

**Agenda for a meeting of the Central Management Group  
to be held at 10.30 am on Wednesday, 26 January 2011  
in the Raeburn Room, Old College**

- |  |  |          |
|--|--|----------|
| <b>1</b>                               | <b>Minute of the meeting held on 23 November 2010</b>                                | <b>A</b> |
| <b>2</b>                               | <b>Matters Arising</b>   |          |
| <b>3</b>                               | <b>Principal's Business</b>  |          |
| 3.1                                    | Principal's Communications   |          |
| 3.2                                    | Principal's Strategy Group   | <b>B</b> |
| <b>FOR DISCUSSION</b>                  |  |          |
| <b>4</b>                               | <b>Edinburgh College of Art (closed)</b>   | <b>C</b> |
| <b>5</b>                               | <b>Restructuring of Corporate HR (closed)</b>  | <b>D</b> |
| <b>6</b>                               | <b>Report from Estates Committee (closed)</b>  | <b>E</b> |
| <b>7</b>                               | <b>EUCLID - End of Project Report</b>  | <b>F</b> |
| <b>FOR INFORMATION/FORMAL APPROVAL</b> |  |          |
| <b>8</b>                               | <b>Management Accounts – five months to 31 December 2010 (closed)</b>                | <b>G</b> |
| <b>9</b>                               | <b>Quarter 1 Management Accounts Forecast 2010-2011(closed)</b>                      | <b>H</b> |
| <b>10</b>                              | <b>Bribery Act</b>   | <b>I</b> |
| <b>11</b>                              | <b>Report from Staff Committee</b>   | <b>J</b> |
| <b>12</b>                              | <b>Report from Health and Safety Committee</b>                                       | <b>K</b> |
| <b>13</b>                              | <b>Fees Strategy Group (closed)</b>  | <b>L</b> |
| <b>14</b>                              | <b>Internal Audit Report (closed)</b>  | <b>M</b> |
| <b>15</b>                              | <b>Update on the Distance Education Initiative</b>                                   | <b>N</b> |
| <b>16</b>                              | <b>University Procurement Capability 2010</b>  | <b>O</b> |
| <b>17</b>                              | <b>EU Procurement Directives (closed)</b>  | <b>P</b> |
| <b>18</b>                              | <b>Protection of Vulnerable Groups</b>   | <b>Q</b> |
| <b>19</b>                              | <b>Research Funding Support and Strategy at the University of Edinburgh (closed)</b> | <b>R</b> |
| <b>20</b>                              | <b>Any Other Competent Business</b>  |          |
| <b>21</b>                              | <b>Date of next meeting</b>  |          |

Wednesday, 9 March 2011 at 10.30 am in the Raeburn Room, Old College



**Central Management Group**

**Tuesday 23 November 2010**

**MINUTE**

Present:

The Principal (in the chair)  
Vice-Principal Professor A McMahon  
Vice-Principal Professor M Bownes  
Vice-Principal Professor N Brown  
Vice-Principal Professor D Fergusson  
Vice-Principal Professor J Haywood  
Vice-Principal Professor D Hounsell  
Vice-Principal Professor R Kenway  
Vice-Principal Professor D Miell  
Vice-Principal Professor L Waterhouse  
Professor J Seckl  
Mr N A L Paul  
Dr K Waldron

In attendance:

Dr A R Cornish  
Mr A Currie  
Mr J Gorringe  
Ms S Gupta  
Mr D Waddell  
Professor L Bondi ( for item 9 only)  
Mr M Ritchie (for item 9 only)  
Ms S Graham (for item 16 only)  
Dr K J Novosel

Apologies:

Vice-Principal Mr Y Dawkins  
Vice-Principal Professor S Hillier  
Dr I Conn

**1 MINUTE OF THE MEETING HELD ON 13 OCTOBER 2010**

**Paper A**

The Minute of the meeting held on the 13 October 2010 was approved as a correct record.

**2 PRINCIPAL'S BUSINESS**

**2.1 Principal's Communications**

The Principal reported on the following: the announcement that the Chancellor would be standing down; the continuing issues around the UK Border Agency and recent announcements on the proposed limits on non-EU immigration; the continuing discussion around the Browne Report and a Scottish solution; the establishment of a technical short-life working Group supported by the Scottish Government and Scottish Universities to consider future funding models; the continuing success of the Global Academies and the launch of the new website; the excellent position on student recruitment; the commendable work of the estates department and the proposals to refurbish the undercroft of the McEwan

Hall; the continuing success of the team taking forward quality issues; and the work of ERI.

**2.2 Principal's Strategy Group Paper B**

CMG noted the report particularly the discussions on research pooling initiatives in sport, health and exercise science.

**FOR DISCUSSION**

**3 FINANCE UPDATE (CLOSED) Paper C**

The current position on future University funding following the recent announcements in the one year draft Scottish budget was noted, including the anticipated reductions in available capital funding. CMG further noted the consultation on the proposed changes to the USS and the impact of the revisions to the taxation of pensions to come into force in April 2011 which would affect a small number of staff; it was suggested that those affected should be notified as soon as possible. The work of the post review group and the small uptake to date on voluntary severance arrangements were also noted.

**4 DRAFT REPORTS AND FINANCIAL STATEMENTS FOR YEAR ENDED 31 JULY 2010 (CLOSED) Paper D**

CMG endorsed the draft Reports and Financial Statements for the year ended 31 July 2010 noting in particular: the achievement of an £18.316m surplus, equivalent to 2.9% of turnover; the increase in income of 7.2% over the previous year; the robust control measures in place to contain staff costs demonstrated in the accounts; the significant expenditure in premises refurbishment and reduction in administrative costs; the satisfactory levels of fixed and current assets including the recovery of endowments; the improving position re pension liabilities; and the satisfactory cash flow statement. CMG commended the satisfactory financial position of the University and the actions taken in advance of the difficult financial years ahead.

**5 REVIEW OF 2009/2010 OUTTURN VERSUS FORECAST (CLOSED) Paper E**

The accuracy of the Q3 forecast compared to the outcome position was commended and CMG noted the significant areas of movement. Clarification was sought on the increased utility costs of bringing on-stream new buildings and it was agreed that the 10% figure would be checked.

**6 2010/11 STUDENT INTAKE AND SFC HOME/EU UNDERGRADUATE POPULATION CONTROL (CLOSED) Paper F**

The analysis of 2010/2011 student intake figures as at 20 October 2010 was very encouraging:

- The home/EU fee rate paying full time undergraduates figure had only marginally exceeded the forecast target demonstrating the significant achievement in managing recruitment in this category across the University;
- The current figure for overseas fee rate paying full time undergraduates had exceeded the agreed target by 16.1%;
- The current figure for home/EU fee rate paying full time taught postgraduates was 4.3% lower than the University's set target although

the number of entrants was above last year's intake at this point, while the overseas fee rate paying full time taught postgraduates figure had exceeded the University's set target by 22%;

- The target for home/EU full time research postgraduates had already been met and was likely to be exceeded as further matriculations could be anticipated throughout the rest of the year, while the figure for overseas full time research postgraduates was higher by 4.6% than the figure at the same point last year and was likely to increase throughout the year to meet the agreed target; and
- The current figures for part time and visiting undergraduates and taught and research postgraduates for home/EU and overseas all indicated that either targets had already been reached or would be met or exceeded with additional matriculations throughout the rest of the year.

CMG welcomed current indications that the University was unlikely to incur any Scottish Funding Council penalties for under enrolment or breach of consolidated limits. It was further noted that initial NPRAS adjustments would be made in December 2010. Further flexibility in the deployment of student scholarships, particularly cross institution arrangements should be explored to assist in improving future postgraduate research student recruitment figures.

#### **7 2011-12 PLANNING ROUND ISSUES (CLOSED)**

**Paper G**

It was noted that this paper set out planning round issues rather than providing CMG with detailed assumptions and an indicative figure for budget changes in 2011/2012. Future funding was becoming clearer with the publication of the draft Scottish Government budget albeit the budget was, as anticipated, for one-year only and proposed that the Scottish Funding Council would receive a cash reduction of 6.38% in recurrent funding for Scottish higher education institutions in the financial year 2011/2012 (year ending March 2012). Clarification was being sought on a number of areas with the SFC.

CMG noted the content of the paper and the significant financial challenges in the following academic year. Further information would be included in the planning guidance to be issued at the beginning of December 2010. Draft and final planning submissions were required in accordance with the timetable set out in the paper; it should be assumed that there would be decreases in core budgets in 2011/2012.

#### **8 STRATEGIC PLAN 2008-2012 TARGETS - ANNUAL PROGRESS REPORT**

**Paper H**

CMG noted the content of the second annual progress report on performance against the 33 targets within the University's approved Strategic Plan. There was discussion on the areas assessed as requiring further work and it was agreed that a six month review should be undertaken of these targets; College and Support Group annual plans for 2011/2012 should include information on the actions being taken to achieve these targets.

**9 SHARED TIMETABLING AT THE UNIVERSITY OF EDINBURGH – BUSINESS CASE Paper I**

There had been extensive consultation across the University at School and College levels as well as engagement with the student body resulting in constructive comments and broad support for the proposed approach. The many benefits included enhancing student experience through better flexibility of the curricula and improved curriculum planning as well as more efficient use of space. The KSC had considered and endorsed the proposals noting that cognisance had been taken of the lessons learned from other major change and IT projects.

CMG endorsed the proposals.

**10 REPORT FROM SPACE MANAGEMENT GROUP Paper J**

The revised NPRAS rates for space including utilities to be used as part of the 2011/2012 planning round were endorsed by CMG and the intention to initiate an extensive review of this NPRAS mechanism for space costs was welcomed. CMG further approved the proposed revisions to the remits and reporting lines of the Space Management Group (SMG) and the Learning and Teaching Spaces Advisory Group (LTSAG): SMG would now report to the Estates Committee and LTSAG to SMG.

**FOR INFORMATION/FORMAL APPROVAL**

**11 MANAGEMENT ACCOUNTS – THREE MONTHS TO 31 OCTOBER 2010 (CLOSED) Paper K**

CMG noted the current satisfactory financial position after three months, in particular the continuing improving position in Colleges and Support Groups and in the collection of tuition fees. The intention to review the position in respect of cash and short term deposits was noted.

**12 HEALTH AND SAFETY QUARTERLY REPORT FOR JULY - SEPTEMBER 2010 Paper L**

The routine report from the Health and Safety Committee was noted and the actions taken in respect of the reportable incidents. CMG welcomed the discussion on international travel arrangements and congratulated the Health and Safety Department's achievement of gaining Investors in People accreditation.

**13 FEES STRATEGY GROUP Paper M**

CMG approved the fees for 2010/2011 and 2011/2012 in respect of: MSc Integrated Service Improvement: Health and Social Care; various Business School programmes; the Parliamentary Programme; MSc Applied Psychology (Healthcare) for Children and Young People; MSc in Geoscience for Subsurface Exploration Appraisal and Development; MSc in Financial Modelling and Optimization; MSc in Financial Mathematics; and the four and five year BVM&S programmes. CMG further approved: the initiation of a project to develop a strategic pricing policy; revised adjustments to NPRAS for 2010/2011 to ensure no double funding in respect of Marie Currie PhD funded



The University of Edinburgh

Central Management Group

26 January 2011

**Principal's Strategy Group Meeting  
16 November 2010**

Amongst the items discussed were:

**1. Shared Academic Timetabling**

Members discussed progress to date and endorsed the proposal to move to Phase 2 of the project.

**2. Strategic Plan Targets**

Members discussed the current position.

**3. Planning Round Issues**

Members discussed the current position.

**4. Intake Targets**

Members discussed the current position and agreed revised targets.

**Principal's Strategy Group Meeting  
21 December 2010**

Amongst the items discussed were:

**1. eca**

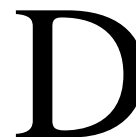
Members discussed recent developments.

**2. Integrated Foundation Programmes**

Members discussed and fully endorsed the planned developments by CHSS and CSE.

**3. Public Holiday 29 April 2011**

Members agreed a position.



The University of Edinburgh

Central Management Group

26 January 2011

**Corporate HR Restructuring**

Brief description of the paper

This paper is being presented to Central Management Group following a restructuring of the department. A briefing paper was presented at the last meeting of Court on 20 December 2010, setting out the reasons for the review of CHR and the outcomes of that exercise. The paper was also circulated to members of CMG for information at the same time.

Action requested

As detailed in paper.

Resource implications

As detailed in paper.

Risk assessment

As detailed in paper.

Equality and diversity

Equality and diversity implications will be covered in the business case, if any arise.

Freedom of information

Can this paper be included in open business? No

Its disclosure would constitute a breach of confidence actionable in court

For how long must the paper be withheld? Until the next meeting of Court in February 2011.

Originator of the paper

Sheila Gupta  
Director of HR





The University of Edinburgh

Central Management Group

26 January 2011

**Report from Estates Committee held on 8 December 2010**

Brief description of the paper

The paper reports on key discussions and recommendations made at the meeting of EC, held on 8 December 2010.

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

Action requested

CMG is invited to note and endorse the recommendations contained in items 1, 2, 5, 7, 8, 9, 11, 12, 14, 16, 17 and 19.

Resource implications

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

Risk Assessment

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

**General:**

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

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

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

Equality and Diversity

Does the paper have equality and diversity implications? No

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

Any other relevant information

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

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

#### Freedom of information

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

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

#### Originator of the paper

Graham Bell, Depute Director of Estates & Buildings  
Angela Lewthwaite - Secretary to EC  
Paul Cruickshank – Estate Programme Administrator  
19 January 2011

The University of Edinburgh

Central Management Group

26 January 2011

## **The EUCLID Project: Project Closure Report**

### Brief description of the paper

This paper is to remind CMG members that the EUCLID Project formally completed on 31 December 2010, as stated in the update report presented to CMG on 13 October 2010.

The Project Closure Report (currently draft) can be found at:

<http://www.euclid.ed.ac.uk/ed/governance/> - 1 December 2010, Paper B.

### Action requested

For information.

### Resource implications

Does the paper have resource implications? No

### Risk assessment

Does the paper include a risk assessment? No

### Equality and diversity

Does the paper have equality and diversity implications? No

### Freedom of information

Can this paper be included in open business? Yes

### Originator of the paper

Vice-Principal Professor Jeff Haywood

### To be presented by

Vice-Principal Professor Jeff Haywood



The University of Edinburgh

Central Management Group

26 January 2011

**Management Accounts  
Five months to 31 December 2010**

Brief description of the paper

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

Action requested

The paper is for information.

Resource implications

None.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

None

Any other relevant information

None.

Originator of the paper

Andy Davis  
18 January 2011

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. 31<sup>st</sup> December 2011).*



The University of Edinburgh

Central Management Group

26 January 2011

**Quarter 1 Management Accounts Forecast 2010-11**

Brief description of the paper

The University Group's top-level Quarter 1 Management Accounts Forecast for 2010-11 is presented. This forecast is presented on a group basis (i.e. including subsidiary companies), as in the annual accounts.

Action requested

The paper is for information and discussion.

Resource implications

As indicated in the paper.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

None

Any other relevant information

None.

Originator of the paper

David C.I.Montgomery  
Deputy Director of Finance

30 November 2010

Freedom of information

Can this paper be included in open business? No

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

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



The University of Edinburgh

Central Management Group

26 January 2011

**The Bribery Act 2010**

Brief description of the paper

This paper describes the provisions of The Bribery Act 2010 which comes into force on 1 April 2011. Draft guidance on aspects of the code was issued for consultation in autumn 2010, with the final version expected to be issued in early 2011. This paper also sets out the actions that the University should undertake to prepare for implementation of the Act. The paper has been discussed in the Risk Management Committee.

Action requested

For noting and comment.

Resource implications

Does the paper have resource implications? Yes – implementation of the Act will require time and effort of University staff to undertake the actions required and may need external input. It may be necessary to take expert legal advice.

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

Nigel A L Paul  
Director of Corporate Services  
17 December 2010

## The Bribery Act 2010

### 1) Introduction

This paper describes the provisions of The Bribery Act 2010 which comes into force on 1 April 2011. It consolidates the existing piecemeal legislation on bribery into one place and introduces a new comprehensive anti-bribery code. Draft guidance on aspects of the code was issued for consultation in autumn 2010, with the final version expected to be issued in early 2011. This paper also sets out the actions that the University should undertake to prepare for implementation of the Act.

### 2) Background

The Bribery Act is driven by the UK wishing to demonstrate that it is “getting tough” on bribery and corruption, and it aims to

- establish a culture of anti corruption in organisations including strong governance and compliance processes, and
- assist regulators and prosecuting authorities in their investigations of allegations of corruption both in the UK and overseas

As such, it is one of the most draconian pieces of anti-bribery and corruption legislation in the world. The British government wants to drive firms into radical action. According to the Serious Fraud Office (SFO) the law “will bring about behavioural change within businesses themselves and will create corporate cultures in which no form of corruption is tolerated.”

The act is primarily aimed at commercial organisations however it covers all organisations incorporated under UK law so encompasses Universities.

### 3) The Bribery Act 2010

The main provisions of the act are:

#### 3.1 *Definition:*

A bribery act is undertaken where

- (a) a person offers, promises, or gives financial or other advantage to another person, and
- (b) the advantage is to induce another person to perform improperly a relevant function or activity, or to reward another person for improper performance of a function or activity.

It does not matter whether the person to whom the advantage is offered is the same person who performs the function or activity

#### 3.2 *Offences:*

The Act contains essentially 4 offences of bribery

- active bribery (bribing someone)
- passive bribery (being bribed)
- bribery of a foreign public official
- corporate failure to prevent bribery

The first three are primarily focussed on individuals however the latter is a new crime for which the only defence is that the organisation ‘had in place adequate procedures designed to prevent a person associated with it from undertaking such conduct’

### 3.3 *Scope:*

The scope of the Act is very widely drawn and extends the jurisdiction of the UK prosecuting authorities. It allows for prosecution for bribery offences of:

- any body incorporated under UK law
- any body which carries on business in the UK regardless of where incorporated
- “associated persons” – being anyone performing services for or on behalf of the organisation regardless of capacity or location, with the intention of obtaining or retaining business, or a business advantage for the organisation.

Senior officers (or those purporting to be so) of the organisation may also have personal liability if an offence is committed with the “consent or connivance” of that officer.

Corporate ignorance of individual wrong-doing will provide no protection against prosecution

In essence, the offences of giving and receiving bribes and bribing foreign public officials apply to employees and persons associated with UK organisations (whether located in the UK or overseas), UK citizens, and individuals ordinarily resident in the UK regardless of where the relevant act occurs. They also apply to non-UK nationals and commercial organisations if an act or omission forming part of the offence takes place within the UK. This means that all organisations that carry on any part of their business in the UK will also be subject to the Act, regardless of where they are incorporated or formed and regardless of where the alleged bribe takes place. The corporate offence of failure to prevent bribery also applies to UK organisations or non-UK organisations regardless of where the alleged bribe takes place.

### 3.4 *Penalties*

The penalties under the Act are severe: unlimited fines on commercial organisations; up to 10 years imprisonment for individuals involved; debarment from tendering for public contracts within the EU. Obviously in addition to the formal penalties the adverse PR impact could be huge for organisations investigated or prosecuted.

### 3.5 *“Adequate Procedures”*

The Ministry of Justice undertook a consultation on what guidance should be given to commercial organisations about “adequate procedures” that can be put in place to avoid committing the corporate offence. From the draft guidance it is clear that procedures will need to be tailored to the individual circumstances of each business based on an assessment of where the risks lie. Ultimately, it will be left to the courts to assess whether an organisation has “adequate procedures” in place and it will be for the organisation to prove that it has.

The draft guidance identifies six management principles that should be considered when assessing and implementing “adequate procedures” These are:

**Risk assessment** – regular and comprehensive assessments of the bribery risks in the organisation’s sector and market;

**Top level commitment** – establishing a culture across the organisation in which bribery is never acceptable. This includes ensuring that the organisation’s anti-bribery policy is clearly communicated to all levels of management, the workforce and any relevant external bodies;

**Due diligence** – The organisation should have due diligence policies and procedures which cover all parties to a business relationship including the organisation’s supply chain, agents and intermediaries, all forms of joint venture and similar relationships where the



organisation conducts business. The aim is to ensure that the organisation can satisfy itself that all relationships are transparent and ethical;

**Clear, practical and accessible policies and procedures** – organisations should have policies and procedures covering all relevant risks such as political and charitable donations, gifts and hospitality, promotional expenses, facilitation payments and reporting suspected bribery;

**Effective implementation** – anti-bribery must be embedded in the organisation’s internal controls, recruitment and remuneration policies, communications and training. Mere ‘paper compliance’ will not be sufficient;

**Monitoring and review** – organisations must ensure that they have review mechanisms in place including auditing; that financial controls are transparent; that there are regular reviews of the policies and procedures; and should consider whether external verification is appropriate.

#### **4) Implications for the University**

The University, with its culture of self motivated academic enquiry, freedom of speech, openness, multi-culturalism, and high professional standards, has had very few issues over the years relating to fraud, or unprofessional behaviour. It already has in place a number of policies in this area, including policies on fraud, gifts and hospitality, and whistleblowing. Universities are not profit motivated although ensuring good control of the finances and delivering surpluses to allow reinvestment and growth in the infrastructure is vitally important. However the Act will push the University to establish more formal policies and processes related to anti bribery and corruption, and to be able to demonstrate their embeddedness.

The implications for the University can be considered under the six principles outlined above.

##### **4.1 Risk assessment**

There is a underlying risk of bribery wherever money changes hands or services are provided for money. In undertaking an assessment of risks, the following areas will need to be considered:

- Fee paying postgraduate and international students
- The use and control over overseas agents for student recruitment, and providers of pre-degree foundation year studies if we have any formal links. The University could be liable for the actions of an agent as an “associated person” even though we have no control over or specific knowledge of those actions ( being “associated persons”)
- Partnerships for provision of teaching fee paying students (associated persons)
- Gifts received from students
- Gifts and donations to the University that have conditions attached to them. The definition of bribery in the act as a financial or other advantage being offered to induce or reward “improper performance” could give rise to issues about the propriety or performance
- Grant funded research, particularly commercial research, or research jointly undertaken with individuals in other institutions (UK and overseas) where funding is provided for the whole programme – the partners would be regarded as associated persons
- Use of cash to allow research to be undertaken in certain parts of the world
- Services procured by the University from third parties

- Political or charitable contributions made by the University (if any)
- The area of hospitality and gifts for individuals - there will be difficulty in deciding between what is reasonable and lawful and what could be construed as being an inducement or reward for improper performance. The University already has policies in this area but they will need to be reviewed. It is unlikely that any hospitality, gifts, sponsorship or the like will be considered a bribe provided that it is proportionate to the relevant business function.
- Trading activities e.g. hotels, events and conferencing, Edinburgh University Press, SSTRIC, ETTC, etc
- Intellectual property and its commercialisation
- Honorary degrees and benefactors

Proposed actions:

- 4.1.1 Provide briefing on the Bribery Act to key managers who have responsibilities for the above areas
- 4.1.2 Managers to undertake risk assessment based on the proforma used by the Risk Management Committee
- 4.1.3 Summary of responses to be provided to CMG, F&GPC and Audit Committee

Responsibility for taking forward: HR Director and Director of Corporate Services

## **4.2 Top level commitment**

The University has policies in place covering areas such as fraud, whistle-blowing, and receipt of gifts, hospitality and other benefits. It also has relevant policies and procedures embedded within functional documentation e.g. Finance Manual, Estates policies and project processes, Procurement policies and processes etc. There is however no overall policy that addresses bribery issues.

Proposed actions:

- 4.2.1 Prepare overall policy relating to anti bribery and corruption, and obtain CMG, Audit Committee, F&GPC and University Court sign off to the policy. The policy will need to be applicable to the University itself, its subsidiaries, as well as agents, and other associated persons.

Responsibility for taking forward: HR Director

## **4.3 Due diligence**

Whilst the University has policies and processes for procurement, rules and regulations regarding students fees (for postgraduate and overseas students), terms and conditions for research grants etc, and financial controls/reports that help point out areas of unusual activity that require investigation, its processes for assessing whether business relationships are transparent and ethical are largely not formalised. In all areas of activity, a review will need to be undertaken as to the processes for appointment of a counterparty (fee paying student, agent, research grant provider, research partner, donor, supplier etc) to assess how we satisfy ourselves of the ethical and anti-bribery credentials of the counterparty. It may be appropriate to instigate reciprocal anti-bribery and corruption agreements or incorporate anti bribery and corruption clauses / reporting into our conditions of business. Additionally for existing major counterparties, there may be a need to review current arrangements in the same light.

Proposed actions:

- 4.3.1 Establish all major counterparties with which the University has a financial or partnership relationship
- 4.3.2 Review and amend processes for appointing or establishing relationships with counterparties to incorporate processes to assess (both on appointment, and ongoing) their policies, attitudes, and compliance with anti bribery and corruption policies and the Bribery Act and Guidelines
- 4.3.3 Having amended processes for appointment or establishing relationships, review major existing relationships to assess what changes need to be made to bring them into line with the new policies and procedures

Responsibility for taking forward: Director of Finance

#### **4.4 Clear, practical and accessible policies and procedures**

As indicated above the University has policies in place covering areas such as fraud, whistle-blowing, and receipt of gifts, hospitality and other benefits. It also has relevant policies and procedures embedded within functional documentation e.g. Finance Manual, Estates policies and project processes, Procurement policies and processes etc.

Proposed actions:

- 4.4.1 Review and amend existing policies and procedures in the light of the Bribery Act and Guidance
- 4.4.2 Consult Trades Unions as part of policy development
- 4.4.3 Identify gaps in policy framework and prepare necessary additional policies and procedures
- 4.4.4 Determine the sanctions and processes to apply if there is suspicion or evidence of non-compliance with the Overall Anti Bribery and Corruption Policy and other policies
- 4.4.5 Identify whether there is a necessity to update recruitment procedures, terms and conditions of employment or any job descriptions to incorporate specific responsibilities or actions regarding anti bribery and corruption
- 4.4.6 Inform all relevant staff in the University, subsidiaries and associated persons of the new and revised policies

Responsibility for taking forward: HR Director

#### **4.5 Effective implementation**

Key implementation actions are noted above. However there will be a need for considerable communication. Individuals interfacing with funders, partners, donors, suppliers etc will need to understand their personal responsibilities and risks under the Act. Key directors and staff responsible for reviewing and updating policies and procedures will need to have a detailed briefing on the Act, Guidance, and actions they need to undertake. Staff, and associated persons will need to understand the new University overall policy and the changes in more detailed policies and procedures.

Proposed actions:

- 4.5.1 Establish briefing processes for key staff involved in reviewing and amending policies and procedures
- 4.5.2 Determine whether there is a need to establish a network of more knowledgeable advisers as we have done for dealing with FOI

- 4.5.3 Determine communication processes for academic and other staff who interface with funders, partners, donors, suppliers etc to inform them of the provisions of the Act and their personal risks
- 4.5.4 Determine what communications are appropriate for agents, partners, donors, suppliers etc
- 4.5.5 Consider inclusion in induction processes for new staff, and ongoing updating of relevant staff as case law provides further guidance on the application of the Act
- 4.5.6 Review and update advice on legal frameworks and culture in countries across the world

Responsibility for taking forward: HR Director  
International Office for 4.5.6

#### **4.6 Monitoring and review**

The University has structures in place for internal audit, risk management, annual assurance, and financial reporting etc. There will be a need to assess how to incorporate monitoring of compliance with the Bribery Act and Guidance, and of the University's updated policies and procedures into those processes

- 4.6.1 Assess and implement changes to the internal audit, risk management, annual assurances processes to incorporate compliance with the Bribery Act and Guidance, and of the University's updated policies and procedures into those processes
- 4.6.2 Assess whether any changes required to the financial control and exception reporting processes

Responsibility for taking forward: Director of Corporate Services  
and Director of Finance

The above individuals will take the lead in developing more detailed plans, which in turn will involve the relevant organisations within the University.

#### **5) Conclusion**

The Bribery Act will require the University to progressively tighten its policies and procedures relating to anti bribery and corruption. The Act comes into force from 1 April 2011 however the final guidance will not be available until January. The above actions have commenced with the focus being on the overall policy and areas perceived to be of higher risk. There will a programme of continuous improvement over the next year or more, to address the actions identified above. A small steering group convened by the Director of Corporate Services will oversee this programme during its initial stages, with the aim of embedding ongoing oversight into the Risk Management Committee in due course.

CMG is asked to note the implications of the Act on the University and approve the actions outlined in the paper.

# J

The University of Edinburgh

Central Management Group

26 January 2011

## **Report from Staff Committee**

### Brief Description of Paper

This paper provides a summary of the key issues discussed and agreed at the meeting of Staff Committee held on 15 November 2010.

### Resource Implications

Any resource implications are covered in the relevant project scope for each initiative.

### Equality and Diversity Implications

Any equality and diversity implications are considered as part of each initiative under discussion.

### Risk Assessment

Any relevant issues relating to effective risk management are covered in the content of the separate papers under discussion.

### Freedom of Information

Can this paper be included in open business? Yes.

### Originator of paper

Sheila Gupta  
Director of HR

## Central Management Group

### Report from Staff Committee

26<sup>th</sup> January 2011

#### Introduction

1. This paper summarises the key issues discussed and decisions reached at the meeting of Staff Committee held on 15<sup>th</sup> November 2010.

#### Matters Arising

2. **Performance and Development Review Update:** Ms Gupta updated the Committee on progress with the taking forward Performance and Development Review in the College of Science and Engineering.

3. **Supporting International Staff in the University of Edinburgh:** Ms Gupta reported that following discussions between HR and the International Office, it had been agreed to create a new dedicated role to support international staff. The role would be co-located in the International office and HR to draw upon the combined expertise of both departments in a more strategic and integrated way to ensure that international staff enjoyed a positive experience of applying to and working at the University. This role would not require new funding, but would be achieved within existing staffing budgets.

4. **Pensions Update:** Ms Gupta provided the Committee with an update on the proposed changes to the Universities Superannuation Scheme. She advised the Committee that the University was following the advice of the national Employers Pensions Forum with respect to the conduct of the formal consultation process.

#### Main Agenda Items

##### **Paper A: Progress Report on Leadership Development at the University of Edinburgh**

5. Ms Gupta presented this paper and highlighted the following points:

- Progress since the launch of the University's overall Leadership Development Programme in 2006;
- What senior academics and senior professional services staff have gained from the various leadership initiatives;
- How this progress has been achieved;
- The funding and resource model that supports the programme; and
- The way forward for embedding leadership development across the University.

6. A detailed discussion followed on the last of these points in which Committee members observed that:

- The breadth and range of provision based on a funding envelope of £79,000 represented good value for money. It was also recognised that feedback on the programmes and provision offered had been very positive since its inception in 2006. The Committee particularly wished to acknowledge the

excellent work that had been carried out by Lorna Sinclair, the Programme Director, in advancing this key strategic priority for the University.

- Dr Markland stated that even in these times of constrained funding, he did not want to see financial support for Leadership Development to be reduced.
- The Committee agreed that excellent management and leadership skills are critical in the very challenging economic climate that we are in and it was agreed that a strong emphasis needed to be placed the expectations that staff in leadership roles will undertake appropriate development activities to ensure their effectiveness. The Committee agreed that a strategy to seek to ensure that all leadership/management staff have the good access to training and development and actually take it up, was important. There was a sense that take up might be unequal at present and it was agreed to carry out further analysis of take up across the University.
- The discussion ended by proposing that more emphasis be placed on the use and application of coaching for the future and it was agreed that to explore the possibility for greater collaboration with other Universities and organisations for the mutual benefit for both parties.

#### **Paper B: HR Performance Indicators – Benchmark Report Autumn 2010**

7. Ms Gupta introduced this paper which forms one of a series of reports providing an analysis of UK level HR Performance Indicators and considers the implications of these measures in relation to the University of Edinburgh.

8. The report highlighted the following trends:

**Ratio of HR Staff to Employees:** the changes in the ratio of HR staff to the workforce since last year are interesting to note:

- (i) the ratio of all HR staff to all employees has changed marginally from 1:97 in 2008/2009 to 1:113 in 2009/2010.
- (ii) the ratio of managerial/professional HR staff to all employees has changed from 1:238 to 1:280, which may indicate lower staff turnover in the general workforce because of the economic climate.
- (iii) the ratio of support HR staff to all employees has also altered since last year from 1:158 to 1:189, again the change may be attributable to the same factors of a fairly static workforce.

In terms of how Edinburgh compares to the sector, the data illustrates that staffing levels are not excessive, falling below the HE sector average for all three measures reported:

- (i) The costs of the HR function at Edinburgh per employee at £289 continues to compare very favourably with the sector median of £462 and the sector average of £489, exhibiting a reduction on overall cost from last year, when it was £335 per employee. The information demonstrates that the HR function continues to represent an affordable model of staffing. It is important for the University to assure itself that HR represents good value for money and also adds value to the management of the University
- (ii) the ratio of all HR staff to all employees at 1:113 against a sector average of 1:73;

- (iii) the ratio of managerial/professional HR staff to all employees at 1: 280 compared to the sector average of 1:210;
- (iv) the ratio of support HR staff to all employees at 1:189 against a sector average of 1:136.

The University may wish to ensure that it has the right balance of professional to administrative staff in HR across the institution to establish if the breadth and range of capabilities is sufficiently aligned to the business needs of the University. If it is considered that any changes may be necessary, then these discussions will be conducted with Heads of College and Support Groups, College Registrars and Heads of HR as a matter for review in the annual planning round. The role of HR has become more strategic over the past decade and it will be important for the University to ensure that it remains competitive in a complex market.

### **Training and Development**

9. It has been interesting to observe how different techniques and interventions have improved in popularity over time. The most popular approaches to training and development in the Higher Education (HE) sector are:

- (i) coaching, counselling and mentoring
- (ii) on the job training
- (ii) class room training<sup>1</sup>

10. The use of all of these approaches are well established at Edinburgh particularly in relation to leadership development provision, where the use of both coaching and mentoring are particularly popular with staff such as Heads of School and other colleagues in leadership roles.

### **Ratio and Costs of Training and Development Staff**

11. The data for this year illustrates that the proportion of training and development staff to all staff has reduced from 1:1101 to 1:1165. Similarly, the data indicates that the training spend on different categories of staff at Edinburgh is low compared to the sector median and average with :

- (i) academic managerial/professional spend per employee per annum at £300, compared with a sector average of £330 is now below the average for the sector, whereas it was higher last year and will need to be monitored;
- (ii) Non-Academic managerial/professional spend per employee per annum at £150, compared with a sector average of £343;
- (iii) Operational/support spend per employee per annum at £150, compared with a sector average of £220.

12. It would be advisable to look into the reasons for the change in staffing levels as the area of effective people development represents a major element of the University's Strategic Plan. The importance and need to foster a culture of high quality leadership and management and personal and professional development to sustain a high performance environment is evident throughout all College and Support Group Annual Plans and so it will be crucial to establish that both the level of staffing and current investment in development are at the appropriate levels to meet the University's business goals and objectives.

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<sup>1</sup> DLA Piper, HR Benchmarking 2010, HR performance indicators report, pg 61



13. A significant degree of development does not have to be delivered by professional services staff and will be obtained through a wide range of interventions, including attendance at conferences, coaching and mentoring from experts outside the University, work-based opportunities such as project management, academic leadership roles and serving on committees and boards. Thus, a more holistic analysis needs to take place to assess the University's commitment to investing and developing its staff.

### **Absence and Turnover**

14. The report indicates a lower level of sickness and number of working days lost at Edinburgh at 4.03 days for all employees than the sector average 5.8 days. The data shows that at Edinburgh approximately 6.42 days working days lost per employee which compares favourably with the sector average of 8.3 days working days lost per employee.

15. The data on the length of absence periods, reveals that the length of absence for both managerial and operations staff at Edinburgh has risen since last year from: 4.8 days to 5.43 days and 4.8 days to 5.03 days respectively. These statistics still compare favourably with an HE average of 5.6 days for managerial and professional staff, but demonstrates a higher length of absence for operations staff than the sector average of 4.6 days. The area of sickness continues to be monitored closely across the University and the development of a new Absence Policy and associated management development will enhance the approaches adopted to manage absence effectively across the piece.

16. Staff turnover for academic staff has increased marginally from 5.4 % in 2008/2009 to 5.75% in 2009/2010. Conversely, turnover amongst professional services and operations staff has fallen, which is consistent with employment trends across the country. To this extent, the issue of sound processes for identifying and meeting the development needs of the workforce and assuring ourselves that such investment is having a positive impact on the performance of staff and the success of business areas will continue to be critical when finances are tight and competition is increasingly tough.

### **Paper C: Review of Corporate HR – Summary Paper**

17. Ms Gupta introduced a summary paper setting out the case for change of the Corporate HR (CHR) structure; the principles informing the new structure; and future considerations for the HR function. A detailed discussion followed and strongly endorsed the fundamental changes proposed to ensure that the University's human resource function is structured, staffed and resourced to fulfil its strategic goals.

### **Paper D: EPSRC Policy**

18. Professor McMahon presented this paper, in which she advised the Committee about the new policy implemented by the EPSRC from 1 April 2010, based on a definition of 'repeatedly unsuccessful' applicants for funding and set out the implications of this change in policy for the University. Professor McMahon explained that the Research Policy Group wanted Staff Committee to be informed of the changes as the other Research Councils were likely to adopt a similar 'demand management' model.

19. In the discussion that followed, Members suggested various strategies for embedding good practice across Schools and Colleges in response to and in anticipation of new policy developments at research councils and other funding bodies. An emphasis was placed on the need to ensure that any approach was sensitive to equality and diversity issues and it was felt that the University could draw positively on the Code of Practice it had developed for RAE 2008. It was agreed that the Director of HR would take this matter forward in her regular meetings with Heads of College and Heads of HR to inform future strategies and actions.

### **Update on Commissioners' Ordinance and Related Policies**

20. Ms Fraser provided the Committee with an oral report of progress on the development of a range of revised policies that the University was developing in partnership with its recognised Trade Unions under the new Ordinance that had recently been approved by the Privy Council and Court. It was agreed to continue to keep the Committee informed of any relevant developments as this work proceeded.

### **Proposal to Develop an HR Strategy**

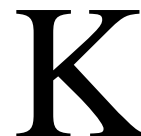
21. Ms Gupta proposed that it would be helpful to develop an HR Strategy to support the University's overall Strategic Plan and to help inform the allocation of resources. She welcomed the Committee's advice. Members strongly endorsed the proposal and Ms Gupta was tasked to develop a strategy that not only covered the period of the current Strategic Plan, but also looked beyond it.

## **Section B**

### **Any Other Business**

22. Professor Brown raised the issue about the impact of the Government's change in policy on the number of Certificates of Sponsorship (CoS) that had now been issued to institutions and the risk that the University did not have enough to cover new appointments as well as extensions of contracts.

NB. Since the meeting of Staff Committee a new framework was introduced by the University providing guidance on the considerations that Colleges and Support Groups needed to take into account when issuing CoS. However, the Government have changed the rules again in the last few weeks the University is now able to extend CoS without having to use a new one. This is very helpful.



The University of Edinburgh

Central Management Group

26 January 2011

**Quarterly Health and Safety Report: (October – December 2010)**

Brief description of the paper

This Paper presents information on accident/ incident statistics which have occurred during the quarterly period **October to December 2010**.

7 incidents which were Reportable to the Enforcing Authorities are summarised: 2 Specified Major Injuries, 2 injuries which led to more than 3 days absence from work and 1 incident which resulted in a member of the public attending hospital as a direct result. In addition 1 Occupational Disease and 1 Dangerous Occurrence were reported.

Developments and issues covered in the Report include: (1) Cryptosporidium at the Veterinary School (2) IOSH Managing Safely course provision (3) University Occupational Physician post (4) Review of fire safety provision (5) ECA and HGU proposed mergers (6) Adverse weather (7) Scottish Funding Council's CHASTE Project .

Action requested

CMG is requested to note the content of this statistical report, including the more detailed accident etc. information in the Appendix.

Resource implications

Does the paper have resource implications? No

Risk Assessment

Not relevant.

Equality and Diversity

No particular equality and diversity implications attach to the above.

Any other relevant information

None

Originator of the paper

Alastair G. Reid, Director of Health and Safety, 18 January 2010

Freedom of information

Can this paper be included in open business? Yes

# Health and Safety Quarterly Report 2010/2011

Quarterly reporting period: 1<sup>st</sup> October 2010 – 31<sup>st</sup> December 2010

## Accidents and Incidents

Type of Accident/Incident	Qtr 1 Oct '10 – 31 Dec '10	Qtr 1 Oct '09 – 31 Dec '09	Year to Date 1 Oct '10 – 31 Dec '10	Year to Date 1 Oct '09 – 31 Dec '09
Fatality	0	0	0	0
Specified Major Injury	2	1	2	1
> 3 day Absence	2	1	2	1
Public to Hospital	1	4	1	4
Reportable Dangerous Occurrences	1	0	1	0
Diseases	1	0	1	0
<b>Total Reportable Accidents / Incidents</b>	<b>7</b>	<b>6</b>	<b>7</b>	<b>6</b>
<b>Total Non-Reportable Accidents / Incidents</b>	<b>112</b>	<b>75</b>	<b>112</b>	<b>75</b>
<b>Total Accidents / Incidents</b>	<b>119</b>	<b>81</b>	<b>119</b>	<b>81</b>

*Further information by College/Support Group is shown in Appendix One*

*The incidents reported to the Enforcing Authorities during the quarter comprise:*

- Boiler silencer fan casing ripped, causing a fire involving insulation cables. No injuries resulted. Boiler maintenance company had been in attendance due to operating problems with the boiler. A full investigation is still ongoing. (*Dangerous Occurrence*)
- Research Technician assisted Vet., who was taking research blood samples from cattle and sheep over a number of days (late October to mid November) at two University farms, wearing appropriate protective clothing. Technician was subsequently unwell, and GP diagnosed cryptosporidiosis and admitted her to hospital for treatment. IP's condition was complicated by a pre-existing medical condition; she was discharged from hospital. (*Occupational Disease*)
- Visiting spectator at a football match sustained facial cuts when hit in face by a corner flag, which had been struck by a player who had missed the ball. IP attended hospital for treatment. (*Public to Hospital*).
- Employee slipped and fell on suspected black ice in the car park sustaining a fracture to right wrist. Attended hospital for treatment. (*SMI*)
- Employee slipped and fell on ice outside the Main Library sustaining a fracture to right wrist. Attended hospital for treatment. (*SMI*)
- Employee slipped and fell on the steps at the rear entrance of the David Hume Tower, injuring leg, arm and shoulder. Attended hospital as precaution. (*>3 Day Injury*)
- Employee fell from ladder when clearing snow from the top of sheets on a silage pit during icy conditions sustaining sprain injuries to right ankle. Alternative procedures for access were known to employee and refresher information has been provided. (*>3 Day Injury*)

## **Issues and Developments**

### **Cryptosporidium Infections**

Since the autumn, the Veterinary School has experienced a small number of cryptosporidiosis infections amongst undergraduate students, and one research technician (item 2 above) This infection, the symptoms of which are normally mild, but can be more serious in certain individuals, arises from handling cattle and sheep, and stringent hygiene protocols are in place for these activities.

Despite the development of ever tighter hygiene measures by Veterinary staff, particularly those in charge of undergraduate calf handling practical sessions, following a similar “outbreak” in 2007, a small number of cases has again arisen.

The Health and Safety Department are working closely with Lothian Health’s Public Health Team to identify the reasons for such infections continuing to arise, despite the strict implementation of measures previously agreed with Public Health.

Discussions have also taken place with another UK University which has experienced similar issues.

### **IOSH Managing Safely**

The University has been licensed to teach IOSH (Institution of Occupational Safety and Health) Managing Safely, the first level of UK professional qualification in occupational safety and health. The course is run jointly between the Health and Safety and Estates and Buildings Departments, and replaces the requirement to buy in such courses from external providers.

The first in-house course has been held successfully, and IOSH assessors were pleased with the quality and conduct of the course. Discussions have been opened with IOSH on the University designing and providing tailored courses for the HE environment, under a joint UoE/IOSH banner.

### **University Occupational Physician Post**

The University’s Occupational Health Physician is currently on a period of sickness absence, as he undergoes rehabilitation following orthopaedic surgery. Temporary cover has been arranged on a contract basis, with an experienced occupational health physician providing the normal one half day session per week at the Occupational Health Unit (OHU).

The current arrangement can be extended if required, and the service provided by the OHU remains virtually unaffected.

### **Review of Fire Safety Provision**

An external review of the operation of the Fire Safety Unit of the Health and Safety Department is underway, bearing in mind that the current University Fire Safety Adviser retires at the end of July 2011. This review looks to the longer term effectiveness and efficiency of fire safety provision within the University, with a view to ensuring that we employ the best operating model, whilst managing staff retirements over the next few years, to ensure that we provide a modern and effective service.

## **Issues and Developments (Cont.)**

### **ECA and HGU Mergers**

The due diligence process with regard to both proposed mergers is progressing, with Aon partnership audits of both sites arranged. Staffing issues in the area of occupational safety and health at both ECA and HGU are under active consideration, and suitable models have been proposed, which can be implemented in the event that both processes go ahead.

### **Adverse weather**

The adverse weather conditions towards the end of 2010 presented a range of challenges, though our overall numbers of slips, trips and falls accident experience over the period does not appear to have been significantly elevated. However, two such accidents led to broken bones (items 4 and 5 above).

Significant issues arose when temperatures began to thaw, as ice falling from buildings presented a real hazard – Health and Safety and Estates and Building worked closely together to manage these issues.

The experience of planning for reduced staffing levels during the flu pandemic assisted with operating under strained conditions, for periods in which substantial numbers of staff found it difficult or impossible to come in to work due to weather conditions.

### **CHASTE Project**

Operational planning was confirmed for the final four months of the Scottish Funding Council's Co-ordinating Health and Safety in Tertiary Education (CHASTE) Project, led by the University. This includes the final series of support visits to Universities and Colleges, two seminars for both Universities and Colleges, and the formulation of a final report for the Funding Council, as well as the phased handover of a number of sub-projects, which will form legacies after CHASTE concludes on 30<sup>th</sup> April.

Alastair Reid  
Director of Health and Safety  
19<sup>th</sup> January 2011

## Accidents & Incidents

Quarterly period: 01/10/2010 – 31/12/2010

Year to Date Period: 01/10/2010 – 31/12/2010

(First Quarter)

COLLEGE / GROUP	REPORTABLE (TO HSE) ACCIDENTS / INCIDENTS														TOTAL Non-Reportable Accidents / Incidents		TOTAL ACCIDENTS / INCIDENTS	
	Fatality		Specified Major Injury		>3 day absence		Public to Hospital		Dangerous Occurrences		Diseases		TOTAL Reportable Acc / Inc		Qtr	Ytd	Qtr	Ytd
	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd				
Humanities & Social Science	-	-	-	-	-	-	-	-	-	-	-	-	-	-	7	7	7	7
Science & Engineering	-	-	1	1	-	-	-	-	-	-	-	-	1	1	30	30	31	31
Medicine & Veterinary Med.	-	-	-	-	1	1	-	-	-	-	1	1	2	2	33	33	35	35
SASG	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2	2	2	2
Corporate Services Group	-	-	-	-	1	1	1	1	1	1	-	-	3	3	34	34	37	37
ISG	-	-	1	1	-	-	-	-	-	-	-	-	1	1	6	6	7	7
Other Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	0	0	0	0
<b>UNIVERSITY</b>	<b>-</b>	<b>-</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>7</b>	<b>7</b>	<b>112</b>	<b>112</b>	<b>119</b>	<b>119</b>

\* Units noted below taken from organisational hierarchy report 09/10 - [http://www.planning.ed.ac.uk/edin/orghier/versions/Version12\\_0.xls](http://www.planning.ed.ac.uk/edin/orghier/versions/Version12_0.xls)

SASG: Student and Academic Services Group: Academic Services, Records Management, Biological Services, Careers Service, Chaplaincy, Communications and Marketing, Development and Alumni, Disability Office, EUCLID, General Council, Governance and Strategic Planning, International Office, Pharmacy, Principal's Office, Registry, SASG Business Unit, Student Counselling Service, Student Recruitment and Admissions, University Health Service.

ISG: Information Services Group: Applications, EDINA and Data Library, DCC, Information Services Corporate, Library and Collections, Infrastructure, User Services Division.

CSG: Corporate Services Group: Accommodation Services (incl Festivals Office), Centre for Sport & Exercise, Day Nursery, Edinburgh Research & Innovation (ERI), Edinburgh Technopole, Edinburgh University Press, Estates and Buildings, Finance, Health and Safety, Human Resources, Internal Audit, Joint Consultative and Advisory Committee on Purchasing, Procurement Office (inc Printing Services).

Other: Students Association, Sports Union, Talbot Rice Gallery, Associated Institutions.



The University of Edinburgh

Central Management Group

26 January 2011

**Internal Audit Report**

Brief description of the paper

Senior management is responsible for governance and internal control. The attached report covers the work done by Internal Audit between January and December 2010. It is provided as part of the overall monitoring framework to help management assess the University's control environment and it highlights the significant pan-university issues arising.

Action requested

Members are asked to note and, if so minded, to discuss the contents of the report.

Resource implications

None directly, but there may be resource implications arising depending upon actions agreed.

Risk assessment

Specific residual risks identified during the period are highlighted in the report.

Equality and diversity

Not applicable

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice a programme of research.

Any other relevant information

Not applicable

Originator of the paper

Hamish McKay,  
Chief Internal Auditor  
17 January 2011





The University of Edinburgh

Central Management Group

26 January 2011

**The Distance Education Initiative: Update January 2011**

Brief description of the paper

The Distance Education Initiative (DEI) has now moved into the second phase of its activity, having established a governance and management structure, carried out awareness-raising and some background research.

The first Call for Proposals has been sent to all Heads of School, cc'ed to Heads of Colleges and Support Groups. We have a fast-track closing date of 24 January 2011 for immediate starts, and a standard closing date of 26 April for 1 August starts. I expect 2 or 3 fast-track proposals. A new Call will be issued in each of the next four years.

The Call documents and details of the College and Support Group representatives on the DEI Steering Group can be found on the DEI wiki (UoE staff EASE password):  
<https://www.wiki.ed.ac.uk/display/DistanceEducationInitiative/DEI>

Action requested

CMG is invited to note this report, and advise on the preferred frequency of reporting.

Resource implications

Does the paper have resource implications? No – accounted for by funding stream over 5 years approved by Finance & General Purposes Committee, September 2010.

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Does the paper have equality and diversity implications? The Distance Education Initiative is directed towards expanding access to education offered by the University.

Freedom of information

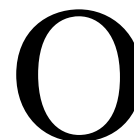
Can this paper be included in open business? Yes

Originator of the paper

Vice-Principal Professor Jeff Haywood

To be presented by

Vice-Principal Professor Jeff Haywood



The University of Edinburgh

Central Management Group

26 January 2011

**Procurement Capability Assessment 2009-10**

Brief description of the paper

This paper is to inform CMG that the University has been re-assessed by APUC Ltd against the Scottish Government Procurement Capability Assessment (PCA) and has improved on 2008-09.

Appendices show the PCA Outcome, Key Developments and Key Best Practice Indicators.

Action Requested

CMG is invited to:

- note the achievements during 2009-10
- note 'superior' procurement capability remains our aim to deliver our Strategic Plan

Resource implications

Does the paper have resource implications? Staffing information in Appendix Two

Risk assessment

Does the paper include a risk analysis? No, Risk Management Report (to RMC) covers this

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of Information

Can this paper be included in open business? Yes

Any other relevant information

Scottish Funding Council's APUC Ltd, advanced procurement for Scotland's universities and colleges, part of the Public Procurement Reform Programme, established after the McClelland Report *Review of Public Procurement in Scotland*, independently assesses its member bodies and will be submitting PCA reports to the Scottish Government Public Procurement Reform Board of which Cabinet Minister, John Swinney MSP is Chair. Sector data (collaborative efficiencies) and comparators with other bodies in terms of PCA achievements are not yet available.

Originator of the paper

Karen Bowman, Director of Procurement  
19 Jan 2010

## University of Edinburgh Procurement Capability 2009-10

*Procurement is 'the acquisition, whether under formal contract or otherwise, of goods, services and works from third parties'* Scottish Procurement Policy Handbook

The annual Procurement Risk Management Report provided assurances on risk management for Risk Committee and Court. This independently assessed annual Procurement Capability Assessment demonstrates this institution's capability against key criteria that are applied to all publicly funded bodies in Scotland, and outcomes reported to the Public Procurement Reform Board.

We have added impact from achieving the Sustainable Procurement Action Plan during 2009-10 and continue to deliver 'superior' capability in the areas assessed, namely

- Governance
- Organisational
- Resources and Skills
- Practices and Processes
- Information Systems
- Collaboration
- Corporate and Social
- Responsibilities
- Reporting and KPI
- Benchmarking
- EU Legislation
- Supplier Strategy and Policy
- Overall Value of Results

We will be focusing on improving the development areas in collaboration with APUC and others - mainly relating to supplier and customer feedback activity.

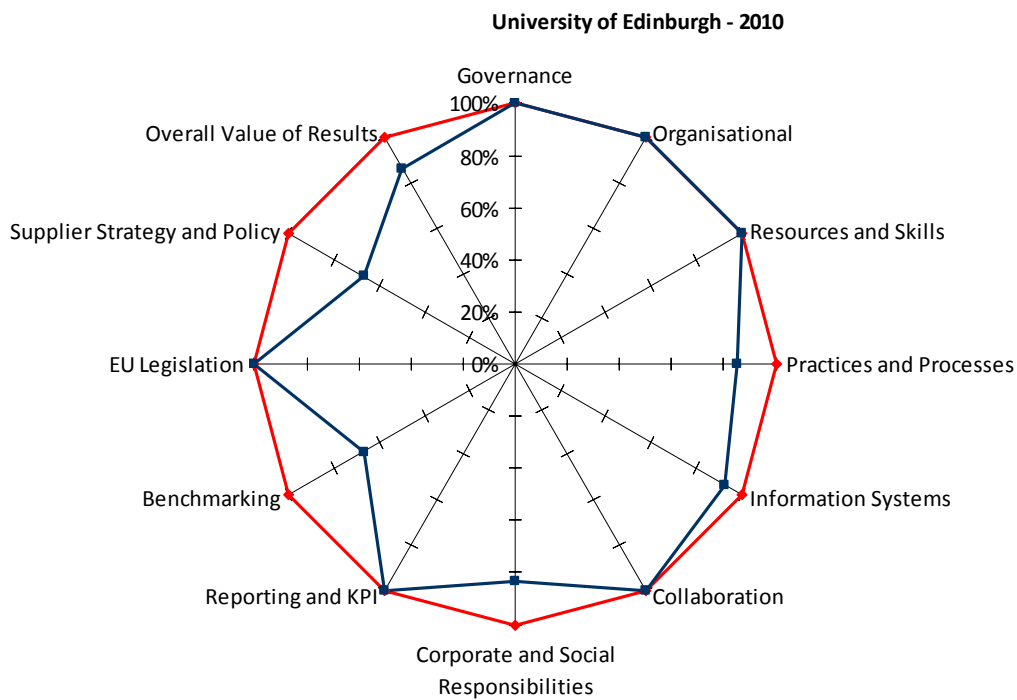
**Quality people, services, infrastructure are our Strategic Plan aims.  
'Superior' procurement capability achievements help to deliver this.  
We improved on assessment from last year: overall score is now 88%.**

- Appendix One shows the Procurement Capability Summary,
- Appendix Two lists the key developments in 2009-10,
- Appendix Three the key Best Practice Indicators.

**CMG are asked to NOTE** that the University is in a position to assure any current or potential funders and our many global collaborators that we have a superior procurement capability; £8m efficiencies, around 84% spend under professional procurement influence, eProcurement and skills in development.

Karen Bowman, Director of Procurement,

19 January 2010



Procurement Capability Attributes	Score	Max	Min	Value
Governance	28	28	7	100%
Organisational	24	24	6	100%
Resources and Skills	16	16	4	100%
Practices and Processes	64	72	18	85%
Information Systems	15	16	4	92%
Collaboration	12	12	3	100%
Corporate and Social Responsibilities	14	16	4	83%
Reporting and KPI	8	8	2	100%
Benchmarking	3	4	1	67%
EU Legislation	4	4	1	100%
Supplier Strategy and Policy	24	32	8	67%
Overall Value of Results	25	28	7	86%
<b>Overall</b>	<b>237</b>	<b>260</b>	<b>65</b>	<b>88%</b>

- Procurement policies and procedures as agreed by Court
- Updated Delegated Authorisation Schedule as agreed by Court
- **Efficiencies £7.8m (excluding any contribution from collaboration)**
- Online procurement manual for all major procurements (**84% of spend**)
- Consultation on procurement strategies, grouped by commodity areas
- Roll-out of e-procurement processes with inbuilt controls for buying (**£7m**)
- Delivery of procurement training and professional staff skills (**150 people**)
- Procurement Capability Assessment improved '**Superior**' (**score of 88%**)

#### Minor indicators

- Review and update on legal responsibilities to leadership teams
- Outputs from IS procurement review - information & recommendations
- LEAN projects and eProcurement plan for Estates process changes
- Influence eProcurement systems strategies with Scottish Government
- Review of printing [multi-function] services and improve support to users
- Developing a laboratory procurement strategy co-led by Roslin Institute
- Collaboration with APUC and others on shared contracting (10% spend)
- Influencing developments in Scottish public sector and UK Higher Education on strategy, capability & competency, efficiency measurement.

#### Achievements

- **Retained Fairtrade University accreditation (for 6<sup>th</sup> year running)**
- **Progressed Scottish Sustainable Procurement Action Plan (level 3)**
- Shortlisted : *Times Higher Education* and *GOScotland* Excellence Awards
- Internal Audit reviews University procurement activities - satisfactory
- Shared procurement service to Queen Margaret University continuing
- Procurement support also to Edinburgh College of Art, Borders Council
- Leadership Performance & Development (investors in people) ongoing
- Procurement for capital equipping programmes (CMVM major projects)

#### Staffing

Three staff accepted early retirement/voluntary severance bringing total reduction in resources of 18% over the last two years through this route.

Resource sharing - secondments with Procurement Scotland and APUC Ltd

- professional services to the QMU and Borders Council
- laboratory procurement shared post with Roslin Institute
- collaborative procurement (major equipping) with UHI

K Bowman, Director of Procurement, 19 January 2011

**Appendix Three****Key Best Practice Indicators**

The following table shows the main key performance indicators against the Scottish Government's published Procurement Best Practice Indicators

Extract from Best Practice Indicators 2009-10

<b>BPI</b>	<b>Topic</b>	<b>2008-09</b>	<b>2009-10</b>
1	Efficiency (cash) (non-cash)	£9.05m £1.89m	<b>£6.6m</b> <b>£1.2m</b> <b>* NB</b>
4	Collaboration	11.1%	<b>10.9%</b>
5	Compliance	78.69%	<b>83.55%</b>
6	e-Procurement Sourcing by advert	42 (100%)	<b>63</b> <b>100%</b>
9	eProcurement PECOS & SciQuest (orders or £value)	56,165 £3.41m	<b>41,772</b> <b>£7.41m</b>

\* contribution from APUC or other collaborative contracts **not yet known**

The University of Edinburgh

Central Management Group

26 January 2011

## **EU Procurement Directives**

### Brief description of the paper

This paper is to inform CMG that the University has been given the opportunity to comment on the Scottish Procurement Directorate and Cabinet Office response to the European Union on procurement law.

The EU is reviewing the Law (but not the Remedies or Standstill provisions) and UK and Scottish Governments are inviting comment. EU procurement obligation is a topic on which colleagues have expressed strong views over the last ten years particularly regarding difficulties in applying the public procurement law in the University's rapidly moving and innovative research context. The full consultation document can be viewed at the following URL:

<http://www.scotland.gov.uk/Resource/Doc/116601/0110142.pdf>.

### Action Requested

This paper is a proposed response to the Scottish Government from the University: the response requires to be submitted by 28 January 2011.

CMG is invited to:

- note the publication of SPPN14/2010 Directives – request for feedback
- comment on and approve the University's proposed response to the Scottish Government

### Resource implications

Does the paper have resource implications? No

### Risk assessment

Does the paper include a risk analysis? No, risks lie in non-compliance with current law

### Equality and diversity

Does the paper have equality and diversity implications? No

### Freedom of Information

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

Any other relevant information

The Scottish Funding Council's APUC Ltd, advanced procurement for Scotland's universities and colleges, part of the Public Procurement Reform Programme, established after the McClelland Report *Review of Public Procurement in Scotland*, will be submitting any sector response. The Director of Corporate Services is Chair of the Board of APUC Ltd, and sits on the Public Procurement Reform Board which will approve Scotland's response: Cabinet Minister, John Swinney MSP is Chair of the Public Procurement Reform Board.

Originator of the paper

*Karen Bowman, Director of Procurement 17 Jan 2010*





The University of Edinburgh

Central Management Group

26 January 2011

## **Protection of Vulnerable Groups**

### Brief description of the paper

The paper sets out the change in legislation brought in by the Protection of Vulnerable Groups (Scotland) Act 2007. This changes the definition and process for performing criminal record checks on staff whose work brings them into contact with vulnerable groups (previously 'Enhanced Disclosure checks'). It replaces these with a Protection of Vulnerable Groups (PVG) Scheme which requires membership for certain types of work.

The launch of the new legislation in Scotland is expected to be 28 February 2011 following a postponement from November 2010. The paper sets out the University's approach to the new legislation and action that needs to be carried out both for the initial implementation and for the longer term future.

### Action requested

The CMG is asked to note the impact of the new legislation and to further note and approve the approach being taken to implement this for the University of Edinburgh.

### Resource implications

Does the paper have resource implications? Yes – in a positive sense. Given that the legislation will vastly reduce the number of posts in the University that need to become PVG Scheme members, there will be a saving in both time (to process applications) and costs (far fewer Scheme members). When the PVG Scheme goes live on-line, as is proposed for the future, there will be further time savings.

### Risk assessment

Does the paper include a risk analysis? Not in itself. A PVG policy has been developed that covers all of the requirements that must be carried out to comply fully with the legislation. Further guidance and communication have been developed to ensure staff (in particular recruiters) are made aware of the proposed changes and their responsibilities in the new policy and practice.

### Equality and diversity

Does the paper have equality and diversity implications? Not in itself. However, it will be important that the policy and practice is adhered to ensure that there is no unfair discrimination and that we meet our legal obligation not to discriminate unlawfully against those with spent criminal convictions. This is the same requirement that exists in all our policies to ensure they comply fully with equality and diversity principles. The policy will undergo a full equality impact assessment prior to launch.

### Freedom of information

Can this paper be included in open business? Yes

Any other relevant information

The paper will be presented by Melanie Macpherson

Originator of the paper

Melanie Macpherson - Corporate Human Resources - January 2011

# Protecting Vulnerable Groups Scheme

## 1. INTRODUCTION

New legislation brought in by the Protection of Vulnerable Groups (Scotland) Act 2007 is due to come into force in Scotland. This replaces the Protection of Children (Scotland) Act 2003 and with it the definition and process for performing criminal record checks on staff and students whose work brings them into contact with vulnerable groups (previously 'Enhanced Disclosure checks'). It replaces these with a Protection of Vulnerable Groups (PVG) Scheme which requires membership for certain types of work. Disclosure Scotland is the governing body responsible for all matters relating to the legislation and has been given enhanced regulatory powers.

The launch of the new legislation in Scotland is expected to be 28 February 2011 following a postponement from November 2010. The paper sets out the University's approach to the new legislation and action that needs to be carried out both for the initial implementation and for the longer term future.

## 2. AIMS AND SCOPE OF THE LEGISLATION

The general provision of the PVG Act (Scotland) 2007 applies to Higher Education Institutions (HEI's) in Scotland in the same way as it applies to any other organisation in Scotland. However, the definition of the PVG Scheme expects only a very small minority of HE staff to be doing regulated work and these are likely to be in quite specific positions.

### Aims

The aims of the Scheme are defined as follows:

- To help to ensure that those who have regular contact with children and protected adults, through paid and unpaid work, do not have a known history of harmful behaviour;
- To be quick and easy to use, reducing the need for PVG Scheme members to complete a detailed application form every time a disclosure check is required;
- To strike a balance between proportionate protection and robust regulation and make it easier for employers to determine who should be checked to protect their client group.

It will be an offence for employers to employ individuals who are barred from doing related work with children or protected adults. It will also be an offence to carry out checks on individuals that cannot be justified.

Scheme membership is portable for the individual and membership is essentially for life. The nature of the Scheme is such that records remain 'live' and any new and related information can be flagged up to employers for consideration at any time. This is a significant enhancement on the current system which is static.

### Scope and Definitions

The key terms used in the PVG Act are 'children', 'protected adults' and 'regulated work'.

## **Children**

Children for the purposes of the Act are all people under the age of 18.

## **Protected adults**

Protected adults for the purposes of the Act are individuals aged 16 or over who are provided with a type of care, support or welfare service. This definition of protected adult supersedes the definition of “adult at risk” previously used for the purposes of eligibility for enhanced disclosure. To be classified as an adult at risk, an individual had to meet three criteria: having a condition, in consequence of which they were deemed to have a disability and thus received a care service.

Section 94 of the new Act replaces these three criteria with a test linked to the type of services being received by the individual. Protected adult is therefore a service based definition which avoids labeling adults on the basis of their having a specific condition or disability.

## **Regulated work**

It is important to note that only a small minority of staff who come into contact with children or protected adults through their work are doing regulated work with children or adults. In order for HE staff to fall within the definition, they must be specifically employed for the majority of their time in caring for, supervising and advising children and/or protected adults. This provision will not apply to those staff who are specifically employed to carry out these tasks for all students, the majority of whom will be over 18 and will not be protected adults.

## **Exceptions to regulated work – Incidental Activity**

The Disclosure Scotland guidance narrows the scope of regulated work by an ‘incidental test’. Some, but not all, activities with children and protected adults are excluded from being regulated work if the activity is occurring incidentally to working with individuals who are not children or protected adults. In the example of a Lecturer who teaches undergraduate and postgraduate students, University classes are aimed at the population as a whole but may include some children in first year undergraduate classes. Despite the fact that some children attend classes, teaching them is incidental to the teaching of adults and therefore Lecturers are not considered to be doing regulated work with children.

Broadly speaking, a protected adult will be in receipt of treatment for a physical or mental condition. Regulated work involves supervising, caring for, assisting and/or being in sole charge of a protected adult and, as with children, this work must be the main focus of the job and not incidental to carrying out these tasks for all students.

Very few staff working for HE institutions will be providing a service which makes an adult a protected adult. One example of an employee who may be providing such a service would be a Disability Adviser with a specific remit to provide support, assistance, advice or counseling to individuals with particular needs.

### 3. IMPACT ON THE UNIVERSITY OF EDINBURGH

#### Who will it affect?

With effect from February 2011, Universities will no longer be required to undertake disclosure checks for the majority of research and teaching posts.

The table below provides a **preliminary** overview of those posts which may fall within the scope of the PVG Scheme in UoE.

Post	Type of Check
Chaplaincy staff	PVG – Protected adults
Counsellors	PVG – Protected adults
Disability Advisers	PVG – Protected adults
Occupational Health staff	PVG – Protected adults
Nursery Staff	PVG - Children
Wardens	PVG – Children ( <i>if managing halls of residence for first year students</i> )
Centre for Sport and Exercise (Firbush)	PVG - Children
Centre for Sport and Exercise (FASIC)	PVG - Children and Protected Adults
Clinical Teaching & Research staff	PVG – Protected adults and children
Clinical Medical staff	PVG – Protected adults and children
Teaching and research staff who are required to work in schools or FE	PVG – Protected children
Students undertaking course work which involves children or protected adults	PVG – Protected adults and children

All new staff in the posts covered would be required to be members of the PVG Scheme and all existing staff in these posts must join the relevant PVG Scheme(s) over the next few years.

#### When will it go live?

The PVG Scheme will go live on the 28 February 2011. After go-live, it is expected to take four years to phase in the PVG Scheme.

During the first year after go-live, the PVG Scheme will only be available to those who are joining the vulnerable groups' workforce for the first time, moving posts or whose circumstances have changed. Applications to join the Scheme will continue to be made and responded to on paper.

In the second year after go-live, the new secure, electronic PVG Scheme system will become available which will mean that employers will be able to interact with the scheme online.

Shortly after the electronic system goes live it is expected that existing relevant staff will begin to join the PVG Scheme. This is expected to take three years and will be phased in to minimise the administrative burden on employers and Disclosure Scotland.

## Students

It should be noted that this scheme will apply to those students undertaking relevant degree programmes within the Colleges of Humanities and Social Sciences and Medicine and Veterinary Medicine where there is a requirement to undergo disclosure as a condition of entry onto the degree programme.

## Costs

Overall costs to the University are anticipated to be substantially lower due to the very small number of staff who will require PVG Scheme membership and the fact that membership is portable and the future will bring many candidates who already have scheme membership from previous employment.

Each organisation will require to pay a registration fee in order to become a *Registered Body* through the scheme.

Initial membership for a "Scheme Record" for each individual joining the PVG scheme will be £59 – this replaces the enhanced disclosure certificate.

For individuals who are already scheme members, a "Scheme Record Update" at £18 will be available which will contain information about scheme membership and will indicate whether there have been any changes to the information on the Scheme Record since it was last disclosed.

Costs will initially be met for staff by the University although we have reserved the right to review this in the future.

## 4. IMPLEMENTATION PLANS

A working group, lead by Corporate HR, has been established to consider, co-ordinate, communicate and support the implementation of all necessary actions required pre and post launch of the PVG Scheme in 2011 as well as for the longer term implementation required. It will work closely with all relevant parties to ensure that the University meets all its obligations with regard to this new legislation.

**NHS considerations.** Discussions will require to take place with the NHS to establish where responsibility lies so far as Scheme Membership is concerned. The view of Disclosure Scotland is that primary responsibility may lie with the NHS given the clinical dimension to roles. In the event that the NHS assume responsibility, then the University would be permitted to request a copy of each individual's Scheme Membership Statement and, if deemed necessary, could request a "Scheme Record Update" which will indicate whether there have been any changes to the information on the Scheme Record since it was last disclosed.

**Recruitment processes.** The appointment process has been reviewed and some changes will need to be implemented (minor changes to recruitment documentation and guidance at appointment stage).

**Plan for retrospective checking of existing staff.** A project plan will be developed to both prioritise and manage the retrospective checking process for existing staff and enter into a Service Level Agreement with Disclosure Scotland regarding the

number of applications which will be processed each month during the three year phase-in period from February 2012.

**Development of a Communications Strategy** to advise existing staff (and relevant students) of the impact of the legislation, along with guidance on how to apply for Scheme Membership, highlighting the requirement for the University to undertake identity checks in respect of each relevant member of staff required to join the scheme.

**Development of PVG policy** detailing how the University will manage and potentially sensitive information which emerges during the period of retrospective checks. This has been through a consultation process with key stakeholders and unions and is now in its final stages. It covers all of our legal obligations as well as providing a guidance framework.

**Potential longer-term considerations relating to IT** as it is anticipated that from 2011 onwards, the application and checking process and a new e-payment facility will be available through a web-based, on line system.

**Governance implications** with respect to overall 'ownership' of PVG registration and membership, streamlining the number of registered bodies within the University and reviewing the current list of Counter signatories in light of the introduction the new Scheme, the posts which will apply and the costs associated with initial Scheme Registration.

## **5. CONCLUSION**

The new legislation should bring some very real benefits to the University in terms of efficiencies and costs and has provided a great opportunity to look at all aspects of policy and practice in this area with the aim of further streamlining and modernisation. It will bring clarity to an area that has, at times, proved to be administratively burdensome.

## **6. ACTION REQUIRED BY CMG**

The CMG is asked to note the impact of the new legislation and to further note and approve the approach being taken to implement this for the University of Edinburgh.

Melanie Macpherson  
Corporate Human Resources  
5 January 2010



The University of Edinburgh

Central Management Group

26 January 2011

**Research Funding Support and Strategy at the University of Edinburgh**

Brief description of the paper

This paper by the Research Policy Group reviews the current position on the University's income from research grants and contracts, provides some comparative data, and outlines coming challenges and our developing responses to these.

The paper presents an overview of the developing situation which might form the basis for discussions in Colleges and Schools.

Action requested

For information / comment.

Resource implications

Does the paper have resource implications? Yes. The paper discusses research funding support and strategy at the University.

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

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

The paper should be withheld until the results of the REF2014 submission are published (expected December 2014).

Any other relevant information

To be presented by Professor April McMahon, VP Planning, Resources and Research Policy.

Originator of the paper

Research Policy Group