

**Agenda for a meeting of the Central Management Group
to be held at 10.30 am on Wednesday, 13 October 2010
in the Raeburn Room, Old College**

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|--|--|----------|
| 1 | Minute of the meeting held on 1 September 2010 | A |
| 2 | Matters Arising | |
| 3 | Principal's Business | |
| 3.1 | Principal's Communications | |
| 3.2 | Principal's Strategy Group | B |
| FOR DISCUSSION | | |
| 4 | EUCLID Update | C |
| 5 | Risk Management Committee Annual Report | D |
| FOR INFORMATION/FORMAL APPROVAL | | |
| 6 | Management Accounts –1 month to 31 August 2010 (closed) | E |
| 7 | Report from Sustainability & Environmental Advisory Group | F |
| 8 | Establishment of Chair of Adult Respiratory Medicine | G |
| 9 | USS Consultation Update (closed) | H |
| 10 | Any Other Competent Business | |
| 11 | Date of next meeting | |

Tuesday, 23 November 2010 at 10.30 am in the Raeburn Room, Old College



Central Management Group

Wednesday 1 September 2010

MINUTE

Present:
The Principal
Vice-Principal Professor A McMahon
Vice-Principal Professor D Fergusson
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

In attendance:
Professor J Seckl
Dr I Conn
Mr A Currie
Ms S Gupta
Mr D Waddell
Dr K Waldron
Mr D Montgomery (on behalf of Mr J Gorringe)
Mr J Galbraith (for item 7 only)
Mr A Mackay (for item 8 only)
Ms L Welch (for item 6 only)
Dr K J Novosel

Apologies:
Vice-Principal Professor M Bownes
Vice-Principal Professor N Brown
Vice-Principal Mr Y Dawkins
Vice-Principal Professor D Hounsell
Vice-Principal Professor L Waterhouse
Mr M D Cornish
Mr N A L Paul
Dr A R Cornish
Mr J Gorringe

1 MINUTE OF THE MEETING HELD ON 16 JUNE 2010 AND MEETING HELD BY CORRESPONDENCE ON 10 AUGUST 2010 **Paper A**

The Minute of the meeting held on 16 June 2010 and the meeting held by correspondence on the 10 August 2010 was approved as a correct record.

2 MATTERS ARISING

2.1 Update on Academic & Financial Planning Issues for the School of Education

CMG noted that the threat of redundancy to support staff had now been lifted; those remaining at risk as at 16 June 2010 had been redeployed into vacant positions within the revised support staff structure. The Redundancy Committee established by CMG could now be stood down having not been

required to convene.

CMG thanked all those involved in achieving the changes in the School of Education through voluntary means.

3 PRINCIPAL'S BUSINESS

3.1 Principal's Communications

The Principal reported on the following: the part-time appointment of Vice-Principal Professor Sir John Savill to the position of Chief Executive and Deputy Chair of the Medical Research Council with effect from 1 October 2010; archaeological discoveries in the Old Quad; formation of 40 new companies in the last academic year; the donation of £10m by author J K Rowling to found the Anne Rowling Regenerative Neurology Clinic to take forward research to improve outcomes of patients with multiple sclerosis and CMG congratulated all those involved particularly Vice-Principal Young Dawkins, Vice-Principal Professor Sir John Savill and Professors French-Constant and Chandran; recent media coverage on the proposed merger with eca; the current position with student fees; the financial position and the comprehensive spending review; the success of the University's involvement in this year's Edinburgh Fringe and proposed future initiatives; and the announcement of the winners of the James Tait Black book awards.

3.2 Principal's Strategy Group

Paper B

The intention to prepare a discussion paper on enhancing eLearning was noted and endorsed.

FOR DISCUSSION

4 FINANCE UPDATE (CLOSED)

Paper C

The allocation of the SFC Knowledge Transfer funding in June was noted and the anticipated impact of government spending reductions on the SFC and on the Research Councils; sector funding in 2011/2012 was anticipated to be particularly tight. The work of the post review group and the year end position in respect of those accepting voluntary retirement centrally funded were noted; CMG further noted that in 2010/2011 the centre would reduce its contribution to the cost of voluntary severance packages to 50% from the current 100% as previously intimated. It was further confirmed that there would be an early indication of scenario planning assumptions as part of this year's planning round.

5 UPDATE ON ECA (CLOSED)

Paper D

6 PENSIONS' UPDATE (CLOSED)

Paper E

The proposed changes to the USS pension scheme were noted and that a consultation process would commence mid October 2010 with all active members; a national group was being established to prepare the consultation documentation to be used by universities. The possible impact on the SBS scheme of the proposed government legislative changes was also noted.

7 STUDENT ADMISSIONS – UPDATE POSITION (CLOSED)

Paper F

CMG noted the current position in respect of applications, offers and acceptances for undergraduates as at 20 August 2010 for the coming academic session for home/EU and for full fee students; there was slight over-recruitment against target figures for home/EU and recruitment was well above target for full fee students. CMG further noted that there was likely to be further movement in postgraduate figures with current postgraduate taught figures encouraging and postgraduate research figures not as high as expected. The work of the International office was acknowledged in contributing to the increase in the recruitment of full fee students and CMG noted the need to continue to carefully monitor target levels of home/EU undergraduates to avoid over-recruitment.

8 UK BORDER AGENCY – UPDATE POSITION Paper G

The current process in respect of students obtaining visas including the significant costs was noted and the UK Government’s intention to review and tighten the process in light of its concerns on the increase in numbers entering the UK by this route and perceived possible abuse; it was anticipated that specific areas within the sector would be targeted for further scrutiny. The University had applied for a highly trusted sponsor (HTS) licence and CMG noted the importance of achieving this recognition to assist students obtain visas; the increased resources to ensure compliance with the UK Border Agency requirements and to obtain and maintain HTS status were noted.

In respect of staff visas, there were current two consultations underway, one on how to limit economic migration and one on what those limits should be; a small steering group had been established to agree the University’s evidence based responses to these consultations. The UK Border Agency had applied interim arrangements in advance of the outcomes on these consultations which had resulted in the number of certificates of sponsorship (for two categories of applicants) now being issued to the University being reduced. CMG noted the impact of this on the University in respect of extensions of current staff visas and the ability to sponsor new staff; action was being taken to more closely monitor the requirement for short term extensions.

9 EUCLID REPORT Paper H

CMG noted the significant progress since its last meeting and that contingency planning was well advanced for freshers’ week activities with alternative processes identified. There would be further refinements over the next 12 months to improve and address any remaining user issues with the new systems.

10 2009/2010 VFM REPORT Paper I

This now routine annual report on value for money activities within the University was welcomed and CMG endorsed its onward transmission to the Audit Committee.

FOR INFORMATION/FORMAL APPROVAL

11 H&S QUARTERLY REPORT AND COMMITTEE REPORT Paper J

CMG noted the continuing downward trend in the number of reportable incidents and welcomed the actions taken in respect of improving safety around the University's fringe festival venues. The annual report of the Occupation Health Unit was noted and the University's achievements in respect of the Healthy Working Lives award scheme commended.

12 SECURITY ADVISORY GROUP ANNUAL REPORT Paper K

CMG approved the Building Access Control Policy and asked that priority be given to areas where there were potential staff safety issues and sensitive research facilities. CMG further endorsed the wearing of ID badges. The increasing number of high profile visits and the resource implications were also noted. It was suggested that in addition to the current measure to control anti-social post examination behaviour that it might be appropriate to investigate alternative venues particularly for final exams.

13 REPORT FROM STAFF COMMITTEE Paper L

The work to enhance recognition and reward for staff engaged in teaching and learning was commended and the developments in drafting a formal Performance and Development review framework. The launching of the new website for international staff was welcomed and information on the assistance available; it was noted that such assistance would be of benefit to any new member of staff. Progress in respect of dignity and respect procedures and the Equality and Diversity Strategy were noted. It was also noted that the new Equality Act 2010 would become law in October 2010 replacing a number of current equality and diversity legislation.

14 VP CONTINGENCY FUND (CLOSED) Paper M

The year- end position and the commitments to date were noted.

15 PROPOSAL TO ESTABLISH A JEANNE MARCHIG CHAIR OF ANIMAL WELFARE EDUCATION Paper N

CMG approved the proposal to establish a new Chair.

16 PROPOSAL TO ESTABLISH A CHAIR OF PREGNANCY RESEARCH Paper O

CMG approved the proposal to establish a new Chair.

17 PROPOSAL TO ESTABLISH A CHAIR OF HEALTH IN SOCIAL SCIENCE Paper P

CMG approved the proposal to establish a new Chair.

18 DATE OF NEXT MEETING

Wednesday, 13 October 2010 at 10.30am in the Raeburn Room, Old College

The University of Edinburgh

Central Management Group

13 October 2010

**Principal's Strategy Group Meeting
2 September 2010**

Amongst the items discussed were:

1. Edinburgh College of Art

Members discussed the current status of partnership discussions with eca.

**Principal's Strategy Group Meeting
28 September 2010**

Amongst the items discussed were:

1. NSS Results 2010

Members discussed the recent NSS results noting some positive movement but also areas of concern. The group agreed appropriate action to be undertaken by Vice Principal Hounsell.

2. Pay and Conditions for Royal Society Research Fellowships

Members discussed and agreed an approach to the issues raised.

3. Strategy for 2011-12 UG Intake Targets

Members noted the current figures and agreed the future strategy.

4. Edinburgh College of Art

Members noted that the University Court had voted unanimously in favour of the proposed merger with ECA. Both Institutions will now write formally to the Scottish Government to request that the formal consultation process begins.

The University of Edinburgh

Central Management Group

13 October 2010

C

The EUCLID Project: Update October 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. The EUCLID Project ends at 31/12/2010, when the ownership of the student and course administration systems transfers to Registry and oversight of the area is handled by a more standard governance process.

Action requested

CMG is invited to note this report, and to agree that this update should be the last from the EUCLID Project.

Resource implications

Does the paper have resource implications?

No – accounted for by changes made to the project during the planning for FY 2010-11.

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 Professor Jeff Haywood – EUCLID Senior Responsible Officer

Vice-Principal Professor Richard Kenway – EUCLID Strategy & Quality Assurance Group

To be presented by

Vice-Principal Professor Richard Kenway – EUCLID Strategy & Quality Assurance Group

Central Management Group 13th October 2010

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

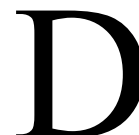
Progress since the last CMG update has been good and the systems are now live and successfully used under full load at the start of the academic year. Although, as with any new complex software, they are not perfect, they have enabled us to enrol our students, collect a record sum in fees in Fresher's week, and feed downstream IT systems such as those in Schools, Library, email, card services. The Satellite Projects are also all successfully live.

While adapting to new workflows, which are complex in the client mode Registry uses, part of the load on Registry, as the decisions and actions on non-standard student enrolments and changes falls to them to resolve, has to be attributed to the complexity of some of our academic business processes. This is something that the Project set out to reduce, with limited success. The need for further simplification of our business processes should be a constant focus of attention as the Student and Course Administration systems move into normal business management beyond the end of the EUCLID Project at 1st January 2011.

The Project oversight group, SQAG, will cease at the end of the calendar year and a new governance group will take over led by the University Secretary. At present, both groups, with their overlapping memberships, will collaborate as the remaining deliverables of the Project go live (eg UKBA, SFC Early Return) and planning takes places for the rest of the financial year and onwards into FY2011-12.

We should like to take this opportunity to recognise the effort and commitment of very many staff at all grades across the University who have contributed to the Project's success. They are too many to list here, and so to recognise their work we are inviting them to a celebration on 1 November in the Playfair Library.

Vice Principal Jeff Haywood
Vice Principal Richard Kenway
1 October 2010



The University of Edinburgh

Central Management Group

13 October 2010

**Risk Management Committee
Report for Year Ended 31 July 2010**

Brief description of the paper

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2010, and its views on the exposure and management of risk in the University. Its purpose is to support the deliberations of the Audit Committee and Court in respect of the reporting on Risk Management and Internal Control in the Annual Accounts. This paper will be submitted to the Audit Committee meeting of 25 November, the Finance and General Purposes Committee meeting of 25 October 2010, and thereon to the 20 December 2010 meeting of Court.

Action requested

For consideration in respect of Financial and General Purposes Committee's assurances to Court relating to the Annual Report and Accounts for the year ended 31 July 2010.

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? Yes

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

N A L Paul / H Stocks
28 September 2010



RISK MANAGEMENT COMMITTEE

REPORT FOR YEAR ENDED 31 JULY 2010

Prepared by N.A.L. Paul Convenor
H Stocks Secretary

Date: 28 September 2010

Introduction

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2010, and its views on the exposure and management of risk in the University. Its purpose is to support the deliberations of Central Management Group, Finance & General Purposes Committee, Audit Committee and Court in respect of the reporting on Risk Management and Internal Control in the Annual Financial Statements.

Background

Over many years, the University has operated an internal control environment that has successfully managed operational risk, and has had in place insurance arrangements to mitigate the financial impact of key exposures. The Risk Management Committee was formally instituted as a Committee of Court in 2002 and a structured framework for risk management has operated since then.

Governance, Risk Management and Internal Control Framework in the University

The main elements of the governance, risk management and internal control framework can be described as follows:

- Structure of Court and its committees;
- Regular reporting of the University's financial and operational performance to Finance and General Purposes Committee (F&GPC) and Court;
- Reports of key management meetings i.e. CMG and the Principal's Strategy Group, reviewed by F&GPC;
- Planning and Budgetary control framework in place. Insurance cover in place;
- Delegated authority and financial control framework in place;
- Management Structure and reporting in Colleges and Support Groups;
- Academic quality monitored by Senate sub-committees and validated externally through periodic Research Assessment Exercises, Quality Assurance Agency reviews and professional bodies' accreditations;

- Specific departments lead the management of specific risks e.g. Health and Safety Department, Communication and Marketing, etc, whilst departments such as Finance, HR, Estates, Procurement etc maintain and enforce policies and procedures relating to their own professional areas and ensure that legislative and professional compliance is maintained;
- Policies and procedures established to manage specific risks e.g. animal facilities, control of chemicals, medical risk, etc;
- Risk Management Committee and processes in place, including:
 - o risk management policy agreed by Court;
 - o registers of key University, College and Support Group, and Subsidiary Company risks;
 - o reviews of key University risks;
 - o risk assessments incorporated into Committee papers as appropriate;
 - o risk assessments incorporated into College and Support Group annual planning documents;
 - o project risk registers;
 - o annual risk assurance questionnaire and reports;
 - o risk assurance map.
- Induction for new Heads of School and senior managers in University Risk Management processes
- Assurances on adequacy of operational controls etc provided through activities of Internal Audit Department and overviewed by Audit Committee;
- External assurance provided by the University's auditors, KPMG.

The activities and controls in place to manage the University's key risks are summarised in the University Overview Risk Register, and backed up by more detailed review papers.

Risk Management Committee Activities 2009/10

The key activities of the Risk Management Committee during 2009/10 can be summarised as:

- Update of University Risk Register – the outcome of the 2009/10 review was approved by the University Court at its meeting on 21 June 2010. The main risks to the University in the immediate future relate to meeting the challenges of the changing financial environment and were identified as:
 - o Insufficient funding to maintain and develop the University due to:
 - 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;
 - o 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);
 - o Challenge of managing activities to ensure income streams exceed costs.
- Updates of College, Support Group and Subsidiary Company Risk Registers;
- A review of each risk identified in the University Risk Register was undertaken by the relevant risk owner and the outcomes of the reviews were discussed and ratified by the Risk Management

Committee. Copies of the reviews are available on the University Risk Management Committee website;

- An ‘in year’ log of risks/incidents was maintained, and the risks identified in the College and Support Group planning submissions were reviewed.
- The main new risks recognised during the year related to:
 - The tight budgetary regime and expected reductions in public funding as a result of the Comprehensive Spending Review being undertaken by the UK Coalition Government, and the consequential decisions of the Scottish Government.
 - The potentially damaging implications for overseas student and staff recruitment as a result of the operation of the UK Borders Agency and the coalition government’s pronouncements on tightening immigration
 - The risk to University activities resulting from the possibility of UCU industrial action and the processes established in the University to manage the situation.
 - The proposals for changes to the USS pension fund to manage the significant shortfall at its last valuation were announced during the year. These are subject to member consultation. The opposition of UCU and the threat of industrial action was noted. The Finance Director and a subgroup of Court are acting for the University in addressing the USS issues. It was noted that the process for consultation and amendment of the Staff Benefit Scheme had been successful and the revised scheme was being implemented. It was also noted that the UK government have undertaken a consultation with regard to the taxation of pension contributions, which if carried through into legislation, could have a significant impact on pension funds and pensions arrangements for particularly senior staff.
 - The risks relating to the mergers of eca and the MRC Human Genetics Unit into the University.
 - The importance of the preparation for the next Enhancement Led Institutional Review due to take place in 2011 was noted.
- The risks related to delivery of the College and Support Group annual plans were reviewed;
- A review took place of the sources of assurance that are available at a corporate level to enable a view to be taken on the University’s management of its key risks. These are recorded in the assurance map;
- The committee received report from the Director of Finance on the implications for the university of changes in taxation and fiscal regimes.

It should also be noted that Internal Audit plans have been developed in cognisance of the University and College/Support Group risk registers.

Adequacy of Management of Risk in the University 2009/10

The adequacy of the University’s management of risk can be assessed by reference to the following:

1. University Risk Register, Risk Reviews, Assurance Map and Annual Risk Questionnaires and Reports, College and Support Group Risk Registers.

During the past year, the Risk Management Committee has reviewed all of the risks in the University Risk Register and has satisfied itself that adequate control mechanisms are in place to manage the key risks. Areas of improvement have been identified and actions are taking place appropriately to implement improvements. The major risks for the University are shown above as are the major new risks that were considered during the year.

Reviews of College, Support Group, Development and Alumni and subsidiary company risk registers coupled with reviews of the risks highlighted in planning submissions, indicates that these areas are recognising and managing their key operational risks.

A year-end questionnaire was completed by each College and Support Group (summary attached as Appendix 1). No major issues were identified which indicated any inadequacy of the University's management of risk. The issues highlighted were subject to management processes and appropriate actions are taking place to implement improvements identified.

Annual reports were received from the relevant Directors, related to Health and Safety, IT and Procurement risks. These provide assurance that the risks in those areas are being adequately managed.

Appendix 2 shows, for each risk, the sources of assurance that the Risk Management Committee has noted. This provides further assurance related to the adequacy of the management of the risks by the University. The sources of assurances include the risk reviews undertaken, periodic update reports, relevant Balanced Scorecard information, internal audit reports etc. The table also shows that many of the key risk issues have been discussed in the senior management and academic committees of the University.

2. Internal Control Questionnaire

Finance Department, in conjunction with KPMG, have issued a self-assessment Internal Control Questionnaire for completion by budget managers. Finance has reviewed the responses and has provided a summary to the Risk Management Committee. Whilst there are a few issues to be followed up, no major issues have been highlighted as a result of the Internal Control Questionnaire.

3. Law and Regulation Return

Finance Department have sought a Law and Regulation return from each of Head of School and Head of Support Group relating to breaches in law and regulation and in particular those which might have a financial impact of over £50,000. Responses have been received from each area, and all respondents have confirmed that they are not aware of any such breaches.

4. Procurement assurances

The CUC Guidance for Members of Higher Education Governing Bodies in the UK indicates that Governing Bodies should assure themselves, via the Risk Management processes, that *“Value for Money is achieved through obtaining assurances that: adequate procurement policies and procedures are in place, and that policies and procedures are consistently applied and there is compliance with the relevant legislation”*.

The Risk Management Committee has received a report from the Director of Procurement and is satisfied that a procurement strategy is in place, as are procurement policies and authorisation policy. The policies were updated and approved by CMG in June 2009 to reflect the publication of the Scottish Government Public Procurement Policy Handbook, and updated delegated authorities, including procurement, were approved in June 2010. All procurement over EU limits requires the notification to, and the involvement of the Director of Procurement or her staff.

The EU Remedies Directive was enacted into Scottish Law in December 2009, which provides much greater opportunity for unsuccessful bidders for contracts to challenge or disrupt the procurement process. The risk of a challenge to University procurement processes has therefore increased, however the updated policies adopted by CMG in June 2009 anticipated this legislation and established a framework within which the risk can be adequately managed.

During the year the University was assessed as part of the Scottish Government Procurement Capability Assessment process. The University was rated as “superior” - the top category, and was the only University to achieve this rating. The University was also short-listed for the Times Higher Education award for excellence in leadership and management of procurement.

The University has now adopted the Best Practice Indicators which are being promoted for all public sector bodies (including Universities and Colleges) in Scotland. This has had the effect of rebasing the measurement of procurement benefit that the University had previously reported. Whilst not yet finalised, under the new BPI's, the benefits to the University will be in the order of £7.5m for 2009/10. This includes benefits delivered through APUC Ltd, the sector's collaborative procurement body established as a result of the McClelland Review, and Procurement Scotland who undertake certain procurements across the whole of the public sector.

Responses to questions on Procurement in the Annual Risk Questionnaire and the Internal Control Questionnaire indicate that there were no incidents of failure to comply with procurement legislation and University/funding body requirements.

The Risk Management Committee can therefore assure Court that adequate procurement policies and procedures are in place, and that policies and procedures are consistently applied for all major procurement and most minor procurement, and that there is compliance with the relevant legislation.

5. Fraud

The University will provide written representations to the external auditors as part of its year end processes as follows (2009 year end wording)

The Court:

- (a) understands that the term “fraud” includes misstatements resulting from fraudulent financial reporting and misstatements resulting from misappropriation of assets. Misstatements resulting from fraudulent financial reporting involve intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users. Misstatements resulting from misappropriation of assets involve the theft of an entity's assets, often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorization;*
- (b) acknowledges responsibility for the design and implementation of internal control to prevent and detect fraud and error;*
- (c) confirms that there have been no instances of fraud or suspected fraud affecting the University involving*
 - management and those charged with governance;*

- *employees who have significant roles in internal control; or*
 - *others where the fraud could have a material effect on the financial statements.*
- (d) confirms that there have been no allegations of fraud, or suspected fraud, affecting the University's financial statements communicated by employees, former employees, analysts, regulators or others; and*
- (e) has disclosed to you the results of its assessment of the risk that the financial statements may be materially misstated as a result of fraud.*

With regard to points (c) and (d), the Annual Risk questionnaire formally sought information regarding fraud from each College and Support Group, and the Internal Control Questionnaire also sought assurances on fraud. There were no reported incidents of fraud in either questionnaire. There were also no allegations of fraud or suspected fraud affecting the University's financial statement.

6. Internal Audit

The reporting of Internal Audit activities and its review by the Audit Committee provides a further view of the status of the control environment in the University. As part of their activities, Internal Audit reports on the adequacy and effectiveness of risk management processes. The conclusions from the Audit Committee are reported separately.

Conclusion

The overall view of the Risk Management Committee on the adequacy of the management of risk in the University is that, on the basis of the activities described above, the University has been satisfactorily managing its key risks during the year ended 31 July 2010. Further assurances on the adequacy of the internal control environment and its effectiveness in controlling operational risks, will be provided by Internal Audit, and by KPMG's audit work.

A further assurance relating to post year end risk management and controls will be provided to the University Court prior to sign off of the financial statements in December.

NALP/HS

APPENDIX 1: Year end questionnaire

University of Edinburgh Risk Management Annual Return For the period 1 August 2009 to 31 July 2010

University Key Risks

		Yes	No	If YES, provide details ¹
1	Has student recruitment significantly ² fallen short of College targets/plans with respect to overseas student growth, postgraduate student growth, widening participation or home undergraduate numbers?		√	
2	Has there been a major breach of academic or ethical standards?		√	
3	Has there been any loss of accreditation for courses, or major issues raised by accrediting authorities, which are regarded as potentially significantly damaging to the College's reputation?		√	
4	Has there been any failure to meet appropriate Quality Assurance standards?		√	
5	Have there been any major issues related to academic or other collaborations that have given, or could potentially give rise to, a damaging breakdown or failure to deliver the expected benefits to the University?		√	
6	Has there been any significant breakdown in the relationships with students or student representatives?	√		A student in dispute with the University regarding progress towards her PhD in MVM, has refused the support offered by the University and instead is conducting a 'cyber campaign' maligning researchers, students and senior members of staff, without substantiation. The University now believes a resolution of the dispute is not possible, but is pursuing various means to support staff and students and minimize potential damage to the

¹ Please attach further details on supplementary pages if necessary. If the question has no relevance to a particular area, then please indicate "Not Applicable" (for instance: support groups are unlikely to be able to respond to the question related to course structures)

² "Significant" where used throughout the document, implies a level of disruption, which goes beyond that normally regarded as acceptable either in terms of magnitude or time. Many disruptions are resolved or recovered over a short period or time and hence, whilst inconvenient, do not cause damage to relationships, reputations, or operations. However some disruptions either because of the time at which they occur, their magnitude, or their extended period, do cause damage to relationships, reputation or operations. These are regarded as significant and should be noted

		Yes	No	University If YES, provide details
7	Have there been any instances of serious breach in regulations with regard to students, which have been or are being dealt with under the Code of Student Discipline?		√	
8	Have there been any issues with regard to the adequacy of student support services and facilities which have had a significant detrimental impact on the quality of the student experience, or the recruitment and retention of students?		√	
9	Taking both recruitment and departures into account, has there been a net loss or failure to recruit academic or support staff, which has or will potentially lead to ongoing impairment of research, teaching or operational capability?	√		MVM has experienced difficulty in recruiting academic psychiatrists, faced with a series of retirements in 2008/09-2009/10, and a Chair in clinical paediatric neuroscience. Steps have been taken to ensure that research and teaching commitments are covered whilst recruitment efforts continue
10	Have there been any instances of dismissal, retirement, resignation, formal disciplinary proceedings or formal verbal warnings of a member of staff as a result of fraud, theft, misappropriation of assets, inaccurate false or misleading records, or non-compliance with policies?	√		CHSS have initiated disciplinary proceedings with four members of staff for non-compliance with University policies
11	Have there been any instances of whistle-blowing under the University's whistle-blowing policy? ³		√	
12	Have there been any instances of fraud or suspected fraud affecting the University including involving <ul style="list-style-type: none"> - management and those charged with governance - employees who have significant roles in internal control - other where the fraud could have a material effect on the financial statements - academic fraud 	√		MVM - falsification of attendance records by an individual resulted in disciplinary procedure being invoked and written warning issued.
13	Have there been any allegations of fraud or suspected fraud communicated by employees, former employees, regulators, or others?		√	

³ The University Audit Committee wishes to be aware of instances of whistle-blowing

		Yes	No	If YES, provide details
14	Has there been any safety, health or environmental incidents or releases, which have resulted in serious injury, death, reputational damage, or imposition of restrictions?	√		Improper use of imaging equipment. Disciplinary procedures invoked; final outcome not yet confirmed. Matter investigated by University Radiation Protection Advisor (RPA) as well as School and College management: (a) separate report from RPA (b) instruction developed by School/College on proper and authorised, only, use of equipment and clear definition of prohibited use.
15	Have there been any instances of procurement activity that have failed to comply with University/funding body requirements (e.g. by failing to tender for procurement packages valued over £25k) or failing to use OJEU procedures for procurement of goods/services (above £150k over 4 years) or works (estimate over £3.8m)?		√	
16	Have there been any instances of failure, loss or inadequate operation of IT systems, infrastructure or controls that resulted in significant disruption to College / Support Group activities?		√	
17	Have there been any occurrences of inadequate security over, or loss of personal data from the University e.g. loss of electronic equipment, memory devices etc containing personal data, unauthorised downloading from or access to electronic systems/files or and manual records containing personal data etc,		√	
18	Have deficiencies in the state of the University's properties led to any of the following? <ul style="list-style-type: none"> - inability or serious disruption in conducting research, teaching, administrative or other University activities, - loss of research project funding, - damage to reputation, - failure to recruit or retain students or staff - prosecution for legal non-compliance 		√	

		Yes	No	If YES, provide details
19	Has there been significant damage to property or equipment as a result of fire, explosion, malicious damage or any other reason which has resulted in financial loss for the University or significant disruption of the conduct of 'normal business' in Colleges / Schools / Support Groups/Subsidiaries?		√	
20	Have there been any instances of change activities (projects, new developments, new systems and processes etc) failing or likely to fail to achieve their goals, or overrunning by more than 10% on time or cost against plans?	√		Easter Bush Infrastructure – there are a number of ongoing risks associated with the planning and business continuity at Easter Bush. The current approved expenditure is £9.3m. In addition, a risk allowance of £2.7m has been reported to EPAG (May 2009).
21	Have there been instances of inadequate financial control (managerially or operationally) which resulted in, or potentially could have resulted in significant financial loss or loss of reputation?	√		A School in Science and Engineering has run up a significant deficit as a result of mismanagement of EPSRC postgraduate scholarships funding, and a more general lack of appropriate financial control. The College as a whole is in surplus, and will manage the short-term problems from College reserves. The College Accountant is providing substantial support to the School to establish improved financial control mechanisms, with support from experienced staff in another School. Internal Audit is currently investigating the circumstances, and will make recommendations for any necessary further change.
22	Have there been any instances of significant contractual breach by the University or a subcontractor of the University, which has exposed the university to the potential of serious litigation or financial liabilities?		√	
23	Have any legal actions been brought against the University (whether settled or pending)?	√		Cramond – court action raised by AMA against UoE a number of years ago. The hearing is now schedule for Oct & Nov 2011. Regular reports have been provided to F&GP and University Court, and a Court subgroup is overseeing and advising on the way forward.

		Yes	No	If YES, provide details
				<p>Employment Tribunal claim raised by one of the members of staff in HSS currently subject to disciplinary proceedings. No date yet set for ET proceedings.</p> <p>A potential claim of £100K has been notified in relation to alleged mis-diagnosis of cystic fibrosis by University staff in the 1990s. No formal legal action has yet been raised against the University, or the NHS. The matter is in the hands of our insurers.</p>
24	<p>Have there been any incidents, occurrences or activities which have resulted in or potentially could result in</p> <ul style="list-style-type: none"> a) legal action against the University b) prosecution or formal disciplinary proceedings either within the University or by professional bodies against staff or students? 	√		<p>See 14 above - previous case law indicates that this could have led to prosecution of the university and/or the individual concerned;</p>
25	<p>Have there been any incidents or adverse publicity that have caused serious damage to the reputation and image of the University in the eyes of other academic institutions/colleagues; the media; national, regional or city politicians; key influencers; national and local businesses; or the local community?</p>	√		<p>See 6 above – that actions of the student could have raised doubts in the minds of some about the reputation and status of the University</p>
26	<p>Are actual or potential changes in public policy and legislation having or likely to have a significant detrimental impact on college/support group activities?</p>	√		<p>Funding reductions following the 2010 Comprehensive Spending Review will have significant impact.</p> <p>New UK biosafety and biosecurity legislation in 2011 will impact upon workloads, but will be managed without detrimental impact.</p> <p>The new cap on immigration will inhibit the University's ability to recruit and retain international staff. Potential caps or changes in processes by Government/UKBA regarding overseas students could have a major impact</p>

		Yes	No	If YES, provide details
				<p>Implementation of the Scots Law on Remedies Directive on Dec 19th 2009 increases legal risk of challenge of non compliance with procurement law and serious reputational, contract and financial risks. Training and updated policies and guidance put in place to mitigate risk.</p> <p>Changes in policy from the Coalition Government or a changed Scottish administration following the Holyrood elections in 2011, could have an impact on the University</p>
27	Are there any areas of existing, new, or changed legislation where implementation has not been or will not be completed in the required timescale		√	
28	Are there any significant new or emerging risks that have not been captured in the University Overview Risk Register, which could put the survival or goals of the University, College or Support Group in jeopardy?	√		<p>There are increasing difficulties in attracting experienced research staff, largely as a result of the perceptions of the UK research funding environment compared with other parts of the world</p> <p>The merger of eca and HGU into the University will present a range of operational challenges and risks</p>
29	Are there any risks in the University or College/Support Group risks registers that you consider are not being adequately managed, and are exposing the University to undesirable risk?		√	

Appendix 2: Assurance map 2009/10 version: relating to University Risk Register version 7

Management process and mitigating activities, assurance of effectiveness of risk control mechanisms, evidence, and with reference to the Strategic Plan 2008/12

Key to committee acronyms: PSG Principal's Strategy Group; FGPC Finance and General Purposes Committee; CMG Central Management Group; AC Audit Committee; RMC Risk Management Committee

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
<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>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>Excellence in research</p> <p>Excellence in commercialisation and knowledge exchange</p> <p>Quality services</p> <p>Quality infrastructure</p> <p>Stimulating alumni relations and philanthropic giving</p>	<ul style="list-style-type: none"> • Ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • Continuing to win competitive bids to host new research centres and major national facilities • Working together with major research funders and other external bodies internationally and in the UK <ul style="list-style-type: none"> • Ensuring that commercialisation agreements provide for a reasonable financial return both to the University and to the inventors <ul style="list-style-type: none"> • Investing in improvements which show a clear return on investment, for example by reduction in direct costs or reduced opportunity cost of staff time • Securing investment from external sponsors <ul style="list-style-type: none"> • Continue to fundraise on a sustainable, professional and efficient platform • Increasing funds raised from private individuals and private and charitable trusts 	<p>Review of effectiveness of controls by lead risk manager</p> <p>University planning process including monitoring of student demand and intakes</p> <p>Monitoring of relevant Balanced Scorecard indicators</p> <p>Monitoring of comparative financial data against Russell Group Peers</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of Planning</p> <p>Director of Planning</p> <p>Director of Planning</p> <p>Director of Finance</p>	<p><i>[Review URL]</i></p> <p>Court: 14.12.09, 15.2.10, 21.6.10</p> <p>PSG: 8.9.09, 7.10.09, 18.11.09, 1.12.09, 27.5.10</p> <p>FGPC: 1.2.10</p> <p>CMG: 23.9.09, 18.11.09, 17.3.10, 21.4.10, 19.5.10</p> <p>AC: 1.10.09, 3.6.10</p> <p>RMC: 27.5.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
2. Pressure for changes in staff terms and conditions (including pension funds) arising from government, sector, or unions	<p>Maintenance of relationships with local union representatives</p> <p>Input to national pay negotiations and discussions on Pension Funds</p> <p>University financial forecasting / budgeting processes</p>	<p>Excellence in research</p> <p>Excellence in commercialisation and knowledge exchange</p> <p>Quality people</p>	<ul style="list-style-type: none"> • Recruiting and retaining excellent researchers • Supporting the professional and career development of staff engaged in research • Ensuring that commercialisation agreements provide for a reasonable financial return both to the University and to the inventors • Continuing to review and improve recruitment and retention strategies, systems and processes • Recognising and rewarding excellence through the effective use of our Contribution Reward policy and promotion process, and the development of a Total Reward Strategy • Promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities • Improving ways of informing and involving staff in decisions and changes which affect them 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Operation of Staff Committee, JULC, Pensions Sub-committee and Consultative Committee on Redundancy Avoidance (SCCRA)</p> <p>Responses from Risk Management Annual Return</p>	Director of HR	<p><i>[Review URL]</i></p> <p>Court: 19.10.09, 15.2.10, 21.6.10</p> <p>FGPC: 5.10.09, 30.11.09, 1.2.10, 7.6.10</p> <p>CMG: 17.3.10, 21.4.10, 16.6.10</p> <p>AC: 1.10.09, 23.11.09</p> <p>RMC: 11.1.10</p>
3. Challenge of managing activities to ensure some income streams exceed costs	<p>Financial strategy & financial planning and budgetary/forecasting processes, including F&GPC/Court oversight</p> <p>Fees Strategy Group</p>	<p>Excellence in research</p> <p>Quality services</p>	<ul style="list-style-type: none"> • ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • Generating surpluses for reinvestment • investing in improvements which show a clear return on investment, for example, by reduction in direct costs or reduced opportunity cost of staff time 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Level of university annual surplus/deficit and cash flow position</p> <p>Measure of growth in key</p>	<p>Director of Finance</p> <p>Director of Finance</p> <p>Director of Finance</p>	<p><i>[Review URL]</i></p> <p>Court: 14.12.09, 24.5.10</p> <p>PSG: 18.3.10, 14.4.10, 27.5.10, 6.7.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Financial scenario planning Post Review Group ER/VS activity SUMS review of support services Benchmarking against other comparable institutions Internationalisation strategy implementation Various college based academic developments Development of FEC to teaching High level reporting of research applications and award trends Drives to improve the utilisation of the University's estate	Quality infrastructure	<ul style="list-style-type: none"> developing and regenerating our estate through the implementation of our Estate Development Masterplans promoting a culture of space awareness and flexible approaches to the use of space across the University providing excellent project management and appropriate cost control for capital development projects continuing our maintenance and compliance work programme finding new ways to share space, facilities, services and expertise within the sector and with other organisations generating surpluses for reinvestment securing investment from external sponsors 	income streams Measuring cost increases in staff and non-staff costs Comparison with competition on key performance measures Financial control of capital building programme Responses from Risk Management Annual Return	& VP Dev & Alumni Director of Finance Director of Finance Director of Finance	FGPC: 5.10.09, 30.11.09, 1.2.10, 7.6.10 CMG: 23.9.09, 18.11.09, 20.1.10, 17.3.10, 16.6.10 AC: 1.10.09, 4.3.10, 3.6.10 RMC: 11.1.10, 27.5.10
4. Growth of the University falls behind UK and international competitors	Strategic plan priorities and targets, and its implementation	Excellence in learning and teaching	<ul style="list-style-type: none"> responding to recommendations identified through quality enhancement activities expanding access to taught postgraduate and continuing professional development provision 	Review of effectiveness of controls by lead risk manager	Director of Planning	<i>[Review URL]</i>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
e.g. in areas such as: a) size (turnover/assets); b) research funding c) international students; d) PGR/PGT student numbers;	International Strategy, steering group and development plans International Office and Marketing activities Development of international linkages and MoUs Focus on maintaining and growing research funding Opportunities to merging / embedding “Institutes” from research funders into the University (e.g. Roslin) Student number monitoring	Excellence in research Quality services Quality infrastructure Advancing internationalisation	through e-learning <ul style="list-style-type: none"> • increasing numbers of postgraduate research students • embedding the use of performance indicators • generating surpluses for reinvestment • continuing to attract more, and a diverse range of, international students and staff 	Monitoring of annual accounts and comparative sector data from HESA Monitoring of share of SFC grants Balanced Scorecard indicators Student intake number setting, analysis and reporting Responses from Risk Management Annual Return	Director of Finance and Director of Planning Director of Planning Director of Planning Director of Planning	Court: 19.10.09, 14.12.09, 24.5.10, 21.6.10 PSG: 12.8.09, 2.3.10, 18.3.10, 27.5.10 FGPC: 30.11.09, 8.3.10, 10.5.10, 7.6.10 CMG: 18.11.09, 17.3.10, 21.4.10, 16.6.10 AC: 1.10.09, 23.11.09, 4.3.10, 3.6.10 RMC: 12.4.10

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
<p>5. Rate of maintenance, enhancement and investment in the estate limits the University's ability to support University growth aspirations (research, education and accommodation), provide a satisfactory student experience and provide staff with a satisfactory working environment - e.g. due to:</p> <ul style="list-style-type: none"> o funding constraints o complexity of projects which are funded by multiple partners o city planning constraints o operational complexity o lack of capacity in construction industry o space improvement targets fail to be achieved o tight market for professional staff hence recruitment and retention difficulties o city and regional infrastructure constraints 	<p>Fundraising for new developments</p> <p>College/estates planning and project processes</p> <p>Capital programme development and project management processes</p> <p>Estates Advisory Group (EPAG) / Space Management Group (SMG)</p> <p>Annual backlog and compliance review</p> <p>Ongoing estate activities e.g. building inspections, physical condition and compliance surveys, fire risk assessments</p> <p>Liaison with local authorities and other agencies</p>	<p>Excellence in learning and teaching</p> <p>Excellence in commercialisation and knowledge exchange</p> <p>Quality infrastructure</p> <p>Enhancing our student experience</p>	<ul style="list-style-type: none"> • stimulating new and more flexible ways of learning, teaching and assessing through the use of new technologies and the innovative design of teaching space • creating and extending pre-incubation, incubation and science park facilities through the Edinburgh Pre-Incubation Scheme, the Edinburgh Technology Transfer Centre, the Edinburgh Technopole Science Park, The Informatics Forum, and the Edinburgh BioQuarter • developing and regenerating our estate through the implementation of our Estate Development Masterplans • promoting a culture of space awareness and flexible approaches to the use of space across the University • providing excellent project management and appropriate cost control for capital development projects • continuing our maintenance and compliance work programme • finding new ways to share space, facilities, services and expertise within the sector and with other organisations • securing investment from external sponsors • providing good-quality and well-placed learning and social spaces that support group and individual learning and form stimulating foci for the life of the academic community <p>preparing a sustainable estate strategy for EUSA to underpin delivery, over time, of the facilities required to support EUSA services</p>	<p>Review of effectiveness of controls by lead risk manager</p> <p>Annual benchmarking against sector</p> <p>Annual condition and legislation compliance backlog survey</p> <p>Building performance assessments (condition and functional suitability)</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of Estates & Buildings</p> <p>Director of Estates & Buildings</p> <p>Director of Estates & Buildings</p> <p>Director of Estates & Buildings</p>	<p>[Review URL]</p> <p>Court: 19.10.09, 15.2.10, 24.5.10, 21.6.10</p> <p>PSG: 2.2.10</p> <p>FGPC: 5.10.09, 1.2.10, 7.6.10</p> <p>CMG: 23.9.09, 20.1.10, 17.3.10, 21.4.10, 16.6.10</p> <p>AC: 3.6.10</p> <p>RMC: 11.1.10, 12.4.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
6. Failure to provide a high quality student experience e.g. in teaching and learning, student services, living and social environment	College and Support Group Annual and Strategic Plans “Student Experience” a specific goal in the 2008/12 University Strategic Plan	Enhancing our student experience	<ul style="list-style-type: none"> • facilitating the transition to university by being responsive to the range of students’ circumstances, experience, expectations and aptitudes • improving the quality of student induction and departure events • ensuring that information provided to students is comprehensive, accessible, consistent and user friendly • providing coordinated student services that recognise the needs and expectations of students, prospective students and graduates • providing good-quality and well-placed learning and social spaces that support group and individual learning and form stimulating foci for the life of the academic community • strengthening collaboration between academic and student services and EUSA • preparing a sustainable estate strategy for EUSA to underpin delivery, over time, of the facilities required to support EUSA services • supporting our student societies and sports clubs • standardising analysis of, and action taken in response to, internal and external student feedback • ensuring that our graduates are self-confident and possess economically valuable capabilities, expertise and skills • brokering partnerships between specialists and academics to enhance the delivery of transferable skills to all students 	<p>Review of effectiveness of controls by lead risk manager</p> <p>NSS results</p> <p>Other student experience survey results of e.g. library, IT, teaching quality, course design.</p> <p>International Student Barometer and Postgraduate Research Experience Survey</p> <p>Responses from Risk Management Annual Return</p>	<p>VP Academic Enhancement</p> <p>VP Academic Enhancement</p> <p>VP Academic Enhancement</p> <p>VP Academic Enhancement</p>	<p><i>[Review URL]</i></p> <p>Court: 15.2.10</p> <p>PSG: 12.8.09, 8.9.09, 7.10.09, 18.11.09, 1.12.09, 16.2.10, 27.4.10</p> <p>FGPC: 1.2.10</p> <p>CMG: 17.3.10</p> <p>AC: 23.11.09, 3.6.10</p> <p>RMC: 18.9.09, 27.5.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
7. Inability to retain or attract sufficient key academic staff to meet University / College goals for research and teaching	<p>Ensuring the university remains an attractive working environment</p> <p>Annual review of academic staff (incl salary)</p> <p>Active leadership by Principal and of HoCs</p> <p>Recruitment processes group convened by Human Resources (HR) Director monitoring & dealing with issues</p> <p>Flexible HR strategies to meet needs of different business areas</p>	<p>Excellence in learning and teaching</p> <p>Excellence in research</p> <p>Quality people</p> <p>Advancing internationalisation</p> <p>Promoting equality, diversity, sustainability and social responsibility</p>	<ul style="list-style-type: none"> • Ensuring that staff involved in the delivery of learning and teaching continue to develop their professional capability • Recruiting & retaining excellent researchers • Supporting the professional and career development of staff engaged with research • Continue to review and improve recruitment and retention strategies, systems and processes • Developing and implementing succession planning arrangements • Recognising and rewarding excellence through the effective use of our Contribution Reward policy and promotion process, and the development of a Total Reward Strategy • Establishing a culture of personal and professional development through appraisal and other development processes • Supporting the development of all staff in preparing for, holding, or stepping down from leadership and management roles • Promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities • Continuing to attract more, and a diverse range of, international students and staff • Ensuring that students and staff with particular needs have access to appropriate facilities and support services 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Recruitment and retention monitoring</p> <p>Annual equal pay review</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of HR</p> <p>Director of HR</p> <p>Director of HR</p>	<p><i>[Review URL]</i></p> <p>AC: 1.10.09, 4.3.10</p> <p>RMC: 12.4.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
<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 full economic costing and administration;</p> <p>8.3 web project;</p> <p>8.4 major estates projects e.g. Vet School, SCRM, library central area refurbishment;</p> <p>8.5 adaption of data collection processes/systems to reflect the new metrics related basis for future research assessment</p> <p>8.6 Establishing process to operate the new managed immigration system (affecting staff and students)</p>	<p>Project management steering groups, boards, advisory groups and implementation groups</p> <p>Project management processes (including “Gateway” reviews for EUCLID)</p> <p>“Projects” website</p> <p>Reporting to University committees</p> <p>Communication activities</p> <p>Planning and provision of resource to enable projects</p> <p>For fEC and new metrics on research assessment, UoE involvement at UK level</p>	<p>Quality services</p> <p>Quality infrastructure</p> <p>Building strategic partnerships and collaborations</p> <p>Advancing internationalisation</p>	<ul style="list-style-type: none"> planning major initiatives on a holistic basis developing and regenerating our estate through the implementation of our Estate Development Masterplans providing excellent project management and appropriate cost control for capital development projects continuing to develop a systematic approach to the acquisition, creation, capture, storage, presentation and management of information resources stimulating the development and growth of interdisciplinary research centres across Schools and Colleges and with other organisations continuing to attract more, and a diverse range of international students and staff 	<p>Review of effectiveness of controls by lead risk manager</p> <p>8.1 Reports to the EUCLID Strategy & QA Group; External Reviews</p> <p>8.2 Monthly reports to monitor progress on grants</p> <p>8.3 Project monitoring by Project Board</p> <p>8.4 Monitoring by Strategic Project Boards of progress, costs, quality, sustainability</p> <p>8.5 Not yet appropriate</p> <p>8.6 Monitoring of attendance, fees arrears and identity information</p> <p>Responses from Risk Management Annual Return</p>	<p>8.1 Director of Registry</p> <p>8.2 Director of Finance</p> <p>8.3 Director Communications & External Affairs</p> <p>8.4 Director of Estates & Bldgs</p> <p>8.5 Director of Planning</p> <p>8.6 SCE College Registrar (students) and Director of HR (staff)</p>	<p>[Review URL]</p> <p>Court: 19.10.09, 14.12.09, 15.2.10, 21.6.10</p> <p>PSG: 7.10.09, 1.12.09</p> <p>FGPC: 1.2.10, 8.3.10, 10.5.10, 7.6.10</p> <p>CMG: 23.9.09, 18.11.09, 20.1.10, 17.3.10, 21.4.10, 19.5.10, 16.6.10</p> <p>AC: 23.11.09, 4.3.10</p> <p>RMC: 18.9.09, 11.1.10, 12.4.10, 27.5.10</p>
<p>9. Failure of IT infrastructure, systems operation, or serious breach of IT security leading to</p>	<p>Ongoing resilience improvement programmes and infrastructure upgrades</p>	<p>Quality infrastructure</p>	<ul style="list-style-type: none"> identifying and planning for major risks and business continuity across all areas of infrastructure Ensuring that we have an agreed rolling 	<p>Review of effectiveness of controls by lead risk manager</p>	<p>VP Knowledge Management and CIO</p>	<p>[Review URL]</p> <p>Court: 14.12.09</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
<p>inadequate performance unacceptable loss of service or loss of data</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>programme of equipment and IT hardware replacement</p> <ul style="list-style-type: none"> Continuing to develop a systematic approach to the acquisition, creation, capture, storage, presentation and management of information resources 	<p>Constant review by IS</p> <p>Annual IT assurance process</p> <p>Responses from Risk Management Annual Return</p>	<p>VP Knowledge Management and CIO</p> <p>VP Knowledge Management and CIO</p>	<p>CMG: 18.11.09</p> <p>AC: 23.11.09, 4.3.10, 3.6.10</p> <p>RMC: 18.9.09, 12.4.10</p>
<p>10. Major/exceptional health and safety incident occurs including:</p> <ul style="list-style-type: none"> - high profile incident on campus; - pandemic event 	<p>Business continuity and contingency plans, (including pandemic flu plan)</p> <p>H&S policies and guidance</p> <p>Web / MyEd / e-mail / School/Departmental communication processes with students</p>	<p>Quality people</p> <p>Quality infrastructure</p>	<ul style="list-style-type: none"> promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities identifying and planning for major risks and business continuity across all areas of infrastructure 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Year end H&S report to RMC</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of Corporate Services</p> <p>Director of Health & Safety</p>	<p><i>[Review URL]</i></p> <p>Court: 19.10.09, 14.12.09, 15.2.10</p> <p>FGPC: 5.10.09, 1.2.10</p> <p>CMG: 23.9.09, 18.11.09, 20.1.10</p> <p>AC: 4.3.10, 3.6.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
						RMC: 18.9.09, 12.4.10
<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>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>Excellence in research</p> <p>Excellence in commercialisation and knowledge exchange</p> <p>Quality services</p> <p>Quality infrastructure</p> <p>Engaging with our wider community</p> <p>Promoting equality, diversity, sustainability and social responsibility</p>	<ul style="list-style-type: none"> • Working together with major research funders and other external bodies internationally and in the UK • Enhancing our contribution to public policy formulation • Striving to meet recognised industry and commercial standards • Continuing our maintenance and compliance work programme • Providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • Interacting with key city partners over issues including planning, procurement, transport and relations between the student and resident communities • Developing new, and strengthening existing, relationships with key strategic partners in both the public and private sectors, including Scottish Enterprise, NHSScotland and small and medium-sized enterprises • Exploiting our strengths in environmental and sustainability research to influence policy formulation and implementation 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Responses from Risk Management Annual Return</p>	<p>Head of Public Policy</p>	<p><i>[Review URL]</i></p> <p>Court: 14.12.09, 15.2.10, 24.5.10, 21.6.10</p> <p>PSG: 18.1.10</p> <p>AC: 1.10.09, 23.11.09, 4.3.10, 3.6.10</p> <p>RMC: 11.1.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
<p>12. Failure to appropriately position and support the University's image and reputation in the UK and worldwide</p>	<p>International strategy development</p> <p>Activities of 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>Advancing internationalisation</p> <p>Engaging with our wider community</p>	<ul style="list-style-type: none"> • promoting internationally the strengths of the University and the achievements of our staff and students • increasing and embedding the public engagement work undertaken by staff through the activities of the Edinburgh Beltane Beacon programme • providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • developing and expanding innovative initiatives to encourage pupils in our local schools to consider the University of Edinburgh as their institution of choice • supporting the involvement of University teams and individuals in major sporting events and competitions • interacting with key city partners over issues including planning, procurement, transport and relations between the student and resident communities • developing new, and strengthening existing relationships with key strategic partners in both the public and private sectors, including Scottish Enterprise, NHS Scotland and small- and medium-sized enterprises • implementing our Community Relations Strategy • promoting the University's achievements, emphasising national and international media in our communications activity • fostering recognition through improved physical branding and signage, publications, 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Monitoring of adverse media coverage</p> <p>Monitoring of fundraising levels</p> <p>Monitoring of number of student applications</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of Communications & External Affairs</p> <p>Director of Communications & External Affairs</p> <p>Director of Development & Alumni</p> <p>Director of SRA</p>	<p><i>[Review URL]</i></p> <p>Court: 24.5.10, 21.6.10</p> <p>PSG: 14.4.10</p> <p>FGPC: 8.3.10, 10.5.10</p> <p>CMG: 17.3.10, 21.4.10</p> <p>RMC: 27.5.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
		Stimulating alumni relations and philanthropic giving	<p>our website and recruitment and advertising strategies</p> <ul style="list-style-type: none"> sustaining and strengthening our relationships with the General Council and with individual alumni 			
13. Significant academic collaborations fail to be effectively managed and do not deliver benefit to the University	<p>Strategic decisions made through PSG/Central Management 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>Governance arrangements put in place and clear designation of responsibilities</p>	<p>Advancing internationalisation</p> <p>Building strategic partnerships and collaborations</p>	<ul style="list-style-type: none"> encouraging international collaboration in education, research and knowledge exchange engaging more deeply in strategic alliances and networks with other world-leading institutions developing productive partnerships with other higher education institutions, organisations and businesses leading the development of collaborative research activities internationally and in the UK stimulating the development and growth of interdisciplinary research centres across Schools and Colleges and with other organisations encouraging participation in international networks 	<p>Review of effectiveness of controls by lead risk manager</p> <p>Responses from Risk Management Annual Return</p>	College Registrars	<p>[Review URL]</p> <p>Court: 21.6.10</p> <p>PSG: 2.2.10, 16.2.10, 2.9.10</p> <p>FGPC: 8.3.10, 7.6.10</p> <p>CMG: 17.3.10, 21.4.10</p> <p>AC: 1.10.09, 4.3.10</p> <p>RMC: 12.4.10</p>
14. Widespread damage to property and buildings (fire, explosion, malicious)	<p>Fire/security policies</p> <p>Fire detection systems</p>	Quality infrastructure	<ul style="list-style-type: none"> identifying and planning for major risks and business continuity across all areas of infrastructure 	Review of effectiveness of controls by lead risk manager	Director of Estates & Buildings	<p>[Review URL]</p> <p>AC: 4.3.10</p>

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
damage etc), including properties adjacent to the University estate	<p>Security staff & procedures</p> <p>Training & awareness</p> <p>Audit of H&S mgt in all units in partnership with insurance brokers</p> <p>Insurance cover</p> <p>Programme of fire risk assessments</p> <p>Business continuity plans</p> <p>Planned preventative maintenance</p>		<ul style="list-style-type: none"> continue our maintenance and compliance work programme 	<p>Reports to EPAG</p> <p>H&S audits carried out by University's insurance brokers</p> <p>Responses from Risk Management Annual Return</p>	<p>Director of Estates & Buildings</p> <p>Director of Estates & Buildings</p>	<p>RMC: 11.1.10, 12.4.10</p>

The University of Edinburgh

Central Management Group

13 October 2010

**Management Accounts
One month to 31 August 2010**

Brief description of the paper

The University's top-level Management Accounts are presented, including summaries for each College and Support Group. As every year, the August figures are affected by preparation of the previous year-end accounts to 31 July, still in process, and should thus be regarded as provisional.

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.

Originators of the paper

David Montgomery, Deputy Director of Finance
Andy Davis, Acting Senior Management Accountant

4 October 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? (express either as the time which needs to pass or a condition which needs to be met.)

The paper should be withheld until after publication of the University's Annual Accounts for 2010-11 (i.e. 31st December 2011).

The University of Edinburgh

Central Management Group

13 October 2010

Report from Sustainability & Environmental Advisory Group (SEAG)Brief description of the paper

The paper comprises Appendices A-G of key discussions and recommendations made at the meeting of SEAG held on 21 September 2010.

- A Listed actions for Universities and Colleges on Education for Sustainable Development [Appendix A]
- B Transport and Travel Planning Policy 2010 [Appendix B]
- C A consultation paper on Business Travel [Appendix C]
- D Fair Trade Policy 2010 updated September 2010 [Appendix D]
- E Climate Action Plan revised version, September 2010 [Appendix E]
- F Waste Management & Recycling Report 2010 – recycling rate up 1% on 2009 [Appendix F]
- G Committee Cover Paper proposal [Appendix G]

Action requested**CMG is invited to:-**

1. **note** the new student facing website launched www.OurEd.ed.ac.uk with support from Santander
2. **note** the launch of/and ongoing work associated with the Edinburgh Impact Awards.
3. **note** the proposal to establish a Task Group on Education for Sustainable Development to review the new Action Plan in detail and make recommendations to SEAG for onward progress to Senatus and CMG, during this academic session. [Appendix A]
4. **endorse** the Transport and Travel Planning Policy 2010 [Appendix B]
5. **comment** on Business Travel consultation plan and **endorse** the '*Guidelines for business travel* for wider consultation. [Appendix C]
6. **endorse** the revised Fair Trade Policy [Appendix D] both for onward transmission to F&GPC 25 October for adoption by Court on 8 November 2010
7. **note** the revised version of Climate Action Plan submitted to Carbon Trust and EAUC [Appendix E]
8. **note** the annual Waste Management & Recycling Report 2010 [Appendix F]
9. **note** proposed amendment to Cover Paper and **endorse** its future use in University Committee cover sheets [Appendix G].

Resource implications

Does the paper have resource implications? Yes – Work will be embedded within existing staff activity to deliver the University's Strategic Plan 2008-12

Risk assessment

Does the paper include a risk analysis? No

Equality and Diversity

The paper outlines progress in implementing the 2010 Implementation Plan for the SRS Strategy – specifically in bringing forward a major update to the Integrated Transport Policy 2000.

Freedom of information

Can this paper be included in open business? Yes

Other information

Available from David Somervell on request.

Paper prepared by

Vice Principal Professor Mary Bownes, Convener of SEAG and Nigel Paul, Convener of SEAG Operations

Paper to be presented by

Angus Currie, Director of Estates & Buildings

Report from Sustainability & Environmental Advisory Group (SEAG)

The paper comprises Appendices A-G of key discussions and recommendations made at the meeting of SEAG held on 21 September 2010.

- A Listed actions for Universities and Colleges on Education for Sustainable Development [Appendix A]
- B Transport and Travel Planning Policy 2010 [Appendix B]
- C A consultation paper on Business Travel [Appendix C]
- D Fair Trade Policy 2010 updated September 2010 [Appendix D]
- E Climate Action Plan revised version, September 2010 [Appendix E]
- F Waste Management & Recycling Report 2010 – recycling rate up 1% on 2009 [Appendix F]
- G Committee Cover Paper proposal [Appendix G]

Student-facing website launched for Freshers Week - www.OurEd.ed.ac.uk

The purpose of this website is to provide an accessible and sparkly student-facing site with points of entry for the full breadth of the SRS agenda. See it at www.OurEd.ed.ac.uk – Colleagues are working with the Vice-Principal Prof Bownes Office until the end of 2010.

CMG is invited to note the new student facing website launched www.OurEd.ed.ac.uk with support from Santander

EUSA Awards Timetable and Update

This scheme will recognise achievements by schools and admin units contributing towards the University's Social Responsibility and Sustainability Strategy. It commenced with a stakeholder roundtable on Friday 3 September, and will conclude with an awards event in April/May 2011.

The proposals for the 20 specific Edinburgh criteria for both the Bronze [readily achievable] and the Silver [quite possible with some application] and the Bonus criteria are now under review.

CMG is invited to note the launch of/and ongoing work associated with the Edinburgh Impact Awards.

Scottish Government's Response to the UN Decade of Education for Sustainable Development (ESD) [Appendix A]

SEAG noted the need for a Task group for education for sustainable development to be established to meet the Government's and United Nations expectation "*To integrate the principles, values and practices of sustainable development into all aspects of education and learning*".

CMG is invited note the proposal to establish a Task Group on Education for Sustainable Development to meet the Government's and United Nations expectation.

Transport and Travel Planning Policy 2010 [Appendix B]

CMG is invited to endorse the Transport and Travel Planning Policy 2010 [Appendix B] which aims to implement actions to help assist reduce carbon emission from transport and other damaging environmental effects caused by business travel

Business Travel at the University of Edinburgh [Appendix C]

Appendix C summaries the existing situation at the University with regards to the policy for and management of travel undertaken by staff and students for the purposes of work / study. It identifies issues impacting on:

- University Social Responsibility and Sustainability Strategy and Climate Action Plan
- Procurement legislation and policy
- Finance and insurance
- Health and safety

The paper also provides a summary of existing best practice for business travel policy in other UK organisations and provides a summary of the key issues at the University and some discussion points for the SEAG Operations meeting on 13th September. The need to prepare a business travel policy offers an opportunity to refresh the University's approach to business travel and should reflect a broad range of policies affected by business travel including:

1. Carbon footprint reduction
2. Corporate manslaughter
3. Healthy working lives
4. Efficiency and value for money

CMG is invited to comment on the Business Travel consultation plan [Appendix C] and endorse the *Guidelines for business travel* for wider consultation.

Fair Trade Policy – updated September 2010 [Appendix D]

The Policy was first accredited in 2004 but it was felt that it should be strengthened to incorporate wider aspects to the SRS agenda.

CMG is invited to endorse the revised Fair Trade Policy both for onward transmission to F&GPC 25 October for adoption by Court on 8 November 2010.

Climate Action Plan [Appendix E]

CMG should note that work is ongoing on a revised version of Climate Action Plan submitted to Carbon Trust and EAUC ,

Waste Management & Recycling Report 2010 [Appendix F]

CMG is invited note the annual Waste Management & Recycling Report 2010 [Appendix F]

University Committee Cover Sheet [Appendix G]

SEAG-Operations recommended that the Committee Cover sheet should be amended to incorporate Social Responsibility and Sustainability aspects similar to the *Equality & Diversity* Header

CMG is invited note proposed amendment to Cover Paper and endorse its future use in all University Committee cover sheets.

Scottish Government's Response to the UN Decade of Education for Sustainable Development (ESD)

Now that the mid-point of the UN Decade 2005-14 has been reached, the Scottish Government appears to be taking this issue more seriously. As noted in previous reports the publication of 'Learning for Change' and other manifestations of Government interest includes some expectations of demonstrable progress.

The Scottish Government's website provides details of their approach to this issue in all education sectors. (www.scotland.gov.uk/Topics/Environment/SustainableDevelopment/UNDecade). The specific expectations of Universities and Colleges are appended below and can be found at (www.scotland.gov.uk/Topics/Education/UniversitiesColleges/16640/UniandCol).

It has recently become plain that, at least as far as ESD is concerned, the government looks to the FHE sector to contribute to the decade. This is evidenced by the letter recently sent to the Principal from the Cabinet Secretary for Education (Michael Russell), to which the Principal has responded. The letter from the Cabinet Secretary marks the significance of the new Action Plan for the next five years:

*'Learning for Change: Scotland's Action Plan for the Second Half of the UN Decade of Education for Sustainable Development'*¹,

This endorses the goal of the United Nations Decade of Education for Sustainable Development which is

"To integrate the principles, values and practices of sustainable development into all aspects of education and learning".

To this end the document sets out further expectations of all educational sectors, and these are broadly in-line with those detailed in the overall UN Decade Plan (see below). Namely, the government expects that:

1. Our Universities and Colleges play a key role in developing knowledge and understanding of sustainable development
2. Estates developments embody the principles of sustainable development and encourage learners and staff to act sustainably
3. Education for sustainable development is integrated into curricula
4. The whole experience offered to learners contributes to the development of their sustainability literacy and citizenship skills, attitudes and behaviours
5. Universities and Colleges have access to the highest quality materials, advice and support to enable them to embed education for sustainable development into their courses and the wider student experience
6. The value of sustainability skills is understood and articulated by institutions, learners and employers.

Note on progress for SEAG and for CMG

- A short-life Task Group of SEAG is to be established to review the new Action Plan in detail and make recommendations to SEAG for onward progress to Senatus and CMG, during this academic session.
- Members of CMG or their nominees are invited to contact the undersigned if they are able to contribute to this proposed review.
- Student-facing website promoting Social Responsibility & Sustainability (funded by Santander) launched: www.OurEd.ed.ac.uk
- EUSA propose to launch Edinburgh Impact Awards in a **Week of Action 25-31 October**.

Professor Peter Higgins, Moray House School of Education
September 2010

¹ www.scotland.gov.uk/Publications/2010/05/20152453/0 / www.scotland.gov.uk/Resource/Doc/312576/0098842.pdf

Education for Sustainable Development: *Actions for Universities and Colleges*²

In our first action plan for the UN Decade of Education for Sustainable Development, we said that we wanted to see a Scotland where:

- Our universities and colleges play a key role in developing knowledge and understanding of sustainable development;
- Estates developments embody the principles of sustainable development and encourage learners and staff to act sustainably;
- Education for sustainable development is integrated into curricula;
- The whole experience offered to learners contributes to the development of their sustainability literacy and citizenship skills, attitudes and behaviours;
- Universities and colleges have access to the highest quality materials, advice and support to enable them to embed education for sustainable development into their courses and the wider student experience; and
- The value of sustainability skills is understood and articulated by institutions, learners and employers.

In the last 5 years we have developed our understanding of the activities in universities and colleges and it is clear that significant progress has been made across all of these areas.

ACTION 1 - HMIE will continue to monitor college responses to sustainable development in areas such as the definition of sustainability skills; the embedding of sustainability within learning and teaching strategies; and campus sustainability learning. HMIE will work with partner organisations to share good practice identified through college review processes

ACTION 2 - The Scottish Funding Council (SFC) will explore with Universities Scotland and Scotland's Colleges how the views of learners on education for sustainable development can be sought, in order to inform future actions by institutions and sector organisations.

ACTION 3 - The Scottish Government will support students' associations and student societies, by ensuring that there are opportunities to share good practice nationally of both student led activities and student involvement in estate development, curriculum development and the development of cultural and behavioural change within the communities of institutions

ACTION 4 - SFC to encourage Scotland's universities and colleges to engage with the schools sector to consider how sustainable development and global citizenship is being embedded through Curriculum for Excellence, to consider the implications for the college and university sectors and to report periodically to Scottish Government on progress

ACTION 5 - SFC will explore with the Alliance of Sector Skills Councils in Scotland and Professional and Statutory Bodies to embed sustainable development in their expectations of new entrants to vocations and professions

ACTION 6 - The FE Professional Development Forum, whose membership includes the Scottish Government and the SFC, will ensure that Forum action plans being developed in 2010 include planning for the review of the Professional Standards for Lecturers, with special reference to enhancing and strengthening requirements on teaching standards for sustainable development in colleges.

ACTION 7 - HEA to explore how they might ensure that ESD is accommodated in future revisions to the professional standards framework

ACTION 8 - Strong sustainable development standards for campus management should be developed further. The SFC and EAUC to encourage all universities and colleges to sign the UCCCfS and deliver five-year Climate Change Action Plans with targets and time scales to achieve a significant reduction in emissions from all activities, including sustainable estate development; sustainable travel planning; and responsible procurement of goods and services

ACTION 9 - SFC will work with the other UK HE funding bodies to ensure that interdisciplinary work is appropriately recognised within research funding policies, including research on sustainable development and the low carbon economy.

² Extracts from www.scotland.gov.uk/Topics/Education/UniversitiesColleges/16640/UniandCol

Transport and Travel Planning Policy 2010

The University of Edinburgh estimates 30% of its Carbon Footprint is from the travel undertaken by its staff, students and visitors, primarily in carrying out University business, and also through the commute to work and study. We have, and will continue to implement actions to bring about behavioural change to reduce carbon emissions from transport, and other damaging environmental effects caused by commuting and business travel.

We aspire to make world-leading contributions to understanding and addressing global challenges, and recognise that this requires collaboration with local and global partners. We will strike a balance between the benefits of experiencing first hand the global challenges we face, and the contribution that our international travel makes to climate change.

On a local level, we are committed to the ongoing development and implementation of innovative travel plans to encourage and support sustainable travel behaviour amongst staff, students and visitors. We recognise the important role that active travel can play in supporting healthy working lives and will continue to promote walking and cycling both as a means of commuting and travelling for business.

We also recognise that we must seek to reduce the carbon footprint of the University's fleet of vehicles, and that we are ideally placed to work with industry to trial new vehicle technologies. We will strive, through our procurement policies, to ensure environmental performance is a high priority when new vehicles are being procured, and through training we will ensure fuel efficient practices are used in our vehicles.

Targets (carbon footprint targets are based on 2007 baseline)

1. To reduce the carbon footprint of business travel by 29% by 2020
2. To reduce the carbon footprint of commuter travel by 15% by 2020
3. To reduce the carbon footprint of the University vehicle fleet by 29% by 2020
4. To increase mode share of active forms of travel – walking and cycling – from 60% in 2010 to 65% by 2015
5. Exceed travel to work mode share targets, set out in the City of Edinburgh Council's Local Transport Strategy, that are relevant to specific University sites.

Objectives

To meet the targets set out above the University will:

1. Ensure that the site specific Travel Plans remain up to date and implement innovative travel planning initiatives targeting staff, students and visitors
2. Promote and implement measures for improving access by walking, cycling, shared vehicles and public transport to and between sites and reduce the need for single occupancy car journeys
3. Ensure that all new developments undertaken by the University implement the very highest levels of provision for travel by non-car modes
4. Provide staff and students with an online tool to calculate commuting and business travel carbon footprints
5. Promote the health and wellbeing benefits of walking and cycling to work or study
6. Implement a Business Travel Policy to reduce the need to carry out travel, or where unavoidable to support the use of lower carbon modes
7. Improve the provision of videoconferencing and teleconferencing facilities and promote their use
8. Work with local organisations, charities and companies to implement innovative travel plan initiatives, such as a cycle hire scheme
9. Continue to improve the management of all vehicles operated by the University departments to reduce operational risk, cut costs and minimise environmental impacts for the whole community.

Transport & Parking Office, Estates & Buildings, 13 Infirmity St, EH1 1LT www.ed.ac.uk/transport

Business Travel at the University of Edinburgh

This paper summarises the existing situation at the University with regards to the policy for and management of travel undertaken by staff and students for the purposes of work / study. It identifies issues impacting on:

- University Social Responsibility and Sustainability Strategy and Climate Action Plan
- Procurement legislation and policy
- Finance and insurance
- Health and safety

The paper also provides a summary of existing best practice for business travel policy in other UK organisations and provides a summary of the key issues at the University and some discussion points for the SEAG Operations meeting on 13th September.

Existing business travel policy and practice

Guidance on business travel is currently provided by two University departments:

Procurement:

Provides the University's policy on how to make travel bookings, including the contracted suppliers:
<http://www.ed.ac.uk/schools-departments/procurement/buying/commodity/travel/travelpolicy>

Finance

Provides guidance on authority to book different modes of travel, and the expenses claims process:
<http://www.docs.csg.ed.ac.uk/finance/Reimbursement%20of%20Expenses.doc>

An extract from the expenses section of the Finance Manual is provided below:

Travel

Train

4.5.27. Standard class tickets should normally be purchased. Where journeys of over 2 hours are being made and urgent university work has to be done which could not be carried out in a crowded standard class seat first class travel may be used. Staff should be aware of any restrictions on travel arrangements imposed by any organisation funding their travel.

4.5.28. Where a sleeper compartment is required, first class accommodation will be allowable.

4.6 Staff should book early and take advantage of cheaper advance tickets to travel on specific trains where practical. This can be done using the university travel agents or by booking online with the train company you are travelling with.

Air Travel

4.5.29. The class of ticket purchased will depend on circumstances, but should be the most economical ticket offered for the timing and nature of the journey being undertaken. Staff should book early to obtain the lowest price.

4.5.30. UK travel can either be booked with the approved travel agents or online directly with the airline.

4.5.31. The university approved travel agents should be used for international travel unless it can be demonstrated that there is a substantial saving to be made by booking directly or with an alternative agent.

4.5.32. Vouchers and receipts must be obtained and submitted with the claim for all travel not booked through the University's travel agent.

4.5.33. It is not acceptable to buy fully flexible fares, so as to maximise personal air miles.

Mileage Rates

4.5.34. The University reimburses employees who use their private car for business purposes at the rates approved by the Inland Revenue under the Fixed Profit Car Scheme. Please check that your car is

adequately insured for travel on employer's business. The mileage rate is paid on the understanding that private vehicles are insured for use on employers' business. Vehicles without this cover should not be used as they may not be insured.

4.5.35. The current rates applicable are

Cars (privately owned) - 40p/mile for first 10,000 business miles in tax year & 25p/mile thereafter

Motor cycles (privately owned) - 24p per mile

Bicycles (privately owned) - 20p per mile

4.5.36. Reimbursement at these rates will not give rise to any tax liability for the employee. We will advise when these rates are amended.

4.5.37. Travelling alone by car is an expensive option and should only be used if no reasonable alternative is available. If a member of staff chooses to travel by car when there is a reasonable alternative means of public transport then the total to be claimed is restricted to the equivalent standard class rail fare or other public transport cost as appropriate.

4.5.38. Mileage should be recorded on the expense claim form. Members of staff should also maintain a separate mileage log or record containing the following information:

- The date and reason for the journey
- The starting point, places visited en route and the point at which the journey ended including situations where there is an element of home to office travel.
- Names and addresses of persons visited.
- Mileage claimed for each trip and cumulative mileage for the tax year to date.

Car Hire

4.5.40. The car hire bookings should be made using University Category A suppliers at www.ed.ac.uk/schools-departments/procurement/buying/commodity/travel/car-hire (for UK bookings only) or approved travel agency BTI, Ben Lawries and Key Travel (booking for abroad only), wherever possible. Fuel costs will be reimbursed where necessary. Fuel receipts should be retained.

The Parking Office also offers a pool cars for short hire needs contact telephone number is 650 2086.

4.5.41. Mileage is not payable unless it is an additional part of the car hire charge.

Revised Arrangements June 2010

The Finance manual currently provides the principal means by which a member of staff, student or a visitor could find out what the University's policy is towards business travel.

Prior to 1st June 2010, staff had to book travel through any of the three travel agents contracted as suppliers to the University. These are: Ben Lawries; HRG Hogg Robinson; and Key Travel. Booking for air, rail, vehicle hire abroad and hotel accommodation were made through the travel agents. Each of the suppliers charge a transaction fee for each booking made.

Procurement have received numerous complaints from University customers about the transaction fees levied, such that a significant proportion of travel bookings were made outside of the 3 contracted suppliers, and claimed through the eExpenses system. In 2008/09 this amounted to £1,034,841 of claims - 25% of total spend on travel which amounted to £4,213,788.04 in 2008/09.

An analysis of the suppliers showed that 174 different suppliers of travel services were being utilised, only 22 of which were contracted to supply to the University. Spend using non contracted suppliers formed 37% of the total spend on travel.

It is clear that a significant proportion of staff making travel bookings prefer to research the marketplace themselves to find the best value for money, and to avoid paying the travel agent fees.

In response to the situation, and in agreement with support from various levels within the University, from the 1st June 2010 there have been two options for the booking of travel:

1. Where the cost of travel is below £300, members of staff should make their own travel bookings, and claim the costs back via the eExpenses system.
2. Where the cost is above £300 one of the three travel agents should be used.

Staff may use the travel agents if they so wish even if the cost is below £300.

Interaction with Social Responsibility & Sustainability Strategy & Climate Action Plan

The UK Committee on Climate Change reported in February 2010 to the Scottish Parliament that Scotland needs to achieve a 29% reduction in carbon by 2020 against 2007 emissions to achieve the equivalent 42% reduction against the 1990 baseline adopted as part of the 2009 Climate Change (Scotland) Act 2009.

The University has developed a Climate Action Plan and has adopted the target of 29% carbon reduction (against a 2007 baseline) by 2020. The Climate Action Plan is part of the 2010 implementation plan for the SRS Strategy.

The funding council require submission of annual Estates Management Statistics (EMS) data collected from HE institutions across the UK. Scope 1 and 2 carbon emissions are now being collected in the EMS and it is anticipated that this will be extended to Scope 3 at some point in the near future.

<p>Scope 1: emissions are direct emissions that occur from sources owned or controlled by the organisation, for example emissions from combustion in owned or controlled boilers/furnaces/vehicles</p> <p>Scope 2: emissions from the generation of purchased electricity consumed by the organisation</p> <p>Scope 3: all other indirect emissions which are a consequence of the activities of the organisation, but occur from sources not owned or controlled by the organisation – for example, commuting and procurement.</p>
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The University recognises that business travel contributes significantly to the University's Carbon Footprint. It is estimated that annual CO₂ equivalent emissions from business travel are approximately 21,500 tonnes (estimated using data collected in the 2010 staff and student travel survey). This is approximately 25% of the estimated total University Carbon Footprint. The CO₂ equivalent emissions from commuter travel are estimated at 11,500 tonnes per year.

The HE sector is currently required to prepare carbon reduction plans to achieve absolute carbon emission reductions across Scope 1 and Scope 2. From 2011, the funding councils will be consulting on a wider range of carbon emissions from the sector. Institutions are being encouraged to measure a baseline for Scope 3 emissions and in the longer term they will be expected to include this in their carbon reduction plans. Business and commuter travel is encapsulated within Scope 3.

Carbon emissions from business travel at the University

The 2010 staff and student travel survey collected information on staff and student business travel behaviour in order to make a very broad estimate of the carbon footprint associated with business travel.

The data collected is summarised below. It shows that the largest contributors are car and rail travel within the UK, together with international air travel – which makes the largest contribution. Further analysis shows that car travel contributes 50% of the CO₂ emissions for local, national and UK wide business travel. Air travel forms only 11% of UK based travel, but not surprisingly it forms 100% of international travel.

If the University is to reduce the carbon footprint of business travel, it is clear that there should be a focus on reducing car travel and international flights.

Table 1: Staff business travel - tonnes CO₂ by mode											
	Bus	Cycle	Hire Car	Motorcycle / Moped	Private Car	Rail	Taxi	Pool Car	Walk	Shuttle	Fly
Edinburgh trips	91	0	3.36	0.5	182	7	52	39	0	28	0
Scotland trips	11	0	10	1.5	254	230	2	56	0	0	0
UK trips	0	0	0	0	1,737	1,411	0	0	0	0	39
International trips	0	0	0	0	0	0	0	0	0	0	6,658

Calculating a more accurate carbon footprint

We have very limited data available to enable anything more than a broad estimate of carbon emissions from business travel. As described earlier in this paper, business travel is being booked via one of two means: through the University's contracted travel agents or; through self-booking and claiming through eExpenses.

The three contracted travel agents do not currently provide the University with Carbon Footprint data as part of the management information they supply. Furthermore the University's eExpenses system does not collect data in a way which would allow an accurate calculation of the carbon footprint for all travel claimed via this route. For example, if a claim is made for air travel the following items of information are requested:

- *Description (free text field)*
- *Amount (value in £)*
- *Departure date:*
- *Departure airport*
- *Departure destination*
- *Return date*

We do not currently have a way of calculating the distance travelled using purely the departure and destination airport.

Summary

1. The University does not yet have a means of collecting accurate carbon emissions data for business travel.
2. The University's existing policies / guidance on business travel do not currently advise staff / students / visitors of the implications of their business travel choices, other than from a purely financial point of view that they should seek best value.
For example there is no encouragement to consider if travel is necessary and to consider alternatives such as video or teleconferencing, or if necessary to carefully consider what mode of transport to use.
3. The University is not currently in a strong position to influence travel choices in the light of the recent relaxation of policy to allow freedom to book travel without using the approved travel agents.

Examples of business travel policy in other organisations

Business travel policies in other companies and organisations is a relatively new concept, with few examples of well developed, implemented and effectual policies in place in the UK and internationally.

The Transport and Parking Office has undertaken a review of business travel policies and procedures from other organisations and this has shown some common themes. Very few have any “hard line” policies such as the banning of domestic flights. A summary of organisations with the most advanced policies is provided below:

BBC Worldwide

The Corporation recognised that many long haul flights were being taken to destinations where video-conferencing was available. The policy has reduced number of long haul flights by a third. Key policies are:

- Promote train not plane whenever travelling in the UK. (Short haul flights can produce 10 times the emissions of the equivalent journey by rail.)
- Unless the door-to-door travel time by train adds more than 3 hours or involves an extra night away from home, you should travel by train.
- Staff shuttle bus provided.
- Limit on long haul flights.
- Recognition that face-to-face meetings offer important business benefits but (long haul flights are the largest part of travel footprint at 93%).
- To fly, you must demonstrate why audio or video conferencing is not a viable alternative.
- Staff car parking charges are invested into worldwide environmental initiatives such as carbon offsetting and greening our buildings.

University of Bradford

The following framework should be followed when deciding how to travel for a particular journey:

- a) Reduce overall business travel through technology
- b) Reduce money spent on travel (including staff time)
- c) Increase productivity of workforce
- d) Reduce emissions related to business related travel

Key aspects are:

- Small grants (typically in the region of £1,000) are available from the Environment Levy Fund (University fund) to part fund travel projects which aim to reduce staff and student dependence on car travel as a mode of commuting to work and study.
- If the journey can be avoided through a video conference, local computer video software, telephone conference or telephone call then this should be the first choice
- Use of Trains and Shared Cars for domestic Journeys
- Internal domestic flights to be used in exceptional circumstances with approval
- Single occupancy car journeys are emit high levels of CO₂ / passenger and show very low productivity
- Train journeys allow high productivity due to good working conditions aboard trains.

Transport for London (TfL)

TfL has identified it can reduce its impact through enabling staff not to travel where appropriate and by increasing usage of more sustainable modes such as walking, cycling and public transport. Key points:

- Consideration will first be given to the need to travel versus other sustainable options such as telephone calls or video-conferencing, whilst ensuring the delivery of TfL’s business aims.
- The most sustainable option, including safety considerations, will be given priority wherever possible and appropriate, based on the hierarchy below: Walking and cycling for business trips within London are to be encouraged and public transport should be used in favour of taxis in all but limited circumstances (i.e. a small number of business-critical cases related to safety, time, cost or logistical implications).
- Employees should give priority to own mobility and health & safety when considering travel options.

- PT is preferred over car and plane for business travel in all cases unless these modes are unavailable due to time of day or route.
- Air Travel is to be avoided within mainland UK or mainland Europe wherever possible and all flights will need to be approved where use of more sustainable modes of travel would incur excessive time, cost or logistical implications. These essential flights must have their carbon offset.
- When looking at alternatives to air travel, consideration should be given to total door to door journey times, rather than just the time spent in the air compared to travel by other means.
- Consideration should also be given to the potential business value of rail travel in terms of the opportunity it provides for uninterrupted work.
- Any flights which are undertaken will have their carbon emissions offset as an important final step for dealing with carbon emissions that cannot be reasonably avoided.
- Carbon offsetting is a technique where carbon emissions from activities like air travel are calculated and priced. An equivalent payment is made to support activities that directly reduce emissions. To ensure that TfL can offset, all flights must be booked through VCS Worldtravel.

Future Business Travel Policy at the University

The preparation of a business travel policy offers a valuable opportunity to refresh the University's approach to how we communicate and travel. The policy should aim to reflect a broad range of issues and policies affected by business travel including:

5. Carbon footprint reduction
6. Corporate manslaughter
7. Healthy working lives
8. Efficiency and value for money

Points for discussion:

1. How can data collection be improved to enable an accurate calculation of the carbon footprint? [SEAG recommended exploring developments to the eExpenses system.]
2. What is the best way to influence business travel behaviour? [Opinions sought]
3. Would it be appropriate to formalise a domestic flight policy? e.g. unless door-to-door travel time by train adds more than X hours or involves an extra night away from home, you should go by train [BBC].
4. Does the University support the concept of carbon offsetting? Should carbon offsetting be made mandatory for unavoidable flights? Or even All travel with a carbon footprint? [see TfL policy].
5. Tele and video conferencing is important to reduce the need to travel. [What can be done to improve facilities and awareness? What level of priority should this receive?]
6. Is the mileage rate for driving serving to encourage car use i.e. is it too high? [SEAG acknowledged this was set by HMRC.]

Comments invited – please submit to Emma Crowther, Transport & Parking Manager.

Annex 1: Guidelines for business travel [Draft for wider discussion]

It is suggested that the Business Travel Policy is accompanied by a set of guidelines to guide staff and students through their travel choices. This would be available online, but it could form the basis of a hard copy leaflet to be distributed to all staff, which could also include similar information for commuting.

1. Assess your need to travel

Consider the objectives of your journey – do you need to physically be at a specific location to achieve these objectives or can they be achieved via a phone conversation or phone conference or videoconference?

Sometimes meeting face to face is essential, but if you have met before and a good working relationship has been achieved, can you sometimes avoid the need to travel by using videoconferencing or simply a phone conversation?

Remember, by avoiding the need to travel you are saving money, making more efficient use of your time, and reducing your carbon footprint. <Link to information about teleconferencing and videoconferencing>

2. Consider what mode of transport you will use to get there

If travel is essential please think carefully about what mode of transport to use.

Travel within Edinburgh

Walking and cycling

Edinburgh is a lovely place to walk in, and cycling is a popular way to get around. Your first consideration should be can I walk or cycle there? <more info on route planning>

Did you know that you can claim mileage allowance for using your bicycle for business use? The allowance is 20p per mile. Note that this is not available for Bicycles+ members still within their hire agreement period.

Bus

Edinburgh has an excellent public transport system. Your second thought should be – can I get there by bus?

If your journey is between the Central Area and George Square, or between Little France, Central Area and the Western General use the shuttle bus services: <link to more info>

ALL of the University sites are connected by bus routes <link to more info>

With a little bit of planning ahead if your journey is within Edinburgh try to do it by bus.

You can claim back the costs of public transport tickets through the eExpenses system.

Pool cars and City Car Club

Only use one of the University pool cars or the City Car Club (CCC) if you cannot cycle or use a bus service for your journey. For example, if you have a lot of things to take with you.

It only makes sense to use a pool car or City Car club vehicle if your booking is for less than 8 hours and the mileage is relatively high i.e do not use it if the journey is just a few miles and the vehicle will be parked idle for several hours.

The pool cars and CCC are there to support staff who choose not to bring their private vehicle to work, or those who do not have access to a private vehicle.

Taxis

Use a taxi only if public transport is not suitable. If the whole trip is not going to take more than 2 hours, it may be more cost effective to use a pool car or City Car Club. The University has a contract with Central Taxis.

Your department needs to set up an account before you can utilise this contract:

www.ed.ac.uk/schools-departments/procurement/buying/commodity-groups?MyID=371&cw_xml=more.cfm

Your private vehicle

If you have a private vehicle and use it to commute to work and if walking, cycling or public transport is not suitable for the journey, then it makes sense to use your vehicle instead of a taxi, pool car or City Car Club.

You should claim for business mileage via the eExpenses system, set at a rate of 40 pence per mile. You must have business cover on your insurance policy.

Please think carefully about using your car for business use. There are likely to be times when public transport, walking or cycling could be just as easy, if not easier.

Travel outside Edinburgh

Public transport

Think public transport first. If you can travel by rail to your destination then do so. Rail travel enables you to make the most of your journey time – you can continue to work on the train, some services even come equipped with WiFi.

For best value tickets book as far in advance as possible, if you can opt for fixed train times then do so, and book online. You can claim the costs back through eExpenses.

Car sharing

Have you thought about car sharing? You can half the costs of a journey by sharing it with another person. If you are attending a conference or a meeting you might just find other delegates are doing the same journey.

Alternatively search for a car share partner: www.ed.ac.uk/schools-departments/transport/driving/tripshare

Air Travel

Air travel should be avoided within the UK.

You are not permitted to book air travel (UK or international) without authorisation from your line manager. Line managers must be satisfied that the journey is necessary and that all other modes of travel are unsuitable. It should also be borne in mind that a train journey is often a more efficient use of time because it is entirely possible to work on a train. For example:

Journey from Old College to Central London:

By Air: 10 minute walk to Waverley Bridge, 30 minute bus journey (including waiting) to Edinburgh Airport, 60 minute check-in, 1.5 hour flight, 30 mins from plane through airport, 40 minutes train into London.
Total journey time: 4 hours 10 minutes as a minimum

Edinburgh Waverley to London Kings Cross: Walk to Waverley: 10 minutes; train journey 4 hours and 40 minutes non stop. Total journey time 4 hours and 50 minutes.

There are some instances where the difference in travel time between air and rail are such that air travel would be favoured. For example, journeys between Edinburgh and the southwest of England.

<We could indicate a threshold number of hours difference?>

Meeting / conference organisers

You have an important role to play in reducing the need to travel, and reducing the impact of your guest / delegates travel activity, by considering the location and timing of events.

Think carefully about where your event should be held – if the majority of your delegates are travelling from another site, consider holding the meeting there.

An event attracting large numbers of delegates will result in a significant amount of business travel. Ensure your delegates know how to get there, highlighting public transport links over and above driving. Car sharing should be promoted by setting up a private group within Tripshare.

Timing is another important factor. Starting a conference very early in the morning could encourage air or road travel if delegates are travelling from other parts of the UK. Starting mid morning offers delegates the opportunity for rail travel.

Thinking more locally, try to time meetings with bus arrival and departure times where service frequencies are low e.g. at Easter Bush.

Fair Trade Policy – updated September 2010 [URL]

ENDORSED BY SEAG ON 21 SEPTEMBER 2010

Edinburgh was accredited in 2004 as Scotland’s first “Fairtrade University” by the Fairtrade Foundation. The University aims to contribute to meeting the global poverty challenge by:

1. Expanding the range of Fairtrade foods and beverages available at all campus shops, canteens, cafés, restaurants, bars
2. Promoting all other Fairtrade MARK goods, as these become available
3. Ensuring Fairtrade tea, coffee is used at all meetings and at least 50% in offices
4. Hosting Fairtrade events and maintaining publicity and awareness-raising on campus; and in the wider community and
5. Developing and sharing and implementing our research, teaching and knowledge on related themes such as ethics, behaviours, trade and market systems and exploring social justice issues and other global challenges (eg Health, Development, Environment and Society).

The Fairtrade Steering Group membership is drawn from staff, students and alumni and reports through the Sustainability and Environmental Advisory Group (SEAG) to the Central Management Group.

The University of Edinburgh will maintain Fairtrade University status and promote Edinburgh Fairtrade City Initiative as a member of the Scottish Fair Trade Forum whose aim is to make Scotland a Fair Trade Nation.

Our status is assessed by the UK Fairtrade Foundation <http://www.fairtrade.org.uk/>.

Fairtrade Steering Gp Convener: Karen Bowman, Director of Procurement Karen.Bowman@ed.ac.uk

Secretary: Rachel Clough, Administrative Secretary, Support Services, 650 9776 rachel.clough@ed.ac.uk

Notes:

- Fairtrade Steering Group Remit and Membership, and papers are at www.seagfsg.estates.ed.ac.uk/
- Fairtrade news or events at www.ed.ac.uk/schools-departments/procurement/corporate-social/fairtrade
- The University Social Responsibility and Sustainability Strategy 2010 supports the University's Strategic Plan in reference to the global challenge of alleviating poverty and in maintaining our Fairtrade University status including raising awareness on related issues of trade justice. www.docs.csg.ed.ac.uk/EstatesBuildings/Policies/Social_Responsibility_and_Sustainability_Strategy_2010.pdf
- The University is implementing the Scottish Government Scottish Sustainable Procurement Action Plan www.scotland.gov.uk/Publications/2009/10/sspap “a process whereby organisations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life basis and generates benefits not only to the organisation, but also to society, the economy and the environment.
- The Edinburgh University Students Association (EUSA) adopted a Fairtrade motion in 2004 www.eusa.ed.ac.uk/minutes/unionexec/14042004.pdf and certain students societies – such as Edinburgh University People & Planet society – campaign on trade justice, <http://peopleandplanet.org/tradejustice/>



Climate Action Plan 2010 – 2020

- adopted by the University Court
of the University of Edinburgh 24 May 2010

The University of Edinburgh:

Founded in 1583

427 years old in 2010 ...

Where in 400 years time?



This Climate Action Plan is a work in progress. This version of the Plan takes the text Court formally adopted on 24th May and clarifies the overall target of 29% CO₂e savings by 2020 against a 2007 baseline year – as agreed by Sustainability & Environmental Advisory Group SEAG-Operations on 8 July. It will be further revised once the Scottish Government have consulted on the Duty on Public Bodies to be

Waste Management & Recycling Report 2010

As a large, multi-site higher education institution, the University of Edinburgh (UoE) faces a range of challenges in relation to our social, environmental and ethical impacts. Some key environmental impacts arise through organisational policies and operations, e.g. landfill disposal of redundant resources and packaging. Our *Social Responsibility and Sustainability Strategy 2010* (SRS-10) highlights the need to “*maximise efficiency and effectiveness while minimising social, environmental and other risks*”.

More specifically, our *Recycling and Waste Management Policy 2010* (RWM-10) aims to provide guidance to the University community on how to manage waste and to ensure that all waste & recycle “*is stored, removed, treated and disposed of according to legislative requirements and the Best Practicable Environmental Option*”. This “new look” report summarises our progress towards the targets outlined in these documents during academic year 2009-10.

Targets

SRS-10 contains our 2010-20 intentions for Waste & Recycling. *Action 4.7* of the Strategy is to *adopt and implement University-wide and site-specific waste management plans*. Specifically with targets to:

- reduce waste sent to landfill by 3% year on year;
- increase the rate of recycling by 3% year on year;
- divert all biodegradable waste from landfill by 2020; and
- receive no environmental notices or prosecutions.

Progress

Waste to Landfill or Incinerator down

The University sent around **816 tonnes of waste to landfill or incinerator** during 2009-10. This is a **5% decrease** since last year, which means that we have bettered our 3% reduction target.

University Recycling rate up

In 2009-10, the University **recycled 1,472 tonnes** of its General Waste. This is compared to 1,460 tonnes recycling during 2008-09. Although it is an actual increase in recycling, we only reached 64.3% (**1.3% up on last year**) and therefore have not managed to achieve our target (of 66% recycling) this year.

Diversion of all biodegradable waste from landfill

Approximately 10.7% (245 tonnes) of our general waste arising is currently composted (mostly at our own Green Waste compost sites). This represents around 32% of our compostable kitchen and landscape waste arisings. In general, through our recycling and composting activities, we are **currently diverting an estimated 45% of our biodegradable waste away from landfill**.

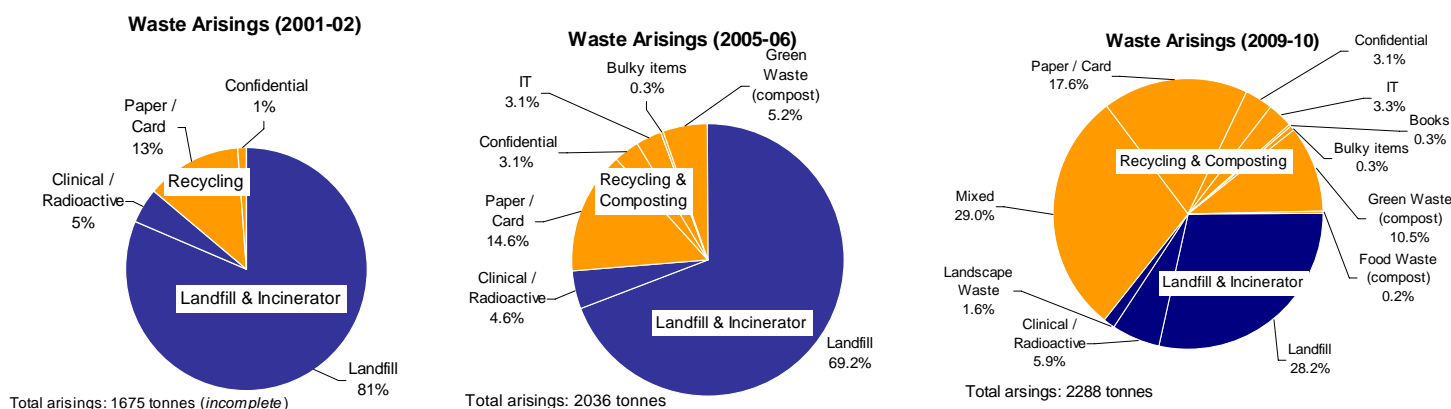
Environmental notices/prosecutions

We received no environmental notices or prosecutions last year.

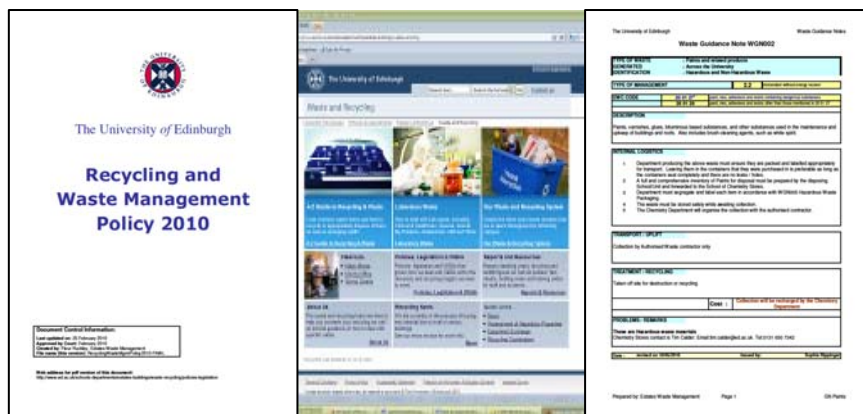
Further information

How far we have come

As we have a range of new forward-looking Policies and Strategies this year, it is worth taking a look back to see how far we have come. In 2001, Estates & Buildings started collecting data on waste arising out of normal activities. As our requirements and aspirations have increased, so have the quality and quantity of data, and our achievements, improved over time. The series of pie charts shown below, illustrate this.



Guidance and Information



During 2009-10, a range of University documentation and resources were updated or (re)created. The new University Policy RWM-10, was adopted and mounted on our new look www.ed.ac.uk/recycling website.

In addition *Waste Guidance Notes* (see left) were published to cover the management of wastes from paints to fridges to sharps. All are available online.

New Initiatives

This year for the first time, a partnership with two charities allowed us to offer **Book Reuse and Recycling** scheme across the University. Our work with *READ International* and *Better World Books* resulted in the diversion of around 6,500 redundant books away landfill. The books, arising out of clearouts related to major moves and library refurbishments, are either donated to literacy projects overseas, sold online with money from sales donated to charity or (where neither of those is an option) pulped and recycled.

Funding from Corporate Services Group has enabled Estates & Buildings to develop new **Recycling Points** for use in Academic and Support buildings. The innovative new bins allow users to segregate their waste more effectively into the University's three streams (Paper – blue lid; Mixed Recycling – orange lid; Landfill waste – grey lid), thereby allowing us to “clean up” our recyclate and prepare for further food waste recycling in the future. **246 shared bins have been installed.**



New shared Recycling Points

Carbon footprint of waste and recycling

This year, for the first time, an exercise was carried out to assess the University's carbon dioxide equivalent (CO₂e) emissions³ as a result of waste and recycling arising from University activities. It was not possible to do this exactly (due to incompatibility between format of data collected and requirements) however, it is estimated that these activities result in **3.4 tonnes CO₂e emissions**. More work is needed to formalise this.

Normalised data

It is useful to normalise Waste and Recycling data to estimate the amount of landfill waste and recyclate produced by every *occupant*⁴ of University buildings and by area⁵.

- In 2009-10, **each occupant of University buildings was responsible for approximately 76kg of landfill waste** and an additional **174kg of recycling**. Landfill per occupant is down 11% on last year.
- The University academic Estate gives rise to **3.9 kg waste and recycling /m²/pa** with 2.5 kg recycling/m²/pa and 1.4 kg landfill/m²/pa respectively.

Way Forward

During 2010-11, we are aiming to meet or better our existing targets as well as to:

- produce a Waste Management Plan for the Kings Buildings;
- set appropriate targets relating to the reduction of the waste fraction of our carbon footprint; and
- collect data on construction and demolition wastes arising out of University capital projects.

Finally, a key aim for 2010 and beyond is to improve waste management at the Edinburgh Festival – working closely with EUSA and the University Festival Office – as well as Festival tenants – on this.

For further information please see www.ed.ac.uk/recycling or contact: **Estates Waste Management**
Address: Support Services, 13 Infirmary Street, Edinburgh EH1 1LT. Tel 651 4287, Fax 650 9346, waste@ed.ac.uk

SEAG – Operations Group

³ 2009 Guidelines to Defra / DECC's GHG Conversion Factors for Company Reporting (Annex 9) were used for this exercise

⁴ Number of “Occupants” is calculated by adding number of full-time equivalent (FTE) staff and 10% of FTE students.

⁵ This is the first year that the waste data has been normalised in this way using a gross academic area of approximately 588,900 sq.m as provided in *The University of Edinburgh Quality Infrastructure: Estate Strategy 2010-2020*.

**UoE Committee Cover Paper Proposal
Endorsed by SEAG-Operations 13 September 2010**

Brief description of the paper

Following a review of on operational progress outlined in the University's Social Responsibility and Sustainability Strategy and the Implementation Plan endorsed by CMG and Court it is proposed that a line be included in standard committee paper cover sheets that asks what the paper contributes to the Strategy. The papers for this meeting are fronted by such a cover sheet showing the proposed additional question.

[Note: This was combined with existing reference to Equality and Diversity – the other element of Theme 4 in the Strategic Plan 2008-12 (Promoting equality, diversity, sustainability and social responsibility) following discussion at SEAG Ops – and endorsed by SEAG. See below]

Action requested

CMG is invited to endorse the concept for transmission onwards to the Secretary's Office / Governance and Strategic Planning section of Student and Academic Services Group (SASG) for adoption as proforma for committee papers

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? No

Equality and Diversity

Social Responsibility and Sustainability

How does the paper contribute to the University's SRS Strategy 2010-2020 and E&D policies?

The proposal outlined will mainstream the concept of Social Responsibility and Sustainability into the daily decision-making processes of the University [See 2010 Implementation Plan Actions 1.1 – 1.6 inc; and Actions 4.3-4.11 inc]; and enable leaders and administrative colleagues in all different parts of the organisation to evidence how they are contributing to delivering the strategy.

Any other relevant information

The proposal emerged from Nigel Paul's concluding remarks at SEAG Ops Awayday, 8th July 2010.

Originator of the paper

David Somervell
Sustainability Adviser
6th September 2010



The University of Edinburgh

Central Management Group

13 October 2010

Establishment of Chair of Adult Respiratory Medicine

Brief description of the paper

The School of Clinical Sciences and Community Health wishes to establish a Chair of Adult Respiratory Medicine.

Action requested

To recommend establishment of the new Chair.

Resource implications

Does the paper have resource implications? No

The proposed new Chair will be 100% funded from NHS Lothian.

Risk Assessment

Does the paper include a risk analysis? No

Equality and Diversity

Does the paper have equality and diversity implications? No

Originator of the paper

Professor David Weller
Head of School
Clinical Sciences and Community Health
8 September 2010

Freedom of information

Can this paper be included in open business? Yes

CENTRAL MANAGEMENT GROUP

Establishment of Chair of Adult Respiratory Medicine

The School of Clinical Sciences and Community Health seeks approval to establish a Chair of Adult Respiratory Medicine which will be 100% funded by NHS Lothian.

The Chair holder will have expertise in pulmonary allergy/immunology or pulmonary infection and will be expected to lead an internationally competitive research programme with particular interaction with the substantive research centres based in the Queen's Medical Research Institute and wider Little France site.

The post will be based at the Royal Infirmary of Edinburgh in order to capitalise on the translation potential of basic studies of the Lung Group in the MRC/UoE CIR (based in the adjacent QMRI) into the diagnosis and treatment of important respiratory diseases that are heavily represented in the hospital. Both of the areas identified have the potential to generate major added value and significant academic dividend; an adult pulmonary allergist would provide a seamless link with Professors Jurgen Schwarz (paediatric pulmonary) and Aziz Sheik (Community pulmonary allergy), and an individual with a special interest in pulmonary infection would establish important new connections between the Academic Respiratory Unit and the new Chair of Critical Care Medicine.

With the recent recruitment of two senior respiratory academics to prestigious chairs elsewhere, the establishment of a Chair of Adult Respiratory Medicine provides an important opportunity for the Lung Group to consolidate and extend its research into new and exciting clinical fields.

CMG is invited to recommend to Court and Senate the adoption of the appropriate resolution.

Prof D Weller
Head of School
Clinical Sciences and Community Health
8 September 2010



The University of Edinburgh

Central Management Group

13 October 2010

USS Consultation Update

Brief description of the paper

This paper is intended to update CMG on the USS Pension Consultation.

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

11 October 2010