



Trends in Leadership of Quality Enhancement in the Scottish University Sector

Report

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1 Aims and scope of the project

- The work was commissioned by The Quality Assurance Agency Scotland (QAAS) on behalf of the Scottish Higher Education Enhancement Committee (SHEEC). The remit and scope of the work was to identify the nature and impacts of changes in the academic leadership of the strategic approach to enhancement in the Scottish Higher Education Institutions (HEIs) from the inception of the Quality Enhancement Framework (QEF) in 2003 to date.
- 2 The aims of the project were to identify and evaluate:
- the changes in institutional leadership of learning and teaching enhancement from 2003 to date
- the range of models and approaches currently in place, drawing out their similarities and differences
- the key external and internal drivers for changes in leadership practice over time.
- The work was carried out in three phases from February to June 2019:
- Phase 1: Desk-based evaluation of ELIR reports and other sources
- Phase 2: Structured discussions with key staff across the sector
- Phase 3: Preparation of the final report.
- The main source of documented information was the set of published reports of the 61 Enhancement-Led Institutional Reviews (ELIRs) carried out across the four ELIR cycles from 2003. In addition, interviews with a range of former and current senior staff across the sector were carried out to provide further information, clarification and opinion. An outline of the methodology is shown in Appendix 1.
- In this final report, evidence sources are cited numerically using the Vancouver system [number]. These references can be found on pages 20-22. Where comment/information has been derived from structured discussions, this is indicated by [D].

2 Summary of key findings

- The summary conclusions from the work carried out are shown below. These themes are developed further in the main body of this report in Sections 3, 4 and 5.
- There continues to be strong institutional support for the enhancement-led approach to quality assurance and enhancement in the Scottish sector, with identifiable and visible senior leadership at Vice-Principal level (or equivalent).
- Institutional-level leadership is often supported by additional roles to support Vice-Principals (or equivalent).
- Enhancement is founded on robust quality assurance procedures at national and institutional level that are effective and embraced by teaching and support staff.
- Strong institutional engagement with students' associations and sparqs has led to a
 more active and effective student voice that helps to influence institutional strategy
 in enhancing the student experience.
- Current management of enhancement is varied and effective, with arrangements tailored to institutional requirements and meeting sector expectations.
- ELIR has had a major impact on shaping the enhancement agenda and developing an evaluation system that is respected internationally and embraced by institutions as a significant developmental process.

3 Changes in the institutional leadership of learning and teaching enhancement from 2003 to date

Sector-level context and landscape

- The Quality Enhancement Framework (QEF) for the Scottish HEI sector was introduced in 2003. The five elements of the QEF [1] provide a coherent and integrated framework for managing and evaluating the quality of taught provision in Scottish HEIs. This has enabled the development of an enhancement-based approach to self and peer evaluation of institutions' policies and practices in quality assurance and enhancement.
- Development of the enhancement-based approach has also been stimulated (directly and indirectly) by other elements of the academic infrastructure such as: Subject Benchmark Statements [2]; national credit frameworks including the Scottish Credit and Qualifications Framework (SCQF) [3]; the UK Quality Code for Higher Education [4]; Professional, Statutory and Regulatory bodies (PSRBs); UK and Scottish government policy; and funding available for the sector. These areas are considered further in Section 5 of this report.
- In 2003, there were 20 HEIs in the Scottish sector (not including the Open University; see Appendix 2 for list and abbreviations used in this report), each with a distinctive ethos, mission and role. While the sector was, and remains, diverse; there is a collegiate and collaborative approach across many aspects of learning and teaching (L&T). During discussions with key staff, this aspect was noted as a significant strength of the sector, in which the number and geographical spread of institutions are considered to be key factors [D].
- As to be expected, there is a significant level of 'sectoral complexity' when considering 20 autonomous institutions working to specific institutional plans and aspirations, all within a changing landscape at local, national and international level. This is shown in Figure 1, which maps a range of events by institution across the sector from 2003 to date. While events across each institution's timeline are obviously significant for that institution, the collective impact at sectoral level has helped to support the enhancement agenda through shared practice and expertise, and through inter and intra-institutional staff movement at senior management level.

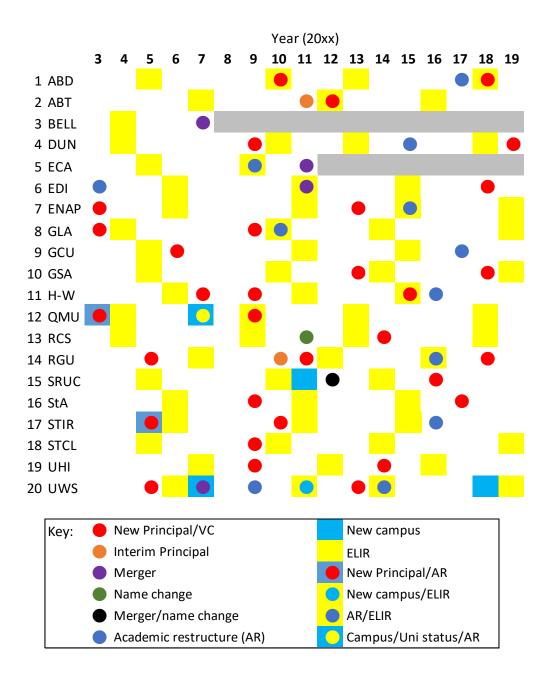


Figure 1: Key events across the Scottish HE sector by institution, 2003-19

This illustrates the pattern of a range of events that impact on the development of individual institutions, and the collective impact across the sector, with all years apart from 2008 showing varying levels of activity across the range. [Note: the range of events shown is necessarily selective and is not comprehensive. Also, some small-scale changes (for example, to academic structure) are not shown.]

Leadership and management of enhancement at institutional level

- At institutional level, several interrelated aspects impact on the leadership and management of enhancement. They include:
- senior/executive level staff identifiable as having overall responsibility for enhancement
- staff with cross-institutional roles
- staff with roles at faculty/college/school/departmental level
- institutional organisation and size/complexity
- committee structures and reporting lines (vertical and cross-institutional)
- balance of strategic and operational management of enhancement
- balance and separation/integration of assurance and enhancement
- frequency and extent of organisational change.
- There is a clear sectoral understanding of quality assurance (QA) [D], and it is difficult to improve on one of the original definitions of enhancement, described by QAA as 'taking deliberate steps to bring about continual improvement in the effectiveness of the learning experience of students' [5, 6]. This concise definition has been, and remains, an important influence on the management of enhancement in institutions.
- Senior-level institutional leadership roles related to the learning, teaching and enhancement agenda are shown in Table 1. Across ELIR cycles 1 and 2, almost all institutions had a single identified senior manager with responsibility for the learning, teaching and enhancement agenda. While there is some variation in title (Assistant Principal (AP), Academic, Enhancement being used by some institutions), most were identified as Vice-Principal (VP) or Deputy Principal (DP), and had learning and teaching included in their titles.
- Across the ELIR 3 cycle and into current arrangements, there is evidence of the appointment of additional senior-level staff to support the enhancement agenda. At ELIR 3 this was noted for three (of 18) institutions, with this trend appearing to continue in current arrangements (nine of 18). As with Vice-Principal/Deputy Principal level, there is some variation in title, and in the nature of the post (full-time, part-time, permanent, time-limited) but the role is generally cross-institutional and enhancement-focused. During discussions there was evidence of strong rationale and support for these appointments and their contributions across the institutions [D].
- Although there is variation in the title and number of staff involved at senior level, there is also a clearly-evidenced stability in the senior management commitment to the L&T agenda [D], with additional posts put in place to strengthen the cross-institutional management structure to meet local requirements.

Institution	ELIR 1	ELIR 2	ELIR 3	Current
ABD	VP T&L College School	VP T&L College School	VP L&T College School	Senior VP VP Ed School
ABT	DP Ac Dev VP Ac Dev	PVC Ac Dev School	VP Ac School	VP Ac & DVC Division
BELL	AP Ac			
DUN	VP Ed Dev Faculty	VP Ed Dev College	VP L&T College	VP L&T School ADs
ECA	VP Ac School	AP L&T School		
EDI	VP L&T College School	VP Ac En AP, AS & QA College	Senior VP AP, AS & QA College/School	Senior VP AP, AS & QA College/School
ENAP	VP Deans	VP Ac/ VP AQCS Ads (Faculty)	VP Ac (DVC) School	VP L&T School
GLA	VP L&T Faculty	Senior VP ADs (Faculty)	VP T&L Ds L&T (College)	VP Ac & Ed Inn AVP L&T Ds L&T (College)
GCU	PVC Ac Policy School	PVC T&L School	PVC L&T School	DVC Ac ADs L&T (School)
GSA	Dep Dir/Dir AD School	Dep Dir/Dir AD School	Dep Dir/ Dir Ac Dev Head of L&T School	Dep Dir Academic Head of L&T School
H-W	DP L&T Deans Q&S (x2)	DP L&T Dir L&T (School)	DP L&T Dir AQ (School)	DP L&T ADP L&T Dirs L&T (School)
QMU	DP/VP Dean Ed Policy & QA	VP L&T School	DP School	DP School
RCS	Director (School)	NC	NC	AP School
RGU	D Enh LTA Faculty	DP	DP Ac Dev & Q Faculty	VP Ac Dev & SE School

SRUC	VP Ed & Tr	NC	APs (x2)	Head of L&T Department
StA	VP L&T Deans QAE (x2)	VP L&T Schools	VP (Proctor) Dirs of T (School)	VP (Proctor) ADs/Pro-Ds Dirs of T (School)
STIR	DP LT&SI	DP L&T Dir L&T (School)	DP Ed & Students Dir L&T (School)	VP Ed & Students Inst Deans QA/SE Faculty Ads L&T
STCL	VP L&T Faculty	DP L&T Faculty	VP L&T DAPs Ed (x3)	VP AP L&T DAPs Ed (x3) VD (Faculty)
UHI	VP L&T	VP Ac	DP VP Ed	DP Dean of Students
UWS	AP L&T ADs L&T (School)	VP L&T/Ex D faculty	VP & PVC Ed ADs (School)	VP & PVC Ac AVP Ed Deputy Deans

Table 1: Senior leadership roles across ELIR cycles 1-3 and current position

The positions in bold represent the senior manager with responsibility for learning, teaching and enhancement - other roles show the relationship with senior and junior positions relative to that role. See Appendix 2 for a list of abbreviations used.

[Note: NC = not clear from available information]

- At the interface between senior/executive management and academic units, there is considerable variation in scale and organisation across institutions, with significant changes noted for most at some point across the period from 2003 (see Figure 1). These include both fundamental structural changes (establishment or removal of faculty, college or school structures, [7, 8, 9, 10, 11]) and retention of academic units with some adjustment (for example, schools with adjustment in size, subject mix and title). While this does appear to generate significant movement across the sector collectively, all changes have been couched in the context of each institution's requirements, with a sound rationale that has been largely achieved once new structures have settled. In addition to structural change, restructuring is often accompanied by a change to roles and remits for senior staff involved in managing enhancement.
- Although institutional *organisation* does have a significant impact on the committee structure and volume of business, the overall requirement for strategic and operational management of enhancement does not seem necessarily to be related to the *size* of the institution. There is a clear line of sight between senior management and responsibility at college/faculty/school level, with roles at the subject level determined by organisational structures rather than the size of the units. There is, however, some evidence that changes to organisational structure are based, at least in part, on 'right sizing' at the subject group level [D].

- As to be expected, there is clear evidence of the development and maturation of an 'enhancement-led culture' within institutions since 2003, as articulated in ELIR reports across the three ELIR cycles completed to date. Quality enhancement is seen as firmly rooted within a sound quality assurance framework, with both institutional and personal responsibility to deliver enhancement. This was first noted in the Aberdeen ELIR 1 report [12] and confirmed during the discussions with key staff [D]. This has helped to shape the preparations for, and responses to, ELIR with clear evidence that institutions use ELIR as an important mechanism for reflection and action and have generally responded positively to the changes in ELIR emphasis through the cycles.
- All institutions have a range of professional services in place to support the management of enhancement. As with academic organisation, there has been a significant amount of change in the way that support services are organised. While not strictly within the remit of this project, it has been interesting to note that the role of professional support departments has, in many institutions, developed to be much more student-focused, with integration of support service functions more evident. This appears to be a consequence of a more holistic approach to managing all aspects of the student experience [D].
- In addition to student-facing functions, staff development is a major part of the enhancement agenda. While there is still some comment on the penetration and effectiveness of initiatives across all staff, there are good examples of strong input from professional service departments to the overall enhancement agenda, and the establishment of closer and stronger working arrangements across the range of activities [13, 14, 15, 16]. This again indicates pro-active management of enhancement across academic and non-academic elements of provision.
- Further notable and positive developments have been in the area of student engagement, stimulated in large part by the inclusion of this aspect as one of the five elements of the QEF [1, 17] and by the cross-sectoral role played by Student Partnerships in Quality Scotland (sparqs) [18]. This is also noted as a growing strength by SHEEC [19].

Summary of key changes since 2003

- Management of the enhancement agenda since 2003 has included both retention of existing elements and further development of leadership, policy and practice as follows:
- continued institutional support and leadership at senior level
- additional senior-level roles to support Vice-Principals (or equivalent)
- an awareness that all staff are responsible for enhancement
- improvements in staff development opportunities and uptake
- a robust quality assurance framework at national and institutional level that is effective and embraced by teaching and support staff
- development of institutional engagement with the QEF and academic infrastructure
- strong institutional engagement with students' associations and spargs
- development of a 'students at the centre' ethos
- a continued collegiate approach to L&T and enhancement activity in the sector.
- The overall key theme that appears on looking at changes across the sector from 2003 is one of continued strong academic leadership and support at institutional level, and integration of activity within the context of a now well-established enhancement culture supported by robust and effective assurance procedures.

4 The range of models and approaches currently in place

Context and landscape

- As outlined in paragraph 10 and Figure 1, Scottish HEIs operate within a complex environment, with both internal and external factors influencing all aspects of institutions' business. In the management of enhancement, elements such as the QEF, SCQF and Quality Code provide the framework within which provision is set, and against which it is evaluated by Institution-Led Review (ILR) and, more broadly, through ELIR. The impact of external and internal factors will be considered more fully in Section 5.
- The Scottish HEI sector is diverse, with 18 HEIs (plus the Open University, which is not subject to ELIR and thus not included in the scope of this work). This diversity is considered an entirely positive feature of the sector, which is large enough to exert significant national and global influence, yet small enough to enable a collegiate and collaborative approach. Some key features of the sector's institutions are shown in Table 2 and are outlined in [20].

Institution	Abb	Students	Origin	Main location in Scotland
University of Aberdeen	ABD	14,400	Ancient	Aberdeen & North East
Abertay University	ABT	4,100	Post-92	Dundee & East
University of Dundee	DUN	15,100	Chartered	Dundee & East
The University of Edinburgh	EDI	32,900	Ancient	Edinburgh & East
Edinburgh Napier University	ENAP	13,100	Post-92	Edinburgh & East
University of Glasgow	GLA	29,700	Ancient	Glasgow & West
Glasgow Caledonian University	GCU	16,500	Post-92	Glasgow & West
The Glasgow School of Art	GSA	2,300	Specialist	Glasgow & West
Heriot-Watt University	H-W	10,900	Chartered	Edinburgh & East
Queen Margaret University	QMU	5,200	Post-92	Edinburgh & East
Royal Conservatoire of Scotland	RCS	1,200	Specialist	Glasgow & West
Robert Gordon University	RGU	12,500	Post-92	Aberdeen & North East
Scotland's Rural College	SRUC	1,700	Specialist	Distributed
University of St Andrews	StA	10,700	Ancient	St Andrews & East
University of Stirling	STIR	12,600	Chartered	Stirling & Central
University of Strathclyde	STCL	22,300	Chartered	Glasgow & West
University of the Highlands and Islands	UHI	9,300	Partnership	Distributed
University of the West of Scotland	UWS	16,400	Post-92	West & South West

Table 2: Features of Scottish HEIs

Abbreviations are as used in this report. Student number data from HESA [21] for academic year 2017-18, rounded to nearest 100. Origin as listed in [20].

Despite the level of institutional diversity across the sector, there are certain key elements that are required to enable institutions to function effectively and meet sector and government expectations. In the context of managing the L&T agenda, the structural organisation of an institution's academic units and committees has a direct and significant impact on vertical and horizontal communication within the institution; key personnel are obviously critical in this context. In addition, professional support departments/units provide essential operational input, and increasingly contribute to shaping the strategic direction of the L&T agenda. A generic outline of the potential organisation of these elements is shown in Figure 2. Although institutions are independent and autonomous in terms of how they organise their academic units, committees and professional services, all institutions considered in this work can be mapped onto this generic outline to some degree. This will be used as the basis for comparison of the various models currently in place across the sector.

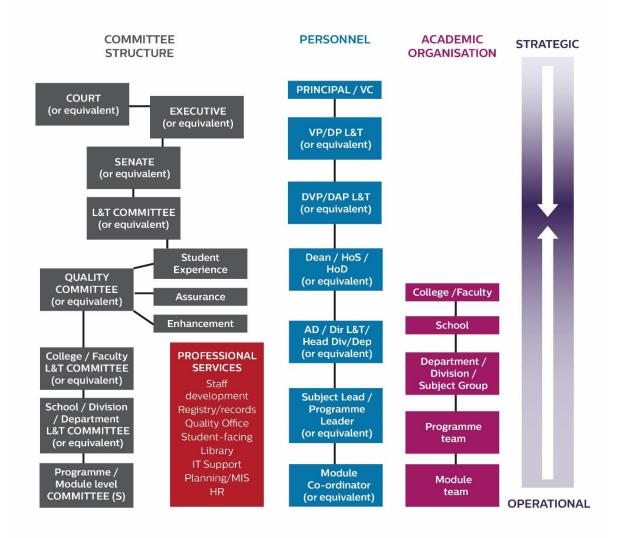


Figure 2: The institutional landscape for managing enhancement

Three of the key elements are (i) personnel and their roles/remits, (ii) academic organisation and (iii) committee structure. Professional services also provide essential support for staff and students and may contribute to strategic planning related to the L&T and enhancement agendas.

The shaded column on the right indicates the broad balance between strategic and operational planning/delivery. In general, there is a shift in emphasis through the various levels of organisation - the darker area shows the organisational level at which cross-institutional communication and collaboration is critical in managing enhancement.

Similarities and differences

- Current models have largely retained a 'clear line of sight' for both personnel and committee structures, with identified staff at each level holding responsibility for the enhancement agenda. In this section the following areas will be examined:
- balancing assurance and enhancement
- institutional infrastructure
- a focus on students.

Balancing assurance and enhancement

- As noted in paragraph 19, from the inception of ELIR, there is evidence that most institutions continue to state that (a) enhancement is the responsibility of all staff, and not a function of top-down management, and (b) that assurance is a critical aspect of ensuring that enhancement is firmly placed on a secure regulatory footing. Critique of institutions' engagement with the enhancement-led approach was often around penetration and consistency across institutions rather than a lack of strategic and operational awareness [22, 23, 24].
- As the enhancement approach became more established, the balance of emphasis between assurance and enhancement shifted, with institutional and sectoral confidence in assurance mechanisms more firmly established, and a concomitant strengthening of the effort to manage the enhancement agenda more proactively. This has continued through ELIR 2 and ELIR 3 cycles and is reflected in many institutions having some degree of separation of committee functions for assurance (in a broad sense) and enhancement, while retaining an integrated approach to ensure that the link between the two is not lost. An example is Strathclyde, where there are separate committees with quality assurance and learning enhancement remits, both reporting to the Education Strategy Committee [25]. Heriot-Watt has university committees for Quality and Standards (UCQS) and Learning and Teaching (UCLT), both reporting directly to Senate, with a Student Learning Experience Committee reporting to UCLT [26]. Other institutions have similar patterns of separation of agendas; during discussions, this was considered an important mechanism to provide space to enable full consideration of and response to the institution's enhancement agenda [D].
- Standalone enhancement strategies have become less common across the ELIR cycles with, in some cases, doubt expressed as to the value of a separate quality enhancement statement [27]. As a measure of this (admittedly, a rather crude one), the specific term 'enhancement strategy' was referred to 206 times in ELIR 1 reports, 64 times in ELIR 2 reports and 15 times in ELIR 3 reports. Over the ELIR cycles, most institutions have moved their 'enhancement strategy' (often this was not separately defined but was/continues to be included in a Learning and Teaching strategy or equivalent) into much closer alignment with their corporate/strategic plan. This appears to be the result of more integrated planning processes and clearer alignment of individual strategies (and their associated action/enabling plans). This increased level of 'clarity and cohesion' was noted in the 2018 evaluation of the ELIR 3 cycle [19].

Institutional infrastructure

- There is considerable variation in how institutions set their structures to address the requirements noted in paragraph 26, plus additional activities such as research, commercial activity, international development and local community engagement. Comparison of structures is an interesting exercise as there is little consistency in the use of terminology across the sector, with institutions using similar terms for committees, academic units and key posts that might be broadly equivalent yet differ considerably in detail around organisational level, remit and scope. This range of organisational descriptors is outlined in Table 3.
- As noted in paragraphs 13-15, there has been variation in title and role of senior personnel over time for some institutions, with a more stable pattern for others (see Table 1). Tables 1 and 3 show the range of titles currently in use. As to be expected, the most senior posts (for example, VP/DP/DVC level) tend to be full-time permanent appointments, with more variation where supporting roles have been developed (for example, Assistant P, Assistant VP, Assistant DP/VP, Assistant/Pro Dean, Institutional Dean, Deputy Associate P). These posts can be full-time, part-time (ranging from 0.2 to 0.8 FTE), permanent or time-limited appointments; it is difficult to see a pattern to this variation across institutions.
- Academic structures tend to show less variation in title, with college/faculty, school and department/division tending to refer to units that are more consistently defined than is the case for personnel. However, there is considerable variation in the size of academic units (in terms of discipline mix and staff numbers), reflecting the size and complexity of the institution. Table 4 shows institutions ranked by size (using HESA student number headline data, [21]), with the highest level of academic organisation noted. Although care is needed not to infer a strong causal relationship, larger institutions tend to have a college/faculty structure (for example, the three institutions with more than 20,000 students) and smaller institutions, a single-tier school/department-based system (for example, the five institutions with around 5,000 students or fewer). Although there is some variation across the mid-sized institutions, most tend to operate a School-based system. The University of the Highlands and Islands is more complex than the stated two faculty/subject network organisation would suggest due to the unique nature of the institution, with 13 partners across a wide geographical area [28]. Scotland's Rural College is also more complex than a single-campus specialist institution, with multiple sites and a strong research/commercial focus [29].
- Committee organisation (Table 3) shows some variation in title, but also a high-level of consistency of function that can be mapped on to the generic structure shown in Figure 2. All institutions have a senior academic body (Senate or Academic Council/Board) with overall responsibility for all aspects of academic provision. The learning, teaching and enhancement agenda(s) are usually devolved to a university-wide L&T Committee (or similar), with some variation as to how these committees are structured. Some operate on a separated remit for quality assurance and quality enhancement, others have sub-committees covering areas such as academic quality and student experience. Although there is variation in local arrangements, management of the quality assurance and enhancement agenda through committee structures is endorsed as effective through ELIR outcomes, with critique tending to relate to communication and dissemination rather than organisation or remit [30].

Institution	Key personnel	Academic organisation	Committee structure
ABD	Senior VP VP Ed School	12 Schools plus PG Research School	Senate UCLT Student Experience Committee
ABT	VP Ac & DVC Division	4 Schools plus Grad School Divisions	Senate T&L Committee
DUN	VP L&T School ADs	9 Schools Disciplines	Senate L&T Committee
EDI	Senior VP AP, AS & QA College/School	3 Colleges Schools	Senate L&T Committee; QASC QA Committee; Curriculum & Progression Committee
ENAP	VP L&T School	6 Schools	Academic Board L,T&A Committee; Student Experience Committee
GLA	VP Ac & Ed Inn AVP L&T Ds L&T (College)	4 Colleges Schools	Senate/Council of Senate Ed Policy & Strategy; Ac Standards L&T Committee; Student Experience Committee
GCU	DVC Ac ADs L&T (School)	3 Schools Departments	Senate Academic Policy & Practice Committee L&T Sub-committee
GSA	Dep Dir Academic Head of L&T School	5 Schools	Academic Council UG & PG Committee
H-W	DP L&T ADP L&T Dirs L&T (School)	5 Schools plus Grad School	Senate UC L&T UC Q&S Student Learning Experience Committee
QMU	DP School	2 Schools	Senate Student Experience Committee
RCS	AP School	2 Schools	Academic Board Quality and Standards Committee

RGU	VP Ac Dev & SE School	11 Schools plus Grad School	Academic Council QA & Enhancement Committee T,L&A Sub-committee
SRUC	Head of L&T Department	6 Departments	Academic Board Ed Board & Student Experience Committee
StA	VP (Proctor) ADs/Pro-Ds Dirs of T (School)	4 Faculties Schools/Departments	Senate/Academic Council L&T Committee Student Experience Committee
STIR	VP Ed & Students Inst Deans QA/SE Faculty ADs L&T	4 Faculties plus Management School Departments	Academic Council Education & Student Experience Committee Ac Q Standards; University L&T Committee
STCL	VP AP L&T DAPs Ed (x3) VD (Faculty)	4 Faculties Schools/Departments	Senate Education Strategy Committee; Learning Enhancement, QA, SE Committees
UHI	DP Dean of Students	2 Faculties Subject networks	Academic Council QA & Enhancement Committee
UWS	VP & PVC Ac AVP Ed Deputy Deans	5 Schools Divisions	Senate Education Advisory Committee Academic Quality Committee

Table 3: Designation of key personnel, academic organisation and committee structure for Scottish HEIs

Abbreviations are used in this report and are listed in Appendix 2.

Institution	Abb	Students	Origin	Highest level academic unit
The University of Edinburgh	EDI	32,900	Ancient	College
University of Glasgow	GLA	29,700	Ancient	College
University of Strathclyde	STCL	22,300	Chartered	Faculty
Glasgow Caledonian University	GCU	16,500	Post-92	School
University of the West of Scotland	UWS	16,400	Post-92	School
University of Dundee	DUN	15,100	Chartered	School
University of Aberdeen	ABD	14,400	Ancient	School
Edinburgh Napier University	ENAP	13,100	Post-92	School
University of Stirling	STIR	12,600	Chartered	Faculty
Robert Gordon University	RGU	12,500	Post-92	School
Heriot-Watt University	H-W	10,900	Chartered	School
University of St Andrews	StA	10,700	Ancient	Faculty
University of the Highlands and Islands	UHI	9,300	Partnership	Faculty
Queen Margaret University	QMU	5,200	Post-92	School
Abertay University	ABT	4,100	Post-92	School
The Glasgow School of Art	GSA	2,300	Specialist	School
Scotland's Rural College	SRUC	1,700	Specialist	Department
Royal Conservatoire of Scotland	RCS	1,200	Specialist	School

Table 4: Scottish HEIs arranged by number of students with highest level of academic organisation noted

Student number data from HESA [21] for academic year 2017-18, rounded to nearest 100. Origin as listed in [20]. Abbreviations are as used in this report and are listed in Appendix 2

- To support the range of activities that institutions undertake to manage quality assurance and enhancement, most institutions have professional support departments that deal with institutional governance, student administration, management information and planning functions, and quality. Detailed organisation is variable and generally linked to the size of the institution. ELIR reports often commend institutions for the scope and clarity of documentation to support Quality Assurance and Enhancement processes, with a Quality Handbook or equivalent forming the basis of this in most cases (for examples see [31, 32, 33, 34]). Heriot-Watt also provides useful one-page briefing notes for elements of the QEF [35].
- As noted in paragraph 20, staff development is an important part of the institutional framework for managing enhancement. Although HR departments have a key role in supporting general organisational and staff development, most institutions have specialist units that deliver programmes of staff development in L&T practice that are based on professional standards frameworks such as the United Kingdom Professional Standards Framework (UKPSF) and lead to Fellowship of the Higher Education Academy (now part of Advance HE, [36]). The role of specialist support departments in this area, and in strategic planning for enhancement, is often noted in ELIR reports, with examples including *DELTA* at Robert Gordon University Aberdeen [14], *CAP* at Queen Margaret University [37], *TLE* at Abertay University [38] and *CAPOD* at the University of St Andrews [39].

A focus on students

37 A further development in current models is an increased focus on the holistic experience that a student has at an institution, with again much closer integration of the various elements of assessing and managing this aspect and positive change noted across

the ELIR 3 cycle [18]. Some institutions have a committee structure that includes a student experience committee (SEC) or equivalent (see Table 3), and although remits can vary, most are concerned with managing the non-academic aspects of the student experience, to complement the academic developments in provision, delivery and assessment of the subject. This holistic theme is often replicated at subject level with an increased emphasis on the whole programme of study (as opposed to individual discrete elements such as modules).

- Although SECs are generally seen as a very positive way of involving students, often being chaired or co-chaired by a student member, there is some indication that institutions that have operated SECs have found that without a direct executive and resource management function, issues identified often have to be referred to further committees for action [D]. This can sometimes lead to delay and potentially students' frustration; it may be that the role of SECs will be overtaken by other mechanisms such as direct representation on other key committees.
- Students' associations play a critical role at the interface between institutions and their students, and the close liaison that now exists is recognised as a significant strength across the sector [19] that is often noted in ELIR reports [30]. One outcome from increased collaboration between institutions, students' associations and sparqs [40] has been the development and spread of Student Partnership Agreements (SPAs). The first was developed at UHI in 2013 [41], with other examples including Aberdeen [42], Dundee [43], Edinburgh [44] and GCU [45].

Summary of key features of current models for managing enhancement

Current models for managing enhancement reflect the key elements outlined in paragraph 22. The arrangement of academic units, key personnel and committees for each institution can be mapped onto the generic framework shown in Figure 2. Although there can be wide variation in the range, scope and organisation of these elements within institutions, this diversity does not constrain effectiveness but rather reflects each institution's circumstances and requirements.

5 Key external and internal drivers for changes in leadership practice over time

Context and landscape

Institutions work within a complex and ever-changing environment and are affected by many internal and external factors that shape the way they carry out their business. Some of the key elements related to the strategic management of enhancement (SMOE) are shown in Figure 3.

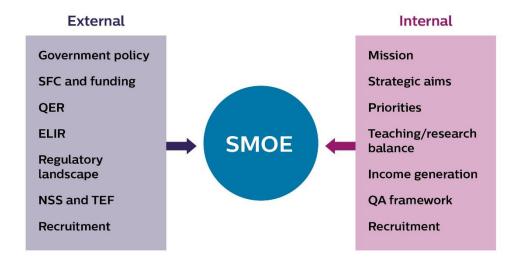


Figure 3: Illustration of some key external and internal factors that influence an institution's approach to the strategic management of enhancement (SMOE)

Impact of key drivers for change

- A key factor in both external and internal contexts is recruitment of both staff and students. This will shape the internal strategy of the institution in terms of the staff balance (numbers, areas of expertise, experience) and the target student population as agreed with SFC. Recruitment of international students is a key strategic aim for many institutions and is most often set in the context of a more broadly-based international strategy [46, 47, 48].
- Institutions generally have the autonomy and flexibility to set their own internal priorities across all areas of business, and this (as noted earlier) is reflected in more coherent and integrated strategic plans [19]. The external drivers tend, as would be expected, to offer a greater strategic challenge.
- The general government policy landscape is currently dominated by the ongoing issue of Brexit, with the added tensions of the Scottish and Westminster governments' positions being somewhat different. Further comment on this aspect is outside the scope of this work.
- Institutions work closely with the SFC to develop outcome agreements that have added a level of consistency of approach across the sector, while still accommodating institutions' strategic ambitions [19]. Outcome agreements are published by SFC [49]. The key pressure in this area is not the mechanisms of interaction *per se*, but the level of funding available currently and into the future [D].
- The QEF is now well established across the sector. The QEF was reviewed following the ELIR 3 cycle and the determination that it remained fit-for-purpose is a strong endorsement of the framework (reported to SHEEC, [19]). Maturation of use of the QEF has continued to progress since inception, with proactive use of, for example, SCQF and the Quality Code at the early stage of programme design, rather than retrospective compliance checking. This again reflects a mature and useful enhancement framework that is appreciated and widely supported across the sector [D].
- The Enhancement Themes (ETs) and Student Engagement (SE) elements of the QEF [1] have had a significant impact across the sector and illustrate the collegiate and

collaborative approach between institutions, QAA, students' associations and sparqs that is considered to be a distinctive and valuable feature of the Scottish HEI sector. Enhancement Theme activity is commented on specifically in ELIR reports [30] and in most cases shows an increased level of engagement across ELIR cycles.

- The ELIR process itself has arguably had the greatest impact on establishing and embedding the enhancement-led approach across the sector, and in influencing the strategic management of enhancement of the student experience. Institutions generally begin preparing for ELIR around 18 months out, with most evaluative and preparative activity in the year before ELIR. Post-ELIR outcome and year-on response mean that each institution is actively engaged with the ELIR process for a significant part of the ELIR cycle.
- The regulatory landscape has changed considerably for English HEIs, with the *Higher Education and Research Act* (2017) establishing the Office for Students, which was a response to the increasing diversity of provider and consequent fragmented regulatory system. While a detailed evaluation of the potential (possibly indirect) impact of OfS on the Scottish sector is outside the scope of this work, general concerns around metric-driven approaches to evaluation, increased 'marketisation' of HE provision, and possible effects on institutional autonomy were common threads during discussions [D].
- Metric-driven approaches have always had a role to play in self and sector-based evaluation, even when data sets, and their manipulation, was a relatively unsophisticated area. Over the past few years or so there has been an increase in the integration of institutional data sets via more sophisticated IT systems and 'dashboard' interfaces, resulting in more effective use of data for institutional review and planning purposes [50, 51, 52]. The current enhancement theme *Evidence for Enhancement: Improving the Student Experience* is a timely and welcome area of exploration [53]. It is of interest that there is a strong appreciation [D] of the importance of 'non-metric' aspects of information and evaluation to provide a narrative in addition to a set of metrics. One strand of the current theme is considering this aspect [54].
- One largely metric-based influence on management of enhancement has been the National Student Survey (NSS), which was established in 2005. On discussion there was agreement that NSS outcomes are important for institutions and the sector more broadly [D], and most institutions now have detailed consideration of NSS data and commentary built into the annual cycle of quality assurance and enhancement activity.
- The final comment on an external driver that is likely to influence the management of enhancement is around the Teaching Excellence Framework (TEF). There is some concern that a Scottish consensus view may not emerge regarding engagement with TEF [D], and that this could lead to some tensions across the sector. However, there is also recognition of the importance of TEF in national (UK) and international dimensions, and perhaps more critically, the consequences of not being engaged with TEF. A useful commentary on TEF and the Scottish context can be found in [55].
- At present, each institution has come to its own conclusion around TEF engagement, with a variety of reasons for entering or not. Five Scottish HEIs entered TEF and received either gold or silver awards [56]. It will be of interest to see how many and within what timeframe other Scottish HEIs engage with TEF in the next few years.

6 Conclusion

In addition to the summary conclusions presented in Section 2, two final 'take home' messages have emerged from this work, as follows:

Enhancement of assurance: assurance of enhancement

The collective enhancement activity across the sector since 2003 is impressive and has been effective in developing a culture that is unique and respected globally. It has enabled the development of assurance systems that are robust and effective, and which themselves have been developed and enhanced by cross-sectoral experience. This has provided a sound basis on which enhancement activity can be calibrated, which has strengthened the acceptance of the ELIR process as an effective mechanism for the evaluation of both assurance and enhancement.

Protecting the investment: speculation on the challenges ahead

The consensus found during discussions with senior staff was that the Scottish enhancement-led approach is precious and needs to be protected and developed. The challenges facing HEI sectors at Scottish, UK and international level are many and varied, and will require bold and in some cases radical solutions in the years ahead. The collegiate and collaborative approach, and sector coherence with diversity, is likely to be critical in helping shape the sector for the future.

7 References

[For website references, access by Ctrl-left click on the <u>URL</u> abbreviation]

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8 Author's note

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Dr D S T Nicholl

9 Appendices

Appendix 1: Outline of methodology

The work was carried out in three phases from February to June 2019:

- Phase 1: Desk-based evaluation of ELIR reports and other sources
- Phase 2: Structured discussions with key staff across the sector
- Phase 3: Preparation of the final report.

Phase 1

The main source of documentation used for Phase 1 was a collated set of reports for ELIR cycles 1 (single reports), 2 and 3 (Outcome/Summary reports and Technical reports). Additional information was sources from institutions' websites and published papers, and articles as listed in the References section.

ELIR reports were summarised using a summary pro-forma to gather key points from each report. ELIR report citations were assembled by collating the relevant paragraphs by institution and ELIR cycle for reference.

Phase 2

A series of structured discussions was arranged with key current and former staff with experience of preparation for their own institution's ELIR and as ELIR reviewers) and management of enhancement in the sector. Interviewees were senior staff at Senior Vice-Principal, Deputy Principal, Vice-Principal, Deputy Vice-Principal/Assistant/Associate Vice-Principal (or equivalent) and Head of professional service level. Interviewee experience of ELIR covered all ELIR cycles to date.

In total 22 face-to-face interviews were conducted in the period March to May 2019. Where face-to-face discussions were not feasible in the timeframe, three interviews were conducted by telephone and two sets of queries confirmed by email. All institutions were covered in this phase of the work. In addition, interviews were held with key staff from sparqs and the SFC. Interviews generally lasted one hour.

Phase 3

Collation and evaluation of information gathered in phases 1 and 2 was carried out across the timeframe of the work, with the final report assembled in the latter part of May and start of June 2019.

A presentation of interim findings was delivered at the SHEEC meeting of 9 May 2019, and the draft final report submitted to QAA on 17 June. Comments received from QAA were incorporated into the report and the final version submitted on 31 July 2019.

Appendix 2: Abbreviations and acronyms

Institutions

ABD University of Aberdeen

ABT Abertay University

BELL Bell College

DUN University of Dundee

ECA Edinburgh College of Art

EDI The University of Edinburgh

ENAP Edinburgh Napier University

GLA University of Glasgow

GCU Glasgow Caledonian University

GSA The Glasgow School of Art

H-W Heriot-Watt University

QMU Queen Margaret University

RCS Royal Conservatoire of Scotland

RGU Robert Gordon University Aberdeen

SRUC Scotland's Rural College

StA University of St Andrews

STIR University of Stirling

STCL University of Strathclyde

UHI University of the Highlands and Islands

UWS University of the West of Scotland

Abbreviations and acronyms

Ac academic

Ac Dev academic development

AD Assistant/Associate Dean

AfD area for development

ADP Assistant Deputy Principal

AP Assistant Principal

API average per institution

APP area of positive practice

AQCS Academic Quality and Customer Services

AS & QA Academic Standards and Quality Assurance

AVP Associate Vice-Principal

AY academic year

CAP Centre for Academic Practice

CAPOD Centre for Academic Professional and Organisational Development

COM Commendation

DAP Deputy Associate Principal

DELTA Department for the Enhancement of Learning, Teaching and Access

D Enh LTA Dean for the Enhancement of Learning, Teaching and Assessment

DIR Director

Dirs of T Directors of Teaching

DP Deputy Principal

DP LT&SI Deputy Principal (Learning, Teaching and Student Issues)

Ds Deans

DVC Deputy Vice-Chancellor

Ed Dev educational development

ELIR Enhancement-Led Institutional Review

ET(s) Enhancement Theme(s)

Ex D Executive Dean

HE higher education

HEI higher education institution

HESA Higher Education Statistics Agency

ILR Institution-Led Review

Inn Innovation

Inst Deans

Institutional Deans Quality Assurance/Student Experience

QA/SE

L&T learning and teaching

L,T&A Learning, Teaching and Assessment

NSS National Student Survey

OfS Office for Students

Pro-Ds Pro-Deans

PSRB professional, statutory and regulatory body

PVC Pro Vice-Chancellor

Q&S quality and standards

QA quality assurance

QAA Quality Assurance Agency for Higher Education

QAE Quality Assurance and Enhancement

QAAS Quality Assurance Agency Scotland

QEF Quality Enhancement Framework

REC recommendation

SCQF Scottish Credit and Qualifications Framework

SE Student Experience

SFC Scottish Funding Council

SHEEC Scottish Higher Education Enhancement Committee

SMOE Strategic Management of Enhancement

sparqs Student Participation in Quality Scotland

TEF Teaching Excellence Framework

T,L&A Teaching, Learning and Assessment

TLE Teaching, Learning and Enhancement

UCLT University Committee Learning and Teaching

UCQS University Committee Quality and Standards

URL uniform resource locator

VC Vice-Chancellor

VP Vice-Principal

VP Ed & Tr Vice-Principal Education and Training

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