CHANGING THE CULTURE

TACKLING GENDER-BASED VIOLENCE, HARASSMENT AND HATE CRIME: TWO YEARS ON

Results of a sector-wide survey to review progress on tackling sexual misconduct and gender-based violence, harassment and hate crime

Universities UK

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ACKNOWLEDGEMENTS

FOREWORD
by Professor Julia Buckingham CBE, President, UUK

Universities are places where tolerance, dignity and respect are cherished. The safety and wellbeing of staff and students in higher education is vital and our members aim to do their very best to ensure all students and staff are able to live, work and study in a safe environment. Many have a version of this ambition as a mission statement; others put this at the heart of what they do. Any form of harassment against students or staff represents an abuse of power which goes against the values and standards of behaviour expected across the university community.

As president of UUK, I believe that by working with our students, and students' unions, UK universities have a significant opportunity to lead the way in driving culture change and in tackling harassment and hate crime – not only in our universities, but across the workplace and society. To support our members in this critical area, UUK established a taskforce in 2015 to develop a strategic framework, *Changing the culture*. Going beyond the sector's statutory duties, this sets out five key principles to prevent and respond to all forms of harassment and deliver meaningful and long-term institutional cultural change.

Since the report was published, UUK has continued to support members to embed the framework in their institutions and has regularly reviewed the sector's progress to understand where further support and guidance are required.

It is encouraging to see progress being made across a number of areas; such as addressing sexual misconduct between students, particularly in terms of preventative initiatives like raising awareness of expected behaviours by students and the provision of student support. This is essential in facilitating higher reporting levels and delivering a culture in which people are actively encouraged and feel confident to come forward. We have seen an increase in staff training across a range of staff groups, including the appointment of specialist staff in some institutions, and an increase in senior leadership accountability which helps to ensure the adoption of a whole-institutional approach.

There is, however, much more to be done, with progress still variable across the higher education sector. Sector-wide challenges remain around resourcing and funding. UUK will continue to work with our members to support them in providing strong leadership in this area. Our work will include helping university leaders to change institutional cultures and encouraging members to work collaboratively with each other, schools and colleges, expert specialist voluntary and community organisations.

The sector also has some way to go in embedding prevention and response strategies to address hate incidents and hate crimes. UUK's new advisory group to address racial harassment and hate incidents, led by Professor David Richardson, Vice-Chancellor of the University of East Anglia, will be vital in providing guidance in this area, as will the evidence on the experience of students and staff from the forthcoming Equality and Human Rights Commission (EHRC) inquiry into racial harassment.

Since the report *Changing the culture* was published we have seen a dramatic increase in the level of public awareness of both sexual and racial harassment. I believe the response by the sector, as illustrated in this report, shows evidence of a commitment to change at individual and institutional level. We should aspire to lead the way on this issue, not just for our students and staff, but for the benefit of society as a whole. I hope the recommendations in this report, along with ongoing programmes of work across the sector, mean that our students and staff are supported to have the best possible experience at university.

PROFESSOR JULIA BUCKINGHAM, CBE
President, UUK

EXECUTIVE SUMMARY

In 2015, UUK established a taskforce to consider the nature and scale of harassment and hate crime across the higher education sector.

Although significant positive activity was clearly taking place, it found that more could be done to enhance institutional practice in tackling harassment and hate crime and improving the student experience. Responding to this, the taskforce established a strategic framework to support the sector to deliver improvements in tackling all forms of harassment, although a specific focus was placed on addressing sexual misconduct.

The framework was set out in a report, *Changing the culture* (UUK, 2016), along with a series of practical recommendations to support the implementation of the framework. Alongside this, the taskforce recommended that the framework to support universities in handling incidents of student misconduct that could also constitute a criminal offence, known as the Zellick report, should be revised. This resulted in the publication of *Guidance for higher education institutions: How to handle alleged student misconduct* (UUK, Pinsent Masons, 2016).

ABOUT THIS REPORT

As part of the support package for institutions, and as a response to a ministerial request for a report on progress, UUK agreed to assess the sector's progress in implementing the taskforce recommendations and to identify where further guidance and support are required.

A two-stage process was adopted, starting with an independent qualitative research study with 20 universities conducted between November 2017 and January 2018, the outcomes of which were published in an independent report produced by Advance HE, *Changing the culture: One Year On* (UUK, 2018).

This study demonstrated that significant, although variable, progress had been made in tackling student sexual misconduct. Elements of good practice obtained from the study were used to inform a set of recommendations to support other institutions in developing their own approaches. Universities were also encouraged to afford greater priority to addressing incidents of hate crime and online harassment, which tended to have a lower profile and status. Recommendations were also made to UUK and sector bodies for further guidance and for promoting and sharing 'what works' across the sector.

Building on the results of the qualitative study, in 2018, two years after the framework was published, UUK conducted a survey with all its members. This report presents a summary of the survey findings. The survey received a high response rate of 95 institutions across all parts of the UK, covering a diverse range of institutions in terms of type and size.

The evidence reveals that progress continues to be made across many institutions in the sector. Universities provided evidence of a wide range of actions they have taken to prevent and respond to harassment, examples of which are referenced throughout this report. The findings demonstrate that the framework developed by the UUK taskforce and supported by Catalyst funding from the Office for Students (OfS), has been instrumental in acting as a stimulus to deliver improvements in higher education at an individual, community and institutional level.

KEY FINDINGS

Prevention and awareness-raising

Progress is most apparent within the area of prevention. Universities are putting in place or improving infrastructure to address harassment and hate incidents using a variety of different approaches. The work to address sexual misconduct and gender-based violence (GBV) is becoming embedded as part of 'business as usual' within some universities. Critically, initiatives are targeting students and a range of university staff. A focus on training programmes, designed to change attitudes and behaviours, is also evident.

Bystander training remains the most common initiative being rolled out across the sector. Regular (sometimes mandatory) training for staff and students is highlighted as a mechanism to raise awareness of what constitutes harassment and hate incidents and to ensure that students understand expected behaviours and potential sanctions where these are breached. Partnerships with external organisations such as community, faith and cultural groups has also proved valuable in supporting training especially in hate incidents/crime.

Notably, a small number of universities are starting to target students throughout their student journey, including before they enter university by integrating student wellbeing and safety into communications for prospective students. This helps establish an institutional culture that embraces zero tolerance from the outset and can build on developments already taking place in schools and colleges. This also provides an opportunity for more partnership working with schools and colleges to support a joined-up approach and to cultivate engagement from students so that they are 'agents of change' in developing a shared understanding of the issues, as well as developing strategies and interventions.

Student engagement and experience

The positive impact of student involvement was reported by many institutions in UUK's survey and reflects a key finding of those participating in projects funded by the OfS' Catalyst fund. This evidence demonstrates that harnessing the commitment and creativity of students can make a real difference to the sector's progress in tackling this agenda. This includes engaging with reporting and responding students, as well as bystanders. Engaging with students can support the delivery of student-centred approaches, such as peer-led activities. It also enables institutions to draw on peer advice to improve students' experiences and encourages more students to report and seek support by instilling confidence that the institution will take it seriously.

Prioritisation afforded to tackling sexual misconduct and gender-based violence

Most institutional practice continues to be focused on tackling student-to-student sexual harassment and misconduct, and gender-based violence. Evidence that other forms of harassment (including hate incidents) are being addressed is emerging, although this remains relatively underdeveloped.

Addressing hate crime is likely to require further support, time and resources to achieve the same level of prominence as has been achieved with sexual misconduct. Therefore, UUK has established an advisory group, led by Professor David Richardson, Vice-Chancellor of the University of East Anglia, to develop practical guidance to address racial harassment and race-based hate incidents and crimes experienced by both students and staff, drawing on the *Changing the culture* framework. Reference will also be made to real-life case studies.

This will complement chapter 5 of *Changing the culture* (UUK, 2016), which provided specific guidance on responding to incidents of sexual harassment and violence. Evidence obtained from the EHRC inquiry and the evaluation of the impact of the Catalyst funded projects to address hate incidents/crime will also inform this process.

Resourcing and sustainability

Survey responses indicate that sector-wide challenges remain in terms of resourcing and funding. This appears to have impacted the ability of some universities to deliver improvements in responding to all forms of harassment. Where resources and funding were secured, the impact on progress was evident. The support the OfS Catalyst fund provided was often highlighted by English universities as a significant contributor in supporting the development of interventions and new initiatives, academic research, employing permanent specialist staff and scaling up training for staff and students. Notwithstanding this, concerns remain regarding the continuation of activities once the OfS Catalyst funding has ended:

> *The Catalyst fund was brilliant for helping to kickstart our work; however, a year wasn't long enough to create institutional change, which means the project has nearly ended and senior managers haven't given any additional resources or funding to the work.*

It is also clear that inadequate resourcing and funding more widely remain a critical challenge for the sector to sustain and drive forward further improvements, and to move to a position where this activity is considered 'core' business:

> *The challenge is sustainability and to build best practice into universities' business-as-usual provision.*

Embedding change

The survey found that universities are increasingly ensuring changes are embedded in institutional governance systems. Updating policies, regulations and procedures, setting up cross-institutional working groups and revising internal communications to clarify operational responsibility were common examples of effective practice adopted by universities.

Reporting to governing bodies

It is, however, evident that more can be done by universities to improve reporting to the governing body. Those that already did this noted that it represented good practice in governance and was beneficial in raising awareness among governing bodies and senior leaders of the need to tackle harassment, and to consider the resourcing that may be required in terms of staff and funding to change institutional culture.

Risk management

Understanding risk was identified as a significant challenge for the sector. This reflects the findings from UUK's earlier research, which showed that although a risk assessment approach was commonly used, the interpretation of what this meant in practice varied. In this survey, developing a risk-based approach was seen as important due to the increase in the volume of reports now received by institutions and the subsequent increase in investigations and disciplinary hearings. Many universities reported the implementation of a risk assessment framework or risk process to handle student cases. This was largely supported by drawing on the guidelines (UUK, Pinsent Masons, 2016) that recommended that universities should take a more risk-based approach when providing an equal duty of care to the reporting and responding student.

To improve institutional practice further, over a third of universities suggested that guidance on managing the different types of risk would be helpful. Responding to this, LimeCulture Community Interest Company (CIC), a specialist organisation working with UUK and sector representatives, is due to publish a risk assessment tool tailored for use by the higher education sector in December 2019.

Survey responses indicate that a variety of approaches have been adopted to implement the UUK, Pinsent Masons framework including a case management approach. This was considered helpful in providing a consistent, structured approach to responding to complex cases of misconduct, which could also constitute a criminal offence.

> *A case management approach is taken, recognising that each case is different and involves different aspects for consideration and differing risks. Risk management is thus a vital part of the process and where appropriate the concerns are discussed with senior staff so that a measured and objective approach can be taken and to try to ensure consistency when dealing with cases which have similarities.*

Through the OfS Catalyst fund, UUK is also working with Coventry University to develop a case management system which could be used by institutions for all forms of harassment and hate incidents between students. Given an effective response to a case is likely to involve many functions within and outside the institution, the system will provide support for the whole process end to end.

Enhancing communications

The importance of strengthening effective channels of communication so that both students and staff are aware of the action being taken by an institution and the students' union was considered critical in creating a culture to encourage more students to come forward. To support this, just under a third of institutions suggested consideration should be given to developing a common approach to terminology and language. This would help to dispel any misconceptions and misunderstandings by students particularly in what constitutes as 'everyday' harassment and hate incidents, either on or offline. Having some standardisation of the categories of misconduct offences and appropriate sanctions being used across the sector could also be helpful.

Having a clearer understanding of the potential implications of legislation relating to data protection was also highlighted as a key barrier to increasing the transparency of university processes. Having clarity in terms of what institutions can share would support information sharing, including sharing the outcomes of a complaint/incident with the reporting student and would also support accurate record-keeping.

Evaluation and impact

In moving towards change, the UUK taskforce highlighted the importance of evaluating preventative and responsive strategies and initiatives. Evaluation provides evidence on the effectiveness of an intervention and supports future planning and resourcing. Evidence from the survey, mirrored in the evaluation of the OfS Catalyst funded projects, indicates that only a small number of institutions are currently looking at the impact and evaluation of interventions. Moreover, over a third of the responding institutions reported that evaluation remains a key challenge and identified this as an area requiring further guidance. In response to this, UUK will work with the sector, NUS and the specialist organisation, Against Violence and Abuse, to develop impact measures. This work will be informed by lessons learned through the evaluation of the OfS Catalyst funded projects.

Partnership and collaboration

Evidence shows that institutions are clearly benefitting from working collaboratively with individuals and groups both within and outside the institution by drawing on expertise to support institutional progress. A range of groups are engaged with this work, such as the students' unions, police authorities, NHS support, university partnerships, rape and sexual abuse centres, residential services, internal planning and risk managers and academic staff. These groups have supported universities in a number of ways including delivering training, skilling up frontline staff to broaden capacity and resourcing levels and providing the necessary platforms to share and learn from each other.

To ensure this learning is disseminated across the sector it is critical that institutions continue to engage in an open dialogue on 'what works' and the areas for improvement. Supporting the dissemination of learning and good practice across the sector remains a continued focus for UUK. The Shared Practice Area already established by Anglia Ruskin University provides a platform to support this.

> *It would be helpful to receive case studies across all areas of this work – to learn from, to see if/how we are working on similar things, or to highlight areas that we hadn't considered yet. It will help to keep up momentum in these areas and ensure that it remains on the radar of senior management.*

Role of senior leaders

Overall, the survey highlights a heightened commitment from across the higher education sector towards driving cultural change. Underpinning this is evidence of the value and impact of senior leaders taking ownership of the agenda. The survey findings demonstrate that visible, vocal commitment from senior leaders within an institution has played a key role in ensuring changes become part of core university activity and are captured in the wider strategic ambition of the university.

It seems that heightened commitment is also a result of clear progress in universities adopting an institution-wide approach for cultural change. A key priority for UUK in 2020 is to work with leaders to help them recognise the impact they can have in delivering change across the whole institution.

Recommendations

A series of recommendations, based on the survey findings, are presented below, along with planned action by UUK.

	Responsibility sits with	Recommendations	Planned action
PILLAR 1: SENIOR LEADERSHIP			
1	Senior leaders	Where universities do not already do so, they should move sponsorship and accountability for tackling harassment and hate incidents/crime to the senior management team/executive level.	UUK will develop a briefing for members.
2	Senior leaders	Senior leaders should ensure priority status, consistency in principles, and dedicate appropriate resources to addressing all forms of harassment and hate incidents/crimes.	This will be supported by UUK's guidance to address both: (i) staff on student sexual misconduct, and (ii) racial harassment.
PILLAR 2: INSTITUTION-WIDE APPROACH			
3	Senior leaders/ professional services staff	Universities, if they do not do so already, should identify clear and transparent operational responsibility for delivering and monitoring performance, including who retains authority in decision-making and where delegation is required.	UUK will build this into the briefing for members.
4	Senior leaders and governing bodies/university courts	To support good governance and facilitate permanent oversight of institutional progress, universities should provide regular reports on progress to address harassment and hate incidents/crimes to governing bodies or university courts.	UUK will build this into the briefing for members and highlight in other sector guidance.

	Responsibility sits with	Recommendations	Planned action
5	Senior leaders /professional services staff	Universities should develop an institution-wide shared understanding of risks relating to managing harassment and hate incidents, irrespective of whether or not the institution or police are responding to an incident. To support this, reference should be made to what the risks are, the recording of risk, how information is passed on and who has responsibility for the management of risk, together with the actions required to address these.	Working with UUK, and universities, LimeCulture is developing an assessment tool that can be tailored by an institution. This will be launched in December 2019.
PILLAR 3: PREVENTION			
6	Senior leaders /professional services staff	Universities, if they do not do so already, should ensure that students are aware of behavioural expectations, both offline and online, and the sanctions if these expectations are breached, throughout the student journey and prior to arriving at university. Engaging with schools and further education colleges to ensure a joined-up approach towards encouraging positive behaviour and promoting zero tolerance will support this.	
7	Senior lead for teaching and learning/student experience	Universities that do not do so already, should consider adopting the optional National Student Survey safety questions for all students each year. This would provide a mechanism to assess progress in improving students' perceptions of their safety and wellbeing.	UUK to liaise with the OfS to see how this could be supported.

	Responsibility sits with	Recommendations	Planned action
8	Professional staff/local and regional partners	Universities that do not do so already should consider developing strategic and sustained partnerships within and between institutions and with local and regional partners to support knowledge exchange. This will help universities to enhance practice across a range of areas, including the scaling up and rolling out of staff and student training.	UUK will continue to act as a broker between the higher education sector and the third sector.
9	UUK/AMOSSHE NUS/sector bodies	In partnership with the sector, NUS and drawing on external expertise, UUK should provide guidance on definitions of terms to support the sector in developing a common approach to terminology and language. This will also help prevent any misunderstanding by students in terms of what constitutes harassment, ranging from verbal, non-verbal, written, online or via social media to physical.	UUK will explore how this can be taken forward with AMOSSHE, NUS and sector bodies.
PILLAR 4: RESPONSE			
10	UUK/sector bodies	To support universities to offer anonymous reporting, further guidance is required on the use, storage and recording of anonymised data to ensure compliance with data protection legislation.	UUK to engage with the Information Commissioner's Office.

	Responsibility sits with	Recommendations	Planned action
11	Professional services staff	Universities to increase their engagement with reporting and responding students and bystanders, by working directly with students to understand the nature of the incidents affecting them and how the response from the university could have been improved. This will facilitate a more student-centred approach to response strategies and should help increase the numbers of students willing to come forward to report.	UUK will showcase examples of effective practice through workshops and conferences.
12	UUK/AMOSSHE and sector bodies	Further guidance on how to support the responding student is required. This would be particularly useful where complex needs are demonstrated.	UUK will explore this with AMOSSHE and other sector bodies.
13	Professional services staff	Equality monitoring should be embedded into reporting mechanisms and systems to enable an institution to analyse data for key trends, particularly around protected characteristics and to support intersectional analysis. This will indicate if some student groups are less likely to come forward and enable an institution to consider the actions required to address this.	

	Responsibility sits with	Recommendations	Planned action
14	Senior leaders /professional services staff	Universities should, if they have not done so already, consider establishing working groups which involve both academics and professional services staff to develop a robust evidence base. This will support further research, determine 'what works' and allow interventions to be adapted to support students' needs.	
15	UUK/NUS/other sector bodies	Working with the sector and building on external expertise, UUK should provide guidance on measuring and evaluating impact. This should build on the lessons learned from the evaluations of the OfS Catalyst funded projects.	UUK is working with universities, NUS and an expert organisation Against Violence and Abuse (AVA) to develop a framework for evaluating impact.
PILLAR 5: IMPLEMENTING GUIDANCE WHERE STUDENT OFFENCES MAY BE CRIMINAL			
16	Professional services staff	To support the management of complex cases that could also be criminal offences, universities may wish to adopt a case-management approach. This would enable an institution to adopt a robust approach to such cases which can involve a range of processes, different departments and multiple people inside (and outside) the university who will have varying relationships with each other, as well as the collation of documents, messages and digital data.	UUK is working with Coventry University to develop a case management system for harassment/hate incidents.
17	UUK/Police Association in Higher Education for Police Officers (PAHELO)	Working in partnership with the PAHELO, UUK will explore how to support information sharing between police forces and universities.	UUK to engage with PAHELO and the sector to agree how this could be done.

	Responsibility sits with	Recommendations	Planned action
PILLAR 6: SHARING GOOD PRACTICE			
18	Professional services	Universities review UUK's guidance on addressing online harassment to enhance existing practice.	UUK to continue to promote the online guidance and case studies, as it did with vice-chancellors at UUK's annual conference in 2019.
19	UUK	UUK should carry out a survey every two years to review the sector's progress towards its recommendations. This would contribute towards a sector standard, as well as providing learning and sharing opportunities for institutions.	UUK will carry out a survey in 2020. In the meantime, UUK will continue to share effective practice through workshops and conferences including: • **30 October 2019** tackling racial harassment • **11 March 2020** annual conference UUK will continue to push a strong public narrative across external channels to demonstrate the sector's commitment to delivering a shift in culture at individual, institutional and sector level.

INTRODUCTION

The safety and wellbeing of students is vital. All universities aim to do their very best for their students. Many have a version of this ambition as a mission statement or say it is at the core of what they do.

The key principle for dealing with harassment and intolerance on campus is to understand that all students have the right to work, study and live without fear of intimidation, harassment and threatening or violent behaviour. Furthermore, no student or member of staff should be subject to any form of harassment. Such an abuse of power is categorically at odds with the sector's values and the standards of behaviour expected in higher education.

Despite widespread commitment from the sector, there is no single solution or 'quick fix' to tackle the pernicious problem of harassment and hate crime in universities or in wider society. In 2015, UUK established a programme of work to support the sector in addressing all forms of harassment occurring between students. It recognised the sector's existing commitment and explored what more could be done, beyond the statutory context within which universities operate. This resulted in establishing a taskforce to review the evidence provided by the sector and explore what further steps the sector should take to ensure a safe, tolerant and inclusive environment for students.

Although examples of innovative activity to support and protect students was happening already across the sector, the taskforce concluded that much of this work had not been shared widely, which represented a missed opportunity. Furthermore, the taskforce agreed that guidance was required to support universities to deliver a more comprehensive, systematic and joined-up approach. Responding to this, the taskforce developed a strategic framework, which went beyond the sector's statutory duties. This was based on five pillars aimed at preventing and responding to all forms of harassment. These are set out in **Figure 1**, along with a series of recommendations to support the embedding of the framework. This was published in the report *Changing the culture* (UUK, 2016).

FIGURE 1: Changing the culture strategic framework
BUILT ON FIVE STRATEGIC PILLARS:
• The key role should be taken by the **senior leadership team** within higher education institutions
• The criticality of a holistic **institution-wide** approach
• Development of effective **preventative** strategies
• Development of effective **responsive** strategies
• Sharing **good practice** within institutions and the sector at large

The framework recognised the importance of sharing university initiatives across the sector in the UK and internationally. It is non-regulatory and consists of general principles rather than prescriptive detail: this enables each university to decide how best to apply the principles to the needs of its student cohort and the local and community context.

The framework recognises that having policies and processes in place is not enough: policies and processes must also be underpinned by a shift in institutional culture. The framework was developed to support this by promoting positive behaviours from leaders, staff and students, with a view to creating inclusive, tolerant and safe environments on campus, online and in the wider community. Having a culture that promotes a 'sense of belonging' and a zero tolerance towards any form of harassment was considered critical by the taskforce to create an environment where students could feel confident to make a disclosure or a report.

Since 2016, UUK has developed a programme of work to support universities in implementing the report's recommendations. This has included the revision of the 1994 Zellick guidelines (UUK, Pinsent Masons, 2016). The guidance provides advice on how to handle student disciplinary issues where the alleged misconduct may also constitute a criminal offence. Given that the management of cases of this nature can often be complex, with the outcomes dependent on the circumstances of each case, the guidance does not make recommendations on what the outcome will be, but focuses instead on the institutional processes to be followed and the factors that can be taken into account. Attention is drawn to all types of student misconduct although specific recommendations in relation to sexual misconduct are included.

Aligned with this work, HEFCE, now the OfS, provided £4.7 million to 119 projects to support English universities in tackling sexual misconduct, hate incidents and online harassment, as well as embedding the framework. Independent evaluators from Advance HE were appointed by the OfS to support the learning, exchange and dissemination of effective practice from the projects, and to help establish 'what works' so that the whole higher education sector could benefit. Detailed reports on the analysis of the first two rounds of funding are available on the OfS website (OfS, 2019a). These thematic reviews demonstrate that the funding has been instrumental in supporting the embedding of the framework and in leveraging increased resources for tackling safeguarding issues.

The OfS has published an evaluation of its Catalyst funded projects to safeguard students (OfS, 2019b). This summarises the learning from the projects and sets out a series of recommendations arising from the findings of the evaluation, along with examples of innovative practice. These reports, along with this report, provide a valuable evidence base to support universities in making further progress in this area. This, combined with UUK's annual conferences and workshops to facilitate knowledge exchange and the sharing of good practice, will help address concerns made by some university practitioners that the evidence base for interventions is limited.

As part of the support package provided by UUK, a commitment was made to assess the sector's progress in implementing the framework and the recommendations. This was taken forward in two stages as follows:

• **STAGE 1** was a short qualitative study conducted by independent evaluators from Advance HE with the support of HEFCE, the Higher Education Funding Council for Wales (HEFCW) and the Department for the Economy in Northern Ireland. The research was based on a sample of 20 universities across England, Wales and Northern Ireland.[1] The outcomes from this study were published (UUK, 2018) and included a series of recommendations which built on the strategic framework and highlighted the importance of active leadership, embedding activities into governance systems, and delivering cultural change. Additionally, this study helped identify key areas of enquiry for inclusion in the survey in stage 2 of the assessment process.

• **STAGE 2** consisted of a survey to all UUK members (see **Annexe 3**). The survey was designed to provide a mechanism for institutions to assess their own progress in safeguarding students as well as to inform progress across the sector and to identify where further guidance and support were required. This report sets out the outcomes from that survey.

Legislative and policy context across the home nations

In the three years since UUK published *Changing the culture*, we have seen a dramatic increase in the level of public awareness of both sexual and racial harassment, with universities often in the spotlight. This has moved beyond consideration of harassment occurring between students to harassment by staff towards students. The NUS (2018) and The 1752 Group (2018) both published reports on staff-to-student sexual misconduct, and in December 2018, the EHRC launched an inquiry into racial harassment in universities across England, Scotland and Wales.

This section sets out some key policies across the nations. Further detail on the approaches and levers at national level is provided in **Annexe 1**.

Universities in England, Scotland and Wales have specific safeguarding duties stemming from the Equality Act 2010, and the Public Sector Equality Duty (PSED) (sub-section 149). The latter requires that public bodies, or those who exercise public functions, must in the exercise of those functions:

> *have due regard to the need to eliminate discrimination and harassment and the need to foster good relationships between different groups when they formulate policies and practices in areas such as: sexual harassment, governance of student societies and sports teams, campus security, housing, bars and social spaces. The duty applies to decisions on individual cases, as well as to policy decisions [House of Commons Library, 2017].*
> *The Act emphasises the importance of institutions having robust policies and procedures in place for responding to harassment.*

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1 Scottish higher education institutions did not take part because a cross-institutional approach funded by the Scottish Government was pursued through the Equally Safe in Higher Education (ESHE) project (University of Strathclyde, Glasgow, 2018).

Other relevant legislation includes institutions' statutory obligations in the context of the Human Rights Act 1983 (see also Whitfield and Dustin, 2015) and data protection legislation including the Data Protection Act 2018 and General Data Protection Regulation (GDPR) legislation. The latter is relevant in terms of confidentiality and information sharing, given that incidents of harassment are likely to involve sensitive personal information, requiring careful management by institutions.

Alongside the legislative framework, as autonomous institutions, universities are also liable for their own duty of care towards students and staff.

Survey objectives and approach

The objectives of this survey were to:

- provide useful information to enable universities to self-assess their own progress in meeting the recommendations and to highlight examples of initiatives and approaches from across the higher education sector

- understand the approaches, policies, processes, systems and structures that individual universities have taken and put in place

- identify any barriers and challenges faced by the sector and to explore what further action or guidance is required to address these barriers

- indicate progress across the sector and identify where additional work and support are required to deliver further improvements

As with the qualitative research study, the numbers of incidents at universities was not within the scope of the survey, rather its focus was on the approaches in place to prevent and respond to such incidents.

Methodology

The survey was carried out between October and December 2018. A copy is available as **Annexe 3**. It was piloted and developed in consultation with Advance HE, AMOSSHE (the student services organisation), the Academic Registrars Council (ARC) and the Association of the Heads of University Administration (AHUA). The survey comprised 27 questions: 25 aimed at all universities and two at Scottish institutions only.[2] These questions were either presented as multiple choice or as open text to enable institutions to report in depth on specific issues where appropriate. They were further grouped under the five strategic pillars (see **Figure 1**), which follow the structure of the *Changing the culture* strategic framework.

Responses to the survey required input from several individuals across the university, reflecting the institution-wide approach set out in the strategic framework. Institutions were also offered the opportunity to provide examples of practice or in-depth case studies. A number of these are included in this report along with quotes from the open-text boxes.

A total of 95 universities responded of which seven are members of GuildHE (a representative body for UK higher education) and four are members of both UUK and GuildHE. Sixty-eight per cent, that is 92 out of 136 members of UUK responded.

A combination of quantitative and qualitative approaches were used to anaylse the data. The statistical data was aggregated and set out in a summary form to identify common themes across all of the participating institutions rather than based on institutional type or size. A thematic analysis approach was used to identify emerging and common themes within the open-text comments. All themes from the quantitative and qualitative analysis were cross-referenced. From this analysis, it has been possible to extrapolate the primary themes on sector-wide progress. This approach has also allowed for open-text comments and individual case studies or examples of practice to be highlighted.

Recommendations

This report is intended to facilitate the exchange of knowledge and learning across the sector. To support this, examples of initiatives can be found throughout the text which others may find useful to know about and possibly learn from in developing their own approaches. The report also includes specific examples of effective practice from named universities.

Based on these examples of practice, the report contains a set of clear recommendations targeted at UUK, sector organisations and universities. Reference is made to areas where further progress is required, together with suggestions from survey participants on how UUK and other sector bodies can support the sector. This includes developing new guidance, sharing and disseminating good practice and continuing to promote universities' activities in this area.

The recommendations in this survey build on the recommendations from both the initial *Changing the culture* report (UUK, 2016) and the stage 1 study (UUK, 2018), as well as the findings from the OfS Catalyst funded projects to address harassment and hate incidents and crimes (OfS, 2019b).

For ease of reference, recommendations from the *Changing the culture* report are set out in **Annexe 4** and those from stage 1 in **Annexe 5**.

Key terms

It is evident from the survey responses that universities use different terms and phrases when referencing harassment, sexual violence and hate incidents/crime; this is also reflected in this report. For ease of reference, a summary of key terms used in this report is set out below with further details available in a glossary in **Annexe 2**. The need for a shared approach in relation to language and terminology was picked up by participants in the survey and is reflected in the recommendations.

Gender-based violence

The term 'gender-based violence' (GBV) is often used interchangeably with 'violence against women'. However, gender-based violence refers specifically to violence against someone because of their gender and expectations of their role in a society or culture. This assumes that violence against women is regarded as both a cause and consequence of women's inequality. The unequal power relations between women and men and the socially constructed norms around gender roles provide the context within which gender-based violence operates. This is also referred to as the 'gendered analysis'. Women experience GBV disproportionately, but men can also experience it.

2 This was to obtain feedback on the use of the ESHE toolkit (University of Strathclyde, Glasgow, 2018) by institutions in Scotland.

Harassment

Within the UK, harassment is grounded in legal definitions including in the Equality Act 2010, where harassment is unwanted behaviour which makes a person feel offended, intimidated or humiliated. It is unlawful (in civil law) if it occurs because of, or connected to, one or more of the following protected characteristics:

- age

- disability

- gender reassignment

- race

- religion or belief

- sex

- sexual orientation

- marriage and civil partnership

- pregnancy and maternity

Hate crime

Hate crime includes any harassment or crime motivated by hostility on an individual or group's identity. This can include, but is not limited to, their race, religion, sex, gender identity, sexual orientation, disability and transgender identity (Home Office, 2016). The ability to decide whether an incident is a hate crime or not lies with the policing authorities rather than higher education institutions. For this reason, institutions have a duty of care to explain to students and staff what hate crime is and where they can make a report. The most prevalent hate crime reported is viewed as racially motivated.[3]

Hate incidents

Hate incident is a broader term not necessarily involving the perpetration of a crime. Hate incidents can also be described as 'everyday harassment' or 'micro-aggressions' that can be based on a student's disability, gender identity, race, ethnicity or nationality, religion, faith or belief, and sexual orientation.

Intersectionality

While statistically the main risk factor for experiencing GBV is being a woman, there are other factors at play across society. The concept of intersectionality (Crenshaw, 1989:139) identifies these additional factors, which interact with gender, along other axes of power and discrimination, to exacerbate the risk of sexual harassment and GBV: these include race, gender identity, sexual orientation, disability, age, poverty and areas of cultural diversity including religion, belief and ethnicity (see University of Strathclyde, Glasgow, factsheet 5).

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3 Much of the hate crime legislation and policy in the UK is framed around five monitored strands of identity: race or ethnicity; religion or beliefs; disability; sexual orientation; and transgender identity.

Micro-aggressions

A micro-aggression is a statement, action, or incident regarded as an instance of indirect, subtle, or unintentional discrimination against members of a marginalised group such as a racial or ethnic minority.

Reporting student

The reporting student is the student that makes a disclosure or report.

Responding student

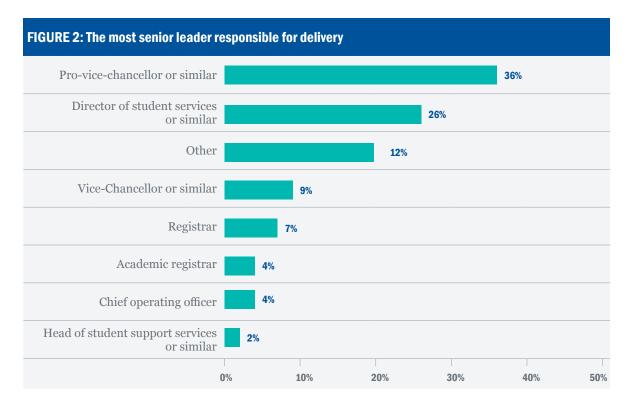The responding student is the student that has a complaint made against them.

Sexual misconduct

Sexual misconduct is used to refer to all sex-related offences and is distinguishable from hate crime (UUK, Pinsent Masons, 2016). In higher education policy and practice, 'sexual misconduct' is often used as a term that captures all types of sexual violence, from rape and sexual assault, to stalking, harassment and abuse. It is used to capture conduct that may be in breach of an institution's rules and regulations. The use of the term is not intended to trivialise what has happened, but to highlight the difference between a police investigation under the criminal law and an investigation by the university under its misconduct regulations.

SECTOR-LEVEL PROGRESS

The survey was based on the responses from 95 higher education institutions of which 92 are members of UUK. Although the findings are not representative of the whole higher education sector, UUK members make up over 90% of publicly funded higher education institutions. The following section sets out an in-depth account of the findings grouped around the five pillars of the *Changing the culture* framework (UUK, 2016).

Pillar 1: Senior leadership

FIGURE 2: The most senior leader responsible for delivery

Role	Percentage
Pro-vice-chancellor or similar	36%
Director of student services or similar	26%
Other	12%
Vice-Chancellor or similar	9%
Registrar	7%
Academic registrar	4%
Chief operating officer	4%
Head of student support services or similar	2%

The *Changing the culture* report concluded that a long-term and visible commitment from senior leadership was needed to tackle harassment and deliver an inclusive culture. Having accountability vested in an individual who occupies a senior position is critical due to their influence over decision-making and the management of risks; their ability to allocate resources; and their support for a whole-institution approach. The latter is important in ensuring that policies and processes are embedded and adhered to across the institution.

Figure 2 shows that progress is being made, with more senior leaders recognising the need to support and take ownership of this agenda. Just under half of all participating institutions reported that someone at executive level was accountable for the delivery of activities. In over one-third of cases, responsibility largely sits with the pro-vice-chancellor, although 9% of vice-chancellors also held this position. This is an improvement compared to the study in stage 1, where only a minority of the 20 participating universities reported that sponsorship was at the highest executive level (UUK, 2018). For most participating institutions, accountability rested with directors of student services or similar roles.

It was also evident that active senior leadership was a critical enabler for institutional progress where visible and vocal commitment by senior leaders to deliver on this agenda pervades the institution.

> " *The University of Exeter created a Commission, led by our Provost, to ensure we are an open, diverse and safe community for all. The multi-disciplinary team, including student representatives, support new approaches, policies, events and projects to ensure long-term, sustainable progress. The Provost Commission focuses on key priorities: staff and student awareness, training and support; inclusive learning and teaching; an inclusive culture and environment; and monitoring and measuring inclusivity. We have set up anonymous reporting tools, Speak Out Guardians and information online to provide support as well as interventions to tackle harassment and bullying.*
>
> **University of Exeter**

OUR RECOMMENDATION

1. Where universities do not already do so, they should move sponsorship and accountability for tackling harassment and hate incidents/crime to the senior management team/executive level.

Greater priority given to addressing sexual misconduct and gender-based violence

Good progress is being made across participating institutions in responding to sexual harassment and gender-based violence (GBV). However, less priority has been afforded to tackling other forms of harassment, particularly hate incidents/crimes. This was evidenced through the large number of case studies and open-text comments that focused predominantly on sexual misconduct or GBV between students. The focus on tackling sexual harassment is perhaps not surprising, since UUK's taskforce prioritised issues of sexual misconduct and harassment among students, following a request by the Minister of State for Universities and Science at the time, Jo Johnson, for a prominent stream of work to address violence against women and girls. Similarly, in Scotland, the Scottish government has actively encouraged all public sectors, including universities, to implement Equally Safe in Education (ESHE), the Scottish Government's strategy for preventing and eradicating violence against women and girls (University of Strathclyde, Glasgow, 2018).

Additionally, a number of participating institutions reported that a phased process to tackling this agenda had been adopted. This was not only an issue of resourcing, but allowed for sharing lessons that were learned, and any tools developed, to inform strategies for responding to other forms of harassment.

> *"The working group is taking a holistic, institution-wide view of preventing, investigating, managing and supporting staff and students in relation to sexual harassment and sexual violence. The learning and the tools are intended to then encompass hate crime and gender-based harassment.*
>
> **Imperial College London**

To sustain momentum, several participating institutions suggested it could be beneficial to run separate campaigns to raise awareness of different types of harassment. This would ensure that communications about tackling discriminatory behaviours are distinct and representative, while also reinforcing a zero-tolerance approach to all forms of harassment. Others suggested including addressing harassment and hate incidents/crime into the university's strategic plan could support the embedding of activity into 'core' institutional business.

Although evidence from the survey and the Catalyst funded projects indicates that institutions are beginning to address other forms of harassment, including racial harassment. This suggests that these issues will require further support and time to achieve the same level of prominence and effort to drive change, as has occurred with addressing sexual misconduct and gender-based violence.

Building on this feedback and a roundtable discussion on addressing racial harassment in 2018, UUK has established an advisory group, led by Professor David Richardson, to develop practical guidance for universities based on the strategic framework. This guidance will set out what an effective operational response looks like for preventing and responding specifically to racial harassment and race-based hate incidents/crime experienced by staff and students across the institution. This will complement chapter 5 of *Changing the culture* (UUK, 2016), which provided guidance tailored to addressing incidents of sexual harassment and violence. Evidence obtained from the EHRC inquiry (EHRC, 2018) and the evaluation of the impact of the OfS Catalyst funded projects (OfS, 2019b) will also be used to inform this process.

Ensuring sustainability by prioritising funding and resourcing

Commitment from senior leaders in securing long-term funding and resources is increasing, with just under half committing long-term resources (45%). For institutions that secured two rounds of Catalyst funding, this figure increased to 68%. A number of participating institutions specifically highlighted the importance of the availability of Catalyst funds as this leveraged funding from within the institution to support infrastructure and introduce initiatives and activity. With matched funding from universities and their partners, almost £10 million in investment value was allocated to the OfS projects. The timing of the funding intervention was also noted as important in helping to maintain the momentum to take action, particularly in tackling sexual misconduct. The availability of Catalyst funding has also been instrumental in enabling institutions to develop a more robust evidence base on the nature and prevalence of incidents and to build mechanisms to support programme evaluation, although robust ways to measure impact remain very much in the early stages.

> ❝ *Our approach is around embedding this work as 'business as usual' but this requires some resource. We were successful in HEFCE Catalyst fund rounds one and two and have now secured additional internal funding for the next two years.*
>
> **Middlesex University**

For a few institutions in receipt of Catalyst funding, this has provided a clear case to support decision-making at the senior level and to secure additional internal funding. However, it was noted that securing senior level buy-in did not always procure the required adequate and appropriate resources to support institutional progress; open-text comments from several participants in receipt of Catalyst funding reported that short-to medium-term funding remained a key area of concern.

Funding concerns were not, however, restricted to institutions in receipt of Catalyst funds. Several participating institutions across the sector emphasised that funding and resourcing to ensure the sustainability of initiatives remained key challenges. For example, 39% of participating institutions reported sustainability of funding as a challenge to enhancing institutional progress, and a further 45% of participating institutions identified a lack of resources as a key barrier.

The institutions that reported positive progress towards sustained resources and funding are distinguished by having senior leaders who afforded priority status to this agenda. Notwithstanding this, even where financial and senior management support was available, some participating institutions reported that an increase in disclosures had resulted in a strain on resources. This was thought to be a result of awareness-raising campaigns and the implementation of reporting mechanisms that increased students' confidence in coming forward to report. Although this was clearly recognised as a positive development by institutions, several survey respondents highlighted the importance of ensuring that, before any awareness raising campaigns are run, institutions have the infrastructure and additional support in place to respond to an increase in disclosures and reports.

OUR RECOMMENDATION

2. Senior leaders should ensure priority status, consistency in principles, and dedicate appropriate resources to addressing all forms of harassment and hate incidents/crimes.

Mechanisms to respond to 'Changing the culture' at the highest-levels of decision-making

Having the involvement of senior leadership teams was noted as a critical enabler to securing sustainability in implementing the Changing the culture framework (UUK, 2016). The majority of participants (76%) had secured senior leadership buy-in, which enabled greater direction-setting across the institution. Several participating institutions with executive-level support gave examples of integrating recommendations into their university's strategic plan as an opportunity to reinforce behavioural expectations from all staff and students. Furthermore, 87% highlighted the establishment of a working group that in some instances involved senior management, and a further 62% referenced the development of a strategic plan for enhancing institutional progress.

Several institutions also reported that they already had a working group or action plan in place prior to the publication of *Changing the culture* or were already embedding this work as 'business as usual' activity. Many Scottish institutions further referenced developing a strategy and action plan related to the ESHE project (University of Strathclyde, Glasgow, 2018).

The survey results also indicate that 37% of participating institutions recruited new staff to respond to the recommendations in *Changing the culture*. These staff were largely recruited because of their specialist knowledge and experience in tackling harassment and held a variety of responsibilities across the institution. Notably, a number of these institutions gave examples of how the staff were recruited to work with senior leadership and management to establish and guide working groups or to provide training.

> *Pro-vice-chancellors and other senior staff involved in the disciplinary process have received specialist training in sexual violence and responding to complaints which has included the recommendations put forward by UUK Changing the culture and Pinsent Masons.*
>
> **Bangor University**

Based on the open-text comments, most institutions noted that they had either recruited or trained existing staff as sexual violence liaison officers (SVLOs)[4] or recruited independent advisors.

Several institutions reported the challenge of obtaining resources to transition temporary specialist staff into permanent roles, and noted this could affect the sustainability of initiatives.

Several examples of mechanisms used to respond to UUK's recommendations that incorporated senior leadership and management were provided in the open-text comments, as described below.

EXAMPLES OF INITIATIVES TO INTEGRATE RECOMMENDATIONS AT THE SENIOR-LEVEL

- Setting up a 'Sexual Respect' working group with an appointed executive team member to respond to UUK's recommendations and developing an initial action plan to raise awareness.

- Appointing a full-time permanent member of staff to focus on prevention and response initiatives for sexual violence and to provide regular feedback to the university's risk and audit committee.

- Developing an institution-wide strategy and action plan based on the ESHE toolkit in Scotland.

- Working with independent advisors to provide specialist support to survivors and victims of violence and to embed a sexual violence support pathway across the institution, with a report back to senior leaders.

- Training pro-vice-chancellors and other senior staff involved in the disciplinary process on sexual violence.

- Establishing an institutional steering group, including with a member of senior management who has oversight of other strategic groups, that focuses on different forms of harassment to help ensure a joined-up approach.

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4 The role of SVLOs was created by LimeCulture, an organisation specialising in sexual violence and safeguarding, to provide universities with specialist staff who are recognised internally and externally as being trained to respond to cases of sexual misconduct. SVLOs are able to inform the reporting student about the availability of internal and external support and their options, such as action available internally or reporting to the police. In some universities SVLOs are being used to support reported students once clear boundaries have been put in place.
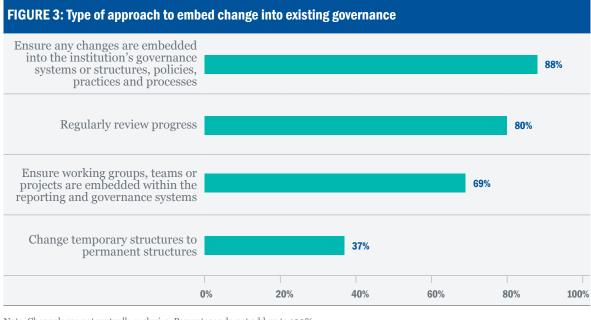
Embedding change into longer term governance systems, structures, policies and processes

The *Changing the culture* strategic framework highlights the importance of embedding mechanisms to deliver change into existing governance systems and structures. For example, committees and working groups set up to provide oversight in tackling harassment and hate crime should be embedded within the university's governance structure. This creates momentum and encourages senior-level buy-in across the institution and can support and justify any modifications in systems and structures, as well as ensuring that change becomes part of the university's core activity. It also allows any emerging issues to be addressed in a cross-cutting way, since key strategic groups will be sighted by the senior leader.

Embedding changes in governance structures and institutional policies can also help achieve consistency in approach across an institution. This can be particularly important given the complexity of universities and the high levels of autonomy that can exist across departments/schools and functions.

Based on the open-text comments provided by participating institutions, effective practice is underpinned by having oversight by senior leadership and governing bodies rather than residing with a single sponsor of the initiative.

Compared to the evidence collated by UUK's taskforce in 2015, which showed that institutions could be more systematic in their approaches, the survey indicates that institutions are adopting a more joined-up approach to tackling harassment. This is illustrated by 88% of participants noting that changes had been embedded into institutional governance systems or structures to support sustainability (see **Figure 3**).

FIGURE 3: Type of approach to embed change into existing governance

Approach	Percentage
Ensure any changes are embedded into the institution's governance systems or structures, policies, practices and processes	88%
Regularly review progress	80%
Ensure working groups, teams or projects are embedded within the reporting and governance systems	69%
Change temporary structures to permanent structures	37%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

Common examples of embedding change into governance systems and processes
are set out below:

Examples of initiatives to enhance governance systems and procedures

- Establishing a permanent steering group to oversee progress and report changes
  to committees or the university court.

- Making inter-disciplinary working groups part of formal governance structures.

- Updating and integrating all staff and student safeguarding policies and processes
  into wider departmental policies.

- Outlining responsibilities of senior leaders within all safeguarding policies for
  transparency.

- Revising internal communication channels for decision-making and information
  sharing among staff to improve consistency of approach.

Pillar 2: Institution-wide approach

To address harassment, the UUK taskforce recommended that universities should be
encouraged and supported to take an institution-wide approach when preventing and
responding to harassment, GBV and hate incidents. This would be important in both
reducing incidents and effecting cultural change. This involves drawing together activities
across the university, from promoting positive behaviours through to ensuring the
availability of support for students. A whole-institution approach will also support the
embedding of activities to tackle harassment within an institution's governance systems,
structures, policies, practices and processes. This in turn will enable institutions to assess
the effectiveness of procedures and improve them where necessary. A whole-institution
approach can also support the sustainability of initiatives and maintain their place on the
institutional agenda.

The survey results indicate that 67% of participants have developed an institution-wide
approach, although evidence shows variations among institutions. For example, only 38%
of survey participants without Catalyst funding had implemented a whole-institutional
approach, whereas this rises to 91% for those institutions that had received two rounds
of Catalyst funding (OfS, 2019b).

All Scottish institutions reported on delivering a joined-up approach. Reference was also
made to embedding changes into their governance systems, structures, policies and practices.

Notably, 31% of institutions in England, Wales and Northern Ireland reported that
not yet having developed a whole-institutional approach remained a key barrier for
enhancing progress.

Delivering a joined-up approach through well-defined operational responsibility

From the open-text comments, it is evident that a lack of clarity in terms of ownership and
responsibility for addressing this agenda can hamper institutional progress. Being clear on
operational responsibility is a critical enabler to assuring a more comprehensive, systematic
and joined-up approach across the institution. It can also help ensure that all involved are
aware of an institution's action plan, activities and the lines for delegation. This can help
maximise and streamline existing resources to support effective delivery.

Several examples from institutions indicate that operational responsibilities sit with different groups across the institution, which could pose challenges for an institution in determining when and how monitoring and reviewing takes place; a whole-institution approach can help address this.

Institutions also noted that communicating the changes that were taking place across the institution to both staff and students when implementing a whole-institution approach was also important in effecting cultural change.
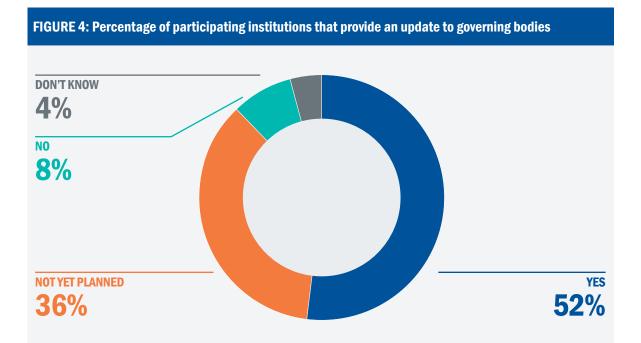
OUR RECOMMENDATION

3. **Universities, if they do not do so already, should identify clear and transparent operational responsibility for delivering and monitoring performance, including who retains authority in decision-making and where delegation is required.**

Improving reporting to university governing bodies and university courts

The taskforce recommended that universities provide their governing bodies with regular progress reports. This could include reporting on trends, the types of cases and incidents and outcomes, the preventative and responsive measures and their impact, and the resources available to deliver this agenda. This can be beneficial in supporting the financial sustainability of the initiatives and ensuring that initiatives are reviewed and monitored.

Although 52% of participating institutions had provided updates to the governing body, court or committee, 36% stated that this had not been planned for, and a further 12% did not provide reports or did not know if this was expected (see **Figure 4**). This indicates that there is scope for universities to do more to enable governing bodies to have appropriate oversight of the institution's plans and activities to address harassment and hate crime. Interestingly, the OfS Catalyst funding appears to have had some impact on the extent to which institutions updated their governing bodies, compared to institutions not in receipt of funding (OfS, 2019b:Table 3).

Providing progress reports will support governing bodies in fulfilling their responsibility to receive assurance that adequate provision is being made for the general welfare of students. It will be for the institution to decide the most appropriate strategic reporting mechanism for achieving this. Examples of how this has been achieved include reporting to governing bodies, or a governing body sub-committee, via feedback from an executive member of a cross-working group. Examples given of the nature of the reports included a request to review action plans and casework.

FIGURE 4: Percentage of participating institutions that provide an update to governing bodies

DON'T KNOW
4%

NO
8%

NOT YET PLANNED
36%

YES
52%

While more can be done to improve progress in reporting to governing bodies, 80% of participants are regularly reviewing progress. In most instances, this was enhanced by reporting procedures that are integrated with existing formal structures. Several universities also provided case studies to demonstrate how well-defined roles for reporting and reviewing progress to relevant governing bodies supports this change.

> *The university has established a permanent steering group, Equally Safe at Strathclyde, which reports to the Equality, Diversity and Inclusion Committee. The group has three working groups taking forward the priorities agreed by the group and progressed through Equally Safe Action Plan. Progress is monitored and evaluated by the steering group. This is also reported annually to the Equality, Diversity and Inclusion Committee and the university court.*
>
> **University of Strathclyde, Glasgow**

To enhance the role of the governing body, one institution suggested that a key function of a cross-working group could involve the development and implementation of an audit toolkit for a whole-institution review, based on the *Changing the culture* recommendations. Findings could then be fed systematically into the university's governing body in alignment with their primary purpose and function.

In Scotland, the ESHE toolkit includes a checklist that summarises the key elements of implementing a strategic approach (University of Strathclyde, Glasgow, 2018). This serves as a useful reference point for universities in guiding the role of the governing body in terms of which actions require monitoring and evaluation, how to link these to the wider strategic response and how to help steer institution-wide progress.

OUR RECOMMENDATION

4. **To support good governance and facilitate permanent oversight of institutional progress, universities should provide regular reports on progress to address harassment and hate incidents/crimes to governing bodies or university courts.**
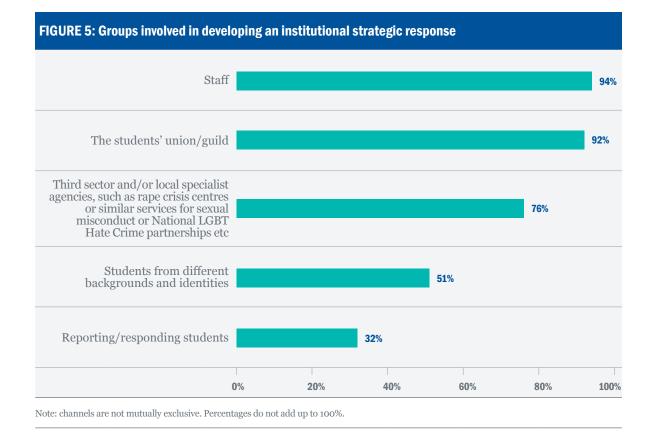
The value of partnerships in supporting an institutional strategic response

The UUK taskforce highlighted the importance of partnership working and collaboration. This includes both internal and external partners such as other universities, expert specialist voluntary and community organisations, the NHS and the local police. Such partnerships offered access to specialist knowledge which could be used to inform the development of an institutional strategic response, as well as the design and delivery of specific interventions and the provision of expert support for students.

Working collaboratively to strengthen partnerships across the sector, both internally and externally, is a strong theme in the responses to the survey. It is also encouraging that compared to previous evidence from the stage 1 study, partnerships are increasingly forming at a more senior level and with a diversity of groups across the institution. Partnerships with students' unions/guilds were highlighted with 92% of universities involving students' union in developing an institutional strategic response.

> " *We have a very close working relationship with our student's union which has enabled authentic partnership working on this topic.*

Additionally, 94% of participating institutions identified staff involvement and 76% reported on the involvement of third-sector or local specialist agencies (see **Figure 5**).

FIGURE 5: Groups involved in developing an institutional strategic response

Staff	94%
The students' union/guild	92%
Third sector and/or local specialist agencies, such as rape crisis centres or similar services for sexual misconduct or National LGBT Hate Crime partnerships etc	76%
Students from different backgrounds and identities	51%
Reporting/responding students	32%

Note: channels are not mutually exclusive. Percentages do not add up to 100%.

In most cases, experiences of working in partnership are found to be highly positive. Involving a range of partners can ensure an institution's response accurately reflects staff and student needs, sharpens accountability, facilitates greater resourcing for delivery, and provides important expert support for students. Feedback from the OfS Catalyst funded projects demonstrate that working in collaboration with local external partners could also help sustainability. For example, one university has established a third-party hate crime reporting centre for students, staff and local residents which works alongside local community groups. As such, the centre is part of a broader agenda on hate crime.

Examples of internal and external partnerships listed in the open-text comments are set out below.

Examples of the internal and external groups involved in developing a strategic institutional response

EXTERNAL GROUPS:

- Police authorities (eg police liaison officers, local hate-crime forums)
- LimeCulture
- Local authorities
- NHS support
- Office for Students
- University partnerships
- Sexual violence liaison officers
- Good Lad initiative
- Office for Police, Fire and Crime Commissioner
- Rape and sexual abuse centres
- White Ribbon UK
- Counselling centres

INTERNAL GROUPS:

- Student experience committee
- Students' union (eg sabbatical officer, advice services, women's representative, president and social secretary of sports clubs and student union societies)
- Emergency planning and risk manager
- Academic staff (eg criminology, law, sociology)
- Student services
- Residential services
- Human resources
- Wellbeing support services
- Corporate marketing
- Harassment support officers

Risk management

Both the *Changing the culture* report (UUK, 2016) and the guidance on potentially criminal incidents (UUK, Pinsent Masons, 2016) identified the importance of universities having a clear risk management process. This should include what risk is and who owns the risk, along with robust mechanisms in place to manage risk. UUK has also been advised by the Police Association for Higher Education Liaison Officers (PAHELO)[5] of the importance of universities taking positive action around safeguarding based on appropriate risk assessments irrespective of whether the police or an institution is taking action.

Engaging with a range of internal and external partnerships will support managing and assessing risk in strategic planning. Where these partnerships reside with senior leadership and management teams, this can help ensure an institution-wide shared understanding of potential risk factors across all forms of harassment and the preventative activities required to mitigate these.

The stage 1 report (UUK, 2018) found that a risk assessment approach was commonly used. However, the interpretation of what this meant in practice seemed to vary, from a formally documented and reviewed assessment by an individual or panel with formalised review points, to a case-by-case approach with limited documentation.

The most recent survey found that 36% of university participants acknowledged that risk management remained a key challenge. This finding was reinforced at a roundtable discussion on risk management held by UUK in 2018. Alongside an example of a risk assessment (available as Appendix 3 in UUK, Pinsent Masons, 2016), the ESHE toolkit (University of Strathclyde, Glasgow, 2018) also provides guidance on identifying the causes and risk factors when responding to GBV that may serve as a reference point. In addition, LimeCulture, working with UUK and representatives from universities, is developing a risk assessment tool that can be customised by universities and will be published in December 2019.

> ## OUR RECOMMENDATION
>
> **5.** **Universities should develop an institution-wide, shared understanding of risks relating to managing harassment and hate incidents, irrespective of whether or not the institution or police are responding to an incident. To support this, reference should be made to what the risks are, the recording of risk, how information is passed on and who has responsibility for the management of risk, together with the actions required to address these.**

Pillar 3: Prevention

The UUK taskforce recommends that universities embed a zero-tolerance approach by establishing clear behavioural expectations alongside a student disciplinary procedure that includes sanctions that can be imposed on students if behaviour fails to meet these expectations. The establishment and reinforcing of standards of behaviour and sanctions for students are key drivers to support change and affect a cultural shift.

As **Figure 6** shows, to support prevention, 81% of institutions reported that they had updated their discipline procedures. This was followed closely by the delivery of preventative campaigns (71%). It is also worth noting that 53% of participants reported major revisions to their student code of conduct or charter.

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5 PAHELO works in partnership with higher education institutions and their student bodies to reduce crime and increase trust and reassurance for all those who work, live and study in, or visit, university campuses and communities.

Good practice, as identified by the participating institutions, involves ensuring students are fully aware of the sanctions in place to foster a zero-tolerance approach throughout every area of the university environment, whether for study, work or living. This includes making use of online and offline channels of communication to raise awareness. This helps to reinforce the message that any type of discriminatory behaviour is prohibited.

> *The Warwick Community Respect Programme...is hosted on Warwick's Moodle [online learning platform] and is available to all students and staff. The programme supports students to understand the expectations of them as members of the Warwick Community. It outlines unacceptable behaviours and signposts students to the support available. Following feedback, we are in the process of developing this resource with a view to embedding it further as part of the pre-arrival and enrolment process.*
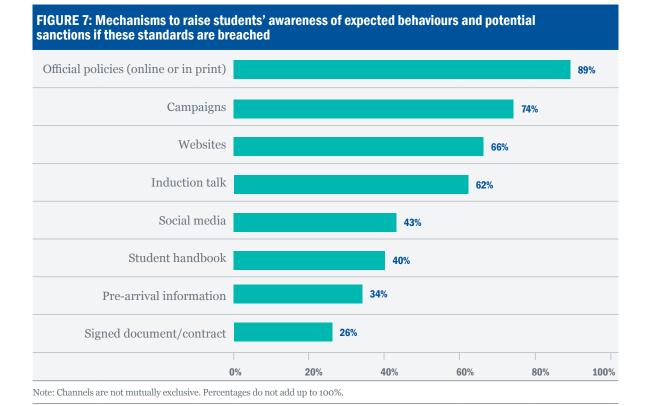
University of Warwick

FIGURE 6: Preventative activities implemented or tested at the institution

Activity	Percentage
Updating discipline procedures	81%
Conducting preventative campaigns	71%
Delivering student consent training	65%
Adopting a zero-tolerance culture across institutional activities	59%
Engaging with other providers or local organisations within the community to support a joined-up community approach to this agenda	59%
Delivering student bystander training	59%
Updating student code of conduct	53%
Conducting research to get a better understanding of where interventions should be targeted and what works	42%
Delivering student-led activities (other than bystander or consent initatives) such as peer-to-peer learning/support	41%
Engaging with local schools and colleges through outreach activities to support a joined-up approach to address this agenda	6%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

Mechanisms to raise awareness of behavioural expectations

Universities make their expectations of student behaviour (both offline and online) and their policies relating to sanctions clearly accessible to students in a variety of ways as shown in **Figure 7**. Making policies accessible online and/or in print was the most common response with 89% of institutions indicating this. 74% of respondents have also made use of campaigns to target these messages. Given that students increasingly communicate online, there may be scope for institutions to do more through social media channels.

FIGURE 7: Mechanisms to raise students' awareness of expected behaviours and potential sanctions if these standards are breached

Mechanism	Percentage
Official policies (online or in print)	89%
Campaigns	74%
Websites	66%
Induction talk	62%
Social media	43%
Student handbook	40%
Pre-arrival information	34%
Signed document/contract	26%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

Examples of initiatives to raise awareness of expected behaviour offline and online and sanctions if these standards are breached

- Developing pre-arrival online consent courses and ensuring it is a condition of registration.
- Placing behavioural expectations in students' accommodation.
- Broadening the existing 'consent quiz' to include the inclusivity quiz as part of the registration process.
- Rolling out a new discipline framework with examples of potential sanctions.
- Revising the student charter to include the ethos and general expectations regarding behaviour for students to sign at, or before, registration.
- Updating safeguarding, anti-bullying, harassment and social media policies.
- Conducting preventative campaigns within sports teams.
- Rolling out anti-hazing training for new sports club leaders.
- Incorporating behavioural expectations in all student campaigns.
- Launching a new website that contains the university's stance and the support available for students.

Typically universities reported that students were required to sign, at or before registration, a student charter to demonstrate they have read and understood their behavioural obligations and the sanctions. As one respondent commented, this helped to embed clear messages within the university community of what is expected, and increased accountability among students and staff for reinforcing positive standards of behaviour, online and offline.

Notably, the survey results also highlight how several universities are beginning to raise awareness of behavioural expectations across all parts of a student's journey, including pre-arrival. This is on the basis that it can be potentially reassuring for prospective students to hear of arrangements in place to ensure their wellbeing and safety and to highlight that these will be in place throughout their student journey.

Given the significance of targeting students before they start university, an additional area of opportunity for universities involves working with schools and further education colleges. Only 6% of institutions reported engaging with schools. Of those institutions connected with schools, a few examples of initiatives were given. One institution noted that there was significant strength in building relationships with young people prior to entry into higher education: this helped ensure continuity of messaging from primary through to tertiary education on the importance of a zero-tolerance approach and helped cultivate active leadership from students from the outset.

OUR RECOMMENDATION

6. Universities, if they do not do so already, should ensure that students are aware of behavioural expectations, both offline and online, and the sanctions if these expectations are breached, throughout the student journey and prior to arriving at university. Engaging with schools and further education colleges to ensure a joined-up approach towards encouraging positive behaviour and promoting zero-tolerance will support this.

National Student Survey (NSS)

Currently, only 9% of participating institutions specified that they have adopted the NSS questions that relate to student safety; 29% of participating institutions reported that they would not adopt these questions and a further 65% said they did not know. Adopting these questions can provide a way of assessing progress in terms of a student's perception of their safety and wellbeing at university. Engaging with students on these issues will also enable behavioural contracts and sanctions to be nuanced and reflective of students' experiences at different stages.

OUR RECOMMENDATION

7. Universities that do not do so already, should consider adopting the optional National Student Survey safety questions for all students each year. This would provide a mechanism to assess progress in improving students' perceptions of their safety and wellbeing.

Conducting bystander and consent training for students

> " *We have worked with the students' union on the Role Models project in local schools whereby peer support mentors have been introduced to mental health and wellbeing, digital technology and social media, body image and self-esteem, gender and sexuality, masculinity, race and discrimination, healthy relationships and consent.*
>
> **University of Sussex**

The UUK taskforce recommended that institutions implement bystander intervention programmes that could support students to become agents of change. Consent training and bystander training are among the most popular preventative strategies in the participating institutions. Bystander intervention training and consent training were also a prominent element in many of the Catalyst funded projects. Several models were adopted, including face-to-face, online, mandatory and voluntary training (OfS, 2019b:43).

The survey found that 59% of participating institutions had tested and implemented student bystander programmes and that 65% of participating institutions also rolled out consent training to their students. As evidenced in the open-text comments, several examples were provided of bystander and consent training that included short online films

to presenting different scenarios, Good Lad Initiative workshops, and working with a local martial arts instructor to trial 'feminist self-defence' classes.

Notably, a few institutions stated that the bystander training was mandatory to maximise coverage among students and to reach student groups that were more difficult to engage. These institutions also made the training part of a credit-bearing assignment, embedded into the curriculum. Another institution noted that bystander training was scheduled to accommodate the students' timetables to maximise accessibility. Based on the open-text comments, most of the training is delivered by specialist professional staff or external advisors to ensure that the correct advice is given.

> *The university has worked with Rising Sun, a domestic violence and abuse charity, to train university sessional staff, postgraduate research students and students' union staff to deliver the Bystander Intervention Initiative (UNI Protect) to student and students' union members holding key posts in sports clubs and relevant students' union societies. Open staff forums were held on the Canterbury and Medway campuses to raise awareness of the UNI Protect training and the work of the steering group established to implement the university's Changing the culture action plan. We have also developed a video with the students' union advertising the bystander intervention training through student actors in scenarios around campus to make the training relevant and applicable to situations our students encounter.*

University of Kent

Bystander training varied across institutions, resulting in a broad range of models, different approaches, variation in the frequency of the training and whether and how the training was evaluated. This finding mirrors evidence from the stage 1 study and the Catalyst funded projects

Some institutions noted challenges in engaging students in training when it was offered as optional. For one university, bystander training was obligatory for staff but not for students. As a result, the university reported a struggle to recruit students and noticed the significant difference in uptake when training is not mandated. The need for sensitivity towards survivors was also noted with this type of training, as highlighted by institutions involved in the stage 1 study.

To continue increasing awareness among students, there is scope for the sector to enhance direct engagement with students. Engaging with students in delivering bystander training through peer-led training or heading prevention campaigns can serve as a powerful tool for prevention. Evaluation from the Catalyst funded projects found that student involvement and engagement, particularly in training, were considered most successful when projects were conducted in collaboration with students' unions or where they were tied to students' academic interest areas (OfS, 2019).

Raising staff awareness of 'everyday harassment'

The survey highlights progress in general awareness-raising training in 'everyday harassment'.

> " *The Consent Collective delivered a series of workshops and performances at the university on power, relationships, gender and consent, which approximately 500 staff and students attended. Staff also have access to online videos which underpin the face-to-face sessions.*
>
> **University of Edinburgh**

The survey responses show that a number of institutions are rolling out awareness-raising training to a range of different staff groups. This could include training in the staff induction process, but also targeting specific groups of staff, such as library and catering staff, cleaners of student accommodation and security guards. In some instances, outreach extended to the local night-time economy such as bars, nightclubs and entertainment venues.

The importance of raising awareness with course coordinators, personal tutors and academic staff was also referenced, acknowledging that these staff may be the first to hear of any issues that students are facing when they receive requests for extensions due to extenuating circumstances or they become aware of absences.

As evidenced by the open-text comments, most staff bystander training is conducted face-to-face at the start of the academic year. Modules included an intensive workshop or a focus group. In some cases, it was mandatory and being rolled out to a wide range of academic staff, from vice-chancellors to personal development tutors. In some instances, participating institutions have incorporated bystander training into the wider remit of equality, diversity and inclusivity or existing learning events to ensure that training is integrated into the working life of the university. This avoided any overlap of training and created a more streamlined and joined-up approach.

Several institutions referenced the Advance HE Charters, acknowledging that engagement with the charters provided opportunities to understand harassment (particularly policies) in the wider institutional contexts of equality and inclusion for race and gender. For example, the first principle of the Race Equality Charter (REC) acknowledges that racism is an everyday facet of UK society and racial inequalities manifest themselves in everyday situations, processes and behaviours. Incidents of internal harassment are also considered as part of the review of 'grievances and disciplinarians' in section 4c of the REC, and policies around harassment considered within section 5.6 of Athena SWAN. REC section 3b also asks for consideration of local/community context including 'known racial tensions either specifically within local communities or linked to the institution's staff and students' (REC Handbook 2016). The REC student survey also includes a specific question relating to reporting racial discrimination on campus or in the local area, and confidence in appropriate action being taken by an institution if reporting race-related incidents.

" *We have embedded our approach into existing learning events and our Athena SWAN work – we have committed to all departments applying for an Athena SWAN award and members of our Organisational Development Team work across academic departments (and soon we will be expanding the Athena SWAN principles across our professional services to support them creating an inclusive culture.*

University of Essex

Examples of initiatives to raise staff awareness

- Sourcing 'Dignity at Work' training champions to support the delivery of active bystander training.

- Training all personal development tutors in recognising signs and symptoms of concern and being provided with a guidance framework for conducting one-to-one tutorials to encourage students to talk about their concerns with the use of a student video.

- Training resident life coordinators and resident student assistants in basic training on signs and symptoms of vulnerability and how to report concerns.

- Recruiting 'Safe and Healthy Relationship' advocates from a cross-section of university staff.

- Implementing a 'Train the Trainer' approach to deliver bystander workshops.

- Conducting essential staff training through open staff forums at the start of the academic year, hosted by external specialist organisations and delivered through a 90-minute in-person briefing.

- Ensuring equality and diversity induction training is mandatory for staff and is completed on the first day of work.

- Commissioning third-sector organisations to deliver awareness-raising training in sexual violence and domestic abuse to staff via the staff development programme.

- Involving academic staff in the student bystander sessions to gain an understanding of what it involves, with the aim of fitting the session into their modules and sharing resources with other academics.

- Training academic staff on boundaries for staff–student professional conduct.

- Developing an e-module online training for staff who may be first responders. The module is based on the guidance for staff and explains the steps that staff should take to support the student.

Scaling up staff and student training

Scaling up and rolling out training for both staff and students was the greatest challenge for participating institutions. Several institutions noted that training was valuable in providing staff with the confidence to both recognise and respond to incidents of harassment. However, 58% of participating institutions reported that rolling out training for staff and students remained a key challenge to enhancing further progress across the institution. These findings mirror those from the stage 1 study. In responding to this, some institutions noted that senior sponsorship could help with securing support, including in providing resources to facilitate the scaling up of training. Other institutions noted the value of being aware of the expertise that may be available locally to support training and, where possible, to deliver training.

To enhance progress, 37% of participating institutions requested guidance on scaling up bystander training, and 42% on scaling up training for staff. Guidance on the evaluation of training was also suggested by 36% of participating institutions.

While there is good progress from participating institutions on engagement with other universities or local organisations, there is still opportunity to consider how tighter and sustained partnerships can be formed. This may help to use existing resources and funding where needed and provide knowledge exchange and additional support for training staff.

OUR RECOMMENDATION

8. Universities that do not do so already should consider developing strategic and sustained partnerships within and between institutions and with local and regional partners to support knowledge exchange. This will help universities to enhance practice across a range of areas, including the scaling up and rolling out of staff and student training.

Creating a common language on 'everyday' harassment

There was support in the survey responses for developing a shared understanding around definitions regarding the behaviours that could constitute misconduct. This would benefit both reporting and responding students to prevent any misunderstandings. Additionally, this could help avoid ambiguity among bystanders in terms of whether, and how, to respond to an incident they may witness. Such comments were made largely in relation to addressing online harassment and hate incidents/crime. This mirrors the findings from the round 2 of the OfS Catalyst funded projects (Baird, 2019), where project leaders reported that there may be a lack of understanding in terms of the behaviours online that could constitute an offence. This also extended to an understanding of the nature of hate incidents and crimes.
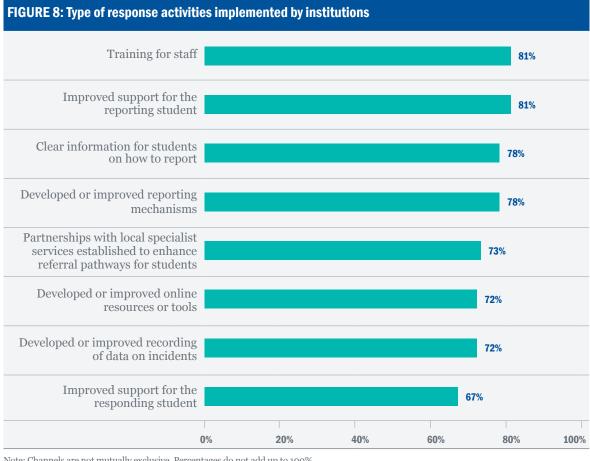
The survey found that 31% of institutions felt that the standardisation of language across all forms of harassment would act as an important enabler in prevention. This builds on a recommendation in stage 1 for further research and guidance on developing a standard categorisation of misconduct offences. One institution suggested that this could support a joined-up approach between raising awareness, identifying and responding to behaviours of harassment, and delivering bystander training, and would ensure a tighter working relationship with external bodies.

OUR RECOMMENDATION

9. In partnership with the sector, NUS, and drawing on external expertise, UUK should provide guidance on definitions of terms to support the sector in developing a shared approach to terminology and language. This will also help prevent any misunderstanding by students in terms of what constitutes any form of harassment, ranging from verbal, non-verbal, written, online or via social media to physical.

Pillar 4: Response

The UUK taskforce highlighted the importance of universities having a clear, signposted, visible and robust disclosure and reporting response in place for all incidents of misconduct. In view of this, the survey invited participating institutions to state the response activities they have implemented to improve their mechanisms available to students to make a dislosure or report (**Figure 8**). Given the sensitivity and emotions involved in the disclosure of any form of harassment, having a range of reporting options from which a student can choose may facilitate more students in having the confidence to come forward.

FIGURE 8: Type of response activities implemented by institutions

Response activity	Percentage
Training for staff	81%
Improved support for the reporting student	81%
Clear information for students on how to report	78%
Developed or improved reporting mechanisms	78%
Partnerships with local specialist services established to enhance referral pathways for students	73%
Developed or improved online resources or tools	72%
Developed or improved recording of data on incidents	72%
Improved support for the responding student	67%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

Reporting mechanisms for students

UUK's qualitative study noted that there was some variation in the availability of reporting options and mechanisms by type of misconduct. This finding was also reflected in the evaluation of the OfS Catalyst funded projects, where it was found that a reporting tool for student-to-student sexual misconduct was the most common. In this survey it is evident that universities generally offer multiple routes for students to report misconduct, although reporting in person was the most common mechanism used by students, followed by the telephone; this was the case across all forms of misconduct (**Figure 9**). A higher percentage of institutions have also invested in a dedicated reporting tool for incidents of sexual misconduct compared to hate incidents/online harassment.

FIGURE 9: Reporting mechanisms available to students by type of misconduct						
	MECHANISMS AVAILABLE TO STUDENTS					
TYPE OF MISCONDUCT	IN PERSON	DEDICATED REPORTING TOOL	WEBSITE /ONLINE	MOBILE APP	TELEPHONE	OTHER
Student-to-student sexual misconduct	93%	41%	65%	7%	79%	22%
Staff-to-student sexual misconduct	92%	40%	60%	7%	77%	22%
Hate incidents/crime	92%	35%	61%	5%	80%	24%
Online harassment	89%	35%	60%	7%	79%	22%

Note: Channels are not mutually exclusive, and consequently percentages do not add up to 100%.

> *Through increasing awareness of support in the university, victims and survivors of gender-based violence may feel better supported to disclose their experience to someone they feel comfortable speaking to, knowing that they will be believed and receive the right support.*

A number of institutions also reported adopting online platforms offering direct help, as a highly successful tool for reporting sexual misconduct and harassment.

> *'Report It. Stop It' is LSE's dedicated webpage specifically designed to report any type of discrimination, bullying and harassment encountered on campus, including racism. It also offers helpful explanations of how these issues are defined and should be understood.*
>
> **London School of Economics and Political Science**

Examples shared by participating institutions vary from developing a single reporting tool for all types of harassment, a single reporting tool for specific forms of harassment, or having multiple reporting routes to a single online location. Sometimes, the reporting mechanism also provided information on appropriate and inappropriate behaviours, as well as where support could be found, or embedded online tools into all student-facing mechanisms. There were also examples of institutions working with specialist external agencies, including tech companies.

Providing an easily accessible student-facing mobile app was recognised as a relatively simple way of providing an accessible option for students to report misconduct that could remove perceived barriers in terms of locating the correct information for support and in recording the details of an incident. Importantly, most survey participants indicated a long-term aim to improve the options that are available.

Anonymous reporting

Figure 10 demonstrates that there is variation in practice in whether or not to offer an option for anonymous reporting. Just over half of participants provide this option for students, either where the reporting student remains anonymous but provides details of the other party or where both the reporting student and the other party remain anonymous. Forty-five percent of participating institutions did not currently offer this option.

FIGURE 10: Anonymous reporting				
	STUDENT-TO-STUDENT SEXUAL MISCONDUCT	STAFF-TO-STUDENT SEXUAL MISCONDUCT	HATE INCIDENTS RELATING TO RACE, RELIGION, DISABILITY, SEX/GENDER OR SEXUAL ORIENTATION	ONLINE BULLYING AND HARASSMENT
Yes, reporting student remains anonymous but provides details of the other party	32%	31%	31%	31%
Yes, but both reporting student and other party remain anonymised	21%	20%	18%	16%
Option not available	42%	44%	45%	48%
No response	5%	5%	5%	5%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

From a student's perspective, the option to report anonymously can be incredibly helpful: studies show that some students prefer this option to reduce the risk of retaliation (Chen et al, 2015). Anonymous reporting, like attributed reporting, can also provide institutions with an indication of the types of incident that have occurred. This information may be useful for an institution in determining whether further training is required to address a specific issue or to develop a specific campaign. This information can also support an institution in monitoring the impact of current campaigns and initiatives and provide an option to communicate the support that is available without a student having to go through a formal reporting process.

However, any option to report anonymously should be accompanied with clear information on the extent to which an institution can investigate and act on such reports. Providing clarity on what action the university can take in relation to different types of reports will also help to manage students' expectations. Depending on the information that the student provides (by choice or by limiting the anonymous reporting system), it may not be possible to take any action, or only limited action, in response to a report since without independent witnesses and evidence, there is likely to be insufficient evidence to proceed.

The survey did not ask why an institution did not offer anonymous reporting, although in the open text comments several universities raised concerns about how data and intelligence gathered in this should be used and stored.

OUR RECOMMENDATION

10. **To support universities to offer anonymous reporting, further guidance is required on the use, storage and recording of anonymised data to ensure compliance with data protection legislation.**

Engaging with reporting and responding students, and bystanders

A number of universities reported an aim to ensure students' voices are being incorporated into the development of initiatives in different ways. That said, the involvement of reporting and responding students in developing the university's strategic response to the *Changing the culture* recommendations was low across many universities (and highest among those with the largest number of students).

A number of respondents did, however, identify a commitment and plans to working with survivors of sexual harassment and misconduct, including survivors of staff–student sexual misconduct, such as by involving the voice of survivors in events.

Understanding how reporting and responding students, and bystanders, experience each stage of the process from when a disclosure or report is made to the outcome or closure of an incident was also considered good practice across the sector.

Incorporating students' voices into the review of policies and procedures was also highlighted as incredibly valuable. This enabled the institution to understand students' experiences of the process and to identify areas for improvement, supporting a more student-centred approach to tackling harassment. In the open text comments a small number of universities noted that engaging with reporting students could be difficult due to the sensitivities that could be involved.

> ## OUR RECOMMENDATION
>
> **11.** Universities to increase their engagement with reporting and responding students and bystanders, by working with students to understand the nature of the incidents affecting them and how the response from the university could have been improved. This will facilitate a more student-centred approach to response strategies and should help increase the numbers of students willing to come forward to report.

Support for the responding student

The evaluation of the OfS Catalyst funded projects noted that support for responding students appeared to be less well developed, compared to that for reporting students. The survey found that 67% of institutions reported offering improved support for responding students, although the need for further support on how to respond effectively to the responding student, particularly when the student is identified as having complex needs or experiences mental health issues, was also highlighted. As mentioned, a small number of institutions have started to use Sexual Violence Liaison Officers (SVLOs) to support responding students once clear boundaries have been put in place.

> ## OUR RECOMMENDATION
>
> **12.** Further guidance on how to support the responding student is required. This would be particularly useful where complex needs are demonstrated.

Several universities discussed the need for support in managing students with criminal convictions in the light of the recent changes to the UCAS application, in which students are no longer required to declare whether they have any relevant unspent criminal convictions.[6]

Supporting staff to handle disclosures

Given the extremely complex issues and emotions involved in the disclosure of any type of incident relating to harassment and hate crime, the UUK taskforce highlighted the importance of having appropriately trained frontline staff to enable an effective response to handling disclosures, as well as equipping all staff to deal with a first disclosure.

Positively, the survey found that 81% of participants are engaging all staff as part of the disclosure process. Progress is also evident regarding the implementation of training beyond frontline staff.

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6 Resources are available from UCAS to support universities in managing the changes to the criminal conviction question. For more information, please visit the UCAS webpage: https://www.ucas.com/advisers/guides-and-resources/adviser-news/news/changes-criminal-convictions-questions-2019 Further information is also available from the OfS: https://www.officeforstudents.org.uk/advice-and-guidance/promoting-equal-opportunities/evaluation-and-effective-practice/people-with-criminal-convictions/

CASE STUDY
University of Leeds

The University of Leeds has worked in partnership with the USV React project alongside the University of York to implement a comprehensive, cross-institutional training programme for staff. The training develops the skills, knowledge and confidence required to sensitively receive and respond to disclosures of sexual violence, harassment or abuse. A Train the Trainer model has been used with over 50 staff trained to deliver the 6-hour First Responder session. This group has included Leeds University Union and LUU Advice Centre staff, specialist student support staff, facilities directorate and academics. This has enabled the project to timetable fortnightly training sessions throughout 2018–19 and promote the training to all staff across the institution. Over 100 staff have completed training to date, with a further 300 projected to complete training later in 2019. In response to feedback, separate sessions are being offered to groups of postgraduate researchers.

While scaling up staff training is a key issue, several universities also provided examples of professional staff working to reduce barriers for academics in handling disclosures.

> *Staff are encouraged to ring with any student related concerns for guidance. We receive an average of about four calls a day, which provides an opportunity for just-in-time, problem-focused training and complements other more anticipatory offerings. This has built very productive relationships with academics.*

In the most part, participants are clearly redefining and envisioning how disclosure is understood by staff; this is found to help provide staff with the confidence and skills to respond to disclosures. A number of institutions have also considered which staff members need to be trained, and others have implemented a multi-tiered training strategy that covers the different types of incidents that can occur. One university reported that all staff were mandated to undertake an online disclosure module.
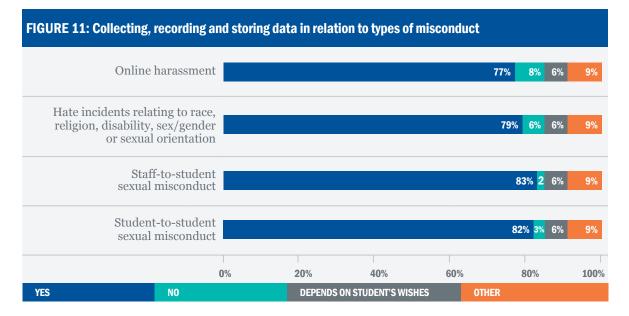
Examples of initiatives to support staff in handling disclosures

- Providing guidance information sheets or ID-size cards to all staff on a range of topics, such as dealing with distressed students, reports of sexual harassment, and confidentiality.

- Training and guidance given to the university's critical incident response team, which is responsible for covering the 24/7 emergency phone.

- Training a team of staff from across the institution in dealing with disclosures to form a highly skilled disclosure response team.

- Appointing and developing a network of Dignity and Respect advisors to raise awareness to all staff within their departments.

- Rolling out mandatory online disclosure modules as part of the equality and diversity modules.

- Training by the university equality, diversity and inclusion officer for university staff to become sexual assault responders, able to offer support and advice in a safe and confidential space.

- Training for vice-chancellors, heads of schools and their nominees on dealing with student disciplinary cases, including conducting investigations, disciplinary interviews, responding to complaints and serving on a disciplinary hearing.

- Embedding face-to-face disclosure training for academic staff as a component of the personal tutor training package that is scenario-based and reviewed by the wellbeing support team to answer questions about the support pathways in place.

- Enabling staff to access the student induction e-module, which covers sexual consent, mental health, drugs, alcohol, careers and access to external materials to support students in distress.

- Providing all staff with guidance cards that include details of the national, specialist support services and those available on campus.

- Developing a sexual assault and sexual harassment (SASH) responder to deliver all in-house training and specialist advice to all staff when dealing with a disclosure.

Collecting, recording and storing data

Evidence collected by UUK's taskforce in 2015 indicated that many institutions did not have systematic recording processes in place. **Figure 11** indicates that this has now changed with the vast majority of universities advising that they have systems in place for the collection and recording of data ranging from sexual and online harassment, to hate incidents. It is worth noting, however, that the survey question did not ask for information on whether data on hate incidents was broken down to indicate whether the incident was motivated by race or ethnicity, religion or belief, sexual orientation, disability or transgender identity, or more than one strand, given that harassment and hate incidents can be intersectional in nature. To support a more targeted approach towards preventative measures, where feasible, universities may find it helpful to record the type of hate incident reported (or motivations behind the incident), as opposed to the catch-all category, 'incidents of hate crime' used by UUK in the survey.

Although not available from UUK's survey, evidence of incidents relating to racial harassment experienced by staff and students in higher education has been collected by the EHRC for its inquiry into racial harassment in higher education (EHRC, 2018).

FIGURE 11: Collecting, recording and storing data in relation to types of misconduct

	YES	NO	DEPENDS ON STUDENT'S WISHES	OTHER
Online harassment	77%	8%	6%	9%
Hate incidents relating to race, religion, disability, sex/gender or sexual orientation	79%	6%	6%	9%
Staff-to-student sexual misconduct	83%	2	6%	9%
Student-to-student sexual misconduct	82%	3%	6%	9%

Adopting a more centralised approach to recording, collecting and storing data

The UUK taskforce acknowledged that reports may come via different routes or to different members of staff, resulting in data existing in different places across an institution. In view of this, the taskforce recommended that universities consider adopting a centralised approach to collecting, recording and storing data across all incidents of harassment. Such an approach can help ensure consistency across an institution as well as delivering data that can be reported to senior leaders and governing bodies to help determine the scale and nature of the problem, track trends and monitor progress of interventions. This can also be useful in supporting the development of strategies, allocating resources including training and the prioritisation of areas or activities that require action.

The survey found that just over half (54%) of all participating universities collated and stored data centrally. Despite an increase in the reporting mechanisms available, 47% of institutions reported that they did not record data centrally, indicating that there is still scope for further progress here. Those that had moved to a central process highlighted

the benefits of such an approach, acknowledging that it was easier to access data on harassment. This enabled the senior leadership to have an accurate picture of the nature and scope of harassment across the institution. This could have a further impact on any decision-making required in terms of resources and funding.

An increase in the reporting of incidents

Notably, participants from both the research study and the survey highlighted an increase in the number of disclosures by students and reported this as a likely indication of cultural change. This mirrors a key finding from the OfS Catalyst funded projects, which also found evidence of a reduction of students' tolerance of sexual harassment and hate incidents (Baird, 2019:7).

The increase in reporting was also reflected in an increase in the volume of disciplinary procedures, which although a positive development, also posed a challenge for some universities, due to the subsequent strain on resources. It was noted that this could be particularly challenging for an institution where support and interventions had not been embedded into existing roles and structures.

Several institutions also emphasised the importance of having the appropriate level of trained staff and having clear processes and procedures in place to support students before an awareness raising campaign is initiated.

Although the number of reports has risen more broadly, several institutions noted that reports on hate incidents/crime by students still tended to be low and there was a perception among some practitioners that there was underreporting in this area, perhaps reflecting the situation in wider society. A variety of number of reasons were offered as to why this may be the case:

- some behaviours being normalised in society, making it less likely that a student would make a report

- a lack of understanding among students of what constitutes racial harassment or a hate incident

- a lack of consistency in the language used by the sector

Some institutions also noted that *who was reporting* required further consideration, particularly in terms of whether certain groups were less likely to report incidents of racial harassment. In response to this, UUK recommends that wherever possible, equality monitoring should be embedded in reporting mechanisms and systems. The data can then be regularly analysed for key trends, particularly around protected characteristics and facilitate intersectional analysis. This will also allow an institution to be aware if some student groups are less likely to come forward and to consider what actions are needed to encourage the students from these groups to report.

OUR RECOMMENDATION

13. Equality monitoring should be embedded into reporting mechanisms and systems to enable an institution to analyse data for key trends, particularly around protected characteristics and to support intersectional analysis. This will indicate if some student groups are less likely to come forward and enable an institution to consider the actions required to address this.

Using internal academic research

Several universities acknowledged the use of internal academic research to support the development of a robust evidence base and to support the development of interventions. For example, 42% of participating institutions reported involving academic research to develop well-evidenced preventative and responsive strategies, as well as for evaluating existing programmes and interventions.

> *Research is taking place on sexual harassment and hate crime within a specific university research group.*
>
> **Newcastle University**

A few institutions mentioned the benefit of combining academic and professional expertise to create a more standardised and systematic approach to recording and storing data and to improve the reporting of data to senior leadership. For example, several institutions set up cross-working groups composed of interdisciplinary specialists, often from the criminology, sociology and law departments. This type of approach appears to provide an opportunity to capture information about deeper institutional issues and can support the development of more nuanced approaches and targeted interventions and, in some instances, facilitate a whole-institution approach.

Several universities suggested that it would be beneficial for universities to share information on the types of incidents that had occurred, and place this data in the context of an institution's size and region. This could support the creation of more context-specific strategies of prevention and response. London was highlighted as an area where region-specific data could build a more accurate profile of effective practice and develop further research. One university also recommended sharing comparative case studies on local issues within regions, as a way of strengthening involvement with local and regional partnerships.

OUR RECOMMENDATION

14. Universities should, if they have not done so already, consider establishing working groups combining academic staff and professional support service staff to develop a robust evidence base. This will support further research, determine 'what works' and allow interventions to be adapted to support students' needs.

Measuring impact and evaluation

Monitoring and the implementation of evaluation initiatives and programmes to determine the impact of activities over time will support a shift in culture. Only a minority of universities mentioned progress in measuring and evaluating impact. Notably, these universities drew on change management models to do this.

The survey found that 49% of participating institutions reported that measuring impact is an urgent area requiring further guidance. Reference was drawn to the benefits of knowing how to select methods, recognising cause and effect as a result of a programme or initiative, the ability to deliver improvements to existing initiatives, and providing intelligence to support strategic decision-making.

The need for further work on impact and evaluation was also flagged up in Advance HE's evaluation report to the OfS (OfS, 2019b), which recommended that the OfS and/or other sector bodies, in consultation with HESA, should research and develop a standard set of impact measures for safeguarding interventions. Responding to this, UUK has agreed to work with the charity Against Violence and Abuse (AVA), the NUS and a small group of institutions to develop impact measures.
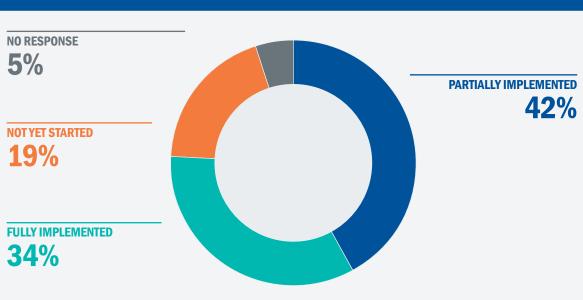
OUR RECOMMENDATION

15. Working with the sector and building on external expertise, UUK should provide guidance on measuring and evaluating impact. This should build on the lessons learned from the evaluations of the OfS Catalyst funded projects.

Pillar 5: Managing situations where students have committed a disciplinary offence which may also constitute a criminal offence

Alongside the taskforce's report, UUK published guidance for universities on handling alleged student misconduct (UUK, Pinsent Masons, 2016). This replaced the 1994 Zellick Report.

The guidance represents a significant departure from the position taken in the Zellick guidelines, which recommended that universities should not undertake any disciplinary action in relation to alleged misconduct that could also constitute a serious criminal offence. The previous view was that such matters could only be dealt with by the police, and so if the reporting student decided not to report the incident to the police (or if the police decided to take no action), then that would be an end of the matter. By contrast, the new guidance asserts that it is no longer appropriate for universities to do nothing in serious cases of alleged student misconduct. The revised guidance provides a framework to assist universities in the handling of sensitive and complex matters, while ensuring that the rights of both the reporting and responding students are protected and upheld.

The guidance makes recommendations about the process to be followed and the factors that can be taken into account. This includes adopting a risk-based approach when balancing duties and obligations towards the reporting student, the responding student and other members of the university community. This means that each decision must be taken on a case-by-case basis.

The findings from the research study and survey indicate that the principles and framework have been widely welcomed by the sector. However, it is also evident that there have been some challenges for institutions in responding to the recommendations (**Figure 12**). This is not surprising, given that the guidance requires significant policy development and changes to structures, systems, processes and procedures, for which there is no precedent or 'off-the-shelf' solution.

FIGURE 12: Progress on implementation of the UUK, Pinsent Masons guidance (2016)

NO RESPONSE
5%

NOT YET STARTED
19%

FULLY IMPLEMENTED
34%

PARTIALLY IMPLEMENTED
42%

To support institutions in responding to this agenda, in 2018–19, UUK worked with a small group of institutions, led by Middlesex University, that have already incorporated the guidance into their disciplinary processes. The group's objective was to share practice and gather feedback on approaches, as well as examining the implementation of the guidance in the 2018–19 academic year. The universities involved include the University of Bath, University of Durham, Keele University, the University of Liverpool, and the University of St Andrews. The findings from this research will be shared with the sector in autumn 2019.

UUK is also working with Coventry University to develop a case management process. As an effective response to a case is likely to involve many functions within and outside the institution, a case management system will provide support for the whole process end to end. Such a system will facilitate the reporting process for incidents that could constitute a criminal offence, as well as enabling the institution to capture evidence and provide support to the reporting and responding student. Guidance on the system will be launched in autumn 2019.

A report on the development of the case management system at Coventry is also available on the OfS website (Osmond, 2019).

Alongside this project, LimeCulture CIC has undertaken an external evaluation of the case management process introduced by Keele University (LimeCulture CIC, 2018). A report on the outcomes of the evaluation is available on Keele's website.

OUR RECOMMENDATION

16. **To support the management of complex cases that could also be criminal offences, universities may wish to adopt a case-management approach. This would enable an institution to adopt a robust approach to cases which can involve a range of processes, different departments and multiple people inside (and outside) the university who will have varying relationships with each other, as well as the collation of documents, messages and digital data.**

Approaches adopted for implementation

From the evidence collated, there are differences in the extent and the ways in which the guidance has been implemented, although there is strong support for managing cases on a case-by-case basis, as recommended by the guidance.

Many institutions reported that they had implemented a risk assessment framework or risk process to handle student cases. This enabled the identification of risk to all parties as well as the university community, and subsequently informed decisions on the support and any precautionary measures to be taken.

A number of institutions also reported that they were in the process of developing, or using, a case management process as part of their response to managing incidents of misconduct. It was noted that a case management system could be particularly helpful in responding to complex cases by facilitating a whole-institution approach. This also helped to promote consistency and a robust approach.

As in other areas, the terminology used varied across institutions, with some referring to protective or partial suspensions and others referring to precautionary measures, when putting measures in place to protect all parties if there was a high risk to other students or staff. One institution noted the apparent expectation to put precautionary measures in place even when a reporting student did not wish to pursue either a university or a police investigation.

Examples of initiatives to support the implementation of the framework

GENERAL:

- Embedding the framework's principles into institutional regulations and procedures relating to misconduct, fitness to practice and disciplinary procedures.

- Drawing up a list of the recommendations from *Changing the culture* and the UUK, Pinsent Masons guidance and key changes needed for university documentation prioritised with an action plan to include wider culture changes.

- Developing a register of expert advisors who can provide their expertise when addressing complex incidents between students (eg antisemitism, race, LGBT+).

- Appointing case managers to lead on the delivery of a case management approach.

- Deferring an investigation under university regulations pending the outcome of any criminal investigation and prosecution.

- Operating on the basis of a 'balance of probabilities'.

REVISION OF POLICIES AND PROCEDURES:

- Mapping of the guidance on to existing policy and procedures, with revisiting, re-writing and improving:

  – student code of conduct by referencing the types of behaviour that breach regulations

  – staff code of conduct

  – including references to social media and definitions of sexual misconduct and hate crime in codes of conduct

  – referencing where an offence could also constitute a criminal offence and/or making a clear distinction between criminal and disciplinary offences

  – incorporating the UUK, Pinsent Masons (2016) guidance into disciplinary procedures, including by adopting the terminology and the use of precautionary measures

  – referring to the guidance on disciplinary procedures from the Office for the Independent Adjudicator (OIA, 2018).

- Re-visiting procedures to ensure an equal duty of care, support and information, were provided to both reporting and responding students. Other actions include using different staff to provide support to avoid a conflict of interest.

- Developing a safeguarding policy to cover all further and higher education students.

- Developing an online reporting tool for sexual misconduct and hate crime, using the guidance from UUK, Pinsent Masons (2016) and the institution's own legal guidance.

- Development of guidance and/or training for those involved in conducting investigations, (a number of institutions mentioned attending one of UUK's workshops on investigations) and sitting on disciplinary panels.

- Developing guidance and training for staff who respond to disclosures.

- Mapping out policies and processes on a flowchart.

RECORDING OF DATA

- Categorising and recording all incidents on a secure platform from which management reports can be generated.

- Developing a centralised system for recording and monitoring the progress of cases.

SHARING OF INFORMATION

- Developing protocols for sharing information to ensure internal and external parties are updated as appropriate, such as an information-sharing agreement with the local police.

- Developing guidance on confidentiality, including compliance with GDPR.

PRECAUTIONARY MEASURES

- Developing guidance on the use of precautionary measures.

- Following risk assessment, introducing reasonable and proportionate precautionary measures to allow action to be taken to safeguard both the reporting and responding student, such as no contact contracts.

RISK ASSESSMENT

- Developing guidance relating to the risk assessment process to inform decisions relating to precautionary measures and to ensure a clear audit trail of decision-making.

- Taking positive action around safeguarding, based on appropriate risk assessment, whether or not the police are taking action.

- Establishing risk assessment panels to review risk and any mitigating actions required, and including staff from across different functions in an institution (legal, disciplinary, HR, student wellbeing, etc).

- Allowing for a more holistic assessment of risk to both the reporting and responding students by ensuring that all relevant departments are involved.

Making judgements on cases

Several institutions requested that guidance on making judgements on incidents would be useful, particularly in clarifying whether an offence may be criminal or have legal implications. For example, it was noted that often incidents were complex and highly nuanced in nature. Almost one-third (31%) of institutions noted that this could be challenging in terms of knowing what to record and the level of detail that the police require. The most common reason given for further guidance was due to the level of specialism that could be required and the capacity of staff to respond to the increase in reports. Lack of knowledge on the categorisation of offences and types of sanctions to put in place was also cited, specifically in reference to online harassment and race-based hate crime. Developing effective communication channels, including information sharing with the police, was suggested as a mechanism to support institutions in managing these complex cases.

Several institutions in Scotland expressed support for the review by Universities Scotland of the UUK, Pinsent Masons (2016) guidance, which would take account of the policy context in Scotland, which includes a specific gendered analysis approach to sexual violence and a different legislative landscape.

Information sharing and the threshold of confidentiality and anonymity

Knowing when and how to share information in compliance with data protection legislation and GDPR was a significant area of concern raised by institutions. A key challenge lay with the implications of GDPR, alongside the threshold of confidentiality for the reporting and responding students, and the requirement by universities to demonstrate an equal duty of care to all parties.

The most common issues included:

• data-sharing across partner agencies

• increasing transparency in communicating the outcomes of a disciplinary case

• reporting a criminal offence to the police that is against the reporting student's wishes

For this reason, 38% of participants requested guidance on how to share information on the disciplinary process, including the outcome, with a reporting student. Many participants suggested that the use of real-life case studies with reference to GDPR compliance could support future practice.

UUK has also agreed to work with the Police Association of Higher Education Liaison Officers (PAHELO), to explore how to support the sharing of information between police forces and universities.

OUR RECOMMENDATION

17. Working in partnership with the PAHELO, UUK will explore how to support information sharing between polices forces and universities.

Pillar 6: Sharing good practice

The UUK taskforce noted that despite the volume of positive activity happening already, much of the work had not been shared and this represented a missed opportunity. It is evident from the survey that this situation is now changing, with institutions reporting on the benefits of engaging with other universities and third-sector organisations in sharing and drawing on examples of effective practice.

" *You learn so much from one academic year it would be really positive to share this with others and learn new ideas and interventions/strategies from other institutions.*

The examples of initiatives in this report, along with the many examples of good policy and effective practice available from the OfS Catalyst funded projects (Baird, 2019; OfS, 2019b) and the student safety and wellbeing section of the OfS website indicate a profound change in the initiatives and ideas that are now available for sharing across the sector. Over time, this exchange of knowledge and learning will help facilitate cultural change at both institutional and sector level.

UUK welcomes the continued support to facilitate the exchange and dissemination of good practice across all forms of harassment (OfS, 2018). This will complement the online Shared Practice Area developed by Anglia Ruskin University,[7] where universities can upload and share resources and other information and allow for the development of increased uniformity of good practice across the sector.

> *We have created the Shared Practice Area, an online site for colleagues across the higher education sector to learn from one another and share resources in real time, rather than every institution reinventing the wheel or working in silos.*
>
> **Anglia Ruskin University**

Improving collaboration

It seems that cross-institutional working vitally facilitates the bringing together of professional and academic expertise in universities along with other actors to address common and emerging issues, share concerns and successes and, in some instances, to develop more innovative and responsive practice. It can also enhance transparency by facilitating open conversations and dialogues between institutions on 'what works' and how to deliver improvements.

> *We are involved in a local joint forum with three other universities which is valuable in terms of sharing local practice and experience – the dissemination of outcomes and initiatives from Catalyst funded projects is invaluable, as have the webinars that have been delivered.*
>
> **Bath Spa University**

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7 See http://ftp.anglia.ac.uk/anet/student_services/unsilenced/campaigns/shared-practice-area.phtml

The survey also found that Catalyst funding for English institutions had incentivised greater institutional collaboration, particularly on underdeveloped areas of online harassment and hate crime.

Suggestions for how collaborative working could be improved further included proposals for regional-based workshops between universities that could allow for the development of targeted, context-specific solutions.

In Scotland, the survey found that the Scottish Government's ESHE project (University of Strathclyde, Glasgow, 2018) had acted as a strong impetus to driving cross-institutional collaboration on research, training, expertise and advice for higher education institutions within Scotland. Crucially, for the majority of Scottish institutions, cross-institutional working is enhanced by close working within the sector, and with Police Scotland.

Institutions also highlighted the value of events, workshops, conferences and promotional activities hosted by UUK. Several institutions gave examples of how UUK's activities have served as a prompt within institutions to take action, or where institutions were already engaged, to facilitate further work to address this agenda. In the most part, UUK events and networks are enhancing a more collaborative approach within and between universities.

> *It is important that UUK keeps this work on the agenda and keeps momentum going in the sector, which means that institutions can't begin to think their work is finished in these areas and stop moving forward. Strong guidance or a baseline that all universities need to achieve would help to ensure that the work in this area continues and that all universities can work to a minimum standard.*

New guidance: tackling online harassment

During the development of *Changing the culture*, UUK's taskforce was increasingly concerned by the manifestation of harassment and hate crime in online spaces. Responding to this, the taskforce invited UUK to develop guidance for the sector to address online harassment among students. This guidance was published in August 2019 and includes a framework which builds on the *Changing the culture* framework, with practical recommendations to support universities in addressing online harassment. Attention is drawn to:

• moving accountability for tackling online harassment to the senior leadership team

• meaningfully and consistently involving students in the development, execution and assessment of initiatives to tackle online harassment, as well involving students' unions, academics and all staff

• updating partnership agreements, such as the student contract or code of conduct, to include expected behaviours in the online sphere

• adopting the term 'online harassment' in policies and making clear to staff and students that what can be referred to as 'cyberbullying' can constitute harassment or a hate crime

• implementing accessible reporting mechanisms for students to make a disclosure or report

• collecting data on how online harassment is experienced within the student cohort and providing governing bodies with regular reports on online harassment

- working with partners, including schools and colleges, to provide early information to students on arrangements to tackle harassment and the consequences of inappropriate behaviour online

- regularly reviewing policies and using tools, such as the University of Suffolk's higher education online safeguarding self-review tool, to support this

- encouraging staff as role models in championing appropriate online behaviour

- considering adopting the questions on the NSS relating to student safety

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OUR RECOMMENDATION

18. Universities review UUK's guidance on addressing online harassment to enhance existing practice.

Barriers or challenges

Working towards institutional cultural change takes time. Identifying and addressing key barriers and challenges faced by the sector will be critical in providing the sector with an opportunity to lead the way in driving cultural change and in tackling harassment and hate crime – not only in our universities, but across the workplace and society.
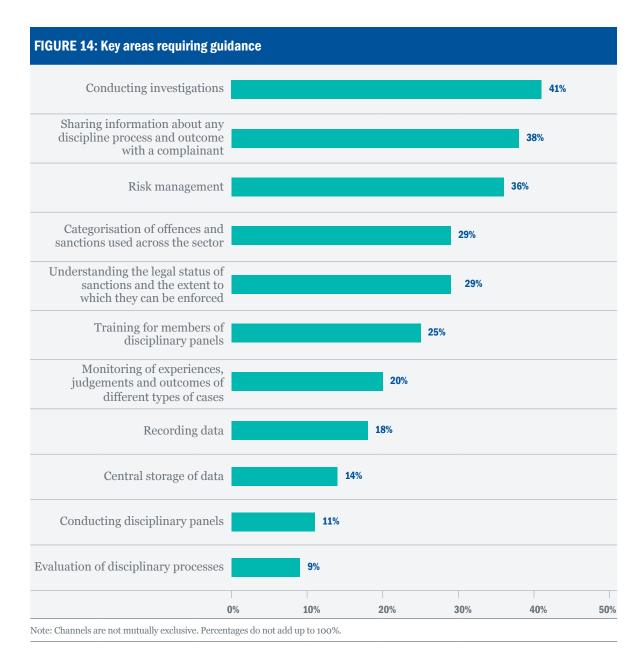
The key barriers and challenges highlighted by survey respondents are summarised in **Figure 13**. Many of these have already been referenced in the report, however, it is worth noting that supporting international students was identified as a challenge by 25% of institutions.

FIGURE 13: Key barriers or challenges to enhancing progress in your institution

Barrier or challenge	Percentage
Measuring impact	49%
Scaling up of training of staff	42%
Handling incidents of hate crime	37%
Scaling up of bystander training	37%
Evaluation	36%
Resourcing model	35%
Seeking a common terminology in language used across the sector	31%
Supporting international students	25%
Reporting systems	24%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

Areas requiring further guidance

There are clear commonalities where the sector would welcome further guidance. Most of these have been highlighted already, however, for ease of reference these are summarised in **Figure 14**.

FIGURE 14: Key areas requiring guidance

Area	Percentage
Conducting investigations	41%
Sharing information about any discipline process and outcome with a complainant	38%
Risk management	36%
Categorisation of offences and sanctions used across the sector	29%
Understanding the legal status of sanctions and the extent to which they can be enforced	29%
Training for members of disciplinary panels	25%
Monitoring of experiences, judgements and outcomes of different types of cases	20%
Recording data	18%
Central storage of data	14%
Conducting disciplinary panels	11%
Evaluation of disciplinary processes	9%

Note: Channels are not mutually exclusive. Percentages do not add up to 100%.

In Scotland, most of the institutions noted the strong mutual support across the Scottish higher education sector and the sharing of experience and good practice. However, there were a few areas where further support was welcomed, including:

• guidance on recording and reporting

• building relationships with Police Scotland

• continued awareness-raising with university principals.

Continuing assessment of institutional and sector progress was highlighted as a key priority. Most institutions found the UUK survey a useful tool to reflect on individual progress to date and to draw attention to any barriers and challenges to delivering further improvements.

To sustain momentum, regular progress reviews are critical so that individual institutions can gain an in-depth understanding of the prevalence of incidents and the impact of initiatives. This may further support a sector-wide standard and is likely to encourage priority status and consistency in the principles for addressing all forms of harassment and hate incidents.

To enhance good practice, there is also a clear opportunity for UUK to collaborate with universities on the type of evidence required for developing a national survey every two years. The sharing of initiatives underpinned by rigorous data, including on their impact, would further provide support for institutions to customise these initiatives. This would also provide the space for institutions to reflect on successes as well as lessons learned in developing their practice.

OUR RECOMMENDATION

19. **UUK should carry out a survey every two years to review the sector's progress towards meeting the *Changing the culture* recommendations. This would help contribute towards a sector standard, as well as provide learning and sharing opportunities for institutions.**

CONCLUSION AND NEXT STEPS

Overall, the survey highlights a heightened commitment across the higher education sector towards driving cultural change.

In comparison to previous reports from UUK, key findings along with examples of interventions indicate that substantive effort is being made by individual institutions to develop a more comprehensive, systematic and joined-up approach. Similarities in approaches demonstrate that universities are equally working towards establishing good practice as a minimum standard. A particular focus on targeting students throughout their university journey, as much as targeting all staff, seems to be a critical enabler to ensure the shift in culture happens across the entire university environment.

Importantly, a message emerging from the survey is that prevention is beginning to foreground response; a fundamental principle of the UUK taskforce recommendations. Various examples and open-text comments provided by the participating universities demonstrate how prevention is seen as a clear driver for sustainability.

Further, the report has found a number of strong recommendations from those on the ground. Good practice for professional and academic staff is characterised by centralised, rigorous evidence driven by academic and professional expertise and impact assessment for effective decision-making. Clear delegation on who delivers on what and the levels of authority for the oversight of streamlined reporting procedures into governance seems to enhance this process. There is also a building consensus that the voice of students, whether the responding student, reporting student or bystander, is a vital resource in helping to develop programmes and initiatives that provide nuanced support and care and speak for change in universities, not simply to stay abreast in their response but to advance this agenda.

Responsibility for creating a culture in higher education whereby any form of misconduct towards a student or staff member will not be tolerated resides with everyone. While change takes time, it is vital that the current momentum to tackle this agenda in higher education continues.

ANNEXE 1: UK-WIDE POLICY CONTEXT

In 2018, across England and Wales, the Home Office released a mid-term update on Action Against Hate (HM Government, 2018). The original plan outlined a four-year programme grouped around five themes, one of which is to prevent hate crime by supporting educational establishments to challenge harmful narratives before they develop into hatred. Supported by a thematic review (Hambly et al, 2018), which indicated a sharp upward trend in reporting, clear commitment has been made to working with UUK and the higher education sector to tackle sexual harassment, hate crime and online harassment by 2020 (HM Government, 2018).

In late 2018, the EHRC launched an inquiry to understand the nature, state and prevalence of racial harassment in universities from England, Scotland and Wales (EHRC, 2018). Targeting all staff and students who experienced, witnessed or helped in an incident of racial harassment from September 2015 onwards, the inquiry aims to understand the extent to which the routes to redress are available to both students and staff. All universities were asked to submit evidence to the inquiry. Results of the inquiry are due to be published in autumn 2019 and will include a series of recommendations targeted at universities. UUK has also submitted evidence to the inquiry and is working with the EHRC to ensure that the recommendations align with the *Changing the culture* framework and are as meaningful as possible to universities across the sector.

In 2019, the Department of Digital, Culture, Media and Sport (DDCMS) and the Home Office published the Online Harms White Paper (DDCMS, Home Office, 2019). This outlines measures to ensure the UK is the safest place in the world to be online. It also set out new online safety laws in response to the Internet Safety Strategy Green Paper (HM Government, 2017).

England

In July 2018, the Government Equalities Office published an LGBT action plan, which is a cross-government plan that sets out commitments by government to help improve the lives of LGBT and transgender people. The plan includes reference to a request to the OfS to take steps to ensure that universities are places of tolerance for all students. This includes working with higher education providers, for example, by supporting work to ensure that students who have been a victim of homophobic, biphobic and transphobic incidents have the support in place that they need, through access to appropriately trained staff and signposting to local specialist organisations. The OfS has stated that it will investigate and tackle gaps in participation, experience, safeguarding and success for LGBT students in higher education.

In March 2019, the government in England refreshed the strategy Ending violence against women and girls 2016–2020 (HM Government, 2019a), identifying clear areas of progress in this area including working with UUK. A position paper on male victims was released at the same time in recognition of the number of men and boys who equally experience violent and abusive crimes, with the aim of strengthening the government's response (HM Government, 2019b). In both papers, action on identification and reporting, prosecution and access to support services are listed.

Universities are also subject to the OfS regulatory framework. The OfS has a 'duty to have regard to promote equality and diversity across the whole student lifecycle and to ensure that 'all students from all backgrounds, with the ability and desire to undertake higher education, are supported to access, succeed in and progress from higher education'. Thus, although the responsibility for collecting data on incidents of harassment and sanctions and the monitoring of outcomes remains with individual institutions, if the OfS identifies evidence of suspected systemic breaches or weaknesses in how an institution meets its duty of care towards students, for example in relation to management and governance, it has the powers to investigate. The OfS has also stated that it would not hesitate to take action if necessary to protect students' interests.[8] This sits alongside its role to champion and shape sector-wide debate on specific areas such as harassment and to encourage the dissemination of good practice and 'what works', which has already been helpful in supporting change in this agenda.

In February 2019, the government's strategic guidance to the OfS stated that 'the OfS should continue its work supporting the student experience with a focus on wellbeing, mental health, welfare and harassment and hate crime.'

Catalyst funding from the OfS has further enabled short-term diverse interventions with the aim of stimulating sector-level cultural change. Framed around the UUK taskforce recommendations, two rounds of one-to-one matched funding supported 108 projects, which were completed by the end of 2018. A third round of funding was provided in March 2018 to an additional 11 higher education institutions with the aim of forming a nationwide network of specialist knowledge and leading practice in addressing hate crimes on the grounds of religion or belief. An independent evaluation of the first round of Catalyst funded safeguarding students projects demonstrated that funding had provided the momentum needed (Advance HE, 2018). In turn, substantive progress was made in effective delivery and management of initiatives, becoming embedded in 'business as usual' and supported by senior-level leadership. However, the one-year time scale of the funding was highlighted as a challenge, in that some institutions felt it was difficult to determine the effectiveness of projects and whether real change had taken place. An interim report on round 3 of the OfS Catalyst funded projects (religious harassment and hate crime) will be published in autumn 2019 and the final report will be available in May 2020.

Wales

In 2016, the Welsh Government released a range of measures as a result of the Violence Against Women, Domestic Abuse and Sexual Violence (VAWDASV) Act 2015, which drives the policy context in Wales. This built on the progress made since the publication in 2010 of *The Right to be Safe Strategy* (Welsh Assembly Government, 2010) and is aimed at a society where everybody is able to live fear free.

The Act required the Welsh Government to establish a national strategy. The strategy prioritises delivery in three areas: prevention, protection and provision of support. Within these areas, it outlines six objectives. These are: increased awareness of violence against women, domestic abuse and sexual violence across Wales; enhance education about healthy relationships and gender equality; challenge perpetrators and provide interventions to change their behaviour; ensure professionals are trained; provide victims with equal access to appropriately resourced services across Wales; and work together as a sector to meet the needs of communities and increasing the sustainability and capacity of the sector. This Act specifically refers to universities to address safeguarding practices.

To support delivery of the strategy, the government developed a cross-government Delivery Framework 2018–2021 (Welsh Assembly Government, 2018). This requires the Welsh Government to work with HEFCW to strengthen the approach to enhancing safeguarding practices and resilience, supporting employee and student initiatives that tackle violence against women, harassment and other adverse factors affecting mental health; and to work with HEFCW to develop a sector-specific good practice guide and other relevant guidance.

This is reflected in the Cabinet Secretary for Education's remit letter to HEFCW for 2018–2019 which expects council and higher education institutions to address safeguarding practices and resilience and to support employee and student initiatives that tackle violence against women and harassment.

In July 2018, HEFCW officers met the Welsh Government's senior VAWDASV policy manager to discuss collaborative approaches to meet the actions set out in the VAWDASV delivery framework. In 2018, Advance HE, funded by HEFCW and Universities Wales, developed a briefing for universities[9] that summarises relevant UK and Wales higher education policy and practice to address violence against women, sexual misconduct and other related forms of violence and harassment. It highlights a range of key recommendations, including as they relate to the specific legislative context in Wales. In 2018, HEFCW established a health and wellbeing working group, and although the current focus is on mental health, it is anticipated that this group will also look at harassment. Working to protect and support victims of violence, a national adviser was appointed in 2018 to provide advice to ministers and improve coordination across public bodies that are working to implement the national strategy.

A recent action plan was released in 2019 that includes the creation of an expert academic panel to monitor the principles of the Convention on the Elimination of all Forms of Discrimination Against Women and the Istanbul Convention in Wales.

The Welsh Government collated evidence from the All Wales Hate Crime Research Project by Cardiff University and Race Equality First to create a Hate Crime Delivery Plan for 2016–17 with the aim of reducing the number of hate crimes and incidents across Wales. The plan is due to be updated in 2019.

Scotland

In Scotland, the ESHE project (University of Strathclyde Glasgow, 2018) aims to eradicate gender-based violence (GBV) in higher education. Led by the University of Strathclyde and funded by the Scottish Government, the pilot project began in 2014 and ran for two years, culminating in the publication of the EHSE toolkit. It is now available for all Scottish universities covering research, policy, response, primary prevention, intervention, curriculum and knowledge exchange.

As part of the project, an initial desk-based rapid review of existing GBV for Scottish higher education institutions was undertaken in 2017. Positive action was identified; however, activity was not found to be widespread across the sector. In 2018, a second rapid review took place, which reported a shift in progress towards GBV becoming a strategic priority. However, it found that resources and funding were poorly allocated at the senior level, hindering institutional progress. In addition, current understandings and experiences of GBV on campus needed clearer definition to ensure all types of behaviours and language were reported rather than only the most severe.

ESHE is driven by the Scottish Government through a nationwide strategy as well as the Equally Safe in Colleges and Universities working group. This group consists of senior members and government officials and works to support the roll-out of the ESHE toolkit across colleges and universities and to identity other areas where stakeholders can work strategically and collaboratively.

9 'Violence against women, sexual misconduct and harassment' briefing for Advance HE EDI Welsh Liaison Group.

In April 2018, the Scottish Government's Letter of Guidance to the Scottish Funding Council included the government's expectations of universities' work to prevent GBV for the first time. The letter also confirmed the expectation that universities would follow the gendered analysis in their approach to this issue, which acknowledges that violence against women and girls occurs because of gender inequality in society and locates work to prevent GBV within the wider agenda of promoting gender equality. This is based on the United Nations Declaration on the Elimination of Violence Against Women.

In spring 2019, Universities Scotland started work to review the Universities UK, Pinsent Masons (2016) guidance on student misconduct that might also constitute a criminal offence. This project aims to revise the guidelines to serve the different policy, legislative and criminal processes in Scotland, which have evolved rapidly since the original version was published. This intends to support institutions in delivering a trauma-informed response to potential incidents of GBV and hate crime against students.

In Scotland, Mrs Fiona Drouet has established a campaign entitled the Emily Test, in memory of her daughter Emily who took her own life following abuse while at university. The campaign is aimed at supporting colleges and universities to support students affected by GBV and to roll out the recommendations in the ESHE toolkit across universities and colleges. At the beginning of the academic year 2018–2019, Mrs Drouet worked with Universities Scotland and institutions in Scotland to roll out support cards to all members of staff as an interim measure, so that staff are able to support students when receiving a disclosure until training has been completed.

Published in May 2018, an Independent Review of Hate Crime Legislation in Scotland further reported on gaps within existing legislation (Scottish Government, 2018a). A consultation from the Scottish Government is currently launched for the period of 2019 to modernise hate crime legislation, carrying implications for the higher education context (Scottish Government, 2018b). This will inform the development of a revised hate crime bill.

Northern Ireland

In Northern Ireland, the recent policy context includes *Stopping Domestic and Sexual Violence and Abuse in Northern Ireland*, a seven-year strategy (Northern Ireland Executive, 2016). The vision of the strategy is to have a society in Northern Ireland in which domestic and sexual violence is not tolerated in any form, effective tailored preventative and responsive services are provided, all victims are supported, and perpetrators are held to account. The strategy is applicable to all levels of education as well as other organisations in the public sector.

In August 2018, the Department of Health and Department of Justice jointly published a 2018–2019 action plan under the Stopping Domestic and Sexual Violence and Abuse Strategy. This strategy includes some new actions, including considering how relationships and sexuality education curriculum resources can support teachers in addressing domestic and sexual violence and abuse.

In June 2019, the Department of Justice commissioned an independent review of Northern Ireland's hate crime legislation. The review will include looking at definitions of hate crime, the legislative framework and whether there is any potential for restorative approaches for dealing with hate motivated offences. A report is expected in May 2020.

ANNEXE 2: GLOSSARY

A glossary of terms and definitions, and, where applicable, the relevant legislation, is provided below. These are based on the definitions found on pages 7–13 in *Changing the culture (UUK, 2016)* .

COMPLAINANT
An individual who has reported a criminal offence against them to the police.

DISCLOSURE
The act of revealing information that was previously unknown to the recipient and is often a secret. In this context, the information is likely to pertain to an experience of unwanted conduct or possibly the doing of problematic behaviour.

GENDER BASED VIOLENCE
Violence against someone because of their gender and expectations of their role in a society or culture. Women experience gender based violence disproportionately, but men can also experience it.

HARASSMENT UNDER THE EQUALITY ACT 2010
Unwanted behaviour that makes a person feel offended, intimidated or humiliated. It is unlawful (in civil law) if it occurs because of, or connected to, one or more of the following protected characteristics:

• age

• disability

• gender reassignment

• race

• religion or belief

• sex

• sexual orientation

• marriage and civil partnership

• pregnancy and maternity

HATE CRIME
Any harassment or crime motivated by hostility towards an individual or group's identity, including but not limited to race, religion, sex, gender identity, sexual orientation, disability and transgender identity (Home Office, 2016).

REPORTING STUDENT
The student that makes a disclosure or report.

RESPONDING STUDENT
The student that has a complaint made against them.

SEXUAL MISCONDUCT
All sex-related offences, as distinct from hate crime (UUK, Pinsent Masons, 2016).

DISCIPLINARY OFFENCE OF SEXUAL MISCONDUCT
Offensive acts and behaviours of sexual misconduct that warrant disciplinary action include:

• sexual intercourse or engaging in a sexual act without consent

• attempting to engage in sexual intercourse or engaging in a sexual act without consent

• sharing private sexual materials of another person without consent

• kissing without consent

• touching inappropriately through clothes without consent

• inappropriately showing sexual organs to another person

• repeatedly following another person without good reason

• making unwanted remarks of a sexual nature

SEXUAL VIOLENCE
A non-legal term used as an umbrella term to refer to and include the different sexual offences of rape, sexual assault by penetration and sexual assault. These are part of the criminal law and are found in the Sexual Offences Act 2003. In Scotland, the Sexual Offences Act came into force in 2010.

ANNEXE 3: SURVEY QUESTIONS

Senior leadership role and resources

2. Who is accountable for leading on the delivery of this area of activity (as opposed to on a day-to-day basis)?

- [ ] Vice-Chancellor or similar
- [ ] Pro-Vice-Chancellor or similar
- [ ] Chief Operating Officer
- [ ] Registrar
- [ ] Director of Student Services or similar
- [ ] Head or Manager of Student Support Services or similar
- [ ] Academic Registrar
- [ ] Other (please specify, e.g. if this is more than one person):

3. How has your institution responded to the recommendations in the Changing the culture report? Please tick all boxes that apply

- [ ] Set up a working group, interdisciplinary team or project to do this
- [ ] Developed a strategy and action plan
- [ ] Developed an institution-wide approach to address this agenda
- [ ] Committed longer term resources to support activities
- [ ] Recruited new staff
- [ ] Secured buy-in from senior management
- [ ] Other (please specify)

4. How will your institution ensure sustainability of initiatives to address harassment, hate crime and gender-based harassment? Please tick all boxes that apply

- [ ] Change temporary structures to permanent structures eg working group(s), interdisciplinary teams, or project(s)
- [ ] Ensure working groups, team, or projects are embedded within the reporting and governance systems
- [ ] Ensure any changes are embedded into the institution's governance systems or structures, policies, practices and processes
- [ ] Regularly review progress
- [ ] Other ways (please specify):

Taking a holistic institution-wide approach

5. Do you provide an update to your Governing Body / Court or a Committee of your Governing Body or Court on the University's response to the Changing the culture report or on your progress to address harassment, hate crime and sexual misconduct?

☐ Yes

☐ No

☐ Not yet but planned

☐ Do not know

6. Which of the following groups have been involved in developing your institution's strategic response to the Taskforce's recommendations? Please tick all boxes that apply.

☐ The students' union / guild

☐ Students from different backgrounds and identities

☐ Reporting/Responding students

☐ Staff

☐ Third sector and / or local specialist agencies, such as Rape Crisis centres or similar services for sexual misconduct or National LGBT Hate Crime Partnership etc

☐ Other (please specify):

Prevention strategies

7. Please state what preventative activities your institution has implemented or tested? Please tick all boxes that apply

☐ Student bystander programme

☐ Student consent training

☐ Student-led activities (other than bystander or consent initiatives), such as peer-to-peer learning / support

☐ Adopting a zero-tolerance culture across institutional activities

☐ Conducting preventative campaigns

☐ Engaging with local schools and colleges through outreach activities to support a joined-up approach to address this agenda

☐ Engaging with other providers or local organisations within the community to support a joined-up community approach to this agenda

☐ Conducting research to get a better understanding of where interventions should be targeted and what works

☐ Updating discipline procedures

☐ Student code of conduct

☐ Other (please specify):

8. How are behavioural expectations and potential sanctions made clear to students for incidents of sexual misconduct or violence, harassment and hate crime? Please tick all boxes that apply

☐ Official policies (online or in print)

☐ Signed document / contract

☐ Induction talk

☐ Student handbook

☐ Social media

☐ Campaigns

☐ Websites

☐ Pre-arrival information

☐ Other (please specify):

9. There are two additional, optional questions relating to student safety in the National Student Survey (NSS) questionnaire. These invite students to indicate their answers, on an agree-disagree scale, in response to these statements:

1. I feel safe to be myself at university / college.

☐ Yes

☐ No

☐ Do not know

2. My institution takes responsibility for my safety. Will your institution be adopting the voluntary questions relating to student safety in the NSS?

☐ Yes

☐ No

☐ Do not know

Response strategies

**10. Please state what response activities your institution has implemented?
Please tick all boxes that apply**

☐ Clear information for students on how to report

☐ Developed or improved reporting mechanisms

☐ Developed or improved online resources or tools

☐ Training for staff

☐ Improved support for reporting student(s)

☐ Improved support for responding student(s)

☐ Partnerships with local specialist services established to enhance referral pathways for students

☐ Developed or improved recording of data on incidents

☐ Other (please specify)

11. Please indicate the options /mechanisms available for students to report a disclosure of the following types of misconduct? Please tick all that apply.

	In person	Dedicated reporting tool	Website/ online	Mobile/App	Telephone	Other
Student-to-student sexual misconduct	☐	☐	☐	☐	☐	☐
Staff-to-student sexual misconduct	☐	☐	☐	☐	☐	☐
Hate crime (including incidents and crimes related to religion, disability, sex/gender or sexual orientation)	☐	☐	☐	☐	☐	☐
Online bullying and harassment	☐	☐	☐	☐	☐	☐

☐ Other (please specify)

12. Please indicate the options / mechanisms available for students to report a disclosure of the following types of misconduct? Please tick all that apply.

	Yes, Reporting Student remains anonymous but provides details of the other party	Yes, but both Reporting Student and other party remain anonymised	Option not available
Student-to-student sexual misconduct	☐	☐	☐
Staff-to-student sexual misconduct	☐	☐	☐
Hate crime (including incidents and crimes related to religion, disability, sex/gender or sexual orientation)	☐	☐	☐
Online bullying and harassment	☐	☐	☐

13. Does your institution collect, record and store data in relation to the following

	Yes	Depends on student's wishes	No
Student-to-student sexual misconduct	☐	☐	☐
Staff-to-student sexual misconduct	☐	☐	☐
Hate crime (including incidents and crimes related to religion, disability, sex/gender or sexual orientation)	☐	☐	☐
Online bullying and harassment	☐	☐	☐

☐ Other (please specify)

14. Please state if data is collected centrally or not. If neither option is relevant please specify in Other.

☐ Centrally i.e. there is a centralised point where data is collated and stored

☐ A non-centralised approach is used

☐ Other (please specify):

15. Please describe your approach for training staff in no more than 500 words. It would be helpful if you could include which groups of staff have already received training or will receive training in the academic year 2018–19.

Handling situations where a student disciplinary offence may also constitute a criminal offence

16. Has your institution begun implementing the UUK, Pinsent Masons guidance on dealing with student behaviour which may constitute a criminal offence?

☐ Not yet started

☐ Partially implemented

☐ Fully implemented

17. If your institution has already or is in the process of implementing the guidance please describe your approach, eg whether this includes risk management, and/or the development of a case management approach.

18. Do you require further clarification /guidance on any aspects of the UUK , Pinsent Masons guidance?

- [ ] Yes
- [ ] No
- [ ] Do not know

19. Below are suggestions of areas requiring further guidance. Which, in your opinion, are the 5 most urgent topics from this list which require further guidance and support from UUK? Please rank in order of preference.

☐ Categorisation of offences and sanctions used across the sector

☐ Understanding the legal status of sanctions and the extent to which they can be enforced

☐ Risk management

☐ Recording of data

☐ Central storage of data

☐ Constructing disciplinary panels

☐ Conducting investigations

☐ Evaluation of disciplinary processes

☐ Monitoring of experiences, judgements and outcomes of different types of cases

☐ Training for members of disciplinary panels

☐ Sharing information about any discipline process and outcome with a complainant

☐ Responding to appeals of a disciplinary process

☐ Other

20. For institutions based in Scotland only: Do you require further clarification / guidance on differences between the Scottish and UK legal framework in this area and the gendered analysis approach to sexual violence as taken by the Scottish Government?

☐ Yes

☐ No

Sharing and learning from good practice

21. What case study topics would your institution find helpful for UUK to disseminate? Are you aware of any innovative practice at your own or other institutions which should be fed back to the sector?

22. What are the main barriers or challenges to enhancing progress in your institution? Please tick all boxes that apply.

- ☐ Developing a whole institution approach
- ☐ Lack of resources
- ☐ Sustainability of funding
- ☐ Obtaining ownership from senior managers
- ☐ Extent to which training for staff and students can be rolled out
- ☐ Lack of an evidence base for interventions
- ☐ Responding to an increase in the volume of disclosures
- ☐ Developing effective partnerships with other organisations
- ☐ Working with survivors to embed the survivors voice
- ☐ Lack of guidance and support in some areas
- ☐ Other (please specify):

23. Please specify in which areas would your organisation require more guidance / support.

- ☐ Measuring impact
- ☐ Scaling up training of staff
- ☐ Scaling up of bystander training
- ☐ Seeking a common terminology in language used across the sector
- ☐ Reporting systems
- ☐ Supporting international students
- ☐ Handling incidents of hate crime
- ☐ Resourcing model
- ☐ Evaluation
- ☐ Other (please specify):

24. For institutions based in Scotland only: What support / guidance would you find useful to implement the Equally Safe Toolkit?

Other information

**25. Looking ahead, Universities UK is committed to continue its work in this area.
As part of this, UUK aims to run this survey again in the future to facilitate year-on-year benchmarking, build upon case studies and share of good practice identified in the sector. How frequently do you think UUK should run this survey?**

☐ Annually

☐ Every two years

☐ Less frequently than two years

☐ This should be a one-off survey

26. Please use the space below to provide any further information or make any comments if you wish

27. Please indicate whether you grant permission for your quotes from the survey to be used on the sector reports. All quotes will be anonymised and comments will not be directly attributed either to individuals or institutions.

☐ Yes

☐ No

ANNEXE 4: UUK TASKFORCE 'CHANGING THE CULTURE' RECOMMENDATIONS

The UUK Taskforce recommendations were designed to support universities in adopting an institution-wide approach, embed effective preventative measures and maximise the support provided to students who experience incidents of sexual violence, harassment or hate crime.

Senior leadership

i.   All university leaders should afford tackling violence against women, harassment and hate crime priority status and dedicate appropriate resources to tackling it.

Institution-wide approach

ii.   Take an institution-wide approach to tackling violence against women, harassment and hate crime.

iii.   Provide their governing bodies with regular progress reports summarising what progress has been made towards adopting a cross-institution approach. This should include reporting on the resource made available and used to support an effective cross-institution approach, including any recommendations for additional resource.

iv.   Carry out a regular impact assessment of their approach.

v.   Involve their students' union in developing, maintaining and reviewing all elements of a cross-institution response.

Prevention

vi.   Adopt an evidence-based bystander intervention programme.

vii.   Ensure that partnership agreements between the student and the university highlight up-front the behaviours that are expected from all students as part of the university community, set out disciplinary sanctions and state the university's commitment to ensuring the safety and wellbeing of students.

viii.   Embed a zero-tolerance approach across all institutional activities including outreach activities with schools and further education colleges, engagement with local bars and nightclubs, student inductions (including international student inductions) and student information.

ix.   Take meaningful steps to embed into their human resources processes (such as contracts, training, inductions) measures to ensure staff understand the importance of fostering a zero-tolerance culture and are empowered to take responsibility for this.

Response

x.   Develop a clear, accessible and representative disclosure response for incidents of sexual violence and rape, working with relevant external agencies where appropriate.

xi.   Take reasonable and practical steps to implement a centralised reporting system.

xii.   Conduct a thorough assessment of which staff members need to be trained and what training needs to be provided. A clear, multi-tiered training strategy covering different types of incident can then be developed.

xiii. Build and maintain partnerships with local specialist services to ensure consistent referral pathways for students.

xiv. Establish and maintain strong links with the local police and NHS in order to develop and maintain a strategic partnership to prevent and respond to violence against women, harassment and hate crime affecting students.

Managing situations where students have committed a disciplinary offence which may also constitute a criminal offence

xv. UUK should conduct a thorough review of the 1994 Zellick guidelines and produce new guidance for the sector on how to handle disciplinary issues that may also constitute a criminal offence.

Sharing good practice

xvi. UUK should hold an annual national conference for the next three years to facilitate the sharing of good practice on matters related to the work of the taskforce.

xvii. UUK should publish a directory of case studies and templates based on what the sector is already doing (to include reference to international resources and activities).

Online harassment

xviii. UUK should work with relevant bodies such as the NUS, Jisc and Reclaim the Internet to assess what further support may be needed in relation to online harassment and hate crime.

ANNEXE 5: 'CHANGING THE CULTURE: ONE YEAR ON' RECOMMENDATIONS

Theme	Ref	For whom	Recommendations
SENIOR LEADERSHIP ROLE AFFORDING PRIORITY STATUS AND ADEQUATE RESOURCING	**1**	Senior leaders of higher education providers	Effective practice from the study suggests that where higher education providers do not already do so, they should consider moving sponsorship, ownership and accountability for student safeguarding initiatives to tackle sexual misconduct and hate incidents and crime to the senior leadership team.
	2	Senior leaders of higher education providers	To ensure sustainability of initiatives which tackle sexual misconduct, harassment and hate crime, higher education providers should consider committing longer term resources to fund relevant student safeguarding projects and roles.
A HOLISTIC INSTITUTION-WIDE APPROACH BEING TAKEN	**3**	Senior leaders of higher education providers	To ensure sustainability of initiatives to tackle sexual misconduct, harassment and hate crime, higher education providers should consider: • making working groups, projects or other temporary structures set up to tackle these issues permanent, or at least guarantee their funding for several years • ensuring that such groups and projects are embedded within the existing governance and reporting structures of the organisation to ensure that issues are addressed in a crosscutting way across the organisation
	4	Senior leaders of higher education providers and governing bodies	To support good governance and facilitate permanent oversight of institutional progress, universities should provide regular reports on progress to address harassment and hate incidents/ crimes to governing bodies or university courts.

Theme	Ref	For whom	Recommendations
	5	Senior leaders of higher education providers	Higher education providers should seek to ensure that the principles and priority status accorded to handling student-to-student sexual misconduct are extended to also cover incidents of staff-to-student sexual misconduct, incidents of hate crime and other forms of harassment.
	6	Senior leaders of higher education providers	Higher education providers should consider how to make it clearer for their students about how to report, disclose and/or seek support for any incident of safeguarding. This should involve introducing the same accessible mechanism(s) for students to make a report, make a disclosure or seek support in relation to any type of safeguarding incident, be this: • student-to-student sexual misconduct • staff-to-student sexual misconduct • hate crime and other forms of harassment • online harassment
EFFECTIVE PREVENTION STRATEGIES	**7**	Higher education providers- senior lead for teaching and learning/student experience	Higher education providers should consider, if they have not already done so, adopting the new National Student Survey (NSS) questions on safety to be able to baseline and measure student perceptions in this area and compare them with those of peers.

Theme	Ref	For whom	Recommendations
EFFECTIVE RESPONSIVE STRATEGIES	**8**	Senior leaders of higher education providers	Higher education providers, which do not do so already, should provide, clear information on their websites and in student handbooks, and via social media on what to do in the event of experiencing or witnessing any incident of sexual misconduct or hate incident or crime. There should ideally be one key source of information which all students should be made aware of.
	9	Senior leaders of higher education providers	Higher education providers, which do not do so already, should consider adopting a centralised approach to collecting, recording and storing data on all types of incidents of sexual misconduct, hate crime and harassment. This would enable management information reports to be collated to provide intelligence to inform decision-making about how and where to target preventative measures such as campaigns, or training for particular cohorts. It could also support reporting to senior leadership and governing bodies.

Theme	Ref	For whom	Recommendations
SHARING AND LEARNING FROM GOOD PRACTICE	**10**	UUK/other sector bodies	The study highlighted the need for more sharing and learning from good practice by UUK and/or other sector bodies to provide support in the development of common approaches where appropriate and enable institutions to assess and benchmark their own progress against peers to develop effective practice. UUK should consider supporting this work by expanding the directory of case studies to include more substantive thematic documents to share information on the ways in which multiple providers are implementing specific aspects of the recommendations and extracting the learning points at a sector level. Examples could include: • advantages and disadvantages of different models and approaches to consent and bystander training • an assessment of the benefits of online reporting and or anonymous/attributed data collection • effective centralised recording systems • case management software and integration with existing systems • good practice to better protect students online.

Theme	Ref	For whom	Recommendations
RESEARCH AND GUIDANCE	**11**	UUK/other sector bodies	Further research, guidance and practical support for the sector may also be helpful from UUK as follows: • to support some standardisation of the categorisation of misconduct offences and appropriate sanctions and the status and enforceability of those sanctions • to identify effective and inclusive practice where providers have drawn on the experiences of victims/survivors, and in what they (victims/survivors) find helpful or less helpful in their providers' responses to incidents and the provision of support • to develop impact measures to enable a common and comparable approach and enable providers to assess and benchmark their own progress against that of peers • to help standardise the categorisation of offences/unacceptable behaviour and appropriate sanctions being used across the sector, and investigate the legal status of sanctions and the extent to which these can be enforced • to collate and monitor information anonymously from providers on experiences, judgements and outcomes of different types of cases considered by disciplinary panels for students to establish how well new disciplinary processes are working and highlight where further areas of support are needed
COMMUNICATIONS	**12**	UUK/other sector bodies	UUK should continue to work with other sector organisations to consider how best to communicate at a national level the benefits of positive preventative and responsive safeguarding activities by higher education providers, with a view to alleviating any concerns that this may have a negative impact on recruitment and reputation.

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