King's College Council

Meeting date	31 March 2022
Paper reference	KCC-22-03-31-02
Status	Final
Access	Members and senior executives
FOI exemption	s.43, commercial interests where indicated RESERVED

Meeting of the King's College Council to be held (remotely) on **31 March 2022** at 17:00 on Microsoft Teams.

Agenda

1	**Welcome, apologies and notices**		Chair
2	**Declarations of interests** (to note)	KCC-22-03-31-02	Chair
3	**Approval of agenda**	KCC-22-03-31-03	Chair
4	**Unanimous Consent Agenda**, including:	KCC-22-03-31-04.1	Chair
	4.2 Minutes of the Previous Meeting; and	KCC-22-03-31-04.2	
	4.3 Actions Log	KCC-22-03-31-04.3	
5	**Matters Arising**	Verbal	Chair
6	**Report of the Chair**	Verbal	Chair
	6.1 Ordinances amendments (to approve)	KCC-22-03-31-06.1	
7	**Report of the President & Principal**		
	7.1 Summary Report on Key Issues (to note)	KCC-22-03-31-07.1	Principal
	7.2 Balanced Scorecard Update (to discuss)	KCC-22-03-31-07.2	Director of Analytics
	7.3 Planning for the REF2021 results (to discuss)	KCC-22-03-31-07.3	VP (Research)
8	**Report of the KCLSU**		KCLSU President
	8.1 Report of KCLSU President (to note)	Verbal	
	8.2 KCLSU Returning Officer's Election Report (to note)	KCC-22-03-31-08.2	
9	**Reports of Committees**		
	9.1 Report of the Governance & Nominations Committee	KCC-22-03-31-09.1	Chair GNC
	(i) Hybrid pattern of meetings (to approve)		
	(ii) Finance Committee appointments (to approve) [RESERVED]		
	9.2 Report of the Finance Committee	KCC-22-03-31-09.1	Chair FC
	(i) Strategy Refresh and financial sustainability (to note)		
	(ii) Directions and Implications for Budget 2022-23 (to discuss)		
	(iii) ██████████████████████████		
	See the Consent Agenda for remaining items		
	9.3 Report of Audit, Risk & Compliance Committee	KCC-22-03-31-09.2	Chair ARCC
	(iii) Annual Health & Safety report (to approve)	Annex 1	
	(iv) Compliance report (to note)		
	See the Consent Agenda for remaining items		
	9.4 Report of the Estates Strategy Committee [RESERVED]	KCC-22-03-31-09.4	Chair ESC
	See the Consent Agenda for all items		

9.5 Report of Academic Board *See the Consent Agenda for all items*	KCC-22-03-31-09.3	Chair AB
9.6 Report of the Remuneration Committee [RESERVED] (i) President & Principal's Objectives (ii) Process for Review of Senior Team Members' Performance (iii) Creation of Staff Culture & Strategy Committee (iv) Committee Work Plan	KCC-22-03-31-09.6	Chair RemCo

10 Any other business

Irene Birrell
College Secretary
March 2022

King's College Council

Meeting date	31 March 2022
Paper reference	KCC-22-03-31-02
Status	Final

Declaration of Members' Interests

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary:

This report records the standing declarations of interest of Council Members. Members are asked to advise the Secretariat of any changes and to declare any conflicts of interest for the business to be considered in the current meeting.

Declaration of Members' Interests

The following report lists the declared interests of each member of the King's College Council. Members are requested:

(i)   To confirm that the record against their name is correct, or to inform the Secretary of the Committee of any changes which need to be made.

(ii)   To highlight any items on the agenda of the current meeting which contain any potential conflict of interest for any member.

Christopher Geidt (Chair)
- The Queen's Commonwealth Trust (Chairman)
- The Nuffield Trust for the Forces of the Crown (Trustee)
- The Queen Elizabeth Diamond Jubilee Trust (Trustee) (ended 30 June 2020)
- Schroders plc (Chairman, International Relations and Corporate Responsibility)
- BAE Systems plc (Member, International Advisory Board) (ended 8 April 2021)
- Theia Group Inc (UK Adviser) (ended 31 August 2021)
- House of Lords (Crossbench Member)
- The Independent Adviser on Ministers' Interests
- President of the Royal Overseas League

Vivek Ahuja
- Chief Executive Officer, Terra Firma Capital Partners Limited
- Non-Executive Director, NatWest Markets plc.
- Fellow member of the Institute of Chartered Accountants in England & Wales (ICAEW)

Hilary Briffa
- Lecturer in National Security Studies, KCL
- Vice-Chair of the governing board of Godwin Junior School
- Vice-Chair of the governing board of Carpenters Primary
- Registered as self-employed – private rental
- Member of the Carpenters Destination Steering Group
- Member of University College Union
- Member of the Liberal Democrats Party

Paul Cartwright
- Trustee of Raise, West Hertfordshire Hospitals NHS Trust Charity 1052210
- Non-Executive Director of West Hertfordshire Hospitals NHS Trust
- Fellow of The Institute of Chartered Accountants in England and Wales (IcAEW)

Donna Catley
- Paid employee of Compass Group U&I

Jon Coles
- Trustee, Athena GEP Trust (formerly Athena Schools Trust)
- Chief Executive and Trustee, United Learning
- Honorary President Challenge Partners (formerly Chair to August 2021)
- Trustee, Professional Teaching Institute (ended April 2021)

Michael D'Souza
- Bank of England (part-time)
- Independent member, Bank of England RTGS/CHAPS Board of Directors and Chair, Risk Committee
- Member of the Bank of England's Court of Directors' RTGS Renewal Committee

- Independent senior advisor at the Bank of England's Prudential Regulation Authority
- Chair of the Regulatory Arbitrage and Market Consequences Committee
- Independent Member, Bank of England Resolvability Assessment Framework Steering Committee

Paul Goswell
- Trustee of the Somerset House Trust
- CEO of Delancey Real Estate Asset Management
- Cape Projects Limited, Centros Miller 1999 Limited
- Cortx Holdings Limited, Croydon Plaza Limited
- Dcif Uk General Partner Limited, Delancey Asset Management Limited, Delancey Coinvestment Limited, Delancey Nw1 Co-Investments Ltd, Delancey Nw1 Group Ltd, Delancey Nw1 Promote Ltd, Delancey Partners Co. Limited, Delancey Real Estate Asset Management Group Limited, Delancey Real Estate Asset Management Limited, Delancey Real Estate Debt Services Limited, Delancey Real Estate Partners Limited, Delancey Real Estate Partners Limited, Dream Nw1 Co-Invest Spv Limited, Dream Nw1 Gp Spv Limited, Dv4 Administration 1 Uk Limited, Five Oaks Investments Limited, Headland Investments Limited, Here East Management Limited, Innovation City (London) Limited, Jupiter Properties 2011 UK Limited, Minerva (Croydon) Limited, Minerva (Finance) Limited, Minerva (Kensington Developments) Limited, Minerva (Stores) Limited, Minerva Corporation Limited, Minerva Limited, Mount Kendal Limited, Mount Kendall Group Limited
- Newincco 1404 Limited, Newincco 1407 Limited
- Nw1 Partners (Gp) Ltd, Nw1 Spanish Logistics (UK) Holdco Ltd
- Penninsula Projects Limited, Penninsula Projects (Ellands) Limited
- Scarp Developments Limited, Soho Clerkenwell and General Industrial Dwellings Company Limited, Somerset House Trust
- Totton Investments Limited
- Member of the RCIS

Shitij Kapur
- President & Principal, KCL
- Advisory Board of the Medical Research Future Fund, Australia

Ron Kerr
- Guys and St Thomas' Foundation Trustee
- Special Advisor to the Board, Guy's and St Thomas' NHS Foundation Trust
- Chair, NHS Providers

Steve Large
- Senior Vice President (Operations), KCL
- Trustee, Council for the Advancement & Support of Education Europe (ended 23 September 2020)
- Trustee Director of the Superannuation Arrangements of the University of London (SAUL)
- Fellow of the Chartered Association of Certified Accountants
- Member of the Chartered Institute of Management Accountants

Sarah Mullally
- London Diocesan Board of Finance – Trustee & Director
- London Diocesan Board for Schools – Trustee & Director
- London Diocesan Fund – Trustee, Director & Chair
- Lygon Almshouses Trust – Trustee & Patron
- Royal Foundation of St Katharine (The) – Trustee (member of the Court)
- Bromley & Sheppard's Colleges – Trustee
- Allchurches Trust – Member
- The Church Commissioners (Clerk in Holy Orders)
- Member of the House of Lords - Lord Spiritual

- UNITE
- Bereavement Commission
- Health Inequalities Group for London

Clare Sumner
- Director, Policy for the BBC

Zahra Syed
- President, KCLSU

Guy Tear
- Head, Department of Genetics, KCL
- Member of University and College Union
- Member of British Society for Developmental Biology
- Member of Genetics Society
- Fellow of Royal Society of Biology

Kat Thorne
- Director of Sustainability, KCL

Richard Trembath
- Senior Vice President (Health & Life Sciences), Professor of Medical Genetics, Faculty of Life Sciences & Medicine, KCL
- Executive Director, King's Health Partners
- Director & Trustee, The Francis Crick Institute
- Non-Executive Director, King's College Hospital
- Board Director, UK Biobank
- Non-Executive Director, MedCity
- Member, Royal College of Physicians
- Member, Academy of Medical Sciences
- Member, British Society for Human Genetics
- Member, Association of Physicians of Great Britain
- Member, American Society of Human Genetics
- Owner, Apartment 10, Victor Wharf, Clink Street, London, SE1 8DW

Lan Tu
- NED, WNS (Holdings) Ltd (NYSE: WNS)
- Director, Lonsdale Road (Barnes) Management Company Ltd

Evelyn Welch
- Senior Vice President Service, People & Planning; Professor of Renaissance Studies, KCL
- Chair, Board of Trustees, Dulwich Picture Gallery
- Chair, Advisory Board, Warburg Institute, University of London
- Research England, REF Panel Member
- Director, Florence & the Machine Ltd and subsidiaries
- Member, Association of Art Historians
- Member, Renaissance Society of America
- Member, Society for Renaissance Studies
- Member, Court History Society
- Member, Royal Historical Society

Unanimous Consent Agenda

A consent agenda is a tool often used by organizations to deal expeditiously with routine matters and reports, leaving more time for more strategic discussions. The items on a consent agenda are expected to be non-controversial and unlikely to engender questions. The items on the consent agenda, whether for approval or information, are dealt with by a single motion to accept/receive for information all items contained in the consent agenda. Before taking the vote, however, the Chair will ask whether any member wishes to have any item removed from consent in order to ask a question or make a comment about it. In such a case, the item is automatically removed from the consent agenda and will be dealt with at the end of the meeting or within the report of the Committee under which it sits. The remaining items are then unanimously approved/received for information en bloc without discussion.

While approval of an omnibus motion saves time at meetings, members will want to review the consent agenda materials carefully in order that they properly discharge their responsibilities. Members may ask to have an item removed from the consent agenda by so informing the Secretary or Chair at any time up until the motion is put.

Recommended: That the Council approve or note for information the items contained in the Unanimous Agenda, listed below.

Item	Title		Paper	Action
4.2	Minutes of 20 January 2022		KCC-22-03-31-04.2	Approve
4.3	Actions Log		KCC-22-03-31-04.3	Note
Report of the Governance & Nominations Committee			KCC-22-03-31-09.1	All to note
09.1	(i)	Communication of the role of Council		
	(ii)	Council Effectiveness Review		
	(iii)	Council Member Search		
Report of the Finance Committee			KCC-22-03-31-09.2	All to note
09.2	(i)	Chief Finance Officer Report		
	(ii)	Reappointment of Members of the Investment Subcommittee		
Report of the Audit, Risk & Compliance Committee			KCC-22-03-31-09.3	All to note
09.3	(i)	Annual Report of the Chief Procurement Officer		
	(ii)	Internal Audit Update		
	(iii)	External Audit Update		
	(iv)	Enterprise Risk Management Update		
	(v)	Risk presentations and discussions		
Report of the Estates Strategy Committee [RESERVED]			KCC-22-03-31-09.4	All to note
09.4	███	███████████████████████		
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Report of the Academic Board   KCC-22-03-31-09.5

09.5	(i)	Academic Board Terms of Reference amendments	Approve
	(ii)	Academic Board Operations Committee Terms of Reference amendments	Approve
	(iii)	The Service, People & Planning Portfolio	Note
	(iv)	Research Strategy Refresh	Note
	(v)	KCL/UCU joint statement	Note
	(vi)	Academic Board subcommittee reports	Note
	(vii)	Regular items approved or noted	Note

See published minutes from the previous meeting here

Actions Log

Action required

☐ For approval
☐ For discussion
☒ To note

Executive summary

Council is asked to note the action taken following discussions at previous meetings.

Actions Log

Meeting	Minute	Topic	Decision for Action	Notes	Owner	Original deadline	Progress
January 2022 Council Meeting							
November 2021 Council Meeting							
███	██	██████	████████		███		███ ██
███	█	███	████████	████	██	████	In progress
May 2021 Council Meeting							
26/05/2	10	AOB: Climate Risk	Future in-depth discussion of ESC/Climate Change/Climate Risk	ESC discussed in September 2021	College Secretary	Academic Year 2021/2022	In progress
March 2021 Council Meeting							
31/03/21	7.1 (iii)	Financial Outlook and Risks	The Finance Committee to receive a report on the Research Deficit Plan from the Vice-President (Research), which it would then report to Council	Update through Research Sustainability workstream of the Strategy Refresh programme	VP Finance/ Chair FC/VP Research		In progress

Meeting	Minute	Topic	Decision for Action	Notes	Owner	Original deadline	Progress
21/01/21	■	■	■	■	■	■	■
30.01.20	6.3	OfS – Access & Participation	Briefing on the nature of the requirements for reporting purposes to be scheduled for Council members	Schedule a briefing	College Secretary	January 2021	In progress – OfS is amending its timelines and requirements

Joanna Brown

Governance Manager

March 2022

Ordinances Amendments

Action required

☒ For approval
☐ For discussion
☐ To note

Motion: That the amendments to the College Ordinances, as set out in this report, be approved.

Paper Explanation for Members

Why is this paper being presented?	Amendments to the Ordinances need to be approved by Council. In accordance with the Ordinances the amendments were circulated to Council 14 days before approval is requested.
What are the key points/issues?	New terms of reference and composition for the new Staff and Culture Strategy Committee; amendments to Academic Board Terms of Reference regarding (i) agenda setting and (ii) membership length of term; and an amendment to terms of reference for the Academic Board Operations Committee regarding composition.
What is required from members?	**Consideration and approval of the proposed amendments**

Paper History

Action Taken	By	Date of Meeting
New Staff & Culture Strategy Ctte	GNC	3 February 2022
AB & ABOC terms of reference	Academic Board	9 March 2022

Paper Submitted by:

Xan Kite
Director of Governance Services

xan.kite@kcl.ac.uk

Ordinances Amendments

1. **Staff and Culture Strategy Committee**

    Motion recommended by Governance and Nominations Committee:

    That the Ordinances be amended to establish a new Council Committee entitled "Staff and Culture Strategy Committee" with the terms of reference and composition attached at **Annex 1**.

    Background:

    GNC endorses this proposal which forms part of a new, integrated governance and management committee and accountability structure to offer greater focus for the delivery of a new strategy for Staff & Culture. There will also be a management committee set up in parallel which has been approved by the University Executive.

    The Committee's work is complemented by the work of Council's Remuneration Committee which focuses on remuneration, objectives, and performance of members of the senior executive team as well as succession planning and EDI issues for that group. The Committee also works in parallel with the Audit, Risk & Compliance Committee of Council which has oversight of statutory reporting on compliance with legislation and regulations concerning staff and employment matters

2. **Academic Board Terms of Reference – Agenda Setting**

    Motion recommended by Academic Board:
    That paragraph 5.2 Ordinance Appendix B, the Terms of Reference of the Academic Board, be amended to read as follows:

    The agenda shall be set by the Chair, supported by the College Secretary. Members of the Academic Board are able to suggest issues for the agenda. They are also able to require that an item be considered subject to the following criteria and authority:
    (i) It is supported by at least 10% of the membership of the Academic Board.
    (ii) It is received by the Secretariat six weeks prior to the date of the meeting at which the members seek to have the item discussed.
    (iii) It is within the terms of reference of the Board or one of its standing committees, and if it falls within the terms of reference of a standing committee it is referred to that committee for initial discussion rather than directly to the Board.
    (iv) Prioritisation of placement on the Agenda for such items will be determined by the Academic Board Operations Committee in the event that more requests are submitted than can be managed in a meeting alongside other necessary business.
    (v) A decision regarding the pertinence of particular criteria to a proposed item lies with the Principal. If such a decision were challenged the Academic Board Operations Committee would be consulted for a resolution.

    Background:

    Academic Board received a proposal from two of its members that paragraph 5.2 of the Ordinance containing the terms of reference of the Board be amended to the effect that members of the Academic Board would be able to insert items on the agenda with the support of 5% of members. The Board referred the matter to its Academic Board Operations Committee (ABOC) for consideration and advice and discussed the resulting recommendations and agreed the motion above at its meeting held on 9 March 2022.

The existing terms of reference state that members are able to suggest items for the agenda, but discretion remains wholly with the Chair, and the Board had previously approved a protocol to help make decisions on such requests. That protocol included:

- A deadline of two weeks prior to the upcoming meeting for consideration of items to be included.
- Provision that the proposed agenda item had to concern a matter that fell within the terms of reference of the Academic Board.
- Provision that if the matter was one that would fall within the terms of reference of a standing committee of the Board, it would first be referred to the committee for consideration before being discussed by the Board.
- Provision that ABOC would determine the timing of inclusion items on an Academic Board agenda if more requests were received than could reasonably be managed in any given meeting.

ABOC, and subsequently Academic Board, noted:

- ABOC was in support of members being able to place items on the agenda as long as they were within the terms of reference of the Board
- 5% of the membership (i.e., 4 members) was too small a proportion and, for example, equaled the number of elected representative from single faculties; an increase to 10% would ensure cross-faculty/wider university support for an item to be placed on an agenda.
- ABOC was in support of retaining the existing operational criteria, subject to the amendment of the submission deadline to six weeks to take account of the extended circulation time for Board papers requested by members and the need to triage item requests for coherence with the terms of reference of the Board and its standing committees.
- At the Academic Board meeting it was clarified that the change would mean that the Chair's discretion was no longer absolute. The Chair would have discretion to determine whether a proposal met the outlined criteria for adding an item to the agenda. ABOC would make a final determination in the event of disagreement between the group making the proposal and the Chair.

3. Academic Board Terms of Reference – Length of Membership Term

Motion recommended by Academic Board:
That paragraph 7.1 Ordinance Appendix B, the Terms of Reference of the Academic Board, be amended to read as follows:

Elected Staff Members of Academic Board shall normally serve a three-year term ending on 31 July. Memberships that begin after the first meeting of the academic year shall be extended beyond three years to end on the 31 July in the fourth year of appointment. Elected Staff Members are eligible with the possibility of for a further single three-year term after which they must wait for 12 months before they may stand again.

Background:

For reasons of membership continuity and to make the best use of College Secretariat resources, Academic Board agreed that it was preferable for all terms on the Academic Board to end on 31 July so that the number of elections held in any given year was manageable. This could be achieved by either truncating or extending the regular three-year term for those elected mid-year and it was agreed preferable for terms to be extended. The year's hiatus between the end of a second term and running again reflects long standing practice that the Secretariat recommends should be referenced in the Ordinances.

4. Academic Board Operations Committee Terms of Reference (Composition)

Motion recommended by Academic Board:
That clause 3 of Ordinance Appendix B, the Terms of Reference for Academic Board Operations Committee be amended as follows:

3.1 The Chair of the Academic Board Operations and Nominations Committee shall be the Vice-Chair of Academic Board.

3.2 The Academic Board Operations and Nominations Committee shall be appointed by Academic Board and shall comprise:

3.2.1 ~~Two~~ Three ex-officio members of Academic Board:

(i) Vice-Principal (Education)
(ii) Vice-Principal (Research)
(iii) One Executive Dean appointed by the Principal

3.2.2 ~~Three elected staff members of~~ Five staff elected by the Academic Board from among the elected staff of the Academic Board

3.2.3 Student Members:

(i) President of the KCLSU or designate
(ii) One student ~~member of~~ elected by the Academic Board from among the elected students of the Academic Board

Background:
These proposals were prompted by the change in the Chair of ABOC following changes to the structure of the senior leadership team and by vacancies created as a result of two ABOC members being required to leave its membership as a result of their Academic Board membership ending.

The Chair of ABOC is the Vice-Chair of the Academic Board. When the Vice-Chair of the Board was changed from the VP (Education) to the Senior Vice-President (Academic), the VP Education needed to step down from ABOC or take the ex officio seat currently held by an Executive Dean (who stepped down in December as his decanal post ended). ABOC's view, agreed by the Academic Board, was that having both the VP (Education) and the VP (Research) as members was extremely helpful given that their portfolios held significant delegation of authority from the Board and the committees they chaired (CEC and CRC) provided much of the business considered by the Board. Further, the Committee agreed that there was value in continuing to have an Executive Dean as a member given their key role in implementing decisions of the Board at faculty level.

The Committee was also of the view, however, that the balance between ex officio and elected members should be maintained, and also that an increase in the number of elected students and staff would provide better breadth of membership.

Irene Birrell
College Secretary
March 2022

Annex 1 – Terms of Reference for the Staff & Culture Strategy Committee

Ordinances Amendments

Staff & Culture Strategy Committee
(Ordinance Appendix B, 31 March 2022)

Terms of Reference

1. **Authority**

   To be responsible to the Council for the provision of oversight of the people and culture strategy approved by Council, monitoring progress on achieving agreed objectives delegated to the executive for implementation, and providing advice and guidance to the senior executive as required. In carrying out its responsibilities the Committee will look at the holistic staff experience, recognising that a great staff experience is essential to a great student experience.

   The Committee's work is complemented by the work of Council's Remuneration Committee which focuses on remuneration, objectives, and performance of members of the senior executive team as well as succession planning and EDI issues for that group. The Committee also works in parallel with the Audit, Risk & Compliance Committee of Council which has oversight of statutory reporting on compliance with legislation and regulations concerning staff and employment matters.

2. **Duties**

   2.1 To recommend to Council for approval strategies and transformational initiatives related to staff and culture.

   2.2 To support the senior executive in the development, implementation and monitoring of strategies related to staff, staff recruitment, retention and development. In so doing, the Committee will have access to data and information related to the following (as well as such other data as it may determine it needs from time to time):

   - Results of staff surveys and consultations, and reporting to Council on the results, interventions and outcomes of a continuous staff experience improvement initiative.

   - HR related data on workforce, including but not limited to, staff turnover, health and safety issues, complaints and disciplinary issues.

   - College offerings for staff development, their uptake and outcomes.

   2.2 To report to Council on the results, interventions and outcomes of a continuous staff experience improvement initiative.

   2.3 To oversee the impact of the College's compliance with the 2010 Equality Act, the Health and Safety Act and other current or future legislation related to staff and employment matters.

   2.4 To oversee the College's equality, diversity and inclusion strategies, including the establishment of key performance indicators and reporting annually to Council on their implementation and progress made.

   2.5 On the basis of above, to make recommendations to Council on strategy, College Ordinances and regulations related to staff and to advise the Senior Executive on related policy and programmes.

2.6   To undertake such other staff and culture related issues as the Council or Chair shall from time to time decide.

3.   Composition

3.1   The Committee shall comprise:

Appointed Members
3.1.1   Three independent members (at least one to be a member of Council)

3.1.2   Four staff (senior academic, junior academic, professional – at least one to be a member of Council if possible, and a Head of Department).

3.1.3   Post Graduate Research Student

3.1.4   Post-Doctoral Early Career Researcher

Ex Officio Members
3.1.5   Chair of the Remuneration Committee of Council (or designate)

3.1.6   SVP (Service, People and Planning)

3.1.7   President of KCLSU (or designate)

3.1.8   Director, Equality, Diversity & Inclusion

3.1.9   Director, Human Resources

3.2   Members, other than ex officio members, are appointed by Council on the recommendation of the Governance & Nominations Committee.

3.3   The College Secretary or their designate shall act as Secretary to the Committee.

4.   Frequency of meetings

4.1   The Committee shall meet as necessary and at least once per term.

4.2   The business of the Committee may be conducted by electronic voting or email in accordance with Ordinance B9.

5.   Reporting Procedures

A report of each meeting of the Committee will be circulated to all members of College Council.

Principal's Report

Action required

☐ For approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	Report from President & Principal highlighting current issues and events and developments since the last meeting of Council.
What are the key points/issues?	Covid; Industrial action; admissions; module evaluation; KBS accreditation
What is required from members?	To note

Paper Submitted by:

Shitij Kapur

principal@kcl.ac.uk

Principal's Report

Section A - Current topics

1. **Coronavirus update**
   The university continues to manage the risks and impact of coronavirus. Teaching and research activities have largely returned to normal since the release of Government restrictions with ongoing advice to test regularly if attending campus, take up vaccinations when offered and recommendation to wear a face covering. We continue to monitor on-campus infection rates and footfall for both staff and students and will adjust our safety plan accordingly.

2. **Industrial action**
   UCU has announced a further five days of strike action from Monday 28 March to Friday 1 April relating to issues of pensions and pay and conditions. We are already in a period of Action Short of a Strike (ASOS) which ends no later than 3 May 2022. At this point in time, ASOS consists of staff members only working their contracted hours and duties and not volunteering to do more, not rescheduling classes and lectures cancelled due to strike action, not covering for absent colleagues, removing uploaded materials related to, and/or not sharing materials related to lectures or classes that will be or have been cancelled as a result of strike action. UCU have also announced a new ballot.

3. **King's Business School Accreditation**
   The King's Business School's application to be accredited by the Association to Advance Collegiate Schools of Business (AACSB) has been formally ratified by its board of directors. This is an internationally recognised mark of excellence that is held by fewer than six per cent of the world's institutions offering business degree programmes and involved a rigorous peer review process. Achieving this accreditation is a reflection of how quickly the Business School has matured to provide distinctive education and research across a full spectrum of disciplines in management, entrepreneurship, finance and economics.

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5. **Module Survey Results**
   Since 2018-19 we have been collecting module evaluation data from students via a standard set of survey questions. We have more than 2.7M individual question responses which represents a substantial pool of feedback on various aspects of the King's student experience. In the four years the

survey has been in place satisfaction has increased from 79.3% to 83.8%. Improvement has been across all sections of the survey with the biggest improvements seen in Assessment and Feedback and Academic Support. Teaching scores continue to be the most consistent with Law achieving the highest rating so far at 92.2%. Results are available at Faculty, Departmental and individual staff level and are discussed within the relevant executive structures.

6. Senior Leadership

SVP/VP:

- **SVP (Academic) –** we are coming to the end of an international search process for a permanent SVP (Academic) with final interviews scheduled for 31 March.

- **VP (Research) –** Professor Reza Razavi is stepping down after five years as VP Research and a search is just getting underway to seek a replacement.

- **SVP (Service, People & Planning)** – Professor Evelyn Welch has been appointed Vice-Chancellor and President of the University of Bristol and will be leaving King's at the end of August.

Executive Deans:

- **The Dickson Poon School of Law** - Following an international search, Professor Dan Hunter has been appointed as the new Executive Dean of Dickson Poon School of Law. Professor Hunter joins us from Queensland University of Technology (QUT).

- **King's Business School** - Professor Stephen Bach has been appointed for a further term as Executive Dean

- **Institute of Psychiatry, Psychology & Neuroscience** - Professor Simon Wessely has been appointed interim Executive Dean of IoPPN whilst a search is underway for a permanent replacement for Professor Ian Everall.

Section B - Active Considerations by Management

- Strategy Refresh
- Budget 2022-25
- Academic Strategy 2022-23
- London Weighting Allowance
- Refugee support particularly in relation to Ukraine
- KCL test continuation
- King's contribution to mental health agenda post COVID

Section C – President's External Visits/Meetings/Visitors

- Princess Royal opening of Chantler Skills Centre at Guy's
- International Women's Day event –Theresa May and Julia Gillard in conversation
- Lord Wharton visit to Bush House re sector issues including mental health and tour of Entrepreneurship Institute, King's Business School trading room and careers and employability centre
- ASU delegation visit to King's including discussions on security studies, healthcare engineering, nursing, TEDI and the future of PLuS partnership
- Westminster City Council re mutual priorities including education & attainment; Health & Wellbeing; Business & Enterprise; Community Resilience
- Lambeth City Council re new and emerging priorities for both parties
- Liam Smeeth, Director, London School of Hygiene & Tropical Medicine
- Sir Leonard Blavatnik Awards Ceremony for Young Scientists in UK

- London First Chair and CEO Dinner including concept of 'green growth' for London
- Lord Kim Darroch - Public Affairs Talk and private dinner
- RG Board meeting with King's as dinner hosts including tour of Courtauld
- UUK Members meeting including data futures, access and participation, pensions and pay

Section D - Major Media Stories
- This month I had the honour of welcoming [Her Royal Highness, The Princess Royal, to visit the Chantler Simulation & Interactive Learning Centre at the Guy's Campus](). During the visit the Kofoworola Ward, a new part of the Centre named after the first black nurse in the NHS, was officially opened by Her Royal Highness. These cutting-edge facilities create opportunities for our students to put their learning into practice by simulating the experiences that they will have not only in clinical settings, but also within the community, and were critical in enabling training to continue during the pandemic.
- To celebrate International Women's Day, former Prime Minister of Australia and Chair of the Global Institute for Women's Leadership, Julia Gillard was joined by former Prime Minister of the UK, the Rt Hon Theresa May MP for an [In Conversation event](). During the discussion between the two former leaders, they shared their experiences at the highest level of politics, the obstacles they faced, and what as a society we can do to improve gender equality and women's political representation. The event, which was hosted by the Global Institute for Women's Leadership in partnership with Ipsos UK and held at Bush House, was informed by insights from Kelly Beaver, the new Chief Executive of Ipsos UK and first woman to hold that role.
- Also to mark International Women's Day, I opened a [roundtable event]() with Leader of the Labour Party, Sir Keir Starmer MP and Shadow Chancellor of the Exchequer, Rachel Reeves MP at the Entrepreneurship Institute. We discussed how women can be better supported to thrive as entrepreneurs and the role universities can play in making this happen. As part of the roundtable, we also heard from eight of the most successful ventures founded by women to have taken part in the Entrepreneurship Institute's accelerator programme.
- Our academics and researchers continue to provide [expert insight and analysis]() about the invasion of Ukraine. They have been quoted widely and regularly across all national and international media, including BBC News, New York Times, Washington Post, Daily Telegraph and the Financial Times. The [expert series]() on the King's website has been widely shared including by the Imperial War Museum as the best place to go to for the latest insights and analysis.
- This month also saw the publication of a number of research papers and reports which achieved widespread media coverage including; [new research which found that a targeted drug improves survival in early-stage breast cancer;]() evidence that the [Pfizer vaccine reduces the risk of COVID-19 infection in children;]() a new study which found a [causal link between blood group and severe COVID-19](), and a [new report from former DfE permanent secretary Jonathan Slater]().

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KCLSU Elections - Deputy Returning Officer Report

Action required

☐ For approval
☐ For discussion
☒ To note

Paper Explanation for Members

Why is this paper being presented?	In accordance with the Education Act 1994, the KCL/KCLSU Code of Practice requires that Council receive a report from the Chief Reporting Officer on the conduct of KCLSU elections
What are the key points/issues?	KCLSU Spring Elections took place between January and March 2022, with the election of **99** places across **82** positions. This report is from the KCLSU Deputy Returning Officer who has delegated authority from the Returning Officer to ensure the election is free and fair.
What is required from members?	Note

Paper History

Action Taken	By	Date of Meeting
N/A		

Paper Submitted by:

Kathryn Sullivan
Deputy Returning Officer, KCLSU
9 March 2022

KCLSU Elections – Deputy Returning Officer Report

Background: KCLSU Spring Elections took place between January and March 2022, with the election of **99** places across **82** positions.

Elections run:

Student Officers	**President** **VP Activities & Development** **VP Education (Arts & Sciences)** **VP Education (Health)** **VP Postgraduate** **VP Welfare & Community**
Academic Associations	- Biomedical Students' Association - Dental Council - IoPPN Students' Association - Kings Business School Students' Association - Law Council - Medical Students' Association
NUS National Conference Delegates	6x open places 4x reserved women places

Election Timeline

Nominations open	**Monday 31 January, 10am**
Nominations close	Monday 21 February, 10am
Candidate briefings	Student Officer Candidates: - Monday 21 February, 5-6:30pm, Activity Room A, Bush House - Tuesday 22 February 12:30-2pm, via MS Teams - Tuesday 22 February, 5:30-7pm, Activity Room 3, Guys - Wednesday 23 February, 12-1:30pm, via MS Teams (Last Chance) NUS Delegates and Academic Association Committee Candidates: - Online from 10am on Monday 7 February – 10am on Wednesday 23 February
Manifesto deadlines	Friday 25 February, 10am
Candidates Announced	Friday 25 February, 2pm
Voting open	Monday 28 February, 10am
Voting closed	Thursday 3 March, 5pm
Results announced	Wednesday 9 March, 2pm

Returning Officer and Project Support

The Returning Officer and Deputy Returning Officer were appointed by King's College London on recommendation from the KCLSU Trustee Board:

Returning Officer	Peter Robertson - NUS
Deputy Returning Officer	Kathryn Sullivan – Miragold (External)
Elections Disciplinary Support	Michael Pym – Community Development Manager
Elections Project Manager	Thaniyah Miah – Democracy Development Coordinator

Headline Election Statistics

Number of elections	**82**
Number of elected places	44
Total submitted nominations	173
Incomplete Nominations (didn't attend compulsory briefing)	43
Candidates withdrawn	49
Candidates disqualified	0
Candidates completing the election	81
Individual Voters	**2,297**
Total votes cast across all elections	**11,806**

Complaints and campaigning misconduct:

There was one ruling regarding a candidate's eligibility to stand in the election
KCLSU bye laws state that students under investigation by KCLSU for misconduct are ineligible to stand. The DRO applied this bye law and excluded the candidate, who duly appealed to the RO. The RO upheld the appeal on the grounds of natural justice, reasoning that there was no threshold for investigations to take place within KCLSU disciplinary processes, and therefore was open to abuse. The candidate was able to campaign as usual in the election.

Four official complaints were received through the formal elections process
One complaint was dismissed without investigation as it was a complaint about the lack of candidates for a position.

Two complaints were investigated and ruled that no breach had occurred.

One complaint was upheld in principle, but as no connection to an individual candidate could be made, no sanction was applied. This complaint was referred to KCLSU to determine whether further action under the student disciplinary processes should be taken.

The complaints received covered:
- Lack of candidates for election
- Claim of unfair advantage gained
- Negative campaigning and sharing of private data publicly

Responses given:
- Lack of candidates is not an elections breach
- No unfair advantage is gained by endorsement of pre-existing groups
- No unfair advantage is gained by an election stunt leading to clicks through to campaign website
- Negative campaigning was found to have occurred, with a candidate's mobile number being shared on a social media site. The student in question admitted the breach but could not be found to be solely connected to one candidate, nor was there evidence of support for those actions from a candidate or candidates. The post was deemed to have been live for an extremely short amount of time, an apology was freely offered to the candidate.

Informal Issues / Complaints
One candidate pursued an informal route to resolve perceived disadvantages gained by unexpected formatting of their manifesto online. Although the candidate had provided manifesto in a format which was impossible to

retain more than the text and missed the deadline to resubmit when contacted about this, evidence was provided that they had attempted to contact the elections team to rectify this in time, experiencing a technical issue their end, so the message arrived late. The KCLSU elections team spent significant amounts of time with this candidate, who then contacted the DRO requesting more support. This was given in the form of a 45-minute telephone conversation, several emails and an agreement to highlight the candidate's manifesto in an email distributed to all students who had not voted. This was deemed acceptable at first to the candidate, although they expressed dissatisfaction when they read the email itself. They were offered the opportunity to formally complain to the Returning Officer.

One candidate was asked to amend their manifesto as it made claims against a named individual which could not be substantiated. The candidate complied with this request and amended all campaigns material accordingly.

Three complaints were received after the close of complaints deadline (which is 24 hours after the close of polls)
These complaints were not formally investigated as outside the scope of the DRO and the RO had officially signed off the elections as free and fair before they were received. However, as an improvement tool, the complaints were considered to determine if any action could be taken in the future.

Two of the complaints were almost identical – regarding the decision to restrict in person campaigning, including the lack of consideration of students wishing to support the strike action on campus, and the technical complication which had previously been resolved informally as described above. The first part of this complaint would not have been upheld as KCLSU are free to determine the best processes for their elections considering the safety and wellbeing of their students and there is no absolute right to distribute leaflets, as claimed in the complaint. It is also an unreasonable request that students supporting the strike be given additional options to attend the stalls. The second part of the complaint regarding the manifesto formatting is unlikely to have been upheld on appeal as the elections team and DRO had taken significant action to rectify the matter, and the content of the manifesto was accessible throughout the election period.

The last complaint was regarding in person campaigning and the use of individual phone numbers to request students' cast their vote a particular way. There was no evidence of in person campaigning provided, so this portion would have been immediately dismissed. The second portion provided a number of screenshots, which evidenced campaign messages being sent, but no evidence as to how the campaigner gained access to the phone numbers. Whilst candidates have been warned that sending messages to numbers not personally given might be perceived as an invasion of personal space, there is no way to blanket ban messages being used for campaigning and this part of the complaint would have also been dismissed.

Year by year comparison

	2022	2021	2020	2019	2018	2017	2016	2015
Allegations of Misconduct	9	14	29	20	47	20	18	3
Allegations investigated	5	9	23	13	29	-	-	-
Allegations not investigated*	4	5	6	7	18	-	-	-
Allegations brought to candidate disciplinary	2	1	17	5	13	0	4	0
Candidate Disciplinaries	1	1	6	2	4	0	1	0
Candidate Disqualifications	0	0	6	0	1	0	0	0

*Allegations weren't investigated because:

- Complaints made about alleged conduct that isn't prohibited in KCLSU elections.

- Complaint was made about student group conduct which fell outside the elections guidance – complainant was advised that a review into this area would be conducted and that their input would be welcomed

- Complaints were received after the formal complaints deadline

Key Findings

Restricted in person campaigning

The move to online campaigning was initially driven by the COVID-19 restrictions but was successfully applied for another year. The voting stations created by KCLSU to focus any in-person campaigning did not prove popular with students, and some were closed early due to the small number of students accessing this service. It is believed that the move to online campaigning has resulted in another significant drop in the number of complaints alleging harassing behaviour; one complaint was received after the deadline with this as a reason. Candidates once more did not spend significant amounts of money on their campaigns and there was an environmental benefit in the reduction of waste.

External DRO

The use of an external Deputy Returning Officer again worked well during Spring elections. The organisational aspects delivered from the Project Manager were exemplary and give high levels of confidence in the continuous improvement of elections. The briefings provided were enhanced from last year, and there was continued improvement regarding the reduction in the number of complaints, building on last year's trend.

Issues to address going forward:

- Specific guidance regarding online privacy may have prevented at least one of the four complaints received, and had a significant impact on one candidate's experience of the elections process – this is an area which will continue to grow in the coming years

- Support for candidates who may have previously experienced barriers to accessing both SU and KCL systems could be considered, especially around digital requirements and how to navigate the elections systems

- Working with student media in advance of, during, and post elections processes would help keep students informed whilst protecting the integrity of the democratic processes

- Recommendation given that KCLSU address the bye laws regarding eligibility of candidates. Given the RO's ruling on the basis of natural justice, it would be beneficial to review this element of the regulations. It is possible to retain the exclusion for police investigations, whilst recognising that KCL processes are confidential and that including KCLSU processes has the potential to be open to abuse.

Kathryn Sullivan
Deputy Returning Officer
9 March 2022

Meeting date	31 March 2022
Paper reference	KCC-22-03-31-09.1
Status	Final

Report of the Governance and Nominations Committee (GNC)

Contents	Meeting at which considered	Consent agenda	Council action
1. Hybrid Pattern of Meetings	3 February 2022	No	Approve
2 Finance Committee Appointments (Reserved)	3 February 2022	No	Approve
3. Communication of the role of Council	3 February 2022	Yes	Note
4. Council Effectiveness Review	**3 February 2022**	Yes	**Note**
5. Council Member Search	3 February 2022	Yes	Note

For Approval

1. **Hybrid Pattern of Meetings**

    Motion: That an annual hybrid pattern of meetings be introduced for Council where those with heavy transactional business (for example the November meeting concerned with the annual accounts) be held online and those with strategic discussions be held in-person; and that the College Secretary recommend the hybrid pattern for Council having reviewed the annual cycle of agenda content for the year for this purpose.

    Background:
    The Committee considered the pros and cons of meeting in-person, online and with a hybrid mechanism for both. The university events team has purchased a bespoke hybrid system, but this is really suited to conferences and can only facilitate ten remote delegates, was expensive and required a month for bespoke set up for every use. The purchase of equipment to enable hybrid use of Teams was possible but would require rooms with good acoustics and careful meetings management for interactive debate.

    Members noted that face-to-face meeting were preferred for engagement, followed in popularity by wholly online meetings, and that hybrid meeting were seen to be the least effective. Positive experiences with hybrid meetings required strict protocols, formality and careful management, but were helpful for international participants and those who were prevented from attending in person for a variety of reasons.

    The Committee agreed that Chairs of Council Committees would be invited to determine whether their Committee meetings were held online or in-person. Meetings of Governance and Nominations Committee would continue to be held online. The Secretariat would continue to explore the potential for hybrid meetings in future and would be consulting with staff in IT.

2. **Finance Committee Appointments - RESERVED**

    Motion: That the following appointments to the Finance Committee be approved with terms from 1

April 2022 to 31 July 2025:

Diego Cervantes-Knox, as a co-opted independent member of the Committee.

Professor Paul Guest, appointed as an academic staff member of the Committee.

Background:
The Chair of the Finance Committee recommends that these two appointments be made.

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For Note

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4. **Council Effectiveness Review**

The Committee agreed the following actions arising from the review:

(i) The student report should be near the start of the agenda.

(ii) The meeting time should be taken with items for discussion or decision and that committee reports should be reformatted with a very succinct report from each chair.

(iii) All papers should be written for the relevant committee/Council audience and should contain all the information required by members in four or five pages. All other additional reading and committee reports should be placed in a knowledge area for access by those interested and not included in the Agenda Pack.

(iv) Papers should follow a new template including the following:

- all information required for decision/participation in discussion contained within four or five pages.

- All paragraphs numbered for ease of reference in discussion.

- One presenter per paper.

- PowerPoints should not be used unless absolutely necessary.

- Cover papers should include a standard mandatory statement of the reasons that Council is receiving the paper, the questions that it answers and the action required

from members.

(v) There should be a consistent data pack presented at each meeting and this would take the form of the reformed Balanced Scorecard, a proposed template for which to be considered in April.

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Meeting date	23 November 2021		
Paper reference	KCC-21-11-23-07.1		
Status	Final		

Report of the Finance Committee (FC)

Contents		**Meeting at which considered**	**Consent agenda**	**Council action**
1.	Strategy Refresh and Financial Sustainability	25 February 2022 (workshop) 10 March 2022	No	Discuss
2.	Directions and Implications for Budget 2022-23	10 March 2022	No	Discuss
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4.	Chief Finance Officer Report	10 March 2022	Yes	Note
5.	Reappointment of Members of Investment Subcommittee	10 March 2022	Yes	Note

For Discussion

1.   Strategy Refresh and Financial Sustainability

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The plans presented a framework which was ambitious but also cautious because King's culture was to take existing staff with the development rather than change staff and this meant that initiatives would grow and develop more slowly but more strongly than they might in a commercial organisation.

2. Directions and Implications for Budget 2022-23

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For Note

4. **Chief Finance Officer (CFO) Report**
   The Committee noted a report from the CFO which provided a general summary of activities:
   1. Summary financial risks
   2. Financial Perspective:
      a. Inflation
      b. Government and Home Fees - Augar
      c. Research Excellence Framework
   3. Treasury update
   4. Strategy and Financial planning developments
   5. Strategy Refresh and Sustainability
   6. Delegation of authority for the CFO and Principal to set non-regulated tuition fees for 23/24 entry **[approved]**
   7. Delegation of authority to set residences fees for 22/23 entry **[approved]**
   8. Current financial position 2021/22 – January 2022 Month 6 Summary
   9. Insurance Tender
   10. Pensions
   11. Financial policies and accounting and Tax matters summary
   12. Staff payments and write offs
   13. TRAC submission
   14. KCLSU annual accounts
   15. Operational updates

5. **Reappointment of Members of Investment Subcommittee**
   The Committee **approved** the re-appointment of co-opted independent members of the Investment Subcommittee for a second three-year term to 31 July 2025: Mouhammed Choukeir; Gary Greenberg; and Nick Wood.

Beatrice Devillon-Cohen, Acting Chair of Finance Committee on 10 March 2022

Michael D-Souza, Treasurer and Chair of Finance Committee

March 2022

Report of the Audit, Risk and Compliance Committee

For approval

1. **Annual Report of Health & Safety Services**

Motion: **That the Council approve the annual report of the Director of Health & Safety Services and note the requirement to use available budget to recruit to key positions in the coming months.**

The Director of Health & Safety Services highlighted the key issues in the Annual Health & Safety Report. The main issue was the resourcing of the Health & Safety team, which was considered to be a small, but effective, unit which had not grown as fast as the rest of the university and was now experiencing difficulties in recruiting the right people within budget. The pandemic had exacerbated the situation and it was difficult to address some of the issues which had arisen as a result. Temporary solutions were in place, but the ambition was to address these issues in a more permanent manner through the Business Planning Round. This has had an effect on the things the team has been able to concentrate on, with a heavy focus having been placed on the HSE investigation into a case of occupationally acquired asthma. A set of termly reports on high-risk facilities have been developed and have been helpful enhancements for the management of Health & Safety. These cover facilities such as the Category Level 3 (CL3) laboratories and animal houses. The addition of temporary fire safety support has also helped greatly, and a strategic review of fire risk management will get underway shortly. Responding to a question about whether the College was doing all the things it needed to do to recruit the right individuals, the Senior Vice-President (Operations) noted that some budget and resource was in place to allow flex in the recruitment of individuals to provide an appropriate level of cover. This would be developed over the next few months. The Chair asked for an update report to be provided to the ARCC meeting in June 2022.

Annual Report of Health & Safety Services – See **Annex 1.**

For note

2.   Compliance Report

The Senior Vice-President (Operations) reported on events leading to a Health and Safety Executive (HSE) investigation of a case of occupationally acquired asthma in the Biological Service Units (BSUs). An improvement plan had been agreed with the HSE, containing 33 actions, of which 27 had been completed. Two management actions were outstanding, but in hand, and a further four related to engineering controls which were still to be started. Management controls of all high-risk research facilities have since been strengthened, but there is some concern that the HSE have taken formal witness statements, which is generally considered to be a precursor to prosecution, which the College's legal advisors believe now to be likely. The greatest impact of a prosecution is likely to be reputational, and the College is currently working to mitigate some of the more negative reactions any publicity might invite from stakeholders. This includes ensuring that the College's robust arrangements for managing these issues in future is well projected ahead of any media interest in the case. It was noted that the BSUs have become very good at ensuring that their health monitoring records are up to date, and that compliance reporting in high-risk areas is being undertaken in the appropriate management committees. The Director of Research Management and Innovation noted that training has been improved for managers and that processes are now in place to ensure that specialist managers have responsibility for high-risk research areas and that appropriate training is given to faculty staff and researchers who wish to access those areas. Training requirements are now better specified and robustly monitored.

3.   Annual Report of the Chief Procurement Officer

The Chief Procurement Officer provided the annual procurement report noting a reduction in spending with third parties over the past year, resulting from the creation of a community of procurement practice throughout the College. Another significant step forward had been taken in appointing a dedicated travel manager. This was an area of considerable spend for the College and this appointment is expected to deliver significantly increased value for money in this procurement category with a rapid pay-back period. Progress was also noted in the promotion of sustainable procurement and social value. The key objectives for the year going forward would be the creation of a Procurement Centre of Excellence, which would have a better structure in place than currently for reviewing contracts, would have more customer focus and would provide a more specialist service to the College. With regard to preferred suppliers, it was noted that no purchaser at the College can buy any item over £50k, which means that the use of preferred suppliers is always enforced at the upper end of the spending bracket. At the lower end, controls are being put in place and a proactive education campaign is ongoing. Improvements are being seen at the lower levels of spending now, also. Suppliers are regularly reviewed and there is visibility of which suppliers are particularly critical to the College's supply chain. Currently, the database of suppliers is being improved, and more proactive contract management is an objective for the coming year. Reviews with vendors to ensure they are delivering what the College expects will be central to any improvement in contract management. Members congratulated the Chief Procurement Officer for the positive messages which were being given through the College's pursuit of excellence in sustainable and ethical procurement. Members encouraged the College to use these examples in its outbound communications, as they could be viewed as very inspiring by young people who were making their choice of university.

4.   Internal Audit update

The ARCC received a report on the work undertaken by the Internal Audit team since the last meeting of the ARCC. Six audit reviews had been completed between November 2021 and January 2022. Four of these reviews were rated as satisfactory, with two review areas being rated as requiring significant improvement. These were Examinations and Assessment, and the Occasional Payroll. A question arose in relation to the review of Assessment and Examinations, about the

potential for the university to increase its investment in the production of examination timetables, as current delays in issuing timetables leads to increased student anxiety. Management responded that it was a worthwhile investigation to undertake because the effects of delayed timetables can impact both on student experience and on student mental health. Despite these concerns, 88,000 student assignments had been submitted online in January 2022 and, overall, the process was a smooth one. However, it was conceded that there was more to do, and timetabling should be an area of focus. The Deputy College Secretary & Chief Compliance Officer noted that work was still ongoing to develop a process to ensure that the Principal's Senior Team (PST) is fully accountable for implementing the recommendations of the Business Assurance team following audit reviews. This process would include scrutiny of outstanding recommendations by the PST on a quarterly basis, to drive more timely implementation.

5.   **External Audit update**

The external auditors reported that the College's financial statements had been signed and issued shortly after the ARCC meeting in November. The subsidiary company audits have been completed and were due to be signed on 10 February. The US loans and grants agreement audit was also now completed. KPMG were currently building the financial statements audit plan, which would be brought to the June ARCC meeting for approval.

6.   **Enterprise Risk Management update**

The Director of Strategy noted that the strategy refresh would bring a thorough re-evaluation of current enterprise risks and a review of the Corporate Risk Register. The University Executive is currently considering how that will done, and the Director of Strategy thanked members of the ARCC who had contributed to the thinking around the how enterprise risk is managed at the College. It was noted that a risk connected with student experience had been identified and rated as "red", but with current work being undertaken around the Education Strategy it was expected that it would soon be possible to re-assess the risk to a level where it could be tolerated. The current rating reflected the likely impact of the NSS, but if the Education Strategy is working, a downward trajectory in the risk rating should be seen shortly. The Director of Strategy, Planning & Analytics added that this is a dynamic process and so it is likely that a good deal of movement will be seen in the assessment and rating of certain risks whilst the strategy refresh is working through the system.

7.   **Risk presentations and discussion**

The ARCC members received presentations on the management of capital projects, from the Director of Portfolio and the Director of Strategy, Planning and Analytics, and on developing the People Strategy, from the Senior Vice-President (Operations).

The minutes of these two discussions can be found in the Annexes to this report.

Management of Capital Projects (**minute**) – See **Annex 2.**

Developing the People Strategy (**minute**) – See **Annex 3.**

HEALTH & SAFETY SERVICES

ANNUAL REPORT 2020-21: HEALTH & SAFETY MANAGEMENT

November 2021

SUBJECT	Health, Safety and Fire Safety
DOCUMENT NUMBER	RO29

ISSUE NUMBER	02	**REVISION NUMBER**	01
ISSUE DATE	22/11/2021	**TOTAL NO OF PAGES**	24

AUTHOR	Health & Safety Services
APPROVER	Director, Health & Safety Services

DOCUMENT RECORD

DOCUMENT HISTORY					
ISSUE	**REV**	**DATE**	**SUMMARY OF CHANGES**	**AUTH**	**APP**
01	00	19/02/2021	First issue Interim Annual Report 2019-2020	SJ/DS	SJ
01	01	14/06/2021	Final Report including assurance responses from faculties and directorates (section 5.1) 2019-2020	SJ/DS	SJ
02	00	22/11/2021	2020 – 2021 Annual Report	SJ/DS	SJ
02	01	21/01/2022	Minor amendments following review at HSMG meeting 24/11/2021 and additional Fac/Dir Annual Assurance Responses	SJ/DS	HSMG

DOCUMENT STATUS

Issued/Pending

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1.0   INTRODUCTION

1.1   This report is structured around the best practice model of Plan-Do-Check-Review referenced by Health & Safety Executive, ISO 45001 and other quality management systems. The report covers the period August 2020 to July 2021.

2.0   PLAN

2.1   System Development

2.1.1   Policy Statement of Intent was approved by HSMG and subsequently SMT as part of a major review of H&S policy and written arrangements in alignment with 45001. Progress has been slow due to workload and vacancies in key areas of the H&SS team. COVID related documentation revised as necessary in line with changes to legislation and government guidance.

2.1.2   It should be noted that with the arrival of the new Principal the fully revised Statement of Intent should be signed and republished on the Governance webpages.

2.1.3   The following health and safety management system documentation was authored or revised during the reporting period:

- Outbreak Management (H&SS) and Incident Response Plans (Business Continuity) were developed in line with government guidance for HEIs and submitted to Directors of Public Health. Reporting templates were also developed.
- Various guidance and risk assessment templates relating to the management of COVID related risk arising from university activities
- Asbestos Management Plan was reviewed and revised by E&F Safety & Assurance in consultation with H&SS.
- Guidance on ordering first-aid and Automatic External Defibrillator (AED) consumables
- Guidance on selecting gloves as personal protective equipment

2.1.4   Acting Director, Acting Deputy Director H&SS, and Director of Biological Services worked with KCH Occupational Health to redraft the Occupational Health SOP for Health Surveillance so that it aligned with the KCL written arrangements developed in response to HSE enforcement.

2.2   Competent Advice & Support

2.2.1   During the reporting period Health & Safety Services continued to operate with an Acting Director and Acting Deputy Director.

2.2.2   The Head of Fire Safety left King's in February 2021 and the E&F Fire Assurance Manager left King's in August 2021 (just beyond the end of this reporting period). As of the date of this report suitable candidates have not been found to fill these senior fire safety vacancies. However, specialist advice to projects remains in place via fire engineering consultants and registered fire

risk assessment consultants. The Interim Associate Director of Assurance & Risk has provided some cover to the E&F Fire Assurance Manager role.

2.2.3   H&SS has been unable to find a suitable candidate to fill the new role of Head of Workplace Health, a key role with regards to Occupational Health contract management, systems and processes.

2.2.4   As such, the Acting Director and Acting Deputy have covered four vacant senior roles during the reporting period. Supporting the university's response to COVID has placed additional pressure on this depleted team.

2.3   Risk Register

2.3.1   The Risk Register submission to ARCC in February 2021 addressed the following matters:

- **HSE investigation into a case of Occupational Asthma in BSU**: Further details are provided later on in the report. Action Plan in response to Improvement Notice (Dec 2019, deadline May 2020) was accepted by HSE.

- **New CL3 facility**: issues remain, due to complexity of the build and design and delays in appointing a specialist contractor to maintain the facility.

- **Secretary of State letter**: H&SS and E&F Assurance continue to collaborate on the review of King's fire safety management arrangements in response to the Secretary of State letter and Champion Hill. Progress with this review has been adversely affected by the significant demands placed on both teams by COVID-19 and vacancies in fire safety roles.

- **The Independent Review on Champion Hill**: highlighted the importance of fully informed and proactive risk management and oversight of the design, construction, handover and subsequent maintenance of buildings and plant to ensure compliance with legal obligations and the safety of occupants. The project handbook was found to be appropriate but there were shortcomings with implementation and compliance.

- **COVID-19:** King's continued to respond to evolving government guidance relating to Coronavirus health protection regulations, developing appropriate systems and processes for mitigation of COVID-19 risks and management of positive cases on site and in residences.

2.3.2   COVID-19 and HSE enforcement has highlighted the importance of provision, and adequate robust maintenance and control of building air handling (which is a requirement of *Workplace (Health, Safety & Welfare) Regulations* and *Control of Substances Hazardous to Health Regulations*.

2.3.3   Planned research activities involving uranium metal required King's to register under the *Nuclear Safeguards (EU Exit) Regulations 2019*. The Office for Nuclear Regulation was advised and appropriate written arrangements were submitted by the Head of Radiation Safety.

2.3.4   Statutory examination and testing of safety critical equipment: a system for identification and follow-up on advisories and observations remains an important aspect.

2.4   **Leadership**

2.4.1   HSMG met in October 2020, March 2021 and July 2021 to receive and review performance reports, and to review and approve new management system documents. Senior Management Team received update reports on health and safety management in November and May. The previous Principal & President chaired the October meeting. SVP (Service, People & Planning) chaired the March and July meetings.

2.4.2   The Principal met with senior members of Health & Safety Services to receive a brief overview of the team and King's arrangements in June 2021 shortly after his arrival.

2.4.3   With arrival of new President & Principal and new senior leadership positions, it is appropriate for the Policy Statement of Intent to be signed by the Principal and republished.

3.0   DO

3.1   **Response to HSE Enforcement Action**

3.1.1   The university has been subject to on-going investigation by an HSE specialist inspector following a report of Occupational Asthma under the Reporting of Injuries, Diseases & Dangerous Occurrences Regulations in August 2019. Following receipt of an Improvement Notice (December 2019) and Notice of Contravention (May 2020) with accompanying fees for intervention, provision of witness statements (November 2019, January 2020 and July 2020), further voluntary witness statements were taken by the inspector in May 2021 and a compliance inspection was undertaken in July 2021 (during which the inspector noted significant improvements).

3.1.2   Under the leadership of Acting Director H&SS, regular meetings were held with key stakeholders to drive outstanding aspects of the actions committed to by the university and to monitor compliance with new and existing arrangements. At the end of this reporting period outstanding matters related to:

- Implementation of a programme of workplace inspections in the BSUs
- Remedial works to Hodgkin BSU air handling (HVAC)
- Programme of annual validation of air handling (HVAC) in all BSUs in line with SOS013 (Engineering systems for the control of laboratory animal allergens)
- Service level agreement between E&F and BSUs for on-going maintenance of LEV and HVAC in line with SOS013.
- Investigate improvements to the building management system to enable live monitoring of the performance of local exhaust ventilation (LEVs) and air handling (HVAC) systems
- Consideration of installation and use of individually ventilated cages (IVCs) or other
- Effective means of monitoring of "did not attend" and late cancellation of appointments for health surveillance

3.2   **Building and Fire Safety Regulation**

3.2.1   Building Safety and Fire Safety Bills were introduced in response to the findings of Judith Hackett's Independent Review of Building Regulations and Fire Safety. The Fire Safety became an Act of Parliament in April 2021. The Building Safety Bill (which is making its way through Parliament) will introduce a new Building Safety Regulator (under Health & Safety Executive) and aims to introduce:

- A more stringent regulatory regime for higher risk "in-scope" buildings in England including "hard gateways" at planning, design and completion stages with the expectation that every effort is made to design out significant risks associated with construction and maintenance for the lifetime of the building.

- The requirement for the duty holder to develop a Safety Case for all in-scope buildings (assessment of the significant fire and structural risks, and details of how these risks will be managed throughout the life of the building, including change management arrangements).

- Improved, evidence-based standards and guidance on risk management for the full life cycle of the building

- Emphasis on competence of all those involved in a construction project including workers, suppliers, industry professionals and building control bodies (this applies to both in-scope and other construction and refurbishment projects).

- Appointment of an Accountable Person (or Building Safety Manager) who will be responsible for ensuring that the safety critical aspects of the building are adequately maintained, and consulting and communicating with building occupants regarding risk management arrangements.

3.2.2   In February 2021, the HSE announced the appointment of a chief inspector of buildings to establish and lead the new Building Safety Regulator.

3.2.3   In March 2021 the Home Office announced that building owners could face unlimited fines following new measures being brought in to strengthen fire safety coming into force as part of the Building Safety Bill.

3.2.4   It is likely that the legislation will be written in a manner that allows the new Building Safety Regulator some flexibility as to the definition of what is "in-scope" based on evidence and risk. Competence requirements will apply to all construction and refurbishment projects.

London Plan – Fire Safety Guidance

3.2.5   The Mayor of London has published for information, three draft Fire Safety Guidance documents which were at pre-consultation stage to address fire risk management, these are:

- Fire Safety Policy guidance: for Planning authorities, fire engineers, fire safety professionals, designers and applicants to understand how planning applications can demonstrate they have achieved the highest standard of fire safety. It includes the

requirement to submit a planning fire safety strategy (PFSS), how it should be presented, what it should include and the level of competencies to write one.

- Fire Statements guidance: requiring major development proposals to be accompanied by a Fire Statement, produced by a suitably qualified competent third party, demonstrating how the development will comply.

- Evacuation lifts guidance: emphasising the importance of inclusive design and safe, dignified emergency evacuation for building users. Where lifts are installed, the expectation would be that at least one would be suitable for fire evacuation

3.2.6   The above are all likely to be relevant to King's. At the time of writing there is no indication that the documents have moved beyond pre-consultation stage.

3.3   London Fire Brigade visits

3.3.1   H&SS has not been made aware of any visits to campuses or residences by London Fire Brigade during the reporting period.

3.4   Other regulatory matters

3.4.1   The UK brought the European Union (EU) Registration, Evaluation, Authorisation and Restriction of Chemicals (REACH) regulation into law on 1 January 2021, as UK REACH. This places equivalent measures on UK companies as they had under the EU regulation.

3.4.2   ISO 45003:2021 Occupational Health and Safety Management – Psychological Health and Safety at Work: Managing Psychosocial Risks. Guidelines were published in June 2021.

Nuclear Safeguards (EU Exit) Regulations

3.4.3   Following submission of appropriate written arrangements by Head of Radiation Safety setting out how stocks of certain radioactive materials previously would have been regulated under EURATOM will be managed and monitored, King's was granted reporting derogation for the *Nuclear Safeguards (EU Exit) Regulations 2019* in April 2020 for planned research activities involving use of uranium metal.

3.5   Risk Management

New Containment Level 3 Laboratory and Schedule 5 Pathogens & Toxins

3.5.1   The Head of Biological Safety continued to provide advice, support and coordination to outstanding matters associated with the project to develop a new CL3 facility. The project continued to face challenges regarding commissioning associated with the level of complexity of the facility and associated plant, the location and limited size. Given the complexity and potential risks associated with this new facility the Director of RMID liaised with academic leads and suggested that line management and oversight should become part of Research Platforms.

COVID

3.5.2   Return to Campus working group continued to meet to review government guidance and develop appropriate arrangements for faculties and directorates to return certain activities to campus. With the beginning of the academic year Return to Campus was replaced by the Safe Campus Operations Team which met weekly to monitor the effectiveness of King's COVID risk management arrangements. Both Return to Campus and SCOT had representation from unions within the membership. Written arrangements that were authored or revised during the period are below:

- COVID University Risk Assessment
- Outbreak Management Plan and Incident Response Plan
- First-Aid Training Risk Assessment
- First-aid Risk Assessment
- First-aid Needs Assessment
- GN055 revised in line with changing government guidance and legislation
- Guidance and risk assessment templates for resuming essential research (in consultation with Research Governance), practical field studies and travel (in consultation with Global Mobility and HR)

Evacuation

3.5.3   A paper was taken to HSMG in October 2020 where it was agreed that all staff should take a more active role in fire evacuation to address the difficulties with regards to identifying staff to act as evacuation marshals. H&SS and E&F Assurance liaised to revise training provision (e-learning and face to face) for all staff and develop new written arrangements. Progress was hampered by vacancies in the H&SS and E&F Safety & Assurance teams and conflicting demands.

First-Aid

3.5.4   A paper was taken to HSMG in October 2020 where it was agreed that faculties and directorates should take a more active role in determining their first-aid needs and managing their first-aid provision. H&SS would provide guidance and continue to organise sufficient training.

3.5.5   SOS014 University First-Aid Needs Assessment provided guidance on calculating first-aid provision based upon lower or higher-level risk and number of building occupants.

3.7 **Training**

3.7.1   The addition of a course builder in WorkRite allowed H&SS and other directorates to author bespoke e-learning courses:

- a new Student Health & Safety Induction course and COVID Welcome to Campus course released in September 2020.

- Business Assurance updated their GDPR course using the course builder application in Workrite in January 2021 as the Data Protection and Information Security module.

- Courses are also being authored by Equality, Diversity and Inclusion on equality and diversity in the workplace, and neurodiversity.

3.7.2   Chart A1 and A2 in Appendix A indicate completion of health and safety e-learning modules during the reporting period.

3.7.3   Classroom based courses delivered by H&SS were moved to MS Teams with the introduction of lockdown in March 2020. H&SS has recognised a training provision issue for health and safety training for staff, students and health and safety role holders due to the expansion and increased complexity of the organisation. In-house demand for training cannot be met by the current resource with the H&SS team.

3.7.4   Therefore, H&SS started to review what courses would lend themselves to e-learning without a reduction in quality in order to reach a much larger number of staff and students. E-learning also offers flexibility so learners can complete the courses and refresh their knowledge at any time.

3.7.5   H&SS recognises that there should be a mixed model of training, face-2-face and e-learning. With increased numbers in the university and the requirement to ensure suitable and sufficient training can be delivered, contracting services from competent external training providers will be explored.

3.7.6   With the new hybrid working arrangements as King's returned to campus during the pandemic, the first aid needs of the university changed as many first aiders were working from home. H&SS has supported these changes by running more first aid courses from the start of the pandemic to meet the demand totalling 20 courses and training 286 first aiders under COVID safe measures. Bouygues Security staff at Franklin Wilkins Building were extremely helpful in assisting the First Aid Trainer and H&SS to deliver the courses safely during this difficult period.

3.8 **Health Risk Management**

Desk based health issues

3.8.1   A Case Management service was put in place for three months during late spring 2021 to facilitate addressing the large number of outstanding issues on the system. To accompany introduction of this service a Microsoft Teams session was organised for DSE Assessors to explain how the service would operate. Priority was given to those issues associated with reports of pain and discomfort on a regular basis.

3.8.2   Since the end of this short-term case management service, issues registered on the WorkRite system have begun to rise. It is unclear whether this is because remedial measures are not being taken or whether implemented measures are not being recorded on the system.

3.8.3   The eyecare voucher system was paused since the start of lock down in March 2020. Once opticians were able to re-open staff and PGR students have been able to reclaim towards the cost of eye tests and prescriptions specifically for display screen equipment (to the equivalent value of the vouchers) via expenses. This has proved popular with claims on the relevant activity code 10% higher than previous years using the voucher system. However, administrating the claims process has proved resource intensive and, as such, the voucher system will be reinstated with the move to hybrid working.

Laboratory related musculoskeletal issues

3.8.4   There has been no progress with regards to the proposed project to evaluate the extent of musculoskeletal issues associated with repetitive work as it was tied into the recruitment of the Head of Workplace Health which remains vacant.

Mental Health

3.8.5   The Employee Assistance Programme has continued to be promoted to staff as an important source of advice and support on a wide range of work-related and domestic issues. Utilisation breakdown summary is as follows for telephone-based advice and structured support services:

- Clinical support services (including life coaching, CBT and counselling): 76%
- Worklife advice and support: 34%

3.8.6   Utilisation breakdown by staff type is below:

- Professional Services 57%, Faculties 43%
- Employees 97%, Managers 3%
- Female 73%, Male 21%, Undisclosed 6%

3.8.7   Following discussion regarding a joint paper from KGHP and H&SS to HSMG meeting in February 2020, H&SS was provided with funding to continue to support the EAP structured mental health programme for King's Global Health Partnership volunteers and staff in West Africa.

Respiratory Sensitisers

3.8.8   Following on from the action plan in response to the HSE enforcement action a new e-learning module was published by H&SS on health surveillance.

3.8.9   H&SS worked closely with KCH Occupational Health on the revision of their King's College London (KCL) Health Surveillance Standard Operating Procedure (SOP) to ensure it reflects current best practice and is practicable. The SOP draft was shared by KCH in January 2021 and the final version for publication was agreed in July 2021.

3.8.10   Biological Services have improved and developed their SharePoint site to assist in communication with their staff, being a repository for Codes of Practice (COP), SOPs, risk assessments, training diaries etc.

3.8.11   Biological Services started liaising with relevant Faculty Safety Managers to develop agreed health and safety standards and protocols for Home Office Designated Areas. These areas have been identified as needing to be brought in line with the COP for the Biological Service Units.

Consultation and Communication

3.8.12   A consultation paper was taken to the July 2021 HSMG on Trade Union Consultation and Membership and Function of Health & Safety Management Group (HSMG) it presented options for more effective health and safety consultation with trade unions and suggested revision of HSMG Terms of Reference.

3.8.13   It was agreed to dissolve an existing joint management and Trade's Union Health and Safety Consultative Committee (HSCC) and amalgamate it into the business of the HSMG. Resulting in the extension of the HSMG membership to include a representative from each trade union. Additionally, it was agreed to extend membership invitation to KCLSU in order to give a voice to the student body and enable more effective cooperation and coordination regarding health and safety matters. A draft Terms of Reference for the HSMG was initially discussed at the July meeting and a formal draft will be presented to HSMG for discussion and approval at the November 2021 HSMG with its new membership.

4.0   CHECK

4.1   Audit

4.1.1   The H&SS HASMAP audit programme has been suspended during 2020/2021 due to key vacancies in the H&SS team and the impact of the COVID-19 pandemic.

4.2   Accident/Incident Reporting

4.2.1   Chart A3 gives an overview of the accidents/incidents reported 2019/20 compared with 2020/21

RIDDORs and Significant Incidents

4.2.2   Over the year 1 August 2020 to 31 July 2021 there have been three incidents reportable by King's. This is lower than previous years and may be due to successive lockdowns and limited numbers of staff and students on site.

- April 2021 – an electric Bouygues van reversing in Strand Lane collided with Security guard who was knocked to the floor. A plan was developed to pull together the various remedial actions, the plan continues to be progressed.

- April 2021 – exposure to paraformaldehyde (PFA) causing eye irritation. Initial indications were that PFA had been used by a previous occupant on a downdraft table and the leftover solution had not washed away sufficiently. The cause of the incident was jointly investigated by FoDOCS and BSU with assistance from E&F maintenance team. Remedial measures to prevent a recurrence were discussed and agreed.

- July 2021 – A student unintentionally immersed their hand in LN to retrieve some cells thinking that their nitrile and thermal gloves would protect them. They received cryogenic burns to their hand. The accident was investigated and opportunity to share lessons learned with other areas of the university was discussed.

4.2.3   No follow-up contact was received from HSE for the above incidents.

4.2.4   Over the year 1 August 2020 to 31 July 2021 the following were identified as significant incidents:

- June 2021 - Labelled "MR Safe" device drawn out of individual's hand and into the bore of the MRI scanner causing equipment damage. This incident had potential to cause catastrophic injury or death if a person had been inside the scanner. The incident was discussed at MR Safety Committees and an action plan was developed by the responsible manager. The Head of Radiation Safety has offered to join meetings to provide advice and assistance as necessary.

- November 2020 - A researcher informally reported tendonitis associated with pipetting activities. Symptoms much improved following a steroid injection provided by her GP. However, H&SS advised that their pipetting activities should be observed and assessed to identify potential risk factors and appropriate remedial measures to prevent a recurrence of symptoms. (Note, formal diagnosis of tendonitis by an OH Physician would have required notification under RIDDOR).

4.2.5   A student on clinical placement experienced a crush injury to their thumb between a door and door frame. The student was holding on to the doorframe whilst a trust colleague closed the door not realising the student's hand was there. The student was unable to work for over five days.

4.3   Fire related incidents

4.3.1   Chart A4 shows the number of fire alarm activations per month from August 2020 to the end of July 2021. The overall trend of unwanted alarms reflects fewer people on site since lockdown in 2020 with a steady increase following the phased return to campus.

4.3.2   One minor fire in April 2021 reported in the basement Strand building. The London Fire Brigade was called, attended and confirmed that there was a motor attached to an air-condition unit in the ceiling compartment that was burning. Fire extinguishers used by the brigade to put out the fire.

4.4   Health Surveillance

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4.4.1   Health surveillance is primarily carried out for work with respiratory sensitisers, the vast majority relating to work with laboratory animals. During the reporting period there have been no diagnosed cases of occupational asthma reportable to HSE under RIDDOR.

4.4.2   Work continues on improving the monitoring and management of health surveillance compliance and outcomes. The SharePoint List library created to allow managers and local safety officers to monitor fitness outcomes of their staff has been further developed so that it shows the outcome, the date of the most recent appointment, what type of appointment and when the next appointment is due.

4.5   COVID

4.5.1   Charts A7 and A8 show self-isolations vs Positives reported by the MS self-isolation form from March 2020 to July 2021 and the outbreaks reported to the local authority Public Health Teams during the same period. Please note that an outbreak was defined as two or more related confirmed positives during this reporting period.

5.0   REVIEW

5.1   Faculty and Directorate Annual Assurance Review

5.1.1   At the time of writing, 77% of those contacted provided a response on behalf of their faculty or directorate in time to be included in this report. Chart A5 shows the Faculties and Directorates who responded to the request for a self-assessment health & safety annual return compared with the previous two years.

5.1.2   Of those who provided a response, 85% reported that health and safety risk management had been discussed at a senior management level and 90% had reported promoting/arranging health and safety training (primarily the WorkRite e-learning). 70% of responses indicated regular consultation with staff on health and safety matters.

5.1.3   Health & safety planning (35%), sufficient health and safety role holders (60%) and inclusion of health and safety roles in PDR meetings (55%) are areas for improvement. Workplace inspections (25%) were paused in many areas due to COVID lockdowns during the reporting period. Chart A6 shows the high-level responses from Faculties and Directorates to the questions in the returns.

5.2   Continual Improvement

5.2.1   There has been improved liaison and cooperation between E&F, RMID, faculties and H&SS through regular MS Teams meetings as a result of the HSE on-going investigation.

5.2.2   The Health and Safety Service Planning & Strategy IT group was re-launched with a fully revised membership drawing upon input from Biological Services, Health Faculties, E&F Safety & Assurance.   Topics have included Accident/Incident Reporting system, lone working, work permitting system and workplace inspection tool. The work permitting system is going through a

tendering process and a replacement Accident Management System is in the final stages of development. A T0 project document for a lone working technical solution was developed ready for submission to Physical Environment Functional Planning Group.
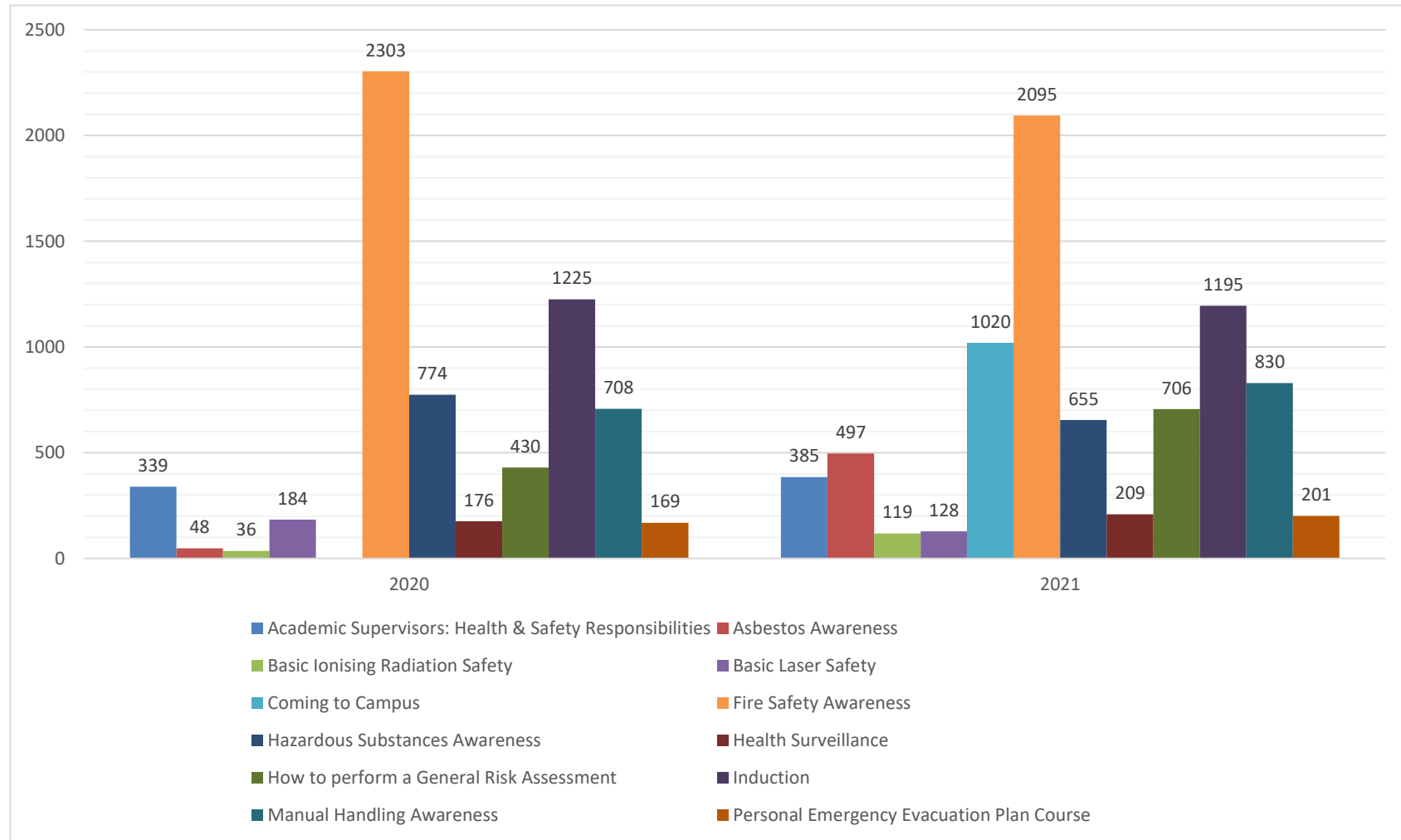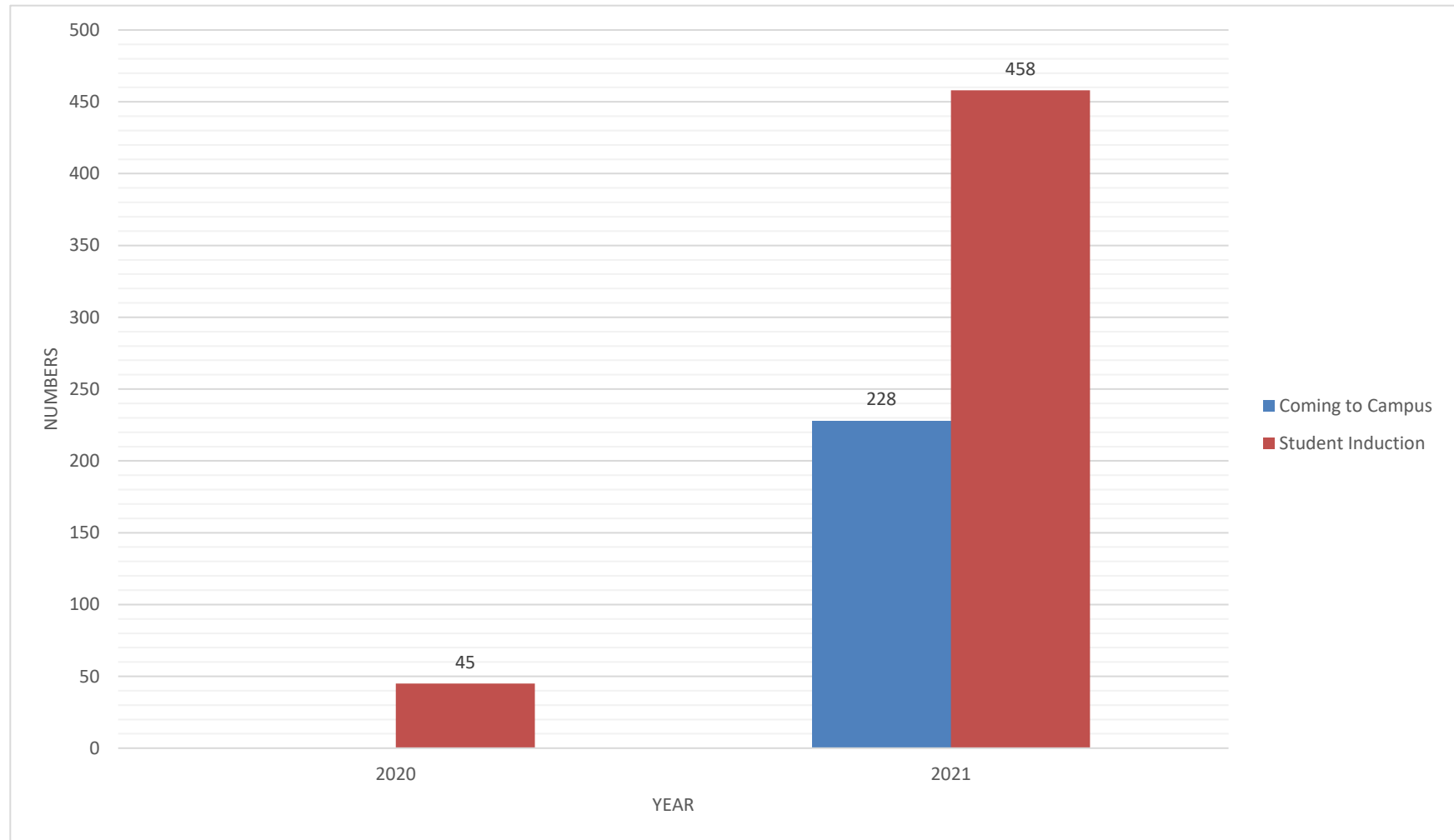
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APPENDICES

APPENDIX A   CHARTS

A.1   Completed e-learning courses 2020 - 2021

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A.2   **Student e-learning course completion 2020 – 2021**

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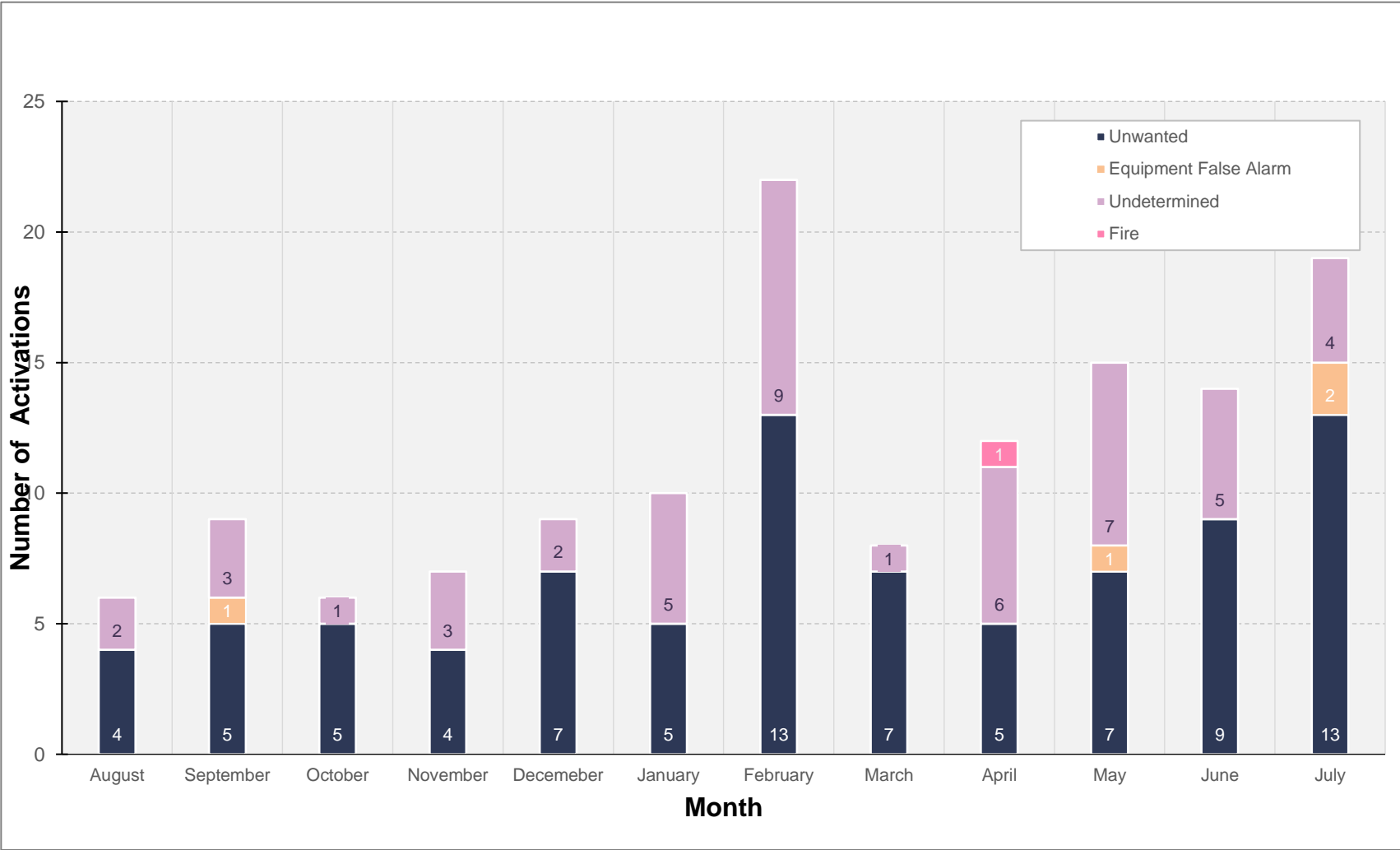
A.3 **Accident/illness Statistics - Comparison between the total number of work-related near-miss, illness and injuries in 2019/20 and 2020/21**

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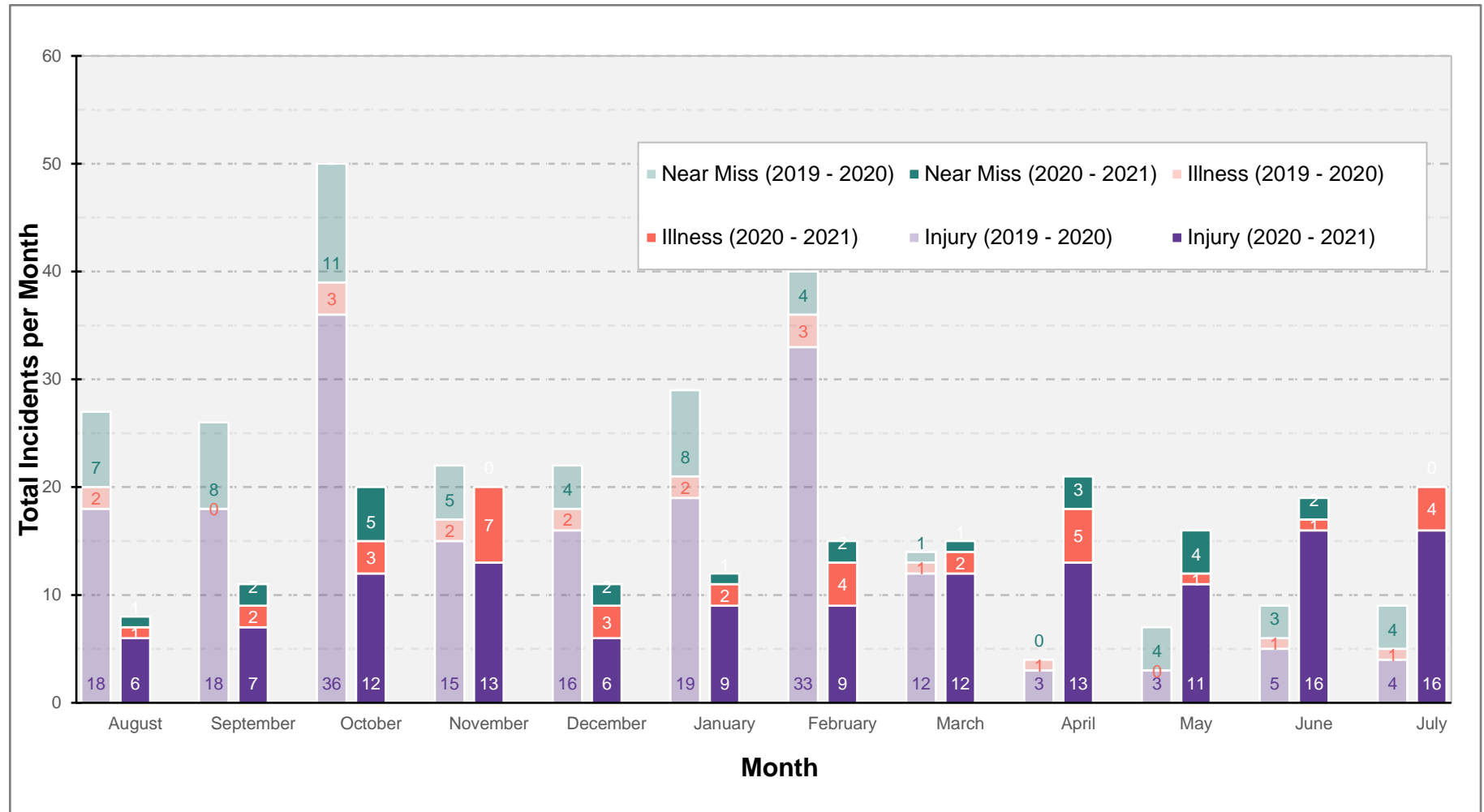
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A.4 **Fire Alarm Number of Activations per Month (August 2020 - July 2021)**

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A.5   **Charts for Faculty and Directorate Annual Assurance Returns**

Faculty/Directorate	2019	2020	2021
Arts & Humanities	Y	Y	Y
Brand and marketing	Y	Y	Y
Chairman & College Secretariat	Y	N	N
Corporate Communications	Y	Y	Y
Dentistry, Oral & Craniofacial Sciences	Y	Y	Y
Estates & Facilities	Y	Y	Y
Finance & Commercial	Y	N	Y
Fundraising & Supporter Development	Y	N	N
Global Engagement – External Relations			Y
Health & Safety Services			Y
Human Resources	Y	Y	Y
IoPPN	Y	Y	Y
IT	Y	N	N
King's Business School	Y	N	Y
King's Education Central	Y	Y	N
King's Professional & Executive Dev	Y	Y	N
Life Sciences & Medicine	Y	Y	Y
Natural, Mathematical & Engineering Sciences	Y	Y	Y
Nursing, Midwifery & Palliative Care	Y	Y	Y
Principal's Office			Y
Research Management & Innovation	Y	N	Y
Social Science & Public Policy	N	Y	Y
Strategy, Planning & Analytics	Y	N	Y
Student & Education	Y	Y	Y
Summer Programmes			N
The Dickson Poon School of Law	Y	Y	Y

Key

Y	Return provided
P	Return in progress
N	No response to date
	Not included

A.6   Responses to Annual Self-isolation Health & Safety Returns

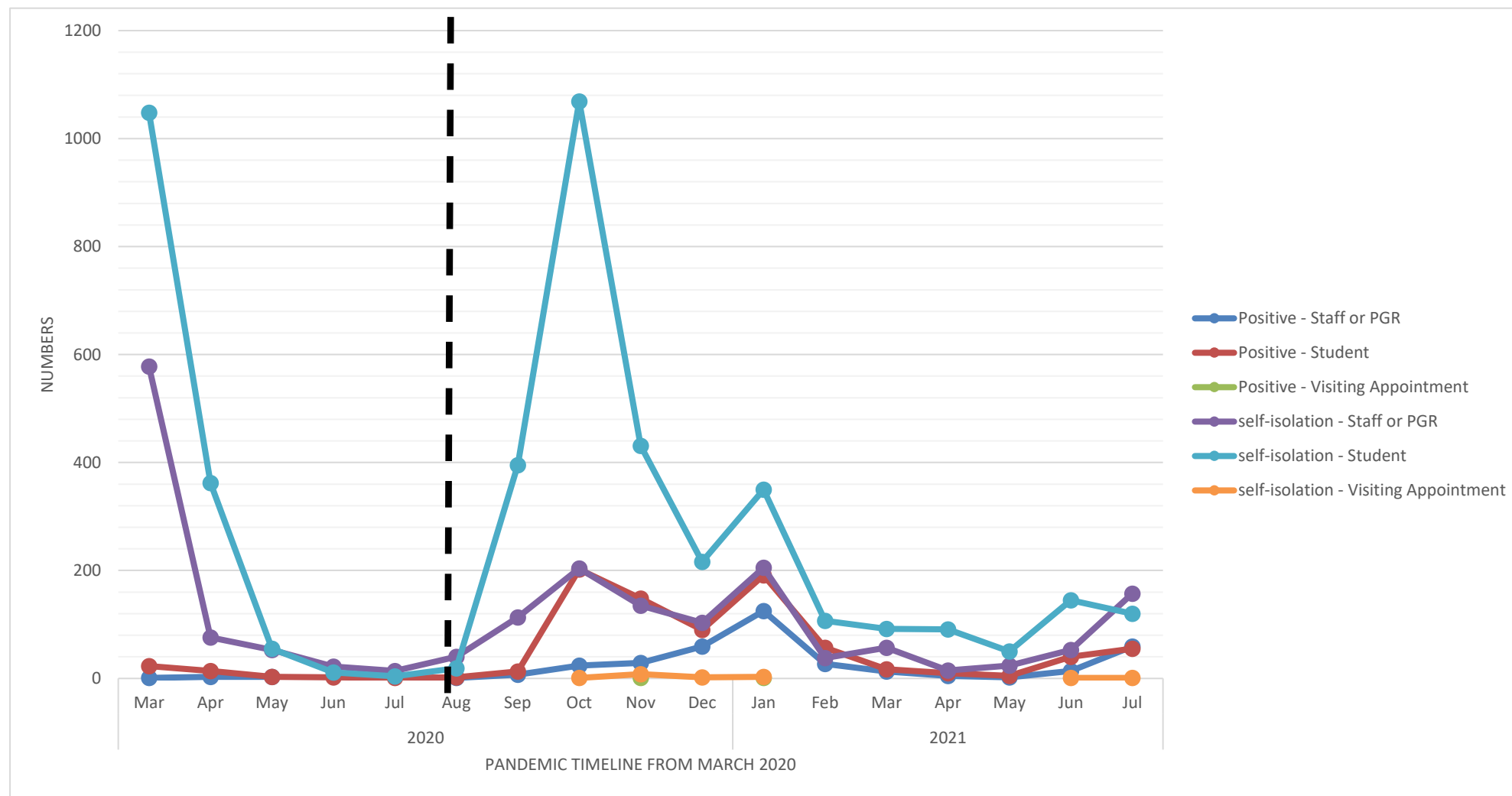| Faculty/Directorate	Review of written arrangements	Sufficient H&S role holders	H&S Training Promoted	H&S Risk Management discussed by senior managers	H&S Plan with SMART objectives	Roles and responsibilities recognised in PDR meetings	Regular H&S committee meeting or standing agenda item	Workplace Inspection programme	RIDDORS/ Significant Incidents
Arts & Humanities	Y	N	Y	Y	Y	N	Y	Y	N
Brand & Marketing	Y	N	N	Y	N	Y	N	N	N
Corporate Comms	N	Y	Y	N	N	N	N	N	N
Dentistry, Oral & Craniofacial Sci	Y	N	Y	N	Y	Y	Y	N	Y (RI)
School of Law	Y	Y	Y	Y	N	N	Y	N	N
Estates & Facilities	N	Y	Y	Y	Y	Y	Y	Y	Y (RI)
Life Sciences & Medicine	Y	N	Y	Y	Y	N	Y	N	Y (RI)
Finance and Commercial	Y	Y	Y	Y	N	N	N	N	N
Nursing, Midwifery & Pall Care	Y	N	Y	Y	Y	Y	Y	Y	Y (SI)
Global Engagement	N	N	N	N	N	Y	N	N	N
Health & Safety Services	N	Y	Y	Y	N	Y	N	N	N
Human Resources	N	Y	Y	Y	Y	Y	Y	N	N
Psychology, Psychiatry & Neurosci	Y	Y	Y	Y	Y	N	Y	N	N
Business School	N	N	Y	Y	N	N	Y	N	N
Natural, Mathematical & Eng Sci	Y	Y	Y	Y	N	Y	Y	N	N
Principal's Office	Y	Y	Y	Y	N	Y	Y	N	N
RMID	N	N	Y	Y	N	N	N	N	N
Social Science & Public Policy	Y	Y	Y	Y	N	N	Y	Y	N
Strategy, Planning & Analytics	Y	Y	Y	Y	N	Y	Y	N	N
Students & Education	Y	Y	Y	Y	N	Y	Y	Y	N
20	**Y= 13**	**Y= 12**	**Y= 18**	**Y =17**	**Y= 7**	**Y= 11**	**Y =14**	**Y =5**	**Y =4**

Note: figure total for RIDDORs/Significant Incidents is number of responders who have had a RIDDOR/Significant in their area, not the number of incidents.

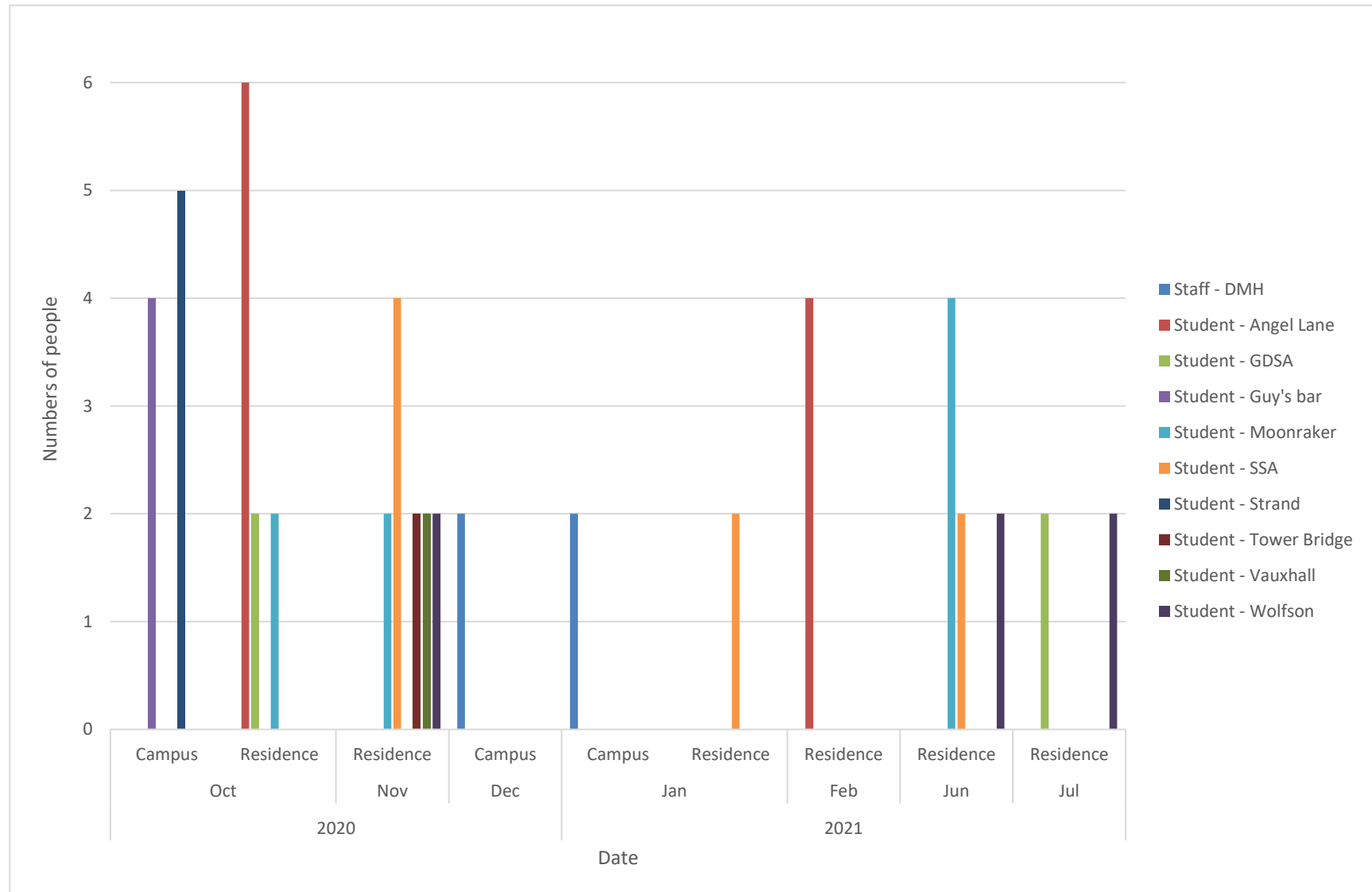**A.7   COVID-19 - Self-isolations vs Positives March 2020 to July 2021**

The chart shows from the beginning of the pandemic in March 202 to the end of the 2021 academic year. Dotted line shows the start of the academic year 2020

A.8   **Reported Outbreaks (≥ 2 positives) for the period March 2020 to 31 July 2021**

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Risk Topic: Management of Capital Projects (minute)

The Director of Portfolio reported that a lot of progress had recently been made around arranging the project portfolios in Estates & Facilities and IT. This was particularly important as they are the two largest project areas of the College. Standard approaches were now being taken to the model of project management utilised by the College, especially around trend analysis for risk management, and gateways and approvals. These were all laid out for the members of ARCC in the paper which accompanied this item. The College had implemented some major digital projects recently, which had used the standard methodology and review work, either in terms of benefits analysis or lessons learned, were just getting underway. The Director of Portfolio noted that the revised approach to project and portfolio management had been informed by a Business Assurance review which was undertaken in 2021, and reviewed approaches to project management across the College and compared it to accepted professional practice and standards. The majority of the recommendations of that review have now at least been started, with a number of them already fully implemented. The Director of Portfolio is currently working with the Deputy College Secretary on developing a method to formally close the loop around each major project by identifying the benefits realised and recording important lessons which have been learnt during the lifetime of each project. Discussions were also taking place about the potential for increasing the amount of assurance work undertaken on projects which were "in flight". It was noted that senior representation of project boards has also been strengthened, so that greater account is taken of how projects eventually operationalise and how the outputs of projects are eventually used. In conjunction with this, the Director of Portfolio and Director of Strategy, Planning & Assurance are currently evaluating training methods for those involved in projects with a view to upskilling key individuals as a priority. In terms of governance, a new structure is almost ready to be launched. The Portfolio Governance Arrangement (PGA) will span programme governance more broadly, particularly with a view to stronger prioritisation setting within the wider context of portfolio and strategy and will set up a number of gateways. A companion body will also be set up, into which all projects will report, and from where reports will filter up to a main portfolio board. This board will consider the progress of projects against the context of the entire portfolio and will consider where the Business Assurance team might be required to provide additional support for the process.

The Chair noted that this was very much needed and asked if a standard reporting mechanism could be developed for both ARCC and Council where the current state of the project portfolio could be summarised on a single sheet of paper for Council, with a slightly more detailed summary being provided for each ARCC meeting. The Director of Portfolio noted that a dashboard was currently being developed to track projects, and that it should be possible to produce a snapshot of that for ARCC and Council to gain assurance on the sound management of the whole portfolio of projects. The Senior Vice-President (Operations) commented that the development of this reporting mechanism would need to take account of the conversations which happened in other places to ensure that there was not undue duplication of process across different committees, and to ensure that each committee was contributing appropriately to the strengthening of the programme management function. Members agreed with that approach but noted that this was about identifying and discussing the risks as they manifest, and the ARCC conversation would have to be taken in that context, particularly given the conversations which have been had at ARCC in the past around projects.

Risk Topic: Developing the People Strategy (minute)

The Senior Vice-President (Service, People & Planning) noted that the Culture and People Strategy would be established as a strand of the strategy refresh. There were a number of emerging risks, including inflationary costs and pressures, global mobility, and recruitment and retention. Part of the early stages of developing this strand of the strategy involves an identification of the key risks in relation to people and going forward it will be important to provide an update to ARCC on how those risks are being managed. More broadly, though, a need to develop a dedicated workstream in the governing structure of the College, under the Council, for this strand of the strategy has been identified. The College is, therefore, in the process of establishing a standing committee for culture and people. There will be some overlap with the work of the ARCC, most notably in the area of risk and the area of compliance relating to Health & Safety. Health & Safety is clearly an ARCC responsibility, but there will be some need to reference its operation in the discussions of the new committee. The Chair noted that risk, compliance and regulatory matters would be the main areas of overlap, but the consideration of improvement measures within the College would be firmly within the remit of the new committee rather than a concern of the ARCC. The process to develop the new committee had been very mature and well thought through. This was considered to be a very positive development since, whilst the interests of students were appropriately covered in a number of other areas within the governance structure, hitherto the consideration of the welfare and wellbeing of staff was less well covered. Members of the ARCC expressed their support for the development of the new committee.

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King's College Council

Meeting date	20 January 2022
Paper reference	KCC-22-03-31-09.5
Status	Final

Report of the Academic Board

Contents	Meeting at which considered	Consent agenda	Council action
1. Academic Board Terms of Reference Amendments	9 March 2022	Yes	Approve
(a) Length of Membership Terms			
(b) Agenda Setting			
2. Academic Board Operations Committee Terms of Reference	9 March 2022	Yes	Approve
3. The Service, People & Planning Portfolio	9 March 2022	Yes	Note
4. Research Strategy Refresh	9 March 2022	Yes	Note
5. KCL/UCU joint statement	9 March 2022	Yes	Note
6. Academic Board subcommittee reports	9 March 2022	Yes	Note
7. Regular items approved or noted	9 March 2022	Yes	Note

For Approval

1. <u>Academic Board Terms of Reference Amendments</u>

    (a)   Length of Membership Term

    For reasons of membership continuity and to make the best use of College Secretariat resources, Academic Board agreed that it was preferable for all terms on the Academic Board to end on 31 July so that the number of elections held in any given year was manageable. This could be achieved by either truncating or extending the regular three-year term for those elected mid-year and it was agreed preferable for terms to be extended. [See the report on proposed Ordinance amendments at item 6.1 of Council's agenda.]

    (b)   Agenda Setting

    Academic Board had received a proposal from two of its members paragraph 5.2 of the Ordinance containing the terms of reference of the Board be amended to the effect that members of the Academic Board would be able to insert items on the agenda with the support of 5% of members. The Board referred the matter to its Academic Board Operations Committee (ABOC) for consideration and advice. The Board agreed to a revised proposal, increasing the number of members needed to bring an item forward and embedding criteria for adding items to the agenda into its terms of reference. [See the report on proposed ordinance amendments at item 6.1 of Council's agenda.]

2. **Academic Board Operations Committee Terms of Reference (Composition)**
    Prompted by the change in the Chair of ABOC following changes to the structure of the senior leadership team and by vacancies created as a result of two ABOC members being required to leave its membership as a result of their Academic Board membership ending, ABOC did a full review of its composition and has proposed changes that require amendments to the Ordinances. In essence, it has been agreed by Academic Board that:

- The Committee continues to be chaired by the Vice-Chair of the Academic Board
- The Vice President (Research), Vice-President (Education) be ex officio members
- An Executive Dean be appointed by the Principal
- In order to maintain the balance between elected members and ex officio members, the number of student seats be increased by one and the number of elected staff seats be increased by three.

[See the report on proposed Ordinance amendments at item 6.1 of Council's agenda.]

For note

3.   The Service, People & Planning Portfolio

Academic Board members considered a report which outlined the new portfolio of Service, People & Planning, its key priorities and its engagement with the Strategy refresh. Members' discussion of the report raised issues including workload and the structure of the central administration.

4.   Research Strategy Refresh [Strategic Discussion]

Academic Board received two presentations on Environment & Sustainability and Research Enhanced Education and was invited to contribute to the strategy refresh process through group discussion and feedback. Board member discussion included:

Environment & Sustainability
- Sustainability models
- Community engagement, including external partners
- The need for expertise and leadership for discussions with funders
- Forward planning and measuring impact
- Interrelation of education, research and climate action
- King's spanning all health professions = in a position to challenge others to decarbonize

Research Enhanced Education (REE)
- King's already doing this well and how to make this more visible
- How REE would relate to skills development and courses with professional requirements for UG/PG
- Impact on time and resources
- Impact of education on research and vice versa
- Learning from models at other institutions
- The political pressure to demonstrate both the value of teaching and research cross subsidy and also why research-led universities were costlier.

5.   KCL/UCU Joint Statement

A question was raised regarding the alignment between the joint statement issued from UCU/KCL, and the university voting with UUK on pension decisions the following day. The Board was provided with assurance that the joint statement was intended to identify areas of agreement between management and King's UCU including that management would of course like to see lower contributions with unchanged benefits but that this was not a choice in front of the university while the UUK position was to move now to keep costs reasonable for all in exchange for a good pension.

6.   Academic Board sub-Committee reports

Reports approved and noted as part of the Unanimous Consent Agenda:

College Education Committee:
(i)   *Proposal for a new type of King's Award (**approved**)*
(ii)   *ICCA Regulations (**approved**)*
(iii) *Education Strategy Refresh*
(iv)   *Student Mental Health & Wellbeing Strategy*
(v)   *Student Lecture Capture*
(vi)   *Initial Teacher Training Accreditation*

(vii) *Closing Attainment Gaps Update*

(viii)*Race Equity & Inclusive Education Fund 2021/22*

(ix) *Policy for Module & Teaching Evaluations*

(x) *College Teaching Fund*

(xi) *OfS Consultations*

(xii) *Exams Annual report*

College Research Committee:

(i) *ED&I Update*

(ii) *Research Culture*

(iii) *Reactivation of Science Gallery London*

Academic Board Operations Committee:

(i) *Election Issues (remaining)*

(ii) *Elections timetable*

(iii) *Annual Agenda Plan*

(iv) *Future meeting locations*

7. **Other items approved or noted**

(i) Principal's report on key current matters

(ii) KCLSU President's report

(iii) The Dean's report

(iv) Election of Associates of King's College (AKC) (**approved**)

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