

**Agenda for a meeting of the Central Management Group  
to be held at 10.30 am on Wednesday, 16 June 2010  
in the Raeburn Room, Old College**

- |                                        |                                                                                                 |          |
|----------------------------------------|-------------------------------------------------------------------------------------------------|----------|
| <b>1</b>                               | <b>Minute of the meeting held on 19 May 2010</b>                                                | <b>A</b> |
| <b>2</b>                               | <b>Matters Arising</b>                                                                          |          |
| <b>3</b>                               | <b>Principal's Business</b>                                                                     |          |
| 3.1                                    | Principal's Communications                                                                      |          |
| 3.2                                    | Principal's Strategy Group                                                                      | <b>B</b> |
| <b>FOR DISCUSSION</b>                  |                                                                                                 |          |
| <b>4</b>                               | <b>Finance Update (closed)</b>                                                                  | <b>C</b> |
| <b>5</b>                               | <b>EUCLID Update</b>                                                                            | <b>D</b> |
| <b>6</b>                               | <b>Draft Estates Strategy (closed)</b>                                                          | <b>E</b> |
| <b>7</b>                               | <b>Update on Academic &amp; Financial Planning Issues for the School of Education (closed)</b>  | <b>F</b> |
| <b>8</b>                               | <b>2010-11 Monthly Student Recruitment Report (closed)</b>                                      | <b>G</b> |
| <b>9</b>                               | <b>Pension Working Party - Update (closed)</b>                                                  | <b>H</b> |
| <b>10</b>                              | <b>Report from the Standing Consultative Committee on Redundancy Avoidance (SCCRA) (closed)</b> | <b>I</b> |
| <b>11</b>                              | <b>Dignity and Respect Procedure</b>                                                            | <b>J</b> |
| <b>FOR INFORMATION/FORMAL APPROVAL</b> |                                                                                                 |          |
| <b>12</b>                              | <b>Acquisition of Services - Travel - Change to Policy</b>                                      | <b>K</b> |
| <b>13</b>                              | <b>Report from the Estates Committee (closed)</b>                                               | <b>L</b> |
| <b>14</b>                              | <b>Report of Knowledge Strategy Committee</b>                                                   | <b>M</b> |
| <b>15</b>                              | <b>Report from Fees Strategy Group (closed)</b>                                                 | <b>N</b> |
| <b>16</b>                              | <b>Guidelines for Commissioning Artworks</b>                                                    | <b>O</b> |
| <b>17</b>                              | <b>Any Other Competent Business</b>                                                             |          |
| <b>18</b>                              | <b>Date of next meeting</b>                                                                     |          |

The September meeting will now be held on 1 September 2010 and not 15 September 2010 as previously scheduled. Please note that the meeting scheduled for the 18 August 2010 has been cancelled.



**Central Management Group**

**Wednesday 19 May 2010**

**MINUTE**

Present:  
The Principal  
Vice-Principal Professor M Bownes  
Vice-Principal Professor N Brown  
Vice-Principal Mr Y Dawkins  
Vice-Principal Professor J Haywood  
Vice-Principal Professor S Hillier  
Vice-Principal Professor R Kenway  
Vice-Principal Professor D Miell  
Vice-Principal Professor Sir John Savill  
Mr M D Cornish  
Mr N A L Paul

In attendance:  
Mr I Conn  
Dr A R Cornish  
Mr A Currie  
Mr J Gorringe  
Ms E Fraser ( on behalf of Ms S Gupta)  
Mr F Gribben (for item 2.1 only)  
Mr I Murphy ( for item 11 only)  
Ms F Boyd, Principal's Policy & Executive Officer  
Dr K J Novosel

Apologies:  
Vice-Principal Professor A McMahon  
Vice-Principal Professor D Fergusson  
Vice-Principal Professor D Hounsell  
Vice-Principal Professor L Waterhouse  
Ms S Gupta  
Mr D Waddell

**1 MINUTE OF THE MEETING HELD ON 21 APRIL 2010**

**Paper A**

The minute of the meeting held on the 21 April 2010 was approved as a correct record.

**2 MATTERS ARISING**

**2.1 Update on Academic & Financial Planning Issues for the School of Education (closed)**

It was confirmed that to date only 12 of the anticipated 22 voluntary severance agreements had been completed in respect of academic staff in the School of Education and therefore it was not yet possible to lift the threat of redundancy in respect of the academic redundancy pool. The Redundancy Committee established by Court required to remain in place until such time as it was clear that the required savings had been secured.

Support staff in only five areas within the School were now included in the separate support staff redundancy pool and it was anticipated that the threat of redundancy would shortly be lifted in four of these five areas; the remaining group being those staff involved directly in supporting course work. The opportunities for re-deployment were high within this group and every effort would be made to encourage individuals to seek re-deployment.

It was noted that the new Head of School was supportive of the actions being taken. CMG further noted that to date there had been no indication if the bids submitted to the SFC for transitional funding had been successful.

CMG therefore concluded that the Redundancy Committees established by Court and CMG required in the meantime to remain in place while every effort would be made to secure the required reductions in expenditure by voluntary means.

### **3 PRINCIPAL'S BUSINESS**

#### **3.1 Principal's Communications**

The Principal reported on the following: the anticipated outcome of Lord Browne's review of fees; discussions with the new Scottish Secretary, Mr Alexander; the Principal's visit to the University of Aachen; the successful visit by the new Chairman of RBS to the imaging Centre at Little France; and the current position in respect of SFC.

#### **3.2 Principal's Strategy Group**

**Paper B**

CMG noted the report.

### **FOR DISCUSSION**

#### **4 FINANCE UPDATE (CLOSED)**

**Paper C**

CMG noted the report, particularly the current position in respect of the allocation of KTG funding by the SFC and the consultation process underway; the uncertainties created by the new Government, the matters anticipated to be contained in the emergency budget and the impact on the University; the position with the USS negotiations and the variable and contradictory comments received to date as part of the consultation on proposed changes to SBS; and the number of voluntary severance agreements completed and the need for HR colleagues to continue to inform staff of the current packages available.

#### **5 EUCLID - UPDATE REPORT**

**Paper D**

The decision to proceed as taken at the 5 May 2010 meeting of the EUCLID Project Strategy and Quality Assurance Group (SQAG) was noted including the provisos and that the risks, while remaining high, were considered to be at acceptable levels. It was anticipated that the switch from DACS (Database of Admissions, Curricula and Students) to EUCLID would be undertaken mid July 2010 and thereafter all reports etc would be actioned using EUCLID held data. Additional training had been put in place and systems were working

satisfactory; there was clear commitment across the University to ensuring the success of the new system.

**6 KNOWLEDGE STRATEGY COMMITTEE Paper E**

CMG endorsed the proposal to formalise arrangements for a Court level IT Committee to be called the Knowledge Strategy Committee. Detailed terms of reference for the new Committee would now be prepared with the intention of seeking Court approval at its meeting on the 21 June 2010. It would be recommended that a Court member should be appointed to join the new Committee.

**7 DRAFT UPDATE OF UNIVERSITY RISK REGISTER Paper F**

The changes from the previous version of the University's Risk Register were noted including the removal of the risk associated with a health and safety incident: operational health and safety risks were included within the Corporate Services Risk Register, and the inclusion of a new risk in respect of the 2011 Enhancement Led Institutional Review (ELIR). It was noted that other areas in the Register had been reworded or updated to reflect the present position eg the merger negotiations with eca.

CMG endorsed the revised Risk Register subject to a revision downward of the likelihood associated with the new ELIR risk 10 and clarification in risk 6 between student categories and lines of responsibility.

**8 REVISED DELEGATED AUTHORISATION SCHEDULE Paper G**

It was noted that a light touch approach had been adopted to update the current Delegated Authorisation Schedule. CMG noted the proposed levels within section 2: Goods Services and Works and endorsed the revised Schedule subject to further consideration of these levels prior to onward to transmission to Finance and General Purposes Committee for consideration and to Court for approval.

**FOR INFORMATION/FORMAL APPROVAL**

**9 QUARTER 3 FINANCIAL FORECAST (CLOSED) Paper H**

CMG noted the paper and the encouraging Q3 forecast year end surplus of £17m based on the March management accounts and further noted the changes from the Q2 forecast position.

**10 MANAGEMENT ACCOUNTS – NINE MONTHS TO 30 APRIL 2010 (CLOSED) Paper I**

It was noted that the financial position continued to improve and the year end surplus could be higher than the Q3 forecast. Cash and short term deposits remained particularly strong and as previously reported this was as a result of allocations from funders ahead of spend.

**11 REVISED UNIVERSITY CONSULTANCY PROCEDURES Paper J**

It was noted that the current procedure was out of date, being last revised in 1997. The updated document reflected current practice and in particular the procedure now applied to service work as well as consultancy activities and defined internal and external activities. CMG approved the revised Staff Administration Manual Chapter 5:6 (SAM5:6) on Procedures for Consultancies and Service Work.

**12            DATE OF NEXT MEETING**

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

16 June 2010

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

B

Amongst the items discussed were:

**1. ERI Report on research activity**

Members discussed and noted the latest figures.

**2. Report on UG and PGT admissions**

Members noted that both UG and PGT admissions are currently on target for this stage in the recruitment cycle.

Principal requested that the UG and PGT admissions reports be discussed at CMG meetings.

**3. SFC Consultation Draft Response: Knowledge exchange - funding from the Horizon Fund 2011-2012**

Members discussed the draft response and gave feedback. Comments from the group will be incorporated in the finalised submission.

**4. Report on PRG, voluntary severance and early retirement**

Members noted the current position with regard to voluntary severance and early retirement. Members discussed various aspects of the Posts Review Group and agreed that PRG will remain in place for a further year.

**5. Campaign Update**

Members discussed the current position.

16 June 2010

**Finance Update**



Brief description of the paper

The paper summarises the latest actions being taken to maintain the University's financial stability. It also describes the external developments that are impacting on the university.

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  
8 June 2010

The University of Edinburgh

Central Management Group

16 June 2010

**The EUCLID Project: Update June 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.

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?/N

Equality and diversity

Does the paper have equality and diversity implications?/No  
If 'Yes', summarise these or indicate where in the paper they are set out.

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

To be presented by

Vice-Principal Professor Jeff Haywood – EUCLID Senior Responsible Officer



## Central Management Group 16th June 2010

### Additional information for update on EUCLID & Satellite Projects (Student & Course Administration System)

Progress since the last CMG update has been good. Although there is still a substantial number of items to be progressed over the remaining 7 weeks until the final data migration and subsequent testing through the middle of July, as far as we can ascertain all critical items will be dealt with before the data and systems are 'frozen' in late June.

Specific actions and progress over the past weeks have been:

**IT infrastructure:** the new hardware in place and testing well underway – performance is the same as was achieved with the demo equipment over the winter and is well in excess of performance of the current hardware.

**Data quality:** intense testing of the data quality by Registry has taken place and a lot of progress made. Various errors in the data migration have been identified and the scripts have been changed and re-tests carried out. Those errors with the largest negative impact are being tackled first, and those with more minor impact will be picked up later. Some errors which cannot sensibly be handled automatically will be corrected 'by hand' once the final data migration has taken place in July (this was always in the plan for the 2 week 'frozen' period). At present the number of items which must be corrected is manageable but challenging;

#### Satellite projects:

- Timetab (enables checking of timetable clashes) – is back with the creator for final adjustments;
- Post-graduate database – the rebuild is mostly complete – the major users appear satisfied with the outcomes so far;
- SMART (in-course and exam assessment marks systems, mainly used by CSCE) – the changes to this system were minor, mainly to include PGT students alongside UG students and ensuring that the data feeds from EUCLID to SMART were correct;
- Data interfaces – these feed many downstream systems, including Library, student ID card, email, Accommodation Services and the bespoke in-house databases used by some Schools. The data structure in EUCLID is different to that of DACS and so correct alignment of EUCLID and downstream systems is necessary. Progress is steady but there is still some way to go. Those systems that require data most urgently, eg Accommodation Services, are being prioritised;

**Communications:** meetings have been held with the senior staff of the three Colleges, explaining the go-live decision and its implications, stressing the need for maintaining their attention on both readiness for the new systems and also their contingencies in case of problems. There was no obvious lack of confidence that we would succeed, although there was a concern that staff in Schools needed more training and support, and this is being put in place, with special attention to Schools that will be under pressure in August/September due to moves into new buildings etc. An all-staff email is to be sent out in w/c 31 May. Dr Sue Rigby continues to liaise with academic and School/College support staff to ensure that their concerns are quickly addressed, and Prof Haywood is maintaining his close involvement with the EUCLID and IS Teams, and the Support Services.

Vice Principal Jeff Haywood  
Vice Principal Richard Kenway  
09 June 2010



The University of Edinburgh

Central Management Group

16 June 2010

**University's Estate Strategy 2010-2020**

Brief description of the paper

Attached is a further draft of the Estate Strategy which has received approval from the University's Estates Committee (EC) on 2 June and F&GPC on 7 June. EC discussed the funding scenarios in Chapter 6 and, in terms of the realistic funding scenario, approved, in principle, the priority projects identified by Colleges and Support Groups. EC endorsed for inclusion in the final version of Chapter 6, the funding scenarios now modelled and presented in the paper and these were further approved by F&GPC.

Action requested

CMG is invited to approve the Strategy in advance of seeking the final approval of Court on 21 June. The Strategy will then be forwarded to the Scottish Funding Council in July/August. CMG is also invited to note the changes to the presentation of financial data in Chapter 6 and Appendix 8, following discussion at EC and F&CPC.

Resource implications

Does the paper have resource implications? Yes, these are described in Chapter 6, Finance.

Risk assessment

Does the paper include a risk analysis? No, although the Strategy identifies 3 different funding scenarios in chapter 6.

Equality and diversity

Does the paper have equality and diversity implications? The Strategy makes reference to Equality and diversity as one of its key themes.

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 can be set to 'open' once the Estate Strategy is published.

Any other relevant information

None

Originator of the paper

Maureen Masson, Business Manager, Estates and Buildings

To be presented by

Vice-Principal McMahon, Vice-Principal Planning, Resources and Research Policy

The University of Edinburgh

Central Management Group

16 June 2010

**Update on Academic and Financial Planning Issues for the School of Education**

Brief description of the paper

This paper updates CMG members on progress in dealing with the School of Education.

Action requested

CMG is asked to note the progress.

Resource implications

As detailed in paper.

Risk assessment

Does the paper include a risk analysis? No

Freedom of information

Can this paper be included in open business? No

Disclosure would substantially prejudice the effective conduct of public affairs

Originator of the paper

Frank Gribben, CHSS College Registrar, for and on behalf of the ITE Planning Group.



The University of Edinburgh

Central Management Group

16 June 2010

## **2010-11 Monthly Student Recruitment Report**

### Brief description of the paper

This paper provides CMG with an update on undergraduate (UCAS) and taught postgraduate student recruitment as at 1 June 2010. Figures are shown in the context of intake targets, the position as at 1 June 2009 for the previous recruitment cycle and the position as at the end of that recruitment cycle. The format is that of the monthly recruitment updates posted on the CMG website and so the paper is in two halves; the undergraduate update on pages 1-19 and the taught postgraduate update on pages 20-34.

### Action requested

CMG is asked to note the analysis of the 2010/11 recruitment figures.

### Resource implications

As College budgets for 2010/11 have been based on the student intake targets (excluding home/EU undergraduates), any difference between actual intakes and the intake targets will affect budget allocations.

### Risk assessment

Does the paper include a risk analysis? No

### Equality and diversity

Does the paper have equality and diversity implications? No

### Freedom of information

Can this paper be included in open business? No

Disclosure would substantially prejudice the commercial interests of any person or organisation

Withhold for 4 months

### Any other relevant information

To be presented by Elizabeth Lister, Director, Student Recruitment and Admissions

### Originator of the paper

Jim Galbraith, Senior Strategic Planner, Governance and Strategic Planning; 8 June 2010.



The University of Edinburgh

Central Management Group

16 June 2010

**Report on Pensions' Working Party**

Brief description of the paper

This paper is intended to update CMG on recent work of the Pensions' Working Party.

Action requested

Members of CMG are to agree the paper.

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? No

Originators of the paper

Elizabeth Welch

Assistant Director of Finance, on behalf of the Pensions Working Party

Dr John Markland

Chair of Finance and General Purposes Committee

16 June 2010

**Report from the Standing Consultative Committee for Redundancy Avoidance (SCCRA)**

Brief description of the paper

This is the second report from the Standing Consultative Committee for Redundancy Avoidance (SCCRA) with the purpose of providing CMG with the latest information on the policies, structures and processes in place to ensure that the University is fulfilling its obligations in relation to employment law and good governance in the area of redundancy. The report also provides a summary of the data considered by SCCRA on redundancy and avoidance of redundancy in the University.

Action requested

When it considered the last report from SCCRA, CMG indicated its support for receiving a regular report every six months, while Court was content with an annual report. CMG is asked to confirm whether an annual report would suffice and to indicate when in the year it would prefer to receive SCCRA reports.

CMG is also invited to note the work of SCCRA and the University's current position in relation to redundancy and avoidance of redundancy.

Resource implications

Does the paper have resource implications? Not directly.

Risk Assessment

Does the paper include a risk analysis? No

Equality and Diversity

Does the paper have equality and diversity implications? Not directly.

Originator of the paper

April McMahon, Vice-Principal, Planning, Resources and Research Policy (Convener of SCCRA)  
Eilidh K Fraser, Deputy Director of HR

2 June 2010

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the effective conduct of public affairs

For how long must the paper be withheld? One year

The University of Edinburgh

Central Management Group

16 June 2010

## **Dignity and Respect Procedure**

### Brief description of the paper

The paper contains the final draft of the proposed Dignity and Respect Procedure.

### Action requested

For approval by CMG, subject to the parameters contained in the paper.

### Resource implications

There was a strong view expressed through consultation that to continue to build an environment in which a culture of dignity and respect can thrive would require there to be initial (launch) and ongoing interventions some of which would have resource implications. Interventions would need to focus both on the positive application of the policy and how to raise and address matters when they go wrong (this procedure). It has been suggested from a College perspective that the initial launch with staff and students of the Dignity and Respect Framework should commence in October 2010 following the start of the next academic year.

### Risk assessment

The Procedure complements the University's Policy in order to manage the risks in relation to issues concerning dignity and respect. An effective implementation approach is also essential to manage those risks.

### Equality and diversity

Both the Policy and the Procedure are integrally concerned with ensuring equality and diversity principles are applied to the way in which the University supports a positive culture for working and studying.

### Freedom of information

Can this paper be included in open business? Yes

### Any other relevant information

The paper will be presented by Sheila Gupta, Director of Human Resources

### Originator of the paper

Karen Conway  
HR Policy Advisor (Corporate)

## **PAPER FOR CMG ON THE DIGNITY AND RESPECT PROCEDURE**

### **1. Background**

Like the overarching Dignity and Respect Policy this associated Procedure covers staff, students and potentially visitors to the University. This makes the Procedure quite unusual which in turn has presented certain challenges. It has been developed through discussion with the Vice Principal for Equality and Diversity, Human Resources, EUSA, the University's recognised trade unions and central and devolved staff with responsibility for student policy.

### **2. Scope**

The Procedure has to accommodate a spectrum of issues from minor interpersonal squabbles, misunderstandings and communication failures (the majority of matters) to the most serious, intentional cases of bullying and harassment (hopefully rare). It is intended to enable one to one direct resolution at an early stage (where reasonably possible) but also the involvement of University management in resolving matters (as needed and as appropriate).

The process to be followed needs to be sufficiently flexible to be proportionate to the matter in hand – hence the use of 'exploration' to describe the lighter touch day to day management approach through to 'investigation' of a more formal nature when dealing with potentially serious matters and to accommodate both staff and student matters. Similarly, its flexibility has to accommodate different organisational structures across the University whilst also providing sufficient framework to enable good practice and provide consistency.

### **3. Challenges**

Of particular note in its development has been the need to find:

- i. Language which can apply to staff and students (along with a potential for this to also apply to visitors to the University) including where this procedure interacts with staff and student conduct/disciplinary policies;
- ii. A way to simply describe those job roles which have 'responsibility for areas of work or study ...and a duty to take timely, relevant action to resolve concerns ... using this Procedure.' Suggested titles (such as 'Responsible Persons') were generally felt to be unclear or unpalatable. Therefore, the expression 'managers of staff and others' (MSO) has been used which, although not elegant makes a strong link back to the overarching Policy. Separate information will be provided to identify these job roles and this will enable us to differentiate between staff and student circumstances and different College/Support Group structures. This was felt to be the most practical approach.

### **4. Next Steps**

There was a strong view expressed through discussions that 'simply' producing a procedure would not be sufficient. There was felt to be a need to continue to develop the organisational culture by embedding the positive aspects of dignity and respect in ongoing activities and identifying how individuals might deal with concerns as they arose – in more detail than is possible within a combined staff/student procedure. Therefore it is intended to compliment this Procedure and the Policy with associated guidance as part of a web-based framework and to identify implementation activities.

In light of the above it is proposed that approval is given to this Procedure subject to:



- a full review a year after implementation. As always an earlier review may be undertaken should it be necessary. A comparison with other core HR policy developments, such as discipline, occurring in that period would also be undertaken.
- completion of final discussions with those parties identified in (1) above including reaching agreement with the staff trade unions through the CJCNC. The Procedure would return to CMG in September should any significant revisions arise from these final discussions prior to seeking Court approval.

Corporate Human Resources

# Dignity and Respect Procedure – How to Raise, Address and Resolve Concerns



## 1. Purpose

This procedure is part of the University's Dignity and Respect Framework, in conjunction with the Dignity and Respect Policy, and should be followed when individual and/or organisational behaviours arise which are perceived to negatively affect the dignity and respect of members of the University community.

The procedure provides the approach to raise, address and resolve concerns consistent with good practice. The emphasis is on early, constructive intervention aimed at positive and supportive resolution based on an assessment of the nature of the behaviour, the factors driving/underlying causes of it and the potential or actual impact on the individual and/or on the organisation.

## 2. Context

As part of the University's commitment to equality and diversity it is intent on promoting a positive culture for working and studying, in which all members of the University community treat each other with dignity and respect, and where action is taken in relation to inappropriate behaviour.

Matters of concern relating to dignity and respect are recognised as being of a potentially sensitive and emotive nature. This should be borne in mind by all parties when raising, addressing and resolving any such matters and especially so where the behaviour may be considered to be bullying, harassment and/or discrimination.

## 3. Scope

Matters of concern relating to the behaviour of staff or students will be managed under this procedure where the matter falls within the University's responsibility either as an employer or as a provider of education.

Matters of concern relating to the behaviour of other members of the University community may be raised under this procedure but may need to be managed through alternative routes.

## 4. Definitions

- a. For the purposes of the Dignity and Respect Framework inappropriate individual or organisational behaviour is broadly defined as:

'Behaviour which is perceived to be demeaning, unwarranted and unacceptable by the individual experiencing the behaviour (whether directed at, or observed by, them.)'

- b. Inappropriate behaviour can take many different forms including : verbal – both the written and spoken word; physical including body language and facial expressions; inappropriate application of University policy or procedure; and may take place face to face or through digital, electronic or other media.
- c. The context in which the behaviour occurs is likely to influence how the behaviour is perceived: for example, for individuals the nature of the underpinning relationship

between two people may be relevant; for the organisation the legislative context informing a policy or procedure may be relevant.

- d. Examples of behaviour which will almost always be perceived as inappropriate include:
- physical violence;
  - shouting, swearing, abusive language, obscene gestures;
  - malicious gossip;
  - manipulation or coercion for personal gain, for example, for sexual favours or academic marks;
  - intrusion such as by pestering or stalking.
- e. Many instances may begin as matters of a relatively minor nature but, if not addressed, may become more serious, complex and/or enduring in nature including issues which may be considered to constitute bullying, harassment and/or discrimination. In some circumstances there may be a single serious event.
- f. Managers of Staff and Others (MSOs) - the Dignity and Respect Policy identifies that Managers of Staff and Others (MSOs) with responsibility for areas of work or study have a duty to take timely, relevant action to resolve concerns using this Procedure; this is in addition to their general individual responsibilities as a member of the University community. MSOs are identified separately in the Guidance to enable clarity on local variation in job roles.<sup>1</sup>
- g. Within this procedure the process of exploration and/or investigation is the proportionate action to be taken by the MSO in order to understand the situation giving rise to the concerns. This may range from gentle exploration of the matter through simple fact-finding up to and including a full and formal investigation.

## 5. Procedure

- a. Matters of concern regarding inappropriate behaviour should be raised at an early stage wherever reasonably possible.
- b. Matters may be progressed by the individuals concerned or by an MSO depending on the nature of the matter being raised. In many instances staff and/or students will wish to resolve matters themselves directly working within the principles of the Dignity and Respect Policy.

Students seeking a confidential, independent discussion on how to approach resolution may wish to seek advice from EUSA. Staff who are members of a trade union may wish to seek advice from their representative.

Information on general support for staff or students who wish to raise an issue can be found at: .....*ie the guidance – to follow*

- c. Where it is not possible for staff and/or students to resolve concerns directly then the matter should be raised with a relevant MSO including details of what steps have been taken so far and the outcomes. An MSO may also initiate action based on his/her own observations/experience. *Note: see guidance for list of MSOs.*
- d. The MSO will take action to address and resolve the matter in a timely, fair and proportionate manner, undertaking such exploration/investigation as necessary following the principles contained in 'Good Investigation Practice'. He/she will give an indication of the likely timescale to those involved at the beginning of the process and provide timely information on any changes to the timescale with an indication of the reason for change

---

<sup>1</sup> Note to CMG: further information on this is to follow and, as a minimum, a list of MSOs will be published at the same time as this Procedure. Examples of MSOs include line management, senior manager, senior Directors of Studies.

as needed.

- e. In addressing and resolving matters of concern the MSO should seek information and advice from the relevant Human Resources team on staff matters and from the relevant College Officer on student matters. *Note: information will be contained within the Guidance.*
- f. At the end of the exploration/investigation the MSO will summarise his/her findings and identify the way forward, through discussion with others as appropriate.

## **6. Outcomes from the Exploration/Investigation**

- a. In most instances potential outcomes following exploration/investigation by the MSO are likely to be one of the following:
  - i. There is no further action required other than to record the findings (which should be proportionate to the issues raised) and communicate the outcome.
  - ii. The member of staff or student raising the concern addresses the matter directly.
  - iii. The matter can be resolved through day to day management of staff or areas of work or study. For example: for individual behaviours this might be by simple discussion and/or awareness raising, training, support or, in some instances, might include mediation; where the matter relates to organisational behaviours this may include the need for policy or process guidance or amendment.
- b. In a small number of circumstances following investigation a case will be sufficiently serious that it must be progressed into another University policy/procedure and should enter at an appropriate stage.
  - i. Where the matter is considered to be one of conduct this should be progressed into the relevant staff and/or student disciplinary policy. Where there is a substantial competence/ performance issue relating to a member of staff, this should be progressed into the capability policy.
  - ii. The investigation under the Dignity and Respect Procedure will usually form the basis of the case within the disciplinary or capability process. Additional investigation may be undertaken as needed on a case by case basis.
  - iii. Where the matter is akin to, or subsequently progressed as, a grievance by a member of staff, this process above (Section 5 and Section 6a) should be considered as equivalent to the 'Informal Stage', unless specified otherwise.

## **Linked policies and sources of further information**

*Links to the Dignity and Respect Policy and other parts of the framework*  
*Links to sources of advice and support*  
*Links to related policies: discipline, capability, grievance for staff*  
*Links to Code of Student Discipline etc for students.*

## **Procedure History and Review**

This procedure was approved by [ ] on [Date] and takes effect from [date]. The Dignity and Respect Policy and Procedure together replace Dealing with Personal Harassment: Code of Practice for Staff and Dealing with Personal Harassment: Code of Practice for Students. This procedure will be automatically subject to review in the event of any significant change in the relevant legislative context or associated policy framework, and in any event will be reviewed 1 year after implementation.

16 June 2010

## **Acquisition of Services - Travel - Changes to Policy**

### Brief description of the paper

The paper updates CMG on the introduction by the Directors of Finance and Procurement of changes for value for money and process efficiency for low value travel (under £300)

- staff book low value travel themselves and thus can consider alternatives effectively
- this is treated as a personal expense, vouched for (appropriate & reasonable) costs
- managers or budgetholders can ensure that low value travel is purchased efficiently
- using secure eExpenses, staff will get claims reimbursed within 5 days of approval

We are looking at savings in travel services such as rail, air and hotels, where already £1m is claimed on eExpenses per annum. Self-booking would save up to ~£30,000 pa in agents fees.

Soundings have been taken including our travel users group and are in favour of the changes.

Collaborative procurement strategies are not yet agreed and policy will be kept under review.

### Action requested

CMG to note the changes to low value travel purchasing efficiency

### Resource implications

Does the paper have resource implications? Yes.

Potential savings of around £30,000 per annum if all low value travel booked online.

### Risk assessment

Does the paper include a risk analysis? Yes

No significant risk, £1m of eExpenses already claimed, vouched, approved by line managers.

No personal risk as low value travel is frequently booked online. eExpenses payments 5 days.

### 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

Opportunities for collaborative procurement strategies are developing with APUC ltd but at an early stage. Alternatives to travel are already promoted within the University. Current travel management contracts are extended during a transition period for high value or more complex journeys. The policy will be reviewed early in next academic year and also the frequently asked questions (FAQ) and answers will be published re eExpenses and claims.

Originators of the paper

Karen Bowman, Director of Procurement

Jon Gorringe, Director of Finance

2<sup>nd</sup> June 2010

## Acquisition of Services - Travel

### 1. Background

In researching a collaborative procurement strategy, we found approx. £300,000 per annum of low value (under £300) journeys booked via travel management companies costs us ~£30,000 in fees and have noted that tickets can be not best value for money compared to self-booking.

- (i) In the rail, air and hotel markets, self-booking online is now normal and special prices are often only available for short periods or just to self-bookers rather than to agents, this has options which can be considered 24/7 and booked (eTicket printed) instantly.
- (ii) We are still at an early stage of developing strategies with APUC Ltd for rail, air, hotel services to explore if aggregated contracts or government travel arrangements can really deliver best benefits. Last June's CMG approved new management controls on expenditure in compliance with the public procurement law regarding acquisition of goods, services and works, so working up a shared strategy is required.
- (iii) To make efficiency savings sooner, we have made changes to travel claim processes.

### 2. eExpenses

- (i) Already over £1m of rail, air, hotels are booked and paid for as personal expenses, vouched and claimed back via secure eExpenses. Approvals by the managers or budget-holders controls costs, and service target is approved claims paid in 5 days.
- (ii) Finance management accountant has monthly reconciliation on low value line item invoices coding errors from agents. eExpenses is more efficient re managing budgets.

### 3. Low Value Self-Booking

- (i) For journeys costing less than £300 a self-booking and eExpenses route is **strongly preferred** by the Directors of Procurement and Finance.
- (ii) Soundings have been taken and are broadly supportive at various levels in the University, including our travel users group. Transport Office is also supporting this.
- (iii) Low value travel as a personal expense can save £30k. p.a. and eExpenses already handles £1m p.a. of such claims with a model for financial control and rapid payment.

### 4. Key Policy Changes, see website

<http://www.ed.ac.uk/schools-departments/procurement/buying/commodity/travel/travelpolicy>

- (i) Effective from 1 June 2010 i.e. for travel where the return trip costs under £300, staff should self-book online after considering the guidance on sustainable alternatives to travel, on their choices of modes of travel and on insurance.
- (ii) Procurement web links to commonly used self-booking sites as well as to Transport Office and eExpenses and to the contracted travel management companies for higher value trips. Circular email was issued on 30 May 2010 after soundings were positive.
- (iii) eExpenses are now for low cost trip rail,air, hotel as well as other legitimate expenses duly incurred, properly vouched / authorised as in eExpenses and Finance regulations.

## **5. Contracts**

- (i) The University framework contracts are being extended for a period, pending a new collaborative strategy and policy review and offers choice of three travel management companies (agents) which **should be used** for higher cost or more complex journeys.
- (ii) We will consider government or other public sector contracts, if shown as best value.

## **6. Benefits**

- (i) This approach offers opportunities to make savings on tickets and agents fees. For staff it brings benefits like ease of use, publicly available 24/7 ebooking services, flexibility with clearer personal responsibility for travel choices and prices paid.
- (ii) Finance eExpenses service offers prompt direct payment of vouched claims, within 5 days of online approval. For managers and budget-holders, it is easier to ensure that individual best value options are being chosen and to report on expenditure real time.
- (iii) Other benefits may be social responsibility & sustainability as a self-booking service gives individuals clear responsibility and accountability for decisions made; quicker responses to Freedom of Information requests; using travel management companies (agents) contracts for complex tasks which justify paying fees and improve pricing paid; allowing a rapid way to reduce overall spend on high volume lower value trips.

## **7. Risks**

- (i) As with all expenses claims, both staff and managers share responsible for ensuring only appropriate and eligible journeys are undertaken, best value is met, adequately vouched and approved promptly. This risk will be mitigated with managers' support.
- (ii) eExpenses registration service may initially find increased pressure to meet demand, although this is thought to be unlikely as it already handles over 4000 users with about 100 new starts per week. This risk is mitigated by the existing support service.
- (iii) A procurement challenge for removing this expenditure from a new contracting strategy or extending the period is low as (a) already staff self-book rail, air and hotels and claim on eExpenses and (b) other institutions have extended pending new strategies. This risk is thought unlikely but could be mitigated by new tender action.
- (iv) Process changes always bring some risks but appropriate FAQ Frequently Asked Questions, and local support from managers and travel users group will reduce this. P.A.s can use contract agents but this has fees and also incurs higher process costs.

## **8. Policy review**

- (i) Work on collaborative strategies means more regular reviews and this will happen early in 2010-11 academic year to give a chance for feedback from requests for Frequently Asked Questions and from users of both self-booking and eExpenses.
- (ii) Our travel users group keeps watching brief; Transport Office is actively involved.
- (iii) SEAG-OPS operations group and Director of Corporate Services will be engaged.



(iv) Soundings will be taken informally after suitable transition period to gain feedback.

**9. Contact**

Mrs Evelyn Bain, Procurement Manager [evelyn.bain@ed.ac.uk](mailto:evelyn.bain@ed.ac.uk) or ext 6502506.

**10. Recommendation**

**CMG to note changes to low value travel purchasing efficiency.**

**1. Staff cannot afford to spend £300?**

Advance payment guidance is at <http://www.ed.ac.uk/schools-departments/finance/for-staff/staff-expenses>

**2. Credit Card Charges ( interest charges) will the UoE pay if member of staff may not be able to clear their credit card account by the end of the month?**

The University will not pay any credit card interest or charges incurred due to the customers credit position, see advance payment guidance.

**3. Will the University pay all fees charged by airlines/ train companies for using a credit card?**

The University will pay the full amount of the booking but staff should always seek value for money (VfM).

**4. Local finance office staff including central finance staff will be processing more claims for expenses, is this going to cost less in administration time than paying the travel agent?**

There are already £1m of such claims by 4000 users of eExpenses and rail or air is just one more line on a claim and is very quick to approve and pay.

**5. A lot of travel is booked at the last minute which does not allow time for expenses advance to be processed?**

This is a permissive policy not restrictive you can use the University approved travel agents however you will incur fees. Early booking reduces ticket prices and changes or cancellation fees for online bookings are sometimes cheaper.

**6. Staff who are not used to booking may make mistakes and may incur a fee to transfer the booking or receive no refund at all?**

This is a permissive policy not restrictive you can use the University approved travel agents however you will incur fees. Colleagues familiar with booking online could help and there is help guidance available. Such sites usually give the opportunity to fix mistakes before confirming payment.

**7. Travel agents have a wealth of experience and given information which has saved time and money, should we not keep using them?**

This is a permissive policy not restrictive you can use the University approved travel agents however you will incur fees for low value simple journeys and should seek VfM.

**8. How do we make bookers aware that they are covered by the University insurance and should not purchase the carriers own package (sometimes this is added by default when booking)?**

The University has a Travel Insurance Policy for employees and students who are required to travel on University business but **NOTE Cover is not automatic** and should be arranged on an individual or group basis through the University's Insurance Office.

<http://www.ed.ac.uk/schools-departments/procurement/buying/commodity/travel/travel-insurance>

You should advise all of your bookers within your School prior to booking and staff to make sure that if not using University policy that any personal insurance covers business travel.

**9. The University should consider a credit card system?**

It has done so and currently the Director of Finance cannot approve such a scheme at this time.

**10. Does the policy include Train, Flights and Accommodation?**

Yes

**11. This policy assumes everyone has a credit card what do we do if a bookers does not have a credit card?**

Advance payment guidance is at <http://www.ed.ac.uk/schools-departments/finance/for-staff/staff-expenses>

**12. Is it Mandatory that all travel worth less than £300 and must be paid by staff and claimed back through claims for expenses?**

This is a permissive policy not restrictive you can use the University approved travel agents however you will incur fees and should always seek VfM in our travel costs.

**13. Will there be an audit or penalties for those who use the expenses system for values over £300 for example by the time the booker has taken time out to collate the flight, hotel etc and found the price to be over £300 they decide to book this themselves due to the effort they have taken to collate the information?**

This is a permissive policy not restrictive and the approver of the travel would be expected to ok as VfM and if agreed and vouched approve eExpenses

**14. Is a journey one trip at £300 or the complete trip at £300?**

A journey is aggregated spend for example your train return or flights costing total under £300

**15. At school level should we forbid staff from using agents other than the three contracted suppliers?**

If staff are self-booking and paying then claiming eExpenses then they may choose to use agents as personal bookings and pay them personally but the permissive policy is to encourage avoiding fees by self-booking rather. Staff **cannot** open a University account with agents as that would be against the updated delegated authorisation schedule (approved by CMG and going to next F&GPC) and illegal if our spend came to over £50k in aggregate.

**16. Does this policy apply to admin support staff and external examiners or any other guest we have to book for, should we get them to book their own travel and claim back through paper claim for expenses or continue to book through the travel agent for under £300?**

This is a permissive policy not restrictive you can use the University approved travel agents however you will incur fees. Early booking reduces ticket prices and changes or cancellation fees for online bookings are sometimes cheaper. Rules for visitors are as before and if booked via university contracted agent should demonstrate best value for money for the University budget and if booked by visitor themselves will require vouched paper claim of expenses.

**17. If three or four people are going on the same trip do they have to book their travel separately?**

No

**18. Early Bird booking discount you may not receive a receipt until you attend the event we will have paid for this and have to wait for reimbursement?**

You can ask for an electronic receipt and eTickets when booking which should be evidence enough to complete your claim.

**19. What happens if a booking is made in Foreign Currency when converted is over £300?**

This is a permissive policy not restrictive and the approver of the travel or budgetholder would be expected to ok as VfM and approve eExpenses.

**20. What happens if an operator liquidates will the University insurance office reimburse the department or school?**

No

**21. Will the University upgrade eExpenses so that it actually work with more browsers?**

Supported browsers are reviewed regularly.

**22. Will the University provide clear guidance on the record keeping required to ensure that the new policy still considers general blanket exemption for income tax purposes?**

No the current rules are clear regarding personal expenses, your own tax office can advise.

**23. Most of the staff may not be on expenses and may not be in a position to pay for very expensive items upfront including some junior members of staff?**

This is a permissive policy not restrictive, you can use the University approved travel agents however you will incur fees or staff can claim advance on expenses if approved.

**24. Funding is generated through external bodies, travel cost is not funded by UoE/SFC money do we still have to adhere to the policy rules?**

Yes if the University is paying either the contracted travel agent or reimbursing the expenses for later claims from our funders.

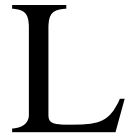
**25. The simple solution to avoid agency fees would be to issue senior staff with frequent expenses with a corporate card?**

The University has considered this and Director of Finance cannot approve at this time. These also have reconciliation and data management costs and issues.

**26. What is the legislation in respect of non contracted suppliers?**

We have advertised and awarded a framework contract with three suppliers and we cannot spend in aggregate over the adequate advertising threshold (currently £50k but may be changed by government policy) with non-contract agents.

The law changed in Dec 09 and legal briefing is available <http://www.ed.ac.uk/schools-departments/procurement/news/changestoexpenditure>



The University of Edinburgh

Central Management Group

16 June 2010

**Report from Estates Committee held on 2 June 2010**

Brief description of the paper

The paper reports on key discussions and recommendations made at the meeting of EC, held on 2 June 2010.

CMG is reminded to note that copies of the EC papers and the minutes of the meeting are available to CMG members on request from Angela Lewthwaite (Tel: 651 4384, email: [angela.lewthwaite@ed.ac.uk](mailto:angela.lewthwaite@ed.ac.uk)) or online via the EC web-site at <http://www.ec.estates.ed.ac.uk/index.cfm>

Action requested

CMG is invited to note and endorse the recommendations contained in items 1, 2, 3, 4, 5, 6, 7, 9, 11, 12 and 15.

Resource implications

Does the paper have resource implications? **Yes, detailed throughout the paper.**

Risk Assessment

Does the paper include a risk analysis? It should be noted that EC papers contain, where applicable, separate risk assessments. Some of these may be contained within the reports to CMG and others

**General:**

Legislation Non-Compliance/Business Continuity – mitigated by regular assessment and update of priorities, risk register and implementation of annual major replacements/compliance programme

Capital Commitments (CAC) – mitigated by tracking via the Capital Projections Plan and regular updating in consultation with Finance and reporting to EC, CMG and F&GPC, through to Court.

Project Management – mitigated by on going monitoring of Design Team, Contractor, Risk Register and meetings of Strategic Project Boards who in turn report significant programme/cost issues to EC etc.

Equality and Diversity

Does the paper have equality and diversity implications? No

None of the proposals in this paper raise issues beyond those that are routinely handled in all Estates Developments. It should be noted that EC papers contain, where applicable, separate E&D assessments.

Any other relevant information

The Vice-Principal Planning and Resources will present the paper.

Copies of the EC papers and the minutes of the meeting are available to CMG members on request from Angela Lewthwaite (Tel: 651 4384; Email: [Angela.Lewthwaite@ed.ac.uk](mailto:Angela.Lewthwaite@ed.ac.uk)), or alternatively can be found at <http://www.ec.estates.ed.ac.uk/index.cfm>

Freedom of information

Can this paper be included in open business? The paper is **closed**.  
Its disclosure would substantially prejudice the commercial interests of any person or organisation

All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Paul Cruickshank - Estates Programme Administrator  
Angela Lewthwaite - Secretary to EC  
8 June 2010



The University of Edinburgh

Central Management Group

16 June 2010

**Knowledge Strategy Committee Annual Report**

Brief description of the paper

Report from the Knowledge Strategy Committee on business conducted over the past 12 months.

Action requested

For information.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk analysis? 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

Any other relevant information

Jeff Haywood (Vice Principal of Knowledge Management and Planning) will present the paper.

Originator of the paper

Jo Craiglee  
Head of Knowledge Management & IS Planning

## Knowledge Strategy Committee

### Report to Central Management Group

This paper presents a summary of the major items concerning Knowledge Strategy Committee over the past 12 months.

Committee papers are available online at:

<http://www.committee.kmstrategy.ed.ac.uk/index.cfm>

Knowledge Strategy Committee (KSC) has oversight of the University's knowledge management activities, in particular those areas concerned with Library, Information Technology, e-Learning, Management Information and e-Administration (hereafter described as the University's 'Information Space')<sup>1</sup>.

#### Research Infrastructure

- ⤴ **Research Computing needs** – The need for centrally managed research computing has grown substantially over what is a relatively short period of time. IT Committee has been tasked with investigating how to best integrate the needs of research computing into the mainstream work programme.
- ⤴ **Library Materials** – In an effort to minimise the impact of decreasing purchasing power, Library Committee has been tasked to consider ways of ensuring that the expenditure on materials represents good value for money; and that there are good resource discovery channels to ensure that the materials purchased are well used.
- ⤴ **Research support (Libraries)** – during this period the Research Publications Service has been mainstreamed. Library Committee is also exploring the opportunities for Research Data Management. This project sits alongside a parallel project led by ITC to explore the requirements for research data storage.

#### eLearning

- ⤴ **eportfolio implementation** -The procurement project was reviewed regularly over the past year culminating in the selection of PebblePad. The implementation and pilot phase will continue to be monitored closely as more Schools and courses are introduced to this service.
- ⤴ **Institute of Academic Development (IAD)** - It is intended that the elearning Committee will establish a close working relationship with this new Institute. It is expected that IAD will provide strategic direction on the priorities for this area and this will eliminate the current tensions between technology and skills development issues.

---

<sup>1</sup> The following committees report to KSC: Library Committee; IT Committee; e-Learning Committee; and University Collections Advisory Committee



- ✧ **Principal's e-Learning Fund Evaluation** - the final report from the evaluation has provided valuable pointers and lessons learned for the future direction and strategy. In particular the opportunities presented by joint working with the eLearning Professionals and Practitioners (eLPP) and the IAD.
- ✧ **Knowledge strategy: the elearning component** – It is recognised that elearning is a fast changing world. The concepts of 'the changing learner' and 'the changing teacher' are seen as possible models for seeking guidance from Schools on the future direction of plans for this area. This consultation will take place during the summer, 2010.

### Infrastructure

- ✧ **Service Robustness: Availability, Resilience and Disaster Recovery** - ITC is working on the production of a comprehensive policy on availability, resilience and disaster recovery for IT services. It is anticipated that the policy will be presented to the relevant committees for approval, in early 2010/11.

### Projects

In last year's report to CMG, it was noted that KSC was considering the development of a framework for the management of major IT/non-estates Projects. The governance toolkit was presented to CMG in January this year. All major T/non-estates projects are now using the toolkit, including the recently commenced Timetabling Project.

### Policies and Strategies

Both the IT Strategy and the Information Security Policy were approved by CMG and Court in Nov/Dec 2009. Work continues on the Security Policy, extending this with respect to mobile working and the transfer of sensitive data.

Court and CMG also approved the Museums & Galleries Collection Policies for 2010-15, setting out the objectives for the collections over this period.

In February 2010, the foundations were laid for the University's next Knowledge Strategy. Draft work-ups for some of the key areas have been prepared for consultation with Schools, Colleges and the Support Groups. It is anticipated that the Strategy will evolve year on year, reflecting the constant flux of areas such as elearning and the digital environment in general.

### Governance

At its meeting on 19 May, CMG agreed that KSC should become a committee of Court. To this end the terms of reference for Knowledge Strategy Committee have been sent to Court for approval at its meeting on 21 June 2010.

Jeff Haywood  
Vice Principal of Knowledge Management, CIO and University Librarian

Jo Craiglee  
Head of Knowledge Management and IS Planning

02-June-2010



The University of Edinburgh

Central Management Group

16 June 2010

**Fees Strategy Group: items by correspondence**

Brief description of the paper

This paper contains items agreed by Fees Strategy Group by correspondence, and an item of Convener's business, for final approval by CMG.

Action requested

Approve recommendations as set out at items 1-3.

Resource implications

Does the paper have resource implications? Yes

This paper deals with fee setting for 2010/11

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? Yes

Equality and diversity issues are considered as part of the ongoing monitoring of fee levels by the Fees Strategy Group

Freedom of information

Can this paper be included in open business? No

Disclosure would substantially prejudice the commercial interests of any person or organisation.

Withhold information until information published in table of fees.

Any other relevant information

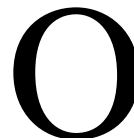
To be presented by Professor April McMahon, Convener of the Fees Strategy Group

Originator of the paper

Susie Rice

Governance and Strategic Planning

8 June 2010



The University of Edinburgh

Central Management Group

16 June 2010

### **Guidelines for Commissioning Artworks**

#### Brief description of the paper

The guidelines set out The University of Edinburgh's approach to commissioning artists or acquiring artworks for University space.

This paper has passed successfully through both University Collections Advisory Committee (UCAC) and Knowledge Strategy Committee (KSC).

#### Action requested

For approval.

#### Resource implications

Does the paper have resource implications? No

#### Risk assessment

Does the paper include a risk analysis? 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

#### Any other relevant information

Jeff Haywood (Vice Principal of Knowledge Management and Planning) will present the paper.

#### Originator of the paper

John Scally  
Director of University Collections

Jacky MacBeath  
Museums Development Manager

## Guidelines for Commissioning Artworks

---

### **1. Introduction**

These guidelines set out The University of Edinburgh's approach to commissioning artists or acquiring artworks for University spaces. They are intended to ensure that our commissioning process is consistent and fair, and leads to high quality work being created and maintained. These guidelines should be applied to all types of commissions, whether small individual commissions (such as a portrait of a member of the University) to large-scale site-specific works of art, and to entire collections commissioned for new building developments. The guidelines can also be used for the acquisition of a group of existing works of art for a specific purpose, such as a new building. Those involved in commissioning should also ensure that they have ascertained whether there are suitable works available in the University's art collection which could serve instead of commissioning. Responsibility for ensuring these guidelines are followed and kept up-to-date lies with the University Collections Advisory Committee (UCAC), which reports to University Court, and the Director of University Collections.

### **2. General Recommendations**

2.1 All art commissions are based on a desire for appropriate art for University spaces as expressed by an individual or group chosen to oversee the art commission. The realisation of that vision can only be achieved with sound policy, good project management and a clear decision-making process.

2.2 From the outset, it should be made clear what the roles and responsibilities are of individuals and groups involved in the commissioning process. This should include who makes the final decision on acceptance of the artwork.

2.3 It is of fundamental importance to establish clear links, where appropriate, with Strategic or major Project Boards where capital projects are the catalyst for art and in particular where it is being funded through the project budget.

2.4 Commissioning permanent works of art for a corporate entity such as the University is a collaborative process, which differs significantly from works curated for temporary exhibitions. Sensitivity must be shown to stakeholders, for example, those who will occupy the building in which the art will be sited.

2.5 Whatever the vision or drive for the commission, the art must enhance the University's spaces and collections in a corporate and permanent sense.

2.6 Artists should be treated as experts in their work just as with planners, architects and other professionals.

2.7 A successful commission can take a long time to complete. There must be a realistic timescale for consultation and for the artist to develop the work and to engage with the commissioner/client or group mandated to oversee the commission. The process should be clearly defined and iterative.

2.8 Where the commission relates to a new development or major redevelopment, rather than an existing site, the earlier an artist is engaged the better. This means that the artist should

contribute to the process at every stage, rather than installing works at the end of a project which may have little relevance to the brief or are unexpected in their form or meaning.

### **3. The Commissioning Process**

It is recommended that the commissioning process includes the following:

- 3.1 Commissioning Plan / Project management
- 3.2 Artist's Brief
- 3.3 Budget
- 3.4 Roles and Responsibilities
- 3.5 Selection Process
- 3.6 Legal aspects & contracts
- 3.7 Stewardship of the Artwork

#### **3.1 Commissioning Plan / Project Management**

The commissioning plan should clearly lay out the aims of the project and how it will be implemented. Project management needs for each commission, including technical and installation aspects, should be determined on a case by case basis. Large or complex schemes may need to employ a project manager.

There are a number of issues to consider, including:

- Management and budgeting systems
- Setting a brief
- Setting criteria, a selection process and mechanism for decisions (e.g. a Selection Panel)
- Selection, appointment and contracting of artist(s)
- Being clear about who or which group has the final decision on the acceptance of the artworks
- Achieving planning consent if required, and other legal aspects
- Appropriate consultation
- Monitoring and support of the project
- Insurance and maintenance plans
- Installation
- Documentation, Education and Marketing
- Impact
- Completion and handover

#### **3.2 Artist's Brief**

This is essential. It should contain all relevant information and requirements. It should strike a balance between being open enough to allow an artist the space to be creative, but detailed enough to ensure an outcome that meets the commissioner's and/or the Selection Panel's expectations.

The following is a recommended checklist of headings for an artist's brief:

- The aims of the commission e.g. enhancing a site, providing a focal point
- Artistic scope and anticipated role of the artist (e.g. scale of work)
- Clarification of roles and responsibilities of all partners
- Context – history of project, information about commissioner
- Description of the site(s): environmental, geographical, social and cultural history; any constraints – conditions, usage, physical or technical
- Planning permission requirements
- The role of the artist and possible themes for the artist's consideration
- Any community or public involvement required
- Any specifications about materials, perhaps for reasons of availability, durability, environmental concern or aesthetics, and information on 'in-house' styles
- Any constraints on the project

- Any environmental impact offset
- Any ecological impact (for externally sited works)
- The design team (if any) that the artist will collaborate with
- Detailed budget for design, production and installation – what is and isn't covered (e.g. fees, travel, expenses, professional advice, meetings, research and development meetings/costs, production)
- Time-scale for design stage, production and installation including any key dates (e.g. anniversaries, launch dates, building completion)
- Maintenance / cleaning / conservation requirements
- Clarification concerning ownership of the work (including preliminary drawings and maquettes) and any intellectual property resulting from the commission
- Documentation required from the artist
- Decommissioning policy
- The selection procedure
- Contact list – naming main point of contact

### **3.3 Budget**

A typical commission budget might include:

- Advertising and selection costs (advertising, interviews etc)
- Artist's fees and expenses (set at nationally recommended rates)
- Materials and fabrication costs (the artist's fee and materials budget do not have to be separated out by the client – it can be left to the artist to identify their fee and material costs within the whole budget for design, framing or glazing, fabrication and installation)
- Consultation and community participation
- Insurance/Public Liability and/or Professional Indemnity costs
- Installation and site preparation (e.g. ground works, landscaping, lighting)
- Transport and site management costs (e.g. security considerations)
- Legal costs
- Marketing, documentation, evaluation and opening / launch event costs
- Maintenance / conservation
- VAT (where applicable)
- Contingency (at not less than 10% of the total commission element)
- An allowance for decommissioning (in the longer term)
- PR/launch or opening ceremony, workshops, seminars

### **3.4 Role and Responsibilities**

Any successful art commission requires a high level of 'buy-in' from decision-makers from the outset. Stakeholders who have the power to approve or disapprove artwork at the final selection stage should be involved at the beginning of the process, and this may include Strategic or Major Project Boards if it is capital projects that are the catalyst for the appointment of the selection panel which will be a sub-group of and report to the Project Board where funding is through the project budget..

#### **3.4.1 The role of the University / client / commissioner**

- Establishing a Selection Panel of appropriate stakeholders
- Determining the site/space/location of artwork
- Obtaining planning permissions, and preparing any site work
- Drafting the Commissioning Plan
- Agreement on internal University roles and responsibilities
- Agreement on selection process
- Drafting any legal documents / contracts
- Project management
- Budget – raising, setting, control

- Stakeholder liaison / consultancy

### **3.4.2 The role of the artist**

It is recommended that this is agreed from the outset. The ability of the artist to communicate with others involved in the process is important. Direct face to face discussion with the artist is essential and this contact should be timetabled in as part of the process.

Particular roles include:

- **Artist as designer**

Creation of a design for a prototype, which can be made in limited edition.

- **Artist as designer & maker**

Artists and craftspeople more usually design and fabricate work themselves or with sub-contractors. The artist will be responsible for production, completion and usually installation, perhaps working with a foundry, or quarry.

- **Artist on design team**

- **Lead Artist**

The lead artist manages the public art element of a project and its interrelation to other concerns of the project. The artist may be commissioned to produce their own work, but primarily they would oversee the artistic development of styles, themes and commissions of other artists which will benefit the distinctive identity of the development.

- **Artist in Residence**

The artist is commissioned to produce work, usually after a consultation period on site, and this may include collaboration with researchers, students or other members of the University community.

### **3.4.3 The role of the curator / art advisor (if any) [these roles can be internal (University) and/or External (independent, not acting as the artist's representative)]**

- Supporting the originator of the 'vision'; interpreting/communicating the 'vision'
- Researching the scope of the project
- Researching artists
- Drafting artist's brief
- Organising the selection process
- Advising on budgets
- Facilitating (but not replacing) interface between commissioner and artist
- Monitoring design development and the production of the commission
- Organising presentations of work in progress (if relevant)

### **3.4.4 University Estates and Buildings**

Estates & Buildings need to be involved at each stage of the process and to be kept informed by the commissioning client. A representative of Estates & Buildings should be offered a place on the Selection Panel. It should be clearly understood that artworks have an impact on the University's estate, including for short and long term maintenance. Often artworks are commissioned as a result of capital projects, therefore, engagement with Strategic or Major Project Boards, Estates Committee and other relevant committees is critically important.

## **3.5 The Selection Process**

There are three main approaches to commissioning artists. The choice of approach will generally be guided by the size/cost of the commission.

### **3.5.1 Direct invitation or approach**

This is where an artist is directly invited to submit a proposal. Payment is made for the research and design stage. This is a good model in circumstances where a brief is clear-cut, or in projects where the timescale may preclude the advertising of the commission. It can be the best model where a commission would be enhanced by the work or reputation of a particular artist.

### 3.5.2 Limited competition

A small number of artists are asked to develop and submit proposals based on the artist's brief and a site visit if necessary. A fee is paid to each artist for a proposal for outline ideas, drawing, maquette (model), draft budget, time-scale and maintenance schedule. The artwork content of a proposal will normally remain the property of the artist on completion of the project.

### 3.5.3 Open Competition

The competition is announced by placing advertisements briefly describing the commission (and site if appropriate) in relevant outlets. The full artist's brief is not sent out at this stage. Artists are invited to send up to six slides or images showing examples of recent or relevant work (which should be returnable), and a CV. A panel of appropriate people then selects a small number of these artists. The artists are then paid a small fee to draw up proposals exactly as in a limited competition.

### 3.5.4 The Selection Panel

For large-scale commissions, it is recommended that a decision-making group is established. There may already be a group in existence capable of fulfilling this function. The group should be capable of remaining involved and able to attend regular meetings throughout the life of the project.

The work should be commissioned to agreed criteria by appropriate representatives of the University / commissioner, with the necessary information and authority to take decisions and to make sure those decisions are honoured. Every panel will be project-specific, however a typical selection panel might include:

- One or two representatives of the University, including the originator of the 'vision' or client/commissioner (the Convenor of the Project Board or nominee (for building developments))
- An internal curator or external art advisor (who will consult with art colleagues in the university)
- A representative of the site/space/building users
- A representative of Estates and Buildings
- The architect (for new building developments)

This is not an exhaustive or prescriptive list. Members of the selection panel should be involved from the earliest stage in the selection process and should see the process stages through to completion. Whenever possible, consensus over the final decision should be reached, and all parties should at least agree to the final choice.

**It is recommended that the Panel sets itself some selection criteria, based on the artist's brief. This avoids selection or rejection on the basis of personal taste and subjectivity. The panel also needs to be clear at the beginning of the process what happens if there is disagreement.**

### 3.6 Legal Aspects and Contracts

The University / client / commissioner should agree on the contract with the artist regarding the commission. ERI (Edinburgh Research & Innovation) can provide advice. The artist's work falls into three categories:

- Design only, supply and install by others
- Design and supply, install by others
- Design, supply and install by artist

The artist's programme of work can also be broken down into three stages for administrative, budgeting and decision making purposes. These are:

- Sketch scheme
- Detailed design (including budget and timetable)



### ➤ Implementation

Contracts should be agreed and signed by the artist and client / commissioner before any work takes place.

Elements to cover:

- Names, definitions and contact details of University commissioner; architect and contractor or sub-contractor
- Budget – artists fee and payment schedule
- Ownership of preparatory designs and other material
- Responsibilities of the artist
- Responsibilities of the client / commissioner (e.g. site preparation, planning consents)
- Responsibilities of internal curator / external art advisor
- Warranty that the artwork will be original
- Intellectual property, copyright, reproduction and moral rights
- Site preparation, transport and installation
- Formal acceptance of work (in writing)
- Delivery and installation of artwork – including timetable and completion date
- Ownership / adoption and maintenance
- Alteration, loss, damage, transfer of title/ownership, relocation, sale of artwork
- Insurances and indemnities – of artist, artwork and other parties
- Compliance – Construction (Design and Management) Regulations, Health and Safety Regulations, Disability Discrimination Act
- Review period and decommissioning policy
- Variations and terminations of agreements
- Disputes and arbitration procedures

Appended:

- Final version of Artist's Brief
- Work schedules to be carried out by other parties, subject to separate agreements

### **3.7 Stewardship of the Artwork**

Unless otherwise arranged, all works of art commissioned and paid for by the University of Edinburgh are retained in the legal ownership of the University. Upon handover from the artist, commissioned artworks are normally managed as part of the University's Fine Art Collection, to Museum Accreditation standards, by the Museums Support team.

Commissioned artworks are added to the collections management system responsible for documentation, cataloguing, collections insurance, security and disaster response procedures, and enquiries service.

<http://www.lib.ed.ac.uk/resources/collections/crc/index.html>

### **4.0 Maintenance and Decommissioning**

As funding for artwork does not normally include a revenue cost for maintenance and / or conservation, it is recommended that commissioned works be as durable and maintenance light as possible. This should be emphasised at briefing and contract level.

Major / complex commissions should include a costed maintenance schedule from artists, along with listed finishes, and a timetable for maintenance. This may include power cleaning, landscape care, polishing and repainting. It is the responsibility of each brief and commission to ensure that any special maintenance requirements are detailed and can be met before commissioning goes ahead. The University of Edinburgh Collections Museums Support team, who are ultimately responsible for the stewardship of works of art in the ownership of the University, do not have the resources for the maintenance of public art.

Sometimes changing circumstances, such as a complete change of use of a particular site, or user will necessitate decommissioning (removal, re-siting or storage) of a work. The University retains the right to undertake such decommissioning.

John Scally, Director of University Collections / Jacky MacBeath, Museums Development Manager