

**Agenda for a meeting of the Central Management Group
to be held at 10.30 pm on Wednesday, 19 May 2010
in the Raeburn Room, Old College**

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|--|--|----------|
| 1 | Minute of the meeting held on 21 April 2010 | A |
| 2 | Matters Arising <ul style="list-style-type: none">• Update on Academic & Financial Planning Issues for the School of Education (closed) | |
| 3 | Principal's Business | |
| 3.1 | Principal's Communications | |
| 3.2 | Principal's Strategy Group | B |
| FOR DISCUSSION | | |
| 4 | Finance Update (closed) | C |
| 5 | EUCLID - Update Report | D |
| 6 | Knowledge Strategy Committee | E |
| 7 | Draft Update of University Risk Register | F |
| 8 | Revised Delegated Authorisation Schedule | G |
| FOR INFORMATION/FORMAL APPROVAL | | |
| 9 | Quarter 3 Financial Forecast (closed) | H |
| 10 | Management Accounts – nine months 30 April 2010 (closed) | I |
| 11 | Revised University Consultancy Procedures | J |
| 12 | Any Other Competent Business | |
| 13 | Date of next meeting | |

Wednesday, 16 June 2010 at 10.30 am in the Raeburn Room, Old College



Central Management Group

Wednesday 21 April 2010

MINUTE

Present: Vice-Principal Professor A McMahon (in the chair)
Vice-Principal Professor N Brown
Vice-Principal Mr Y Dawkins
Vice-Principal Professor D Fergusson
Vice-Principal Professor J Haywood
Vice-Principal Professor S Hillier
Vice-Principal Professor D Hounsell
Vice-Principal Professor D Miell
Vice-Principal Professor Sir John Savill
Vice-Principal Professor L Waterhouse
Mr M D Cornish
Mr N A L Paul

In attendance: Mr I Conn
Dr A R Cornish
Mr J Gorringe
Mr D Waddell
Mr G Bell (on behalf of Mr A Currie)
Ms E Fraser (on behalf of Ms S Gupta)
Mr F Gribben (for item 11 only)
Dr K J Novosel

Apologies: The Principal
Vice-Principal Professor M Bownes
Vice-Principal Professor R Kenway
Mr A Currie
Ms S Gupta

1 **MINUTE OF THE MEETING HELD ON 17 MARCH 2010**

Paper A

The Minute of the meeting held on the 17 March 2010 was approved as a correct record.

2 **PRINCIPAL'S BUSINESS**

2.1 **Principal's Communications**

In the Principal's absence, Vice-Principal Professor McMahon reported on the following matters: the successful EUSA teaching awards event held on 18 March 2010; the meeting of the Academic Strategy Forum on 24 March 2010 which had discussed in particular strengthening postgraduate recruitment; the on-going work led by Vice-Principal Professor Fergusson to take forward discussions with eca; the recent media coverage on student recruitment; and the progress being made in respect of the School of Education.

2.2 **Principal's Strategy Group**

Paper B

CMG noted the report.

FOR DISCUSSION

3 ANNUAL PLANNING SUBMISSIONS FOR 2010-2011 (CLOSED) Paper C1-7

CMG endorsed the final planning submissions from Colleges, Support Groups and the Student Unions, noting the changes from the draft Plans considered at the previous meeting.

4 PROPOSALS FOR THE ALLOCATION OF RESOURCES FOR 2010-2011 (CLOSED) Paper D

CMG endorsed the proposed allocation of resources for 2010/2011 which, taking cognisance of the increasingly challenging financial environment in which the University and the higher education sector was now operating, proposed a decrease in core budgets for Colleges and Support Groups of 1% and a 2.5% increase to the core budgets of the Students' Association and the Sports Union: this was based on the SFC settlement and anticipated general income from other areas such as fees. It was noted that the SFC was yet to announce a large element of the Knowledge Transfer Grant (KTG) allocated through the Horizon Fund for Universities (HFU) and that as this might be allocated by means of a competitive bidding process would not be available for general allocation.

Discussions were on-going to finalise the new financial model for the Business School and it was noted that the School would now be working outwith the resources allocation process. CMG further noted that the proposals set out in the paper would result in a marginal surplus of £1.3m as detailed in section 8 of the paper and endorsed the proposal that should SFC allocate any KT funding that was not project specific that this funding should be added to the surplus; this would make it less likely that any in-year reduction in SFC resource would have to be passed on to budget holders. CMG further approved the NPRAS exceptions detailed in appendix 2 (b).

5 DRAFT ESTATE STRATEGY 2010-2020 (CLOSED) Paper E

CMG endorsed the current draft of the Estates Strategy noting that a number of the appendices were still to be added and the finance chapter expanded. Any further comments were to be submitted directly to E&B by 28 April 2010 to allow appropriate incorporation prior to the next version of the Strategy being considered by the Finance and General Purposes Committee at its meeting on 10 May 2010.

6 CORPORATE PERFORMANCE MEASUREMENT: PROPOSAL Paper F

The proposed approach to bring together the monitoring of indicators from the Balanced Scorecard and targets from the Strategic Plan was endorsed by CMG including the proposal to reduce the current number of Balanced Scorecard indicators to 12 high-level indicators.

7 PROGRESSING DISCUSSIONS ON EMPLOYMENT PROCEDURES (CLOSED) Paper G

CMG noted the actions being taken in connection with the on-going process to repeal and replace the current Commissioners' Ordinance. It was content that the order of formulating the required new policies and procedures for the employment of staff be taken forward by the steering group being established to oversee this work taking cognisance of any University-wide trends known to HR.

CMG further noted the intention to invite Court at its meeting on 24 May 2010 to formally seek Privy Council approval to Ordinance changes; updated information would also be provided to Court on the work to draft the new policies and procedures.

8 REPORT FROM PENSIONS' WORKING PARTY (CLOSED) Paper H

It was noted that the 60 day consultation on the proposed changes to the SBS pension scheme had now commenced and would finish on the 17 June 2010; all those affected had been notified. CMG further noted and endorsed the proposal that Court be invited to assign the listed properties to SBS as contingent assets as part of the pension scheme's recovery plan.

9 EUCLID - UPDATE REPORT Paper I

CMG noted that the project was now close to a key go-live decision date and that although contingency plans were in place there were significant risks and a possible delay of up to one year should the decision be taken not to proceed.

10 FULL ECONOMIC COSTING GROUP – TERMS OF REFERENCE Paper J

CMG approved the terms of reference for the FEC Group noting that it would report to both CMG and the Finance and General Purposes Committee as appropriate. There was also discussion on the Research Policy Group and it was agreed that in the future, minutes from this Group would be routinely circulated to the Heads of Support Groups.

11 UPDATE ON ACADEMIC & FINANCIAL PLANNING ISSUES FOR THE SCHOOL OF EDUCATION (CLOSED) Paper K

CMG welcomed the substantial progress towards identifying the required savings in recurrent expenditure within the School of Education and that, should all anticipated voluntary severance packages be successfully completed, the initial required savings would have been achieved by voluntary means: neither the Court nor the CMG appointed Redundancy Committees established respectively for academic and support staff had met. It was noted that reductions in expenditure on academic staff had been the major factor in achieving the required savings.

The ITE Planning Group now proposed separate approaches to the way forward in respect of academic and support staff. CMG endorsed the proposal that the remaining staff in the academic redundancy pool should be informed as soon as possible in the week beginning 26 April 2010 that the required savings were close to being secured, but until legally binding VS/ER agreements had been completed, it was not yet possible to lift the threat of redundancy. The Court appointed Redundancy Committee would remain in place until it was

clear that the required savings had been achieved, with the expectation that in the near future it would be possible to recommend to Court that this Committee should stand down.

In respect of support staff, the ITE Planning Group had identified a number of issues which warranted further reductions in support staff posts within the School. It was proposed that a new but related five month consultation period to seek to avoid the need for compulsory redundancy of support staff should commence on the 1 May 2010. CMG endorsed this proposal, approved the circulation of this CMG paper to all staff within the School of Education and union colleagues and asked that a further paper be prepared to provide more detailed information on the rationale for the new consultation which reflected the discussions at this meeting. It further agreed that support staff within the School be notified of their position on or before the 26 April 2010 and that work continue to achieve the required reductions in posts through redeployment and voluntary means.

**12 INSTITUTE OF GENETICS AND MOLECULAR MEDICINE Paper L
(CLOSED)**

The proposals as set out in the paper were endorsed by CMG and commended to the Finance and General Purposes Committee. It was suggested that it might be helpful to further clarify the reference to intellectual property within the Heads of Agreement document prior to its further circulation.

FOR INFORMATION/FORMAL APPROVAL

**13 MANAGEMENT ACCOUNTS – EIGHT MONTHS TO 31 MARCH 2010 Paper M
(CLOSED)**

The current positive financial position was noted and that the Q3 forecast was anticipated to project an increased year end surplus from that of the Q2 forecast.

14 QUARTERLY HEALTH AND SAFETY REPORT FOR JAN-MAR 2010 Paper N

CMG noted the report and in particular that submissions had been made to Scotland's Healthy Working Lives (SHWL) Award Scheme.

**15 REPORT FROM THE ESTATES COMMITTEE HELD ON 31 MARCH Paper O
2010 (CLOSED)**

CMG endorsed the various items as set out in the coversheet and noted the progress towards developing a revised reporting process which utilised a colour coding approach to signify a project's current status. CMG further noted the current position in respect of the Cramond Campus disposal and the considerable legal costs to date and potential financial exposure.

16 STUDENT VOLUNTEERING Paper P

CMG approved the allocation of £52,000 per year for the five years from 2010/2011 to 2014/2015 to EUSA to support student volunteering activities

subject to the production of satisfactory annual reports, following an invitation to both EUSA and the University Settlement to submit proposals; proposals were only received from EUSA. CMG further approved the continuation of funding to the Edinburgh Students Charities Appeal (ESCA) to the level of £31,000 per year for the same five year period subject to satisfactory annual reports.

17 MUSEUM AND GALLERIES COLLECTIONS POLICIES DOCUMENT 2010/2015 Paper Q

CMG endorsed the Policies Document 2010-2015 for onward transmission to Court for formal approval.

18 RECONFIGURATION OF THE EDINBURGH INTERNATIONAL DEVELOPMENT CENTRE (EIDC) Paper R

The proposals as set out in the paper were welcomed and approved by CMG.

19 LAIGH YEAR REGULATIONS FOR EUSA/SPORTS UNION OFFICE BEARERS Paper S

CMG endorsed the proposed changes to the Laigh Year Regulations in respect of changes to the Laigh Year payments to sabbatical office-bearers of EUSA and the Sports Union.

20 "E-MAIL FOR LIFE" Paper T

The arrangements being taken forward to provide alumni of the University with an email address linked to the University were welcomed and fully supported by CMG; the cost of this provision would be met from within Development and Alumni's existing budgets.

21 ESTABLISHMENT OF CHAIR OF CRITICAL CARE AND CHANGE IN TITLE OF ESTABLISHED CHAIR OF ANAESTHESIA, CRITICAL CARE AND PAIN MEDICINE Paper U

CMG approved the establishment of the new Chair and the change in title of the existing Chair.

22 DATES OF MEETINGS 2010/2011 Paper V

Dates for meetings of CMG in 2010/2011 were noted.

23 DATE OF NEXT MEETING

Wednesday, 19 May 2010 at 10.30 am in the Raeburn Room, Old College

The University of Edinburgh

Central Management Group

19 May 2010

**Principal's Strategy Group Meeting
14 April 2010**

Amongst the items discussed were:

1. Annual Planning Submissions

Members briefly discussed the revised planning submissions and noted changes since the Group's previous discussion in February.

2. Proposals for the allocation of resources

The meeting discussed and endorsed the proposed allocation of resources for the next financial year

3. Science Festival & Vet School

Members welcomed the success of the recent Science Festival and STV series on the Vet School.

**Principal's Strategy Group Meeting
27 April 2010**

Amongst the items discussed were:

1. Enhancing Teaching and Learning at Edinburgh

Members discussed the paper from Vice-Principal Hounsell covering recommendations from the Task Group on Enhancing Feedback, the Task Group on Academic and Pastoral Support for Students and the Task Group on Assessment Futures.

B



The University of Edinburgh

Central Management Group

19 May 2010

Finance Update

Brief description of the paper

The paper summarises the latest actions being taken to maintain the University's financial stability.

Action requested

The Group is asked to note the content and approve the approach being taken.

Resource implications

Does the paper have resource implications? Yes

As detailed in paper.

Risk assessment

Does the paper include a risk assessment? Yes

As detailed in paper.

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the commercial interests of any person or organisation

For how long must the paper be withheld? 2 years

Originator of the paper

Jon Gorringe, Director of Finance
29 April 2010

The University of Edinburgh

Central Management Group

19 May 2010

The EUCLID Project: Update May 2010

Brief description of the paper

This paper updates CMG on the recent activities and governance of the revised scope EUCLID Project and the associated Satellite Projects. It explains the decision taken to go live with the new systems for start of AY2010-11, and some of the reasoning behind that decision.

Action requested

CMG is invited to note this report.

Resource implications

Does the paper have resource implications? No – accounted for by changes made to the project during the planning for FY 2009-10.

Risk assessment

Does the paper include a risk assessment? Yes, the paper addresses risks in proceeding or halting the EUCLID go-live

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Vice-Principal Professor Jeff Haywood – EUCLID Senior Responsible Officer
Vice-Principal Professor Richard Kenway – EUCLID Quality Assurance & Executive Group

Update on EUCLID & Satellite Projects (Student & Course Administration System)

The EUCLID Project Strategy & QA Group met on 5th May for a detailed discussion of the evidence that informs the go/no-go decision, and concluded that, overall, the decision for the University should be to proceed as planned to introduce for start AY2010-11. In terms of new functionality this means:

- a) the EUCLID database as the sole student, course and programme data system;
- b) online course enrolment of students by Directors of Studies, Teaching Organisation administrators etc;
- c) data feeds from the EUCLID 'golden copy' database, via interfaces, to downstream systems including Finance, Accommodation Services, some Schools, Library, ID Card System;
- d) to carry out statutory returns to HESA, SFC etc from the EUCLID database;
- e) integrated functions delivered by the Satellite Projects (eg PG database, Timetab);
- f) course data etc provision via BOXI reports (standard and custom SQL searches of the data);
- g) training for key staff in use of all the above.

The EUCLID Project was de-scoped last summer to fit within a tightly constrained budget, with consequent reduction in staffing. It was quickly recognised that the de-scoping had been too deep, and so a set of Satellite Projects were introduced at low cost to add in functionality vital to the Schools. The major, significant, risks intrinsic to the Project throughout were related to limitations of staff expertise/numbers, significant technical challenges, necessary difficult business processes changes, and the complexity of the University student and course provision. The Project has delivered a very substantial part of the work, solving some demanding technical challenges along the way, but has had to work hard to minimise slippage. Additional funding has been contributed in substantial staff effort from all business units. The major risks left at the start of May 2010 were related not to our ability to solve any remaining or emerging problems but to the time left until the go-live deadline of mid July and system readiness for use by early Aug 2010.

SAQG met consider whether there was sufficient evidence to support a decision NOT to go-live, ie go-live as planned was the default. It was agreed that if we did not proceed, we would have to remain using the current DACS system, alongside EUCLID for UG and PG applications, for the whole academic year, as mid-year switchover would require the temporary closure or freezing of too many systems and a high risk on return to active services in minimal time. The last time to make the decision to remain with DACS would be around the middle of May, as there was a significant amount of work that would need to be done to get the data and systems ready for early August. The option of maintaining both EUCLID and DACS to be able to operate as the student and course record system for AY2010-11 was not feasible with the funding available, and so DACS was not 'prepped' for AY2010-11. This would effectively stop, or substantially reduce, work on EUCLID for several months through the start of the next AY, and the full team would be needed anyway for the start of AY2011-12. In addition, the DACS option is also high risk due to its age and potential instability, from both hardware and software perspectives.

SQAG agreed to proceed with the EUCLID implementation for start AY2010-11 subject to some provisos:

- VP Haywood would personally oversee the EUCLID, Registry and IS team interworking;
- one of AP Sue Rigby, VP Jeff Haywood or Simon Marsden would maintain a careful watch on all testing to ensure that it was rigorous;
- close attention would be paid to the statutory returns (HESA, SFC) to ensure that these were on track;
- Registry, with SASG support, would re-assign staff duties to enable it to engage fully with EUCLID go-live, whilst not jeopardising existing business;
- University senior management should be made aware of the decision and its implications. There is institutional risk associated with the statutory returns aspect of the Project that is different in kind to the other risks, and SQAG wished to make this clear within its go-live decision;
- These conditions should be met within 10 days, otherwise the DACS option would be implemented.

Since that meeting a sub-group of SQAG has met and agreed that the conditions are being met through the joint actions of various SQAG members, and that although the risks remain high they are at an acceptable

level for a satisfactory go-live. We are aware that the definition of 'satisfactory' is one that is short of 'perfect' and that over the first months after go-live work will be required to improve the systems and the data.

This report was presented verbally to F&GPC on 10th May 2010 and they were content with the decision to go-live.

Vice Principal Jeff Haywood
Vice Principal Richard Kenway
11th May 2010



The University of Edinburgh

Central Management Group

19 May 2010

Knowledge Strategy Committee

Brief description of the paper

The paper sets out the reasons for adding Knowledge Strategy Committee to the current Court committees, and as a consequence adding a Court member to KSC from the start of AY2010-11. The two of the sub-committees of KSC (Library Committee, and University Collections Advisory Committee) will remain Court committees but report to Court through KSC.

Action requested

For approval and onward progression to Court.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Vice Principal Jeff Haywood

To be presented by

Vice Principal Jeff Haywood

Knowledge Strategy Committee

'The University is no longer a quiet place to teach and do scholarly work at a measured pace and contemplate the universe as in centuries past. It is a big, complex, demanding, competitive business..' (OECD, 2007)

In July 2004, the first meeting of the University of Edinburgh's Knowledge Management Committee took place. Over the next 18 months, the first knowledge management strategy was developed. This changed the focus of the University, no longer seeing libraries, IT, AV and e-learning as separate entities but recognising their integral nature in the day to day operation of the University's business. As a result of the consultations associated with introducing knowledge management two major projects, *EUCLID* and the *University Website Redevelopment Project*, were proposed.

Today, Knowledge Strategy Committee (KSC) has oversight of those committees associated with libraries, e-learning, and IT. It also has oversight of major IT-related University projects and, in 2009, introduced a Project Framework to improve overall governance in this area. The three major projects which are currently active are *Student and Course Administration (EUCLID)*, *University Website Redevelopment Project* and *Shared Academic Timetabling*.

The Steering Group for the Review of Support Activities recognised the similarity between KSC and Estates Committee, expressing

'..strong support for the possibility of developing the existing Knowledge Strategy Committee to include external Court members and focus on funding and prioritisation of projects, as has been the case with the Estates Committee;'

Draft Report of the Steering Group for the Review of Support Activities, May 2010

At present, Knowledge Strategy Committee reports to CMG via the Vice Principal for Knowledge Management. Library Committee and UCAC are Court Committees but report to KSC. The activities covered by KSC are fundamental to the University's academic and administrative functions. There is an element of disjoint whereby library activities are covered by a Court Committee whilst IT-based activities (of similar importance to a University of world class standing) are not.

In order to bring some coherence to this situation and to ensure that Court has equal sight of both library and IT matters, it is proposed that Knowledge Strategy Committee should be adopted as a committee of the University Court. Library Committee and UCAC, along with e-learning Committee and IT Committee, would report through KSC to Court. It is not intended that we change the current status of Library Committee or UCAC, simply that we revise their reporting route.

As a Court Committee, KSC would revise its membership to include a member of Court. This will give Court direct input to the strategic deliberations of KSC and to the governance of major IT projects overseen by the committee.

If CMG agrees the change to the status of Knowledge Strategy Committee, Terms of Reference will be drawn up before it is progressed to Court for its next meeting.

Action: CMG is invited to comment on the proposal that Knowledge Strategy Committee is recognised formally as Court committee associated with the primary functions of e-learning, libraries, and IT; furthermore, that the reporting route for Library Committee and the University Collections Advisory Group, whilst remaining Court committees, should be through KSC.

Vice Principal Jeff Haywood
7th May 2010

The University of Edinburgh

Central Management Group

19 May 2010

Draft update of University Risk Register

Brief description of the paper

Following the discussions on the University Risk Register at the last meeting of RMC, the Risk Register has been updated. The attached paper encloses the eighth version (draft) of the University Risk Register, the final version of which will be submitted to the University Court for approval at its June 2010 meeting. See Appendix 1 with the changes tracked.

The major changes to the risks in the register are:

- The removal of risk 10 of a major/exceptional health and safety incident occurring – the Corporate Services Group Risk register incorporates the operational health and safety risk;
- The addition of a new risk 10 on the Enhancement Led Institutional Review;
- The removal of two major projects: risk 8.2 full economic costing and administration, and risk 8.3 web project;
- The addition of two further major projects: the development and implementation of merger proposals with ECA and HGU respectively;
- A re-focussing of risk 2 on staff dissatisfaction and possible disruption to business continuity.

No changes have been made to the assessment of risk impacts or likelihoods.

Action requested

For discussion and comment.

Resource implications

Does the paper have resource implications? No.

Risk Assessment

Does the paper include a risk analysis?

The Risk Register is one of the key elements of the risk management process within the University.

Equality and Diversity

Does the paper have equality and diversity implications? No.

Freedom of Information

Can the paper be included in open business? Yes

Originator of the paper

Nigel A.L. Paul, Convener of the Risk Management Committee

Helen Stocks, Secretary to the Risk Management Committee

10 May 2010

University Risk Register version 8 (draft 1)

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
Critical Probable Risks					
<p>1. Insufficient funding to maintain and develop the University due to:</p> <ul style="list-style-type: none"> - Government funding policies in Scotland and the rest of the UK - Economic recession and its impact on government, corporate and charity funded activities, and philanthropic giving 	<p>Loss of competitive position relative to international / UK peer institutions</p> <p>Financial loss</p> <p>Reduced ability to attract research grants and recruit students</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Probable (4)</p> <p>Impact x likelihood = 12</p>	<p>Lobbying, directly and via US/UUK</p> <p>Input to SFC on their strategic plans and funding issues/reviews</p> <p>University planning process including monitoring of student demand and intakes</p> <p>Internal pressure within Colleges and ERI to maintain focus on grant applications</p> <p>Review of student intake and applications for first years of divergent fee regimes</p>	<p>Lead: Principal</p> <p>Supported by: Director of Planning, Heads of College and Director of ERI</p>	<p>[URL of risk review 09/10]</p>
<p>2. Staff dissatisfaction and possible disruption to business continuity consequent upon the need to operate within funding constraints or arising from pressures for changes in staff terms and conditions (including pension funds)</p>	<p>Damage to staff / union relations</p> <p>Increased financial cost</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Probable (4)</p> <p>Impact x likelihood = 12</p>	<p>Maintenance of relationships with local union representatives</p> <p>Input to national pay negotiations and discussions on Pension Funds</p> <p>Independent working group of the University Court established to assess, advise</p>	<p>Lead: Directors of HR and Finance</p>	<p>Exploration of options and scenarios for continuing as an attractive employer whilst also maintaining financial sustainability</p> <p>Continue to develop processes to support staff leaving the University to enable them to transition into their new circumstances as smoothly as possible</p> <p>[URL of risk review 09/10]</p>

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Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
			<p>and progress pensions matters, incl overseeing consultation with staff on proposed pension fund changes</p> <p>▼ Senior staff work with Heads of School to ensure downsizing and change activity appropriately managed (e.g. with Moray House School of Education)</p> <p>Business continuity planning</p>		
3. Challenge of managing activities to ensure some income streams exceed costs	<p>Ongoing deficit position</p> <p>No resources for new income-generating activities</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Probable (4)</p> <p>Impact x likelihood = 12</p>	<p>Financial strategy & financial planning and budgetary/forecasting processes, including F&GPC/Court oversight</p> <p>Fees Strategy Group</p> <p>Financial scenario planning</p> <p>Post Review Group</p> <p>ER/VS activity</p> <p>Review of support services</p> <p>Benchmarking against other comparable institutions</p> <p>Internationalisation strategy</p>	<p>Lead: Principal</p> <p>Supported by: HoCs, VP Resources, DoCS, Director of Finance, Director Estates and Buildings, Director of Planning, Director of HR</p>	<p>Financial strategy being agreed with F&GPC and Court</p> <p>Focused pressure from HoC's and Director of ERI to maintain research grant application rates, quality of grants applications and seeking non-traditional sources of research funding</p> <p>Identify further business process refinements to optimise benefits from pay and reward modernisation project</p> <p>▼ Strategic Plan with focus on new income generation to support financial sustainability</p> <p>Further development of full economic costing of teaching and other activities</p> <p>Co-ordination of financial and estate strategies to deliver sustainable funding stream for maintenance and development of the estate</p>

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Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
			<p>implementation</p> <p>Various college based academic developments</p> <p>Development of FEC to teaching</p> <p>High level reporting of research applications and award trends</p> <p>Drives to improve the utilisation of the University's estate</p>		<p>Implement outcome of review of support services</p> <p>Influencing national negotiation on pay and pension</p> <p>Engaging with banks and other funders on external loan finance</p> <p><i>[URL of risk review 09/10]</i></p>

Critical Likely Risks

<p>4. Growth of the University falls behind UK and international competitors</p> <p>e.g. in areas such as:</p> <ul style="list-style-type: none"> a) size (turnover/assets); b) research funding c) international students; d) PGR/PGT student numbers; 	<p>Loss of competitive position</p> <p>Inability to maintain research/teaching resources and capability</p> <p>Decline in relative financial strength</p> <p>Damage to reputation</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Likely (3)</p> <p>Impact x likelihood = 9</p>	<p>Strategic plan priorities and targets, and its implementation</p> <p>International Strategy, steering group and development plans</p> <p>International Office and Marketing activities</p> <p>Development of international linkages and MoUs</p> <p>Focus on maintaining and growing research funding and diversifying sources of research funding</p> <p>Opportunities for merging /</p>	<p>Lead: Principal</p> <p>Supported by: HoCs, VP International (c), Director of Planning (d)</p>	<p>Implementation of International Strategy</p> <p>Enhancement of international student recruitment processes</p> <p>Faster growth in PGT and PGR numbers and programmes including consideration of further development of the "Graduate School" approach</p> <p>Better growth metrics comparisons</p> <p>Development of pooling, partnership and merger opportunities</p> <p>Development of further interdisciplinary research opportunities and diversifying sources of research funding</p> <p>Development of further international / PG accom'n</p> <p><i>[URL of risk review 09/10]</i></p>
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Deleted: Research PG taskforce¶
 ¶ Further refine planning tools for student number forecasting¶

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Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
			embedding other organisations into the University (e.g. eca & HGU) Student number monitoring		
5. Rate of maintenance, enhancement and investment in the estate fails to support University growth aspirations (research, education and accommodation), provide a satisfactory student and staff experience, and maintain competitiveness with other leading institutions across the world .	Blockage to achievement of student growth targets Inability to attract/keep staff Uncompetitive cost of estate Legal non-compliance Business disruption and financial loss University fails to win prestigious activities/centres	Inherent Risk: Disastrous Residual Risk: Impact: Critical (3) Likelihood: Likely (3) Impact x likelihood = 9	Fundraising for new developments College/estates planning, prioritisation and project processes Capital programme development and project management processes Estates Advisory Group (EPAG) / Space Management Group (SMG) processes Annual backlog and compliance review Ongoing estate activities e.g. building inspections, physical condition and compliance surveys, fire risk assessments	Lead: Vice Principal Resources Supported by: Director of Estates & Buildings; Vice Principal Development	Stepwise decision making for major projects in line with gateway/RIBA framework as part of implementation of new SFC estate strategy, business case and project gateway guidelines Active interactions with City Planning Department and local community . Co-ordination of financial and estate strategies to deliver sustainable funding stream for maintenance and development of the estate Continue to address issues including: <ul style="list-style-type: none"> o timely delivery of major project plans o timeous city planning consents o usage of teaching space o provision of student study space o disability access and emergency exits o buildings containing asbestos Full condition and legislative compliance survey update Assess impact of Audit Scotland report on HE Estates management [URL of risk review 09/10]
Critical Possible Risks					

- Deleted:** "Institutes
- Deleted:** " from research funders
- Deleted:** Roslin
- Formatted:** Bullets and Numbering
- Deleted:** limits the University's ability to
- Deleted:** Increase project management resource, and
- Deleted:** management
- Deleted:** interactions
- Deleted:** and provide staff with a satisfactory
- Deleted:** working environment - e.g. due to:
- Deleted:** ¶ funding constraints¶ complexity of projects which are funded by multiple partners¶ city planning constraints¶ operational complexity¶ lack of capacity in construction industry¶ space improvement targets fail to be achieved¶ tight market for professional staff hence recruitment and retention difficulties¶ city and regional infrastructure constraints
- Deleted:** Inability to progress major estate development timeously
- Deleted:** Liaison with local authorities and other agencies¶

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
6. Failure to provide a high quality student experience e.g. in teaching and learning, pastoral and academic support , student services, living and social environment	Reputational damage and its impact on student recruitment	Inherent Risk: Critical Residual Risk: Impact: Critical (3) Likelihood: Possible (2) Impact x likelihood = 6	College and Support Group Annual and Strategic Plans “Student Experience” a specific goal in the 2008/12 University Strategic Plan Appointment of VP Academic Enhancement, launch of new senate committees, and development of good proactive guidelines Plans for performance improvement developed by each School Improvement of study and social spaces as part of Estates plans	Lead: VP Academic Enhancement Supported by: Heads of Colleges (HoC) and Heads of Support Groups	Development of good practice guidance Enhancement of review and reporting processes which assess quality of student experience <i>[URL of risk review 09/10]</i>
7. Inability to retain or attract sufficient key academic staff to meet University / College goals for research and teaching	Failure to meet targets under new processes for research quality assessment Failure to meet teaching goals Loss of academic leadership Loss of funding Reputation loss	Inherent Risk: Disastrous Residual Risk: Impact: Critical (3) Likelihood: Possible (2) Impact x likelihood = 6	Ensuring the university remains an attractive working environment Annual review of academic staff (incl salary) Active leadership by Principal and of HoCs Recruitment processes group convened by Human Resources (HR) Director monitoring & dealing with issues	Lead: Principal College Leadership: Heads of Colleges (HoC) Supported by: Heads of Schools (HoS) and Director of HR	Performance and development reviews Staff development database Review recruitment policy Review of grade profiles and academic promotions guidance <i>[URL of risk review 09/10]</i>

Deleted: Implementation of the goals laid out in the new University Strategic Plan under “Student Experience”
 ¶
 College and Support Group actions to respond to NSS survey, the International Student Barometer and other surveys

Deleted: College-led review of professorial salaries
 ¶

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
			Flexible HR strategies to meet needs of different business areas		
<p>8. Inadequate management of work priorities and major change projects both individually and as a combined programme of activity. Major projects in progress are:</p> <p>8.1 new student administration processes project (EUCLID)</p> <p>8.2 major estates projects e.g. Vet School, SCRUM, library central area refurbishment;</p> <p>8.3 adaption of data collection processes/systems to reflect the new metrics related basis for future research assessment</p> <p>8.4 establishing process to operate the new managed immigration system (affecting staff and students)</p> <p>8.5 development and implementation of merger proposals with Edinburgh College of Art</p> <p>8.6 development and implementation of merger proposals with MRC Human Genetics Unit</p>	<p>Impact on staff morale</p> <p>8.1 Impact on student recruitment and reputation</p> <p>8.2 Loss of financial control, business continuity and associated reputational damage</p> <p>8.3 Financial and reputational damage</p> <p>8.4 Delays in staff and student recruitment process and reduced attractiveness of University to international staff and students</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 6</p>	<p>Project management steering groups, boards, advisory groups and implementation groups</p> <p>Project management processes, Gateway processes and reviews</p> <p>Guidance on major projects and "Projects" website</p> <p>Reporting to University committees</p> <p>Communication activities</p> <p>Planning and provision of resource to enable projects</p> <p>Development of ERMIS for data collection of research management information, incorporating any known REF requirements</p>	<p>Lead:</p> <p>8.1 VP Knowledge Management and CIO</p> <p>8.2 Director of Estates & Buildings</p> <p>8.3 Director of Planning</p> <p>8.4 CS&E College Registrar (students) and Director of HR (staff)</p> <p>8.5 VP Prof David Ferguson</p> <p>8.6 CMVM Head of College</p>	<p>Progress work through steering and implementation groups</p> <p>Improvements to business case and wider use of gateway processes</p> <p>Improve capital programme forecasting and cash flow profiling</p> <p>Implementation of new SFC estate strategy, business case and project gateway guidance</p> <p>For EUCLID (and Web) projects, management of transition to ongoing operational ways of working and taking forward future developments as project structures wound up.</p> <p><i>[URLs of risk reviews 09/10]</i></p>

- Deleted:** Reputational and financial damage ¶
- Deleted:** 8.2 full economic costing and administration; ¶
8.3 web project;
- Deleted:** (including “
- Deleted:** Review of process of research grants administration¶
- Deleted:** for EUCLID)
- Deleted:** Implementation of data collection project to collect metrics and other information to meet expected future research assessment requirements to commence following completion of current RAE¶
- Deleted:** Academic

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
	8.5 Financial and reputational damage 8.6 Financial and reputational damage				
<p>9. Failure of IT infrastructure, systems operation, or serious breach of IT or data security leading to inadequate performance unacceptable loss of service or loss of sensitive or personal data</p>	<p>Loss of or inadequate operational processes</p> <p>Major disruption to research, teaching and learning, student administration etc</p> <p>Inability to manage University e.g finances, pay staff etc</p> <p>Reputational damage</p>	<p>Inherent Risk: Disastrous</p> <p>Residual Risk: Impact: Critical (3)</p> <p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 6</p>	<p>Ongoing resilience improvement programmes and infrastructure upgrades</p> <p>Internal and external audit processes, including external penetration testing</p> <p>Business recovery plans and exercises</p> <p>Oversight by Knowledge Strategy Committee</p> <p>Systems implementation trialling and load testing</p> <p>Annual IT assurance process from VP Knowledge Management and CIO</p> <p>Policies on data security</p>	<p>Lead: VP Knowledge Management and CIO</p>	<p>Further development of policies and guidance on data security including data held on mobile computing or memory devices</p> <p>Further activity to increase resilience (refurbishment of JCMB machine room and resilient network link to Easter Bush)</p> <p><i>[URL of risk review 09/10]</i></p>
Moderate Possible Risks					
<p>10 . Failure to achieve a rating of "confidence" in the 2011 Enhancement Led Institutional Review (ELIR)</p>	<p>Damage to reputation</p> <p>Adverse PR</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Moderate (2)</p>	<p>ELIR Steering Group overseeing the preparation of the review</p>	<p>Lead: Convener of Quality Assurance Committee</p>	<p>Implementing recommendations from Senate Task Groups and other reviews associated with improving QA and QE</p>

Deleted: Identification and review of key corporate machine rooms with co-ordinated improvement plan for physical infrastructure

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
	<p>Reduced attractiveness of UoE to potential students and national / international sponsors of students</p> <p>Potential loss of income through loss of students</p>	<p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 4</p>	<p>Various University-wide academic developments via Senate Committee Task Groups</p> <p>Updating of relevant academic regulations</p> <p>Various College level academic developments via relevant committees</p> <p>Various School level academic developments via ELIR School contacts.</p> <p>Reviews and enhancement of various teaching, learning, academic & pastoral support and support services for students]</p>		<p>Updating the Register of Teaching Collaborations</p> <p>Clarifying and embedding procedures for the selection, approval and ongoing monitoring and review of collaborative teaching provision at all levels.</p> <p>Preparation of all necessary documentation for the ELIR visit.</p>
<p>11. Inadequate engagement with changes in public policy, legislation, and practice affecting Higher Education, e.g.</p> <ul style="list-style-type: none"> o UK Government; o Scottish Executive/Scottish Enterprise/SFC; o City of Edinburgh; o European Union; o Research Councils 	<p>Financial loss</p> <p>Reputational loss</p> <p>Increased regulatory burden / unwanted constraints</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Moderate (2)</p> <p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 4</p>	<p>Membership of sector-wide representational bodies</p> <p>Informal liaison, networking and lobbying</p> <p>Monitoring public policy developments</p> <p>Responses to consultations</p>	<p>Lead: Principal</p> <p>Supported by: Director of Planning, University Secretary, DoCS</p>	<p><i>[URL of risk review 09/10]</i></p>
<p>12. Failure to appropriately position and support the University's image and reputation in the UK and worldwide</p>	<p>Loss of reputation</p> <p>Inability to</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Moderate (2)</p>	<p>International strategy development</p> <p>Activities of</p>	<p>Lead: HoC, Principal</p> <p>Supported by:</p>	<p>Implementation of international strategy</p> <p>Implementation of community relations strategy</p>

Deleted: Appointment of international strategy board and i

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
	<p>attract/retain staff and students</p> <p>Loss of funding</p>	<p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 4</p>	<p>Communications & Marketing in partnership with all units</p> <p>Media monitoring and management, and relationships building</p> <p>Brand management and market research processes</p> <p>Visitor Centre and Corporate publications</p> <p>Relationship development with Alumni</p> <p>Linkages with international groupings e.g. British Council, SDI, UKFO, Confucius Network, U21 etc</p>	<p>VP International, VP Development Director Communications and External Affairs</p>	<p>[URL of risk review 09/10]</p>
<p>13. Significant academic collaborations fail to be effectively managed and do not deliver benefit to the University</p>	<p>Loss of reputation</p> <p>Failure to attract or retain academic staff</p> <p>Financial loss</p>	<p>Inherent Risk: Critical</p> <p>Residual Risk: Impact: Moderate (2)</p> <p>Likelihood: Possible (2)</p> <p>Impact x likelihood = 4</p>	<p>Strategic decisions made through PSG/CMG Group/Finance & General Purposes Committee</p> <p>Memoranda of Agreement</p> <p>Guidelines for staff</p> <p>Separate financial monitoring</p> <p>Quality Assurance Agency Codes of Practice</p>	<p>College Leadership: Heads of College</p> <p>Supported by: Vice-Principal (International)</p>	<p>Review of International Strategy</p> <p>Implementation of Internal Audit recommendations to improve governance of collaboration arrangements</p> <p>Review of collaborative repository</p> <p>[URL of risk review 09/10]</p>

Deleted: Website redevelopment project

Deleted: Review of all partnerships and collaborations on a 5 yearly cycle

Risk	Consequences	Impact of Risk Event/Likelihood of Consequences (given mitigating actions)	Current Management Processes and Mitigating Activities	Senior Managerial Responsibility	Future Developments & Risk Reviews 2009/10
			Governance arrangements put in place and clear designation of responsibilities Review of all partnerships and collaborations on a 5 yearly cycle		
Critical Rare Risks					
14. Widespread damage to property and buildings (fire, explosion, malicious damage etc), including properties adjacent to the University estate	Financial loss, injury, death Inability to conduct research, teaching or operational processes. Loss of research and teaching capability, students/staff Financial loss Reputational damage Prosecution	Inherent Risk: Disastrous Residual Risk: Impact: Critical (3) Likelihood: Rare (1) Impact x likelihood = 3	Fire/security policies Fire detection systems Security staff & procedures Training & awareness Audit of H&S mgt in all units in partnership with insurance brokers Insurance cover Programme of fire risk assessments Business continuity plans Planned preventative maintenance	Lead: Director of Estates Supported by: HoC/HoSG HoS Director of Estates and Buildings, Director of Finance	Evacuation of mobility impaired people: review implementation of policy and complete estate works Review contingency plans Complete H&S management audit programme annually H&S compliance audit programme of all units Comprehensive review of business continuity planning <i>[URL of risk review 09/10]</i>

Deleted: Review implementation of policy for evacuation of mobility impaired persons¶

Deleted: Complete fire risk assessment work programme¶

RISK – Measures of impact

Description and numeric ranking	Example Detail Description Potential for:	
Disastrous (4)	Death Medium term loss of service capability Adverse national publicity / Ongoing damage to University brand image More than 50 people involved Litigation almost certain and difficult to defend	Financial loss in excess of £20m or more than £5m p.a. Breaches of law punishable by imprisonment Absolute blockage to achieving strategic objectives Drop in RAE ratings of 2 or more levels Major difficulty to recruit / retain students or staff
Critical (3)	Extensive, permanent injuries; long term sick Short term loss of service capability Adverse local publicity / Limited damage to University brand image Up to 50 people involved Litigation to be expected	Financial loss between £10m and £20m or more than £3m p.a. Breaches of law punishable by fines only Manageable blockage to achieving strategic objectives Drop in RAE ratings at 1 level Significant problems in recruiting / retaining students or staff
Moderate (2)	Medical treatment required – long term injury Short term disruption to service capability Needs careful public relations No more than 10 people involved High potential for complaint, litigation possible	Financial loss between £2m and £10m or more than £1m p.a. Breaches of regulations/standards Hindrance in achieving annual plans No drop in RAE ratings Limited impact on recruitment / retention of students and staff
Slight (1)	No injuries beyond “first aid” level No significant disruption to service capability Unlikely to cause any adverse publicity No more than 3 people involved Unlikely to cause complaint/litigation	Financial loss between £500k and £2m Breaches of local procedures/standards No impact on annual or long term plans No drop in RAE rating No impact on recruitment / retention of students or staff

RISK – Measures of Likelihood

• Probable	guide:	51%-100% probability	numeric ranking:	4
• Likely		26% - 50% probability		3
• Possible		10% - 25% probability		2
• Rare		< 10% probability		1



The University of Edinburgh

Central Management Group

19 May 2010

Revised Delegated Authorisation Schedule

Brief description of the paper

The attached draft Delegated Authorisation Schedule has been prepared by a small group tasked to take forward a review of the current Schedule following recommendations to the Audit Committee and reported to Court on the requirement for such a review.

The review has been fairly light touch with the same headings adopted as in the current Schedule with the proposed changes reflecting the current Committee structure and taking account of pay modernisation and other changes in practice. In order to provide clarity the revised Schedule sets out the delegated authority which in most cases is a constituted Court Committee and the individual/s able to sign on behalf of the authorised body (except where it is proposed that authorisation is delegated to an individual). The final Schedule will also include a template to enable the production of written sub-delegation schemes where required and the Group would suggest that the Schedule and sub-delegation schemes should be regularly reviewed to ensure they remain fit for purpose. It is hoped that a final document, incorporating comments received from CMG and F&GPC, can be considered and approved by Court at its meeting on the 21 June 2010.

Action requested

CMG is invited to consider and comment on the revised Delegated Authorisation Schedule prior to onward transmission to F&GPC and Court.

Resource implications

No

Risk assessment

The Delegated Authorisation Schedule is an important part of the governance arrangements of the University to assist in minimising financial and other risks.

Equality and diversity

No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

DAS Working Group

THE UNIVERSITY OF EDINBURGH

DELEGATED AUTHORISATION SCHEDULE

This Schedule lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student). The people or bodies are shown under the heading “Delegated Authority”. If the Delegated Authority is a body comprising two or more people the person authorised to sign documents giving effect to the arrangement is shown under the heading “Signatory”. The University Court may continue to exercise all authorities available to it whether or not they have been delegated. Authorities not delegated under this Schedule remain with the University Court.

Notes applicable to this Schedule are set out in Appendix A. Where a Note is applicable to a particular arrangement, it is referred to in the column headed “Notes”.

The Delegated Authority is responsible for sub-delegating authorities granted and for adding an additional signatory or otherwise changing the Signatory. This is done by means of a written scheme. Delegated Authorities may use the suggested template for a written scheme attached as Appendix B. The Delegated Authority may continue to exercise all authorities granted to it whether or not they have been sub-delegated.

Both Appendices form part of this Schedule.

This Schedule applies in addition to the **Delegation of Powers granted by the University Court to the Principal** on 10th June 2002.

Categories of contractual or quasi-contractual arrangements	Delegated Authority	Signatory	Notes
1. Properties Transactions			
1.1 Acquisition and disposal of the ownership interest in land and buildings:			
a) with a value of £500K or less;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of more than £500K and less than £3 million.	b) Estates Committee	b) Convener of Estates Committee	
<i>[over £3 million – authority remains with Court]</i>			
1.2 Acquisition and disposal of the leasehold interest in land and buildings:			
a) with a value of £500K or less and a lease duration of less than ten years;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of £500K or less and a lease duration of ten years or more;	b) Estates Committee	b) Convener of Estates Committee	
c) with a value of more than £500K and less than £3 million and a lease duration of less than thirty years;	c) Estates Committee	c) Convener of Estates Committee	
<i>[with a value of over £3 million and for a duration of 30 years or more – authority remains with Court]</i>			

2. Goods, Services and Works

2.1	Acquiring or providing goods, services and/or works not dealt with elsewhere in this Schedule:		a, b, c, d, f
	a) with a value up to and including £100K;	a) Head of College/Support Group	
	b) with a value of more than £100K but up to and including £500K.	b) Principal	
	<i>[with a value over £500K – authority remains with Court]</i>		
2.2	Acquiring or providing goods, services and/or works for Estates and Buildings (including utilities and estates consumables) other than Estates-related projects – see Section 5.		a, b, c, d, f
	a) transactions up to and including £100K	a) Director of Estates & Buildings	
	b) transactions over £100K and up to and including £500K	b) Director of Corporate Services	
	<i>[transactions over £500K – authority remains with Court]</i>		
2.3	Framework Agreements	Director of Corporate Services	e, f

3. Staff

3.1	Offers of employment and contracts of employment	Head of College/Support Group		
3.2	Appointment to personal chairs	Central Academic Promotion Committee	Convener of Central Academic Promotion Committee	
3.3	Promotions to readerships	Head of College		
3.4	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff below grade UoE 10	Head of College/Support Group		k
3.5	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff on grade UoE 10 and equivalent staff	Remuneration Committee	Convener of Remuneration Committee	g, k, l
3.6	Voluntary severance			g, m
	a) For staff on grade UoE 10 and equivalent staff	a) Remuneration Committee	a) Convener of Remuneration Committee	
	b) for staff below grade UoE 10	b) Head of College/Support Group		
3.7	Other severance including dismissal, redundancy and medical incapacity for:			
	a) Academic and former 'Academic-related' staff	a) As set out in the Commissioners' Ordinance (S1 1992 No. 2700)		
	b) Other staff	b) Head of College/Support Group		

3.8	Implementation of nationally negotiated annual pay awards	Principal	h
3.9	Staff expenses	Head of College/Support Group	i
3.10	Agreements to second staff from the University to third parties and vice versa	Head of College/Support Group	
3.11	Arrangements for individuals visiting the University to do research and/or teaching	Head of College	

4. Student Admissions

4.1	Undergraduate student admissions	Head of College	o
4.2	Visiting undergraduate student admissions	Head of College	o
4.3	Taught postgraduate student admissions	Head of College	o
4.4	Research postgraduate student admissions	Head of College	o
4.5	Visiting postgraduate students	Head of College	o
4.6	Arrangements with institutions or other parties connected with the education of students other than those covered in section 15	Principal	

5. Estates-related Projects

5.1	Award of all goods, services and/or works contracts for estates-related projects			p, f
	a) transactions up to and including £500K	a) Estates Committee	a) Director of Estates & Buildings	
	b) transactions over £500K and up to and including £10 million	b) Estates Committee	b) Convener of Estates Committee	
	<i>[transactions over £10 million – authority remains with Court]</i>			

6. Financial Transactions, Borrowing, Lending and Investment

6.1	Long term borrowing (over 12 months) of up to £5 million	Finance and General Purposes Committee	Principal	r
6.2	Short-term borrowing (12 months or less) of up to £5 million	Finance and General Purposes Committee	Director of Finance	q, r
6.3	Secured loans to third parties			r
	Under £5 million	Finance and General Purposes Committee	Director of Finance	
6.4	Unsecured loans to third parties			r
	Under £1 million	Finance and General Purposes Committee	Director of Finance	

6.5	Authorisation of cash transfers and borrowings pursuant to arrangements already approved in accordance with this Schedule	Director of Finance		r
6.6	Authorisation of release of moneys for investment other than endowment investments referred to at section 13	Director of Finance		r
6.7	Changing signatories on bank accounts	Director of Finance		r
6.8	Foreign exchange dealings up to £20 million	Director of Finance		r
6.9	Settlement of tax matters with tax authorities	Director of Finance		r
6.10	Incorporation and winding up of subsidiary, quasi-sub subsidiary and associated undertakings; dealings with the University's interest in such undertakings including representing the University at meetings and appointing a proxy (this section 6.10 does not apply to spin-out companies referred to at section 6.12)	Finance and General Purposes Committee	Director of Corporate Services	
6.11	Arrangements between the University and the undertakings defined in 6.10, e.g. memoranda of understanding, member or shareholder agreements	Finance and General Purposes Committee	Director of Corporate Services	
6.12	Incorporation and winding up of companies formed to exploit the intellectual property and/or know-how of the University ("spin-out companies"); dealings with the University's interest in spin-out companies including representing the University at meetings and appointing a proxy	Director of Corporate Services		
6.13	Arrangements between the University and the spin-	Director of Corporate Services		

out companies defined at section 6.12, e.g. shareholder agreement

- | | | | |
|------|---|---------------------|---|
| 6.14 | Write-off or write-down of moneys due to the University
<i>[Authority for opening of bank accounts in the University's name and the associated mandates is reserved to Court]</i>

<i>[Authority for borrowing, loans and foreign exchange dealings in excess of the upper limits specified in section 6.1 to 6.4 and 6.8 are reserved to Court]</i> | Director of Finance | r |
|------|---|---------------------|---|

7. Funding Bids

- | | | | |
|-----|---|--|--|
| 7.1 | Funding Bids in response to Scottish Funding Council (SFC) and other external agencies' initiatives (other than as covered by Section 8) and including joint bids with other institutions | Principal | |
| 7.2 | Agreements with institutions or other parties regarding sharing of moneys or other resources provided by SFC or other external agencies for infrastructure for research or education | Head of College/Support Group or the Principal if the moneys or resources are provided for more than one College/Support Group | |

8. Research grants, contracts and ancillary transactions falling within the remit of Edinburgh Research & Innovation Ltd (“ERI”)

8.1	Applications for research grants	Director of Research Services	s
8.2	Acceptance of research grants	Director of Research Services	s
8.3	Tenders for research grants	Director of Research Services	s
8.4	Contracts which are ancillary to research grants (including collaborative arrangements and sub-awards and intellectual property agreements)	Director of Research Services	
8.5	Contracts for the provision of research	Director of Research Services	s
8.6	Confidentiality agreements	Director of Research Services	
8.7	Contracts for the provision of goods, materials, software, data or other resources to or from the University for no consideration ancillary to research	Director of Research Services	
8.8	Contracts relating to clinical research e.g. clinical trial agreements, site agreements, drug supply agreements, clinical study sponsorship agreements	Director of Research Services	s
8.9	Contracts for students to do research if there is funding from a third party	Director of Research Services	s
8.10	Granting or receiving an assignation or licence of	Director of Research Services	

intellectual property to facilitate research

9. Consultancy and Service Contracts falling within the remit of ERI

- | | | | |
|-----|---|-------------------------------|---|
| 9.1 | Contracts for the provision by the University of consultancy services | Director of Research Services | t |
| 9.2 | Contracts for the provision by the University of goods and services; access to equipment and facilities | Director of Research Services | |

10. Technology Transfer Agreements

- | | | |
|------|--|-------------------------------|
| 10.1 | Registration and all subsequent dealings with patents, design rights, trademarks and all other intellectual property rights, including licensing and outright transfer of such rights | Director of Research Services |
| 10.2 | Dealings with copyright, know-how and all other unregistered intellectual property rights (including in relation to software and teaching materials), and licensing and outright transfer of such rights | Director of Research Services |
| 10.3 | Dealings with goods and materials embodying intellectual property rights including licensing and outright transfer of such items | Director of Research Services |

11. University Accommodation

11.1	Allocation of student residential accommodation	Director of Accommodation Services
11.2	Allocation of student residential accommodation for commercial purposes	Director of Accommodation Services
11.3	Room hire: (leases, sublets, conferences, group bookings, concerts etc)	Director of Corporate Services

12. Donations

12.1	Acceptance and utilisation of donations to the Development Trust	Development Trust	As specified by the Development Trust	v
12.2	Acceptance of donations to the University	Vice-Principal for Development/Head of College/Head of Support Group		v, w
12.3	Use of donations to the University – for restricted purposes	.		v
	a) Donations with a value of less than £500K	a) Head of College/Support Group		
	b) Donations with a value of £500K or more	b) Principal		
12.4	Use of donations to the University – for unrestricted purposes	.		v
	a) Donations with a value of less than £100K	a) Head of College/Support Group		
	b) Donations with a value of £100K or more but less	b) Principal		

than £500K

[over £500K authority remains with Court]

13. Endowment Investments

13.1	Release of moneys to fund managers for investment	Investment Committee	Convener of Investment Committee
13.2	Instruction to fund managers to release income for use by the University	Director of Finance	
13.3	Release of income to beneficiary as a budget for the specified purposes	Investment Committee	Convener of Investment Committee
13.4	Specific decisions on application of endowment funding within the specified purposes	Head of College/Support Group or Principal for pan-University endowments	
13.5	Investment management services including appointment of investment managers	Investment Committee	Convener of Investment Committee

14. Agreements with NHS Authorities

14.1	Collaborative agreements with the NHS and other agencies for medical, teaching and research purposes. Leases and licensing agreements for land and property are covered under Section 1 above.	Head of College of Medicine and Veterinary Medicine	x, y, z
14.2	Additional cost of teaching ('ACT') - agreeing the allocation and use of funds provided by the NHS to meet the additional costs of teaching medical students.	Head of College of Medicine and Veterinary Medicine	

14.3 Provision of laboratory services. Head of College of Medicine and Veterinary Medicine y, z

14.4 Medical library, archiving, information technology and networking services. Head of Information Services Group

15. International Agreements

15.1 Agreements involving agencies and equivalent bodies for the recruitment of international students Vice-Principal International acting jointly with Head of College

15.2 European Union schemes for student exchanges and similar Head of College

15.3 Other inter-institutional agreements relating to teaching and learning and having an international character Principal

16. Library

16.1 Access to the Library/library facilities by non-members of the University. Director of Library Services

17. Disputes

17.1 Documents relating to the settlement of court actions or other disputes not falling within the ambit of other parts of this Schedule University Secretary

THIS IS APPENDIX A OF THE DELEGATED AUTHORISATION SCHEDULE ADOPTED BY THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH ON [] JUNE 2010

NOTES

Applicability of Notes

The Delegated Authorisation Schedule ("DAS") to which these Notes are attached lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student).

General notes apply to all arrangements in the DAS.

Particular Notes apply to a particular arrangement if this is indicated in the column headed "Notes" in the DAS.

General Notes

- 1) This Schedule applies in addition to the Delegation of Powers granted by the University Court to the Principal on 10th June 2002, in terms of which the Principal received delegated authority to act on behalf of the University Court in all matters other than the areas which the Court reserved to itself and subject to certain principles (all as published on the University website) and to commit expenditure of up to £500,000.
- 2) The University Court has delegated various authorities to "Head of College/Support Group". In these cases it is the Head of College or Head of Support Group where the arrangement is taking place who has the authority. On occasion arrangements can involve more than one College and/or more than one Support Group. In these situations, unless the University Court has directed otherwise, the various individuals with authority should agree amongst themselves regarding which one of them will accept the authority (and responsibility) for the arrangement concerned. Generally speaking, authority (and responsibility) should be accepted by the individual whose College or Support Group has the budget (or the majority of the budget) for the arrangement concerned.

Particular Notes

- a. Goods means corporeal movable items irrespective of how they are treated in the University's accounts
- b. Section 2 does not apply to the acquisition and provision of goods, services and works dealt with elsewhere in the DAS. For example goods, services and works may be provided as part of the arrangements described in sections 5, 6, 8 to 11, 13.5 and 14 and, if so, these sections apply.
- c. Examples of goods, services or works covered by section 2 are computing equipment; software; books, journals and other written or electronic material; professional services such as solicitors, accountants, architects, surveyors and the like. These examples are without prejudice to the generality of section 2.
- d. Section 2 applies irrespective of whether the goods, services and/or works are purchased or obtained on hire-purchase, lease or other financial arrangement.
- e. Framework Agreements have particular relevance in the area of procurement and are defined in procurement legislation as *"agreements with suppliers, the purpose of which is to establish the terms governing contracts to be awarded during a given period, in particular regard to price and quantity"*.
- f. The acquisition of goods, services and works by the University is subject to statutory requirements and internal University procedures approved most recently at the meeting of the University Court on 19th October 2009. University procedures regarding procurement may be amended or replaced in the future and if so it is the amended or replacement procedures which apply. Delegated Authorities are responsible for ensuring such requirements and procedures are complied with and should consult the University's Director of Procurement for assistance with these matters.
- g. In cases where the arrangement concerned relates to the Principal, the Principal shall withdraw from the Remuneration Committee and take no part in the discussions or any decisions.
- h. Although this authority is delegated to the Principal, the Principal is expected to consult the University Court before committing to the implementation of nationally negotiated annual pay awards.
- i. Staff expenses of Vice-Principals, Heads of College or Support Groups shall be authorised by the University Secretary and staff expenses of the Principal shall be authorised by the Vice-Convener of the University Court.
- j. Deliberately left blank
- k. There are also appeals mechanisms which can be invoked by staff: appeals panels are empowered to take final decisions.

- l. Court reserves to itself (or to its Remuneration Committee) decisions on salaries for certain senior officers as set out in the Delegation to the Principal.
- m. The Delegated Authority and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current arrangements are set out in the Guidance on Severance Arrangements approved by the University Court in October 2008. This Guidance may be amended or replaced in the future. If so it is the amended or replacement guidance which applies.
- n. Deliberately left blank
- o. Finance and General Purposes Committee monitor's numbers of students admitted to the University.
- p. Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current *System of Organisation and Control for The University Court of the University of Edinburgh Major/Strategic Building Projects* was approved by the Court on 5 June 2000. This System also specifies who should sign tender documents. This System may be amended or replaced in the future. If so it is the amended or replacement system which applies.
- q. The Director of Finance can authorise borrowing within existing facilities approved by the Court.
- r. All borrowing, lending and investment transactions are subject to the Treasury Management Policy approved by Financial and General Purposes Committee on 5 March 2001. This Policy may be amended or replaced in the future. If so it is the amended or replacement policy which applies.
- s. If the arrangement relates to the funding of research and the grant or other sums payable are insufficient to the extent that the University will itself require to pay moneys to an external third party, then the Delegated Authority shall obtain the consent of the Head of College prior to making the commitment. This should be done by the Delegated Authority using the University's IRG process.
- t. As set out in SAM 5.6 which specifies the nature of External and Internal Consultancies. It also defines Private Consultancies which fall outwith the scope of DAS. SAM 5.6 may be amended or replaced in the future. If so, it is the amended or replacement arrangements which apply.
- u. Deliberately left blank]
- v. The distinction between funds donated to the University and to the Development Trust is important. Most philanthropic donations are received by the Development Trust rather than by the University. The Trust agrees the way in which they are used, in keeping with any restrictions placed on use by the donor.
- w. The Vice-Principal for Development will consult with the relevant Head of College or Support Group depending on which College or Support Group is to receive a donation with particular regard to terms which a donor may wish to attach to a donation. Acceptance of any donation with restricted academic purposes must be approved by the relevant Head of College or Support Group. If the donation involves land and buildings, acceptance must be approved by the Director of Estates and Buildings in addition to the Head of College or Support Group.
- x. Leasing and licensing agreements for the use of NHS or University land and property by the other party is covered under Section 1 of the DAS and includes the proper application of the 'Pater formula' to deal with the shared running costs of capital developments including those that occurred in the past where agreements in regard to estates cost-sharing were put in place.
- y. Subject to consulting the Director of Estates and Buildings in regard to estates implications.
- z. Subject to expenditure limitations set out in section 2.1



The University of Edinburgh

Central Management Group

19 May 2010

Quarter 3 Group Forecast 2009-10

Brief description of the paper

The University's top-level Quarter 3 Group Forecast for 2009-10 is presented. This forecast is presented including subsidiary companies and the Development Trust, as in the annual accounts.

Action requested

The paper is for information and discussion.

Resource implications

As indicated in the paper.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

None

Any other relevant information

None.

Originator of the paper

David C.I.Montgomery
Deputy Director of Finance

6th May 2010

Freedom of information

Can this paper be included in open business? No
Its disclosure would substantially prejudice the commercial interests of any person or organisation

For how long must the paper be withheld?

The paper should be withheld until after publication of the University's Annual Accounts for 2009-10 (i.e. 31st December 2010).

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The University of Edinburgh

Central Management Group

19 May 2010

**Management Accounts
Nine Months to 30th April 2010**

Brief description of the paper

The University's top-level Management Accounts are presented, including summaries for each College and Support Group.

Action requested

The paper is for information.

Resource implications

None.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

None

Any other relevant information

None.

Originator of the paper

Lorna McLoughlin
Senior Management Accountant

13th May 2010

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the commercial interests of any person or organisation

The paper should be withheld until after publication of the University's Annual Accounts for 2009-10 (i.e. 31st December 2010).

The University of Edinburgh

Central Management Group

19 May 2010

Revision to the University Consultancy Procedures

Brief description of the paper

The provision of consultancy services to customers in industry, commerce and Government is a key component of the University's strategic goal of achieving excellence in Commercialisation and Knowledge Exchange. The University's Consultancy Procedures were last updated was 1997 and it was recognised that, as the University's consultancy activities have grown and developed in the past 13 years, the procedures that govern this important activity needed to be reviewed to bring them up to date. The main policy item of the proportions of income going to academics, College/School, and the University have not changed.

Action requested

CMG is requested to approve these revised Consultancy procedures and to support improved compliance with the policy

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk analysis? Yes - Major risks are highlighted in section 5i of the procedures

Other risks of failure to adopt these procedures are:

- i) A loss of income to Schools, Centres, Colleges and the University.
- ii) A lack of recognition, and underreporting, of the University's knowledge transfer activities.

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Any other relevant information

Paper will be introduced by Nigel Paul, Director of Corporate Services and presented by Ian Murphy, Head of Commercial Services, ERI

Originator of the paper

Karen Conway, HR and Ian Murphy, ERI

PROCEDURES FOR CONSULTANCIES AND SERVICE WORK.

1. Purpose

As an international centre of academic excellence, the University of Edinburgh is, through its staff, a respected source of academic and professional expertise which extends beyond the bounds of research and teaching activity as normally defined. Further, the University recognises and encourages the benefits which accrue to the institution as well as to the individuals concerned from links with industry, commerce, Government bodies and areas of professional service which consultancy can provide. These benefits lie in the enhancement of the academic/professional discipline which derives through knowledge transfer, practical application and experience.

The purpose of this document is to define the procedures to be used for the management of consultancy activities and service work, in a way which ensures these benefits while protecting the interests of both the University and its staff in a manner which reflects appropriate professional standards.

2. Scope

The provisions within this document cover all full-time and part-time members of staff. Where appropriate, pro rata arrangements apply for part-time staff.

3. Definitions

Consultancy

For the purpose of these procedures, Consultancy is defined as the provision of any advice, information, “in-company” training, acting as subject matter expert for an external organisation or other such professional service for a fee, except for activities in the following areas, whether paid or unpaid: -

- a. Reviewing publications
- b. Appearances in the media, e.g. television, or articles for general media publication, e.g. newspapers
- c. External examining duties for other institutions or professional bodies
- d. Acting in an advisory role for a publishing house, Research Council, Funding Council or charity, or their committees, or professional body associated with the individual's role.

Also specifically excluded are activities carried out by clinical staff which relate to the treatment of patients. It is the policy of the College of Medicine and Veterinary Medicine that full time members of academic staff may not engage in private practice for personal gain (although fees for private practice may be donated to the school or division). The procedures do apply where clinical staff participate in areas which do not relate directly to patient care (although there may be patient involvement), e.g. drug, equipment or clinical evaluations, attendance as expert witnesses, etc.

Consultancy may be further split into three different types, defined as follows:

i External consultancy

In which a member of staff provides a consultancy service to a third party (external to the University) in the course of his/her employment with the University and where the nature of the task arises naturally from, and is related to, his or her University employment. An external consultancy is one in which: -

- a. A University resource of any kind is consumed in obtaining or carrying out the work, and/or
- b. Legal liability lies, in whole or in part, with the University.

Expert witness work shall be governed by the same rules as any other external consultancy other than in the case of a legal citation.

ii Internal consultancy

In which a member of staff provides a consultancy service to the University. Such an internal consultancy arises where a staff member provides a consultancy contribution to a broader research, consultancy or service contract already separately held by the University. In this case the relationship is between the consultant and University, usually via a Principal Investigator. The relationship with the third (external) party has already been established in the research, consultancy or service contract itself. Except for this difference in relationship, its characteristics are the same as those of an external consultancy which are described above. Note that in such cases the agreement from the external funding body should be clearly documented.

iii Private consultancy

In which a member of staff provides a consultancy service to a third party, otherwise than in the course of his/her employment by the University, or arising naturally from, or related to, his or her University employment. It must also be clear that the work will be performed without using any University equipment or resource whatsoever and that there is no conflict with the interests of the University or a any conflict of interest has been disclosed appropriately and either eliminated or properly managed .

Service work

The provision of analytical, testing or other services for third parties involving any use of University facilities, equipment, IT networks, and staff resources. For the purposes of this SAM, all such work should be regarded as similar to External consultancy and be regulated as such.

4. Negotiation and Approval of Consultancy and Service Activities

In order to protect the University's charitable status, protect it from legal and financial risk, and to ensure transparency and consistency of treatment for all staff who may engage in consultancy activity, all external and internal consultancies must be negotiated through Edinburgh Research and Innovation Ltd (ERI), or through some other agency so authorised by the Director of Corporate Services.

ERI is wholly owned by the University of Edinburgh. The company's remit is to market University resources, expertise and equipment; to negotiate research and development contracts and exploit the Intellectual Property that is generated and to establish contracts for consultancy work. It offers services to external clients seeking specialist help from within the University and actively seeks to create opportunities for members of staff who wish to participate in consultancy activity. It also provides advisory, information, negotiating and contractual services to the University in respect of staff engaged or about to become engaged in consultancy work. Consultancy contracts are between

the Court of the University of Edinburgh and the client and may be signed on behalf of the University only by a signatory to whom authority to sign such contracts has been delegated in accordance with the University's Schedule of Delegated Authority.

5. Aims of the Procedures for Consultancies and Service Work

These procedures are intended to address the following aims and concerns: -

i. Legal and financial risk

The nature of consultancy work is such that individuals and the University may be exposed to legal and financial risk especially with regard to the possibility of claims for damages on the grounds of professional negligence. The application or otherwise of insurance provisions, the contractual obligations and the consequences for the individual and for the University, must be clearly understood so that this risk is minimised.

ii. Conflict of Interest

There is a need to ensure that both the University and the individual member of staff are protected from the difficulties which may result when the interests of each are, or could be construed as being, in conflict. This arises most obviously in situations where the individual, in the course of his or her employment with the University, has privileged access to opportunities which would lead directly to the individual's personal financial gain or that of any connected person, or where the individual is in a position to influence the University's relationship with an outside body which, in turn, could lead to similar gain. In order to avoid such situations there is an obligation on the part of the individual to declare potential conflicts of interest and to seek advice and an obligation on the University to provide such advice. Staff must always act in accordance with the University's Conflict of Interest Policy (See HR website for policy and guidance).

iii. Relationship between Consultancy activities and University duties

While acknowledging the benefits derived from consultancy, individually and institutionally, a balance must be struck and maintained to ensure that these are not gained at the expense of University duties, and that the University is not exposed to unacceptable risks. Please note that where staff undertake internal/external consultancy (including service work) as their primary role, the arrangements for and the duration of such work and the extent and division of income will vary from those detailed in this procedure.

iv. Consultancy income and costs

The rules and mechanisms for the allocation of consultancy income require to appropriately reflect the range and nature of costs which may be incurred by an individual and by the University in the course of a consultancy.

6. Approval & Signature (External and Internal Consultancy)

i Approval

For both external and internal consultancies, approval must be obtained in advance from their Head of School, Head of College or Support Group or the Principal as appropriate, or the person formally delegated by them to deal with such matters.

This approval should include written agreement in respect of: -

- a. The nature of the proposed consultancy task
- b. The proposed timetable for the consultancy
- c. The details of University facilities or resource to be consumed (if any)
- d. The level of cost to be charged and distribution of monies.

In the case of internal consultancies (c) may already be established in the research or service contract to which the staff member is contracted. As far as internal consultancies are concerned, the requirement is to ensure that any impact the consultancy may have on the work of the individual, and hence the area in which he or she works, is planned.

In seeking approval, the individual must also disclose any outside activity, relationship or interest (including any financial interest), which might give rise to a conflict of interest (See section 5. ii above). In areas of doubt, there is an obligation to seek advice from ERI by contacting the ERI Consultancy Manager or a member of ERI senior management as appropriate.

ii Signature

The requirement for obtaining approval is described above however authority to sign contracts on behalf of the University is a separate matter. All Consultancy and Service contracts governed by these procedures should be signed only by someone who has formally received delegated authority to sign contracts of this nature from the Director of Research Services.

7. Duration and extent (External and Internal Consultancy)

Where approval is given to undertake consultancy/service work under the provisions of this document a member of staff should not spend more than an average of one day per week during semester, and two days per week at other times, in external or internal consultancy activity. The total should not exceed sixty days in a full academic year, but the days may be used en bloc subject to the regulations for Leave of Absence. In the unusual event of an individual wishing to develop his or her consultancy activities beyond the point where this might occur, movement to reduced hours (and salary) is an option which will be considered.

It is the responsibility of the Head of School, (or Head of College/Support Group or the Principal as appropriate) to ensure that the proposed consultancy does not conflict, in nature or extent, with the University duties of the member of staff concerned. As part of this procedure the written consent of the relevant Head of School (or other relevant officer as above) is obtained in relation to each consultancy.

8. Fee rates and pricing (External and Internal Consultancy)

ERI produces guidelines annually on suggested fee rates that may be earned by University staff for consultancy work. (These are available on the ERI web site.)

ERI will normally carry out all pricing negotiations with the client. If a member of staff wishes to negotiate the total price (i.e. the gross income, exclusive of VAT), for the transaction directly with the client, this should be reviewed with ERI at the earliest possible opportunity and before any final terms are agreed. Early involvement of ERI is recommended as this will help to ensure that the fees to be charged reflect the market value of the services to be provided.

In agreeing the price, the following principles must apply:-

- a. Prices charged to clients should not be materially below those charged by commercial organisations carrying out similar work.
- b. The total price charged should reflect a fair return to the member of staff, the School and the University for resources used directly. For example, the total price charged to the client must account for costs in the following areas: -
 - Consultant's fee
 - Consumables
 - Travel and subsistence

- Computing and/or equipment charges
- Any other identifiable direct costs, e.g. secretarial services
- Full contribution to other University indirect costs.

The implications for the Consultant and for the University of National Insurance and Income Tax liabilities in respect of their fees earned should be discussed with ERI and dealt with before any price is discussed with the client (see also paragraph 11, Payment Arrangements).

In respect of internal consultancies, the price (constructed on a similar basis) will normally have been established in the main contract for the project and contained in the internal approval documents.

9. The Consultancy contract (External and Internal Consultancy) and contracts for services

Consultancy contracts for external and internal consultancies or services will usually be prepared using the standard contract terms which have been drawn up in collaboration with the University's legal advisers, insurance advisers and auditors. ERI maintains and regularly updates these contracts and can provide draft documents upon request. In every case where a client's contract is used, ERI's legal advisers must first have agreed its terms before they are presented for signature. Wherever possible it is highly recommended that University standard contracts should be used.

10. Division of income (External and Internal Consultancy)

After the deduction of any direct costs the standard division of fee income is as follows;

Individual member of staff / consultant:	70%
College / School / Centre:	15%
University of Edinburgh:	15%

The division of fee income between the staff member and the School may be varied by local agreement. Variations will only be made by agreement among the Consultant(s) and their Head of School, Head of College / Head of Support Group or the Principal as appropriate.

11. Payment Arrangements: (External Consultancy)

The University has authorised ERI to issue invoices in respect of consultancy and other services rendered. ERI will issue such invoices and will also be responsible for arranging for payments to be made to Consultants and to the College, Schools or Centre. Payments due to members of University staff will normally be made through the University's Salaries Office, who will make appropriate deductions before including the net amount payable in the appropriate monthly salary payment. Payments to University staff will not be released before monies in respect of the consultancy invoice have been received from the client by ERI.

If a member of University staff has registered with the Inland Revenue for self-employed Schedule D status, provided that a specific authorisation has been given by the relevant tax inspector, ERI will make payments directly to the staff member concerned, without tax and NI deductions. It is emphasised that authorisations are not automatically granted by the Revenue and ERI should be consulted on the procedures necessary to apply for such authorisation. Where authorisations have been granted, consultants must provide ERI with proper commercial invoices before payments will be made.

If a member of staff has assigned his or her right to receive payments to a limited company or other recognised business entity (e.g. a partnership), then provided that ERI has been advised of such an arrangement before any entitlement to receive payment has arisen, the consultancy payments will be made without deduction of tax and NI, against proper commercial invoices issued by that company or business. ERI is entitled to seek appropriate documentary evidence of the proper constitution of such

a business. **It is important that any member of staff contemplating using this procedure is aware that there may be consequent contractual and risk/liability implications and should seek advice from ERI.** Any limited company, or other business entity, that has the rights to receive payment assigned to them by a member of staff must have their own Professional Indemnity insurance cover, and provide evidence of this to ERI before such an arrangement will be accepted.

12. Payment arrangements (Internal Consultancy)

All fee payments to staff members in respect of internal consultancies must be made by the Salaries Office through the main University Payroll.

13. Private Consultancy

Private consultancy occurs when a member of staff enters into a consultancy arrangement with a third party: -

- Other than in the course of his or her employment with the University, and
- In his or her 'own time', and
- There is no conflict of interest or such a conflict has been disclosed appropriately and either eliminated or properly managed, and
- Which does not consume any University resources, and
- In which the individual does not represent the University, and
- From which the University receives no financial benefit.

Such consultancies are the responsibility of those staff who enter into them, and they must understand that no cover is provided by the University's Professional Indemnity Insurance provisions.

However unless certain steps are taken the University could be exposed to the attempted pursuit of claims in delict (whether or not by vicarious liability). As an institution which derives most of its income from public funds, it is especially important that the University minimises its exposure to such risks.

A member of staff undertaking a private consultancy does so at his/her own risk and without any approval or authorisation from the University. If a member of staff chooses to undertake a private consultancy, the member of staff must:

1. Use only their home address for all contractual and other correspondence relating to the private consultancy.
2. Include the following disclaimer in all correspondence, including publicity and advertising materials such as websites, relating to the private consultancy :-

Please note that the services are provided by [insert name of member of staff] acting in a personal capacity. [insert name of member of staff] is not, and shall not be deemed to be, acting as agent or employee or representing in any way the University of Edinburgh. Accordingly, you and your company, by accepting the services, (i) acknowledge that the University of Edinburgh has no responsibility or liability for the services and (ii) is deemed to have waived any right or entitlement to pursue or instigate any claim or action against the University of Edinburgh for any injury, loss or damage you or your company may sustain as a result of [insert name of member of staff] undertaking the services for you or your company.

3. Not use University of Edinburgh headed paper or a University address in any contractual and other correspondence relating to the private consultancy.

4. Not use a University email account (i.e. one containing the domain ed.ac.uk) or University web page (i.e. one containing the domain ed.ac.uk) in promoting or undertaking the private consultancy.
5. Not seek legal advice from the University's solicitors, or the ERI legal team in respect of the contractual terms of a private consultancy.

Significant failure by a member of staff to comply with any of the foregoing requirements may result in the University taking appropriate action, which may include initiating disciplinary proceedings, or raising a legal action to recover any financial loss incurred.

14. Further Advice

Any staff member proposing to engage in consultancy activity and who is in doubt about the application of these procedures should contact ERI for advice and assistance.