

**Meeting of the Educational Character Committee,  
at 4pm\* on Wednesday 4 December 2013,  
in room 1B27, Technopark, London Road, SE1**

\* Visit to the Faculty of Arts and Human Sciences for committee members at 3pm

**A G E N D A**

<i>Item</i>	<i>Paper</i>	<i>Presenter</i>
1. Welcome & Apologies		Chair
2. Minutes of the meeting of 9 May 2013 (for publication)	EC.13(13)	Chair
3. Matters Arising		Chair
4. Membership of the committee, 2013/14	EC.14(13)	Sec
5. Equality Act 2010 assurance update (to discuss)	EC.15(13)	Dir of SS
6. Academic KPIs Review (to discuss)	EC.16(13)	PVC(A)
7. National Student Survey Report (to discuss)	EC.17(13)	PVC(A)
8. Destination of Leavers of Higher Education Survey Results (to discuss)	EC.18(13)	PVC(A)
9. Validations Report (to discuss)	EC.19(13)	PVC(A)
10. Internal Audit report – Extenuating circumstances and academic appeals (to discuss)	EC.20(13)	PVC(A)
11. OIA Annual letter	EC.21(13)	Sec
12. Annual committee plan (to note)	EC.22(13)	Sec
13. Terms of Reference (to note)	EC.23(13)	Sec
14. Date of next meeting – 12 February 2014		Chair

---

Members: Steve Balmont (Chair), Barbara Ahland, Douglas Denham St Pinnock, Hilary McCallion, Mee Ling Ng and Andrew Owen

# **London South Bank** University

With: Vice Chancellor, Pro Vice Chancellor (Academic), Executive Dean – Faculty of AHS, University Secretary, Director of Student Services (for items 7 & 8), Head of Employability Service (for items 7 & 8) and Governance Assistant.

	PAPER NO: EC.13(13)	
Board/Committee:	Educational Character Committee	
Date:	4 December 2013	
Paper title:	Minutes of the meeting of 9 May 2013	
Author:	James Stevenson, University Secretary and Clerk to the Board of Governors	
Board sponsor:	Steve Balmont, Chairman of the Educational Character Committee	
<b>Recommendation:</b>	To approve the minutes and the proposed redactions for publication	
Aspect of the Corporate Plan to which this will help deliver?	N/A	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	Published on the University's website	

### **Executive Summary**

The committee is requested to approve the minutes of the meeting of 9 May 2013 and authorises their publication. No redactions are suggested.



Minutes of a Meeting of the Educational Character Committee  
held at 4pm on Wednesday, 9 May 2013  
in Room 1B27, Technpark, London Road, London SE1

**Present**

Steve Balmont	Chair
Barbara Ahland	
Anisa Ali	SU President
Douglas Denham St Pinnock	
Andrew Owen	

**In attendance**

Prof Martin Earwicker	Vice Chancellor and Chief Executive
Dr Phil Cardew	Pro Vice Chancellor (Academic)
Prof Mike Molan	Executive Dean, Arts and Human Sciences
James Stevenson	University Secretary and Clerk to the Board of Governors
Michael Broadway	Governance Officer

**Welcome and Apologies**

1. Apologies had been received from Prof Hilary McCallion.
2. The Chairman reported that the committee members had just had an informative pre-meeting with the Student Union and that he would circulate his comments on the meeting to members via email.

**Minutes of the last meeting**

3. The minutes of the meeting of 13 February 2013 were confirmed as a correct record (paper **EC.07(13)**). The minutes were approved for publication.

**Matters Arising**

4. There were no matters arising which were not covered elsewhere on the agenda.

**Faculty Pro Formas**

5. The committee discussed the updated faculty pro formas which included a SWOT analysis and key deliverables and risks for the current academic year 2012/13 (paper **EC.08(13)**). The committee welcomed the new structure of

the form and requested that each is updated ahead of the committee's faculty visits.

### **HESA Key Performance Indicators**

6. The committee noted an update on Higher Education Statistics Agency (HESA) key performance indicators (paper **EC.09(13)**). It was reported that the university performed well in widening participation indicators and was meeting its widening participation targets as set out in its OFFA access agreement. The challenge for the university was student retention and work was being focused on improving level 4-5 progression.

### **Postgraduate Faculty Monitoring**

7. The committee discussed the postgraduate faculty monitoring report (paper **EC.10(13)**). It was reported that these reports were reviewed by the Quality and Standards Committee to ensure academic standards remain high across the university and that external quality requirements are met. The committee requested an overview report in the future.
8. It was reported that all faculties expressed concern about postgraduate recruitment because of the external environment. It was noted students increasingly wanted a specialist postgraduate qualification and that the challenge for the faculties was to ensure variety in their courses without them being too specialist.

### **Annual Report of Academic Misconduct and Appeals**

9. The committee noted the annual report on academic misconduct and appeals (paper **EC.11(13)**). It was reported that progress had been made on delivering consistent decisions across the university on academic misconduct and appeals cases.

### **Annual committee plan**

10. The committee noted its annual plan (paper **EC.12(13)**).

### **Any other business**

11. In response to a question it was reported that it was unlikely that the Schools Direct Training Programme would impact on the University's education provision.

12. The committee discussed the Student Experience Survey as reported in the Times Higher. It was reported that the survey, which had a sample of 50 students, was not representative of the student population and that the National Student Survey is a much better indicator of student experience and satisfaction.

**Next Meeting**

13. The date of the next meeting was confirmed as Wednesday 4<sup>th</sup> December 2013 at 4pm, preceded by a visit to Faculty of Arts and Human Sciences.

**Confirmed as a correct record**

.....

**Chair**



# Committee Action Points

14 May 2013

12:53:34

Committee	Date	Minute	Action	Person Res	Status	
Educational Character	09/05/2013	2	Circularte comments on visit to Student Union	Chair		<input type="checkbox"/> Completed
Educational Character	09/05/2013	3	Publication of minutes	Secretary		<input checked="" type="checkbox"/> Completed
Educational Character	09/05/2013	7	Overview faculty monitoring report next year	PVC - A	Will be amended for next year's report	<input type="checkbox"/> Completed



	PAPER NO: EC.14(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	Committee membership, 2013/14	
Author:	James Stevenson, University Secretary and Clerk to the Board of Governors	
Board sponsor:	Steve Balmont, Chairman of the Educational Character Committee	
<b>Recommendation:</b>	To note the changes to committee membership for 2013/14	
Aspect of the Corporate Plan to which this will help deliver?	N/A	
Matter previously considered by:	N/A	N/A
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	Published on the University's website	

### **Executive Summary**

Under the terms of reference of the committee independent governors will serve for two years on the committee. Therefore the following members will stand down from the committee after this meeting:

- Steve Balmont – Chair of Committee
- Andrew Owen

Douglas Denham St Pinnock will chair the committee following this meeting.

Mee Ling Ng has agreed to join the committee.

Committee membership for 2013/14 is:

*Chairman*

Douglas Denham St Pinnock (Independent Governor)

*Independent Governors*

Hilary McCallion

Mee Ling Ng

*Student Representative*

Barbara Ahland

*In attendance*

David Phoenix      Vice Chancellor

Phil Cardew      Pro Vice Chancellor (Academic)

Mike Molan      Executive Dean, Arts and Human Sciences

James Stevenson      University Secretary

The committee is requested to note its membership for 2013/14.

	PAPER NO: EC.15(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	Equality Act 2010 assurance	
Author:	Stephen Hackett, Director of Student Services and Katie Boyce, Director of Human Resources	
Executive sponsor:	Prof Phil Cardew, Pro Vice Chancellor (Academic) and Ian Mehrstens, Executive Director of Corporate Services	
<b>Recommendation by the Executive:</b>	<p>The Committee is requested to:</p> <ul style="list-style-type: none"> <li>i) note the public sector equality duty as it applies to LSBU;</li> <li>ii) note the need to publish information and objectives;</li> <li>iii) note the specific actions in papers B and C to address the duty; and</li> <li>iv) note the Equality, Diversity and Inclusion policy approved by the Board at its meeting of 21 November 2013</li> </ul>	
Aspect of the Corporate Plan to which this will help deliver?	Equality, diversity and inclusion are fundamental aspects of LSBU's mission and corporate strategy	
Matter previously considered by:	HR Committee	On: October 2012
	Executive	8 October 2013
	Board of Governors	21 November 2013
Further approval required?	No	N/A
Communications – who should be made aware of the decision?		

## **Executive summary**

This report updates the Committee on our policy, EDI Plan and staff and student data 2012/13.

Note: this is a combined report covering both students and staff. This is to enable governors to view the topic as a whole. The report consists of:

- Paper A – the Public Sector Equality Duty
- Paper B – LSBU Student Equality and Diversity report
- Paper C – i) Annual Staff report  
                  ii) Equality, Diversity and Inclusion Policy

This paper has been reviewed by the HR Committee and the Board of Governors.

## **Paper A – the Public Sector Equality Duty**

### **Background**

The public sector equality duty applies to LSBU because all HEIs are included in schedule 19 of the Equality Act 2010.

In summary, the duty means that LSBU has a legal responsibility to demonstrate that we are taking action on equality in policymaking, in the delivery of services to students and in public sector employment. Further information from the Equality Commission is in the extract below.

The general equality duty requires LSBU (as a “public authority” as defined by the Equality Act 2010) to have due regard to the need to:

- eliminate discrimination, harassment and victimisation;
- advance equality of opportunity between different groups; and
- foster good relations between different groups.

The specific duties in England came into force on 10 September 2011. They require listed public authorities to:

- publish sufficient information to demonstrate their compliance with the general equality duty across their functions. Further and higher education institutions must do this by 31 January 2012.
- prepare and publish objectives by 6 April 2012 to demonstrate how they will meet one or more of the general equality duty aims.

The Equality Commission’s guidance states that: “The protected characteristics for the further and higher education institutions provisions are:

- Age
- Disability
- Gender reassignment
- Pregnancy and maternity
- Race
- Religion or belief
- Sex

- Sexual orientation

Being married or in a civil partnership is NOT a protected characteristic for the further and higher education institutions provisions.”

Accompanying this paper are:

- paper B – an analysis of student data for 2012/13 against the 8 relevant protected characteristics and actions;
- paper C – an analysis of staff data for 2012/13 against the 8 relevant protected characteristics, the LSBU Equality and Diversity policy; and the Equality, Diversity and Inclusion action plan. Please note that the policy will be updated following comments at the Board on 21<sup>st</sup> November 2013.

## **Recommendation**

The Committee is requested to:

- i) note the public sector equality duty as it applies to LSBU;
- ii) note the need to publish information and objectives;
- iii) note the specific actions in papers B and C to address the duty; and
- iv) note the approval of the Equality, Diversity and Inclusion policy by the Board at its meeting of 21 November 2013

---

### **Extract from the Equality Commission’s Guidance for HEIs Annex C: Public sector equality duty**

The majority of further and higher education institutions are subject to the public sector equality duty which is a unique piece of equality legislation. This duty gives public authorities legal responsibilities to demonstrate that they are taking action on equality in policymaking, in the delivery of services and in public sector employment.

The duty requires public authorities to take steps not just to eliminate unlawful discrimination and harassment, but also to actively advance equality and to foster good relations.

The purpose of the equality duty is not to be process driven and bureaucratic but rather to offer an outcome-based method of ensuring that institutions are best meeting the needs of all their students.

The duty provides a framework to help institutions tackle persistent and long-standing issues of disadvantage, such as gender stereotyping in subject choice, attainment gaps between white and black and minority ethnic students and low participation rates of disabled people. It also provides a strategic and systematic means of tackling major entrenched disadvantage across the sector.

### **The public sector equality duty**

The Equality Act 2010 harmonises the former duties relating to race, gender and disability into one new duty, which covers the protected characteristics of age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

The new duty comprises a general equality duty on all those public authorities listed in Schedule 19 of the Equality Act and on those organisations which exercise a public function. It also comprises specific duties which apply to a number of listed public bodies. The majority of further and higher education institutions in England, Wales and Scotland are subject to the general equality duty, which came into force on 5<sup>th</sup> April 2011. Many of these institutions are also subject to specific duties, which are different between the three nations.

The general equality duty requires public authorities to have due regard to the need to:

- eliminate discrimination, harassment and victimisation
- advance equality of opportunity between different groups and
- foster good relations between different groups.

The specific duties in England (and non-devolved public bodies in Scotland and Wales) came into force on 10 September 2011. They require listed public authorities to:

- publish sufficient information to demonstrate their compliance with the general equality duty across their functions. Further and higher education institutions must do this by 31 January 2012.
- prepare and publish objectives by 6 April 2012 to demonstrate how they will meet one or more of the general equality duty aims.

## LSBU Student Equality and Diversity

1 The purpose of this report is to provide The HR Committee with an update on LSBU’s action to fulfil the university’s Public Sector Equality Duty in respect of its Students. Since the last report data has been collected on the protected groups defined by the Equalities Act 2010 and this sheds light on the character of the Student Body.

2 Summary Report:

- The general duty placed on LSBU by the 2010 act is discharged; This is ensured by a combination of policy and procedure, environmental development and management, student support and promoted activity, careful monitoring and management of issues and engagement with protected groups, whose wellbeing is our general aim.
- Collection and monitoring of data informs the development of analysis, investigation and action to increase understanding and potential resolution of issues. Both the University Committee structure and the executive management structure look in detail at the outcomes for protected groups.
- The collection of information on all protected groups from 2012 has partially revealed the nature of the Student Body and opened up a wider range of potential issues which may be addressed as trend analysis becomes available.

3 Compliance with the Equalities Act 2010

The Equality Act 2010 puts three **general duties** on public sector bodies (including Universities) and these are tabled below, with LSBU responses and actions.

Duty	LSBU Responses
eliminate unlawful discrimination, harassment and victimisation	<ul style="list-style-type: none"> <li>• Student Life Centre</li> <li>• Wellbeing Advisers</li> <li>• Disability and Mental Health Advisers</li> <li>• Counselling Service</li> <li>• Student Union advice and publicity</li> <li>• Publicity and awareness</li> <li>• High levels of security</li> <li>• Clear Disciplinary procedures and student on student complaint procedure</li> <li>• Clear Fitness to Study procedures</li> </ul>



<p>advance equality of opportunity between people who do and do not share a protected characteristic</p>	<ul style="list-style-type: none"> <li>• Data collection for protected groups</li> <li>• Monitoring and analysis of protected groups' outcomes, and investigation at committee and management level of issues or concerns.</li> <li>• Support for initiatives which seek to promote EO for protected groups</li> <li>• Policy and Procedure integrity</li> <li>• Address HEFCE Recommendations: Appendix 1 aligns LSBU actions with the HEFCE Equality and Diversity Action Plan, which is mainly concerned with Equality of Opportunity</li> </ul>
<p>foster good relations between people who share a protected characteristic (age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, and sexual orientation ) and those who do not share a protected characteristic.</p>	<ul style="list-style-type: none"> <li>• Social Learning Spaces</li> <li>• Student Union and Student Services activities</li> <li>• Student Societies</li> <li>• Multi-Faith Advisory Board</li> <li>• Multi-faith Chaplaincy activities</li> <li>• Procedures and Policies</li> <li>• Engagement with Prevent</li> <li>• Press Office and Comms team: maintenance of public profile and reputation</li> </ul>

4 New data on the protected groups.

The University, in compliance with an advised HESA timetable, began collecting data on all of the protected groups at enrolment in 2012. What has been revealed is an interesting picture of the new intake, demonstrating variety, but also raising some questions about disclosure; questions not unique to LSBU or the university sector. When trend analysis becomes possible, and when we can compare ourselves to other institutions more might be said and done in response.

For now the board will be interested to read the raw data. Data for age, gender and race has been collected for the whole student body, which accounts for the larger numbers.

Age	Total of 21091	
15-25	9083	41%
25+	12818	59%

<b>Gender</b>	Total of 21091	
Male	9353	43%
Female	11738	57%

<b>Race</b>	Total of 21091	
BME	10119	48%
Mixed	884	4%
White	8954	43%
Information refused	927	5%

<b>Disability</b>	Total of 21104	
No Disability	18911	90%
Disability	2180	10%
Information refused	13	-

<b>Gender Reassignment</b>	Total of 5544	
Yes	14	-
No	5428	98%
Information refused	102	2%

<b>Religion and Belief</b>	Total of 5330	
Buddhist	42	1%
Christian	2664	50%
Hindu	152	3%
Jewish	22	-
Muslim	724	14%
Sikh	50	1%
Spiritual	47	1%
Other	89	2%
Information refused	378	7%
No Religion	1162	22%

<b>Sexual Orientation</b>	Total of 5357	
Bisexual	72	1%

Gay men	64	1%
Lesbian	20	-
Heterosexual	3436	64%
Information refused	1765	34%

## Appendix 1 HEFCE Equality and Diversity Action Plan for 2012-13 and LSBU

The promotion of equality between different socio-economic groups as well as other groups under-represented in HE has long been part of HEFCE's widening participation policy as people from lower socio-economic groups are generally less likely to go into higher education. It is also an important aspect of protecting the interests of students, and improving social mobility through fairer access is an objective of the Government's White Paper on higher education, 'Students at the Heart of the System'.

HEFCE		LSBU
Aims	Actions	Position
<p><b>2.1</b> To support the sector in achieving and maintaining an appropriately diverse student body and reducing inequalities of student opportunities and outcomes</p>	<p>Monitor the extent to which certain groups of students participate in subjects defined as strategically important and vulnerable</p> <p>Widening participation:</p> <p>We will continue provision and support for disabled students through mainstream disability allocation and sector support. We will consider the outcomes of the disabilities projects we have funded and we will continue to oversee and support the Sector Strategy Group. We will ensure that the Sector Strategy Group acknowledges gaps left in disability support in the sector by Skill, LLNs and Aimhigher and looks to fill them where possible.</p> <p>Through the on-going development of widening participation strategic assessments, annual monitoring and further alignment with the Office for Fair Access's access agreements, we will encourage institutions to consider their</p>	<p>An analysis of the diversity of students in ESBE (mainly representing the STEM subjects to which HEFCE refers although some Business and Health courses could be included) shows that students are as diverse in terms of race as in other faculties, but gender imbalance is evident, although for part-time students the sponsorship of an employer is a critical factor, rather than ESBE's recruitment policy or practice</p> <p>An analysis of admissions data demonstrates that the diversity of students broadly reflects the diversity of applicants.</p> <p>LSBU's 2012 and 2013 Access Agreements are clearly targeted on students from reduced financial circumstances and on care leavers.</p>

	<p>equalities duties and promote equality and diversity.</p>	
<p><b>2.2</b> To enable fair access to higher education so that all students, regardless of their background, are able to access the institution or programme that best meets their needs and aspirations</p>	<p>Employment and skills:</p> <p>Monitor the extent to which sustainability of national subject provision impacts on accessibility.</p> <p>Widening participation:</p> <p>We will work with the sector and BIS in the ongoing development of the National Scholarship Programme. In particular we will include equalities analysis in the forthcoming evaluation of the scheme and we will analyse data regarding the recipients of the scheme from an equalities perspective. This will help to inform future discussions we have with institutions around equalities, as well as how our funding for widening participation and requirements for WP strategies could be further developed in future.</p>	<p>LSBU is committed to maintaining a wide enough range and distribution of provision to enable access from our local community to all strategically important subject areas. Our aim is to balance diversity of provision against excellence of delivery (and institutional focus).</p> <p>Whilst we see no real barriers in access to NSP support from any group, we will, of course, monitor provision and determine whether it can be demonstrated that any groups are advantaged or disadvantaged.</p>
<p><b>2.3</b> White Paper challenges – throughout the period of transition, impact assess work streams and monitor the cumulative effect of new fees and funding mechanisms. Seek to</p>	<p>Employment and skills:</p> <p>Monitor the extent to which there is concentration of SIVS in highly selective institutions.</p>	<p>Our Strategically Important and Vulnerable Subject provision is focused within the area of Science, Technology, Engineering and Mathematics, which are subject areas which fit within our overall mission and strategic ambitions. We foresee little likelihood that we will diversify further within the SIVS area.</p>

<p>minimise disadvantages where they do occur.</p>		
--	--	--

**Appendix 2 Headline statistics on progression**

(success is either achieving an award or progressing smoothly from one year to the next, in the last academic year)

**Disabled** students progress satisfactorily. 11.8% of students are disabled: 11.4% of successful students are disabled.

**Women and men** progress equally satisfactorily. 50.9% of students are women: 51.9% of successful students are women.

**Race:** White students are slightly more successful than some other ethnic groups.

27.6% of students are Black: 25.8% of successful students are Black

41.1% of students are White: 43.4% of successful students are White

2% of students are Chinese: 2% of successful students are Chinese

16.8% of students are Asian: 16.6% of successful students are Asian

4.4% of students are Mixed: 4.3% of successful students are Mixed

(7.9% of students are other: 7.8% of successful students are other)

## **Annual Equality, Diversity and Inclusion Report 2013**

### **1. Introduction**

**1.1.** The University's Diversity Team based in HR's Organisational Development section continues to support the University in meeting the three elements of the public sector equality duty that are to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and any other conduct which is unlawful under the Act 2010
- Advance equality of opportunity between people who share a protected characteristic and those who do not; and
- Foster good relations between people who share a protected characteristic and those who do not.

**1.2.** The Equality Act covers **nine protected characteristics**, which cannot be used as a reason to treat people unfairly. Every person has one or more of the protected characteristics, so the act protects everyone against unfair treatment. The protected characteristics are:

- Age
- Disability
- Gender Reassignment
- Marriage and Civil Partnership
- Pregnancy and Maternity
- Race
- Religion or Belief
- Gender
- Sexual Orientation

**1.3.** This Annual Report highlights equality-related activities for the period **August 2012 - July 2013**. A number of activities have taken place in the past year to enable LSBU meet its equality duty (*Please refer to appendix 1*).

### **2. Key activities**

**2.1.** Development and repositioning of the **Equality, Diversity and Inclusion (EDI) strategy** which:

- Ensures that LSBU is meeting its legal obligations
- Ensures that staff and managers are being up skilled with knowledge and cultural competencies

**2.2.** **Collecting and monitoring** of some workforce data relating to some protected characteristics. Currently Human Resources produce regular

workforce data including a breakdown of protected characteristics and demonstrate compliance with the Public Sector Equality Duty (PSED). The reports include the following areas:

- Pay Audit – completed every 2-3 years
- Equality Impact Assessments – each time a re-structure is undertaken
- Annual Report to the Executive on Senior Managers Pay
- Annual HESA return

**2.2.1** Below is a **snapshot of LSBU staff** which indicates that workforce data has remained largely static and there has been relatively little change in the overall numbers compared to last year therefore the impact on LSBU as an employer is minimal.

<b>LSBU</b>	Overall numbers	Women %	Men %	BAME %	White %	Disabled Staff %	Gay, Lesbian, Bisexual %
2011/12	1983	46%	54%	27%	73%	8%	7%
2013	1896	51%	48%	28%	66%	5%	3%

- The following data is collected but the sample size renders the data statistically insignificant on the following areas of the protected characteristics:
  - Religion/Belief
  - Pregnancy and Maternity
  - Gender Reassignment

**2.3** Ensure that LSBU has **relevant policies and procedures** to support EDI initiatives. LSBU currently has an **EDI policy** (*Please refer to appendix 2*).

**2.4 Realigning of resources-** Following a restructure of the Organisational Development function 2 full-time roles have been created with a main focus on promoting and progressing work on the EDI agenda. One of the key deliverables of the roles is to provide more focused action on headline EDI workforce data so that it can be used in a pro-active way and provide trends that can be used to address issues for staff across the protected characteristics.



**3. Recommendations for 2013-2014**

**3.1 Facilitated workshops for the Executive Team,** Board of Governors and other key stakeholders-Deliver a facilitated workshop for the highlighted groups to ensure that they are: -

- Clear about their legal responsibilities in their roles
- Have developed a consistent, transparent process to monitor and review compliance and strategic implementation of EDI strategy and action plan
- Create a portfolio of EDI training provisions/development

**3.2 Review of the HR reporting capacity** to enable greater interrogation of workforce data to continue to record the protected characteristics required by the Equalities Act 2010 and produce detailed trends analysis that are linked to the overall strategic drivers of the EDI strategy. These include the following areas:

- Competitive advantage
- Corporate reputation
- Meeting legal obligations
- Tackling under-representation
- EDI International recognition
- Embedding EDI
- Accountability
- Creating a dynamic inclusive culture

**3.3 EDI Monitoring Data**

**3.3.1** To improve current practice around EDI monitoring data it is recommended that LSBU adopt the following approach:

- An overview that LSBU has taken to ensure that it has due regard to the Public Sector Duty.
- To provide an evidence base that will underpin the new legal requirements.
- To provide a baseline for measurement to monitor progress.
- To act as a benchmark in the HE sector.
- An equality focused analysis of information on staff that LSBU records and maintains.

**3.4 Produce an annual workforce monitoring report** that fulfils the requirements of the Public Sector Equality Duty. It is recommended that the following 3 stages be adopted.

**3.4.1 Stage 1-**Spend the first quarter looking at the current workforce data highlighting any limitations on EDI reporting mechanisms

and improve practice around data collection. Relevant protected characteristics will be prioritised and any relevant trends and hotspots identified and report in a storyboard format.

- 3.4.2 Stage 2-**Report on a regular basis to the Executive, HR Committee and Board on the priority areas identified under the EDI action plan and report key actions that will enable the workforce data to deliver against the strategic plan.
- 3.4.3 Stage 3-**Review and monitor any gaps that may exist.

# London South Bank University

## Equality, Diversity and Inclusion Policy

### Introduction

London South Bank University is committed to the provision of equality for all, valuing diversity across all the dimensions of difference. This is set out in the University's Equality and Diversity Policy Statement.

In the furtherance of this objective, the University has developed this Equality, Diversity and Inclusion Policy including procedures to be followed in implementing them, to ensure everyone who studies and works here does so free of discrimination.

This document was first produced in 1996 with full consultation with staff, students and trade unions. Copies were circulated to all staff and also made available to students via the Student Union as well as making reference to it in the Student Handbook. The document was revised in October 2000 and again in May 2002, the latter to take account of changes in legislation with the introduction of the Race Relations (Amendments) Act (2000) and the Special Educational Needs and Disability Act (2001). This new version has been up-dated to reflect and include the Equality Act 2010.

This latest version of the document now includes recent legislation on the nine 'protected characteristics' and will be made available on the University's website.

### Vision, Aim and Approach

#### Our Vision

We are a unique educational institution that is proactively committed to creating a stimulating teaching and learning environment that values diversity, fairness, mutual respect and inclusion. We are dedicated to realising the potential of our staff, students and local community we believe that diversity enriches our individual and collective experience, performance and achievement.

#### Our Aim

Our aim is to set objectives, milestones and targets to:

- Develop diversity and inclusion as a widely recognised area of competitive strength.
- Effectively integrate and mainstream diversity and equality into our corporate strategies, policies, academic curriculum, teaching delivery, assessment methods, learning environment and management practice.
- Continue to be at the forefront of the access and widening participation agenda.
- Create an inclusive environment where differences are celebrated and everyone is valued and respected

The drive and commitment to diversity and equality at the University will ensure that:

- We are adequately equipped to meet the diverse needs and aspirations of staff, students and wider community.
- We create an inclusive environment that promotes dignity at work and mutual respect.
- We set the standard within higher education and are recognised as an example of Equality, Diversity and Inclusion (EDI) good practice.

The University is committed to equality of opportunity both as an education institution and as an employer. Equality of Opportunity means working to ensure that no student or member of staff receives less favourable treatment on the grounds of race, gender, age, disability, marital status, sexual orientation, gender-reassignment, pregnancy and maternity and religion or belief.

In complying with the Equality Act 2010, the University will:

- Promote good relations among its staff and students and will create conditions which contribute to the full development and potential of everyone.
- Create a climate where staff and students are given confidence to challenge acts and behaviour which contravene the University's Equality, Diversity & Inclusion Policy and the law.
- Treat fairly and appropriately each job applicant, course assessment, progression or promotion decisions at the University.

## Definitions

- Equality is about creating a fairer society where everyone can participate and has the same opportunity to fulfil their potential. Equality is backed by legislation designed to address unfair discrimination based on membership of a particular protected group
- Diversity comprises of a mosaic of people from all walks of life, who bring a variety of backgrounds, styles, perspectives, values and beliefs as assets to all those with whom they interact
- Inclusion is the complete acceptance and integration of all students and employees regardless of diversity background that proactively leads to a sense of belonging, engagement and full participation within and across the University

## Legislation

The majority of the Equality Act provisions became law in October 2010. It replaces previous legislation (such as the Race Relations Act 1976 and the Disability Discrimination Act 1995) and ensures consistency in what public sector organisations need to do to make the workplace a fair environment and to comply with the law.

The Act is intended to simplify, strengthen and harmonise the current legislation and to provide the UK with a new discrimination law that protects individuals from unfair treatment and promotes a fair and more equal society.

The Act streamlines discrimination law, making it easier for people to understand their rights and responsibilities. In addition, the Act contains wide positive action provisions which offer

special encouragement to those from disproportionately under-represented or otherwise disadvantaged groups.

The nine main pieces of legislation that have merged are:

- the Equal Pay Act 1970
- the Sex Discrimination Act 1975
- the Race Relations Act 1976
- the Disability Discrimination Act 1995
- the Employment Equality (Religion or Belief) Regulations 2003
- the Employment Equality (Sexual Orientation) Regulations 2003
- the Employment Equality (Age) Regulations 2006
- the Equality Act 2006, Part 2
- the Equality Act (Sexual Orientation) Regulations 2007

The protected characteristics are Race, Age, Disability, Sex, Gender reassignment, Marriage and civil partnership, Pregnancy and Maternity, Religion and Belief and Sexual Orientation.

### **Other Key Provisions of the Equality Act**

The Public Sector Equality Duty requires Universities to have due regard to the need to:

- Eliminate discrimination, harassment and victimisation
- Advance Equality of Opportunity
- Foster good relations

Positive Action provisions also permit the University to take proportionate action to overcome disadvantage, meet needs and tackle under representation.

### **Our Approach**

We have adopted a comprehensive approach that seeks to embed equality, value the multiple dimensions of diversity and mainstream inclusion. This means that we are committed to ensuring that this agenda is fundamental to the development and delivery of our policies and effectively integrated into the very fabric of our professional practice and service delivery.

### **Leadership and Management**

The University's Board of Governors, Executive Team, and the Senior Management Group will set the pace providing leadership at all levels to champion equality, diversity and inclusion, monitor progress against planned activities and respond effectively to the University's statutory requirements and legal obligations.

### **Access and Inclusive Learning**

The University will provide an accessible environment for people with disabilities and from different cultures to study and work. Applications from groups currently under-represented in higher education will be positively encouraged.

### **Staff Development and Training**

Equality, diversity and inclusion training in relation to legislation, employment, leadership, the student experience; cultural competence and how to put equality and the core principles of diversity into practice will be provided for all employees. In accordance with the Single Equality Act, positive action may be used as a vehicle to address under-representation. All

employees will be given equal access to staff development, and where appropriate additional development, to enable them to fulfil their potential and to progress within the organisation.

### **Curriculum and Skills Development**

Students will be educated for life and work in a global, multi-cultural society. The University will promote understanding, pay due regard and respect for all cultures. All students will be given the opportunity to develop further their skills to enhance their employability and progression opportunities when leaving the University.

### **The Student Experience**

The University is committed to:

- Ensuring and promoting equality through teaching and learning, and also in the selection, enrolment, assessment and progression of students.
- Providing appropriate student support and guidance which reflects the diversity of students' needs both pre-entry and on-course.

This means that no student will receive less favourable treatment on grounds of race, sex, , age, race, disability, gender reassignment, maternity, marital status, sexual orientation, care responsibility, or religious belief. Support and guidance for students will be linked to their particular needs.

It also means the University aims to promote equal respect for all people, to challenge prejudice and to prepare students to work in a multicultural and diverse society.

Selection, assessment and progression will be kept under review to ensure that individuals are selected and treated only on the basis of their relevant merits and abilities.

### **Publicity and Promotions Policies**

The University seeks to ensure that publicity and promotion practices encourage applicants from under-represented groups. There is careful scrutiny of publicity and promotion materials and marketing related activities to ensure that brochures, advertisements, applications forms and display materials reflect the diversity of students at the University.

This means materials do not contain socially, racially biased or stereotypical terminology, information or illustrations which contravene this policy. It also includes a proactive approach towards marketing courses to under-represented groups which is designed to enhance the overall image of the University as an institution with a determination to reflect and implement its EDI commitment. We will also provide impartial guidance to all applicants so that they are placed on the best courses to help them succeed. Publicity and promotion of the University to students may include:

- Developing entry criteria which is clear and does not discriminate unfairly by, for example, only referring to traditional entry qualifications.
- Placing advertisements in non-traditional outlets.
- Establishing links with the publicity networks of local community groups and other organisations.
- Developing progression partnerships with local schools and FE colleges.
- Providing detailed information about the range of opportunities open to mature people without traditional entry requirements, which makes explicit the criteria and procedures for entry.

- Undertaking monitoring exercises on the above to determine the most effective means of contacting people from under-represented groups.

### **Access and Educational Opportunities for Under-Represented Groups**

The University is committed to working towards providing additional educational opportunities for under-represented groups. Methods to achieve this aim may include the following:

- An increase in the number of courses designed to be particularly attractive for these groups, taking advantage wherever possible of any external funding available and working closely with local and national bodies, which seek to extend educational opportunities for under-represented groups.
- An increase in the number of routes to improve access into existing provision in partnership with local schools and FE colleges.
- Moves towards greater diversity in course structure, including an extension of short course, part-time and evening provision, and the creation of more flexible learning opportunities so that students can vary their pace of study.

### **Admissions Policy**

On courses where particular groups are significantly under-represented, the University will seek to identify the cause and to take positive action.

To assist in this process, course or subject teams will need to:

- Monitor the profile of entrants to their programmes.
- Identify the nature and cause of significant under-representation within their student intake.
- To develop recruitment policies designed to attract groups that are currently under-represented.
- To ensure that admissions tutors make explicit their criteria and procedures for entry of 'non-traditional' as well as 'traditional' applicants and that they endeavour to identify study potential in the absence of conventional indicators as examination results.

The University will ensure that the application procedures and criteria for non-traditional entry to particular courses are explicit and made available to the general public. It will also ensure that this information is collated across the University in order to obtain an overall picture of developing practice.

### **Student Support**

In the organisation and resourcing of its support services the University will make every effort to meet the needs of students who, as an outcome of race, sex,, gender re-assignment, age, disability, pregnancy and maternity, religion and belief or sexual orientation, may find particular difficulties related to their academic or vocational work or other aspects of their lives in the University.

The network of care in the University will link up the specialist services provided by the Student Centre which provides personal development advice unit, core skills, careers and employment service with the system of support in Faculty's and the services of the Student Union.

The University will seek to ensure that the general facilities and services to students – e.g. halls of residence, canteens, libraries and the learning resource centre, are appropriately designed to meet the needs of a culturally diverse student body and that they are also accessible to students with disabilities.

With an ageing population, and an increase in the number of students with children, the University recognises the care responsibilities that students have, which are viewed as the role for both men and women, and takes into account the specific challenges that care responsibilities bring and the impact they may have on attendance, learning and academic performance.

The University offers bursaries, scholarships and other financial assistance to ensure we meet the needs of our students and continue our commitment to widening participation.

### **Curriculum Development Policies**

The University is committed to a curriculum development policy, which furthers its equality, diversity and inclusion commitment with respect to both the content, presentation and delivery of academic courses. The implementation of a curriculum development policy requires monitoring, scrutiny, and where necessary revision, of internally validated course submissions, unit guides and associated assessments to ensure that they do not promote discriminatory terminology, stereotypes, information or concepts.

Where possible the curriculum will promote equality, diversity and inclusion and will prepare students for a global multi-cultural society by promoting understanding and respect for all cultures and by encouraging tolerant discussion of a range of political beliefs and religious conviction. Where relevant, the curriculum will expose students to cases and methodologies that incorporate variations by gender, race, ethnicity, sexuality, disability and religion.

The curriculum development policy will include:

- The development of alternative full-time and part-time forms of study mode which would have the advantages of shorter-term objectives and transferability (to other courses) for those who may find difficulty in committing themselves initially to three or more years of study.
- A variety of modes of assessment to enable students to demonstrate a variety of skills and areas of comprehension, for example: projects, course work, seminar papers, open book exams, objective response exams, as well as or instead of the traditional essay or written examination. Assessment criteria will be fair and transparent.
- Dissemination of good practice from both within the University and from external agencies in the development of curriculum which promotes equality, diversity and inclusion (for example, the Good Practice Guide from the Hefce, Equality and Human Rights Commission and the Equality Challenge Unit).
- An approach to teaching which recognises that an appreciation of students' diversity, cultural background and individual learning style is an essential element of any approach to academic delivery.



- Pro-active due regard to the principles of inclusive teaching to encourage the creation of a stimulating learning environment where all students, regardless of their backgrounds are given the opportunity to realise their full potential and enhance their employability.
- Staff development will be undertaken to promote inclusive learning and the management of the learning environment for a diverse group of students.

Equality Impact Analysis will be used as an important mechanism to ensure that curriculum development policy does not have a differential negative impact on minority groups.

## **Equality and Diversity for Staff**

The University is committed to equality of opportunity, valuing diversity and promoting inclusion. As an employer the University will ensure that no applicant for a post or existing employee receives less favourable treatment on the grounds of their Race, Age, Disability, Sex, Gender Re-assignment, Marriage, Civil Partnership, Pregnancy and Maternity, Religion and Belief or Sexual Orientation

### **Recruitment and Selection**

The commitment to Equality, Diversity and Inclusion underpins the University staff Recruitment and Selection Policy. Through the use and application of training and monitoring, the University is committed to ensuring that these recruitment and promotion procedures are kept constantly under review in order to ensure that individuals are selected for interview and appointed to posts on the basis of their ability to do the job required.

The University will use published, objective and job related criteria when making decisions on recruitment, remuneration, training, promotion and termination of employment. Where possible barriers to equality of opportunity will be identified and positive action taken to address them by for example, targeted training and development.

### **Staff Development on Equality, Diversity and Inclusion**

The Human Resources Department are responsible for ensuring the implementation throughout the University of training, education and information for staff on equality, diversity and inclusion legislation, policies and best practice.

All managers responsible for training and development of staff should ensure that all opportunities are allocated objectively, fairly and without discrimination. This includes in-house events and external training, staff sabbaticals, secondments and sponsored study.

All training and development events for staff will include an equality, diversity and inclusion dimension where appropriate.

## **Delivering an Inclusive Environment**

The University will provide an inclusive environment that promotes equality of opportunity and diversity and is free from unlawful discrimination, harassment or victimisation of any kind. All staff (including staff employed by agencies for contracted out services), students and

other users of the University services will be made aware of behaviour which amounts to discrimination, harassment or victimisation and that such behaviours may result in disciplinary action and/or amount to a criminal offence.

The University will do this by:

- Taking appropriate action against any student or member of staff who does not comply with the policy. The University has engaged in disciplinary action against both staff and students who have breached the University's Equality, Diversity and Inclusion Policy and in some cases this has led to permanent removal from the University.
- Ensuring promotional and teaching materials present appropriate and positive images relating to all the dimensions of diversity and equality.
- Ensuring Governors and Staff have access to comprehensive information to assist them in planning, putting into practice and monitoring their responsibilities under the Equality, Diversity and Inclusion Policy.
- Striving to challenge behaviour which does not accord with the University's Equality, Diversity and Inclusion Policy. Considering appropriate measures to overcome under-representation in particular jobs or education identified by the monitoring and impact assessment processes.
- Responding positively and competently when issues relating to equality, diversity and inclusion are discussed. Ensuring that all students and staff know how to raise complaints and that the University provides a timely and sensitive response.

### **Complaints**

If a member of staff or a student believes that they have been discriminated against, they should seek the advice of their Human Resources Business Partner in the case of a member of staff or the Student Relations Officer in the University Secretary's Office.

All complaints from staff concerning bullying should be raised under the University's Staff Inclusion Policy. Other complaints concerning unfair treatment within the scope of this Equality, Diversity and Inclusion Policy should be raised under the Students' Complaints Procedure or the Staff Grievance Procedure.

### **Responsibilities for Equality and Diversity**

It is unlawful for anybody to discriminate on the grounds of Race, Age, Sex, Disability, Gender Reassignment, or Marriage or Civil Partnership, Pregnancy and Maternity, Religion or Belief or Sexual Orientation. Responsibilities for approving and monitoring this Policy lie with the Board of Governors and associated HR Committee.

### **Board of Governors**

- To ensure that the University fulfils its legal responsibilities.
- To provide adequate scrutiny in monitoring the implementation of the policy and associated action plan.
- The HR Committee of the Board will monitor this policy in relation to university employees.

### **The Vice Chancellor and Executive Team**

- To take responsibility for the implementation of the policy.

### **Senior Management Group**

- To provide active visible leadership on equality, diversity and inclusion.
- To ensure that related aims and objectives of the Equality, Diversity and Inclusion Policy are effectively implemented.
- To ensure that all are aware of their individual and collective responsibility and accountability.
- The Director of Human Resources is responsible for drawing up an annual action plan and raising staff awareness of their responsibilities under equality, diversity and inclusion legislation.

### **Faculty & Operational Management**

- Take ownership of equality, diversity and inclusion by implementing the policy and its related action plan.
- To ensure staff understand equality, diversity and inclusion issues and how to report any perceived discrimination or unequal opportunity and that all training and development opportunities are allocated objectively, fairly and without discrimination.

### **Staff**

- To practically demonstrate the core principles of equality, diversity and inclusion by treating others with dignity and respect.
- To effectively identify and challenge discriminatory behaviour and attitudes.
- To speak out and report if they witness or are a victim of any form of discrimination, bullying, unfair treatment or harassment.
- To maintain an awareness of equality legislation by attending staff development programmes.
- To actively participate and contribute to creating an inclusive learning environment that values difference.
- To ensure that equality and diversity is effectively integrated into the professional practice of teaching, research and service delivery.

### **Students**

- To speak out, or report it, if they witness or are aware of discrimination, bullying, unfair treatment or harassment and not assume that it is someone else's responsibility.
- To effectively challenge any form of discrimination.
- To take equal responsibility in ensuring that we create a learning environment where people are valued and respected.
- To express opinions constructively with sensitivity and respect.

### **Service Providers**

- Service providers working in University premises are expected to act within the requirements of the law and the terms of the University's Equality and Diversity and Inclusion Policy.

## Support Infrastructure

The Equality and Diversity Team is part of HR and is responsible for providing expert guidance, advice and management support at a strategic and operational level across the University and disseminating good practice.

## Monitoring

Monitoring of the effectiveness of the policy will take place on an annual basis and a report of the results made available across the University. The results will inform corporate decision making through the Board of Governors, Academic Boards and Executive Management Team.

The University is committed to devising and implementing appropriate methods of monitoring and evaluation of the University's Equality, Diversity and Inclusion Policy. The University will produce statistical analysis which will help to identify and to diagnose problems. This will enable the monitoring of the effectiveness of the University's Equality, Diversity and Inclusion Policy and identify actions that will make the implementation of the Policy more effective.

In order to provide essential statistical information, monitoring and evaluation will include:

- People making applications to the University for employment will be requested and encouraged to indicate their ethnic origin, gender, age, sexual orientation, disability, religion and belief as perceived by themselves. The same applies to existing staff.
- As part of the enrolment process, students will be requested and encouraged to indicate Race, Gender, Age, Sexual Orientation, Disability and Religion and Belief. Faculty's will monitor admissions to their courses as part of the annual monitoring process and will consequently review their admission practices annually in the light of their student intake and make recommendations accordingly.

Data relating to students' admission and progression will be produced at Faculty and course level by the Registry.

Monitoring of curriculum development policy will be evaluated through the University's validation and review procedures.

Student Services will monitor by Race, Age, Disability, Sexual Orientation Gender and Religion & Belief of use by students of its services.

Student opinion on the effectiveness of the University's Equality, Diversity and Inclusion Policy will be obtained through the annual Student Satisfaction Survey.

## **Appendix 1**

### **Protected Characteristics Definitions**

#### **Age**

Where this is referred to, it refers to a person belonging to a particular age or range of ages

#### **Disability**

A person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's disability to carry out normal day-to-day activities. This has extended to cover people who have had a disability in the past.

#### **Gender reassignment**

The process of transitioning from one gender to another. The definition of gender re-assignment has been extended to cover people who have proposed, started or completed a process to change their sex but are not under medical supervision.

#### **Marriage and civil partnership**

Marriage is defined as a 'union between a man and a woman'. Same-sex couples can have their relationships legally recognised as 'civil partnerships'. Civil partners must be treated the same as married couples on a wide range of legal matters.

#### **Pregnancy and maternity**

Pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for six months after giving birth, and this includes treating a woman unfavourably because she is breastfeeding. After six months a breastfeeding mother is protected through the sex discrimination provisions in the Equality Act.

#### **Race**

Refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

#### **Religion and Belief**

Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (e.g. Atheism). Generally, a belief should affect life choices or the way a person lives for it to be included in the definition.

#### **Sex**

A man or a woman.

#### **Sexual Orientation**

Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes

## Information and Contact

The Equality & Diversity Unit (EDU) has been established to facilitate and assist London South Bank University (LSBU) in realising its vision to become: *the University of Choice and centre of excellence for diversity and equality*. For further information and access to all our equality, diversity policies and action plans please visit us online: [www.lsbu.ac.uk/diversity/](http://www.lsbu.ac.uk/diversity/) or contact:

### Equality & Diversity Unit

Phone: +44 207 815 6013

e-mail: [de.admin@lsbu.ac.uk](mailto:de.admin@lsbu.ac.uk)

	PAPER NO: EC.16(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	Academic key performance indicators	
Author:	Prof Phil Cardew, Pro Vice Chancellor (Academic)	
Executive sponsor:	Prof Phil Cardew, Pro Vice Chancellor (Academic)	
<b>Recommendation:</b>	That the committee discuss the academic key performance indicators	
Matter previously considered by:	Board of Governors	On: 21 <sup>st</sup> November 2013
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

### **Executive Summary**

The committee are asked to discuss the final academic key performance indicators (KPI's) for 2012/13.

The committee are asked to discuss the KPI's for 2013/14 and targets as approved by the Board at its meeting of 21<sup>st</sup> November 2013.

Appendix – Academic key performance indicators for 2012/13 and targets for 2013/14.





Appendix - Academic key performance indicators for 2012/13 and targets for 2013/14.

The Student Experience						
KPI	2011/12 (Actual)	2012/13 (Actual)	2013/14 (Target)	Current (RAG)	YoY	
<b>Student Satisfaction</b>						
12 Overall Student Satisfaction - UG (NSS) *	80%	82%	86%	↓		90%
13 Overall Student Satisfaction - PG	78%	76%	80%	↓		90%
<b>Student Retention &amp; Progression</b>						
14 FTUG Year 1 Progression (%)	63%	65%	65%	↓		70%
15 Graduating in intended period (FTUG 3/4yrs) (%)	52%	51%	65%	→		65%
<b>Value Added</b>						
16 Employment of graduates (DLHE return)* (Employed, or studying, or both)	78.1%	77.4%	85%	↓		90%
17 No. of first degree students obtaining 1st or Upper 2nd class degrees *	56.0%	58%	62%	↑		60%
<b>Resource Measures</b>						
18 Spend per student (£) * (Academic Services)	£940 <i>(Complete UG 2013)</i>	£900 <i>(CUG 2014)</i>	£1,000	→		£1,000
19 Spend per student (£) * (Services & Facilities)	£1,062 <i>(Times GUG 2012/13)</i>	£1,110 <i>(SundayTimes/Times GUG)</i>	£1,150	↑		£1,000
20 Staff:student ratio *	22.4:1 <i>(2011 HESA)</i>	23.7:1%	21:1	→		21:1
<b>Student Satisfaction</b>						
12 Overall Student Satisfaction - UG (NSS)	Oct/Nov: Ipsos Mori National Student Survey					
13 Overall Student Satisfaction - PG	Oct/Nov: LSBU PG Taught Survey					
14 FTUG Year 1 Progression (%)	Oct/Nov: LSBU Cognos PAT Reports					
15 % Graduating in intended period (FTUG 3/4yrs)	Oct/Nov: LSBU Registry Analysis					
<b>Value Added</b>						
16 Employment of graduates (% Employed, Studying, or both)	July: Hefce DLHE survey					
17 No. of first degree students obtaining 1st or Upper 2nd class degrees *	Oct/Nov: LSBU Registry Analysis					
tbc No. of first degree students obtaining 1st or 2nd class degrees	Oct/Nov: LSBU Registry Analysis					
<b>Resource Measures</b>						
18 Spend per student (£) * (Academic Services)	April/May: 'Complete University Guide'					
19 Spend per student (£) * (Services & Facilities)	June/July: Times 'Good University Guide'					
20 Staff:student ratio *	June/July: HESA data publication					

	PAPER NO: EC.17(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	National Student Survey Overview 2013	
Author:	Jo Ellett, Academic Quality Project Manager Stephen Hackett, Director of Student Services Phil Cardew, Pro Vice Chancellor (Academic)	
Executive sponsor:	Phil Cardew, Pro Vice Chancellor (Academic)	
<b>Recommendation by the Executive:</b>	To note the National Student Survey 2013 Report	
Aspect of the Corporate Plan to which this will help deliver?	3. Student Choice 4. Student Success 6. Creating an environment in which excellence can thrive	
Matter previously considered by:	Academic Board	On: 6th November 2013
Further approval required?	No	On:
Communications – who should be made aware of the decision?	Not applicable	

### **Executive summary**

This report:

- Provides a summary of the University's scores (with comparison against sector scores) in the National Student Survey (NSS) 2013, which impacts on LSBU's league table rankings;
- Provides an overview of the University's action plan to address issues raised in the survey data.

The Committee should note:

- Student satisfaction at LSBU has increased in 5 of the 7 key NSS categories including Overall Satisfaction (82%).
- Satisfaction decreased in Assessment & Feedback and Organisation & Management.
- We do not exceed the sector scores in any of the key areas.
- The overarching NSS 2013 action plan draws from departmental action plans.

# National Student Survey 2013 Report

## 1. Introduction

- 1.1 The NSS is a national survey commissioned by HEFCE and carried out by the market research agency Ipsos-Mori.
- 1.2 The NSS questions all undergraduate and sub-degree students funded by HEFCE or the NHS who would be completing their programmes in the summer following the January in which the survey is opened.
- 1.3 The LSBU overall response rate has increased by 7% this year to **71%** exceeding the LSBU benchmark target of 70%. The sector response rate has increased by just 2% to 69%.
- 1.4 LSBU has seen an increase in student satisfaction in 5 of the 7 key NSS categories: **Overall Satisfaction; Teaching; Academic Support; Learning Resources** and **Personal Development**.
- 1.5 Satisfaction has **decreased** in **Assessment & Feedback** and **Organisation & Management**.

## 2. Overall Satisfaction

Sector: 86%	LSBU: 82%
-------------	-----------

- 2.1 Overall Satisfaction has risen to our highest score to date of **82%**. We have gained on the sector score by 1% since 2012; however this score is still 4% behind the sector score.
- 2.2 Satisfaction is largely even across all key demographic and ethnic groups. The least satisfied students are from the EU (excluding UK) at 67%. The highest level of satisfaction is seen in LSBU's black students at 87%.

## 3. Teaching

Sector: 87%	LSBU: 82%
-------------	-----------

- 3.1 Satisfaction with teaching has increased by 1%. The disparity between LSBU and the sector continues to be 5%.
- 3.2 Student comments suggest that students believe staff are largely enthusiastic and knowledgeable. Students often consider their course to be varied, challenging, interesting and really appreciate the practical elements of their course.

3.3 However, the disparity of skill between lecturers continues to be an issue, with students citing boring lectures, lecturers who cannot present properly and those who are difficult to understand because English is not their first language as their main issues.

#### 4. Assessment and Feedback

Sector: 71%	LSBU: 67%
-------------	-----------

4.1 Satisfaction has dropped by 1%. This area continues to be the University's lowest scoring area.

4.2 Students acknowledge that we have improved in the level of detail in feedback (up 1% to 66%). However they feel that feedback is still not returned promptly enough (down 2% to 60%). This is our lowest scoring area of all NSS questions.

4.3 Students did not find the marking criteria clear and continue to request more one-to-one meetings where things they did not understand are better explained to them.

#### 5. Academic Support

Sector: 80%	LSBU: 74%
-------------	-----------

5.1 Satisfaction has increased by 1% this year to our highest ever score of **74%**. We have improved in most areas of support, however students are still looking for more support when making study choices (down by 1% on last year).

5.2 Student comments cite the level of support from staff as the biggest influence on satisfaction or dissatisfaction.

#### 6. Organisation and Management

Sector: 78%	LSBU: 70%
-------------	-----------

6.1 Satisfaction here has dropped 1%. We are now 8% below the sector score: a decrease of 2% on 2012.

6.2 Negative comments about the organisation of the programme were focused around the timetable, with crowded classrooms, changes to class locations and short notice of cancellations of lectures all cause for dissatisfaction. Poor communication of changes was the biggest problem.

## 7. Learning Resources

Sector: 85%	LSBU: 80%
-------------	-----------

7.1 Students are increasingly satisfied overall with learning resources. Students are much happier with the specialised equipment, facilities or rooms which are available to them (up by 3% on last year to **74%**; sector up 2% to **80%**).

## 8. Personal Development

Sector: 82%	LSBU: 82%
-------------	-----------

8.1 Satisfaction here is our highest ever at **82%**, equalling the sector score. Students are most satisfied with how their course has improved their confidence.

## 9. Students' Union

Sector: 68%	LSBU: 54%
-------------	-----------

9.1 The Students' Union score has increased by **6%** since last year, closing the gap on the sector by 4%. Students are still less satisfied than the rest of the sector by **14%**.

9.2 It is notable that a high proportion of students feel neutral about the SU (32%).

## 10. LSBU NSS Action Plan 2013/14

10.1 NSS Results have been analysed and considered by the Academic Quality Development Office (AQDO), the Student Satisfaction Action Group (SSAG) and faculty quarterly meetings.

10.2 SSAG has delegated action planning (against a previously-agreed template) to faculties and the actions identified below have been selected from these.

## 11. Action Area 1: Course Organisation and Management

11.1 Course Organisation and Management forms the key to student engagement and communication, and the setting of clear expectations of (and for) students which lead to the understanding of the academic processes of the University.

11.2 Information provided to students is not always of equal quality, across different courses and departments, and not necessarily consistent enough to promote the necessary engagement from all students.

	Action	Responsibility	Due/ Review Date
1.	Review of Course Level information determining common standards and requirements.	Quality and Standards Committee (QSC)	28 <sup>th</sup> February 2014

2.	Review of Module Level information determining common standards and requirements.	QSC	28 <sup>th</sup> February 2014
3.	Publication of new templates to faculties and departments.	AQDO	30 <sup>th</sup> March 2014
4.	Adoption of new templates.	Faculties	30 <sup>th</sup> June 2014
5.	Correlation of published information with development of Moodle sites.	Faculties/TEL Group	31 <sup>st</sup> August 2014

## 12. Action Area 2: Return of Assessed Work

12.1 This remains an area of lower satisfaction (across the sector and the University).

Much of this relates to the areas of organisation and communication (in that setting clear expectations and sticking to promises are a significant aspect of student satisfaction). However, notions of 'promptness' vary between students and staff and, whilst ensuring consistency of approach to moderation and external examining, we must strive to move forward in this area.

12.2 Much of this has implications within the work already being undertaken on assessment and will be facilitated through the implementation of online submission and feedback.

	Action	Responsibility	Due/ Review Date
1.	Implementation of electronic submission and feedback processes.	PVC (Academic)	31 <sup>st</sup> August 2014
2.	Consideration of a standard period for return of assessed work	Learning and Teaching Committee (L&TC)/ Academic Board	28 <sup>th</sup> February 2014
3.	Establishing common standards for moderation and sampling by external examiners	Academic Regulations Committee/Academic Board	31 <sup>st</sup> May 2014
4.	Publication of due dates for return of assessed work in all module guides.	Faculties	31 <sup>st</sup> August 2014

## 13. Action Area 3: Feedback

13.1 Students (and, perhaps, some staff) do not have a clear understanding of what 'feedback' is. Is it the mark? The mark and comments on performance? Comments on performance and advice on future improvement? Feedback FROM students on their course? All of the above? A significant aspect of our work must therefore lie in setting clear expectations and communicating them.

13.2 At the same time, we must establish a clear understanding of the purpose of feedback (at module level and within the various stages of assessment) and further consider our engagement with, and responsiveness to, feedback from students.

	<b>Action</b>	<b>Responsibility</b>	<b>Due/ Review Date</b>
1.	Publish guidance on feedback within course and module guides – to common models.	Faculties/QSC	28 <sup>th</sup> February 2014 (to establish model) 31 <sup>st</sup> August 2014 (to publish).
2.	Establish feedback mechanisms which are independent of marking.	L&TC/Faculties	30 <sup>th</sup> April 2014.
3.	Review feedback on module evaluation through module guides.	Faculties/QSC	28 <sup>th</sup> February 2014 (to establish model) 31 <sup>st</sup> August 2014 (to publish).
4.	Review operation of Course Boards	QSC/Students' Union/Faculties	31 <sup>st</sup> December 2013.

#### **14 Action Area 4: Student Communication and Engagement**

14.1 This area is largely dealt with in the actions listed above. Additional areas of activity include:

	<b>Action</b>	<b>Responsibility</b>	<b>Due/ Review Date</b>
1.	Including student panel members in periodic review process.	AQDO/PVC Academic	31 <sup>st</sup> May 2014.
2.	Strengthening student engagement and representation at faculty level.	QSC/Academic Board	April 30 <sup>th</sup> 2014
3.	Strengthening general communication with students	Students' Union/Academic Board/Marketing	March 31 <sup>st</sup> 2014.

#### **15 Longer-term activity**

15.1 There remain a number of 'elephants in the room' in this area, which will require further consideration and consultation. These include:

- Personal tutoring – consideration of its effectiveness (or existence) in all areas and the extent to which processes can be normalised.

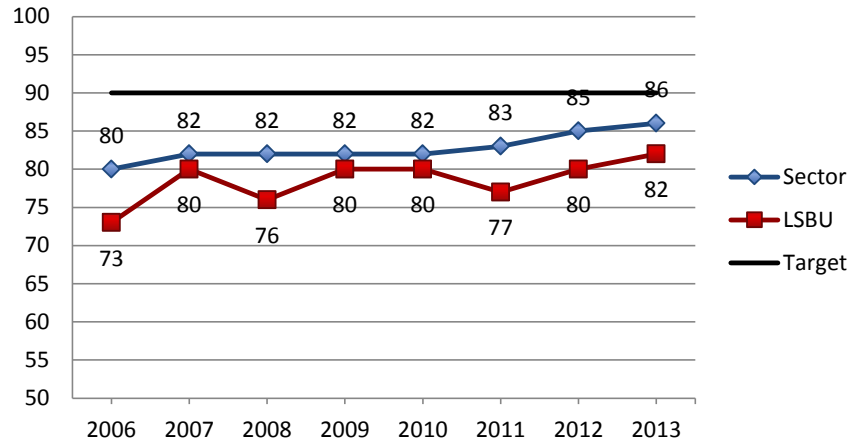


- Roles and responsibilities – leading to a standardisation of roles around course and module management and administration (leading to greater clarity for students as to who to approach for advice).
- Peer observation of teaching – seen by many departments as being ineffectively operated at present.
- Academic workloads and marking duties – seen as a barrier to performance in some areas.
- Personal development planning – not necessarily a ‘huge issue’ in many areas, but worthy of review and consideration.

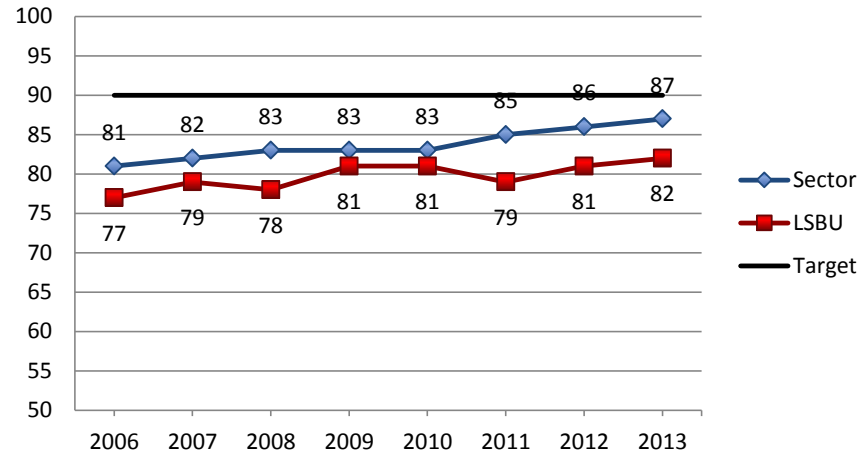
It is proposed that these areas return to Academic Board for wider discussion, following consideration at the Learning and Teaching Committee (and within Faculties).

**NSS 2013 Dashboards**  
**LSBU Dashboard**

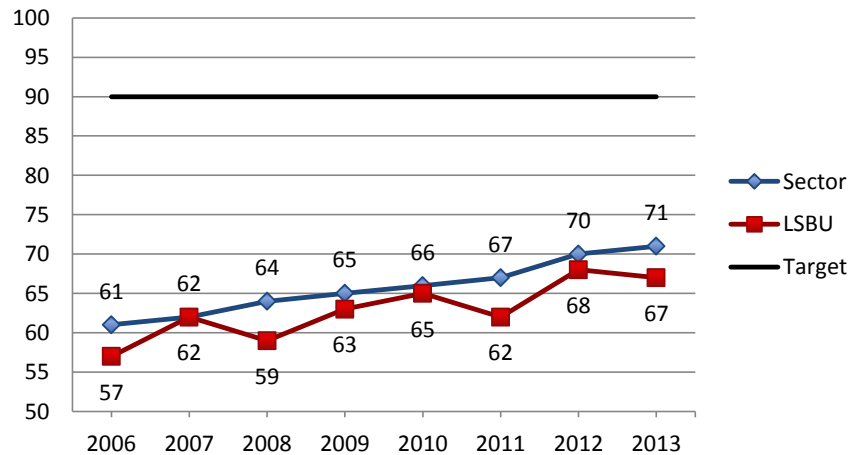
**LSBU Overall Satisfaction (%)**



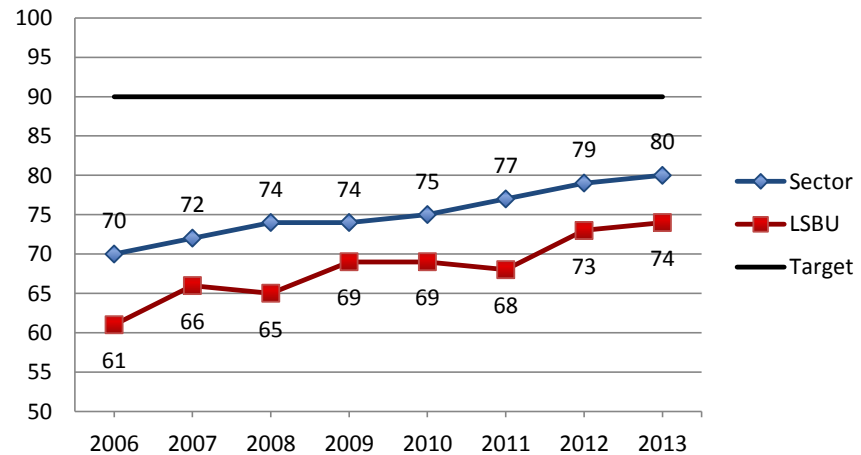
**LSBU Teaching Satisfaction (%)**



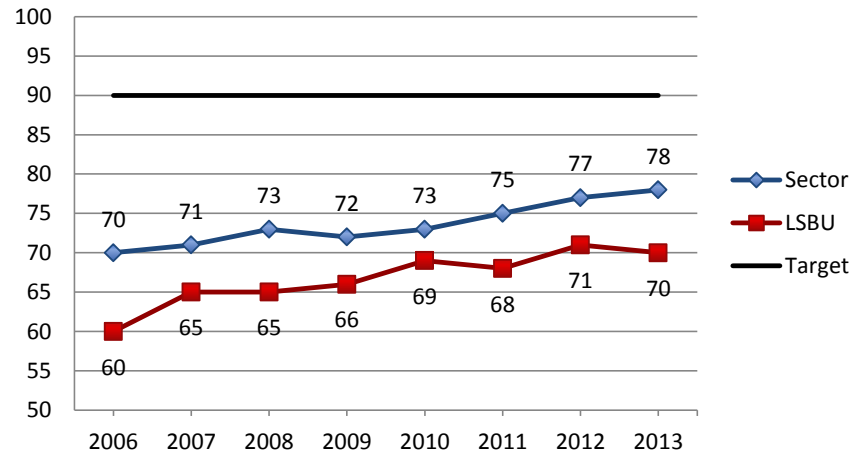
**LSBU Assessment & Feedback Satisfaction (%)**



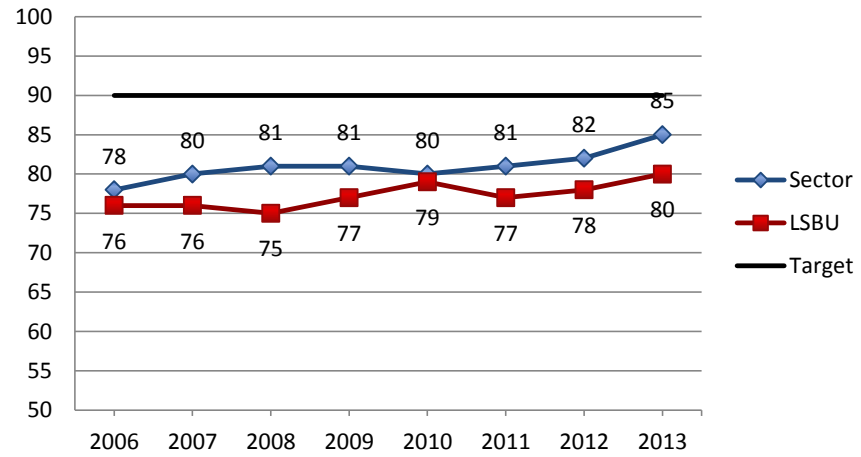
**LSBU Academic Support Satisfaction (%)**



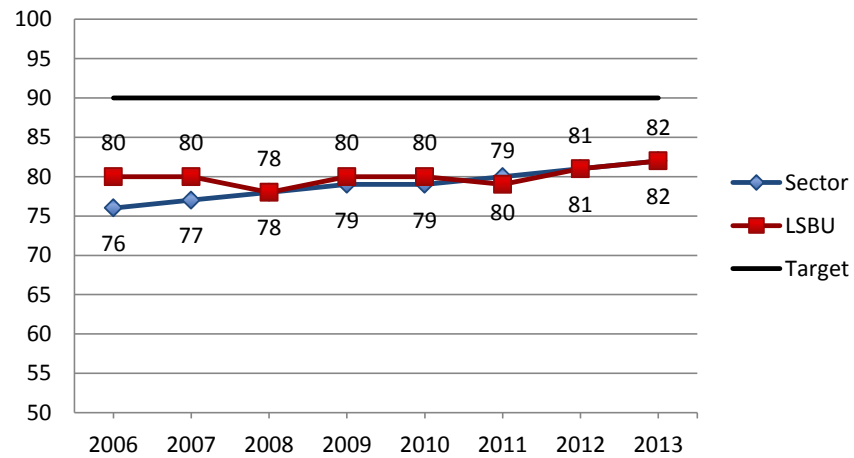
**LSBU Organisation & Management Satisfaction (%)**



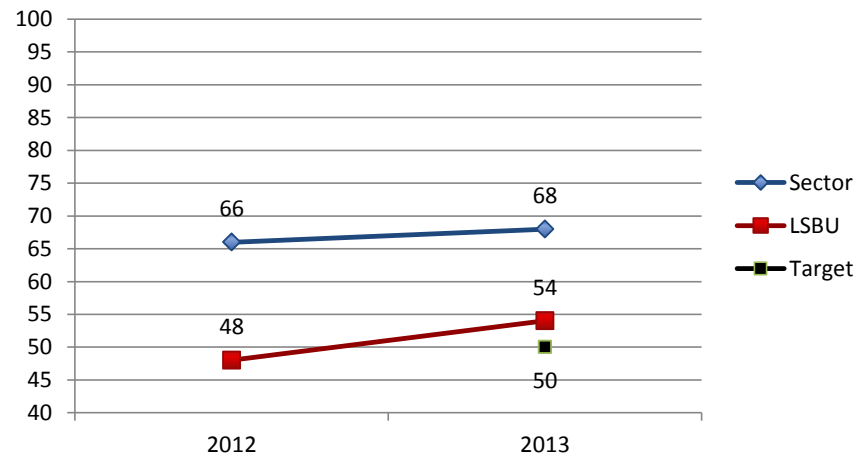
**LSBU Learning Resources Satisfaction (%)**



















**LSBU Personal Development Satisfaction (%)**



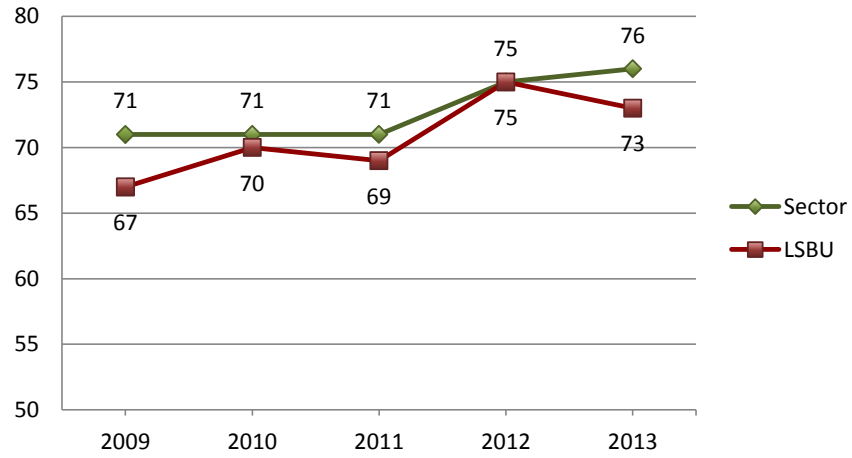
**LSBU Students' Union Satisfaction %**



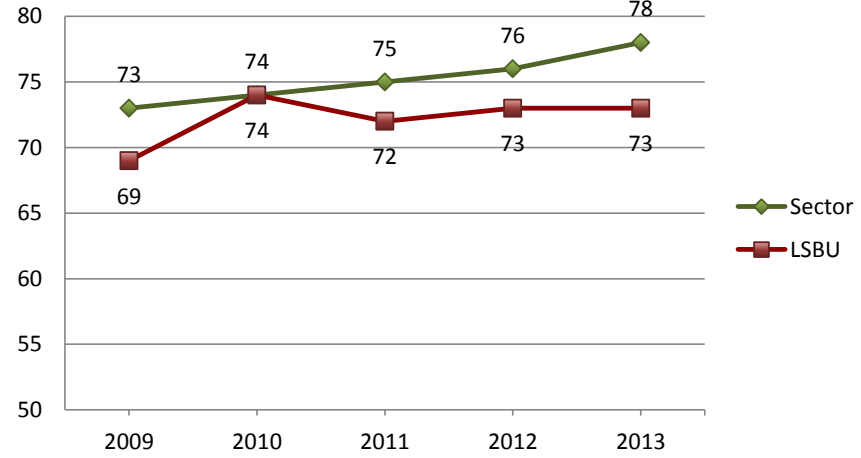
<b>Highest Scoring Questions</b>		<b>Home</b>	<b>% Difference from</b>	<b>% Difference from</b>	
<b>Four most positive statements and how they compare to the LSBU and the Sector mean</b>		<b>%</b>	<b>Department</b>	<b>LSBU Mean Score</b>	<b>Sector Mean Score</b>
12. Good advice was available when I needed to make study choices.	100	H Physiotherapy	 31	 24	
6. Assessment arrangements and marking have been fair.	100	H Learning Disabilities	 28	 23	
10. I have received sufficient advice and support with my studies.	100	H Physiotherapy	 27	 22	
10. I have received sufficient advice and support with my studies.	100	H Learning Disabilities	 27	 22	

<b>Lowest Scoring Questions</b>		<b>Home</b>	<b>% Difference from</b>	<b>% Difference from</b>	
<b>Four least positive statements and how they compare to the LSBU and the Sector mean</b>		<b>%</b>	<b>Department</b>	<b>LSBU Mean Score</b>	<b>Sector Mean Score</b>
9. Feedback on my work has helped me clarify things	27	H Mental Health/ Social Work	-34 	-38 	
7. Feedback on my work has been prompt.	31	H Operating Department Practice	-29 	-36 	
9. Feedback on my work has helped me clarify things	33	H Child	-28 	-32 	
N3.1 I received sufficient preparatory information prior to my placement(s).	44	H Physiotherapy	-32 	-32 	

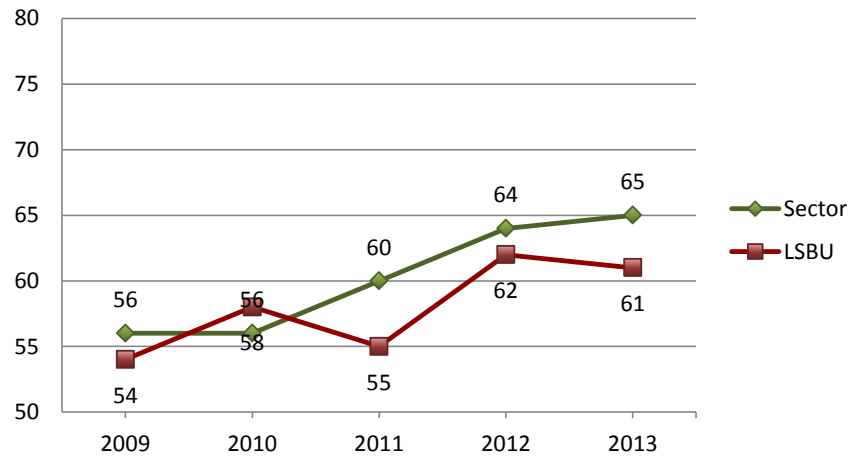
**LSBU Careers Satisfaction (%)**



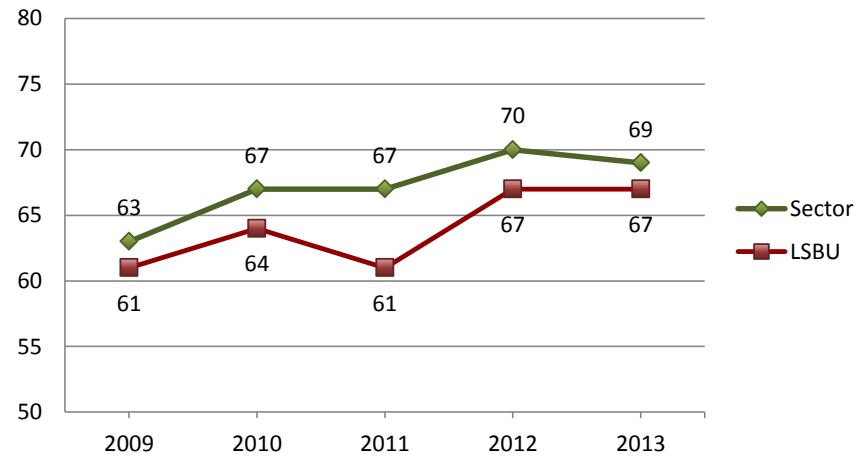
**LSBU Course Content and Structure Satisfaction (%)**



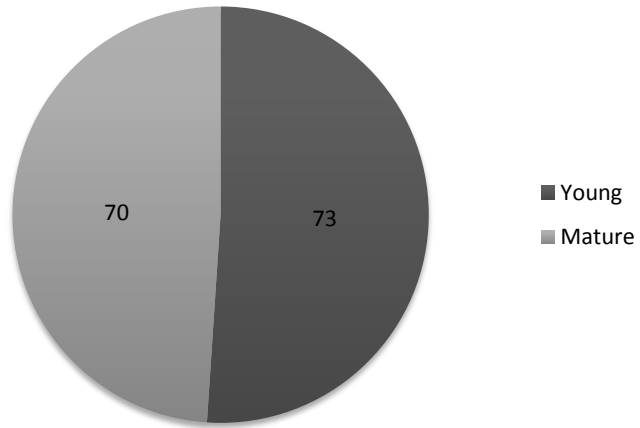
**LSBU Feedback from Students Satisfaction (%)**



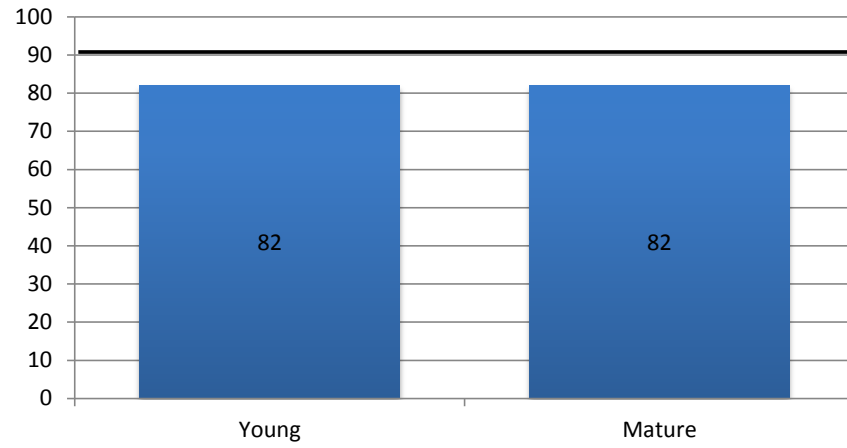
**LSBU Workload Satisfaction (%)**



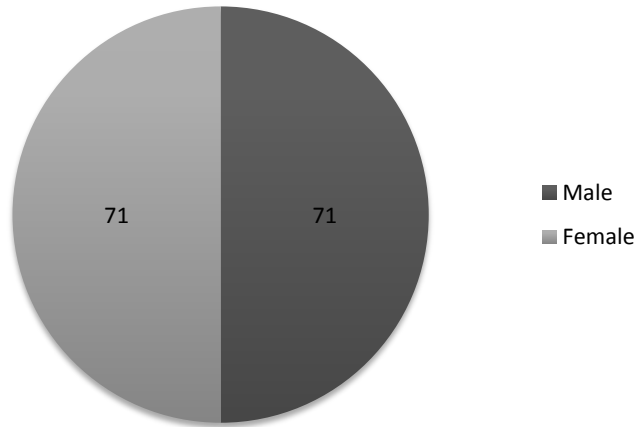
**LSBU Response Rate by Age %**



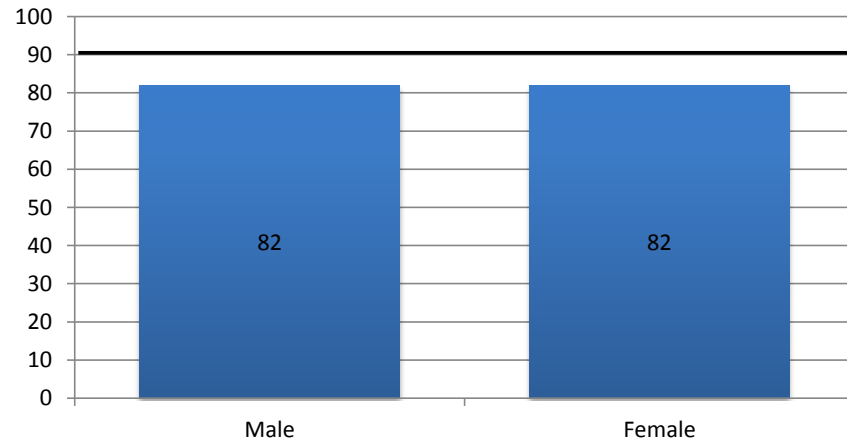
**LSBU Overall Satisfaction by Age %**



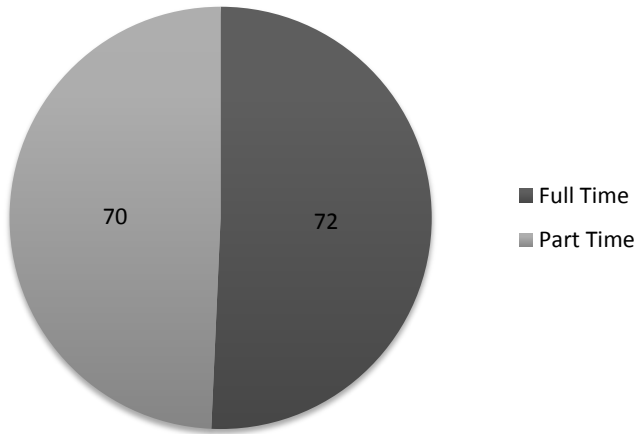
**LSBU Response Rate by Gender %**



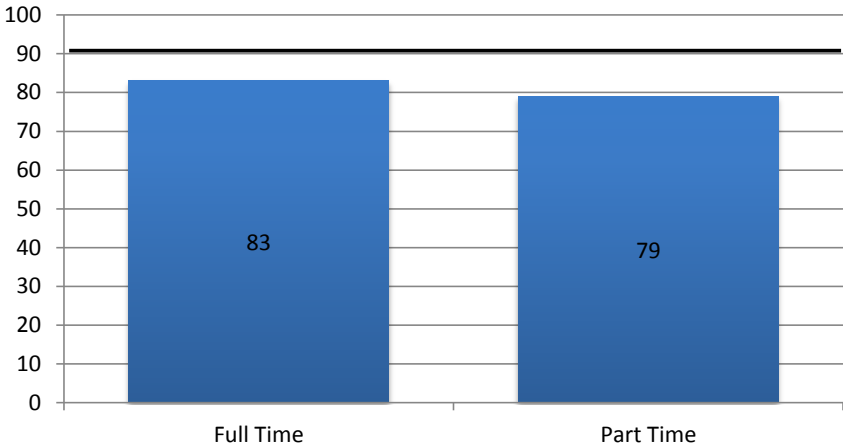
**LSBU Overall Satisfaction by Gender %**



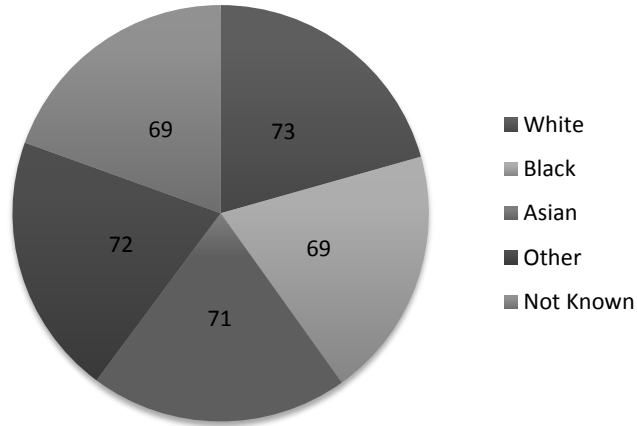
**LSBU Response Rate by Mode of Study %**



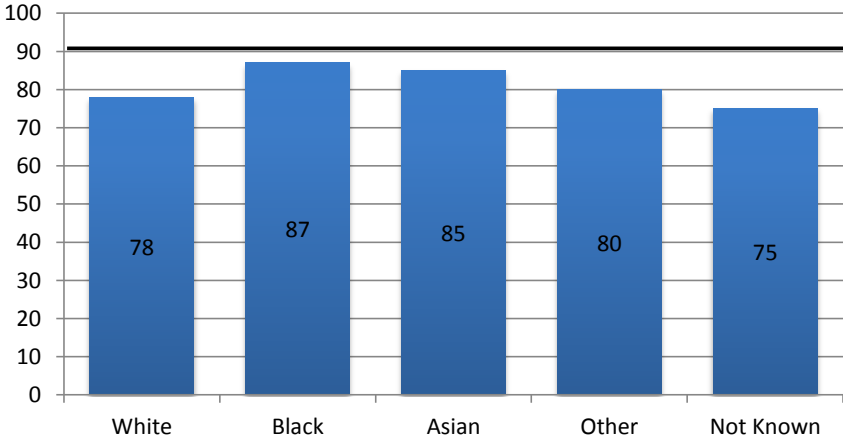
**LSBU Overall Satisfaction by Mode of Study %**



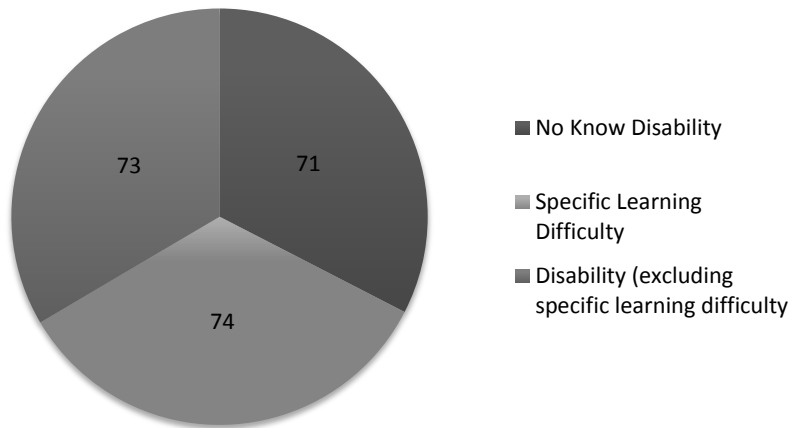
**LSBU Response Rate by Ethnicity %**



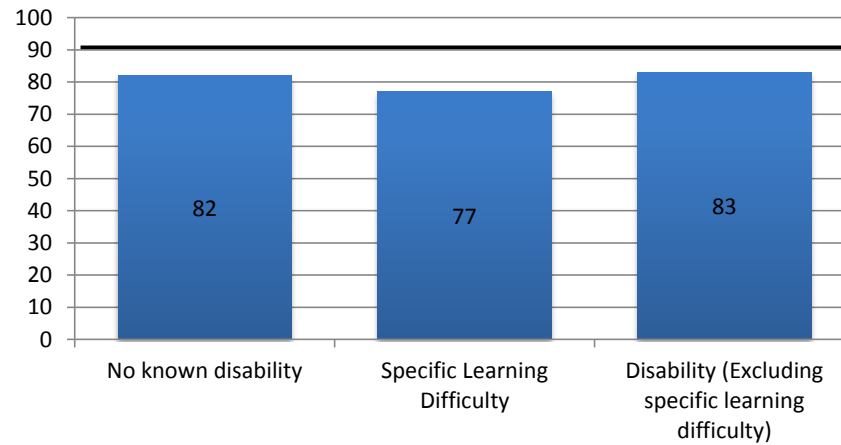
**LSBU Overall Satisfaction by Ethnicity %**



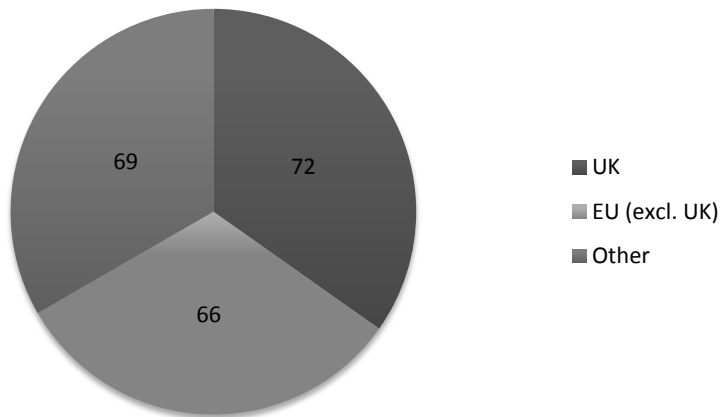
**LSBU Response Rate by Disability %**



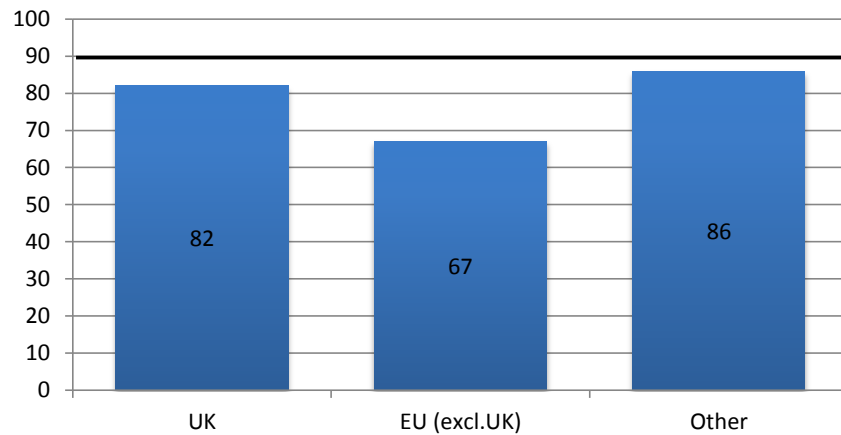
**LSBU Overall Satisfaction by Disability %**



**LSBU Reponse Rate by Domicile %**






**LSBU Overall Satisfaction by Domicile %**





## LSBU NSS 2013 Results for All Statements

Satisfied =   
 Neutral =   
 Dissatisfied = 

### Teaching

1. Staff are good at explaining things



2. Staff have made the subject interesting.



3. Staff are enthusiastic about what they are teaching.



4. The course is intellectually stimulating.



### Assessment and Feedback

5. The criteria used in marking have been clear in advance.



6. Assessment arrangements and marking have been fair.



7. Feedback on my work has been prompt.



8. I have received detailed comments on my work.



9. Feedback on my work has helped me clarify things I did not understand.



### Academic Support

10. I have received sufficient advice and support with my studies.



11. I have been able to contact staff when I needed to.



12. Good advice was available when I needed to make study choices.



## Organisation and Management

---

13. The timetable works efficiently as far as my activities are concerned.



14. Any changes in the course or teaching have been communicated effectively.



15. The course is well organised and is running smoothly.



## Learning Resources

---

16. The library resources and services are good enough for my needs.



17. I have been able to access general IT resources when I needed to.



18. I have been able to access specialised equipment, facilities or rooms when I need to.



## Personal Development

---

19. The course has helped me to present myself with confidence.



20. My communication skills have improved.



21. As a result of the course, I feel confident in tackling unfamiliar problems.



22. Overall, I am satisfied with the quality of the course.

---



23. I am satisfied with the Students' Union (Association or Guild) at my institution.



## Appendix 2:

### Faculty of Arts and Human Sciences (AHS):

- Two of the six departments in AHS have met or exceeded the LSBU overall satisfaction target of 90%: **Law** (90%) and **Psychology** (91%).
- **Creative Writing and Performance** has the least satisfied percentage of students overall at 75%. The department also has the highest percentage of actively dissatisfied students in the faculty at 13%.
- **Creative Writing and Performance** also has the most neutral percentage of students at 13% neither satisfied nor dissatisfied overall.

### Faculty of Business (BUS):

- Two of the five departments have met or exceeded the LSBU overall satisfaction target of 90%: **Accounting and Finance** (93%) and **Management** (90%).
- **National Bakery School** has the least satisfied percentage of students overall at 76%.
- **National Bakery School** has the most actively dissatisfied percentage of students at 16% not satisfied.
- **Informatics** has the most neutral students at 14% neither satisfied nor dissatisfied overall.

### Faculty of Engineering, Science and the Built Environment (ESBE):

- None of the departments have met the LSBU overall satisfaction target of 90%.
- **Engineering and Design** has the most satisfied percentage of students at 81%.
- All of the departments have a high percentage rate of neutral responses to overall satisfaction in comparison to the rest of LSBU. The department with the highest neutral score is **Urban Engineering** with 19% neutral.
- **Built Environment** has the least satisfied percentage of students at 69%.
- **Built Environment** also has the highest percentage of dissatisfied students at 13%.

### Faculty of Health and Social Care (HSC):

- Six of the twelve departments met or exceeded the LSBU overall satisfaction target of 90%.
- The most satisfied department was **Learning Disabilities Nursing** at 100%.
- The least satisfied students in HSC were in **Social Work** at 63%.
- **Social Work** also had the highest percentage of neutral responses at 23%. This is the highest neutral response in the University.

- The highest percentage of actively dissatisfied students was in **Operating Department Practice** at 23%. This is also the highest percentage of dissatisfaction in the University.

Appendix 3:

LSBU Positive Wordle:



Appendix 4:

LSBU Negative Wordle:



	PAPER NO: EC.18(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	Destinations of Leavers from Higher Education	
Author:	Stephen Hackett, Director of Student Services	
Executive sponsor:	Prof Phil Cardew, Pro Vice Chancellor (Academic)	
<b>Recommendation by the Executive:</b>	To note the results of the DLHE Survey and plans to improve performance.	
Aspect of the Corporate Plan to which this will help deliver?		
Matter previously considered by:		On:
Further approval required?	No	On:
Communications – who should be made aware of the decision?	Not applicable	

### **Executive summary**

Broadly encouraging performance, both compared with previous years and with competitors, is marred by a downturn in the Employment Performance Indicator, which has the greatest impact on our media profile.

A restructured Employability Service with the support of faculties is leading on a plan to improve this performance.





# Destinations of Leavers from Higher Education Survey

## 1 Background to the survey.

The Destinations of Leavers from Higher Education (DLHE) survey is designed to assess the progress of leavers at all levels approximately six months after they complete their studies. The results of the survey are published by HESA and are used by the compilers of league tables. HESA set benchmarks for all universities.

## 2 LSBU 2011/12 DLHE results

As in previous years, LSBU has found that while overall positive activity rates are quite high, this is dependent on our part time graduates. Full time undergraduates do worst.

But within groups who are employed, graduates do well at finding what is graded as graduate level work. It does look as though we are either placing too much emphasis on presenting the graduate level job as the student goal, or not doing well enough at asking the right questions of graduates to elicit information about part time or casual work. Following investigation at course level and an examination of survey techniques, a combination of the two seems likely.

Salary levels are also high, and it is possible that LSBU students are setting their sights in terms of salary too high and therefore missing out on jobs.

### 2.1 Headline Survey Results

- The proportion of UK full time first degree graduates who are employed or in another positive outcome (the **Employment Performance Indicator**) has decreased from 78.1% in 2010/11 to 77.45% in 2011/12, missing our benchmark and placing LSBU at the bottom of the table for this measure.
- The median starting salary for LSBU graduates was £25,000 per annum (national = £22,000). This compares well with competitor London universities.
- 83% of all graduates in jobs were in 'Graduate Level' jobs, and this compares well with competitor London Universities (national average not available)
- 66% of UK FT Undergraduates in jobs were in 'Graduate Level' Jobs (The national average was 64%) and this also compares very well with competitor London Universities
- 9.7% of all respondents were recorded as unemployed, compared with 10.00% in 2010/11. This is broadly in line with competitors
- The number of graduates in further study has increased to 13.7%, from 10% in 2010/11, again, broadly in line with competitors.

Thus, it can be seen, that the statistic that is causing the reputation of LSBU in this area to be low is the Employment Performance Indicator, and it is this statistic that is most commonly used in media publicity.

### 2.2 The Employment Performance Indicator.

This indicator is, as has been said, the one most commonly used by the media. It is the proportion of UK Full Time Undergraduates in positive outcomes as a proportion of the

whole, once refusals and unavailable for work numbers have been removed. The survey asks a number of questions about the graduates' current activity to establish whether they are working, studying or actively taking forward their career through building up a portfolio, completing internships or volunteering or setting up their own business. All of these categories count as "positive outcomes" on the survey

In 2011/12, the overall positive outcome rate for the Employment Performance Indicator group was 77.4% across the university against a benchmark of 84.1%.

### 2.3 The EPI by Faculty

All faculties performed slightly worse than in previous years.

	UK Full-time Under graduates in a positive outcome 6 months after graduation
AHS	76%
BUS	70%
ESBE	73%
HSC	93%
LSBU	77%

### 2.4 The EPI by Course

There is no pattern of strong or weak performance in general across the university, save that students on pre-registration nursing courses and other allied health courses tend to perform overall better than students in the other three faculties, making up 6 of the ten best performing courses with an eligible population of 15 or more (courses with an eligible population of fewer than 15 are excluded from this report as the statistic is too easily moved by a few outcomes).

Dept	Course	Respondents	Positive Outcomes	2011-12 %age
ASPS	BA/BSc (Hons) Social And Policy Studies Scheme - 2227	25	20	80.00%
AAMED	BA (Hons) Digital Film And Video - 2198	31	25	80.65%
BAF	BA (Hons) Accounting Top-Up - 3758	19	16	84.21%
AUES	BA (Hons) Tourism And Hospitality - 2161	16	14	87.50%
ALAW	LLB (Hons) Law - 4	41	36	87.80%
HMHN	BSc (Hons) Learning Disabilities Nursing And Social Work - 3686	15	14	93.33%
HAN	Pre-registration first degree with honours leading towards obtaining eligibility - H16B70000000002	51	49	96.08%
HAHP	BSc (Hons) Diagnostic Radiography - 2384	27	26	96.30%
ACWP	BA (Hons) Drama And Performance Studies - 3007	15	15	100.00%
HSC	BSc (Hons) Adult Nursing, Children's Nursing, Mental Health Nursing - 3683	24	24	100.00%

Looking at the ten courses performing least well with a qualifying population of greater than 15 also reveals some surprising results. While a person might expect that English with Creative Writing students would find job-hunting quite difficult, the relatively poor performance of courses with clear vocational paths such as Civil Engineering and Accounting and Finance might be surprising.

Dept	Course	Respondents	Positive Outcomes	2011-12 %age
ACWP	BA (Hons) English with Creative Writing - 3785	15	8	53.33%
ASPS	BSc (Hons) Criminology - 1358	21	12	57.14%
EED	BSc (Hons) Product Design - 3143	19	11	57.89%
APSY	BSc (Hons) Psychology - 1086	22	13	59.09%
BBS	BA (Hons) Business Management - 3354	20	12	60.00%
EUE	BEng/BEng (Hons) Civil Engineering - 191	18	11	61.11%
EBE	BA (Hons) Architecture - 101	16	11	68.75%
BAF	BA (Hons) Accounting And Finance - 2417	82	60	73.17%
BMAN	BA (Hons) Marketing - 1262	15	11	73.33%
BBS	BA (Hons) Business Administration - 670	46	34	73.91%

## 2.5 Postgraduate graduates

At postgraduate level, over 82% of full-time graduates were found to be in positive outcomes after six months, A significant number of the courses have cohorts of fewer than five, with many only have one or two students surveyed. Larger courses include MSc/PgDip in Occupational Therapy where 29 of 31 participants (93.55%) were in positive outcomes and MSc/PGDip in Social Work where all 19 participants were employed.

The situation for part-time post-graduate students is even more positive with over 95% of the in work six months after completing their course. Almost all cohorts had 100% outcomes, reflecting the fact that many of them were employed throughout their study, with only MSc in Development Studies presenting a really poor outcome of only 5 out of 8 participants (62.5%) in employment after their studies. All other courses with cohorts greater than 5 students had 100% outcomes.

## 3 Plans for next DLHE survey.

3.1 A DLHE Improvement Action Group with faculty representation is managing plans.

The recovery of the EPI statistic is critical to the way that Employability at LSBU is seen by prospective students and by our own students. Overall Employability strategy has four strands, the first three of which are well advanced in delivery by the newly restructured Employability Service:

- Placing Employability at the centre of LSBU
- Placing Employability at the Centre of the Student Experience

- Improving the Employability of Students
- Improving the DLHE Survey results

**And by the last strategic aim, for this year, we specifically mean improving the EPI result, knowing that as we do, other DLHE statistics may get worse.**

An improvement to the EPI will be achieved by the delivery of an action plan, agreed and managed by all four faculties, the most important points of which are described here:

### **3.2 Organisation**

For the last two years, the university has outsourced the delivery of the DLHE survey to the Career Management Group Ltd, who conducted the survey for 31 Universities. But following unsatisfactory quality of service, the contract has been terminated and, commencing with the January 2014 DLHE survey, the Employability Service will administer the survey in house.

Significant improvements can be made to the response rate and the rate of refusers, which were both worse during the outsourcing period. Communications can be improved with departments to get more information on graduates known to be in a positive outcome, because of reference requests and course records. The quizzing of graduates and the persistence of contact can be increased to trace and pin down graduates in volunteering or part-time activities.

### **3.3 Tracking**

Having identified the courses as being most “at risk”, the Employability Advisors in the Employability Service have been working intensively with 2013 graduates, meeting with them 1-2-1 and supporting them to find appropriate job opportunities.

The UK FT Undergraduate cohort (c1,500 graduates) to be surveyed was largely predicted in May, and has been tracked since then by the Employability Team. Were the survey done today (November 1<sup>st</sup>) we would achieve a 75% response rate, which ought to be at 80%. Our positive outcome statistic would be at 80%, better than last year, but still not at our bench mark.

With two months to the census date of 13<sup>th</sup> January, we do expect both the response rate and the positive outcome rate to improve. It should also be noted that the 20% of ‘unemployed’ graduates have not yet been closely quizzed as to their possible part time or unpaid activity. The benchmark (if it stays near last year’s of 84%) seems to be tantalisingly close.

### **3.4 Placements**

The Employability Team, with its wide range of employer contacts, and supported by a large number of agencies, is busy trying to place remaining unemployed graduates. All departments, including Alumni Office and procurement, are looking to their contacts to provide jobs and internships.

LSBU is launching a Winter Internship Programme this year. The intention is to take those graduates who have found it most difficult to secure work and give them an experience of work and an opportunity to develop employability skills, so that by the spring they are able to move into something more secure. We see this as the final part of the whole Employability Offer being developed by LSBU. We are on target to deliver approximately 40 of these internships.

## **4 On-going Development of the Employability Offer**

4.1 The Employability Service is developing a range of programmes, events, workshops and employer-insight sessions which will be available to students throughout their university experience. Working closely with departments and faculties to build on their network of contacts and to identify areas where students would benefit from more insight, this programme will improve students' understanding of the labour market and the skills required to secure the job they want. In addition to this, students are being supported to develop "soft" skills through a newly-established volunteering programme and a soon-to-be-launched alumni mentoring programme for final year students.

4.2 Departments and faculties are being encouraged to view the Employability Service as a resource to use to develop the right offer for their students. A very wide range of activities are being put on. In the last few weeks this has included employer insights from built asset management firms, a careers talk from a working journalist, a large scale tourism and facilities management day and two major Careers Fairs in the Student Centre, one sponsored by the Southwark Chamber of Commerce, the other focussed on ESBE students.

4.3 The Employability Service intends to support a tailored offer for each programme area which meets the varying needs of chemical engineers, creative writers and accountants. So far, support and buy-in from departments and academic colleagues has been mostly positive.

4.4 The Job Shop in the Student Centre continues to build its business, and has just started hosting Agency days, when specialist recruitment agencies take over half the space to promote part time jobs to students. The first was Delta, specialising in healthcare, who signed up 50 students on their first day.

	PAPER NO: EC.19(13)	
Board/Committee:	Educational Character Committee	
Date:	December 2013	
Paper title:	Validations and Reviews – 2012/13	
Author:	Catherine Moss, Deputy Director – Academic Quality Development	
Executive sponsor:	Phil Cardew	
<b>Recommendation by the Executive:</b>	To note the annual report on programme validations and reviews carried out in 2012/13	
Aspect of the Corporate Plan to which this will help deliver?	3. Student Choice 4. Student Success	
Matter previously considered by:	Quality & Standards Committee/Academic Board	On: 16th October 2013/ 6th November 2013
Further approval required?	No	
Communications – who should be made aware of the decision?	Not applicable	

**Executive summary**

The annual report on validations and reviews:

- provides a summary of the programme approval activity undertaken in the previous academic year, (2012/13).
- confirms that LSBU is continuing to meet the expectations of the UK Quality Code for Higher Education that HE providers have effective processes for the design and approval of programmes and for the periodic review of their continued validity and relevance.
- identifies any emerging issues relating to these processes.

The Educational Character Committee is asked to note the report.



**Report to Quality and Standards Committee on Validations and Reviews  
held in 2012/13**

**1. Volume and Type of Validation Activity**

1.1 The table below sets out the number of validation and review events, which took place in 2012/13. These are classified by the type of event.

Validation of new programmes	15
Validation of new programme – involving collaboration with another institution	4
Major modification of existing programmes, including those delivered in collaboration with another institution	6
Major modification of existing programmes with professional body involvement	2
Development of new collaborative link for existing programmes, (with new or existing partner)	8
Periodic (6 yearly) review of programmes by subject area	1
<b>Total</b>	<b>36</b>

1.2 ***Key points relating to the volume and balance of activity:***

- a) There was a significant increase in the number of events from 22 in 2011/12. This partly explained by the fact that the Curriculum Modernisation Project has been completed and normal course development activity has been resumed.
- b) There was an increase in the volume of activity relating to collaborative approvals, mainly for overseas partner institutions, but also for a number of new courses for a local partner FE College.
- c) In two cases, the courses failed to be approved at the first attempt, making a second, (and successful), validation event necessary.

**2. Timing of validation events**

2.1 As in previous years, although Faculties are encouraged to book their validation events before Easter, about half were scheduled for the summer term. The final deadline for validation events is the end of May but permission was sought to hold 8 events beyond this deadline.

2.2 ***Key points relating to the timing of course development and approval:***

- a) Collaborative approval events featured heavily in the events held in the summer term.



- b) Leaving validations until later in the year can lead to problems in building curriculum on the student record system and building the virtual learning environment sites and in recruiting students.
- c) Events arranged late in the year are usually requested at short notice. This makes them more complex to organise as prospective panel members may not be available, particularly if, as for approval of collaborative partnerships, the event involves travel overseas.

### **3. Outcomes of validations and reviews**

3.1 The purpose of course validations and reviews is to confirm that the course is fit for purpose and can recruit or continue to recruit students. In doing this the approval panel needs to be assured that the course meets the required standards, in terms of its level and content and that appropriate measures are in place for the management of the quality of the students' learning experience. In approving courses, panels often set conditions or make recommendations in relation to either of the above.

#### **3.2 *Key points relating to the outcomes:***

- a) As stated above, in two instances, the courses required a second attempt at validation before they were confirmed as fit for purpose.
- b) The panels expressed confidence in the standards of the awards for all of the courses scrutinised in the one periodic subject review event. The scope of this review, (the Informatics subject area), was tailored to fit in with a professional body accreditation visit. This reduced the Department's workload in preparing for both events but without reducing the robustness of the LSBU periodic review process.
- c) All of the programmes approved by the validation panels had conditions attached to the approval. These conditions were addressed satisfactorily and courses approved to run.
- d) The types of conditions set by panels vary according to the nature of the programme being approved but, not surprisingly, these, most commonly related to issues with individual modules. In 2012/13 validation panels were also most commonly concerned with: the articulation of the entry requirements; the management of placements and work based learning and the clarity of course structures.
- e) Panels also identify areas for commendation in programmes. For 2012/13 validations these mainly related to:
  - meeting employer/industry needs
  - student support
  - innovative course design.

	PAPER NO: EC.20(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	Internal Audit Report – Extenuating Circumstances, Academic Appeals & other processes that could result in a student complaint to the OIA	
Author:	PricewaterhouseCoopers, Internal Auditors	
Executive sponsor:	Richard Flatman, Executive Director of Finance	
<b>Recommendation by the Executive:</b>	The Executive recommends that the Educational Character Committee note the attached report.	
Aspect of the Corporate Plan to which this will help deliver?	<ul style="list-style-type: none"> <li>• Creating an environment in which excellence can thrive.</li> </ul>	
Matter previously considered by:	Audit Committee	31 October 2013
Further approval required?	n/a	n/a
Communications – who should be made aware of the decision?	n/a	

### **Executive summary**

The attached audit report for ‘Extenuating Circumstances, Academic Appeals & other processes that could result in a student complaint to the OIA’ was undertaken as part of the internal audit programme for 2013/14.

Page 2 of the report compares current practice against the OIA’s good practice recommendations. Actions and deadlines are indicated in the action plan for each section.

At its meeting of 31 October 2013, the Audit Committee noted the report.

The Educational Character Committee is requested also to note the report.



# *Internal Audit Report 2013/2014*

Extenuating Circumstances,  
Academic Appeals & other  
processes that could result in  
a student complaint to the

OIA

FINAL

October 2013

London South Bank  
University

# Contents

<b>1. Executive summary</b>	<b>1</b>
<b>2. Detailed current year findings</b>	<b>4</b>
Appendix 1 - Terms of Reference	11
Appendix 2 - Limitations and responsibilities	14

## Distribution List

For action:	Phil Cardew, Pro Vice Chancellor (Academic)
For information:	Richard Flatman, Director of Finance
	John Baker, Corporate & Business Planning Manager
	Audit Committee

This report has been prepared by PwC in accordance with our contract dated 01/08/2013.

Internal audit work was performed in accordance with PwC's Internal Audit methodology which is aligned to the Higher Education Funding Council for England's (HEFCE) Financial Memorandum. As a result, our work and deliverables are not designed or intended to comply with the International Auditing and Assurance Standards Board (IAASB), International Framework for Assurance Engagements (IFAE) and International Standard on Assurance Engagements (ISAE) 3000.

# 1. *Executive summary*

## **Background**

London South Bank University (LSBU) has a duty to make reasonable adjustments for its disabled students. It is also possible for students at LSBU to claim for extenuating circumstances where they have missed or failed assessments due to circumstances beyond their control, for example, a serious personal illness which isn't a permanent medical condition, death or serious illness of a family member or a serious and unforeseeable disruption to public transport. Faculties and exam boards are responsible for Extenuating Circumstances panels. A central team in Registry is responsible for the management of student appeals.

It is possible for a student to contact the Office of the Independent Adjudicator (OIA) to appeal against a decision or to lodge a complaint against the LSBU on how their case has been treated. When cases are taken up by the OIA, these are handled by the University Secretary's Office team (who also deal with student complaints), who liaise with the Registry appeals teams and Pro-Deans and Academics in the four Faculties.

LSBU was named in the OIA's Annual Report for 2012 as not being compliant with its recommendations. The OIA also issued a good practice letter to LSBU in June 2013, identifying key areas where LSBU may not always follow good practice in its administration of appeals and complaints. LSBU have plans to address a number of areas of improvement in their performance. The purpose of this review was to review existing procedures to identify any areas for improvement and perform testing to confirm compliance with existing policies and procedures.

## **Audit Findings**

Our review has identified that policies and procedure notes are in place but it was highlighted by management that Faculties operate different policies on an operational basis. LSBU are currently mapping current procedures to the notice of good practice from the OIA and to update Academic Regulations to take account of these recommendations and the outputs of our work.

Our substantive testing of a sample against required procedures identified a number of recurring themes, in particular:

### **Incomplete audit trail**

We identified a number of instances where records were incomplete, for example:

- One student tested was referred to as a 'complex' case. In these instances it is required that a Course Director attends this meeting. In the case tested, this was not the case. It was confirmed that this policy is not always adhered to and no record is kept of these meetings (finding #2); and
- We identified eight instances where we were unable to confirm if an appeal had been submitted within the designated time frames. This is because the original letter detailing the exam board's decision was not retained by management as evidence (finding #4).

### **Untimely information processing**

LSBU procedure notes include a number of deadlines for the submission, assessment and communication of decisions. Our testing found a number of examples where deadlines have not been adhered to, for example:

- Provision of feedback on the outcome of student disability assessments (finding #2);
- Student submission of extenuating circumstance forms and complaints (findings #3 and #5); and,
- Arriving at final decisions for complaints processed (finding #5).

### **Non-compliance with identified procedures**

The following examples of non-compliance with existing procedure notes were identified:

- We identified one instance where an occupational health check had not been completed (finding #2);
- A signed data protection form had not been completed for two students tested (finding '2);
- For one complaint, the outcome of the investigation had not been provided in writing to the student (finding #5); and,
- We identified three complaints that had not been investigated by a staff member of appropriate seniority (finding #5).

### **Comparison to OIA good practice recommendations**

In addition to the above, we have compared our fieldwork against the findings identified by the OIA in the good practice letter:

#### **1. Minutes of Extenuating Circumstances Panels and Appeal Panels**

The OIA commented that minutes were hand written and limited in scope. It was recommended that these minutes were word-processed and outlined who was present and their role. It was recommended that minutes state what documentation was considered by the Panel, including regulations applied, forms of evidence submitted and the final decision made by the Panel, including if a decision has been deferred.

Our fieldwork confirmed that all minutes from the Extenuating Circumstances Panel and Appeals Panel were handwritten. We agree that word-processed documents and standardised pro-formas for minute taking will improve the quality of records and reduce the risk of an incomplete audit trail due to missing information or illegible records. However, in all cases that we sampled, we were able to establish who attended, what documentation was considered and the final decision made by the Panel.

#### **2. Extenuating circumstances claims**

The OIA noted that they identified some students had made multiple claims for the same modules but this was not reflected in the letters sent to students. The OIA also noted there is a lapse of time between claim submissions and meetings of the Extenuating Circumstances panel, which in combination with shortfalls in minute taking make it difficult to demonstrate that all submissions have been appropriately considered.

Our testing of extenuating circumstances claims did not include whether a letter made reference to multiple claims. However, we did identify some similar instances of untimely processing of claims, please see findings #2, #3 and #5.

#### **3. Communication with students**

The OIA expressed concern that they did not see evidence that LSBU acted to inform their students of the progress of their requests for extenuating circumstances or appeals. This includes notifying students of delays or where matters have been deferred.

We only identified one instance where a student had not been notified of the progress of their claim (see finding #5). In other instances this had been performed.

### **Conclusion**

On the whole procedures have been followed, however LSBU will be able to improve consistency of applied procedures and improve student experience by ensuring that there is a complete and accurate audit trail of procedures followed, assessments are processed on a timely basis and that procedures are consistently applied across the University.

In particular, coordination of efforts and outputs across all four areas will be improved through standardising policies and procedures at a Faculty level, to ensure that procedures are applied consistently across the University so that students receive consistent treatment.

Reducing the reliance on paper forms will also help to improve the efficiency of the process. We are aware that LSBU have procured Tribal ESD software, to reduce their reliance on paper systems and plan to implement a complete online workflow for appeals, complaints and Extenuating Circumstances. This is currently in process, and in the interim period, LSBU are exploring options to improve workflows to maximise efficiency.

The majority of cases tested had complete records but we have identified instances of non-compliance and missing records. An electronic workflow may help to improve this area e.g. through requiring minimum levels of records/checks before proceeding to the next stage. In the absence of automated systems, record keeping could be improved by storing paper-forms electronically (to reduce the risk of loss of paper information), introducing a standardised checklist to be completed across all Faculties confirming procedures followed and periodic spot checks of a sample of files to confirm compliance. For this to be effective, the consequences of non-compliance will need to be formally defined and communicated to all parties involved in the process.

LSBU may also wish to update timescales for information processing to ensure adequate time is allocated to perform reviews and deal with requests. This may have the added benefit of improving the quality of records (ensuring there is adequate time to complete all required documentation) and assist resourcing in this area to allow more time to process claims and appeals.



## 2. Detailed current year findings

### 1. Policies and procedure notes – Operating Effectiveness

#### *Finding*

We obtained and reviewed policies and procedure notes to ensure that these cover the following key processes:

- Assessment of applicants with need for special adjustments under the terms of the Equality Act 2010;
- Extenuating Circumstances;
- Appeals; and
- Complaints and Office of the Independent Adjudicator.

Our work identified that policies and procedure notes are in place and these are available on the University website to all students and staff.

However, it was noted by management that Faculties operate different policies on an operational basis. It is recognised that processes are currently being mapped to the notice of good practice from the OIA and to updated Academic Regulations.

#### *Risks*

Procedures adopted by different Faculties may mean that students receive inconsistent treatment which is not in line with University policy. This could also mean students have inconsistent experiences.

#### *Action plan*

##### *Agreed action*

The University is already working with faculties to iron out inconsistencies of approach. This will be further facilitated through the Student Records Development Team, who will ensure a follow-up review of process at the end of semester 1, to monitor progress and further eliminate inconsistency.

##### *Responsible person / title*

Academic Registrar

##### *Target date:*

28 February 2014

## 2. Compliance with policies and procedures: Assessment of applicants with need for special adjustments under the terms of the Equality Act 2010 – Operating Effectiveness

### *Finding*

Applicants with a need for special adjustments are required to attend meetings with representatives from the support team to agree their support requirements. If the student is identified as having complex needs, the Course Director is also required to attend the meeting.

In addition, all applicants to the Faculty of Health and Social Care courses must complete an Occupational Health Check to demonstrate fitness to practice prior to enrolment.

All offer letters should include a statement encouraging students to disclose any disabilities.

A listing of all continuing and prospective students for academic year 2013/2014 who had disclosed a disability was obtained. We tested a sample of twenty students to confirm that:

- Their offer letter included a statements encouraging disclosure of any disabilities;
- Contact had been made with the student after notification of a disability;
- Evidence of checks performed, including supporting documentation for any disabilities disclosed, are retained on file; and
- Support arrangements have been established and communicated to the student in line with LSBU's policies.

Our testing identified the following exceptions:

- 1 An occupational health check had not been completed for one of 20 students tested. It was identified by management that this is not a requirement for the particular course being completed by the student. This is not consistent with LSBU's procedure notes which state that an occupational health check should be completed for all students within the Faculty of Health and Social Care;
- 2 For four of 20 students tested, LSBU had identified that DSA was available to the student but the student had not responded. It is a departmental performance indicator to maximise the uptake of DSA but there is currently no formal process in place for this;
- 3 One of 20 students tested is referred to as a 'complex' case. In these instances it is required that a Course Director attends this meeting. In the case tested, this was not the case. Management identified this policy is not always adhered to and no record is kept of these meetings;
- 4 LSBU have a timeframe of 20 days to respond to provide feedback on the assessment performed of the student. This timeframe was exceeded in five of 20 cases tested;
- 5 A signed data protection form had not been completed for two of 20 students tested; and for one of 20 students tested the student should not have been on the system as they terminated their studies in 2011/12.

### *Risks*

Non-compliance with policies and procedures could mean that inadequate checks are performed. This could lead to incorrect decisions being made.

LSBU may fail to meet key performance targets for maximising uptake of DSA.

If cases are not assessed by staff of appropriate seniority there is a risk that inappropriate decisions are made. This could have an adverse effect on the student's performance.

Deadlines may be unrealistic. This could mean that information is not subject to appropriate scrutiny leading to inadequate assessment of information and inappropriate decisions being made.

Lack of audit trail to support management decisions.

System data may be inaccurate this could mean that management information is inaccurate or incomplete making it difficult to monitor performance.

<i>Action plan</i>	
<i>Agreed action</i>	<i>Responsible person / title</i>
Issues have been numbered, above, to facilitate cross-reference to actions:	Director of Student Services
	<i>Target date:</i>
1. A forthcoming review of the procedure will change the wording to reflect the fact that a few courses do not require the check.	1: 31 November 2013
2. All students declaring a disability are communicated with to promote DSA and to invite them to make an appointment with the service. There is much publicity and communication already in place to drive students to make appointments with the DDS Team. The process, beyond the point of admission, however, is not formal, and a more comprehensive communications plan is being considered.	2: N/A
	3: 31 July 2014
	4: 31 November 2013
	5: 31 August 20134
3. A review will look at changing the procedure, which is at present impossible to comply with. Students declare a disability at admission, but not its complexity, and even if the pre-entry form is completed, it does not always draw the full complexity of a case out. At the moment Advisers will invite a Course Director to an initial meeting if the needs are clearly complex from the pre-entry form, but for students whose complexity emerges at the meeting or later, they will involve the Course Director in another way. A review of procedures will formalise the involvement of the Course Director.	
4. Adviser Appointments are automatically booked for 20 days after the assessment, to allow time for the report to be written. We find it unusual for the report not to have been written in time, and, given the number of students is 5, suggest that the reason for missing the deadline is most likely to be that the students did not attend the feedback appointment and another, later appointment had to be made. This would record the feedback as late. The wording of the procedure will be amended.	
5. The lack of signed data protection forms is regrettable. We will look at the process again, and consider whether this is something that might be dealt with at enrolment.	

### 3. Compliance with policies and procedures: Extenuating circumstances – Operating Effectiveness

#### *Finding*

All students requesting extenuating circumstances should complete a 'Claim for Extenuating Circumstances' form. This is submitted to the Faculty Office and must be received by 5 days after the relevant examination date or submission date for course work. The submission date is deemed to be the date on which it is received and stamped by the Faculty Office.

The following documentation must be attached to the claim:

- Serious or personal illness – a doctor's letter that underlines the illness and details the student's ability to perform;
- Family bereavement or serious illness - a death certificate or other relevant documentation confirming the death or illness. If the person is not a relative, evidence of the closeness of the relationship must be provided;
- Public transport disruption - a letter or other statement from the relevant bus or rail company confirming the details of the disruption and details of the student's address and normal route to University.

All claims are considered by the Extenuating Circumstances Panel. These are organised by the Faculty and chaired by a senior member of academic staff. The Extenuating Circumstances Panel will inform the Award and Progression Examination Board of its decision.

We tested a sample of twenty students who had applied for extenuating circumstances to confirm that:

- The original claim was submitted within 5 days of any academic assessment deadlines;
- Supporting evidence to accompany the claim was submitted
- The claim was submitted to the Extenuating Circumstances Panel for consideration; and
- The Extenuating Circumstances Panel decision is documented and was communicated to the Award and Progression Board.

Our testing identified:

- Four of 20 extenuating circumstances claims had not been submitted in line with the specified five day deadline.

#### *Risks*

Non-compliance with policies and procedures could mean that inadequate checks are performed. This could lead to incorrect decisions being made.

Deadlines may be unrealistic. This could mean that information is not subject to appropriate scrutiny leading to inadequate assessment of information and inappropriate decisions being made.

#### *Action plan*

##### *Agreed action*

1. The issue of non-compliance with Extenuating Circumstances Procedures is addressed in (1) above. There is an additional issue of potentially unrealistic deadlines which will be reviewed by the Academic Regulations Committee, which will make recommendations to the Academic Board by July 2014.

##### *Responsible person / title*

Academic Registrar

##### *Target date:*

31 July 2014

## 4. Appeals – Operating Effectiveness

### *Finding*

Appeals against decisions can be made on the grounds that an administrative or procedural error has affected the decision. All appeals must be submitted with written evidence and using the 'Appeals Form'.

We tested a sample of 20 appeals cases to confirm that:

- The appeal has been submitted within three weeks of the decision;
- Supporting evidence has been attached to the Appeal form;
- There is documentation evidencing the outcome of the Appeal Panel;
- Documentation is consistent with other information held on individual's files; and
- That the output of this exercise has been communicated to the student via a Completion of Procedures letter.

Our testing identified the following exceptions:

- In eight of 20 instances we were unable to confirm if the appeal had been submitted within three weeks of the decision. This is because the original letter detailing the exam board's decision was not provided by management as evidence.

### *Risks*

Lack of audit trail to support management decisions.

### *Action plan*

#### *Agreed action*

We are moving the system to an electronic workflow process which will be piloted during 2013/14 and fully implemented for the next main appeals cycle.

#### *Responsible person / title*

Academic Registrar

#### *Target date:*

31 August 2014

## 5. Complaints – Operating Effectiveness

### *Finding*

Complaints must be submitted using a Student Complaint Form. This should be accompanied by relevant documentary evidence, for example, evidence of timely submission to the University and qualifications. The complaint should be raised by either a current LSBU student or an ex-LSBU student based at one of LSBU's designated campuses.

Procedures state that a complaint may be made informally within 60 working days of the issue first occurring and within no more than 90 working days if the informal process did not resolve the complaint or if no informal process was launched. The informal process involves consulting with the member of staff/faculty with whom the complaint resonates.

Additionally an assessment should be made to determine whether the complaint actually constitutes a 'complaint'. LSBU procedures define this as a specific issue not an exam board issue or an academic misconduct panel decision.

The Faculty will appoint a senior member of the management team, typically a Head of Department or Pro Dean, to investigate the case. This will involve discussion with the student in the first instance, followed by additional assistance from other staff members.

A response must be provided to the student within 20 working days from receipt of the complaint into the Faculty. The University's Secretary Office must be copied into the response to the student.

If the student is dissatisfied with the response, the student must write to the University's Secretary Office within 15 days of the response, citing the reason for escalation and attaching any additional information to support the complaint. This student may request for the complaint to be progressed to 'Stage 2' (Internal Informal Mediation) or Stage 3 (Independent Internal Investigation).

The student must submit a written request to the University Secretary's Office if a complaint is escalated to Stage 3. The University Secretary's Office may either dismiss or uphold the complaint. For all dismissals, the Executive Dean or Head of University Service must be cc'd into any communications and the student should be told that if they wish to escalate further they must complain to the Office of the Independent Adjudicator for Higher Education.

If the University Secretary Office upholds the complaint, then an Executive Dean, Pro Dean or Deputy Dean from an Independent Faculty or a Head or Deputy Head of Service from an independent service must be appointed to investigate the complaint. The complaint file should be submitted to the appointed officer within 10 working days.

The investigator will produce a report to conclude as to whether they find the complaint justified and supporting the findings with reasons. If applicable they must state whether they recommend for action the relevant Faculty or University Service. The investigator must send the report to the student and the Executive Dean/Head of Faculty/University Service and the USO; within 20 working days of the investigation commencing.

It is possible for a student to escalate the complaint to Stage 4. This allows the student to submit a request for a review to the USO within 15 working days of receiving the investigator's report.

To test compliance with this process, a sample of 20 student complaints was selected for testing to confirm that:

- The complaint had been submitted to the University Secretary Office in line with procedural deadlines;
- Supporting documentation was provided;
- The decision to dismiss or uphold the complaint was documented in line with procedure;
- All upheld claims were investigated by staff with appropriate seniority; and
- Whether this investigation was documented;
- If a decision was reached within 20 days.

Please note that within the testing period, no complaints had been escalated to stage 2 or stage 4 so this process was not tested.

Our testing identified the following exceptions:

- In three of 20 cases tested, the case had not been investigated a member of staff of appropriate seniority as required under stage one procedures. This case was subject to referral by the OIA;
- In one of 20 cases the complaint has been investigated despite not being received within the specified time lines in accordance with University procedure;
- In one of 20 cases the outcome of the investigation had not been provided in writing to the student; and
- In one of 20 cases, a decision on the outcome of the Stage 1 complaint was not reached within 20 days of the complaint being lodged.

### *Risks*

If cases are not assessed by staff of appropriate seniority there is a risk that inappropriate decisions of made. This could have an adverse effect on the student's performance.

Non-compliance with policies and procedures could mean that inadequate checks are performed. This could lead to incorrect decisions being made.

Deadlines may be unrealistic. This could mean that information is not subject to appropriate scrutiny leading to inadequate assessment of information and inappropriate decisions being made.

Lack of communication of progress to students could lead to confusion or frustration.

### *Action plan*

#### *Agreed action*

In relation to the handling of student complaints, the executive's aim is to achieve informal resolution at Stage 1 by the Pro Dean of the relevant faculty. This means the complaint is resolved in a timely way, allowing the student to prioritise their studies and avoids entrenchment in the later stages of the formal process.

With this in mind, the following actions will be taken to mitigate the risks identified in section 5 (above).

- A. The complaints procedure requires the complaint to be handled by a senior manager within the relevant faculty. The complaints team will provide a refresher session for the four Pro Deans responsible for student complaints (plus their nominees) to cover best practice.
- B. Under the complaints procedure, it is best practice for decisions affecting students to be made at the level of Pro Dean or above. The refresher session will address this point.
- C. The complaints team will review the time limits and deadlines in the complaints procedure and make a recommendation to Academic Board as to whether they are fit for purpose or otherwise.
- D. The intention of the complaints procedure is that the handling of the case is led by the Pro Dean of the relevant faculty. The refresher session will address how Pro Deans and their senior colleagues may review and report on progress of cases, including keeping the student informed.

#### *Responsible person / title*

University Secretary

#### *Target date:*

31 December 2013

# ***Appendix 1 - Terms of Reference***

## ***Extenuating Circumstances, Academic Appeals & other processes that could result in a student complaint to the OIA***

**To:** *Phil Cardew (Pro-Vice Chancellor, Academic)*  
**From:** *Justin Martin (Head of Internal Audit)*

This review is being undertaken in addition to the 2013/2014 internal audit plan approved by the Audit Committee.

---

### ***Background***

London South Bank University (LSBU) has a duty to make reasonable adjustments for its disabled students. Disability support is provided by the DDS team within Student Services.

In addition it is possible for students at LSBU to claim for extenuating circumstances where they have missed or failed assessments due to circumstances beyond their control, for example, a serious personal illness which isn't a permanent medical condition, death or serious illness of a family member or a serious and unforeseeable disruption to public transport.

Faculties and exam board are responsible for Extenuating Circumstances panels. Following exam board decisions, a central team in the Registry is responsible for the management of student appeals.

It is possible for a student to contact the Office of the Independent Adjudicator (OIA) to appeal against a decision or to lodge a complaint against the University on how their case has been treated. When cases are taken up by the OIA, these are handled by the Secretary's team (who also deal with student complaints), who liaise with the Registry appeals teams and Pro-Deans and Academics in the four Faculties.

LSBU was named in the OIA's Annual Report for 2012 as not being compliant with its recommendations. LSBU have plans to address a number of areas of improvement in their performance. The purpose of this review is to review the existing policies and procedures to identify any areas for improvement and to test a sample of cases to confirm compliance with policies and procedures.

### ***Scope***

This review will cover the following scope:

- We will obtain policies and procedure notes and ensure these cover the following key processes:
  - Assessment of applicants with need for special adjustments under the terms of the Equality Act 2010;
  - Extenuating Circumstances;
  - Appeals; and
  - Complaints and Office of the Independent Adjudicator.



We will review the processes outlined to identify any control design recommendations and / or to confirm if they are efficient and effective.

- We will test a sample of cases in line with identified procedures to confirm if these are being complied with.
- We will understand what monitoring mechanisms are in place to gain oversight of performance. We will test a sample of these to confirm that these are being produced and reviewed.

### *Limitations of scope*

The scope of our work will be limited to those areas outlined above. Our testing will be limited to a review of the following key areas:

- Assessment of applicants with need for special adjustments under the terms of the Disability and Discrimination Act;
- Extenuating Circumstances;
- Appeals; and
- Complaints and Office of the Independent Adjudicator.

Our review will be limited to reviewing policies and procedures and testing compliance with these policies and procedures. This work will not include an assessment of case decisions made.

Our review will be performed in the context of the information provided to us. Where circumstances change the review outputs may no longer be applicable. In these situations, we accept no responsibility in respect of the advice given.

### *Audit approach*

Our audit approach is as follows:

- Obtain an understanding of work performed through discussions with key personnel, review of methodology and procedure notes and walkthrough tests;
- Identify the key risks relating to the process;
- Evaluate the design of the controls in place to address the key risks;
- Test the operating effectiveness of the key controls.

### *Fees*

Our fee for this work has been agreed as £9,472 (16 days @ £592 a day) excluding VAT.

### *Internal audit team*

<b>Name</b>	<b>Title</b>	<b>Contact details</b>
Justin Martin	Head of Internal Audit	0207 212 4269 justin.f.martin@uk.pwc.com
David Wildey	Senior Manager	0207 213 2949 / 07921 106 603 david.w.wildey@uk.pwc.com
Charlotte Bilsland	Team Manager	07715 484 470 charlotte.bilsland@uk.pwc.com
Helen Morgan-Rees	Auditor	07896 332 042 helen.r.morgan-rees@uk.pwc.com

### *Key contacts*

<b>Name</b>	<b>Title</b>	<b>Contact details</b>	<b>Responsibilities</b>
Phil Cardew	Pro Vice Chancellor (Academic) (Audit Sponsor)	0207 815 6010 phil.cardew@lsbu.ac.uk	Review and approve terms of reference Review draft report

			<p>Review and approve final report</p> <p>Hold initial scoping meeting</p> <p>Review and meet to discuss issues arising and develop management responses and action plan</p>
Richard Flatman	Executive Director of Finance	0207 815 6301 richard.flatman@lsbu.ac.uk	<p>Receive draft and final terms of reference</p> <p>Receive draft and final report</p> <p>Hold initial scoping meeting</p>
John Baker	Corporate & Business Planning Manager	0207 815 6003 j.baker@lsbu.ac.uk	<p>Receive draft and final terms of reference</p> <p>Receive draft and final report</p> <p>Co-ordinate onsite audit work with LSBU staff</p>

### *Timetable*

Fieldwork start	19/08/2013
Fieldwork completed	30/08/2013
Draft report to client	13/09/2013
Response from client	27/09/2013
Final report to client	04/10/2013

Agreed timescales are subject to the following assumptions:

- All relevant documentation, including source data, reports and procedures, will be made available to us promptly on request;
- Staff and management will make reasonable time available for interviews and will respond promptly to follow-up questions or requests for documentation.

# ***Appendix 2 - Limitations and responsibilities***

## ***Limitations inherent to the internal auditor's work***

We have undertaken the review of, Extenuating Circumstances, Academic Appeals & other processes that could result in a student complaint to the OIA, subject to the limitations outlined below.

### ***Internal control***

Internal control systems, no matter how well designed and operated, are affected by inherent limitations. These include the possibility of poor judgment in decision-making, human error, control processes being deliberately circumvented by employees and others, management overriding controls and the occurrence of unforeseeable circumstances.

### ***Future periods***

Our assessment of controls is for the period 2013/2014 only. Historic evaluation of effectiveness is not relevant to future periods due to the risk that:

- the design of controls may become inadequate because of changes in operating environment, law, regulation or other; or
- the degree of compliance with policies and procedures may deteriorate.

## ***Responsibilities of management and internal auditors***

It is management's responsibility to develop and maintain sound systems of risk management, internal control and governance and for the prevention and detection of irregularities and fraud. Internal audit work should not be seen as a substitute for management's responsibilities for the design and operation of these systems.

We endeavour to plan our work so that we have a reasonable expectation of detecting significant control weaknesses and, if detected, we shall carry out additional work directed towards identification of consequent fraud or other irregularities. However, internal audit procedures alone, even when carried out with due professional care, do not guarantee that fraud will be detected.

Accordingly, our examinations as internal auditors should not be relied upon solely to disclose fraud, defalcations or other irregularities which may exist.





In the event that, pursuant to a request which London South Bank University has received under the Freedom of Information Act 2000 or the Environmental Information Regulations 2004 (as the same may be amended or re-enacted from time to time) or any subordinate legislation made thereunder (collectively, the “Legislation”), London South Bank University is required to disclose any information contained in this document, it will notify PwC promptly and will consult with PwC prior to disclosing such document. London South Bank University agrees to pay due regard to any representations which PwC may make in connection with such disclosure and to apply any relevant exemptions which may exist under the Legislation to such [report]. If, following consultation with PwC, London South Bank University discloses any this document or any part thereof, it shall ensure that any disclaimer which PwC has included or may subsequently wish to include in the information is reproduced in full in any copies disclosed.

This document has been prepared only for London South Bank University and solely for the purpose and on the terms agreed with London South Bank University in our agreement dated 01 August 2013. We accept no liability (including for negligence) to anyone else in connection with this document, and it may not be provided to anyone else.

© 2013 PricewaterhouseCoopers LLP. All rights reserved. In this document, "PwC" refers to PricewaterhouseCoopers LLP (a limited liability partnership in the United Kingdom), which is a member firm of PricewaterhouseCoopers International Limited, each member firm of which is a separate legal entity.

**London South Bank**  
University

	PAPER NO: EC.21(13)	
Board/Committee:	Educational Character Committee	
Date:	4 <sup>th</sup> December 2013	
Paper title:	OIA Annual letter	
Author:	OIA	
Executive sponsor:	James Stevenson, University Secretary and Clerk to the Board of Governors	
<b>Recommendation by the Executive:</b>	The Executive recommends that the Educational Character Committee note the attached letter	
Aspect of the Corporate Plan to which this will help deliver?	<ul style="list-style-type: none"> <li>• Creating an environment in which excellence can thrive.</li> </ul>	
Matter previously considered by:		
Further approval required?	n/a	n/a
Communications – who should be made aware of the decision?	n/a	



office of the  
independent  
adjudicator

Professor Martin Earwicker  
Vice Chancellor and Chief Executive  
London South Bank University  
103 Borough Road  
LONDON  
SE1 0AA

24 September 2013

Dear Professor Earwicker,

**Annual Letter**

I enclose the OIA Annual Letter for your institution for 2012. This documents the University's record in handling complaints and appeals. Explanatory notes and relevant definitions are set out in Annexe 2. A copy of this letter will be published on the OIA website, together with letters to all other Scheme members, on 24 September 2013.

I hope this is helpful.

Yours sincerely,

Rob Behrens  
Independent Adjudicator & Chief Executive

# Annexe 1

## STATISTICS

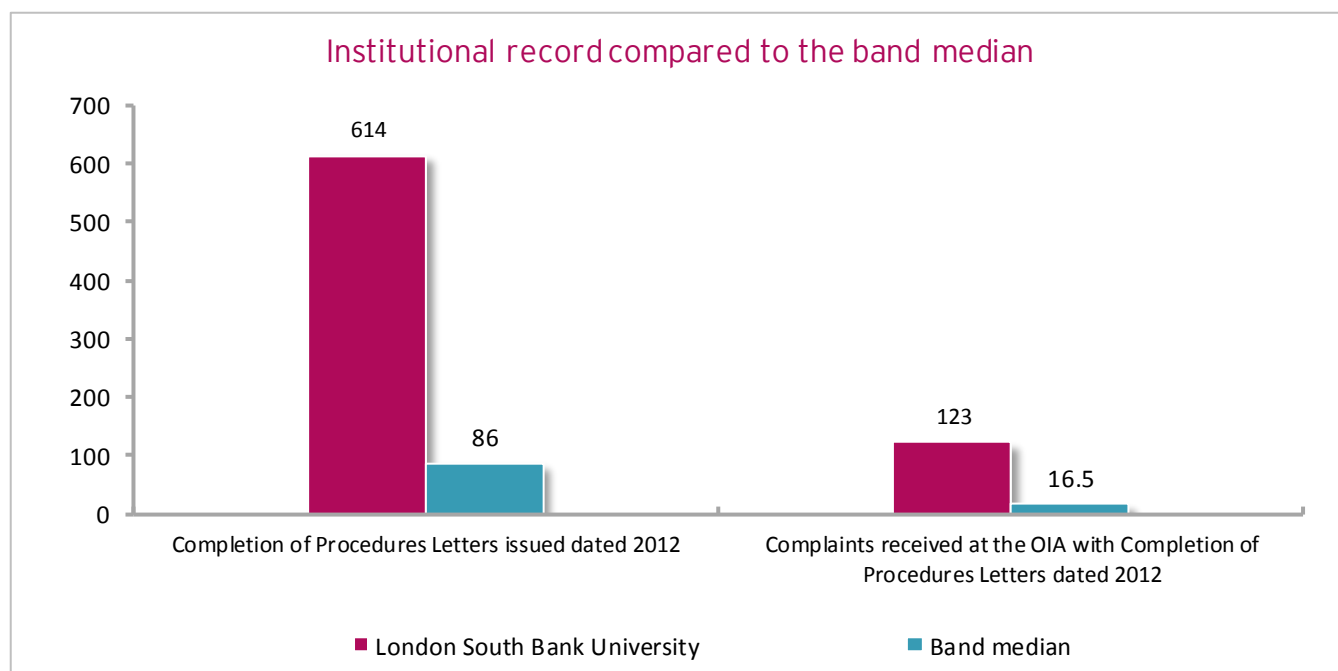
London South Bank University		
Year	OIA Band	Number of students
2012	F	25440
2011	F	24280

Annual Complaints to the OIA <sup>1</sup>		
Year	Complaints received at the OIA	Complaints closed at the OIA <sup>2</sup>
2012	120	69
2011	39	52
Annual Change	Increased by 81	Increased by 17

Completion of Procedures Letters issued dated		Of these Completion of Procedures Letters issued the OIA received the following:	Complaints received at the OIA with Completion of Procedures Letters dated	
2012	614		2012	123
2011	292		2011	53
Annual Change	Increased by 322		Annual Change	Increased by 70

London South Bank University has informed the OIA that 614 students were issued with a Completion of Procedures Letter in 2012. To date the OIA has received 123 complaints from London South Bank University students with Completion of Procedures Letters dated 2012. This means that one in every five students who exhausted the formal internal complaints procedures during 2012 brought their complaint to the OIA. By way of comparison, the average proportion of complaints brought to the OIA from universities in the same band was one in every seven students who had complained. Charts 1 and 2 below give the comparison between the returns from London South Bank University and the band medians.

Chart 1

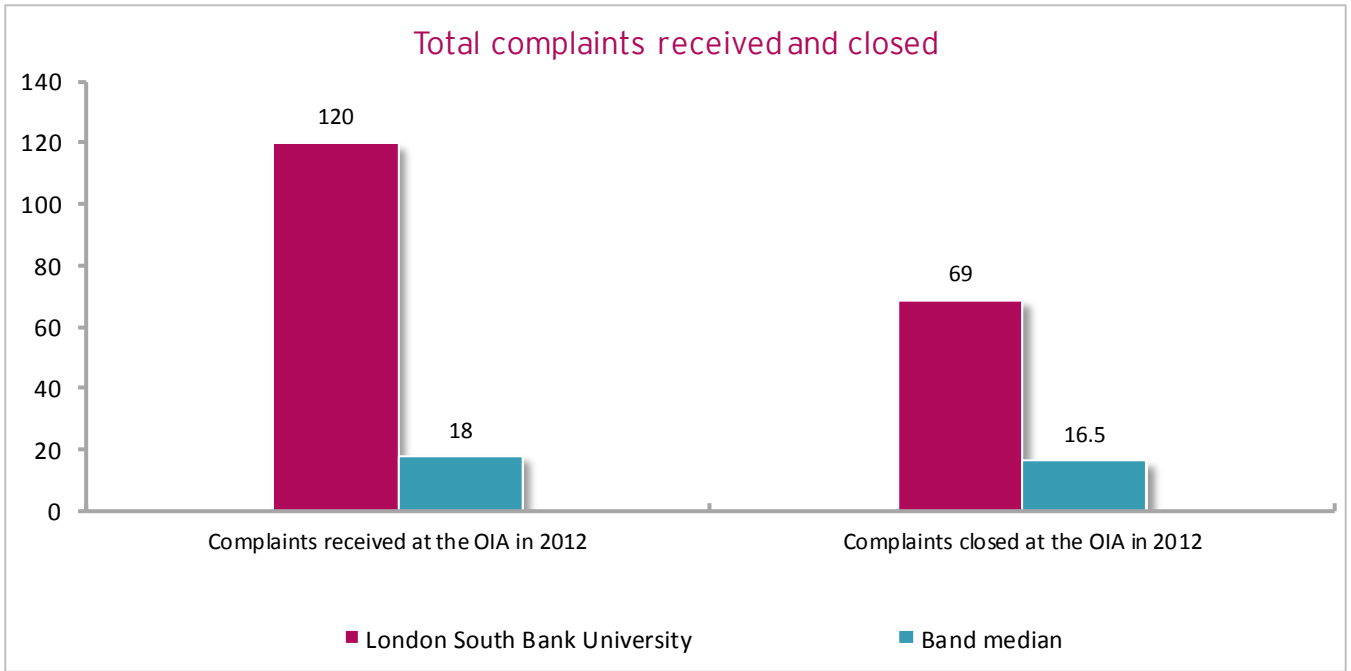


<sup>1</sup> The figures under headings "Complaints received at the OIA" and "Complaints received at the OIA with Completion of Procedures Letters dated [year]" may overlap. The figures under these headings should therefore not be added together.

<sup>2</sup> Some of the complaints might have been received in the previous year.



Chart 2



The OIA closed 69 complaints against London South Bank University in 2012. Chart 3 below displays the outcome of the closed complaints and compares London South Bank University figures to those of the band median.

Chart 3

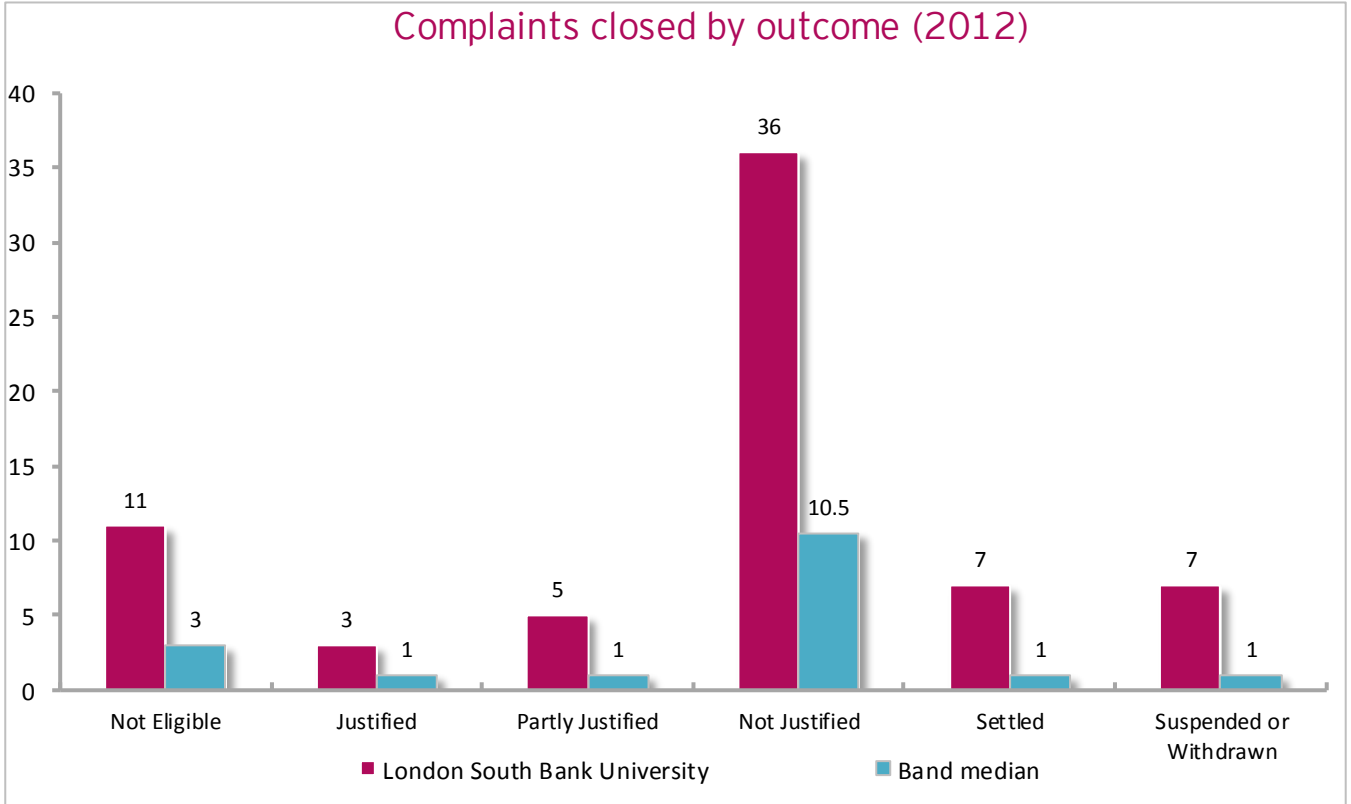


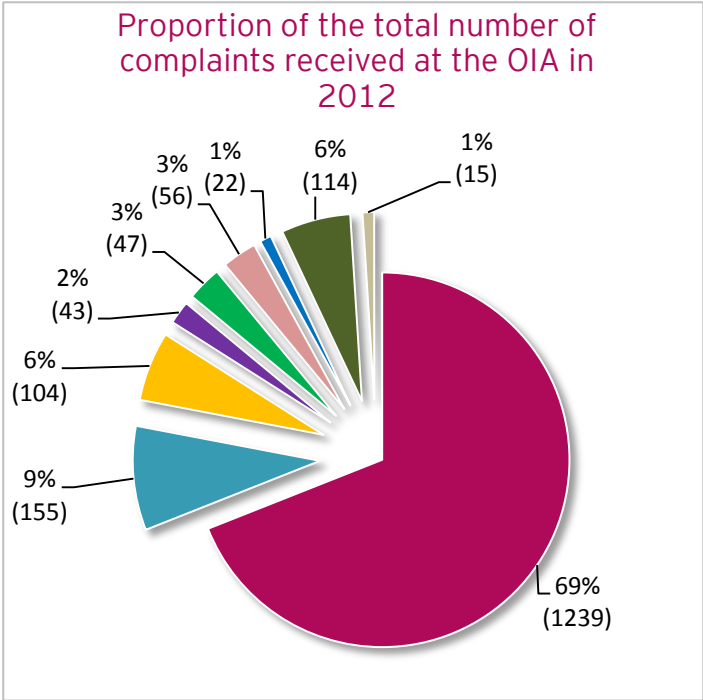
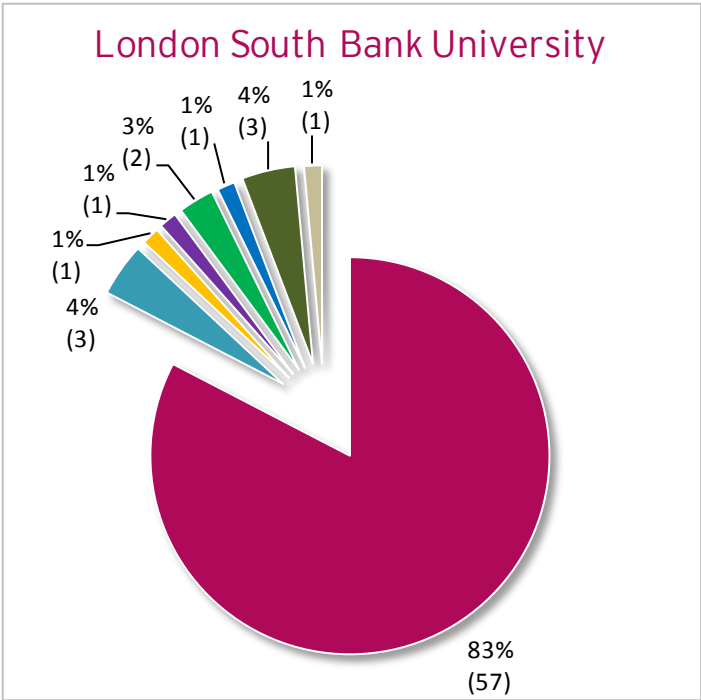
Chart 4 below breaks down the complaints about London South Bank University closed in 2012 by subject matter of complaint. Chart 5 below illustrates the proportion of the total number of complaints about all universities closed by the OIA in 2012 attributable to subject matter of complaint. In both charts actual numbers of complaints are contained in brackets.

### Complaints closed by subject matter (2012)

- Academic Status
  - Academic misconduct, plagiarism and cheating
  - Discrimination and Human Rights
  - Welfare and Accommodation
  - Admissions
- Services issues (Contract)
  - Disciplinary matters (not academic)
  - Financial
  - Other

Chart 4

Chart 5



# Annexe 2

---

## EXPLANATORY NOTES

- Note 1* Under Scheme Rule 4 the OIA has the discretion, exceptionally, to review complaints even where the internal complaints procedures have not been exhausted. For statistical purposes, we treat such complainants as having exhausted the relevant procedures.
- Note 2* Student numbers were obtained from Higher Education Statistics Agency (HESA) – [www.hesa.ac.uk](http://www.hesa.ac.uk). 2008/2009 HESA figures were used to assign universities to the relevant OIA subscription band in 2011 and 2009/2010 figures in 2012.
- Note 3* The heading 'Complaints received at the OIA in 2012' includes all complaints where the OIA Complaint Form was received at the OIA during 2012. It also includes Not Eligible complaints. By contrast, 'Complaints received at the OIA with Completion of Procedures Letters dated 2012' includes only complaints received at the OIA with Completion of Procedures Letters dated 2012, whenever received. For example, a complaint may have been received in 2013 but with the Completion of Procedures Letter dated 2012. The example given also applies to 2011 statistics.
- Note 4* In this exercise, bands G, H and I are merged for the purposes of calculating band averages for universities in those bands. This enabled the OIA to provide more meaningful contextual information where numbers of institutions in bands are small.
- Note 5* The heading 'OIA Band' refers to OIA subscription bands which are as follows:

Institution size	Band
Fewer than 500 students	A
501 to 1,500 students	B
1,501 to 6,000 students	C
6,001 to 12,000 students	D
12,001 20,000 students	E
20,001 30,000 students	F
30,001 50,000 students	G
50,001 100,000 students	H
More than 100,000 students	I

## DEFINITIONS

**Completion of Procedures Letter** - Once a student has exhausted the university's internal complaints or appeals procedures, the university must promptly send the student a Completion of Procedures Letter. In line with published Guidance, this letter should set out clearly what issues have been considered and the university's final decision. This letter directs the student to the OIA.

**Justified/Partly Justified/Not Justified** - At the end of the OIA review process we will decide whether a student's complaint about the university is Justified, Partly Justified or Not Justified.

**Not Eligible complaint** - This is a complaint that we cannot review under our Rules.

**Settled complaint** - Once a complaint is received by the OIA and the University has been notified, a complaint will be considered "settled" where the parties to the complaint reach an agreed outcome prior to the OIA issuing a Formal Decision.

**Suspended complaint** - A case may be suspended, normally at the request of a complainant, in exceptional circumstances e.g. bereavement or illness. Cases may also be suspended if there is on-going action taking place in another forum which could affect the outcome of the OIA's review e.g. secondary procedures taking place within the University.

**University** - For ease of reference, we use the word 'university' throughout the letter to include all institutions subscribing to the OIA Scheme.

**Withdrawn complaint** - A complaint will be considered "withdrawn" if a complainant requests that the OIA cease to review the complaint or in cases where the complainant fails to participate in the OIA's process.

## CATEGORIES OF COMPLAINTS

**Academic Status** - complaints which are related to academic appeals, assessments, progression and grades.

**Service Issues (contract)** - complaints which are related to the course or teaching provision, facilities and supervision.

**Disciplinary matters** - complaints which are related to disciplinary proceedings for non-academic offences.

**Academic Misconduct** - complaints which are related to academic offences including plagiarism, collusion and examination offences.

**Discrimination and Human Rights** - complaints where the student claims there has been any form of discrimination, including harassment, and where he or she claims his or her Human Rights have been breached.

**Financial** – complaints relating to finance and funding: e.g. fees and fee status, bursaries and scholarships.

**Welfare and Accommodation** – complaints relating to support services, e.g. counselling, chaplaincy, assistance for international students, and university accommodation issues.

24 September 2013

	PAPER NO: EC.22(13)	
Board/Committee:	Educational Character Committee	
Date:	4 December 2013	
Paper title:	Committee annual plan	
Author:	James Stevenson, University Secretary and Clerk to the Board of Governors	
Board sponsor:	Steve Balmont, Chairman of the Educational Character Committee	
<b>Recommendation:</b>	That the committee note their annual plan	
Matter previously considered by:	Educational Character Committee	On: At each meeting
Further approval required?	N/A	N/A
Communications – who should be made aware of the decision?	N/A	

### **Executive Summary**

The committee are asked to note its annual business plan. This annual committee plan is intended to cover items regularly discussed by the committee. Other non-regular items will be considered by the committee when necessary.

**Educational Character Committee – recurring/standing items**

	<b>Dec</b>	<b>Feb</b>	<b>May</b>
Statistical reports on student achievement, disability and demography/ enrolment statistics	X		
National Student Survey Report	X		
Destination of Leavers of Higher Education Survey Results	X		
Validations Report	X		
Academic KPIs Review	X		
Annual Report on External Examiners		X	
Report on UG Student Progression		X	
UG Faculty Monitoring Reports		X	
Report on Complaints and OIA		X	
HESA Performance Indicators			X
Report on PG Student Progression			X
PG Faculty Monitoring Reports			X
Annual Reports on Academic Misconduct and Appeals			X
Faculty pro formas		X	
Business plan	X	X	X
Annual committee report to the Board			X

# London South Bank University

	PAPER NO: EC.23(13)	
Board/Committee:	Educational Character Committee	
Date:	4 December 2013	
Paper title:	Committee Terms of Reference	
Author:	James Stevenson, University Secretary and Clerk to the Board of Governors	
Board sponsor:	Steve Balmont, Chairman of the Committee	
<b>Recommendation:</b>	That the committee recommends its revised terms of reference to the Board	
Matter previously considered by:	N/A	N/A
Further approval required?		On:
Communications – who should be made aware of the decision?	Published on university website	

## Executive Summary

Committee terms of reference are reviewed annually at the first meeting of the academic year. There are no recommended changes to the Terms of Reference.



## **Educational Character Committee**

### **Terms of Reference**

#### **1. Constitution**

- 1.1 Under Article 14(a) [and proposed new article 5.1.1] the Board of Governors are responsible “for the determination of the educational character and mission of the University and for oversight of its activities including the exercise of degree awarding powers”.
- 1.2 The Board of Governors has established an advisory committee called the Educational Character Committee.

#### **2. Membership**

- 2.1 The Educational Character Committee and its chair shall be appointed by the Board, from amongst its own members.
- 2.2 The Committee may, if it considers it necessary, co-opt members with appropriate expertise.
- 2.3 Membership shall consist of up to seven independent governors, two student governors (or their nominees); and co-opted members, if appointed.
- 2.4 Membership shall be for a period of two years, which may be extended at the discretion of the Chair.

#### **3. Attendance at meetings**

- 3.1 The Vice Chancellor, Pro Vice Chancellor (Academic) and one Executive Dean shall normally attend meetings.

#### **4. Frequency of meetings**

- 4.1 Meetings shall normally be held three times each year. [note – this ties in to the annual plan for the committee].

**5. Authority**

5.1 The committee will be an advisory body and shall influence deliberations of the Board on academic strategy and educational character.

5.2 The committee will be a means for governors to gain further insight into the academic life of the University.

**6. Secretary**

6.1 The secretary to the Educational Character Committee will be the Clerk to the Board or other appropriate person nominated by the Clerk.

**7. Duties**

7.1 The duties of the committee shall be to:

7.1.1 engage in the educational life of LSBU.

7.1.2 receive regular presentations from the Faculties on educational matters.

7.1.3 discuss educational issues such as student recruitment, retention, progression and success rates.

7.1.4 consider LSBU's teaching and research portfolios.

7.1.5 review student satisfaction.

**8. Reporting Procedures**

8.1 The Educational Character Committee will report annually to the Board of Governors.

8.2 The Academic Board will continue to report to the Board of Governors.

*Approved by the Executive on 7 June 2011*

*Approved by the Board of Governors on 14 July 2011. Minor revisions approved by the Committee on 10 December 2012.*