessible and the impact of COVID in the form of a reflection piece.

10:55 Graham Hitchen joined the meeting, an introduction would be prepared for May EC. **ACTION GH**

#### Enterprise Activities

AS gave a presentation on Enterprise activities over the last 6 months within AACME.

TB suggested that income categories plotted over 3 categories REO/R/E would offer a more accurate picture.

AH found the declining number and the trends interesting.

AS expressed concern over the friction and risks involved with engaging with external partners. Focussing on existing big organizations is easier than trying to grow seeds within smaller companies.

JF a lot of time and investment is involved with developing enterprising partnerships, and it has become less possible to explore avenues without consequences and effects on diversity of opportunities.

AS A diverse ecosystem engaging with companies starts on a basis of distrust, and it is impossible to

employ anyone for a 3-month contract. A difficult balance of risk assessment and level of authority.

Discussion on access to data collation and availability concluded information is available via PDM's through working on partnership frameworks.

### 3.2 EPG Applications

The last review with ADE's had taken place 5 years ago.

The process proposed was a 2 phased process:

1. Expression of Interest to ADE's for approval.
2. Full Proposal submission with support from the school.

This approach was not accepted.

TB Expression of Interest an internal School process with submission to stage 2 only with ADE support, giving ADEs opportunity to see only projects they supported would be put forward for funding, especially as the funds are limited.

11:45 GH left the meeting

Discussion concluded that the current design was adequate and the box for the ADE to articulate how the activity aligns with and supports specific School strategies and priorities should be used for ADE's opinion.

### 3.3 School Attribution of Funding for Consultancy

KB provided an update:

- Working with Paul Conway on feedback from Dean's for submission to ALT on 12 April.
- No personal payments to be drawn by professional services / research colleagues.
- 4<sup>th</sup> Option needs adding in – details to be circulated post meeting **ACTION KB**

AH asked about the availability of ALT minutes.

CE explained the remit of ALT – does not make decisions, papers are to inform Deans and Snr Managers.

TB ALT have input but final decision is with EC.

11:58 DH, TH & SH left the meeting.

### 3.4 Freeport

JF gave an update:

- A clearly defined site.
- Will enhance trade and investment.
- Will boost growth and high-skilled jobs and increase innovation and productivity.
- It is hoped freeports will attract investment to areas where they are created, owing to the incentives and tax breaks, which will lead to regeneration and job creation.
- Led by Leicester and Nottingham LLEP
  - EM Airport
  - Toyota site
  - Ratcliffe on Soar Power Station
- 1 of 8 successful Expressions of Interest at this stage, with full mapping of capabilities.
- Full proposal to be submitted with emphasis on Business Economic Growth.
- LU leading on Innovation strand.

TB A quick turnaround is required, but highly political, LCC Constituency residents not in favour.

### Strategic Prosperity Fund

- Partnering with Leicester City Council, DJU and Leicester.
- Focus on Green Growth and opportunities to engage.
- Midlands Engine tender opportunities to increasing Innovation and Enterprise.
- Will flag in due course – short timelines.
- Funded through councils not LLEP's.

### 3.5 Town Deal

- Additional funding for SportPark.
- LU awarded Capital Fund to be match funded from LU.
- LUInc – see PH update item 3.6.
- Chris Riley leading on analysis.
- Transport links connecting Loughborough station to Science Park.
- Small projects on Regeneration & Development inc. academic outputs.
- Work ongoing to pull together finance and costings will be circulated in due course.

### 3.6 LUInc

PH shared a presentation – Contact PH post meeting for additional information if required.

TB great to have a presence in the town centre – ADE's to think how a presence within the local community will be of benefit.

Presentation to be shared.

**ACTION PH**

### 3.7 Global Sports Innovation Hub

AH gave a presentation – to be shared post meeting.

**ACTION AH**

12:45 EE left the meeting.

Sport Park Extension – negotiating with an International company – PING Golf, an American sports equipment manufacturing company based in the US. Recruiting to populate the space on the Science & Enterprise Park for access to EU talent, labs and resources.

### 3.8 Leadership & Management Framework

Jenna Townend was unable to join the meeting, ADEs to review paper 123 and take questions and thoughts direct to Jenna, on ease of navigation, items not listed and identification of priorities.

CE happy to facilitate a more in-depth discussion at next meeting in May or separately if needed.

## SECTION C – A.O.B.

### 4 Any Other Business

KEF results imminent – embargoed dashboard LU results visible, will be circulated in due course. An agenda item to be addressed on REF/KEF strategy going forwards.

Feed Enterprise into promotion and PDR process. Data to be circulated, potential to put in HR advice pages.

TB leaving LU – gave her thanks to everyone for their support, will still be supervising PhD students and will be on campus for HUB launch and will still be living in the area.

Leaving in the capable hands of CE to go from strength to strength.

Meeting closed at 13:00

## **5 Date of Next Meeting**

- Tuesday 11 May, 10am – venue tbc
- Thursday 8 July, 10am – venue tbc

## Enterprise Committee



Loughborough  
University

## Minutes

### EC21-M59

Minutes of the meeting held on Tuesday, 11<sup>th</sup> May 2021 at 10.00am, via Microsoft Teams

#### Attendance

**Present:**

Kathryn Burchell, Paul Burrows, Rebecca Cain, Claudia Eberlein (Chair), Terry Everett (Secretary), Jen Fensome, Andy Harland, Tarek Hassan, Graham Hitchen, Pete Hitching, Sophie Hyde, Anne Souchon, Adrian Spencer

**Apologies:**

Eran Edirisinghe, Emanuele Maccotta, Mark King, Hayley Jones, Donald Hirsch

#### Business of the Agenda

No items were unstarred.

#### 1 Minutes

The Committee RECEIVED the minutes of the previous meeting.

#### EC20-M57

Item 3.3 to be amended.

The minutes of the meeting held on Wednesday, 24<sup>th</sup> March 2021 were CONFIRMED.

#### 2 Matters arising from the Minutes

Leadership & Management Framework JF to provide ALT with update.

## SECTION A – Items for Discussion

#### 3.1 Updates

REO Update

MB now left LU, KB will act as line manager for the Commercialisation team for the short term. The Head of Commercialisation post will not be advertised immediately as the requirements may be addressed and the emphasis of the post reviewed in line with KEF reporting.

Recruitment for the LUEL vacancy (Charlotte) has been approved and will go ahead in due course.

HEIF report has been accepted and accountability statement to be submitted. Thanks extended to KB/Anna.

JF confirmed in the immediate term the IP strategy has not changed. The LUEL post has been approved for recruitment. The Commercialisation team have expertise in the required area, Monalie's contract has been extended for 9 months (previously a MICRA funded post). MB's role was key, but we have time to review whether to replace the post like for like. In the short term there is cover, there is a deadline for the end of the year in which to make a decision. KEF aspirations/strategy will be known by the Autumn and in the mean-time we will have an opportunity to review and reflect.

An announcement will be made today on the appointment of the new VC. There will be a review of the LU position and a KEF discussion to be had.

Clarity requested on strategy and Leadership and ADEs responsibilities within this area, is there an opportunity for ADEs to contribute to the Enterprise Strategy?

Clarification CE acting as spokesperson – 1 short meeting already taken place where TB submitted a very general outline on behalf of EC. Next meeting scheduled for June when more information will be available. An opportunity to feed Enterprise into the Strategy.

### IP Update

PB provided an update: **EC21-P121 and EC21-P122.**

Project Highlights:

- No new patents filed
- 3 projects at PoC stage:
  - Kaddour - compartment syndrome
  - Alexandra Stolzing – method for stem cells
  - Staphanos – energy harvesting project
- Zayndu secured £700k IUK loan and sourced additional match funding, exceeding £1m
- Figura in first funding round to raise £180k of VC funding plus friends and family
- Previsico term sheet £1.75m Foresight Group in due diligence, IP to be assigned.

A discussion on the report content concluded that a review should take place KB to pick up with ADEs.

**ACTION: KB/ADEs**

LUInc/Incubator Update – Pete Hitchings

### Strategy & Growth Plan

Feedback from alumni on Strategy & Growth Plan.

Now working on an event to bring together alumni and LU Inc. members in July 2021

### Community Activities & Training

Currently working with 27 Graduate Startups, 2 Academic Spinouts and 8 Loughborough located knowledge-based businesses.

- Held 6 virtual training & roundtable events
- 20+ Entrepreneur in Residence (EiR) appointments
- 50+ One to one appointments with startups
- Fortnightly LU Inc. member group goal setting meetups

Building on Sports Tech Entrepreneurship Day (Feb 2021) planning for a Sport Tech Startup Workshop Series (launch July 2021) continuing bimonthly, plus Pathfinder events focussed on startup in Energy & Low Carbon and Design Tech from Autumn 2021.

Launching a pilot to bring together a team of PhD 'Innovation Consultants' with LU Inc. startups, to complete 3-month projects, benefiting startups with R&D and students with experience.

Graduate startup programme the Studio will be recruiting from June 2021, the programme will commence from September 2021.

### Operations

COVID-19 recovery project 'Restocking the Business Base' is approved and entering setup phase. The project will support 250 aspiring entrepreneurs and 100 emerging businesses (from the university and beyond) to set up, grow and scale.

LU Inc. will be recruiting 1.4FTE staff to deliver the project from July 2021.

LU Inc. has opened its satellite workspace in Loughborough Town, 'The Careers & Enterprise Hub', in partnership with Loughborough College (LC). A launch event will be held 20 May.

The space will co-locate LC and LU services and become a base for LU early stage local startup support, and student, grad and staff enterprise and community impact projects and research.

The Royal Society EiR role (held by Jonathan Jackson) has come to an end, the LUL EiR position will come to an end in July and the research commercialisation project, MICRA, will come to an end in June.

A final report by Jonathan (also Previsico CEO) called for enhanced resource for managing an entrepreneur/investor/expert alumni mentor network.

### Town Deal

Awaiting Government's decision on Loughborough's Town Deal which would provide funding for development of infrastructure on LUSEP and to enhance our newly opened Town Centre space plus 1FTE Project Coordinator role.

Successes by LU Inc. members in the last four months:

- Beobia (Grad startup) – currently fundraising and has raised 25% of its first investment round.
- Previsico (SpinOut) – have been named winners at the 2021 British Data Awards.
- Zayndu (SpinOut / previous LU Inc. member) features in the National Centre for Universities & Business showcase report 'Food for the Future' and has been successful in raising funding including from Innovate UK.
- Figura (SpinOut) – have raised £180,000 in seed round funding.
- 4 LU Inc. members are finalists for the regional Leicestershire Innovation Awards; including ventilator innovators Shifa Technologies nominated in 4 categories.

### LUSEP Roundup – JF/KB

Discussions ongoing within management team on how to embed in Enterprise Strategy to deliver value, options being reviewed on activities and resources and the next stage of development in line with LU Strategy. Options will be available to feed into the process in due course.

Revised Gateway Policy approved.

Professional Services organisations representation a very small percentage of occupancy: e.g. H&S advisors might be considered, recruitment agencies would not be admitted.

The journey from incubator to innovation park process to be defined.

Access building occupancy post COVID to be reviewed.

SportPark Planning permission now in place – 3 contractors shortlisted and in discussions with Estates. Significant delays envisaged for the supply of materials and equipment for the build process. Infrastructure Fund for road development from ATIC [design and build].

Overall occupancy being monitored – interested parties encouraged to contact Paul Watson and team. Copy KB/Estelle for information/additional assistance where required.

Discussion on external organisations able to add value to LU i.e. MIRA. **ACTION** CE to liaise with Malcom to attend EC.

### Regional Activity / Partnership Development Update

REAP Project connecting with SMEs in the region partnering with DMU/Leicester and LEP's, interviews and questionnaires with SME's in the region researching what support they need and how LU can work with them and how they can access LU.

Innovation Week – June to promote LUSEP.

PDM impact work post REF ongoing, working with ADEs on Partnership Framework.  
Development Corporation Zero Carbon Research Centre proposal outcome will be known in June.  
[Andy Dainty]

## Student and Graduate Enterprise (including LSU Enterprise) - SH

### Staffing Updates

- Chris Cole now in role within Careers Network as Work and Opportunities Manager.
- Recruiting for 2x new posts within Student Enterprise (Careers Network):
  - 1 x Enterprise Officer post
  - 1 x Graduate Intern post

### LSU Enterprise Updates

- Elections are underway; Enterprise is contested with 2 candidates and was position with most interest, which shows real promise longer-term. A Q&A with both candidates will take.
- Looking to increase the number of student volunteers the section works with LSU Enterprise Committee positions going live after the Elections.
- Provisional date for Enterprise Awards of 11<sup>th</sup> June.

### Programme and Events Updates

- Evolve / Evolve London – applications are open and programmes across campuses are underway with a mix of 1:1 mentoring and coaching support, group training and networking sessions, peer support and online course content.
  - Aiming for 40-50 students across both campuses
  - First pilot in London and first validator / pre-accelerator focused solely on PG students.
- Year in Enterprise – oversubscribed and full for 21-22 academic year with 30 students taking part across a range of disciplines and business sectors, from Fine Art and Graphics to Finance, Computer Science and Engineering.

### Funding Updates

- Initiate (LSU) – 19 applications received for Round 2 of Initiate Fund with 8 of these previous student recipients who have reapplied to top-up their funding to the full £500 each. Reviews underway.
- Freelancer – 7 LU students and graduates successful in being awarded £1,000 each as part of Santander's Freelancer Scheme to complete work for a business / client – funding processes.
- SUF – Following awards in Term 2 (13 students awarded over £27k), in the process of firming up a 'mini' Start-Up Fund round as c£10k left to award. Possibly as 10 x pots of £1,000 – smaller grants for more access depending on level of student and graduate businesses.
- Start-Up Internships – Vacancies have begun opening for students and graduates to apply to take up summer internships with 12 of our LU start-ups (as part of a wider pool of 40 Employer opportunities through Talent Match Scheme), including Studio graduate businesses. The first time 12 start-ups on the list of Employers, a particular highlight!

### Update on Enterprise Activities – ABCE Tarek Hassan

Presentation: EC\_LU\_May2021\_ABCE\_TH\_v3  
[\\ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May](https://ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May)

Questions asked on Short Course Organisation and Implementation, impact on workload and whether bought-in or provided in-house.  
10 point impact Questionnaire to be shared.

**ACTION: TH**

Post-REF Review Working Group, chaired by JF and Steve Rice, seeking to use focus groups based



on roles to collate thinking on how to impact into every day academic practice, etc.

Charging for Facilities: Cases put together for accessing areas/equipment etc. to create income. Operations Committee paper to Research Committee with principles including sustainability and investment and methodology i.e. charging mechanism and equipment sharing principles. Scoping out before pilot to test principles. Northern Powerhouse shared costings/understandings/opportunities.

JF/CE meeting about equipment sharing with Steve Rothberg offline.

**ACTION: JF/CE**

Discussion re mechanism to reward and recruit technicians, reviewing under organizational development, not a quick solution – to be reviewed at ALT.

IDEA Project and Placement students in Enterprise activities, needs more input in terms of practical examples to progress further.

**ACTION: SH to meet with ADEs**

### 3.2 IDEA LEN

AS/AH/SH Background (with support from Amanda Berry)

#### Innovation Driven Enterprise Activity

Evolved over 3 / 4 years including workshops and pitching sessions to develop skills. Funded ideas from elite programme expanded to 56 student involvements in placements / modular ideas development bookended with LEN/Sophie.

Presentation SH: *Bookending IDEA with LEN slides presented for reference.*

[\\ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers](https://ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers)

Campus wide collaborative event to highlight innovative and enterprising students combining with Personal Best Programme for students beyond part A offering key themes and topic areas in line with Enterprise network.

The leads will check how it feeds back into LEN programme after 6 week programme with specific 1-1's to develop action plans ensuring it is specific with reviews and pitching to investors to get start-up ready.

Specific to SBE/Wolfson due to Business and Economics and support available to find places. Resources in time/academics/costs to be contributed by schools to run workshops during the summer period make it not viable in the wider context.

CE to engage with ADEs on specifics as to how/what form it would take/commitment/resource level/staffing etc.

**ACTION CE**

### 3.3 Partnership Framework Data

AS Presentation: Partnership Strategy Framework

[\\ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers](https://ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers)

SBE view partnerships as allowing them to achieve research impact and increase income. Each partner (500 in total) has been reviewed according to a list of elements, including which tier they currently belong to, with the key finding that there are not enough public sector relationships. The link to University strategy still needs identifying, and the 'how to' convert existing partners up the tiers thinking is under development.

A framework through EC ultimately partners working in space some of whom are school critical, some organisations have huge R&D potential which is not being maximized and ongoing relationships not exploited. Opportunities exist to develop broader relationships / school critical. How it fits into LU Strategy.

Share Understanding Relationships and how to customize strategies presentation

**ACTION: AS**

How it fits with PDR revision (subject to appointment of new VC) and Enterprise Strategy. Culture to develop long-term strategic relationships.

Liaise with PDMs who are able to access and interrogate 5 years' worth of data.

### 3.4 KEF Strategy

JF gave an update:

An introduction to KEF and the upcoming KE Concordat (March ppt)

KEF update presentation (April ppt)

[\\ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers/KEF\\_and\\_HEBCI\\_Papers\\_JF](https://ws8.lboro.ac.uk/CMTE-Enterprise/MEETINGS/2021/11-May/pdf-papers/KEF_and_HEBCI_Papers_JF)

The ppt has been shared at ALT as part of encouraging KE discussion and thinking about LU relative KE priorities, but no conclusive points were made other than the forward strategy will depend on where the KEF weighting will be. . The findings highlighted that LU's lack of short course provision is affecting LU's rankings but work is looking at this already as led by PVC T.

CE to email all ADEs to arrange 1-1 mtgs during Sept/Oct and input to LU Strategy. **ACTION: CE**

All ADE's are requested to take the ppt questions regarding our KE strategy back to their SMTs and relevant Committees by **23<sup>rd</sup> June**. **ACTION: ADEs**

### 3.5 Introduction to LUiL Role

Presentation by GH postponed.

## SECTION C – A.O.B.

### 4 Any Other Business

Look at MyHR and register to take part in University Strategy meetings – May 2021

Meeting in May with Jenna Townsend to input Enterprise in Staff Leadership and Training Module.  
Meeting closed at 13:00

### 5 Date of Next Meeting

- Tuesday 08 July, 10am – venue tbc

## ESTATES MANAGEMENT COMMITTEE



Loughborough  
University

### MINUTES EMC21-M1

12 February 2021

#### Attendance

**Present:**

Richard Taylor (Chair), Alan Hughes, Andrew Bowles, Paul Hodgkinson, Mark Lewis, Andy Stephens, Chris Linton, Rachel Thomson

**In attendance:**

Graham Howard, Rob Sparks, James Henry, Amanda Silverwood (Secretary)

Tracy Bhamra (*item 21/5 only*)

Mark Davies (*item 21/8.3 only*)

**Workshadowing:**

Renaë Huggan-Broughton (Graduate Management Trainee)

#### 21/1 Minutes

##### EMC20-M4

The minutes of the previous meeting held on 6 November 2020 were **CONFIRMED** as an accurate record.

#### 21/2 Matters arising from the Minutes

##### EMC21-P1

The summary report of updates to matters arising was **NOTED**.

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### SECTION A – Items for Discussion

#### 21/3 Committee membership

##### EMC21-P2

##### 21/3.1 Change in committee membership

EMC **NOTED** that Professor Andy Dainty has resigned from the Committee.

The Chair welcomed Professor Mark Lewis, Dean of the School of Sport, Exercise and Health Sciences (SSEHS) who has filled the Committee vacancy for a Dean of an Academic School nominated by the Vice-Chancellor.

### 21/3.2 Co-opted member vacancy

The Chair informed EMC that Nominations Committee will shortly consider the proposed appointment of a new co-opted member to EMC to fill the current vacancy. The individual proposed is a graduate of Loughborough University and is currently a senior civil engineer at Heathrow.

### 21/4 Annual review of committee effectiveness

#### EMC21-P3

The Committee **NOTED** the feedback received from committee members.

**ACTION: Chair and Secretary to consider how to keep members in touch with physical campus developments while lockdown and travel restrictions continue.**

### 21/5 LUSEP

#### EMC21-P4

##### 5.1 Gateway Policy

EMC were asked to consider an amendment to the LUSEP Gateway Policy to allow a small percentage of specialist business support service organisations to take a tenancy on the Science Park.

This change has been proposed for a number of reasons:

- There is a demand for professional business support services from existing tenants.
- We are receiving lease enquiries from professional business support service companies.
- The proposal is a pragmatic way to bring some additional income in at a time when many existing tenants are downsizing or terminating their leases.
- Space that is considered “hard-to-let” to organisations that currently meet the Gateway Policy would be suitable for these kind of businesses.

It was confirmed that the 15% limit suggested refers to both the amount of space let and overall number of tenancies.

While EMC were supportive of the change, members advised that the definition of “*sector focused business support organisations making a significant contribution to the LUSEP community*” needed to be more clearly defined.

EMC **APPROVED** the change to the Gateway Policy subject to the insertion of a footnote that clearly defines examples of “*sector focused business support organisations making a significant contribution to the LUSEP community*”.

**ACTION: PVC(E) to write footnote for LUSEP Gateway Policy and send to the Secretary for circulation to members.**

##### 5.2 Future LUSEP arrangements

The PVC(E) role will become vacant on 1 May 2021. EMC **NOTED** that the following changes will take effect from that date while the vacancy remains open:

TASK	RESPONSIBILITIES	LEAD
<b>LUSEP Management Team</b>	Chairing of meetings, liaising with key tenants as needed, reporting on progress, representing LUSEP on Space Allocation Sub-Committee	Prof Malcom Cook, ABCE
<b>Sport Park Pavilion 4</b>	Chairing PMB, providing academic oversight, agreeing new tenants	Prof Mike Caine, APVC Sport
<b>Incubator</b>	Managed through IP but needs oversight for links to Town Deal and LUSEP strategy	Prof Malcom Cook, ABCE

<b>External representation of LUSEP</b>	LLEP, Midlands Engine, CBC, LCC	Prof Andy Dainty, ABCE
<b>Enterprise Zone</b>	Representing University on LUSEP EZ steering group	Graham Howard, Director of E&FM

## 21/6 Report from the Director of Estates and Facilities Management (E&FM)

### EMC21-P5

Business continuity has been affected by multiple high voltage (HV) outages leading to loss of power, IT services, heating and hot water across campus. With the majority of teaching being delivered on-line, the loss of power and the impact on IT has been particularly acute. While E&FM have managed to restore most services quickly, some services were affected for up to 4 days. It is clear that these outages are happening with increased regularity. Addressing essential H&S, compliance and environmental issues has been prioritised in the refreshed capital framework. This includes the replacement of basic infrastructure and services in the Student Village.

Low building occupation is likely to have contributed to the finding of legionella bacteria growth in several places on campus, predominately in one hall of residence. An outbreak of legionella has not occurred. A separate update on water hygiene was provided later in the meeting under section 21/11.

E&FM teams have been at the heart of major incident management and recovery throughout the Covid-19 period, with many working continuing to work on campus while the majority of other University staff were able to work remotely. Opening buildings for staff working on campus requires significant additional E&FM resource to make sure they are operating safely and effectively with low occupancy levels and to ensure they are Covid secure as well. The Dean of SSEHS formally recorded his thanks for the excellent support from E&FM teams who have supported the School during Covid and ensured that the NCSEM clinical facilities have been able to operate safely.

All on campus self-isolation students have been provided with meals and laundry services free of charge and student ambassadors have been drafted in to help with the distribution of meals to halls. The response from students and parents has been overwhelmingly positive.

The Covid-19 logistics response including the associated H&S and testing regime has been audited by PWC and received a very favourable rating with only minor recommendations made. This was included on the internal audit schedule of works for this year.

EMC noted that there are some single points of failure within the maintenance and engineering teams. Operations Committee has been supportive of recruitment requests to build resilience in key areas, for example, qualified and experienced HV electrical staff.

## 21/7 Capital framework

### EMC21-P6

EMC noted an update on the capital framework. The refreshed framework assumes that the moratorium on all non-essential spend will endure for the next 2-3 years. All major flagship new build and refurbishment projects have been removed from the 5-year forecast. The descoped framework represents the most important strategic capital priorities with funding allocated for the period 2020-2025. Addressing essential H&S, compliance and environmental issues has been prioritised in the refreshed capital framework alongside projects with significant external funding.

The Director of E&FM confirmed that he is content that he has sufficient budget and authority to keep the estate safe and compliant. The list of indicative projects has been prioritised to allow spending to increase or decrease as the financial impact from Covid becomes clearer.

EMC noted that the majority of capital spend is likely to be on essential services like heat and power where the investment will not be visible above the ground. EMC agreed that investment in these services for student accommodation in particular is crucial.

The Deputy Director of Finance clarified that the figure of £46.1m on estimated capital expenditure for 21/22 reported to Finance Committee was the total of £36.9m of estimated capital expenditure for 21/22 reported to EMC plus additional external funding, Imago capital expenditure and research and School capital expenditure.

## 21/8 Capital projects

### EMC21-P7

#### 21/8.1 Sport Park Pavilion 4

Sport Park Pavilion 4 is a £9m major capital project, with £6m of external LLEP funding secured through central government's Getting Building Funding (GBF). LU will provide match-funding of £1.5m and reclaim a further £1.5m in VAT. The project will create a fourth pavilion to the south side of the existing Sport Park building, replicating the footprint of Pavilion 2 to create 2000m<sup>2</sup> GIFA of new floor plate, along with a new deck system car park over the existing car park to create an additional 60-70 car park spaces.

A condition of the external funding bid was that project had to be complete by March 2022, but receipt of the £6m grant was around 6 months late. Practical completion by June 2022 is a possibility but September 2022 is a more likely date. June 2022 completion does not allow for any slippage due to unforeseen circumstances, such as delays in material availability or prolonged periods of inclement weather. The LLEP are fully aware of the issues with the project timeline.

The current estimated project cost of £9.45m exceeds the budget allocation. The budget includes 10% contingency and VAT. Operations Committee have made it clear that there is no additional money for this project and the PMB, chaired by the PVC(E) have been tasked with ensuring that the project does not exceed £9m. EMC noted that the project brief was developed prior to Covid and it may be that the full 1300m<sup>2</sup> of office space is no longer required. The Director of E&FM confirmed that there is significant cost in the deck system car park (£850k-£950k) and this is where alternative solutions are likely to be found.

UK Anti-Doping will be the anchor tenant for Pavilion 4 with a lease term of 20-25 years. The Cabinet Office has indicated that several other organisations may look to relocate to Sport Park. A lease has not yet been signed with the anchor tenant, but the Director of Finance confirmed that the project would go ahead even without an anchor tenant in place if necessary due to the significant external funding contribution.

EMC asked for further reassurances from the Sport Park Pavilion 4 PMB on the risks relating to the project timeline, external funding and the securing of the anchor tenant lease. It was agreed that these risks were likely to be theoretical rather than acute.

**ACTION: PVC(E) as Chair of the Sport Park Pavilion 4 PMB to provide written reassurance to EMC on the level of real vs theoretical risk in terms of the project timeline, external funding and the securing of the anchor tenant lease.**

EMC **APPROVED** a Stage B major capital project application. EMC will receive a further update on this project at the next meeting on the 18 June where they will be asked to give delegated authority to the Chair to approve a Stage C major capital project application.

### EMC21-P8

#### 21/8.2 HiPAC redevelopment

The Sports Capital Strategy and Maintenance Manager introduced a proposed major capital project to deliver a significant number of adaptations to the High Performance Athletics Centre (HiPAC) and surrounding facilities. The project includes adaptations to the reception area, upper ground floor and first floor offices and installation of the latest technology within the HiPAC training environment, both at high level and within the surfaces, to give real time data and analysis to provide focussed interventions and deliver world leading practice for both LU and British Athletics (BA). The proposed works are estimated at £1.9m and will be c95% external funded. £1.8m has been requested from UK Sport via BA and English Institute of Sport (EIS). If the external funding is received, LU would contribute £100k from a notional allocation in the LTM capital project budget. No University funds will be spent until written confirmation of the external funding is received.

EMC noted that BA have a new CEO and Performance Director who wish to engage with the LU sport eco-system in a different way to their predecessors.

The Sports Capital Strategy and Maintenance Manager confirmed that student access to the HiPAC facility will be an essential part of contract negotiations. The importance of academic engagement with this project was additionally noted given the significant research collaboration potential.

Should the project go ahead, works would take place post-Tokyo to minimise disruption to elite athletes training. However, there may be an impact on students training for BUCS (British Universities & Colleges Sport) events.

As the project does not yet have Stage B approval from Operations Committee and external funding confirmation has not yet been received in writing, EMC **AGREED** to consider a Stage B major capital project application via email circulation.

## **EMC21-P9**

### **21/8.3 Post Occupancy Evaluation (POE) of the National Centre for Combustion and Aerothermal Technology (NCCAT)**

EMC discussed the findings of the POE of NCCAT. While the report confirms that the project objectives were met and the end users, including Professor Jon Carrotte and Rolls Royce are very happy with the building the project was delivered significantly over budget. The original project budget was £11.5m and the final cost was reported as £15.5m. The significant overspend is attributed to:

- Delays in the project approval process at government level led to rises in project costs due to inflation, the budget was increased by £3m at this point to £14.5m.
- High estimated costs (£17.5m) and performance issues with the Scape Framework appointed contractor led to the termination of their contract. A new contractor was appointed via an open OJEU procurement route (estimated project cost £14.5m on appointment).
- The further £1m overspend was a consequence of the higher than anticipated cost of complex and novel equipment, complications with the installation of this novel equipment, additional storage costs, extension of time claims due to the resequencing of the project programme to accommodate major issues onsite and associated consultancy fees.

The project has delivered approximately 3000m<sup>2</sup> of research facilities over two buildings and facilitates closer collaboration between industrial partners and academic researchers. The building's highly specialised research facilities are world leading and it is anticipated that they will attract significant future business for the University.

It was confirmed that overhead costs such as staff time had not been included in the total project cost analysis.

**ACTION: Secretary to arrange tour of NCCAT for interested EMC members once lockdown restrictions are lifted.**

## **21/9 Purchase of LSU assets**

### **EMC21-P10**

The Chair declared a conflict of interest in this agenda item due to his position on the LSU Board of Trustees.

Following an update from the Director of E&FM on the initial results of the in-depth building condition surveys of the LSU building, EMC **ENDORSED**:

- The in principle purchase of LSU assets (land and buildings) at an estimated cost of £3.5m.
- Reducing the price paid to LSU by c£500k to cover the estimated cost of essential H&S and compliance works (*noting that if the costs are significantly different this element of the deal will have to be revisited*).
- Acquiring the Freehold, granting a Headlease to LSU and LU becoming the direct landlord of all the other third-party occupants.
- Offsetting the LSU 'Grant' to cover the annual cost to LU of maintaining the building and services.

It was confirmed that LSU would be extremely unlikely to ever be in a position where they could generate the significant funds needed to maintain the existing building to the level required.

EMC noted that the Loughborough Nursery building and the land on which it resides are included in the assets. The Nursery 'business' was transferred separately to Imago @ Loughborough Ltd via a share purchase agreement completed on 1st February 2021, this is not included in the costs above.

## 21/10 Fire safety

### EMC21-P11

A campus wide fire safety and building regulation review has been carried out following the Grenfell tragedy and Bolton private student accommodation fire. This review discovered some issues with fire safety compartmentation issues in a small number of student halls of residence and in tenanted areas in Charnwood and Garendon buildings on LUSEP.

Priority one works costing £500k in the Whitworth and David Collett halls are nearing completion. Priority two works in Towers and in the Student Village costing c£450k should be completed in this financial year subject to the approval of the release of funds by the LTM Sub-Committee. £150k may be reclaimed from contractors for works in in Falkner/Eggington as a latent defect.

Following receipt of specialist legal advice, a letter has been sent to 13 affected tenants informing them that the fire compartmentation in LUSEP Charnwood and Garendon buildings is safe but non-compliant with building regulations to provide one-hour fire compartmentation on party walls between two different tenants. The letters clearly state that there is no threat to life due to the enhanced fire detection and evacuation methods employed by the University.

The Property Office will negotiate individually with each tenant to reach an agreement on the next steps, which will not necessarily result in remediation works or cost to the University.

EMC noted that the capital framework includes provision for campus wide fire door remediation in 21/22 and 22/23 (£2.7m) and £500k per year for general fire remediation works within the LTM budget allocation.

EMC **NOTED** the remediation plan.

## 21/11 Water hygiene

### EMC21-P12

Following an official notification by Public Health England (PHE) on 10 December 2020 of a confirmed case of legionella in a student living in Towers, extensive tests were conducted on the Towers water system and other areas of campus. The Towers water system tested positive for legionella bacteria growth and a full disinfection of the system was immediately undertaken. When subsequent sampling showed the disinfection was not successful, a more expansive and aggressive remediation plan was implemented following consultation with PHE, Hydrop (the University contracted water management consultancy) and WCS (contracted water management team). 62 students were temporarily re-located to another hall. Unfortunately, despite the prediction that the more aggressive remediation plan would have a 99% chance of success the latest sampling still shows the presence of legionella bacteria. Students will therefore need to remain in alternative accommodation for a number of weeks.

A root cause analysis and lessons identified capture process is being initiated to inform wider water hygiene risk management activity to reduce the likelihood of reoccurrence and apply the lessons learnt from this incident across the rest of the estate. These activities will include:

- Installation of an in-line chlorination dosing system into the Towers water network which will inhibit future legionella growth. This system is already installed in other at-risk areas.
- Review of the Towers water system and management plan. The current management plan does not align with the pipework infrastructure and is one of the root causes of this issue.
- Revised planned maintenance regime - several system filters and strainers not previously on the planned maintenance regime will be added.
- Replacement of at-risk pipework.



- Reinstatement of the Water Management Working Group. This group will oversee a review of the University water infrastructure, identify areas of risk and implement necessary changes.

Health & Safety Executive (HSE) inspectors visited campus on 26 January 2021 to formally investigate. They will formally serve a contravention order (the lowest order on their three step escalation approach) setting out expectations for further remediation and water management activities. As part of the debrief process the inspectors complemented the University on its existing processes and procedures and its positive reaction to management of the issue and remediation to date. However, they highlighted several areas that urgently needed addressing which are covered by the activities described above.

EMC **NOTED** that the University immediately sought expert advice, acted upon it and is continuing to take mitigating action to resolve this issue. Further updates will be provided to EMC at future meetings.

## 21/12 Space efficiency project

### EMC21-P13

The Director of E&FM presented an update report on the initial findings and recommendations of the space efficiency project. This report was presented for information only as the recommendations have not yet been endorsed by Operations Committee or shared with Deans and Directors of Professional Services.

The Director E&FM has been tasked with making recommendations to optimise space utilisation across the University estate that will contribute to reducing fixed costs over the next 2-3 years. This task is linked to the following Estate Strategy KPIs:

- 2 - Making the most of our current assets
- 3 - Affordable and sustainable campus
- 4 - Integrated campus planning and infrastructure.

In comparison with other universities, the size of our estate is greater than the income generated by that space. Members encouraged the University not to pursue mediocrity.

Some of the recommendations in the report require strategic decisions about the way in which the University will operate in a post-Covid world. The PVC(T) confirmed that she would like to challenge some of the assumptions about the reconfiguration of teaching space in the report.

**ACTION: PVC(T) and Director of E&FM to discuss space efficiency assumptions separately.**

Some lay members were unconvinced about whether a significant proportion of younger staff would wish to work at home for a significant proportion of the week.

While members were supportive of demolishing tired and expensive to maintain buildings it was noted that there are opportunity costs associated with removing these.

EMC will be provided with further updates as the project progresses.

## 21/13 Health and Safety

### EMC21-P14

#### 20/13.1 H&S Report

The Head of Maintenance and Engineering reported that one reportable RIDDOR injury occurred during January 2021, this is not yet included in the H&S scorecard. A member of the gardening sustained soft tissue damage when his leg fell through a decayed manhole cover that was not visible due to being covered in overgrown plant life. An incident review panel will take place and the cavity has been covered over.

As recommended by EMC, the Head of Maintenance and Engineering has consulted with the Professor of Construction Engineering Management who has provided helpful advice on guidance on developing the safety road map further.

EMC noted that the current focus is on developing hazard reporting and ensuring point of work risk assessments are carried out.

#### **EMC21-P15**

##### **20/13.2 Review of H&S accident statistics**

EMC were reminded that the full range of H&S information and data is reported to the Health, Safety and Environment Committee chaired by the Provost. EMC see the H&S data relating to construction and building works.

EMC noted that the contractor management working group is working to improve contractor management processes through the introduction of a contractor management safety scorecard.

It was confirmed that an Accident Frequency Rate (AFR) has not been baselined yet. A target AFR will be set once the baseline has been established.

EMC welcomed the significant improvement in the quality and level of detail on H&S information being reported to the Committee.

#### **\*EMC21-P16**

##### **\*20/13.3 Health Safety Environment Statutory Compliance Sub-Committee Meeting**

The Committee **NOTED** the minutes of the meeting held on 14 January 2021.

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## **SECTION B – Starred Items for Approval**

None

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## **SECTION C – Starred Items for Information**

### **21/14 \*Capital Projects – Tennis Centre Extension (LTA)**

The Committee **NOTED** that under delegated authority the Chair approved a Stage D major capital project application on 23 November 2020.

### **21/15 \*Major and minor capital project reports**

#### **\*EMC21-P17**

The Committee **NOTED** the status summary for major building and minor works projects and associated project manager reports.

### **21/16 \*Reports from Sub-Committees**

#### **\*EMC21-P18**

##### **\*21/16.1 Estates Master Planning Sub-Committee**

The Committee **NOTED** the minutes of the meeting held on 3 August 2020 and 30 November 2020.

### **21/17 \*Major Project Procedures**

#### **\*EMC21-P19**

The Committee **NOTED** the University's Major Project Procedures.

## Future Meeting Schedule

Forthcoming meeting dates are as follows:

- Friday 18 June 2021, 13.00 – 16.00, via Microsoft Teams

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*Author – Amanda Silverwood*

*Date – February 2021*

# Ethics Committee



## Minutes

### EC21-M2

Minutes of the meeting of the Ethics Committee held on Tuesday 25 May 2021.

## Attendance

Tony Williams (Chair), Antuela Anthi Tako (ab), Fejiro Amam, Karen Coopman (ab), Cees de Bont, Pooja Goddard, Fehmidah Munir (ab), Martin Lindley, Chris Linton (ab), Steve Rothberg, Emily Rousham, Peter Saraga (ab), Richard Taylor.

**In attendance:** Chris Dunbobbin (secretary), Ffyona Baker, Jen Fensome, Jackie Green, Sam McGinty, Tom Smith (for items 14.1 and 14.2).

**Apologies:** Antuela Anthi Tako, Karen Coopman, Fehmidah Munir, Chris Linton.

## 21/10 Minutes

### EC21-M1

The Minutes of the meeting held on 2 February 2021 were confirmed as a true record.

## 21/11 Matters Arising from the Minutes

### EC21-P7

The Committee received an update on matters arising from the minutes. A detailed verbal update was provided in relation to minute 21/9 concerning approval of student ethical submissions through the LEON online portal. Further work, including a review by the University's Change Team had been undertaken with key Schools to better understand the process issues that had arisen. The report from the Change Team had just been delivered, and its recommendations around improving the process would be addressed over the Summer period, with an update provided to Ethics Committee in October. **ACTION: Jen Fensome, Jackie Green**

## 21/12 Conflicts of Interest (Enterprise Activities)

### EC21-P8

The Committee received an updated draft Conflicts of Interest Policy. Taking into account the principles discussed at the last Ethics Committee meeting, the revised policy sought to emphasise that potential conflicts of interest were an inevitable, positive phenomenon (which demonstrated the engagement of staff in a number of areas), and to encourage timely recognition, disclosure and self-management. The new policy distinguished between minor and major conflicts, and provided for information relating to declared conflicts to be recorded on i-Trent. An appendix to the policy contained examples of potential conflicts of interest. Work on a strategy to embed training and ongoing awareness-raising, in order to maximise engagement, would commence once the new policy had been approved – it was anticipated that significant progress on this would be possible over the Summer period, and a detailed update would be provided at the next Ethics Committee meeting. **ACTION: Ffyona Baker**

The following points were noted in discussion:

- i) The subject of the paper referred to Enterprise Activities, but it was emphasised that the policy was applicable to all staff in all areas of the University.
- ii) The emphasis on personal responsibility for recognising and disclosing potential conflicts was welcomed.
- iii) It was agreed to change the heading of the “Other examples of possible conflicts of interest” section to refer to “potential” rather than “possible” conflicts, and to add some further explanatory text to clarify that the situations listed did not of themselves amount to conflicts, but had the potential to do so in certain circumstances, and that staff in those situations should consider and be aware of that potential. **ACTION: Jen Fensome**

Thanks were offered to Jen Fensome and others involved in working on the revised policy.

## 21/13 Code of Practice on Investigations Involving Human Participants

### EC21-P9

The Committee noted and approved amendments to the Code of Practice on Investigations involving Human Participants, reflecting changes to the operation of the Ethics Review Sub-Committee. The following points were noted in discussion:

- i) Management activities such as service evaluation/audit and other operational activities carried out in the course of the University’s business were excluded from the code.
- ii) It was agreed that consideration would be given to the “Favourable with conditions (Conditional) outcome” with a view to distinguishing between major and minor conditions, with only the former requiring a re-submission to the Sub-Committee (and the expectation that minor conditions would be addressed by investigators prior to proceeding with their studies, and that failure to do so would be a conduct matter). **ACTION: Martin Lindley, Jackie Green in consultation with Richard Taylor as required.**

## 21/14 Philanthropic Gift

### EC21-P10

14.1 The Committee considered and approved criteria for determining when to seek specialist due diligence advice from third party suppliers. The following points were noted in discussion:

- i) It was emphasised that the criteria were based on sector norms and were intended to establish a level of standardisation. However, proposals would continue to be considered on a case by case basis, and external support on due diligence might still be sought for reasons not captured within the criteria.
- ii) It was agreed that the second criteria should be worded more carefully to make clear that it related to cases where effective due diligence required a language competence that the University did not have access to internally.
- iii) It was suggested that there may be some economies of scale available by pooling information with other institutions in the sector. **ACTION: Jen Fensome to investigate. And liaise with Tom Smith as appropriate.**

### EC21-P11

14.2 The Committee noted the rationale for the submission of 10 historic due diligence reports on donors following internal audit, and received reassurances that the actions taken by the Philanthropy Team would mitigate the risk of steps in the due diligence process being missed in the future.

### EC21-P11A-J

\*14.3 On the advice of the Head of Philanthropy, the Committee approved due diligence reports on donors to the University.

## 21/15 Review of Committee Effectiveness

### EC21-P12

The Committee reviewed its effectiveness against the new Terms of Reference approved in November 2020. The following points were noted in discussion:

- i) The Committee had made small but significant steps towards being primarily concerned with policy development, training, and the management of ethical risks on behalf of Council. An example of this was the development of the Conflicts of Interest policy, which together with the Ethics Review and Human Tissue Act Licence sub-committees, covered a substantial proportion of the University's ethical risk portfolio. It was recognised, however, that further progress still needed to be made to provide full assurance to Council in relation to ethical compliance.
- ii) The Committee's terms of reference referred to: "Establishing mechanisms for ensuring the effectiveness of processes relating to ethical matters" and: "Agreeing and monitoring KPIs in relation to its remit." It was noted in this context that the development of meaningful metrics in relation to ethical issues was conceptually challenging. It was agreed, however, that further consideration would be given to the development of KPIs, and noted that the statement of the University's ethical principles in the Ethical Policy Framework might represent a helpful starting point. **ACTION: Richard Taylor, Chris Dunbobbin**

## 21/16 Annual Report from the Ethics Review Sub-Committee 2020/21

### EC21-P13

The Committee approved the annual report from the Ethics Review Sub-Committee for 2020-21.

## 21/17 Annual Update of Ethical Policy Framework

### EC21-P14

The Committee noted that the annual update process had been undertaken, and approved minor updates. It was noted in addition that arrangements should be made for the "Foreword by the Vice-Chancellor" section to be updated in view of the new Vice-Chancellor commencing their post in Autumn 2021. **ACTION: Chris Dunbobbin**

## 21/18 Ethics Approvals (Human Participants) Sub-Committee

### EC21-P15

The Committee received minutes of the meeting of the Ethics Approvals (Human Participants) Sub-Committee on 21 January 2021.

## 21/19 Dates of Meetings in 2021-22

Tuesday 5 October 2021, 2pm

Tuesday 1 February 2022, 2pm

Tuesday 24 May 2022, 2pm **\*This date is provisional and subject to confirmation\***

## FINANCE COMMITTEE



### MINUTES – 19 March 2021

#### FC21-M3

##### Attendance

**Members in attendance:** Professor Bob Allison (Chair), Professor Tracy Bhamra, Professor Claudia Eberlein, Alan Hughes, Professor Chris Linton, Professor Steve Rothberg, Andy Stephens, Jane Tabor, Richard Taylor, Professor Rachel Thomson, Steve Varley

**Non-members in attendance:** Miranda Routledge (Secretary), Tom Williams

##### 21/12 Minutes

FC21-M2

The Committee CONFIRMED the Minutes of the Meetings held on 12 February 2021.

##### 21/13 Matters arising from the Minutes

FC21-P7

The Committee CONSIDERED a report with updates on Matters Arising and NOTED progress on all items.

##### 21/14 Director of Finance Report

The Director of Finance updated the Committee on the following matters:

- The Graduate Management Trainee in the Finance Office has been reviewing the aged debt book and on-going processes for student debt collection. The project has already significantly reduced our aged debt balance and it is anticipated that the processes changes will improve future cashflow and student experience.
- Because of the timings of meetings, Council has already received the financial forecasts in March. As previously discussed, there will be a more iterative approach this year in developing the submission for Office for Students.

##### 21/15 Strategic Drivers of Financial Performance

The Committee NOTED the following updates:

###### 15.1 Report from PVC(R)

FC21-P8

## 15.2 Report from PVC(T)

FC21-P9

## 15.3 Report from PVC(E)

FC21-P10

### 21/16 Finance 2020-21: University Management Accounts as at 31 January 2021

FC21-P11

The Director of Finance presented the University Management Accounts as at 31 January 2021. Headlines from the Q3F are as follows:

- **I&E** - A full year deficit of £9.2m. This is driven by severance costs and income losses attributed to tuition fees and student accommodation, offset by cost restraint measures which have been extended to the end of the financial year.
- **Cash** - Closing cash of £80.0m, a slight improvement on recent forecasts.
- **Bank Covenants** - Maintains headroom of £18.4m on our operating cash covenant.

### 21/17 2021-22 Budget and long-term forecast to 31 July 2026

FC21-P12

The Director of Finance presented the second iteration of the 2021/22 budget and five-year forecast process. Changes since the February iteration are relatively minimal; we have revised our Accommodation income assumptions, reflected a revised Research forecast, adjusted funds available for investment in 2021/22 and updated for our latest 2020/21 outturn to reflect the updated Q3F forecast. All other assumptions remain as previously presented. The Committee NOTED the following headlines within the forecast:

- A closing cash balance in July 2026 of £46.5m, thus maintaining the University strategic investment funds.
- A small surplus in each year from 2021/22 onwards.
- A broad assumption that there is a return to normal activity and spend levels (both pay and non-pay) from 1st August 2021.
- Contingencies remain at a high level to mitigate against slow recovery in international recruitment following the covid-19 pandemic.
- Net operating cash flow is maintained at c.£30m in each year.

During discussion, the following comments were made:

- Forecasting in the current environment is extremely difficult as there are high levels of uncertainty on many fronts. The pension assumptions in the forecast will almost certainly prove to be incorrect, and the new strategy will require new/different priorities to be invested in. Therefore, the advice of the Finance Committee is that the University should plan to pre-empt inevitable structural changes to the cost/expenditure priorities driven by the post-pandemic world and the new strategy.
- Assumptions around recovery of international PGT markets towards the end of the forecast period might be optimistic. The Finance Office will undertake stress testing and sensitivity analysis to



understand and plan for the impact of a slower recovery. Disproportionate reliance on a single market (China) and more generally on international recruitment remains a risk in the current context. The University is exploring income diversification, for example through entering the CPD market.

- Non-pay budgets will be set at 2019/20 levels to remove the risk of “catch-up” spending following a year of considerable constraint.

The Committee ENDORSED this iteration of the forecast and NOTED there would be a further update in June.

### 21/18 Update on banking arrangements

The Director of Finance updated the Committee on the following issues:

- **RCF:** The final pricing information is yet to be received from the bank.
- **Adjustment to bank covenant:** The latest announcement on the USS valuation has resulted in the bank requesting more information. The final product may provide modest confidence at significant cost and so will be reviewed further before a final recommendation is made.

Details will be shared by circulation in advance of any final decisions.

*Secretary's Note: The RCF pricing has been formally confirmed by Lloyds, at pricing levels in line with those previously discussed at Finance Committee. The extension of the facility for a further year, means it will now expire in Jan 2024, results in a margin increase of 15 basis points (previously 35bp, now 50bp) and a non-utilisation rate increase of 12 basis points (previously 15bp, now 27bp).*

### 21/18 LSU Accounts and Management Letter 2019/20

FC21-P13

The Committee RECEIVED the Loughborough Students' Union Accounts and Management Letter 2019/20.

### 21/19 Quarterly Report: Loughborough Students' Union 2020/21

FC21-P14

The Committee RECEIVED summary financial report for the period 1st August 2020 – 31st January 2021.

### 21/20 Valediction

The Committee recorded its thanks to Professor Tracy Bhamra for whom this was the last meeting.

### 21/21 Schedule of Meetings 2020/21

The Committee **NOTED** the dates of meetings for remainder of the academic year:

18th June 2021

Author – Miranda Routledge

Date – March 2021

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## Health, Safety and Environment Committee



Loughborough  
University

### Minutes SAF21-M2

Minutes of the Health, Safety and Environment Committee held on Wednesday 26 May 2021

#### Attendance

##### Members:

Neil Budworth, Ruth Casey, Paul Conway (ab), Sandy Edwards, Alec Edworthy, Graham Howard, Chris Linton (Chair), Graham Moody, David Roomes, Jo Shields, Oliver Sidwell, Richard Taylor, Maria Turnbull-Kemp (ab).

##### Apologies for absence:

Paul Conway, Maria Turnbull-Kemp

##### In attendance:

M Ashby (Secretary), Adam Crawford and Andy Dainty (for M21/22), Max Reid (in place of Maria Turnbull-Kemp), Julie Turner (for M21/24-27).

#### 21/20 Minutes

##### SAF21-M1

The minutes of the meetings held on 3 February 2021 were approved.

#### 21/21 Matters Arising from Previous Meetings

##### SAF21-P29

- 21.1 Actions arising from previous minutes were NOTED and their current status confirmed.
- 21.2 Arising from SAF20/M1 3.2 *HSE Update: Loughborough Students' Union*, the Students' Union had been unable to gather information on incident rates at other students' unions due to the pandemic but intended to do so in the near future. The Director of Health, Safety and Wellbeing offered to circulate a request for information to the Universities Safety and Health Association network and asked Loughborough Students' Union to provide the text of the request that they would like to be circulated. **ACTION: LSU Director of Finance & Operations**
- 21.3 Arising from SAF20-M1 4.3 *HSE Update: Campus Services*, Campus Services had changed their strategy for third-party accommodation providers where health and safety could not be assured. Campus Services were now working with these providers to ensure assurance rather than blacklisting them.
- 21.4 Arising from SAF20-M1 8.1 *Statutory Compliance KPIs*, members noted that new processes and procedures for F-Gas compliance were being finalised. It was anticipated that compliance would be achieved in the next six to 12 months.

## 21/22 Health, Safety and Environment Update: School of Architecture, Building and Civil Engineering

### SAF21-P30

22.1 The Committee RECEIVED a presentation by the Dean on health, safety and environment arrangements in place in the School.

22.2 The following points were NOTED in particular:

- (i) The School had reflected upon the fact that it had had no near misses or incidents between May 2020 and April 2021. It had concluded that this was due to a number of factors not least a significant reduction in practical activity on campus during the pandemic and extra scrutiny in the School of lab and field-based teaching and research activities during this time.
- (ii) The University as a whole had experienced a reduction in the number of near misses, and there was an assumption that this was due to under-reporting. The Director of HSW was asked to reflect upon the possible causes for the reduction. **ACTION: Director of HSW**
- (iii) There had been a step change in the quality of risk assessments undertaken within the School. This was partially due to greater recognition of their importance amongst staff and students but also to the need to review the assessments to ensure that they were Covid safe.
- (iv) The School wished to ensure that it retained some of the positive outcomes arising from its actions during the pandemic. In particular it wished to retain the measures put in place to support the wellbeing of staff and researchers and the greater emphasis placed on health, safety and the environment.

22.3 The Committee welcomed the actions taken by the School during the pandemic. It noted, in particular, its success in continuing to offer Covid-safe fieldwork and the measures that had been put in place to support the mental health of its staff and researchers.

## 21/23 Report from the Director of Health, Safety and Wellbeing

### SAF21-P31

23.1 Members RECEIVED an update from the Director of Health, Safety and Wellbeing.

23.2 The following points were NOTED in particular:

- (i) A significant increase in the number of referrals made to the Occupational Health Service and in particular the number relating to mental health, which was higher than the national average. The Service was said to be highly valued and was receiving external recognition.
- (ii) A recent incident involving the modification of laboratory equipment had been investigated and dealt with appropriately.
- (iii) The Health and Safety Service had complied with requirements of a Notice of Contravention relating to the management of water systems in the Towers and was working with the Estates and Facilities Management team to critically evaluate the wider water management system.
- (iv) The Health and Safety Service was continuing to review lessons learnt from the Grenfell Towers tragedy and the fire in The Cube student accommodation block in Bolton. It was participating in a Government survey on halls of residence and cladding.

23.3 The Health and Safety Executive had determined that a gas system on the East Midlands campus was a private gas network and had issued a Notice of Contravention. The Estates and Facilities Management team and the Health and Safety Service were liaising with the Executive over this issue. The Director of HSW had noted that operations on campus were not unsafe but that this action was necessary to ensure that all issues had been covered. The development of a safety case would be a significant piece of work which could take up to a year to fully develop.

## 21/24 Covid 19 Response Update

### SAF21-P32, SAF21-P33

- 24.1 Members RECEIVED an update on the University's Covid 19 response and on the testing regime in operation.
- 24.2 The University was seen to be the sector leader in testing, by some measure, both in absolute test numbers and percentage compliance. It was held in high regard within the sector and by the Government and was at the heart of discussions on standards and guidance with the Department for Education, Universities UK, Public Health England and other stakeholders.
- 24.3 The Committee noted that some parts of the HE sector could have done more to put in place testing to ensure that normal activity could resume at an earlier stage in the pandemic. The Director of HSW had made this point to Universities UK and to the Department for Education.
- 24.4 The Connect and Protect system had been set up to organise Covid 19 testing at the University. It had received over 120,000 submissions to date. Testing compliance was checked automatically on entry to the University Library, sport facilities and 'Parcels'. Random spot checks were also carried out in dining halls, laboratories and workshops.
- 24.5 The following points were NOTED in particular:
- (i) The University had made the decision to remove students' access rights in order to be in a position to limit access to facilities for those who did not engage with testing. This, and students' goodwill, had resulted in high levels of engagement amongst students.
  - (ii) Planning was under way for the vaccination strategy for students in June and for arrangements on campus in the new academic year. The Director of HSW and the Director of Student Services were pressing the Department for Education and Charnwood Clinical Commissioning Group for information on their expectations of the HE sector for the next academic year.
  - (iii) Physical events, including graduation ceremonies and hall balls, would present additional health and safety challenges for the University during the summer.
  - (iv) The testing centre was carrying out PCR tests for staff and students who needed to travel outside the UK and was able to provide them with a testing certificate.
- 24.5 The UCU representative thanked the Director of HSW and the Strategic Scientific Technical Lead for their work during the pandemic and also their engagement with the trade unions over aspects of the University's response.
- 24.6 The Committee ENDORSED the testing regime.

## 21/25 Statutory Compliance Key Performance Indicators

### SAF21-P34, SAF21-P35

- 25.1 Members RECEIVED updates on statutory compliance key performance indicators. All DAP areas were rated as either amber or green, with most areas showing improvement. A number of areas had been rated as amber, rather than green, due to the need for staff in some areas to focus on Covid 19-related safety measures. The Health and Safety Service was asked to include descriptors in future KPI reports to clarify the nature of the categories used. **ACTION: Director of HSW**
- 25.2 The following points were NOTED in particular:
- (i) An agreed programme of work on fire safety had led to this area being changed from red to amber.
  - (ii) Significant work had been undertaken to secure the safety of the University's water system following a case of Legionnaires Disease in a hall of residence, and additional resources had been allocated to oversee water safety. The area remained amber but demonstrated improvement.

25.3 The Committee agreed that it was important to capture the business continuity learnings arising from the case of Legionnaires Disease. Estates and Facilities Management would develop a report for consideration by Operations Committee.

**ACTION: Head of Catering, Domestic and Residential Services & the Head of Operations and Student Accommodation Services**

## 21/26 Radiation Protection Update

### SAF21-P36

26.1 The Committee RECEIVED a radiation protection update and ENDORSED radiological non-compliances and associated recommendations. The Chair would contact the Dean in one School regarding a non-compliance to establish what action had been taken to address the matter. **ACTION: DVC**

26.2 Decommissioning work had been paused when key staff had been redeployed to work in the Connect & Protect/Covid testing team but had recently begun again.

26.3 Recent changes to International Atomic Energy Agency requirements had led to more rigorous processes being put in place by the Health and Safety Executive for organisations that undertook work with ionising radiation. The new change could lead to the University incurring increased costs, an increased administrative burden and HSE inspections on all equipment producing ionising radiation.

## 21/27 Chemical and Biological Safety Update

### SAF21-P37

The Committee APPROVED a proposed change to the health and safety element of human participation work to remove a temporary additional step that had been put in place during the pandemic.

## 21/28 Fire Safety Update

### SAF21-P38

28.1 The Committee RECEIVED a fire safety update and noted actions that had moved the fire compliance KPI from red to amber.

28.2 The Committee APPROVED proposed criteria to determine appropriate standards that would apply in the event of a significant refurbishment.

28.3 The Committee CONFIRMED its commitment to the current two-year Fire Risk Assessment review period for accommodation and APPROVED a proposed wider position on University fire risk assessment review periods.

28.4 Members noted that there had been 50 occasions between January and April where fire alarms had been activated due to a fault in the system. It was unclear whether these incidents had occurred across the University's campuses or whether they were concentrated in a few buildings. The Health and Safety Service would provide a breakdown of these instances at the next meeting. **ACTION: Director of HSW**

## 21/29 Occupational Health and Wellbeing Service Annual Report

### SAF21-P39

29.1 Members RECEIVED the annual report of the Occupational Health and Wellbeing Service. The report conveyed the ongoing success of the Service and positive changes that had been made over the previous year. These included the relocation of the Service, replacement of the existing employee assistance provider, recruitment of an additional occupational health advisor and the implementation of occupational health physician services from Nottingham University Hospital.

- 29.2 The Service had received external recognition. It had been awarded 'Team of the Year' in the Personnel Today Awards 2020. The service was also featured in Occupational Health magazine.
- 29.3 The Service continued to receive high levels of referrals. Of these 28 per cent were mental health related. This was noted to be higher than the national average of 12 per cent. Members noted that Long Covid could be a concern in the future, with an estimated ten per cent of those who had been infected with Covid 19 continuing to suffer from symptoms over an extended period.

## 21/30 Sustainability Annual Report

### SAF21-P40

30.1 The Committee RECEIVED the Sustainability Annual Report.

30.2 The following points were NOTED in particular:

- (i) The Sustainability Action Plan would be reviewed in due course to reflect the University's new Strategy.
- (ii) The University had been recognised as a sector leader for spill management, having received a British Safety Industry Federation Water Pollution Prevention Award in 2020.
- (iii) The Climate and Environment Task Group would report to the Committee in October. Its report would identify the top five climate change risks for the University and would put forward some recommendations.
- (iv) Estates and FM were developing a decarbonisation plan which would be considered by Operations Committee in due course.
- (v) A recent report, 'Building Back Better', had highlighted opportunities for improving the way in which the University operated in the future. One potential area, a reduction in business travel by academic staff, could achieve a significant saving for the University and reduce Scope 3 emissions. The future demand for business travel was currently unclear and warranted further discussion by the Committee. The Associate Head of Sustainability would engage with Schools to explore a future strategy for business travel with academic staff with a view to presenting her findings to the Committee. **ACTION: Associate Head of Sustainability**

## 21/31 Future Business

### SAF21-P41

The Committee APPROVED a schedule of business for forthcoming meetings.

## 21/32 Committee Effectiveness

### SAF21-P42

- 32.1 Members CONSIDERED the effectiveness of the Committee and confirmed that they were content with the way in which it operated. They NOTED that 2020 had been an unusual year from a health, safety and environment perspective, where effort had needed to be focused on measures to respond to the pandemic. The Health and Safety Service was gradually moving to a better footing where it was in a position to focus on its future strategy.
- 32.2 The Committee NOTED that its membership included two external members, one of whom was also a member of the University Council and, who in that capacity, was able to assure Council of the work of the Committee. This arrangement was considered by members to be appropriate from a governance perspective.
- 32.3 Members were encouraged to forward any comments on the effectiveness of the Committee to the Chair or Secretary. **ACTION: HSE Members**

## **21/33 Fire Safety Policy**

### **SAF21-P43**

Proposed changes to the existing Fire Safety Policy, as detailed in SAF21-P38 and SAF21-P43, were APPROVED.

## **21/34 Safeguarding Policy**

### **SAF21-P44**

Proposed changes to the existing Safeguarding Policy were APPROVED subject to a reference to the 1998 Data Protection Act being changed to the 2018 Data Protection Act.

## **21/35 Reports to Health, Safety and Environment Committee**

The Committee RECEIVED the following reports:

- (i) **SAF21-P45**  
Environmental Compliance Report
- (ii) **SAF21-P46**  
Accident Data Report
- (iii) **SAF21-P47**  
Annual Report of Ethics Review Sub-Committee for 2020/21

## **21/36 Minutes of Sub-Committees**

The Committee RECEIVED minutes of meetings of the following groups and sub-committees:

- (i) **SAF21-P48**  
GM/Biosafety Committee (24<sup>th</sup> March 2021)
- (ii) **SAF21-P49**  
Health Safety Environment Statutory Sub-Committee (22<sup>nd</sup> April 2021))
- (iii) **SAF21-P50**  
Non-Ionising Radiation Committee (25<sup>th</sup> March 2021)
- (iv) **SAF21-P51**  
Radiological Protection Sub-Committee (18<sup>th</sup> May 2021)

## **21/37 Valediction**

The Committee thanked retiring member Oliver Sidwell for his valued contributions to the Committee's discussions.

## **21/38 Date of Meetings in 2021/22**

Wednesday 6 October 2021 at 2.00pm  
Wednesday 2 February 2022 at 2.00pm  
Wednesday 25 May 2022 at 2.00pm

## Human Resources Committee



Loughborough  
University

### Minutes

#### HRC21-M2

Minutes of the meeting held on Wednesday 26 May 2021

#### In attendance:

Richard Taylor (Chair), Ffyona Baker, Joanna Cound, Tony Edwards, Julie Hibbert (Secretary), Clare Hutton, Claire Jagger, Anne Lamb, Chris Linton, Adèle MacKinlay, Alex Marlowe, Steve Rothberg, Surinder Sharma, John Sinnott, Tony Williams

#### Apologies received from:

Emma Dresser, Veronica Moore

#### Welcome

The Chair welcomed a new lay member, Joanna Cound, to the Committee and asked members to introduce themselves.

It was noted that the meeting would be observed by John Rushforth, who is working with the University on the Effectiveness Review of Council.

#### 21/22 Previous Minutes

HRC21-M1

The minutes of the meeting held on Wednesday 3 February 2021 were confirmed as an accurate record. It was, however, noted that James Esson had been in attendance.

#### 21/23 Matters Arising from the Minutes

HRC21-P02 EDI Compliance Report

The Secretary confirmed that she had referred the Committee's concerns about the over-representation of BAME students in the University's academic misconduct processes to Learning and Teaching Committee. The Chair of the Learning and Teaching Committee had requested a further analysis of the data on BAME student outcomes, and it was anticipated that this would be discussed at the next meeting on 10 June 2021.

#### 21/24 Report from the Director of HR and Organisational Development

The Director of HROD reported on the following matters:



*Furlough:* Whilst this had been an excellent scheme in terms of the benefits to staff, it had placed a significant administrative burden on HROD staff with much of the work happening “behind the scenes”. At its peak in February 2021, there were 627 members of staff on furlough, whereas the most recent data (April 2021) indicated that this had now declined to 175 members of staff.

*USS Pension:* It was reported that UUK would be co-ordinating universities’ responses to the 2020 valuation. The University submitted its response on 24 May 2021 and was of the view that there might be some significant changes to come including the possibility of industrial action. Members were in agreement that the pension negotiations were extremely complex and that it would be important for the Committee to have a good understanding of the main issues and the challenges going forward. A briefing should be scheduled for the next meeting of HRC, and the Director of Finance should be invited.

**ACTION: JAH**

*Pay Offer:* The proposed increase of 1.5% had been rejected by the Trade Unions.

*Return to Campus:* Staff were now making a gradual return to the East Midlands campus, and there were plenty of students around. The University was adhering to the Government’s guidelines and was keen to put out the message that it was safe for staff to return.

*Dynamic Working Group:* A Dynamic Working Group has been established to reflect on what has been learned from the pandemic and to consider how the University might adopt hybrid ways of working as it moves forward from COVID-19 and lockdown. The group, which is chaired by the Dean of the School of Architecture, Building and Civil Engineering, has already been consulting widely across the University and is aiming to present ten key principles for hybrid working to the Senior Management Team in July 2021 with a view to implementation in 2021/22. It was noted that a framework for hybrid working would need to be fluid and would be subject to review at regular intervals.

## **21/25 People and Organisational Development Strategy**

### **HRC21-P14 People and Organisational Development Strategy: Enablers and Challenges**

The Chair introduced this item by saying that the alignment of the People Strategy with the new University Strategy would be a significant piece of work over the next 24 months, and it was, therefore, fundamental that the Committee had an understanding of the main enablers and risks from a people perspective. With that in mind, the Chair was keen that the Committee spent some time discussing the paper, which had been prepared by the Director of HROD, and members agreed with the suggestion that the KPIs were considered simultaneously. The Director of HROD commented that the People Strategy would be refreshed when the new University Strategy was in place and that it was important to bear in mind that events over the last 2 years had impacted on what HROD had hoped to deliver.

The key points arising from the discussion were as follows:

1. In the first bullet point under ‘Enablers’, it was recommended that the wording “*stability of the workforce*” was qualified. Additionally, the wording “*broadly competent with pockets of exceptional performance*” did not fit with the idea of striving for excellence, and it was felt that it contradicted the comment about “*workforce agility*” which appeared in the third bullet point under ‘Risks’.
2. With regard to the second bullet point under ‘Risks’, members were in agreement that the prioritisation of workloads would be particularly important for all staff. For example, during the pandemic, the HROD Team had little spare capacity due to a high number of staff with caring

responsibilities and the increased administrative workload as a result of furlough and severance. The Committee recognised the challenges around deprioritisation, but suggested that the Director of HROD gave consideration to the type of work which could be dropped across the section as a whole.

3. Following on from the conversation about deprioritisation, it was noted that the Deputy Director of HROD would convene a review of the Grievance Policy and Procedure which would hopefully lead to a reduction in the number of cases.
4. Employee relations were taking up a significant amount of the HROD Team's time and, more specifically, there was a marked increase in the number of grievance cases. Not only were these complex and time-consuming, but some were high profile and had subsequently attracted media interest.
5. Members asked whether HROD should begin to focus on embedding EDI activity elsewhere, given some of the operating pressures on the team.
6. There was no mention of the University's reputation either nationally or internationally, with members in agreement that this could be seen as both an enabler and a risk. For example, the University attracted staff from all over the world, but damage to its reputation could have a negative impact on its recruitment strategy.
7. Consideration needed to be given to external (i.e. uncontrollable) factors, such as the forthcoming Auger report on tuition fees, as there were difficult times ahead for the HE sector which might impair the University's ability to deliver change.

The Director of HROD undertook to follow up these points with members – both individually and as a group – and would ensure that there was an ongoing discussion about the alignment of the People Strategy with the new University Strategy at the HRC meetings in 2021/22. **ACTION: AM**

### **HRC21-P15 People and Organisational Development Strategy: KPIs**

The Committee acknowledged that the KPIs would need to be re-aligned to reflect any changes to the People Strategy as a result of the emerging University Strategy. Whilst members understood the rationale for providing qualitative assessments for each of the measures, they felt that it would be helpful to have some sight of the data which underpinned the KPIs. They also suggested that an analysis of the data might help to gauge the mood of the workforce, e.g. why have there been more grievance cases, what has led to the rise in the number of discipline cases, etc.

Members agreed that significant progress had been made in some areas, but felt that the individual RAG ratings could be debated. For example, 'the ability to retain academic and Professional Services talent' had been rated 'Green', but the assessment suggested that more academic women than men leave the University.

The Committee agreed with the suggestion that the KPIs were presented to each meeting of the HRC so that they could be reviewed on a regular basis and that a trajectory of performance might also be indicated. In the meantime, however, the Committee RECOMMENDED an overall RAG rating of 'Amber' to Senate and Council. **ACTION: AM**

### HRC21-P16 Progress Report on Activity of the EDI Sub-Committee

Members were pleased to receive an update on the activities of the newly formed EDI Sub-Committee and congratulated the Chair of the Sub-Committee (Veronica Moore) and its membership for all the work undertaken to-date. Members acknowledged the volume of work within the EDI arena and were concerned that the Sub-Committee could be at risk of taking on too much if the University's EDI priorities were not clearly identified, including the need for additional resource. In this respect, it was noted that a proposal had already gone forward to the University's Operations Committee.

There was a brief discussion as to whether there was a potential conflict of interest in People and Organisational Development having ownership of the EDI agenda, and it was agreed that consideration should be given to this.

With regard to page three of the Road Map, the Provost requested that the wording "Research, Technical and Enterprise staff" was corrected to read "Research, Teaching and Enterprise staff".

**ACTION: VM**

The Committee NOTED the activities of the EDI Sub-Committee and ENDORSED the Road Map subject to the minor revision above.

### HRC21-P17 Race Equality Charter

The Chair spoke to this item and advised the Committee that significant work had been undertaken on the writing of the REC submission and its action plan. As members were being asked to endorse progress to-date, there were two main issues which required their acceptance:

- (i) that the REC reflected the presence of institutional racism at Loughborough University;
- (ii) that the lack of diversity amongst the University's senior managers and leaders might be holding back its EDI agenda.

There were 118 actions to progress over a 3-year period following the completion of the submission and, whilst many of these were small, it was noted that there were seven key areas requiring action. The work was consistent with action plans of different committees and groups across the University (e.g. Learning and Teaching Committee)

The Committee THANKED Emma Dresser and Tara Nadi for their work on the submission and ENDORSED progress to-date.

### HRC21-P18 Race Equity Progression, Implementation and Oversight

The Committee was asked to approve the formation of a group, which would continue with the race equity work after the submission of the REC and ensure that the University was kept up-to-date with best practice across the sector. Members were supportive of the proposal, noting that the group would report to the EDI Sub-Committee. However, it was suggested that the membership should be reviewed, as the proposed group was too large.

**ACTION: JE**

The Committee ENDORSED the formation of the group.

## **21/27 Athena SWAN**

HRC21-P19

The Committee APPROVED the re-establishment of the University's institutional Athena SWAN Self-Assessment Team.

## **21/28 The Halo Code**

HRC21-P20

The Committee APPROVED the adoption of the Halo Code to celebrate natural Black hair and hairstyles and protect the rights of Black students and staff.

## **21/29 New Lecturers' Programme and Extended Family Leave**

HRC21-P21

The Committee APPROVED a minor revision to the New Lecturers' Programme.

## **21/30 Technician Commitment**

HRC21-P22

The Committee APPROVED the University's Technician Commitment submission 2021.

The Committee NOTED the thanks given to the Technical Community for their significant contribution throughout the pandemic.

## **21/31 Staff Grievance Procedure and Policy**

HRC21-P23

The Committee NOTED the commencement of the review of the Staff Grievance Procedure and Policy (Ordinance XXXVII).

## **21/32 Personal Titles**

HRC21-P24

The Committee NOTED that the following had been awarded Personal Titles during the period 1 February – 30 April 2021:

### **Personal Chair (with effect from 1 February 2021):**

- Dr Fehmidah Munir, School of Sport, Exercise and Health Sciences, Professor in Health Psychology.

### **Personal Readerships (with effect from 1 February 2021):**

- Dr Catherine Armstrong, School of Social Sciences and Humanities, Reader in Modern History.
- Dr James Esson, School of Social Sciences and Humanities, Reader in Human Geography.

### **21/33 Emeritus Professorships**

The Committee NOTED that the following had been awarded the title of Emeritus Professor:

- Professor Feo Kusmartsev, Professor of Theoretical Physics, School of Science, with effect from 1 February 2021.
- Professor Jo Aldridge, Professor of Social Policy and Criminology, School of Social Sciences and Humanities, with effect from 5 February 2021.
- Professor Louise Cooke, Professor of Information and Knowledge Management, School of Business and Economics, with effect from 5 February 2021.
- Professor Elaine Hobby, Professor of 17<sup>th</sup> Century Studies, School of Design and Creative Arts, with effect from 1 September 2021.
- Professor Robert Allison, Professor of Loughborough University, with effect from 1 October 2021.

### **21/34 Honorary Titles**

HRC21-P25

The Committee NOTED the Honorary Titles awarded during the period 1 February – 30 April 2021.

### **21/35 Joint Negotiating and Consultative Committee**

HRC21-P26

The Committee NOTED the minutes of the meeting held on 27 January 2021.

### **21/36 Any Other Business**

There was no other business.

### **21/37 Date of Next Meeting**

Wednesday 6 October 2021, 10.00 am, venue TBC

# Information Technology and Governance Committee



## ITGC21-M1

### Minutes of the meeting 28 January 2021

#### Attendance

Present: Steven Kenny, Andrew Fisher, Richard Taylor, Jennifer Nutkins, Caroline Kennedy-Pipe, Darren Smith, Adam Crawford

In attendance: Vipin Ahlawat, Dave Temple, Matt Cook, Claire Vallance, Jen Fensome (for Item 21/4), Caroline Glendenning-Platt, Secretary

Apologies: Sally-Ann Hibberd

#### 21/1 Minutes

##### ITGC20-M3

The minutes of the Information Technology and Governance Committee meeting held on 27 October 2020 were confirmed.

#### 21/2 Matters arising

##### ITGC21-P1

The Committee **NOTED** progress against actions arising from the minutes.

The Director of ITS Services mooted a no-cost solution to close off ITGC20-M1 20/3 by using cyber survey data to generate a general threat indicator which could be included on the standard Key Risk Indicator item. The Committee accepted this approach and this action would be closed, with the changes implemented by the Director before the May meeting.

The action on Ransomware readiness (ITGC20-A3 20/44) would also be closed, with adjacent issues discussed under the agenda item on Cyber Insurance, including the need for a negotiator.

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## SECTION A – Items for Discussion/Report

#### 21/3 Directors Update

The Director of IT Services presented an update on operations and strategy with a particular focus on reactions to the COVID-19 pandemic. There is still a significant amount of responsive activity (e.g. online exams).

The Director's update highlighted the following:

- Infrastructure upgrades, including wireless, have continued, which will prepare the campus for the students' return;
- The next Phase of Teams roll out is underway, in partnership with Organisational Development, to create a one-stop-shop for training. This may require a moderate investment from Operations Committee in the future for scale up but will use external low-cost resources where possible;
- Centralised computer hardware purchasing for professional services has led to savings but it is as yet unclear how the impact of these savings longer term given the strict expenditure controls in place at the moment;
- There is a continued focus on cyber security including awareness raising with senior leaders (e.g. Academic Leadership Team, Professional Services Leadership Team)
- The Identity Management Project requires significant decisions need to be made by project board on 8 February and a further update would be brought to ITGC if required;
- Strategy implementation has been slow but tensioned against other pressures. However some milestones have been met, including the agile coach appointed and engaged, movement toward product management for Student Systems, with Finance and HR to follow and Intranet decommissioning. The focus in the coming months will be on building momentum.

The Committee **NOTED** that ITS have reflected on a number of lessons learned from the pandemic, including the use of user champions and co-creating solutions with end users as standard, and designing services for a more mobile workforce (e.g. laptop by default). Further updates to policy and practices would be brought to ITGC when required.

## 21/4 Research Participant Data Management Recommendations

### ITGC21-P2

The Committee **CONSIDERED** an update developed in partnership from the Academic Registry and Research and Enterprise Offices on Research Participant Data Management. Whilst management of personal data represents the area of greatest risk, the work aims to take a holistic approach to effective management of all our research data. As such, this is a plan not just for a short-term fix, but for a longer-term cultural change. The Committee **NOTED** that Associate Deans of Research have been consulted, but their feedback needs to be taken into account further prior to implementation. They were supportive but concerned about workload and fatigue with academic community. Any policy changes or strategic initiatives will need to go through other channels of governance (e.g. Research or Enterprise Committee) as well before implementation.

The Information Governance manager emphasised that improving practices requires a cultural change in how data protection is perceived by researchers, from a bureaucratic burden to an essential part of an ethical standard or research toolkit. This repositioning needs to be led by academics, and the value of it needs to be clear to researchers and participants. Academic champions may be useful, but this role needs to be integrated into other structures and scoped appropriately. The work also needs to be embedded in induction, probation, and other existing reward and review structures. The approach needs to work in different schools and disciplines. The Committee **NOTED** that case studies may be useful in making it feel real to academics during implementation.

The paper lists ten high risks. The Committee **NOTED** these risks and the severity ascribed to them and requested more detail to understand their impact on the wider University level risk, including the likelihood of these risks leading to a significant data breach and the timescales of mitigation efforts. This information would allow the Committee to understand if escalation to Council was required. If more work is needed in this area to align with institutional risk appetite, this will need to be prioritised over other areas of focus for academics, and resources may potentially need to be reassessed.

**ACTION: Director of Research and Enterprise and Academic Registrar to bring further paper addressing high risks and mitigation efforts to inform an agreement on the level of concern and potential escalation to Council.**

## 21/5 Information Governance Update

### 21/5.1 Annual Cycle

#### ITGC21-P3

At its October 2020 meeting, ITGC requested that IGSC consider the development of a transparent plan of action and business cycle for the upcoming year. This was to ensure that the sub-committee was considering and receiving the right information to fulfil its remit (and, in turn, reporting to ITGC), and was able to report effectively around risk.

The Academic Registrar presented a paper which reviewed the current terms of reference of the sub-committee and assessed where further information is required. To address the findings of the gap analysis, a new business cycle was endorsed by IGSC at its December meeting. The Business cycle was **ENDORSED** by ITGC as a considerable strategic step forward. However, the challenge will continue to be prioritisation given limited resources.

The paper also presented an update on how ICO recommendations will be addressed in the wider information governance framework. Data asset registers are a subset of work required by the ICO, and there is still work required to future proof the current data asset registers. However, this would need to be prioritised over other activity with resources being limited. This will be monitored on an ongoing basis at IGSC, as per the new business cycle.

The Committee **AGREED** that it was content with the direction of travel of the sub-committee.

### 21/5.2 Data Asset Registers

#### ITGC21-P4

The Committee **RECEIVED** an update on Data Asset Registers

To address the current red risk attached to Data Asset Registers, the paper outlined two phases of work to address this challenge both in the immediate term and in follow-up work that can be conducted over coming months. Progress will be monitored and governed by IGSC.

The Committee **ENDORSED** the approach presented within the paper.

### 21/5.3 Email Data Breaches

#### ITGC21-P5

The Committee discussed a paper outlining work planned to limit data breaches resulting from email usage. It **NOTED** that email is an area of high risk, and an initial analysis of ways to limit risk has been undertaken, leading to some quick improvement (e.g. including a warning when sending outside the organisation). Further technical interventions may bring related challenges with human behaviour which would negate the positive benefit. A cost benefit analysis of these options was requested.

**ACTION: The Assistant Director of ITS (Infrastructure and Operations) to outline technical options for further interventions related to email data breaches with cost/benefit analysis.**

## 1 MFA for Students

#### ITGC21-P6

The Committee **NOTED** that IT Services successfully launched MFA (Multi Factor Authentication) to all staff and PGRs (Postgraduate Research students) during December 2019. ITS is now seeking



endorsement from ITGC on the proposal to deploy MFA to all undergraduate and postgraduate students in the autumn of 2021 at a cost of (£74,670) PA.

The Committee **AGREED** that the proposal should move forward but noted that the significant cost implications may be challenging in the current financial environment. The paper was **ENDORSED** as long as the project proposal addressed issues of communications and support, which would be the most critical in its successful implementation.

This proposal would be drafted alongside a business case which would go to Operations Committee, which should also highlight the technical risks associated with not pursuing student MFA. The Committee expressed its understanding of the financial pressures on the University. ITGC felt that student MFA was a significant tool in protecting students and the institution from fraud or loss. However the Committee also understood that this needs to be tensioned against other priorities.

## 2 Cyber Insurance

### ITGC21-P7

The Director of ITS presented a discussion paper on the principle of cyber insurance to agree next steps. The University has considered purchasing a specific cyber insurance policy on a number of prior occasions, but it was felt that policies available at the time did not represent sufficient value for money nor provide adequate coverage to justify the expenditure over the current limited cover from UMAL. However, the policies now available have developed to offer greater coverage (e.g. covering accidental data breaches as well as malicious attacks) at potentially lower cost and an increase in successful ransomware attacks at other Universities over the past 12 months indicate that the likelihood of a significantly disruptive incident has increased. The benefits of a potential policy were noted, particularly breach response services, which would be difficult to procure in the timescales required if a significant breach or ransomware attack were to occur.

Committee members questioned the payouts associated with low cost providers and sought assurances that other institutions were able to get the payouts or services advertised when required. The Director noted that this would be discussed with an external consultancy agency in the coming weeks. Colleagues can also avail of HEI networks to gain further assurances if required.

The Committee noted that there is a part-time PhD student in the School of Social Science and Humanities who may be a useful contact in this area as well, and the Director of ITS would follow up.

The Committee also NOTED that whilst this expenditure may be lower priority in its eyes than Multifactor authentication for students, there is a case to be made for further financial headroom in the ITS budget to respond to emerging threats and opportunities as the new digital landscape unfolds. When the new university strategy is agreed, this could be an opportunity to review this area strategically with Operations Committee.

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## SECTION B – Starred Items for Approval

## 3 Terms of Reference

### ITGC21-P8

The Committee **ENDORSED** changes to the Committee's Terms of Reference for approval at Senate and Council.

## 4 High Performance Computing Sub-Committee Proposed Annual Cycle

## ITGC21-P9

The Committee **NOTED** and **ENDORSED** an annual plan for HPC SC.

### 5 User Access Policy Correction

The Committee **NOTED** a grammatical correction to the Policy on User Access (ITGC20-P38) to the following:

*All student accounts will remain active for 30 days after they have been marked as completing their programme in LUSI, which is usually after the relevant programme board (UG and PGT students) or completion of all examination requirements (PGR students) and all tuition fees have been paid. 30 days after completion in LUSI student accounts will be deleted.*

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## SECTION C – Items for Information

### 6 Risk Indicators

#### ITGC21-P10

The Committee **NOTED** Risk Indicators.

### 7 \*Sub-Committee Digest

#### ITGC21-P11

The Committee **RECEIVED** an update on Sub-Committee activity since October 2020

### 8 Capital Framework

#### ITGC21-P12

The Committee **NOTED** the IT Capital and LTM Framework considered by Operations Committee on 11 January 2021 and previously received by ITGC in October.

### 9 \*IT Portfolio Board

#### 17.1 Projects Report

#### ITGC21-P13

The Committee **NOTED** the latest projects report from IT Portfolio Board

#### 17.2 Issues Log

#### ITGC21-P14

The Committee **NOTED** the latest issues log from IT Portfolio Board

### 10 \*Information Governance Sub-Committee

## 18.1 Minutes

### ITGC21-P15

The Committee **NOTED** the minutes of the Information Governance Sub-Committee meetings held on 8 October (*summary of meeting on 16 December included in ITGC21-P11*)

## 18.2 Data Security Incidents Log

### ITGC21-P16

The Committee **NOTED** data security incidents which have occurred since the last meeting of ITGC

## 18.3 ICO Recommendations and Priorities

### ITGC21-P17

The Committee **NOTED** an update ICO recommendations and that work was now integrated into new ICO framework.

## 11 \*High Performance Computing Stakeholder Sub-Committee

### ITGC21-P18

The Committee **NOTED** the minutes of the High Performance Computing Stakeholder Sub-Committee meeting held on 28 October 2020.

## 12 Any Other Business

## 13 Dates of 2019/20 meetings

Thursday 27 May 2021 at 9.30 am

Author – Caroline Glendenning-Platt  
Date – February 2021  
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# Information Technology and Governance Committee



## ITGC21-M2

Minutes of the meeting on 27 May 2021

### Attendance

Present: Steven Kenny, Andrew Fisher, Richard Taylor, Sally-Ann Hibberd, Jennifer Nutkins, Adam Crawford

In attendance: Vipin Ahlawat, Dave Temple, Matt Cook, Claire Vallance, Ffyona Baker and Claire Jagger (for Item 21/24), Caroline Glendenning-Platt, Secretary, Daniel Norton, Incoming Secretary

Apologies: Darren Smith, Caroline Kennedy-Pipe

### 21/19 Minutes

#### ITGC21-M1

The minutes of the Information Technology and Governance Committee meeting held on 28 January 2021 were confirmed.

### 21/20 Matters arising

#### ITGC21-P19

The Committee noted progress against actions arising from the minutes. The Secretary provided a correction for Action 21/5.3, which would be addressed in a verbal update instead and result in a future paper instead.

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## SECTION A – Items for Discussion/Report

### 21/21 Directors Update

#### ITGC21 – P28 *(presented in meeting)*

The Director of IT Services provided an update on strategy implementation and dynamic working.

Delayed by the pandemic, strategy implementation has progressed albeit at a slower pace than originally intended. Product management, agile capacity, and changes to the Software as a Service capability have all seen demonstrable progress. End user computing has changed significantly, with a new strategy in place which will emphasize a move toward mobile first and put resources in place to support the new Teaching and Learning environment.

The Committee **RECEIVED** an updated implementation plan and Committee **NOTED** amendments since the pandemic (see additional paper ITGC21-P28). The Committee noted that the revised

implementation plan was drafted before the risk on ransomware changed; shifts in resource and focus to mitigate ransomware risks will also have an impact on implementation.

Lay members **NOTED** that the end user strategy, dynamic working practices and wider gradual shift to laptops by default were positive developments and echoed the practices of firms which had best navigated the pandemic. Lay members felt that ITS was prioritising the right areas and had made good progress toward the right end point.

The Director of ITS clarified that the prioritisation of projects for product roadmaps would be largely devolved to business owners and product managers, but that cross-cutting projects will be prioritised by the IT Portfolio board. The Committee challenged the Director to consider developing and clearly articulating criteria for prioritisation as the structure matures and evolves.

The Committee **DISCUSSED** challenges for embedding Agile working practices, including physical space constraints, hybrid working challenges, and the shift from waterfall project management. The University was urged to consider permanently shifting working practices towards more agile management and noted that there is a cost related to agile, particularly in the prioritisation of resources. Agile working may also have significant relevance to other areas of the University beyond ITS, and the University should consider that this way of working will have increasing relevance over time.

The Director was questioned about the placement of AV equipment for hybrid meetings; following the meeting it was confirmed that at least one set up is present per School.

## 21/22 Ransomware Readiness

### ITGC21-P20

ITGC **CONSIDERED** an update from the Assistant Director of ITS which highlighted an increased risk of ransomware attack.

The paper requested a reprioritisation of resources to shore up systems to avoid being targeted by a ransomware attack. Whilst the recommendations are in line with previous paper on Ransomware (ITGC20-33), the rate of attacks within the sector and recent penetration testing demonstrated that the risk is elevated and immediate action is required.

ITS proposed a series of actions in the paper within three sections:

1. Recommended immediate enabling actions 1-5
2. Recommended immediate actions 1-10
3. Recommended actions to be completed in the next 12 months (1-10)

The Committee **ENDORSED** the recommendations in Sections 1 and 2, noting that they could largely be delivered within existing resources albeit with a reprioritisation of work. The Committee **NOTED** that these recommendations would require reprioritisation of other projects, and that there would be tensions with other stakeholders, but given the significant reputational and financial risks of a ransomware attack, these actions are required immediately. The Committee supported ITS in their assessment of the risk and planned mitigation efforts.

The Committee **DISCUSSED** the roles of Operations Committee and Council with these recommendations and **AGREED** that whilst any recommendations which require expenditure need to be decided on by Operations Committee, if they are unfunded, then Council needs to be consulted and sign off on the impact of not funding these measures on the overall strategic IT risk.

The Committee **RECOMMENDED** to Operations Committee that recommendations which have financial or cost implications, listed below, are funded or if not funded, then the risk is reconsidered at Council:

Recommendation 2.5: To address the remaining immediate risks to the University identified by the external security testers

This would have an associated cost of circa £21,888 inc VAT, per annum to license users who do not have a computer as part of their job role, and it may change the look of the IDP for Microsoft services

Recommendation 3.1: To unfreeze resource to prioritise the recruitment of a MA6 IT Security Specialist (partial replacement of Jo Brewin) with a specific focus on interpreting, responding to, and actioning the security alerts generated by IT Systems across the University.

The Committee **DISCUSSED** recommendations 3 & 4 from Section 3 which proposed enhanced Anti-Virus Software (Recommendation 3.3) at a cost of £190,800 inc VAT per annum or Microsoft Enhanced A5 Security licensing which included the anti-virus software in Recommendation 3.3) but at a greater cost (£219,500 incl VAT per annum). The Committee questioned how essential this expenditure was to mitigating the overall risk. The software was confirmed to be an additional layer of protection against individual lapses in security – if other controls worked perfectly, it would not be needed, but knowing the risks with human error, the software would be an additional line of defence against breakdowns in other areas. Other universities are purchasing this and we could be seen as more vulnerable without it. However there is a significant implementation cost and requirement for technical training, so Recommendation 4 could not be implemented for at least 12 months given the commitments outlined in the first two sections of the paper. With this understanding, ITGC **ENDORSED** Recommendation 3.4 (“Procurement and configuration of enhanced Microsoft A5 Security licensing which includes enhanced Anti-Virus”) to Operations Committee for funding. If funding was not given, ITGC **RECOMMENDED** that the risk be escalated to Council to review.

The Committee **CONFIRMED** that a process is in place with the Director of ITS, COO, and Director of Finance should a ransomware attack occur.

The Committee **DISCUSSED** the issue of staff error with MFA authentication and agreed that this should be considered as part of mandatory compliance and treated similarly to other lapses of judgement which left the University vulnerable to loss. There are also implications for Schools and Services business continuity plans. The COO agreed to bring this paper to PSTL for wider consideration, and a discussion with Operations Managers was requested.

**ACTION: COO to raise issues of business continuity planning and changes in ITS prioritisation to Deans, Heads of Service and Operations Managers**

The Committee also discussed Section 3 Recommendation 9, “To review the implications for a zero-trust approach to security as implemented at the University of Manchester.” The Committee **NOTED** that from an accessibility perspective a zero-trust policy is difficult. ITS agreed to keep a watching brief of the lessons learned at Manchester, as there would not be scope to implement a policy change of this scale for 12-18 months. Lessons learned from other projects, like Network 2020 and Teams, are also supporting the risk mitigation. Moving backup files from workspaces to Teams as part of business continuity work is one example.

The Committee would receive a further update on progress toward risk mitigation and the impact of these measures on strategy implementation in due course.

## 21/23 IGSC update

The Academic Registrar provided an update from the Information Governance Sub-Committee as chair. A brief update was received on Minute ITGC21-A3 Minute 20/48 (Legislation); a watching brief would remain on issues related to the US privacy shield, although ITS actions round Software as a Service help to reduce risk in this area.

A significant project, looking at Information Governance, would be coming forward to the Change Portfolio board that should help address a number of issues in the research and Enterprise space including Doctoral Researcher Training, human participant data management, and information

security. A Change Team led project to co-ordinate major cultural change (part of that being to ensure delivery of the actions in the original Paper (ITGC21-P2)) will help to work across services and structure to change ways of thinking and ensure the right prioritisation within teams.

Emails continue to be the greatest source of reported data breaches, noting that higher incidences of reporting in Student Services and Registry are probably linked with greater awareness of information security rather than a higher prevalence of human errors. The Assistant Director of ITS has started consultation on a series of potential interventions, but they need to be thought through from the business perspective and weight up against other potential interventions like retention policies and cultural changes. Constant reminders to staff about appropriate methods for information sharing and to be careful with email are necessary throughout the University. Recent subject access requests have highlighted that inappropriate content in emails and volume of retained emails remains a significant issue. Examples of best practice will be shared between Schools and Professional services. A paper will be brought to the October meeting, and the action left open.

Committee members emphasized that an agile approach with small teams of end users may benefit the Change Team project from the start. A focus on data protection by design will be critical throughout the process review.

## 21/24 Mandatory Training

The Committee **RECEIVED** an update on mandatory training and induction from the Organisational Development Adviser leading on the project. A new mandatory training matrix has been implemented, providing a comprehensive list of what is required and for which roles. Access for mandatory training has been centralised, and reporting is being addressed at the moment. A new policy will go to Human Resources Committee in October and will be received by ITGC for information. Refresh training will also be covered by the matrix and addressed by new reporting processes.

The Committee noted that training for undergraduate students may be useful; whilst it is included under Personal Best, there is no mandatory requirement for training. Student training will be explored as part of the potential zero-tolerance approach.

## 21/25 Digital Strategy for Teaching and Learning

The Committee **RECEIVED** a verbal update on future plans for the Digital Strategy for Teaching and Learning from the Director of ITS. Originally approved in March 2017, the strategy was envisioned to have a four-to-five-year lifespan. Achievements and lessons learned, particularly given the boost given to digital fluency as a result of the pandemic, is underway. This review will include student and staff surveys from the last year and sector publications. Three main themes are emerging:

1. Digital Skills, including next iteration of Personal Best (e.g. a peer to peer network for digital skills)
2. User Experience, noting the online experience for students needs to be safe and accessible.
3. Data and Systems Integration, with a focus on building on previous work

In addition to these themes, a cross cutting theme of engagement and communication is planned. Co-creation of a digital environment with staff and students is essential. Utilising expertise in the Design School around User Experience was discussed. A further update is planned for ITGC in the next academic year.

## 21/26 Web Accessibility

### ITGC21-P21

The Committee **RECIEVED** an update on accessibility. As a result of the pandemic, procurement of an audit product has not been completed yet. Working with ITS colleagues on the requirements capture for this system will be essential. However progress has still been made, and we do have a legally compliant web service. There is a continuing risk that something on Learn will not be

compliant, but these cases are being dealt with rapidly once the LTI team in ITS is made aware of the issue. Automatic captioning of videos was also raised and this will be addressed outside the meeting.

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## **SECTION B – Starred Items for Approval**

None.

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## **SECTION C – Items for Information**

### **21/27 \*Key Risk Indicators**

#### **ITGC21-P22**

The Key Risk Indicators were noted.

### **21/28 \*Sub-Committee Digest**

#### **ITGC21-P23**

An update on Sub-Committee activity since January 2021 was received.

### **21/29 \*IT Portfolio Board**

#### **17.1 Projects Report & Issue Log**

#### **ITGC21-P24**

The latest projects report and issues log from IT Portfolio Board were noted.

### **21/30 \*Information Governance Sub-Committee**

#### **18.1 Minutes**

#### **ITGC21-P25**

The minutes of the Information Governance Sub-Committee meetings held on 16 December 2020 and 25 March 2021 were noted.

#### **18.2 Data Security Incidents Log**

#### **ITGC21-P26**

The Committee noted data security incidents which have occurred since the last meeting of ITGC

#### **ITGC21-P27**

The Committee noted the ICO response to a recent data breach

### **21/31 Any Other Business**



A lay member raised Issues of technical debt under AOB, questioning if we had a clear roadmap in place for eradicating this debt. The Director of ITS confirmed that this is planned to be a part of the product ownership discussion. Further clarity and transparency about our percentage of legacy tech was requested for a future meeting, including a cost benefit analysis. Whilst the issue of technical debt is reviewed within the operational risks in ITS, consideration of what level of visibility is required for this meeting would be appropriate to consider alongside the effectiveness review in the Autumn. These updates may need to include Software as a Service as well, as this is a growing area with significant risks.

**Action: ITS to consider update on technical debt for a future meeting and Secretary to consider update to Business Cycle.**

### **21/32 Dates of 2021/22 meetings**

26 October 2021, 2pm

27 January 2022, 2pm

26 May 2022, 9:30am

Author – Caroline Glendenning-Platt

Date – May 2021

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