

**Heriot-Watt University
SFC Outcome Agreement 2017/18–
2019/20**

March 2017

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STATEMENT BY THE PRINCIPAL AND VICE-CHANCELLOR

I am pleased to confirm Heriot-Watt University's commitment to this Outcome Agreement between the University and the Scottish Funding Council (SFC) on behalf of the Scottish Government. Our Agreement has taken on board a range of views and inputs from the University Court, the University Executive, the academic community, and from consultation with representatives of the Students Union and the recognised staff unions.

Heriot-Watt is an established university operating in Scottish and UK frameworks and looking to the future as a global institution. In addition to our three campuses in Scotland – Edinburgh, Scottish Borders and Orkney – we operate at campuses in Dubai and Malaysia and through our international partners and on-line learning we have substantial numbers of students on every continent of the globe. We remain proud of our strong heritage as a Scottish institution of quality and ambition and are very clearly aware of the support we receive from public funding in Scotland. We strive to sustain and enhance the contributions we make to society and the economy in Scotland, in particular to the overriding priority of economic development and growth.

These are the themes of this Agreement – the progress we have already made in opening up access to the high quality professional education we provide, together with our commitment to further advance participation; and the vital contribution our world-leading research makes to innovation and productivity in the economy, coupled with our commitment to enhance and increase the economic impact of our outputs in skills, research and enterprise.

Heriot-Watt University delivers these significant outcomes as a powerful institution in its own right while also recognising the part we play in the complex eco-systems of education, research and innovation nationally and internationally, and seeking to maximise our impact by developing our distinctiveness and playing to our strengths. It is a challenging, changing and in many ways uncertain environment but I believe that Heriot-Watt continues to adapt successfully to deliver its Strategic Plan. This sets out three main objectives as our current priorities, well aligned with the priorities of SFC and the Scottish Government:

- **Research intensification and knowledge exchange:** world-leading research in our chosen subject areas, and research performance comparable to the upper quartile of UK universities, through high quality academic recruitment, strategic investments and collaborations, and scaled-up funding strategies, linked to enhanced interactions with business and industry for innovation and wealth creation;
- **Learning, teaching and the student experience:** world-class education for modern professions, coupled with commitment to deliver an outstanding student experience, innovation in education and wider access to the Heriot-Watt experience, providing skills, developing talent and enterprise;
- **Internationalisation:** already the most distinctive feature of Heriot-Watt, we seek to accelerate the internationalisation of all our activities to become a truly global university – in the international mix of our students, our established presence in Dubai and Malaysia, our “Go Global” mobility programme to internationalise the student experience across all campuses; scaled-up worldwide educational delivery through on-line learning and local delivery partners, international research collaborations and knowledge exchange connections.

Our ambition is to be recognised as a global university developing transformational solutions to global problems.

Since my arrival as Principal and Vice-Chancellor of the University in autumn 2015, I have appreciated ever more clearly the distinctive contributions Heriot-Watt University makes to the economy and society, and the real benefits we offer to students, businesses and the many other partners we work with, in Scotland and beyond. As we navigate through a challenging environment and begin to look towards development of a renewed strategy for the next period, I am determined we should seek to increase and enhance our engagement and impact still further.

Professor Richard A Williams, OBE, FREng, FTSE, FRSE
Principal and Vice-Chancellor

April 2017

Priority 1: WIDENING ACCESS

General: Heriot-Watt is a university which is committed to rigorous selection of students on competitive merit, and is by history and ethos averse to social exclusivity and every other form of discrimination. For a university of our type, and with a recruitment catchment for Scottish students mainly in the southeast of the country, we have already made good progress towards a student profile that is socially inclusive. In particular, over the period of our previous Outcome Agreement the University achieved step changes in terms of entrants from SIMD20/40 (neighbourhoods in the 20% and 40% most disadvantaged as identified by the Scottish Index of Multiple Deprivation) and also in entrants articulating with full credit for Higher National qualifications achieved in Colleges in Scotland.

Building on our experience and track record, we will seek over the next three years and beyond to achieve further progress in all aspects of widening access, recognising the long-term aspiration voiced by the First Minister for fully “equal access” and the targets and milestones identified in the report of the Scottish Commission on Widening Access. Our next steps are expected to come through steady sustained progress rather than further step changes. Our principal strategies will continue to be:

- **effective outreach** – to target schools, colleges and communities, to increase aspiration and motivation to access Higher Education, and help applicants make informed choices and support them through the transition to university; this includes significant collaboration with other institutions, which is only likely to increase, as is focus and relationship-building on those schools and colleges where there is most synergy and mutual benefit;
- **development of contextual admissions** – recognising nuances in the achievement of formal qualifications in disadvantaged as compared with relatively advantaged circumstances, and also where appropriate other indicators of potential to excel on an individual case by case basis, in line with developing best practice in admissions;
- **“smart” target-setting** – to help ensure that all opportunities for increased access are taken and that all parts of the academic portfolio play their role;
- **appropriate support for applicants and entrants in target groups** – including expert advice and counselling services, preparatory and bridging activities where required including summer schools and enhanced induction and mentoring, and practical financial help through targeted bursaries and scholarships, both University-funded and externally financed including valuable support from the Robertson Trust.

Our strategic commitment is represented by the approval of this Outcome Agreement by the University Court and Executive, following discussion and debate that embeds access as a core issue in the University’s academic planning. Overarching the specific areas of focus on students from Scotland discussed below in response to SFC priorities, Heriot-Watt seeks to be alert and responsive to all aspects of widening access, promoting equality and diversity across its UK and international student body.

SIMD20/40: In agreeing specific targets for further increases in access in coming years, we have flagged up to SFC through Outcome Agreement discussions some key planning assumptions, relating in general to the medium-term funding environment and

more specifically to additional places becoming available within the overall quota regulated by SFC, to allow for increased access without “displacement” of other well-qualified Scottish students, which we think would be very damaging. In our scenario, the number of places assumed to become available over the next few years for additional Scottish Domiciled Undergraduate Entrants (SDUE) is at minimum in the range 100-150. This would enable the University to plan a sustained increase in SIMD20 recruitment by at least one percentage point per year on average (~15 additional SIMD20 entrants per year), increasing SIMD20 towards 15% of SDUE in five years, and thereby increasing SIMD40 to at least 30% at the same time. (The other main use of these places would be for increased articulation with Colleges, as discussed below, partly overlapping with increased SIMD20/40 recruitment.) Indicative year on year figures are shown in Annex 1, with the significant effect of the targets being apparent in a 5-year perspective:

	<u>2011/12</u>	Current <u>2016/17</u>	<u>2021/22</u>
Entrants from:			
SIMD20	~90	125	~200 (~15% of SDUE)
SIMD40 (incl MD20)	<200	310	~400 (~30% of SDUE)

The benefit gained and the leverage exercised by the University on the (80) additional funded places per year awarded by SFC for increased SIMD20/40 recruitment post-2012 is evident. The targeted growth of intakes from SIMD20 is consistent with the re-allocation of these additional places solely to SIMD20 intakes as now required by SFC.

SHEP Schools: The “Schools for Higher Education Programme” identifies around 80 secondary schools in Scotland with significantly lower than average rates of progression to HE. To avoid multiple overlapping or conflicting targets, we do not currently set specific target numbers for recruitment from these schools, but we identify a number of them as priorities for outreach - including in our vicinity Wester Hailes Education Centre, Forrester and Tynecastle High Schools - and exercise contextual admissions to the benefit of applicants from them. In Annex 1 we include forecasts for a (continuing) rise in numbers from SHEP schools as a factor in the targeted increase in SIMD20 numbers and foresee relations with particular provider schools in our region becoming strengthened.

Articulation with Scottish Colleges: Reflecting our technical and professional profile, Heriot-Watt continues to have strong demand from HN-qualified students and strong interest among Colleges in developing articulation, progression and other collaborative opportunities. Over recent years we have more than doubled fully-articulating entrant numbers from Colleges and now seek to steadily increase this very positive flow to at least 200 over the next 3-5 years. (These numbers are additional to the 60 Associate Student places per year awarded by SFC post-2012 for enhanced articulation arrangements with partner colleges, which would further boost articulating entrant numbers to over 250 students or 20% of SDUE).

	<u>2011/12</u>	Current <u>2016/17</u>	<u>2021/22</u>
Articulating entrants from Colleges:	60	135	>200 (>15% of SDUE)

In part this growth will come from fuller articulation where students are currently progressing with partial credit for HNs, and in part from new arrangements. We aim to set this target in the context of a more systematic and coherent development of

relations with Colleges in our region – Fife, Forth Valley, W Lothian, Edinburgh and Borders – with a strong emphasis on STEM and Skills, and potential for closer co-operative engagement also with schools and employers around these agenda. There is significant overlap and synergy between this target and that for increased SIMD-measured access.

Graduate Level Apprenticeships: Our Scottish student population will be further diversified from 2017 onwards, and access further widened, by the start-up of significant numbers of work-based students on new Graduate Level Apprenticeship programmes, currently supported by SDS outside SFC-reported numbers (more under Priority 2 below).

Care experience students, and other protected characteristic groups: Applicant and entrant numbers identified as care-experienced are currently low, but recognised as particularly deserving of individual attention and support in the recruitment, application and admission process and in their experience as students. Heriot-Watt delivers this tailored support effectively and is strongly committed to continue to do so. Particular attention is currently being given to overcoming perceived obstacles and possible stigma associated with disclosing “care experience” so that applicants and students can benefit from support, and to educating staff and students on the different backgrounds and types of care experience. This forms part of the development of a Corporate Parenting policy and plan with advice from “Who Cares? Scotland”. Perhaps as a result, applicants and entrants declaring care-experience increased sharply in 2016 (Annex 1) and we will continue to engage positively with initiatives to promote opportunities and address barriers in this sector, taking an active role in the educational practitioners group the Care Experience, Estranged and Carers East Forum.

Disability: we believe Heriot-Watt has a good record in facilitating study by disabled students, including where required investment in accessible laboratory facilities, and intend this to continue.

BME students: we believe the data show participation by students identifying as Black and Minority Ethnic students is relatively strong at Heriot-Watt in the Scottish context.

Mature students: we recognise that mature students (21 or more years of age on entry) are relatively under-represented at HWU. We forecast this will improve as a factor in the targeted increase in numbers articulating from Colleges.

Retention/Progression of students from widening access backgrounds and other groups is covered under Priority 2 below.

Gender balance: The University is well aware of some gender imbalance in its student population, currently 55/45 M/F, much more pronounced in some areas, and showing little sign of positive change in recent years. This of course reflects the predominance of STEM subjects in Heriot-Watt, with similar universities showing a similar imbalance (eg Loughborough), and the issues of culture change are being fundamentally addressed through constructive engagement with the Athena SWAN process (see Priority 3). Annex 2 shows the gender balance across the University’s subject areas, for undergraduate students, comparing Heriot-Watt with all other UK HEIs. This shows Heriot-Watt typically within or around the inter-quartile range of male:female distribution for our subjects, except for Chemical Engineering where the minority female group is relatively over-represented and Languages where the minority male group is relatively under-represented. The gender balance in applications, offers and acceptances is closely monitored at the subject level through the student recruitment cycle and any anomalies suggesting bias would be closely interrogated. Considerable efforts are

devoted to attracting and retaining more girls' interest in STEM subjects through a range of outreach activities from the early secondary school onwards, including the longstanding "Dragonfly" engineering programme for girls in S2, a very popular new initiative in running workshops for coding and apps building for school girls, joining the Women in Engineering Society, supporting female STEM ambassador roles, and many more.

Priority 2: HIGH QUALITY LEARNING AND TEACHING

General: The University continues to develop and deliver an agreed Learning and Teaching Strategy with four principal objectives

- o enhancing student learning,
- o reshaping the learning environment,
- o developing staff, and
- o growing and diversifying the student population.

This is supported through well developed organisational enabling themes and a set of key delivery projects. There is strong emphasis on articulating and embedding the distinctive blend of **Heriot-Watt Graduate Attributes – Professional, Specialist, Global and Creative**. There are explicit key performance indicators associated with the strategy, which map well to the metrics identified by SFC for this Priority, including significant targets for:

- o **Student Retention / Progression** (see below),
 - o **Student Satisfaction via NSS** (good),
 - o **Positive Graduate Destinations** (excellent).
- In particular, we prioritise the **Highly Skilled/Professional Employment** indicator, which has averaged over 76% of total employment over the last three years, significantly favourable to benchmark in aggregate and for all student demographics, and consistently in or around the upper decile of UK universities, which remains our target.

Our participation in the Teaching Excellence Framework (TEF) in 2017 provides another demonstration and – we hope – validation of our performance-oriented strategy. Increasingly, we seek to monitor our key indicators across relevant student demographics including wider access and protected characteristic groups, as well as across subjects, the UK and international campuses and at institutional level.

Student Retention/Progression: Recent performance on the key metric of (Year 1-2) Retention/Progression of (UK) undergraduate entrants at the University's campuses in Scotland is summarised below.

HWU Entrants in:	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>(estimate)</u> <u>2015</u>
Aggregate	93.3%	89.9%	90.4%	~90.5%
Scottish-domicile	93.3%	91.5%	89.5%	~89%
from SIMD40	89.1%	89.8%	~86%	~85%
from SIMD20	92.3%	87.5%	~86%	~85%

This suggests very limited recent overall improvement (or recovery) towards the target set in our strategic plan of at least 93%. Our continuing under-performance relative to target, including the more severe retention issues for increased numbers of SIMD20/40

wider access students, remains a major concern for Learning and Teaching strategy delivery. To focus efforts to address this concern, a new Retention Strategy was developed and agreed in 2016 with a number of important early actions are already proceeding, including

- **Personal Tutoring system:** We have introduced a new Personal Tutoring system (previously academic mentoring) with enhanced guidance, training and support for academic staff undertaking the role and increased consistency of approach across the University. New arrangements are designed to ensure early student engagement with the personal tutor and then provide a minimum set schedule of meetings throughout the academic year.
- **“Thinking of Leaving” service:** This offers guidance and support to students considering leaving the University early. The visibility of the service has been much increased and student uptake has increased by two thirds in the first semester of 2016/17 compared with the previous year. 80% of students consulting the service continue at Heriot-Watt.
- **New Student Induction:** A new model of Induction has been developed, drawing on sectoral and institutional best practice, to ensure student integration in the crucial first weeks, and to promote development of a range of student social networks. The model will be fully rolled out in autumn 2017.

Further developments will be enabled from 2018 when enhancements of our student records information systems will allow more detailed analysis and proactive intervention. Supplementing these approaches, which benefit all students, the Student Induction and Transition Office, established in 2013 to support the recent growth in wider access numbers, helps sign-post, tailor and personalise services to students from diverse backgrounds. A recent initiative is a short Summer School immediately before Freshers Week offered for entrants from SIMD40, SHEP schools, mature students from SWAP, College articulation students, care leavers, carers and others to give a headstart in developing new academic skills and provide an early opportunity to find out about available support and resources.

Indicators of student retention are monitored quarterly by the University’s Learning and Teaching Board. Our Year 1 to Year 2 retention / progression target remains at least 93% in aggregate and for all student demographics including students from wider access backgrounds.

Development of the curriculum for employment and the economy, focus on STEM:

Professional relevance, effectiveness and readiness are key qualities of a Heriot-Watt education in all subjects. The majority of our degree programmes are accredited by the relevant professional bodies, and all subject areas and many individual programmes benefit from industry advisory boards which embed engagement between academics and employers deep in ongoing curriculum development. Many Heriot-Watt staff work with industry sector groupings important to Scotland, from Chemical Industries to Financial Services, and closer working in recent years with Colleges in Scotland has brought increased awareness of and responsiveness to regional economic and skills issues, as formally articulated through the Skills Investment Plans. Development of digital skills is pervasive in STEM and non-STEM provision. Major new initiatives in enterprise education are currently being developed (see also Priority 4), one early

example being the new MBA focused on entrepreneurship, which provides access to top business leaders, visits to 20 companies, and allocates each student a personal business mentor to help prepare an expert peer-vetted investor-ready business plan. Starting in autumn 2017, this programme will run 10 months in Edinburgh and 6 weeks in Dubai.

STEM provision typically accounts for 55-60% of our student numbers at both undergraduate and taught postgraduate levels (and significantly more for research postgraduates). We expect to maintain this strong focus on STEM for the foreseeable future. A significant new initiative in STEM teacher education is progressing in collaboration with Stirling University, with support from Scottish Government and SFC. From 2016 we offered two new joint degrees in Chemistry and Physics with Professional Education, integrating teaching of the STEM subjects at Heriot-Watt with teacher education at Stirling, and from 2017 the model will extend to two further joint degrees with Professional Education - in Engineering and Technology for secondary school teaching, and in General Science for primary school teaching.

Work-related Learning: Work-related learning through industry-relevant projects and case studies is already widespread throughout Heriot-Watt provision. Opportunities for high quality work placements and internships as part of programmes are increasing. One notable example is the PwC Actuarial Flying Start programme which offers, uniquely to Heriot-Watt's Actuarial Science students, two 6-month paid work placements with PwC worldwide during Years 3 and 5

Graduate Level Apprenticeships: HWU is working closely with Skills Development Scotland in the development of national frameworks for GLAs in a number of subjects and will be responsible for running a major share of the first round of "pathfinder" GLA programmes starting in 2017 in Engineering Design and Manufacturing, Software Development, and IT Management for Business, with others programmes expected to follow soon. The GLAs will develop and deliver new models of intensively work-based learning for student-apprentices and employers. We see fully work-based learning as represented by the GLA model as an important extension of our portfolio in itself, which will also provide new thinking and new opportunities for increased work-related content and experience across the wider curriculum.

Internationalising the student experience: The Heriot-Watt student experience is also characterised by an international ethos throughout the University. At nn% of the population, the proportion of students at the Scottish campuses who are from outside the UK is among the highest in Scotland and contributes to the experience of studying and living in a vibrant multi-cultural environment with participation from a diverse range of countries and cultures. A number of undergraduate programmes in the sciences and business as well as languages include a year abroad at high quality partner universities across N America, Australia, Europe, India and China, typically involving around 150 outwardly mobile students per year. A recent addition to the portfolio is an undergraduate degree in International Business and Management with Chinese Language. This includes student exchanges with Tianjin University of Finance and Economics, our partner in The Scottish Confucius Institute for Business and Communication, which makes available Chinese language learning for all Heriot-Watt students and staff as well as other clients, as part of its mission to foster education and research links between Scotland and China in management education and translating and interpreting.

Additionally, from 2015/16, the **Heriot-Watt University “Go Global” programme** has promoted opportunities for our students to move freely among the Heriot-Watt campuses in Scotland, Dubai and Malaysia for a semester, a full year of study, or longer. In the first year alone over 100 students took the opportunity, about a third being outwardly mobile from Scotland, with indications of increased interest and take-up in the current year. We see the international multi-campus basis of Heriot-Watt offering perhaps unprecedented opportunities to realise scaled-up international student mobility, making the experience of study abroad a reality for any Heriot-Watt student who wishes it, with obvious benefits for personal development and graduate employability. We are promoting this as a valuable and distinctive feature of studying at Heriot-Watt and are providing where required, eg in some cases for students from wider access backgrounds, additional support including financial assistance to help students take the opportunity.

Priority 3: WORLD-LEADING RESEARCH

The University continues to develop and deliver the Research Intensification strategy set out in our Strategic Plan 2013-18.

REF2021: Building on our REF2014 success we have now begun preparing for REF2021. Recognising the benefits of joint submission supported through research pooling, we intend to build on this strategy and are actively discussing this with the University of Edinburgh. Opportunities to extend this strategy through joint submissions in additional Units of Assessment and with other partners are also under consideration. Underpinning this strategy is a continuing commitment to our Research Intensification plans supported by the strategic research and innovation initiatives below.

Sir Charles Lyell Centre for Earth and Marine Technology: Having now completed the building and initial recruitment phase for the Centre, work has now begun on scoping the second and third phases of academic recruitment in support of the initiative. These phases are targeted at strengthening the growing synergies between the University and the British Geological Survey. Further support in equipping the Centre was received from the OGA (spell out) in the form of a £700k award to create a state-of-the-art 3D visualisation facility. Those recruited to date have been very active and developing research proposals and we remain broadly on track to achieve the research growth targets we set ourselves. In the related activities, our Natural Environment Research Council UK Doctoral Training Partnership in Oil and Gas has received a one year extension (the only NERC DTP to receive an extension) and our Shell Centre for Exploration Geoscience has received a positive review and we are hopeful of a positive outcome on our proposed extension for this initiative.

Robotics and Autonomous Systems: Our vision in creating, with Edinburgh University, The Edinburgh Centre for Robotics, is proving to be of major benefit with Robotics emerging as a major regional strength in the Edinburgh and Southeast Scotland Science and Innovation Audit and a major theme in the recently announced Industrial Strategy Challenge Fund. As a consequence we have been invited to strengthen this component of the Edinburgh and South East Scotland Region City Deal. This is currently work in progress with an initial indicative the request for capital investment of the order of £30m. If this funding is made available we aim to expand our academic base in this and related areas through recruitment into Schools of Engineering and Physical Sciences and Mathematics and Computer Science.

Resilient infrastructure: A further initiative aligned with the proposed Industry Strategy Challenge Fund is our plan to grow research capability in resilient infrastructure research, where we have discussions underway with potential industry partners to co-invest in this initiative.

Demonstrating Sustainable Island Futures: Plans to secure additional investment in our Orkney campus are in hand with discussions ongoing with HIE and other potential funders. The focus of this initiative will cover: sustainable energy, aquaculture, marine conservation and cultural heritage.

Global Challenge Research: Building on our international positioning in Dubai (UAE), Putrajaya (Malaysia) we have developed a new challenge-led interdisciplinary research programme aligned to three global research themes of Sustainable Energy, Digital Transition and Resilient Communities. These themes have been chosen to contribute to the delivery of the United Nations Sustainable Development Goals and to build on our research strengths in energy, photonics, laser manufacturing, mathematics, water management and social policy.

The initiative will also be supported by development of new strategic relationships with other like-minded international universities and we are in discussions with potential partners in the Middle East, South East Asia and Australia.

Research Income: We have continued to make steady progress in the last two years after previous rapid growth. Research income in 2015/16 reached £33.2m and we target continuing growth over the period of this new Outcome Agreement. UK and international business and industry (>35%) and the EU (11%) are major sources second to the UK Research Councils (>40%), where we are making appreciable advances in NERC and MRC funding in addition to established strength with EPSRC. Medium/large-scale strategic and often collaborative awards are increasingly important including leadership of four new research training initiatives – EPSRC Centres for Doctoral Training in Robotics, in Photonics, and in Mathematics, and the NERC Doctoral Training Partnership for Oil and Gas; and participation in three further EPSRC CDTs (Continuous Manufacturing, Condensed Matter Physics and Embedded Intelligence). In the EPSRC grand challenge funding for research in Quantum Technologies announced in late 2014, Heriot-Watt is a large part in Scotland's relative success, with Heriot-Watt physicists playing major roles in two of the four UK collaborative hubs, securing some £4 million future research funding.

Uncertainties around BREXIT are a concern for continuity of funding from EU sources in the medium term, however, recently announced initiatives, such as, the Global Challenges Research Fund and the Industry Strategy Challenge Fund provide new opportunities. Given our international foot print the GCRF provides an opportunity that we are currently actively pursuing with international stakeholders and collaborators in target countries.

We anticipate that the Industry Strategy Challenge Fund will form an important component of research income in future years. Our staff are engaged in influencing how this funding will be used in areas of importance to the university including robotics, energy and sustainability, and quantum technologies.

Postgraduate research students: Research student numbers have grown substantially over the period of the previous Outcome Agreement, thanks to investments including James Watt Scholarships and more recently to outstanding success in securing

participation and often leadership in EPSRC, NERC and ESRC Doctoral training centres as referred to above. This is indicative of the high quality environment Heriot-Watt provides for research training in our areas of world-leading research strength. We now have a vibrant community of some 800 doctoral students and envisage slower growth or consolidation to sustain this critical mass as earlier years' increases in student numbers feed through to increases in doctoral output.

Research Integrity Concordat: The University is cognisant of the UK research funders' Research Integrity Concordat published in 2012 and we continue to develop our practices and structures, guided by the Research and Knowledge Transfer Board and (Research) Ethics Committee, in accord with the Concordat. In 2016, we again achieved renewal of the **HR Excellence in Research** award, which represents best practice in development of research careers and in particular gives effect to the Concordat for Postdoctoral Research Assistants, through promoting awareness of and engagement with development opportunities for PDRAs and research supervisor development for all levels.

Crucible: This is a professional and personal leadership and development programme, spanning all academic disciplines, designed to enable early career academics (and equivalents in research institutes and SMEs) to come together to explore and develop their creative capacity and problem-solving potential. Scottish Crucible is led and managed by Heriot-Watt with financial support from SFC, Scottish Government and the host HEIs. Since 2009 the alumni network of >150 individuals have created over 30 interdisciplinary / cross-institutional research endeavours, with Scottish Government supporting additional 'Projects for Scotland'. Heriot-Watt has also developed an institutional version of Crucible maintaining the same quality of provision that includes participation from our local strategic research partners, Edinburgh University, British Geological Survey, the Moredun research institute, and the firms Selex and Renishaw.

Women in STEM Subjects / Athena-SWAN: Heriot-Watt is strongly engaged with the Athena SWAN Charter process, which recognises and encourages commitment to combating the under-representation and advancing the careers of women in STEM research and academia. The crucial step of securing the Athena-SWAN Bronze Award for the University was achieved in autumn 2013, and all STEM schools, comprising 80% of our academics, now also have the Bronze Award. Work continues to deliver the action plan, including senior strategic leadership by a Deputy Principal and operational management by a dedicated team to manage the process under the guise of the University-wide "Doing things differently" campaign. Our application to renew our University level Bronze Award was submitted in late-2016 with the result due to be announced in April 2017. We aim to build on the renewed institutional Bronze Award with applications for Silver Award in our two largest STEM schools, which are currently preparing their cases.

Since the base-line identified in the 2013 Athena SWAN Award, there has been a 21% increase in female academics. Among specific supporting actions now in place are improved support for maternity returners; job adverts are checked for gendered language; a new mothers room for breastfeeding has been opened; paid time off is available for fathers to accompany partners to antenatal appointments; career planning including reference to equality and diversity issues is included in the PDR process for all staff and promotion briefing sessions, also including equality and diversity issues, are held for both academic and professional services staff. Further information on developments in Equality and Diversity is included under Priority 5.

Public and Cultural Engagement is important to our mission to create and exchange knowledge for the benefit of society. “Heriot-Watt Engage” promotes, stimulates and supports engagement activities by our research community. Recent examples include:

RSE Prize for Public Engagement: Dr Helen Bridle won the prize for her innovative and original contributions as an ambassador for (young women) in engineering.

Famelab 2017 is the biggest science communications competition in the world for scientists to share their enthusiasm with the public. We hosted the local and Scottish heats.

Explorathon 2016: European Researchers' Night involves academics, school pupils and the public across Europe showcasing innovative and developmental research. On 30 September 2016, academics and researchers from across the Scottish Universities shared their research with the public in a diverse range of locations. In Edinburgh, we linked with Leith Labs for a two-day extravaganza of science demonstrations, roaming scientists and science-art workshops. With the City of Methodist Church, the Curiosity Forest returned, with art and research-inspired activities in a beautiful indoor woodland!

Priority 4: CONTRIBUTION TO GREATER INNOVATION IN THE ECONOMY

The University has recently appointed a new Deputy Principal for Enterprise and Business to strengthen and accelerate our approach to working with business, industry and the public sector to find innovative solutions to supporting economic growth and societal impact. The University's activities, as part of delivering our Strategic Plan for research intensification and knowledge exchange, map directly on to many SFC initiatives and are well aligned with both the Scottish Government Economic Strategy and the developing UK Government Industrial Strategy. Among the key building blocks of our enterprise and business strategy will be:

- Establishing a **flagship Discovery and Innovation Building (D&IC) opening Jan 2019**, that will drive demand for engagement from business and public sector for University services. This will provide a centre for creativity and idea generation to help identify and address key societal and business challenges. This environment will provide opportunities to create accelerated engines of growth for the economy, developing excellence in areas of technology and business, and stimulating wider co-innovation from enterprising individuals and businesses not normally connected to academia. The Heriot-Watt D&IC will act as a focal point for working with Scotland's Enterprise Agencies, Scottish Government and business networks, Interface and others. Heriot-Watt's engagement with the **Scottish Innovation Centres, Interface and other initiatives** will lead to at **least 20 new innovation projects with Scottish SMEs** that leverage R&D funding from Scottish, UK or EU sources.
- Design and delivery of an integrated Enterprise eco-system for students, staff and alumni including a new **strategy for enterprise learning** across the university. Heriot-Watt Entrepreneurism will be inclusive, developing new strategies to support female scientists or women who may be under-represented in or are discouraged by male dominated groups. We will investigate the feasibility of a “women only” enterprise and entrepreneurship group and share our learning with the Scottish HEI sector and beyond. Heriot-Watt Entrepreneurism will be multi-disciplinary; where possible we will bring together STEM and non-STEM entrepreneurs (Humanities, Arts, Social Sciences) to develop cross cutting innovative ideas with potential to become Scottish companies that seek investment, offer employment opportunities or export internationally.

- In support of our **Universities Innovation Fund (UIF) proposal**, developing our existing, and realising new, **Strategic Partnerships** with supply chains to develop a culture of open demand-led innovation. Our ambitions include leveraging private sector support from large organisations to foster SME growth in the supply chain. There will be particular focus on the development of SME supply chains and scale-up centres around the strategic themes of Digital, Robotics, Manufacturing, Rail and Sustainable Energy.
- Within UIF priorities, Heriot-Watt will **lead on internationalisation**, promoting and engaging Scotland internationally. In partnership with key stakeholders nationally and internationally, Heriot-Watt will share best practices across the HEI network. We will maximise our global reach through our international campuses to support SMEs and partners to benefit from internationalisation and exports.
- Energising our **Edinburgh Research Park**, we will showcase innovation and enterprise activities with business and leverage our knowledge assets to attract inward investment to Scotland and generate business growth through stronger alignment to the research and teaching base.

In relation to the **Innovation Scotland Action plan**, Heriot-Watt will:

- as chair of www.universitytechnology.com (UT) steering group, work with Interface, HEIs and agencies to ensure the UT webportal is the “first point” of access to University research & facilities for Scottish SMEs and International businesses
- continue to promote easy-access IPR initiatives through UT web portal; investigate the appropriateness of our university/ Industry IPR models in key areas and where possible further simplify these or adopt an “Open Innovation” type approach
- actively contribute to ensuring that contracts with Scottish SMEs are delivered through standardised template agreements.

In collaboration with others Heriot-Watt will:

As a leading Knowledge Transfer Partnership (KTP) practitioner and chair of East KTP centre steering group, Heriot-Watt will **drive SME growth through the KTP programme** and lead on delivery of a marketing plan to increase the uptake of KTPs by Scottish companies. This will include deeper engagement with centre partners and greater promotion of the benefits of KTP to both academics and Industry through seminars, industry days etc. In addition, under UIF, we will look to collaborate with the west and north Scotland KTP centres and implement standardised KTP contracts across Scotland.

Within our UIF proposal, we will support an **integrated “enterprise landscape”** across Scotland through continued hosting of **CONVERGE Challenge** and ensure delivery of targets for new company incorporation. We will:

- Use CONVERGE as an exemplar of “best practices” in company creation for Scotland
- Collaborate with SE High Growth to develop “High growth Companies”, ensuring that the Heriot-Watt current pipeline of 4 projects achieve investment, and reviewing best practice with HEIs/ SE HGSP to pilot new mechanisms in company creation from the academic base.

- Strengthen relations with Scottish Institute for Enterprise, Enterprise Campus, Heriot-Watt Academic Learning & Development, investors & Converge Challenge to develop HWU as a hub for student and staff enterprise within Scotland.

We will add value to the innovation landscape through strategic engagement with the Scottish Innovation Centres including:

- **Aligning our business development managers** to each of the Scottish Innovation Centres, to act as primary points of contact for all collaborations / industry contacts
- **Supporting Innovation Centre events** across Scotland and host at least one Innovation Centre event at a Heriot-Watt campus
- Continuing as **administration hub for Oil & Gas Innovation Centre (OGIC)**
- **Supporting co-located IBio-IC staff** within the FLEXBIO facility at Heriot-Watt
- **Managing the Textile Futures Forum program** on behalf of SFC to deliver the portfolio of R&D projects underway with Scottish SMEs.

Priority 5: HIGH PERFORMING INSTITUTION

Governance: The University operates in compliance with the Scottish Code of Higher Education Governance and aims to achieve best practice in all aspects of its governance. A full Corporate Governance Statement is to be found in the University's latest Reports and Financial Statements (<http://www.etc.etc>). A significant recent development is the enactment in 2015/16 of new Charter and Statutes following a substantial review completed in 2014. The new Charter and Statutes reflect the character of the University as a complex international body, they are cognisant of the requirements of the Scottish Code as well as relevant legislation such as the Charities and Trustee Investment (Scotland) Act, and they provide a high degree of clarity around the respective powers, functions and responsibilities of the Court and Senate. Further developments include:

- mid-point effectiveness reviews undertaken of Court and Senate;
- a Global Student Liaison Committee established;
- new Court Standing Orders approved and implemented in accordance with the Scottish Code;
- agenda, paper and minutes of Court made public through our Freedom of Information Publication Scheme, unless exempt;
- pre-Court dinners introduced each with a themed discussion topic to enhance Court members' involvement, knowledge and understanding of important current University issues;
- approval of a new Policy on Court and Court Committee Membership – stipulating requirement in relation to new appointments, induction, training and development for members, and procedures relating to review, renewal and removal of members. This new policy is relevant to a number of requirements in the Scottish Code.

With regard to Equality and Diversity, the University has taken particular steps when advertising independent lay member vacancies on Court, or when publicising forthcoming vacancies in elected member categories, especially to encourage applications or nominations from female candidates and those from diverse backgrounds. As at March 2017 female members account for 54% of the appointed lay membership of Court and 50% of the total current membership.

Of the 13 members of the University Executive in the UK, as at March 2017 there are six female members.

Value for money and impact for public investment received: In addition to our own strong focus on achieving value for money and increasing efficiency, Heriot-Watt is a willing partner in relevant collaborative initiatives that advance efficiency and effectiveness in the HE (and FE) sector in Scotland. Significant new and established academic collaborations in teaching and research with Scottish institutions are referred to throughout this document. A number of service collaborations are in operation or currently being explored and developed, in particular in the ICT arena in areas such as disaster recovery and cyber security.

At 20.7% in 2015/16, SFC grant funding to Heriot-Watt as a proportion of the University's total income is one the smallest proportions among the universities in Scotland. Expressed in terms of total funding from the Scottish "public purse", ie SFC grant funding plus tuition fees paid by SAAS, the figure for Heriot-Watt is 25%. Thus the University demonstrably generates a high degree of leverage on the public funding received.

During 2017 we will complete and publish a refresh of the Economic Impact Assessment of the University's operations, last undertaken in 2011/12, which will update on the scale and nature of Heriot-Watt's enormous economic impact on the nation and region.

Equality and Diversity: Heriot-Watt University is cognisant of and strongly committed to fulfilling the duties of the Equality Act 2010, in summary requiring public bodies to give due regard to:

- eliminating unlawful discrimination,
- advancing equality of opportunity, and
- fostering good relations on the basis of protected characteristics.

In the context of preparing our Equality Outcomes 2017-21, the University has recently reviewed the substantial progress achieved through our Equality Outcomes 2014-17, "A Culture of Inclusion for All", in particular in terms of improved systematic information gathering and publication, the embedding of Equality Impact Assessment, and capacity building to advance inclusion, as well as a number of specific interventions including flexible working and learning and increasing diversity of participation in many aspects of University life. Equality and Diversity considerations are now explicitly addressed in the Terms of Reference of all University Committees. We are now in the process of securing final approvals of our Equality Outcomes 2017-21, developed through the Equality and Diversity Advisory Group (EDAG) with staff and student representation and extensive consultation. The Equality Outcomes will, firstly, underpin our next steps in delivery of the Public Sector Equality Duty. Key aspects on which we are now working are the production and publication of an Equal Pay Statement and of a "Mainstreaming Report" to help give shape and cohesion to our equality and diversity activities and embed them throughout the life and work of the University. In addition to our legal obligations in the continuing development of our policies and ongoing enhancement to disclosure, recording and reporting, a number of interventions are planned for 2017-19 including increased use of sign language, provision of more disabled car parking, development of staff LGBT, BAME and Disability networks and support for student Liberation Groups related to Protected Characteristics.

Our engagement with the Athena SWAN Charter to combat the under-representation of women and advance the career opportunities of women in STEM research and academia is described under Priority 3 above.

Environmental Sustainability: The University's Outcome Agreement in 2016 summarised our draft Carbon Management Plan to 2019/20 which has now been approved and adopted (<https://www.hw.ac.uk/documents/carbon-management-plan.pdf>) with the headline target of a 15% absolute reduction in greenhouse gas emissions between the base-line year 2014/15 and 2019/20, to be achieved in the context of substantial growth of the University's estate of over 50,000 m² during 2015/16 and 2016/17.

<u>Sources</u>	<u>Emissions Scopes</u>	<u>Baseline tCO₂e (2014/15)</u>	<u>Reduction %</u>
Electricity, Gas, Other Fuels, Waste, Water, Travel	All	21,584	15.0

Emissions performance under the Plan will be reviewed annually, with an additional stretch target being established should the main target be achieved early. Emissions were baselined and will continue to be measured under the process underpinning the University's "Public Bodies Climate Change Duties" reporting.

The University is currently implementing the initial projects on the CMP and developing second round projects. In 2016/17 these have included numerous LED lighting and plant insulation projects completed under the University's Energy Efficiency Recycling Fund (Salix Fund).

Significant progress towards reducing emissions in the medium term, in support of the Scottish Government's 66% emission reduction target for 2032, will require further action to reduce emissions associated with space heating and energy loss from building fabric elements. In late 2016 the University commissioned, with the assistance of Resource Efficient Scotland, a scoping exercise assessing the viability of key low-carbon heating technologies at the Edinburgh Campus. Feasibility exercises to investigate the potential for a gas-fired CHP-based heat network at the Edinburgh Campus had been completed in recent years, but the rapid rate of decarbonisation of grid electricity is likely to quickly erode the carbon reduction benefit of gas-fired CHP and the University is therefore presently investigating alternative technologies. An example is provided by recent work with a prominent renewable heat technology provider during the development of an application (made in November 2016) to the Transformational Low Carbon Infrastructure Demonstrator programme managed by the Scottish Government's Low Carbon Infrastructure Transition Programme. The proposal offered a potential route to the installation of a district heat network at the Edinburgh Campus, supplied via water-source heat pumps. While it was not ultimately possible to implement the project (due to technical and commercial constraints in association with deadlines under the LCITP programme) the University remains actively engaged in investigating approaches to transition from fossil-fuel based heating and achieve a step-reduction in emissions associated with heating the Edinburgh Campus.

Annex: Heriot Watt University summary of baselines, milestones and targets
 (* denotes priority measure)

	2014-15 baseline	2016-17 estimate	2017-18 milestone	2018-19 milestone	2019-20 aspiration	
Priority 1: Widening access – learning that is accessible and diverse, attracting and providing more equal opportunities for people of all ages, and from all communities and backgrounds						
Measure 1: Articulation - The number and proportion of Scotland-domiciled learners articulating from college to degree level courses with advanced standing						
Scotland-domiciled HN entrants from college to UG programmes	278	280	280	280	280	*
Scotland-domiciled HN entrants from college to UG programmes with advanced standing	114	135	150	165	180	*
Proportion of Scotland-domiciled HN entrants articulating with Advanced Standing	41.0%	48%	54%	59%	64%	*
Measure 2: Deprivation - The number and proportion of Scotland-domiciled undergraduate entrants from the 20% and 40% most deprived postcodes						
Total number of SDUEs with known postcode	1171	1275				*
2a: SDUEs from 20% most deprived postcodes	137	125	140	155	170	*
2b: SDUEs from 40% most deprived postcodes	337	310	325	340	355	*
2a: Proportion of SDUEs from 20% most deprived postcodes	11.7%	10%	~11%	~12%	~13%	*
2b: Proportion of SDUEs from 40% most deprived postcodes	28.8%	24%				
Measure 3: SHEP Schools - The number and proportion of Scotland-domiciled undergraduate entrants from the SHEP schools (i.e. schools with consistently low rates of progression to higher education)						
Total SDUEs	1175					
Number of SDUEs from SHEP schools	72		75	80	85	
Proportion of SDUE from SHEP Schools	6.1%					
Measure 4: Protected Characteristics - The number and proportion of Scotland-domiciled undergraduate entrants by different protected characteristic groups and care leavers						
Gender						
Number of Male SDUEs	663					
Number of Female SDUEs	512					
Number of Other SDUEs	0					
Male Proportion	56.4%					
Female Proportion	43.6%					
Other Proportion	0.0%					
Age						
Number of Under 21 SDUEs	964					
Number of 21 and over SDUEs	211					
Under 21 Proportion	82.0%					
21 and over Proportion	18.0%					
Ethnicity						
Number of White SDUEs	1059					
Number of BME SDUEs	107					
Number of SDUEs with unknown Ethnicity	9					
Proportion - White	90.1%					
Proportion - BME	9.1%					
Proportion - Other	0.8%					
Disability						
Number - No Known Disability	1048					
Number - Disability	127					
Number - Not known/refused	0					
Proportion - No Known Disability	89.2%					
Proportion - Disability	10.8%					
Proportion - Not known/refused	0.0%					
Care Leavers						
Number - Care Leaver	1	5	5	>5	>5	*
Number - Not a Care Leaver	1174					
Proportion - Care Leaver	0.1%					*

Annex: Heriot Watt University summary of baselines, milestones and targets
 (* denotes priority measure)

	2014-15 baseline	2016-17 estimate	2017-18 milestone	2018-19 milestone	2019-20 aspiration
Priority 1: Widening access – learning that is accessible and diverse, attracting and providing more equal opportunities for people of all ages, and from all communities and backgrounds					
Measure 5: Retention by Protected Characteristics - The number and proportion of full-time first year Scotland-domiciled entrants from different characteristic groups returning to study in year two					
Deprivation					
MD20 full-time first year SDUE	120				
MD20 full-time first year SDUE Retained	105				
Proportion MD20 retained	87.5%		>87.5%	>88%	>90%
MD20/40 full-time first year SDUE	315				
MD20/40 full-time first year SDUE Retained	283				
Proportion MD20/40 retained	89.8%				
Gender					
Male entrants	779				
Males Retained	701				
Proportion of Males retained	90.0%				
Female entrants	592				
Females Retained	553				
Proportion of Females retained	93.4%		>93%	>93%	>93%
Age					
Under 21 Entrants	1124				
Under 21s Retained	1033				
Proportion of Under 21s retained	91.9%				
21 and over Entrants	247				
21 and over Retained	221				
Proportion of 21 and over retained	89.5%		>89.5%	>90%	>90%
Ethnicity					
Entrants - White	1233				
White - Retained	1127				
Proportion retained - white	91.4%				
Entrants - BME	132				
BME - Retained	122				
Proportion retained - BME	92.4%		>92.5%	>92.5%	>93%
Entrants - Ethnicity not known	6				
Not known/refused - Retained	0				
Proportion retained - Ethnicity not known	83.3%				
Disability					
Entrants - No Known Disability	1232				
No Known Disability - Retained	1126				
Proportion retained - No Known Disability	91.4%				
Entrants - Disability	139				
Disability - Retained	128				
Proportion retained - Disability	92.1%		>92%	>92.5%	>93%
Entrants - Not known/refused	0				
Not known/refused - Retained	0				
Proportion retained - not known/refused					
Care Leavers					
Entrants - Care Leavers	3				
Care Leavers Retained	3				
Proportion retained - Care Leavers	100.0%		100%	100%	100%

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Annex: Heriot Watt University summary of baselines, milestones and targets

(* denotes priority measure)

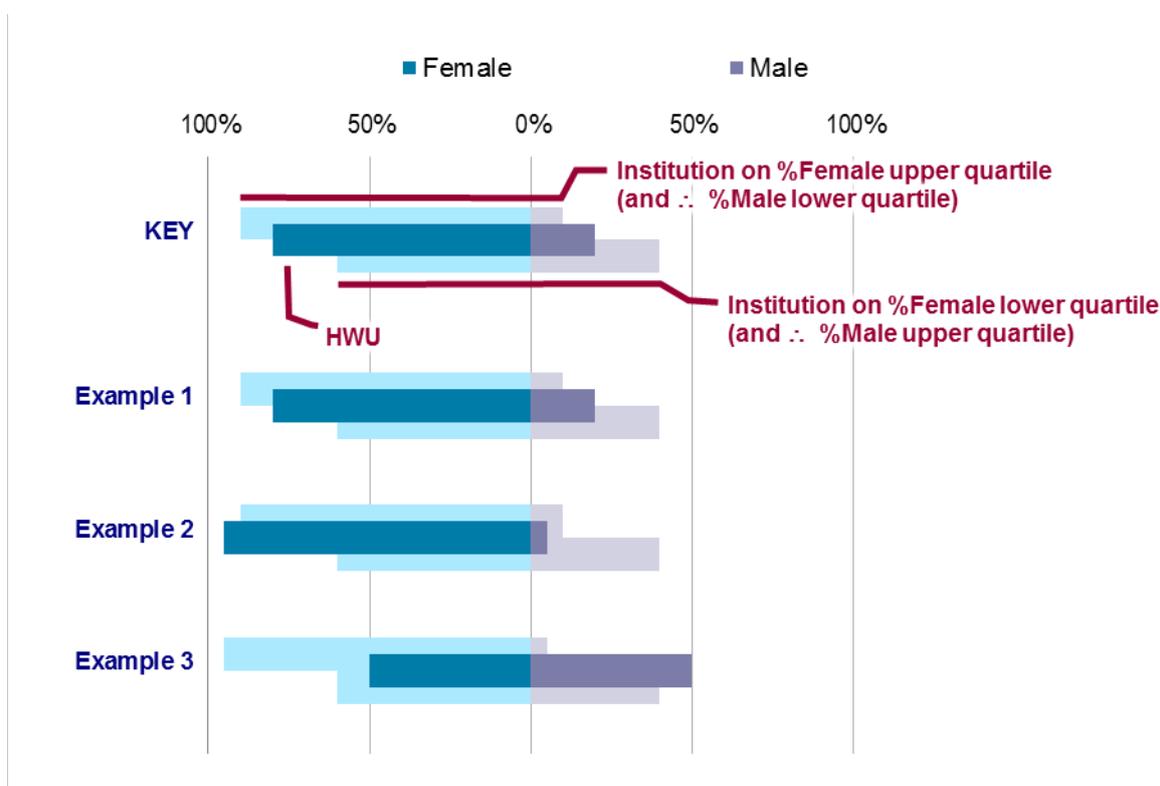
	2014-15 baseline	2016-17 estimate	2017-18 milestone	2018-19 milestone	2019-20 aspiration
Priority 2: High quality learning and teaching – an outstanding system of learning that is accessible and diverse where students progress successfully with the ability, ideas and ambition to make a difference					
Measure 6: Retention - The number and proportion of full-time first year Scotland-domiciled undergraduate entrants returning to study in year two					
Total number of full-time first year SDUE	1371				
Number of full-time first year SDUE retained	1254				
Proportion retained	91.5%		>91.5%	>91.5%	>93%
Measure 7: Satisfaction - The difference (+/-) from the individual institution's benchmark figure for students satisfied with the overall quality of their course of study in the National Student Survey					
% Satisfaction	89		>90%	>90%	>91%
Measure 8: STEM - The number and proportion of Scotland-domiciled undergraduate entrants to STEM courses					
Proportion of SDUE to STEM courses	62.1%		>60%	>60%	>60%
Number of SDUEs to STEM courses	730				
Measure 9a: Graduate Destinations - The number and proportion of Scotland-domiciled graduates entering positive					
Eligible population	560				
Proportion of graduates in positive destinations	94.3%		>95%	>95%	>95%
Number of graduates in positive destinations	528				
Measure 9b: Graduate Destinations - The number and proportion of Scotland-domiciled graduates entering professional					
Eligible population	tbc				
Proportion of graduates in professional occupations	tbc				
Number of graduates in professional occupations	tbc				
Priority 3: World-leading research – world-leading universities, nationally and internationally connected with a global reputation for their research					
Measure 10: The number of research postgraduate students					
RPG students	800		>800	>800	>850
Measure 11: Total income from the UK Research Councils					
RCUK income	£12,344k		>£12,500k	>£12,500k	>£12,500k
Measure 12: Total research income from all sources					
Research income	£29,556k		>£30,000k	>£31,000k	>£32,000k
Priority 4: Greater innovation in the economy – a national culture of enterprise and innovation leading to a more productive and sustainable economy					
Measure 13: IVs - The number of SFC innovation Vouchers (IVs), Follow-on IVs and H2020 IVs					
Innovation Vouchers (IVs)	10		>10	>10	>10
Follow-on IVs	0				
H2020	0				
Measure 14: UIF - Individual HEI UIF progress measures and sector wide reporting					
For 2017-18 institutions are asked to provide a narrative on progress with their contribution to University Innovation Fund priority outcomes (these will be identified during consultation with the sector during the latter part of 2016 and signed off by the SFC's Research and Knowledge Exchange Committee by January 2017)					
Priority 5: High-performing institutions – a coherent system of high-performing, sustainable institutions with modern, transparent and accountable governance arrangements					
Measure 15: Carbon - Gross carbon footprint (3-year period)					
Tonnes CO2e	tbc				

Annex 2 HWU Gender by Subject compared to UK Sector Quartiles

The compound bar chart on the following page compares the breakdown of a HWU subject with those of the institutions on the Upper and Lower Quartiles of the sector as a whole, based on the ranking of %Female and % Male.

As shown in the key below, there are three bars for each subject:

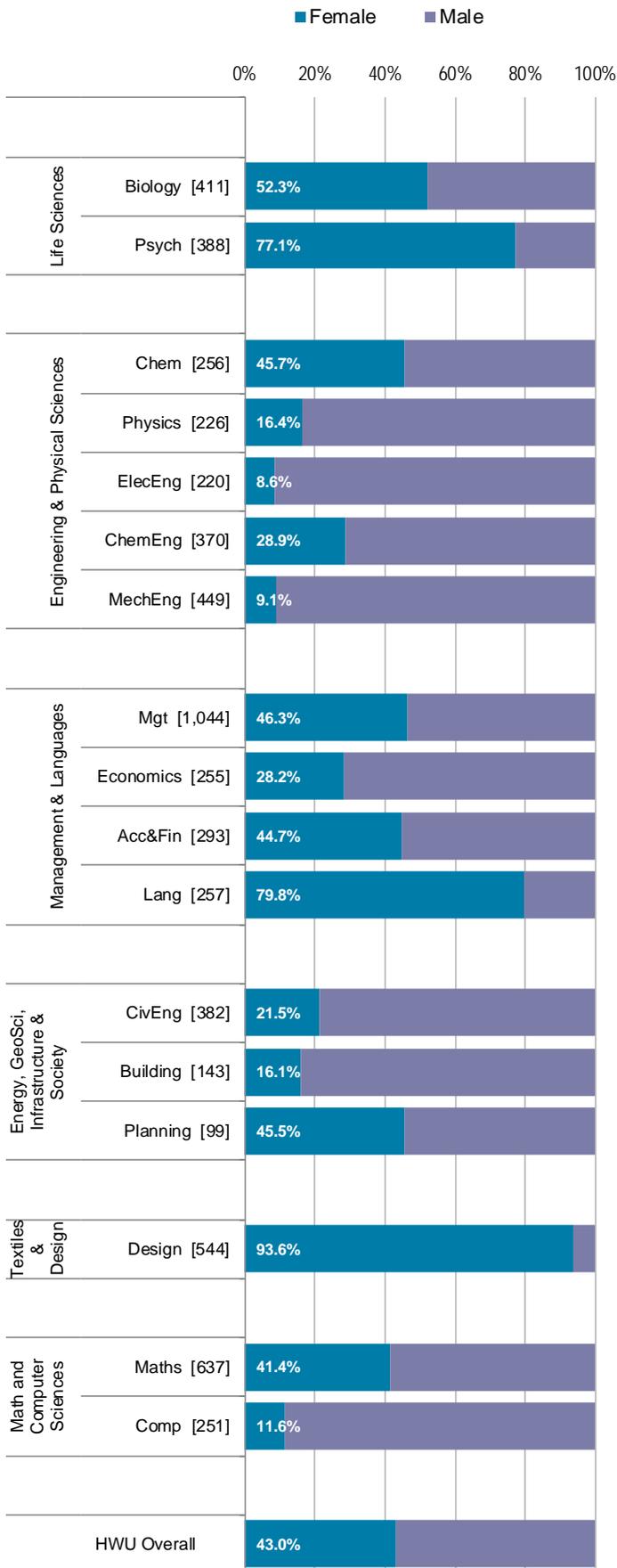
- the top bar shows the %Female and %Male for the institution on the %Female upper quartile (which is therefore also on the %Male lower quartile, by reciprocation)
- the middle bar shows the %Female and %Male for HWU
- the bottom bar shows the %Female and %Male for the institution on the %Female lower quartile (which is therefore also on the %Male upper quartile, by reciprocation)



In terms of reading the charts:

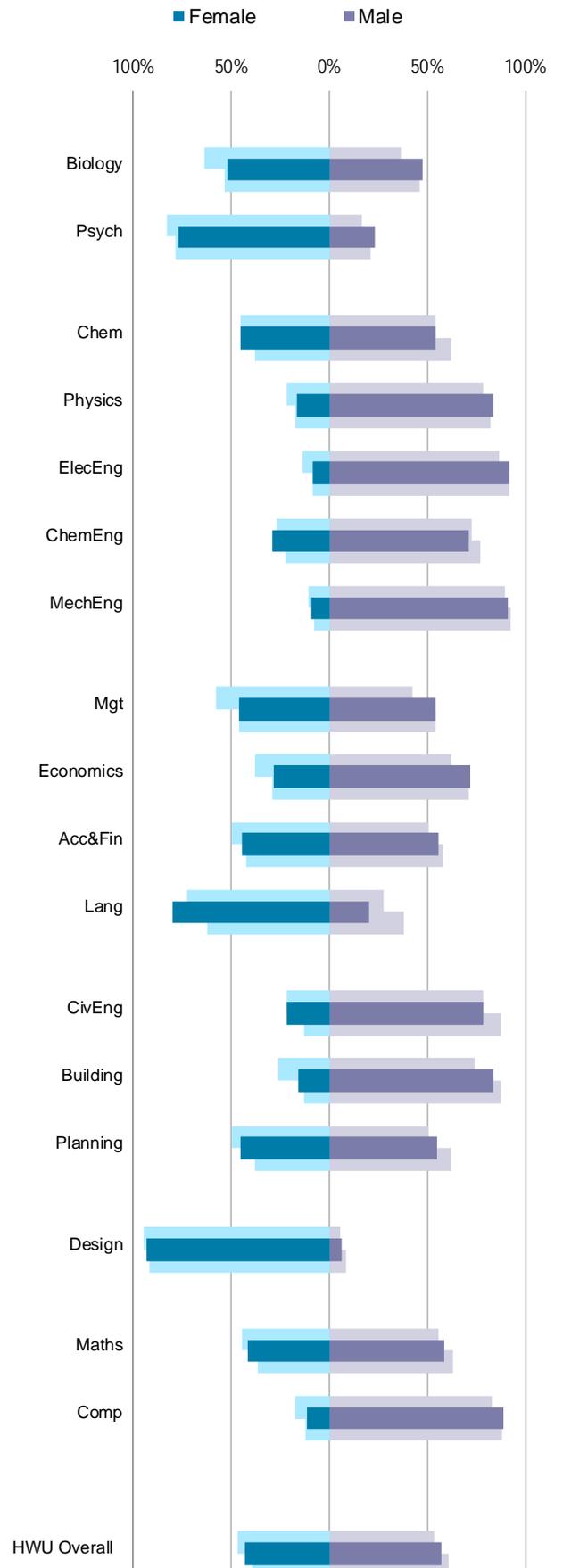
- If the left edge of the HWU bar lies between those of the other bars, then HWU is within the central 50% of the sector (as shown by Example 1).
- If the left-hand edge of the HWU bar lies further to the left than that of the top bar, then HWU is not within the central 50% of the sector and has more Female students than 75% of the other institutions, as shown by Example 2.
- If the right-hand edge of the HWU bar lies further to the right of that of the bottom bar, then HWU is not within the central 50% of the sector and has more Male students than 75% of the other institutions, as shown by Example 3.

HWU Breakdown by School and Subject



HWU Compared to UK Institutions Quartiles

source: HESA Student Return 2013/14





Scottish Funding Council
Promoting further and higher education



Comhairle Maoinachaidh na h-Alba
A' brosnachadh foghlam adhartach agus àrd ìre

Outcome Agreement between Heriot-Watt University and the Scottish Funding Council for AY 2017-18

On behalf of Heriot-Watt University:

Signed: 
Print name: Professor Richard A Williams

Position: Principal

Date: 26/05/17

Signed: 
Print name: Dame Frances Cairncross

Position: Chair

Date: 31-5-17

On behalf of the Scottish Funding Council:

Signed: 
Print name: John Kemp

Position: Interim Chief Executive

Date: 6th July 2017

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