**Agenda for a meeting of the Central Management Group
to be held at 10.30 am on Tuesday, 11 October 2011
in the McEwan Hall Reception Room**

1	**Minute of the meeting held on 24 August 2011**	**A**
2	**Matters Arising**	
3	**Principal's Business**	
3.1	Principal's Communications	
3.2	Principal's Strategy Group	**B**

FOR DISCUSSION

4	**Financial Update (closed)**	**C**
5	**Risk Management Annual Report**	**D**
6	**Anti-Bribery and Corruption Policy**	**E**
7	**Equality & Diversity Strategy & Action Plan**	**F**
8	**Performance & Development Review**	**G**
9	**Approach to implementation of new Fee Regulations (closed)**	**H**
10	**Report from Estates Committee (closed)**	**I**
11	**2010/2011 Value for Money Report**	**J**
12	**Queen's Diamond Jubilee (closed)**	**K**

FOR INFORMATION/FORMAL APPROVAL

13	**Security Advisory Group – Annual Report (closed)**	**L**
14	**Procurement Report 2010-2011**	**M**
15	**Report from Sustainability and Environmental Advisory Group (SEAG)**	**N**
16	**Energy Budget Incentive Scheme Proposal**	**O**
17	**Fees Strategy Group (closed)**	**P**
18	**New Travel Management Service Agreement**	**Q**
19	**Internal Audit Report**	**R**
20	**SVP Contingency Fund (closed)**	**S**
21	**Any Other Competent Business**	**T**
22	**Date of next meeting**	

Monday, 14 November 2011 at 2.00pm in the Raeburn Room, Old College

Central Management Group

Wednesday, 24 August 2011

MINUTE

Present: The Principal (in the chair)
                           Senior Vice-Principal Professor N Brown
                           Vice-Principal Professor M Bownes
                           Vice-Principal Professor J Haywood
                           Vice-Principal Professor S Hillier
                           Vice-Principal Professor D Hounsell
                           Vice-Principal Professor C Jeffery
                           Vice-Principal Professor D Miell
                           Vice-Principal Professor L Yellowlees
                           Professor J Seckl
                           Mr N A L Paul
                           Dr K Waldron

In attendance: Dr I Conn
                           Mr A Currie
                           Mr J Gorringe
                           Ms S Gupta
                           Mr D Waddell
                           Ms F Boyd
                           Dr K J Novosel

Apologies: Vice-Principal Professor R Kenway
                           Vice-Principal Professor L Waterhouse
                           Dr A R Cornish

1   MINUTE OF THE MEETING HELD ON 15 JUNE 2011   **Paper A**

The Minute of the meeting held on 15 June 2011 was approved as a correct record.

CMG welcomed Vice-Principal Professor Charlie Jeffery and Vice-Principal Professor Lesley Yellowlees to this their first meeting and noted that Senior Vice-Principal Professor Nigel Brown was now attending in the capacity of Vice-Principal with responsibility for Planning, Resources and Research Policy.

2   PRINCIPAL'S BUSINESS

2.1   Principal's Communications

The Principal reported on the following: recent meetings with the Scottish Cabinet Secretary for Education and Lifelong Learning; the Scottish Government's consultation on the draft Student Fees (Specification) (Scotland) Order 2011 and its call for evidence on the review of governance arrangements; NSS results; student intake numbers 2011/2012; ECA merger; Edinburgh Festivals and; James Tait Black award ceremony.

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

CMG noted the report.

FOR DISCUSSION

| 3 | **RUK FEES (CLOSED)** | **Paper C** |

It was noted that the Scottish Government was currently consulting on proposals to introduce secondary legislation on arrangements to enable Scottish Universities to set their own fees for students who usually live in England, Wales or Northern Ireland (RUK) from the academic year 2012/2013 onwards. CMG discussed a tabled draft paper which set out options in respect of issues around the setting of fees for RUK domiciled undergraduate students to be submitted to the next meeting of Court and suggested possible amendments and areas for further consideration. The proposals as set out in the paper and the proposed communications approach were unanimously endorsed by CMG.

| 4 | **ECA BUDGET (CLOSED)** | **Paper D** |

CMG approved the proposed adjustments to the 2011/2012 budget allocation to take account of additional anticipated income following the merger with the Edinburgh College of Art and distribution of this income to CHSS and Support Groups which had been discussed with ECA colleagues.

| 5 | **REPORT FROM STAFF COMMITTEE** | **Paper E** |

The issues discussed at the last meeting of the Staff Committee were noted. In particular CMG welcomed the arrangements in respect of the performance and development review and the proposals to support the progression of female academic staff and to look at wider diversity issues.

| 6 | **DELEGATED AUTHORISATION SCHEDULE (CLOSED)** | **Paper F** |

It was noted that the repeal of the Commissioners' Ordinance and discussion at the Audit Committee around a staff severance case required consideration of amendments to the approved Delegated Authorisation Schedule (DAS). The proposed amendments related to section 3, staff. It was noted that the levels of authority were in line with the rest of the DAS. CMG endorsed the proposals subject to inclusion in the note to the amended section that the Director of Human Resources should be consulted throughout the process and recommended approval to the Finance and General Purposes Committee and Court.

FOR INFORMATION/FORMAL APPROVAL

| 7 | **LATIN AMERICAN TOUR: VICE-PRINCIPAL INTERNATIONAL'S REPORT** | **Paper G** |

CMG noted the report and in particular welcomed the continuing work to identify the location of a potential new University office in Latin America.

8   **FEES STRATEGY GROUP (CLOSED)**   **Paper H**

The ECA undergraduate and postgraduate fees for 2012/2013, the University of Delhi staff scholarship scheme, the withdrawal policy for part time intermittent study programmes, tuition fees for 2011/2012 and 2012/2013 for a range of degrees and programmes in the three Colleges and the recommendations as set out in the three appendices were approved by CMG. CMG, while approving all the recommendations in respect of distance education initiatives, was in agreement that further consideration was required to be given to the other suggestions and also asked that the proposals for international students spending a year abroad be further considered.

9   **EXPENSES POLICY (CLOSED)**   **Paper I**

CMG endorsed the proposed Policy including the specific guidelines for senior staff.

10   **PROPOSAL TO CREATE A PERSONAL CHAIR IN THE COLLEGE**   **Paper J**
           OF HUMANITIES AND SOCIAL SCIENCE

CMG approved the proposal to establish a Personal Senior Research Chair of History.

11   **PROPOSAL TO ESTABLISH A CHAIR OF COMPUTER SECURITY**   **Paper K**
           IN THE SCHOOL OF INFORMATICS

CMG approved the proposal to establish a Chair of Computer Security.

12   **DATE OF NEXT MEETING**

Tuesday, 11 October 2011 at 10.30am in the Reception Room, McEwan Hall

The University of Edinburgh

Central Management Group

11 October 2011

Principal's Strategy Group Meeting
22 August 2011

Amongst the items discussed were:

1. NSS 2011 Results

The Group discussed the results and expressed concern particularly at the results for Assessment and Feedback. Vice Principal Hounsell and Senior Vice Principal Brown will lead on further discussions with the relevant Heads of Schools.

2. RUK Fees

The Group discussed and offered advice on the draft Court paper.

3. Expenses Policy

The Group gave their support to the revised policy.

Principal's Strategy Group Meeting
23 September 2011

Amongst the items discussed were:

1. Strategy for Intake Targets 2012-2013

The Group discussed the options and agreed the strategy.

The University of Edinburgh

Central Management Group

11 October 2011

Financial Update

Brief description of the paper

The paper summarises the latest actions being taken to maintain the University's financial stability and the external factors that are having a bearing on future funding and costs.

Action requested

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

Resource implications

Does the paper have resource implications? Yes

As detailed in paper.

Risk Assessment

Does the paper include a risk analysis? Yes

As detailed in paper.

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No

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

Originator of the paper

Jon Gorringe,
Director of Finance
5 October 2011
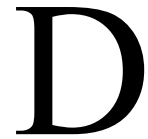
The University of Edinburgh

Central Management Group

11 October 2011

Risk Management Committee
Report for year ended 31 July 2011

Brief description of the paper

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2011, and its views on the exposure and management of risk in the University. Its purpose is to support the deliberations of the CMG, Finance & General Purposes Committee, Audit Committee and Court in respect of the reporting on Risk Management and Internal Control in the Annual Accounts.

Action requested

For consideration in respect of assurances to Court relating to the Annual Report and Accounts for the year ended 31 July 2011.

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? Yes

Equality and Diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

N A L Paul / H Stocks
29 September 2011

RISK MANAGEMENT COMMITTEE

REPORT FOR YEAR ENDED 31 JULY 2011

Prepared by	N.A.L. Paul	Convenor	Date: 26 September 2011
	H Stocks	Secretary	

Introduction

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2011, and its views on the exposure and management of risk in the University. Its purpose is to support the deliberations of Central Management Group, Finance & General Purposes Committee, Audit Committee and Court in respect of the reporting on Risk Management and Internal Control in the Annual Financial Statements.

Background

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

Governance, Risk Management and Internal Control Framework in the University

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

- Structure of Court and its committees; and Central Management Group (CMG) and its committees

- Regular reporting of the University's financial and operational performance to Finance and General Purposes Committee (F&GPC) and Court;

- Reports of key management meetings i.e. CMG and the Principal's Strategy Group, reviewed by F&GPC;

- Planning and Budgetary control framework in place. Insurance cover in place;

- Delegated authority and financial control framework in place;

- Management Structure and reporting in Colleges and Support Groups;

- Academic quality monitored by Senate sub-committees and validated externally through periodic Research Assessment Exercises / Research Excellence Framework, Quality Assurance Agency reviews and professional bodies' accreditations;

- Specific departments lead the management of specific risks e.g. Health and Safety Department, Communication and Marketing, etc, whilst departments such as Finance, HR, Estates, Procurement etc maintain and enforce policies and procedures relating to their own professional areas and ensure that legislative and professional compliance is maintained;

- Policies and procedures established to manage specific risks e.g. animal facilities, control of chemicals, medical risk, etc;

- Risk Management Committee and processes in place, including:
    o risk management policy agreed by Court;
    o registers of key University, College and Support Group, and Subsidiary Company risks;
    o reviews of key University risks;
    o risk assessments incorporated into Committee papers as appropriate;
    o risk assessments incorporated into College and Support Group annual planning documents;
    o project risk registers;
    o annual risk assurance questionnaire and reports;
    o risk assurance map.

- Induction for new Heads of School and senior managers in University Risk Management processes

- Assurances on adequacy of operational controls etc provided through activities of Internal Audit Department and overviewed by Audit Committee;

- External assurance provided by the University's auditors, KPMG.

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

Risk Management Committee Activities 2010/11

The key activities of the Risk Management Committee during 2010/11 can be summarised as:

– Update of University Risk Register – the outcome of the 2010/11 review was approved by the University Court at its meeting on 20 June 2011. The main risks to the University in the immediate future relate to meeting the challenges of the changing political and financial environment and were identified as:

    o Insufficient funding to develop the University and maintain its UK and international competitiveness:
        • e.g. due to Government funding policies for universities in Scotland and the rest of the UK
        • consequential impact of reduced funding or policy changes made by research funders e.g. research councils, charities etc
        • inability to generate new non-governmental income

- o Changes to cross-border flows of students, which present political and operational challenges, arise as a result of divergence in fees policy between Scotland and the rest of the UK in 2012/13
- o Changes to university governance processes or structures result from developments in government policy/legislation
- o Growth in international, PG and distance learning student recruitment fails to achieve targets and falls behind UK and international competitors e.g. due to
  - UKBA polices and practice resulting in UK perceived as unwelcoming to international students
  - marketing and quality of distance learning programmes
- o Staff and/or student dissatisfaction leads to disruption to business continuity. This could arise as a result of
  - the need to operate within funding constraints
  - b) pressures for changes in staff terms and conditions (including pension funds)
  - c) student tuition fees or graduate contribution proposals

- Updates of College, Support Group and Subsidiary Company Risk Registers;

- A review of each risk identified in the 2010/11 University Risk Register was undertaken by the relevant risk owner and the outcomes of the reviews were discussed and ratified by the Risk Management Committee. Copies of the reviews are available on the University Risk Management Committee website;

- An 'in year' log of risks/incidents was maintained, and the risks identified in the College and Support Group planning submissions were reviewed.

- The main risks that emerged and where the risk management Committee noted mitigating actions taken by the University, were:

  - o The changing political and funding climate, as divergent policies and practical implications emerged from the UK Coalition Government and Scottish SNP Government on particularly tuition fees and governance reviews.

  - o The management of student protests, particularly relating to tuition fees

  - o The prospect of industrial action as a result of Pension Fund changes, particularly related to USS.

  - o The developments of both policy and practice in the UK Borders Agency which have potentially damaging implications for the University attracting overseas staff and students

  - o The enactment of the Bribery Act and the need for the University to develop anti-bribery and corruption policies and procedures

  - o Operational resilience during the sever winter weather

  .
  - o The risks relating to the mergers of eca and the MRC Human Genetics Unit into the University.

  - o The importance of the preparation for the next Enhancement Led Institutional Review.

- The risks related to delivery of the College and Support Group annual plans were reviewed;

- A review of took place of the sources of assurance that are available at a corporate level to enable a view to be taken on the University's management of its key risks. These are recorded in the assurance map;

- The committee undertook an effectiveness review and reported the outcome to Court. The Risk Management Committee concluded that its processes enabled it to have visibility of the major risks of the University, and of the key risks within each College, Support Group, and Subsidiary Company, and to understand the main mechanisms and actions for managing the major risks. It was also satisfied that new and emerging risks were being brought to the attention of the Committee. Similarly it was satisfied that the linkages with Audit Committee operated effectively (with the Director of Corporate Services, Director of Finance, the University Secretary and Head of Internal Audit being a member or in attendance at both Committees), as did the linkage into the Central Management Group. It took comfort from the fact that the University's external auditors, KPMG, have commented positively on the risk management processes in the University. The review highlighted three areas for future consideration by the Committee – review of risk management awareness, business continuity, and maintenance of knowledge of Risk Management generally.

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

Adequacy of Management of Risk in the University 2010/11

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

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

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

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

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

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

   The Annual Institutional Statement to the Scottish Funding Council on Internal Subject Review Activity for 2010/11 was noted.

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

2. Internal Control Questionnaire

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

3. Law and Regulation Return

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

4. Procurement assurances

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

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

During the year the University was assessed as part of the Scottish Government Procurement Capability Assessment process. The University was again rated as "superior" - the top category, and was the only University to achieve this rating.

The University has recorded benefits of £9.0m during 2010/11 (£7.5m for 2009/10) from professional and collaborative procurement. This includes benefits delivered through APUC Ltd, the sector's collaborative procurement body established as a result of the McClelland Review, and Procurement Scotland who undertake certain procurements across the whole of the public sector.

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

The Risk Management Committee can therefore assure Court that adequate procurement policies and procedures are in place, and that policies and procedures are consistently applied for all major

procurement and most minor procurement, and that there is compliance with the relevant legislation.

5. Fraud

The University will provide written representations to the external auditors as part of its year end processes as follows (2010 year end wording)

The University Court:
  a) *acknowledges responsibility for the design and implementation of internal control to prevent and detect fraud and error;*
  b) *confirms that there have been no instances of fraud or suspected fraud affecting the group and parent University involving*
     - *management and those charged with governance;*
     - *employees who have significant roles in internal control; or*
     - *others where the fraud could have a material effect on the financial statements.*
  c) *confirms that have been no allegations of fraud, or suspected fraud, affecting the group or parent University's financial statements communicated by employees, former employees, analysts, regulators or others;*
  d) *has disclosed to you the results of its assessment of the risk that the financial statements may be materially misstated as a result of fraud.*

  The term "fraud" includes misstatements resulting from fraudulent financial reporting and misstatements resulting from misappropriation of assets.
     i. *Misstatements resulting from fraudulent financial reporting involve intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users.*
     ii. *Misstatements resulting from misappropriation of assets involve the theft of an entity's assets, often accompanied by false or misleading records or documents in order to conceal the fact that the assets are missing or have been pledged without proper authorization;*

With regard to points (b) and (c), the Annual Risk questionnaire formally sought information regarding fraud from each College and Support Group, and the Internal Control Questionnaire also sought assurances on fraud. There were no significant reported incidents of fraud in either questionnaire, albeit a cash loss of £890 was reported and investigated. There were also no allegations of fraud or suspected fraud affecting the University's financial statement.

6. Internal Audit

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

Conclusion

The overall view of the Risk Management Committee on the adequacy of the management of risk in the University is that, on the basis of the activities described above, the University has been satisfactorily managing its key risks during the year ended 31 July 2011. Further assurances on the adequacy of the internal control environment and its effectiveness in controlling operational risks, will be provided by Internal Audit, and by KPMG's audit work.

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

NALP/HS

APPENDIX 1: Year end questionnaire

University of Edinburgh
Risk Management Annual Return
For the period 1 August 2010 to 31 July 2011

		Yes	No	If YES, provide details[1]
1	Has student recruitment significantly[2] fallen short of College targets/plans with respect to overseas student growth, postgraduate student growth, widening participation or home undergraduate numbers?		√	
2	Has there been a major breach of academic or ethical standards?		√	
3	Has there been any loss of accreditation for courses, or major issues raised by accrediting authorities, which are regarded as potentially significantly damaging to the College's reputation?		√	
4	Has there been any failure to meet appropriate Quality Assurance standards?		√	
5	Have there been any major issues related to academic or other collaborations that have given, or could potentially give rise to, a damaging breakdown or failure to deliver the expected benefits to the University?		√	
6	Has there been any significant breakdown in the relationships with students or student representatives?	√		It was report last year that a student in dispute with the University regarding progress towards her PhD in the College of Medicine and Veterinary Medicine, was conducting a 'cyber campaign' maligning researchers, students and senior members of staff, without substantiation. The student this year has been attempting to take legal action against the University. This is being resisted

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

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

		Yes	No	An issue with a dyslexic medical student relating to fitness to practice medicine arose during the year which
		Yes	No	If YES, provide details
				resulted in a breakdown in relationships between the College and the student. The issue has now been resolved.

It was noted that there is a student campaign in progress against tuition fees for RUK students |
7	Have there been any instances of serious breach in regulations with regard to students, which have been or are being dealt with under the Code of Student Discipline?		√	
8	Have there been any issues with regard to the adequacy of student support services and facilities which have had a significant detrimental impact on the quality of the student experience, or the recruitment and retention of students?		√	
9	Taking both recruitment and departures into account, has there been a net loss or failure to recruit academic or support staff, which has or will potentially lead to ongoing impairment of research, teaching or operational capability?		∫	
10	Have there been any instances of dismissal, retirement, resignation, formal disciplinary proceedings or formal verbal warnings of a member of staff as a result of fraud, theft, misappropriation of assets, inaccurate false or misleading records, or non-compliance with policies?	√		One member of academic staff dismissed for misconduct (breach of contract). Currently is appealing dismissal.

Three incidents involving breaches of University policy / procedures have led to formal disciplinary procedures being instigated. Two of the cases resulted in verbal warnings. In the third case involving 4 individuals), 2 were dismissed for gross misconduct, the other 2 resigned during the course of the disciplinary procedure.

A grievance against member of staff was investigated; the staff member resigned before grievance process was completed. |

		Yes	No	If YES, provide details
11	Have there been any instances of whistle-blowing under the University's whistle-blowing policy?[3]		√	
12	Have there been any instances of fraud or suspected fraud affecting the University including involving - management and those charged with governance - employees who have significant roles in internal control - other where the fraud could have a material effect on the financial statements - academic fraud -	√		Internal Audit investigated cash loss of £890 in Business School
13	Have there been any allegations of fraud or suspected fraud communicated by employees, former employees, regulators, or others?		√	
14	Has there been any safety, health or environmental incidents or releases, which have resulted in serious injury, death, reputational damage, or imposition of restrictions?		√	
15	Have there been any instances of procurement activity that have failed to comply with University/funding body requirements e.g. - failure to adequately advertise or competitively tender for procurement of goods and services valued over £50k) - failure to use OJEU procedures for procurement of goods/services (above £156k over 4 years) or works (estimate over £3.9m)? - failure to obtain required authorisation for entry into purchasing framework agreements as required by the University Delegated Authorities Schedule		√	
16	Have there been any instances of failure, loss or inadequate operation of IT systems, infrastructure or controls that resulted in significant disruption to College / Support Group activities?	√		A lightning strike resulted in prolonged loss of telephony across much of Accommodation Services. This caused major disruption It was a number of days before a near normal service was restored but voicemail was not restored for several more weeks

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

		Yes	No	If YES, provide details
17	Have there been any occurrences of inadequate security over, or loss of personal data from the University e.g. loss of electronic equipment, memory devices etc containing personal data, unauthorised downloading from or access to electronic systems/files or and manual records containing personal data etc,	√		There was a data protection issue relating to the student record system as a result of a bug in an upgrade to the system from the supplier. This bug affected many other institutions. Appropriate managers were advised; all affected applicants were contacted the situation explained and the university's apologies offered. The University Secretary formally complained to the supplier. The latter has confirmed that increased testing processes will be implemented. University testing processes have also been revised as a result. A staff member took student files out of the office to work on notes and her bag was stolen. The bag was later handed in and all information intact A medical student was given encrypted patient data for research purposes. The student transferred the encrypted data onto an unencrypted memory stick which was left in a GP practice. Immediate steps were taken on discovery of the loss and the stick has been returned safely. This is a serious breach of protocol and procedures. The College is investigating and there will be a fitness to practice review. NHS are also holding an enquiry.
18	Have deficiencies in the state of the University's properties led to any of the following? - inability or serious disruption in conducting research, teaching, administrative or other University activities, - loss of research project funding, - damage to reputation, - failure to recruit or retain students or staff - prosecution for legal non-compliance		√	

		Yes	No	If YES, provide details
19	Has there been significant damage to property or equipment as a result of fire, explosion, malicious damage or any other reason which has resulted in financial loss for the University or significant disruption of the conduct of 'normal business' in Colleges / Schools / Support Groups/Subsidiaries?	√		See response to Q16
20	Have there been any instances of change activities (projects, new developments, new systems and processes etc) failing or likely to fail to achieve their goals, or overrunning by more than 10% on time or cost against plans?	√		There are some ongoing risks associated with the estate redevelopment planning and business continuity at Easter Bush. The current approved expenditure is £9.8m. In addition a risk allowance of £1.3m has been reported to Estates Committee (September 2011). Resource and technical issues in IS have resulted in 9 months delay in implementing the a project to improve research administration processes between Finance and ERI, and across the University
21	Have there been instances of inadequate financial control (managerially or operationally) which resulted in, or potentially could have resulted in significant financial loss or loss of reputation?	√		Previously reported problems with financial management in Informatics have left the School with a cumulative overspend from which it will be challenging to recover in the current financial climate
22	Have there been any instances of significant contractual breach by the University or a subcontractor of the University, which has exposed the university to the potential of serious litigation or financial liabilities?		√	
23	Have any legal actions been brought against the University (whether settled or pending)?	√		Cramond – long standing Court action raised by AMA against UoE. The hearing will be held in October and November 2011. Regular reports are provided to Estates Committee, F and GPC and the University Court

24	Have there been any incidents, occurrences or activities which have resulted in or potentially could result in
	   a) legal action against the University
	   b) prosecution or formal disciplinary proceedings either within the University of by professional bodies against staff or students?
		√		See responses to Questions 6 & 10 above

		Yes	No	If YES, provide details
25	Have there been any incidents or adverse publicity that have caused serious damage to the reputation and image of the University in the eyes of other academic institutions/colleagues; the media; national, regional or city politicians; key influencers; national and local businesses; or the local community?		√	
26	Are actual or potential changes in public policy and legislation having or likely to have a significant detrimental impact on college/support group activities?	√		Scottish Government funding & fees policy, governance review, and proposal in White Paper on post 16 Education UK Borders Agency policy and practice New biosafety and biosecurity legislation Agency Workers Directive EU Procurement law review and developing case law Bribery Act.
27	Are there any areas of existing, new, or changed legislation where implementation has not been or will not be completed in the required timescale		√	
28	Are there any significant new or emerging risks that have not been captured in the University Overview Risk Register, which could put the survival or goals of the University, College or Support Group in jeopardy?		√	
29	Are there any risks in the University or College/Support Group risks registers that you consider are not being adequately managed, and are exposing the University to undesirable risk?		√	

NALP
September 2011

Appendix 2: Assurance map 2010/11 relating to University Risk Register version 8

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

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

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
1. Insufficient funding to maintain and develop the University due to: - Government funding policies in Scotland and the rest of the UK - Economic recession and its impact on government, corporate and charity funded activities, and philanthropic giving	Lobbying, directly and via US/UUK Input to SFC on their strategic plans and funding issues/reviews University planning process including monitoring of student demand and intakes Internal pressure within Colleges and ERI to maintain focus on grant applications Review of student intake and applications for first years of divergent fee regimes	Excellence in research Excellence in commercialisation and knowledge exchange Quality services Quality infrastructure Stimulating alumni relations and philanthropic giving	• Ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • Continuing to win competitive bids to host new research centres and major national facilities • Working together with major research funders and other external bodies internationally and in the UK • Ensuring that commercialisation agreements provide for a reasonable financial return both to the University and to the inventors • Investing in improvements which show a clear return on investment, for example by reduction in direct costs or reduced opportunity cost of staff time • Securing investment from external sponsors • Continue to fundraise on a sustainable, professional and efficient platform • Increasing funds raised from private individuals and private and charitable trusts	Review of effectiveness of controls by lead risk manager University planning process including monitoring of student demand and intakes Monitoring of relevant Balanced Scorecard indicators Monitoring of comparative financial data against Russell Group Peers Responses from Risk Management Annual Return	Director of Planning Director of Planning Director of Planning Director of Finance	*[Review URL]* Court: 8/11/10; 20/12/10; 21/2/11; 20/6/11 PSG: 19/10/11; 2/11/10 FGPC: 25/10/10; 7/2/11 CMG: 13/10/10; 23/11/10; 26/1/11; 20/4/11; 15/6/11 RMC: 23/9/11; 13/1/11; 31/3/11; 19/5/11 AC: 2/6/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
2. Staff dissatisfaction and possible disruption to business continuity consequent upon the need to operate within funding constraints or arising from pressures for changes in staff terms and conditions (including pension funds)	Maintenance of relationships with local union representatives Input to national pay negotiations and discussions on Pension Funds Senior staff work with Heads of School to ensure downsizing and change activity appropriately managed (e.g. with Moray House School of Education) Business continuity planning	Excellence in research Excellence in commercialisation and knowledge exchange Quality people	• Recruiting and retaining excellent researchers • Supporting the professional and career development of staff engaged in research • Ensuring that commercialisation agreements provide for a reasonable financial return both to the University and to the inventors • Continuing to review and improve recruitment and retention strategies, systems and processes • Recognising and rewarding excellence through the effective use of our Contribution Reward policy and promotion process, and the development of a Total Reward Strategy • Promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities • Improving ways of informing and involving staff in decisions and changes which affect them	Review of effectiveness of controls by lead risk manager Operation of Staff Committee, JULC, and Consultative Committee on Redundancy Avoidance (SCCRA) Responses from Risk Management Annual Return	Director of HR	*[Review URL]* Court: 27/9/10l; 8/11/10; 20/12/10; 16/5/11 FGPC: 15/9/10; 25/10/10; 2/5/11; 6/6/11 CMG: 1/9/10; 13/10/10; 23/11/10; 9/3/11; 20/4/11; 25/5/11; 15/6/11; 29/11/10 AC: 29/9/10 RMC: 13/1/11
3. Challenge of managing activities to ensure some income streams exceed costs	Financial strategy & financial planning and budgetary/forecasting processes, including F&GPC/Court oversight Fees Strategy Group Financial scenario planning	Excellence in research Quality services Quality infrastructure	• ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • Generating surpluses for reinvestment • investing in improvements which show a clear return on investment, for example, by reduction in direct costs or reduced opportunity cost of staff time • developing and regenerating our estate through the implementation of our Estate	Review of effectiveness of controls by lead risk manager Level of university annual surplus/deficit and cash flow position Measure of growth in key income streams Measuring cost increases in	Director of Finance Director of Finance Director of Finance & VP Dev & Alumni Director of Finance	*[Review URL]* Court: 27/9/10; 20/12/10; 21/2/11; 16/5/11; 26/6/11 PSG: 2/11/10; 17/1/11; 12/4/11; 3/5/11; 20/6/11 FGPC: 2/9/10; 15/9/10; 25/10/10;

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Post Review Group ER/VS activity SUMS review of support services Benchmarking against other comparable institutions Internationalisation strategy implementation Various college based academic developments Development of FEC to teaching High level reporting of research applications and award trends Drives to improve the utilisation of the University's estate		Development Masterplans • promoting a culture of space awareness and flexible approaches to the use of space across the University • providing excellent project management and appropriate cost control for capital development projects • continuing our maintenance and compliance work programme • finding new ways to share space, facilities, services and expertise within the sector and with other organisations • generating surpluses for reinvestment • securing investment from external sponsors	staff and non-staff costs Comparison with competition on key performance measures Financial control of capital building programme Responses from Risk Management Annual Return	Director of Finance Director of Finance	29/11/10; 7/2/11; 2/5/11; 6/6/11 CMG: 1/9/10; 13/10/10; 23/11/10; 26/1/11; 4/3/11; 20/4/11; 25/5/11; 15/6/11 AC: 29/9/10; 24/3/11; 2/6/11 RMC: 23/9/10; 31/3/11; 19/5/11
4. Growth of the University falls behind UK and international competitors, e.g. in areas such as: • size (turnover/assets); • research funding • international students/staff, (including where	Strategic plan priorities and targets, and its implementation International Strategy, steering group and development plans International Office and Marketing activities	Excellence in learning and teaching Excellence in research	• responding to recommendations identified through quality enhancement activities • expanding access to taught postgraduate and continuing professional development provision through e-learning • increasing numbers of postgraduate research students	Review of effectiveness of controls by lead risk manager Monitoring of annual accounts and comparative sector data from HESA Monitoring of share of SFC grants	Director of Planning Director of Finance and Director of Planning Director of Planning	*[Review URL]* Court: 20/12/10; 21/2/11; 16/5/11; 20/6/11 PSG: 2/11/10; 16/11/10; 20/6/11 FGPC: 15/9/10; 29/11/10; 2/5/11;

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
growth curtailed by UKBA policy or operations); • PGR/PGT student numbers;	Development of international linkages and MoUs Focus on maintaining and growing research funding and diversifying sources of research funding Opportunities for merging / embedding other organisations into the University (e.g. eca & HGU) Active management of issues arising with UKBA Student number monitoring	Quality services Quality infrastructure Advancing internationalisation	• embedding the use of performance indicators • generating surpluses for reinvestment • continuing to attract more, and a diverse range of, international students and staff	Balanced Scorecard indicators Student intake number setting, analysis and reporting Responses from Risk Management Annual Return Monitoring of league tables	Director of Planning Director of Planning	6/6/11 CMG: 1/9/10; 23/11/10; 26/1/11; 9/6/11; 25/5/11 RMC: 31/3/11
5. Rate of maintenance, enhancement and investment in the estate fails to support University growth aspirations (research, education and accommodation), provide a satisfactory student and staff experience, and maintain competitiveness with other leading institutions across the world.	Fundraising for new developments College/estates planning, prioritisation and project processes Capital programme development and project management processes Estates Advisory Group (EPAG) / Space Management Group (SMG) processes	Excellence in learning and teaching Excellence in commercialisation and knowledge exchange Quality infrastructure	• stimulating new and more flexible ways of learning, teaching and assessing through the use of new technologies and the innovative design of teaching space • creating and extending pre-incubation, incubation and science park facilities through the Edinburgh Pre-Incubation Scheme, the Edinburgh Technology Transfer Centre, the Edinburgh Technopole Science Park, The Informatics Forum, and the Edinburgh BioQuarter • developing and regenerating our estate	Review of effectiveness of controls by lead risk manager Annual benchmarking against sector Annual condition and legislation compliance backlog survey Building performance assessments (condition and functional suitability) Responses from Risk	Director of Estates & Buildings Director of Estates & Buildings Director of Estates & Buildings Director of Estates & Buildings	*[Review URL]* Court: 27/9/10; 21/2/11; 16/5/11; 20/6/11 FGPC: 15/9/10; 25/10/10; 7/2/11; 6/6/11 CMG: 26/1/11; 9/3/11; 20/4/11; 25/5/11 AC: 29/9/10; 24/3/11; 2/6/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Annual backlog and compliance review Ongoing estate activities e.g. building inspections, physical condition and compliance surveys, fire risk assessments		through the implementation of our Estate Development Masterplans • promoting a culture of space awareness and flexible approaches to the use of space across the University • providing excellent project management and appropriate cost control for capital development projects • continuing our maintenance and compliance work programme • finding new ways to share space, facilities, services and expertise within the sector and with other organisations • securing investment from external sponsors	Management Annual Return		RMC: 13/1/11
		Enhancing our student experience	• providing good-quality and well-placed learning and social spaces that support group and individual learning and form stimulating foci for the life of the academic community • preparing a sustainable estate strategy for EUSA to underpin delivery, over time, of the facilities required to support EUSA services			
6. Failure to provide a high quality student experience e.g. in teaching and learning, student services, living and social environment	College and Support Group Annual and Strategic Plans "Student Experience" a specific goal in the 2008/12 University Strategic Plan Appointment of VP Academic	Enhancing our student experience	• facilitating the transition to university by being responsive to the range of students' circumstances, experience, expectations and aptitudes • improving the quality of student induction and departure events • ensuring that information provided to students is comprehensive, accessible, consistent and user friendly • providing coordinated student services that recognise the needs and expectations of	Review of effectiveness of controls by lead risk manager NSS results Other student experience survey results of e.g. library, IT, teaching quality, course design.	VP Academic Enhancement VP Academic Enhancement VP Academic Enhancement	*[Review URL]* Court: 27/9/10; 21/2/11 PSG: 28/9/10; 17/1/11; 22/2/11 FGPC: 7/2/11 CMG: 9/3/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Enhancement, launch of new senate committees, and development of good proactive guidelines School plans for performance improvement Improvement of study and social spaces as part of Estates plans		students, prospective students and graduates • providing good-quality and well-placed learning and social spaces that support group and individual learning and form stimulating foci for the life of the academic community • strengthening collaboration between academic and student services and EUSA • preparing a sustainable estate strategy for EUSA to underpin delivery, over time, of the facilities required to support EUSA services • supporting our student societies and sports clubs • standardising analysis of, and action taken in response to, internal and external student feedback • ensuring that our graduates are self-confident and possess economically valuable capabilities, expertise and skills • brokering partnerships between specialists and academics to enhance the delivery of transferable skills to all students	International Student Barometer and Postgraduate Research Experience Survey Responses from Risk Management Annual Return	VP Academic Enhancement	RMC: 19/5/11
7. Inability to retain or attract sufficient key academic staff to meet University / College goals for research and teaching	Ensuring the university remains an attractive working environment Annual review of academic staff (inc salary) Active leadership by Principal and of HoCs Recruitment processes group, and flexible HR strategies to meet needs	Excellence in learning and teaching Excellence in research Quality people	• Ensuring that staff involved in the delivery of learning and teaching continue to develop their professional capability • Recruiting & retaining excellent researchers • Supporting the professional and career development of staff engaged with research • Continue to review and improve recruitment and retention strategies, systems and processes	Review of effectiveness of controls by lead risk manager Recruitment and retention monitoring Annual equal pay review Responses from Risk Management Annual Return	Director of HR Director of HR Director of HR	*[Review URL]* RMC: 31/3/11 CMG: 1/9/10; 9/3/11; 20/4/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	of different business areas		• Developing and implementing succession planning arrangements • Recognising and rewarding excellence through the effective use of our Contribution Reward policy and promotion process, and the development of a Total Reward Strategy • Establishing a culture of personal and professional development through appraisal and other development processes • Supporting the development of all staff in preparing for, holding, or stepping down from leadership and management roles • Promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities			
		Advancing internationalisation	• Continuing to attract more, and a diverse range of, international students and staff			
		Promoting equality, diversity, sustainability and social responsibility	• Ensuring that students and staff with particular needs have access to appropriate facilities and support services			
8. Inadequate management of work priorities and major change projects both individually and as a combined programme of activity. Major projects in progress are: 8.1 new student	Project management steering groups, boards, advisory groups and implementation groups Project management processes, Gateway	Quality services Quality infrastructure	• planning major initiatives on a holistic basis • developing and regenerating our estate through the implementation of our Estate Development Masterplans • providing excellent project management and appropriate cost control for capital development projects	Review of effectiveness of controls by lead risk manager 8.1 Ongoing governance by Student Admissions and Curricula Systems Board; External Reviews	8.1 Director of Registry 8.2 Director of Estates & Bldgs 8.3 Director of Planning	*[Review URL]* Court: 27/9/10; 8/11/10; 20/12/10; 21/2/11; 16/5/11; 20/6/11 PSG: 2/9/10;

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
administration processes project (EUCLID); 8.2 major estates projects e.g. Vet School, SCRM, library central area refurbishment; 8.3 adaption of data collection processes/systems to reflect the new metrics related basis for future research assessment 8.4 establishing process to operate the new managed immigration system (affecting staff and students) 8.5 development and implementation of merger proposals with Edinburgh College of Art 8.6 development and implementation of merger proposals with MRC Human Genetics Unit	processes and reviews Guidance on major projects and "Projects" website Reporting to University committees Communication activities Planning and provision of resource to enable projects Development of ERMIS for data collection of research management information, incorporating any known REF requirements	Building strategic partnerships and collaborations Excellence in research	• continuing to develop a systematic approach to the acquisition, creation, capture, storage, presentation and management of information resources • stimulating the development and growth of interdisciplinary research centres across Schools and Colleges and with other organisations • recruiting and retaining excellent researchers • ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • working together with major research funders and other external bodies internationally and in the UK	8.2 Monitoring by Strategic Project Boards of progress, costs, quality, sustainability 8.3 Not yet appropriate 8.4 Monitoring of attendance, fees arrears and identity information 8.5 Merger achieved on 1 August 2011 8.6 Merger achieved 1 October 2011. Responses from Risk Management Annual Return	8.4 SCE College Registrar (students) and Director of HR (staff) 8.5 Prof David Fergusson 8.6 MVM College Registrar	28/9/10; 21/12/10; 17/1/11 FGPC: 2/9/10; 15/9/10; 25/10/10; 29/11/10; 7/2/11; 2/5/11; 6/6/11 CMG: 1/9/10; 13/10/10; 26/1/11; 9/3/11 AC: 29/9/10; 25/11/10; 24/3/11 RMC: 23/9/10; 31/1/11; 31/3/11; 19/5/11
9. Failure of IT infrastructure, systems operation, or serious breach of IT or data security leading to inadequate performance unacceptable loss of service or loss of sensitive or personal data	Ongoing resilience improvement programmes and infrastructure upgrades Internal and external audit processes, including external penetration testing	Quality infrastructure	• identifying and planning for major risks and business continuity across all areas of infrastructure • Ensuring that we have an agreed rolling programme of equipment and IT hardware replacement • Continuing to develop a systematic approach to the acquisition, creation, capture, storage, presentation and management of information resources	Review of effectiveness of controls by lead risk manager Annual IT assurance process Responses from Risk	VP Knowledge Management and CIO VP Knowledge Management and CIO	*[Review URL]* Court: 20/12/10; 16/5/11 AC: 29/9/10; 25/11/10; 24/3/11; 2/6/11 RMC: 23/9/10

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Business recovery plans and exercises Oversight by Knowledge Strategy Committee Systems implementation trialling and load testing Annual IT assurance process from VP Knowledge Management and CIO Policies on data security			Management Annual Return		
10. Inadequate engagement with changes in public policy, legislation, and practice affecting Higher Education, e.g. o UK Government; o Scottish Executive/Scottish Enterprise/SFC; o City of Edinburgh; o European Union; o Research Councils	Membership of sector-wide representational bodies Informal liaison, networking and lobbying Monitoring public policy developments Responses to consultations	Excellence in research Excellence in commercialisation and knowledge exchange Quality services Quality infrastructure Engaging with our wider community	• Working together with major research funders and other external bodies internationally and in the UK • Enhancing our contribution to public policy formulation • Striving to meet recognised industry and commercial standards • Continuing our maintenance and compliance work programme • Providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • Interacting with key city partners over issues including planning, procurement, transport	Review of effectiveness of controls by lead risk manager Responses from Risk Management Annual Return	Director of Planning	*[Review URL]* Court: 20/12/10; 21/2/11; 20/6/11 PSG: 21/12/10; 3/5/11 FGPC: 7/2/11 CMG: 23/11/10; 26/1/11; 25/5/11; 15/6/11 AC: 29/9/10; 24/3/11; 2/6/11 RMC: 13/1/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
			and relations between the student and resident communities • Developing new, and strengthening existing, relationships with key strategic partners in both the public and private sectors, including Scottish Enterprise, NHSScotland and small and medium-sized enterprises			
		Promoting equality, diversity, sustainability and social responsibility	• Exploiting our strengths in environmental and sustainability research to influence policy formulation and implementation			
11. Failure to appropriately position and support the University's image and reputation in the UK and worldwide	International strategy development Activities of Communications & Marketing in partnership with all units Media monitoring and management, and relationships building Brand management and market research processes Visitor Centre and Corporate publications Relationship development with Alumni Linkages with international groupings	Advancing internationalisation Engaging with our wider community	• promoting internationally the strengths of the University and the achievements of our staff and students • increasing and embedding the public engagement work undertaken by staff through the activities of the Edinburgh Beltane Beacon programme • providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • developing and expanding innovative initiatives to encourage pupils in our local schools to consider the University of Edinburgh as their institution of choice • supporting the involvement of University teams and individuals in major sporting events and competitions • interacting with key city partners over issues including planning, procurement, transport and relations between the student and resident communities • developing new, and strengthening existing relationships with key strategic partners in both the public and private sectors,	Review of effectiveness of controls by lead risk manager Monitoring of media coverage Monitoring of fundraising levels Monitoring of number of student applications Responses from Risk Management Annual Return	Director of Communications & Marketing Director of Communications & Marketing Director of Development & Alumni VP Planning and Resources	*[Review URL]* Court: 20/12/10; 16/5/11; 20/6/11 PSG: 22/2/11 CMG: 20/4/11; 15/6/11 RMC: 23/9/10; 31/3/11; 19/5/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	e.g. British Council, SDI, UKFO, Confucius Network, U21 etc		including Scottish Enterprise, NHS Scotland and small- and medium-sized enterprises • implementing our Community Relations Strategy • promoting the University's achievements, emphasising national and international media in our communications activity • fostering recognition through improved physical branding and signage, publications, our website and recruitment and advertising strategies			
		Stimulating alumni relations and philanthropic giving	• sustaining and strengthening our relationships with the General Council and with individual alumni			
12. Significant academic collaborations fail to be effectively managed and do not deliver benefit to the University	Strategic decisions made through PSG/Central Management Group/Finance & General Purposes Committee Memoranda of Agreement Guidelines for staff Separate financial monitoring Quality Assurance Agency Codes of Practice Governance arrangements put in place and clear	Advancing internationalisation Building strategic partnerships and collaborations	• encouraging international collaboration in education, research and knowledge exchange • engaging more deeply in strategic alliances and networks with other world-leading institutions • developing productive partnerships with other higher education institutions, organisations and businesses • leading the development of collaborative research activities internationally and in the UK • stimulating the development and growth of interdisciplinary research centres across Schools and Colleges and with other organisations • encouraging participation in international networks	Review of effectiveness of controls by lead risk manager Responses from Risk Management Annual Return	College Registrars	*[Review URL]* Court: 8/11/10 PSG: 19/10/10 FGPC: 6/6/11 AC: 2/6/11 RMC: 31/3/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	designation of responsibilities Review of all partnerships and collaborations on a 5 yearly cycle					
13. Widespread damage to property and buildings (fire, explosion, malicious damage etc), including properties adjacent to the University estate	Fire/security policies & procedures Fire detection systems Training & awareness Audit of H&S mgt in all units in partnership with insurance brokers Insurance cover Programme of fire risk assessments Business continuity plans Planned preventative maintenance	Quality infrastructure	• identifying and planning for major risks and business continuity across all areas of infrastructure • continue our maintenance and compliance work programme	Review of effectiveness of controls by lead risk manager Reports to EPAG H&S audits carried out by University's insurance brokers Responses from Risk Management Annual Return	Director of Estates & Buildings Director of Estates & Buildings Director of Estates & Buildings	*[Review URL]* RMC: 13/1/11
14. Failure to achieve a rating of "confidence" in the 2011 Enhancement Led Institutional Review (ELIR)	ELIR Steering Group overseeing the preparation of the review Various University-wide academic developments via	Excellence in learning and teaching	• responding to recommendations identified through quality enhancement activities • ensuring our research feeds directly into the learning experience at all levels • providing flexible and informed curriculum choice • building collaborative learning into the	Review of effectiveness of controls by lead risk manager Routine QA monitoring of Schools and Colleges ELIR Steering Group		*[Review URL]* Court: 27/9/10; 20/6/11 RMC: 31/3/11

Risk	Current Management Processes and Mitigating Activities	Goals / Enablers / Strategic Themes	2008-12 Strategies (per Strategic Plan)	Assessment of assurance of effectiveness of risk control mechanisms	Assurance providers	Evidence provided
	Senate Committee Task Groups Updating of relevant academic regulations Various College level academic developments via relevant committees Various School level academic developments via ELIR School contacts. Reviews and enhancement of various teaching, learning, academic & pastoral support and support services for students	Enhancing our student experience	curriculum, along with students' capacity to learn by enquiry and monitor learning by self-assessment • providing more opportunities for students to study abroad or undertake professional or industrial placements • stimulating new and more flexible ways of learning, teaching and assessing through the use of new technologies and the innovative design of teaching space • expanding access to taught postgraduate and continuing professional development provision through e-learning • ensuring that information provided to students is comprehensive, accessible, consistent and user friendly • providing coordinated student services that recognise the needs and expectations of students, prospective students and graduates • providing good-quality and well-placed learning and social spaces that support group and individual learning and form simulating foci for the life of the academic community • standardising analysis of, and action taken in response to, internal and external student feedback	updates Progress against ELIR planning timeline Responses from Risk Management Annual Return		

E

The University of Edinburgh

Central Management Group

11 October 2011

Anti-Bribery and Corruption Policy

Brief description of the paper

This paper sets out the background and reasons for introducing a new Anti-Bribery and Corruption Policy.

Action requested

CMG is asked to consider and approve the attached Policy.

Resource implications

There are likely to be costs arising from the implementation of the Policy in terms of funding, training and development, legal costs associated with negotiating contractual agreements with third parties and staff time. It is possible that other costs may accrue that are not immediately evident, but which may evolve as the implementation process progresses.

Some further additional work will be required to ensure that other University policies are compliant with, or refer to, the Bribery Act policy and legislation, although this amount of work is as yet unknown.

Risk assessment

The Policy is designed to ensure the effective management of risks.

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

Sheila Gupta
Director of Human Resources
5 October 2011

Central Management Group

11th October 2011

Anti-Bribery and Corruption Policy

Introduction

1. The Bribery Act 2010 came into force on 1st July 2011 and CMG received a detailed paper in January 2011 setting out in full the implications of this legislation for the University. As background to the development of the Anti-Bribery and Corruption Policy, this paper therefore only provides a summary of the key provisions of the Act and the principal actions that the University should take to ensure compliance with the new law.

Background

2. The political context for the new legislation was for the UK to be seen as playing a leading international role in the fight against bribery. In formulating the legislation, Parliament created general offences of giving and receiving bribes; bribing a foreign public official; and introduced a new 'corporate offence' for any commercial organisation to fail to prevent bribery. It can be seen from the scope of these offences that the implications of this legislation for the University are significant, in that in order to respond effectively in terms of risk management, the University will have to ensure that the right governance and policy frameworks, controls and processes. The Act requires that organisations go well beyond just simply developing policy, but must also be able to evidence that these changes are embedded across all spheres of its activities to create the culture, values and behaviours necessary to comply with the provisions of the new Act.

Actions to Manage Risks

3. The University has taken clear steps to manage its risks effectively and in doing so has drawn on advice contained in both government and legal guidance in which organisations are advised to:

    - Appoint a senior officer accountable for oversight of governance and policy in this area
    - Publish a clear statement and commitment to promote an anti-corruption culture
    - Document policies and codes of practice that support such a culture and which apply to employees and third parties operating on behalf of the organisation
    - Revise disciplinary processes to provide for individual accountability
    - Introduce a clear policy for dealing with political contributions and lobbying activities
    - Implement training and development to ensure the dissemination of an anti-corruption culture across the organisation.

4. The attached Anti-Bribery and Corruption Policy and accompanying Guidance Notes address all of the above points. In addition, the University has also conducted a series of detailed legal workshops for staff across the University who have responsibilities for managing risks in relation to bribery. Further development and training will be offered linked to business needs in the future.

5. The University will also soon publish detailed advice on how to conduct risk analyses supported by a template questionnaire. This work is taking place with the support of Pinsent Mason, a UK law firm with a dedicated Anti-Bribery team based in London, whose specialist knowledge has been very valuable. In particular, Pinsent Mason have advised that the actions that the University has taken to date represent good practice and position the University well in relation to managing its risks across the diverse range of its activities and demonstrating that it has taken very significant steps already to foster a healthy anti-corruption culture. The introduction of the attached Anti-Bribery and Corruption Policy is the mainstay of this overall approach to embed good governance, management and practice in relation to preventing bribery.

Recommendation

6. CMG is asked to approve the attached Anti-Bribery and Corruption Policy.

Sheila Gupta
Director of Human Resources

THE UNIVERSITY OF EDINBURGH

Anti-Bribery and Corruption Policy (Final Draft for CMG)

1.   **Policy Statement**

In accordance with the highest standards of professional practice and good governance, the University does not tolerate bribery or corruption of any kind.

All members of staff must adhere strictly to the UK legislation in relation to bribery and corruption and follow the procedures designed by the University to prevent bribery.

Staff must not offer, promise or pay bribes and they must not request or receive bribes. The University will also expect the highest standards of compliance in this area from other parties that provide services to the University or on its behalf.

2.   Scope and Purpose

This policy applies to all employees and any other member of staff of the University, including any temporary or agency staff or unpaid members of staff and voluntary workers. It also applies to staff in subsidiary companies. The policy applies to all activities of the University, whether related to its research, teaching, commercial or other activities, and exists for the protection of members of staff and the University.

The University will expect any person or organisation performing services for it or on its behalf, to adhere to this policy or otherwise have equivalent procedures in place to prevent corruption. These third parties include agents and others who represent the University and suppliers, consultants and private sector partners who perform services for the University or on its behalf, wherever located in the world.

The policy sets out the University's approach to dealing with the relevant legislation, which can apply as follows:

Nature of Offence	Scope
Paying bribes	Members of staff and the University
Receiving bribes	Members of staff and the University
Bribery of a foreign public official	Members of staff and the University
Failure of a commercial organisation to prevent bribery	The University and its subsidiary companies

The policy also covers issues related to the following of other policies and Codes of the University, where reference should be made for guidance on procedures:

- DisciplinaryPolicy
  <http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Disciplinary_Policy(from_1st_April_2011).pdf>

- Policy on Conflict of Interests
  <http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Conflict_of_Interest.pdf>

- Code of Practice on Reporting Malpractice and Raising Concerns under the Public Interest Disclosure Legislation ('Whistleblowing')
  <http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Whistleblowing-Code_of_Practice_on_Malpractice.pdf>

- Code of Practice for Staff on the Receipt of Gifts, Hospitality and Other Benefits
<http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Receipt_of_Gifts.pdf>

- Procurement Policy (Scottish Procurement Policy Handbook)
<http://www.scotland.gov.uk/Resource/Doc/256155/0076031.pdf>

A summary of the UK Bribery Act Legislation, as well as relevant definitions of the terms in the policy can be found at **Appendix A**. Further guidance on the application of this policy can be found at **Appendix B**.

3.   Principles of the policy

The University and members of staff are required to comply with the following principles:

- Bribes must not be offered, promised, paid, requested, agreed to or accepted.

- In line with its core values and constitution, the University does not make political donations (whether to individuals, political parties or other political organisations, either in the UK or overseas) and any donations made on behalf of the University by any member of staff will be deemed a violation of this policy.

- Facilitation payments must not be offered, promised, paid, requested, agreed or accepted (for a definition of these, refer to Appendix B, Paragraph 8).

- Disciplinary action will be taken by the University or its subsidiary companies against staff who breach this policy. This includes the sanction of summary dismissal in cases where staff pay or receive bribes. Similar action will also be taken against other parties performing services for the University who fail to abide by this policy or equivalent anti-corruption standards, which includes termination of the University's relationship with them.

- The University encourages all staff to report any corruption concerns immediately and will support staff that do so. All reporting will be handled sensitively and the University is committed to ensuring that no member of staff who reports a corruption concern in good faith suffers any detrimental effect for doing so.

- A deliberate failure to report suspicions of corruption or to conceal bribes by others will also be subject to disciplinary action.

- Third parties who have, or who are suspected of having, offered or accepted bribes should not be engaged to work for the University

- Any malicious, wilful or deliberate misreporting of a bribe or suspicion of a bribe may be treated as a disciplinary matter, and handled through the University's Disciplinary Policy.

4.   Responsibilities

All members of staff must read and adhere strictly to the guidelines contained in this policy.

The University Court has ultimate responsibility for Approval of this policy;

- Monitoring and receiving regular updates on the implementation of this policy

The Principal, Vice Principals, Heads of College, Support Groups, Schools and Support Departments have responsibility for the following, in conjunction with the University's Risk Management Committee:

- The implementation of this policy;

- Communication of the policy to staff and other stakeholders, and development of further anti-corruption compliance procedures for the University as appropriate;

- Conducting a regular risk assessment of corruption risks faced by the University;

- Commissioning regular audits and monitoring of this policy and related policies and procedures to ensure they are effectively implemented and are responsive to the University's potential corruption risks.

Line managers are responsible for ensuring that:

- All employees with whom they work are aware of this Policy and attend training as necessary on how it affects their work;

- They promote all other anti-corruption compliance measures within the parts of the University in which they work and that they lead by example.

- They inform their Head of School/Support Department immediately when they are notified of any corruption concerns

All employees are expected to:

- Adhere to the University's anti-corruption procedures, and other similar policies, as far as they are applicable to their roles within the University;

- Raise corruption concerns immediately with their line managers or their Head of School/Support Department;

- Follow University guidance and best practice when involved in activities relating to the procurement of goods, services or works, or using overseas or other agents and third parties

The University Secretary, Director of Corporate Services, Vice-Principals, Heads of College and each Head of School/Support Department has:

- Day-to-day responsibility for implementing this policy, checking its effectiveness and dealing with any queries in relation to it;

- Primary responsibility for monitoring compliance with the policy and for ensuring any instances of suspected corrupt activity are investigated appropriately.

5.   Breaches of this Policy

Where an allegation is made to the effect that a member of staff has breached this policy, the matter will be dealt with under the University's Disciplinary Policy. Where, after an investigation and subsequent disciplinary hearing, allegations are upheld, the employee may be subject to formal action which could ultimately include dismissal.

Where third parties performing services or supplying good for, or on behalf of the University are in breach of this policy, action may be taken to bring to an end the relevant contractual relationship.

For clarity, breaches of this policy include:

- Paying bribes

- Receiving bribes

- Bribery of a foreign public official

- Failure of a commercial organisation to prevent bribery

6. **Reporting and Whistle Blowing**

The University encourages all staff to report any concerns about corruption that they encounter and make sure that suspicious behaviour does not go unchallenged.

It is important that if a member of staff suspects that someone else (e.g. a colleague, student, volunteer, supplier or consultant) may have or is about to engage in any corrupt conduct, or if a member of staff is offered a bribe, they should report it immediately to their line manager or Head of School / Support Department who in turn should report the matter to the University Secretary for expert advice and guidance.

The University will support anyone who raises concerns in good faith, and will give assurances that any concerns will be handled sensitively. This includes ensuring that no member of staff will suffer any detriment for refusing to accept or pay bribes, or if they report concerns they have about others' conduct.

Failure to report concerns can result in prohibited activity damaging the University - and may suggest that there has been complicity in this behaviour.

7. **Record-keeping**

The University maintains financial records and has appropriate internal controls in place through other policies and procedures to ensure all payments to third parties (such as payments to anyone who provides services for or on its behalf) are properly documented and authorised.

8. **Training**

The appropriate members of staff will receive regular, relevant training on how to implement and adhere to this policy.

9. **Monitoring and Review**

The University's Risk Management Committee will monitor the effectiveness of this policy on an annual basis. Any potential improvements identified by the Committee will be actioned by production of an updated policy as appropriate and subsequent training where necessary. Internal control systems and procedures will be subject to regular audits to provide assurance that they are effective in countering bribery and corruption.

10. **Policy History and Review**

This policy was approved by xx on xx and takes effect from xx.

In the event of any significant change to the legal position on Bribery and Corruption, this policy will be subject to immediate review. In the absence of such a change, the policy will be reviewed by December 2012.

11. Alternative format

This document can be provided in alternative formats on request by email to UHRS@ed.ac.uk, or by calling 0131 650 8127.

Summary of UK Bribery Act Legislation

1.   WHAT IS BRIBERY AND CORRUPTION?

The Bribery Act defines corruption offences very widely. Most offences apply equally to private and public sector activities. This Appendix sets out further details of the offences and how they may apply to the University.

As a summary of the key provisions in the UK law, members of staff should follow these three principles:

- Do not make payments to someone (or favour them in any other way) if you know that this will involve someone in misuse of their position.
- Do not misuse your position in connection with payments (or other favours) for yourself or others.
- Do not deliberately use advantages to try to influence foreign public officials for business reasons. If you need to promote the University's business with a foreign public official, always check in advance with your Head of School/Support Department.

A bribe does not need to be a monetary sum. It can be any form of advantage: e.g. lavish hospitality or gifts; an offer of employment; or the provision of services free of charge or with a substantial discount. A person who is offered or agrees to accept a bribe does not need to benefit personally.

Actual payment of a bribe does not need to occur for there to be a criminal offence. An offer or request would be sufficient.

Sometimes offering or making a payment (or giving some other favour such as lavish hospitality) is an act of bribery in itself – i.e. where this is improper without the recipient needing to do anything else as a consequence.

2.   HOW DOES CORRUPTION AFFECT THE UNIVERSITY?

Risks of corruption can arise in a wide range of the University's activities and its interaction with third parties. Some examples of these are as follows:

- International operations
- Recruitment of students and awards of degrees
- Gifts and donations to or from the University or its staff
- University Fundraising Activities

- Sponsorship and partnerships with private sector organisations in the UK or overseas and other commercial activities
- Procurement processes across the University and relationships involving estate and property management
- Appointment of agents or representatives in the UK or overseas who perform services for or on behalf of the University
- Relationships with other academic institutions, regulatory or funding bodies
- Field trips and overseas research in jurisdictions where there are particular corruption risks;

The University will undertake periodic risk assessments of its activities, including risks relating to: the sector in which it operates; its international business activities and presence in overseas countries; its existing processes for gifts and hospitality and donations; its relationships with a wide range of third parties in the UK and overseas who provide services to it or on its behalf; its procedures for procurement and other internal policies; and its other business structures, such as private sector joint ventures or joint international research collaborations.

3.   WHAT IS THE LAW?

The offences under the Bribery Act are extensive in scope, broadly defined and, in some circumstances, also allow for crimes committed anywhere in the world to be prosecuted in UK courts. The University's standards therefore apply to conduct that occurs both in the UK and in any activity it undertakes abroad.

The UK law has serious consequences for anyone found guilty of an offence. For individuals, a maximum prison sentence of ten years and/or an unlimited fine can be imposed; for commercial organisations, an unlimited fine can be imposed. Other measures can include the ability to confiscate assets, where these are found to be the proceeds of criminal activity including corruption.

The Bribery Act includes a new offence of failure of commercial organisations to prevent bribery. In light of its various commercial activities, the University will be treated as a commercial organisation for this purpose even though it has primarily educational aims.

4.   OFFENCES UNDER THE BRIBERY ACT

The Bribery Act contains four main offences:

- **Paying bribes** - Can apply to members of staff and the University
- **Receiving bribes** - Can apply to members of staff and the University
- **Bribery of a foreign public official** - Can apply to members of staff and the University
- **Failure of a commercial organisation to prevent bribery** - Can apply to the University and its subsidiary companies.

In addition, if a senior officer of a commercial organisation consents to or connives in an act of bribery by that organisation, they can be separately prosecuted.

As a reference guide, set out below are brief explanations of what each of the four main offences mean.

4.1   Paying bribes

It is an offence if a person offers, promises or gives a financial or other advantage with the intention of inducing another person to **perform a function or activity improperly** or to reward that person for doing so.

It is not necessary to prove that this person intended this consequence in all cases: it is also an offence if the person knows or believes that acceptance of the advantage by another is in itself an improper performance of their function or activity.

4.2   Receiving bribes

It is an offence if a person requests, or agrees to accept, or receives a financial or other advantage intending that a **function or activity** should be **performed improperly** as a result.

It is also an offence:

- Where the request or receipt of the advantage is in itself an improper performance of a function or activity;
- Where the request or receipt is a reward for the person's or someone else's improper performance in the past;
- Where their improper performance takes place in anticipation or as a consequence of a request or receipt of an advantage.

In these other scenarios, it does not matter whether the person knows or believes that the performance of a function or activity is improper.

With both of the above offences, it does not matter that no money changed hands, or that a person received no personal benefit or enrichment.

Both offences can also apply to acts of bribery that take place outside of the UK, where the person or organisation paying or receiving a bribe has a close connection to the UK. This includes all UK citizens, other persons ordinarily resident in the UK, and UK incorporated companies.

4.3   What activities do these offences apply to?

The offences could apply to any function or activity involving the University and any activities of its staff, connected with a business, performed in the course of employment,

or on behalf of the University or a subsidiary company. Examples include the University's dealings with:

- private sector businesses, or third parties including subcontractors or agents
- other publicly funded organisations, grant giving bodies, and relevant public bodies.
- service providers or agents
- individuals, including students and prospective students, donors and other sponsors.

4.4   What does improper performance mean?

Whether an activity or function is **performed improperly** will be measured on an objective basis, not necessarily on a person's own perception of the circumstances of the activity. The test will be whether a function has been performed in breach of how a reasonable person in the UK would expect it should be performed. This means customary or historic practices will not necessarily be acceptable.

4.5   Bribery of a foreign public official

It is an offence if a person offers or gives a financial or other advantage to a foreign public official with the intention of influencing the foreign public official and to obtain or retain business or a business advantage. Foreign public officials include persons performing functions at state owned or controlled enterprises and agencies - and therefore could potentially include those working for public universities outside of the UK.

The University has identified that it has relevant international activities where it may have dealings with foreign public officials, including:

- In territories where the University has overseas offices
- In territories where it engages overseas agents for student recruitment
- In territories where companies or commercial enterprises owned or controlled by the University, or similar partnerships the University has with third parties in the private sector, operate
- In territories where it engages patent attorneys to protect its intellectual property rights
- In territories where members of the University undertake research or other academic activities from time to time

The Bribery Act contains no exemption for "facilitation payments" (see also the section of this Guidance Notes to the University Policy relating to Facilitation Payments).

If a member of staff of the University in the UK or overseas needs to promote the University's business with a foreign public official, the member of staff must contact their

Head of School/Support Department in advance to confirm what steps are appropriate in any dealings they intend to have with the foreign public official.

4.6 Failure of commercial organisations to prevent bribery

It is an offence for the University in relation to its commercial activities if a person associated with the University bribes another person intending to:

- obtain or retain business for the University; or
- obtain or retain an advantage in the conduct of business for the University.

A person is associated with the University if they perform services for or on behalf of the University. This covers a wide category of people where the University has a potential liability for their acts. It does not matter in what capacity they are acting. Associated persons include all employees of the University as well as other persons outside of the University such as agents, joint ventures to which the University is party, and those with whom the University contracts to perform services.

GUIDANCE NOTES ON THE UNIVERSITY OF EDINBURGH ANTI-BRIBERY AND CORRUPTION POLICY

These Guidance Notes supplement the University's Anti-Bribery and Corruption Policy. They are designed to assist staff on the practical application of the Policy. In addition, they include important obligations on specific areas, which staff must adhere to.

1. FREQUENTLY ASKED QUESTIONS ABOUT THE BRIBERY ACT

1.1. ***It is customary to provide gifts in some countries outside of the UK when visiting or meeting with public officials. Can University staff offer gifts to their counterparts at an overseas university?***

The fact that something is a local custom is not a defence under the Bribery Act so a cautious approach is required to ensure any gift or other advantage that is offered overseas is not construed as a bribe based on UK standards of conduct. Secondly, in this scenario it is possible that a member of an overseas university will be classed as a "foreign public official" under the Bribery Act. If so, it is very easy to fall foul of the law. Any financial or other advantage offered to them will be seen as a bribe if the offeror intends to influence the official and intends to obtain or retain any business advantage.

This guidance does not however preclude the University or its staff from giving small, low value gifts seen as a 'mark of respect' to other public officials.

1.2. ***Can gifts and hospitality be accepted from private sector companies with whom the University has a business relationship or may do in future? What about sponsorship?***

Care has to be exercised that no gift or hospitality could be considered excessive or lavish. Normal business meals and modest entertainment is normally acceptable where there is a legitimate purpose for the hospitality - such as to foster cordial relations or for reasonable public relations. No hospitality should be accepted if it could be construed as intended to induce a member of staff to perform their functions improperly. [The University has introduced clear rules on gifts and hospitality by setting threshold amounts for each. Where a gift or hospitality is proposed that is above these threshold amounts, a member of staff must seek prior approval and, if granted, must register the gift or hospitality on the registers maintained by Heads of Schools/Support Departments]. (insert link to Code on practice on receipt of gifts)

In relation to sponsorship, similar principles apply. Care should be exercised that the sponsorship does not improperly induce members of the University to perform their functions improperly. This could include where it compromises academic integrity or influences the outcome of a research project.

1.3. ***Can we engage agents to recruit international students to the University?***

Yes but a number of compliance steps must be taken. The use of overseas agents involves high risks to an organisation, whether for recruitment or other purposes. The University will be liable for any corrupt acts by anyone performing services on its behalf. The risks of engaging an agent in a particular case must be assessed and enhanced due diligence undertaken about the suitability of the agent and the nature of the services they are providing to the University. Further guidance on these steps is set out below.

1.4. ***A University Department undertakes an annual research project in a jurisdiction outside of the UK with a poor reputation for corruption. The Department needs to transport equipment to the overseas location for the project, which will be checked by local customs officials. What steps should the Department consider?***

The Department should consider in advance the risk that members of staff or others acting on behalf of the University will be vulnerable to demands for corrupt payments, such as facilitation payments. Staff will need guidance in advance on strategies to resist any such demands. The Department should also consider any preventative measures that can be taken in advance, such as allowing adequate time for delays in the delivery of equipment whilst any demand for a facilitation payment is resisted.

1.5. ***The family of a student who is applying to the University offers to provide the University with a substantial donation to its development fund in return for a place at the University being offered to the student. Is this caught by the Bribery Act?***

Yes. This situation clearly involves a financial advantage being offered to the University, which is intended by the family to induce the admissions department to perform their functions improperly. It does not matter what decision is in fact reached over offering the student a place or not. The donation should be refused because of the basis on which it was offered. Donations can be bribes in other less obvious circumstances. The University's due diligence procedures should always be followed to ensure a donation does not involve someone misusing their position or being induced to do so.

2. FURTHER GUIDANCE ON GIFTS ENTERTAINMENT AND HOSPITALITY

All members of staff should refer to the Code of Practice for Staff on the Receipt of Gifts, Hospitality and Other Benefits.

This Guidance Note is intended to supplement the provisions of the above Code of Practice. It applies to all gifts, hospitality and entertainment that members of staff give or receive in the context of their activities for the University. In cases where a member of staff pays for a gift, entertainment or hospitality, but it is not reimbursed by the University, this Guidance Note remains applicable in this context.

The following overarching principles in relation to Gifts Entertainment and Hospitality (whether given or received) are particularly important for staff to consider in the context of potential corruption risks:

- Expenditure should always be reasonable and proportionate (having regard in particular to the recipient)
- Expenditure should be in accordance with the Code of Practice for Staff on the Receipt of Gifts, Hospitality and Other Benefits; and any necessary approvals sought in accordance with that Code; and records kept in accordance with the Code.
- The recipient must always be entitled to receive the gift, entertainment or hospitality under the law of the recipient's country.

3.   CHARITABLE AND POLITICAL DONATIONS BY THE UNIVERSITY

All charitable donations should be recorded accurately in the University's financial records and accounts.

Requests for charitable donations can sometimes mask corrupt activity by others. No charitable donations should be made if these could be construed as improperly influencing another party with whom the University has a business relationship. Should a member of staff have any ethical concerns about a proposed charitable donation, this should be reported immediately to their Head of School / Support Department.

4.   PHILANTHROPIC GIVING

All donations made to the University by benefactors or others wishing to support the University's activities must be considered in the light of the Bribery Act.

Donations of this kind can sometimes mask corrupt activity. No donations should be accepted without due diligence procedures being following in respect of the purpose of the donation and the background of the donor, amongst other steps. The level of due diligence required will be proportionate to any potential corruption risk identified.

No donation should be accepted if it could be construed as improperly influencing the University or another person. Should a member of staff have any ethical concerns about a proposed donation, this should be reported immediately to their Head of School / Support Department who should refer the matter to the Ethical Fundraising Advisory Group for further advice.

5.   HONORARY DEGREES

Honorary Degrees are awarded by the University for one of the following reasons:

- Outstanding personal contributions to the work and development of the University - in the case of (normally former) members of staff, extending beyond their immediate area of responsibility;
- Outstanding social, economic or cultural contribution to the City of Edinburgh or Scotland;
- Outstanding work, public service or contribution to society more generally in areas of particular relevance to the University's values and mission;
- Outstanding achievement by an alumnus/a, especially combined with one of the above.

Under no circumstances may an honorary degree be awarded as an improper inducement to the individual recipient to provide additional services to the University. In addition, the University's 'Honorary Degree Committee' will oversee the award of Honorary Degrees and will ensure the guidance in this policy is taken into account when considering nominations for such degrees.

6. AGENTS, OTHER THIRD PARTIES, AND JOINT VENTURES

In some parts of the University's commercial activities, it needs to engage agents and other intermediaries.

All appointments of agents and other parties who provide the University with services must follow risk-based due diligence procedures. This includes where the University enters in to any form of partnership with another organisation or a joint venture arrangement.

For the appointment of any overseas agents, a high level of due diligence is required. A non-exhaustive list of steps that must be considered is set out in Section 7 below.

Equivalent due diligence steps to those taken for overseas agents should be taken in relation to all Joint Venture Partners outside of the UK.

Advice should be sought from Heads of Schools/Support Departments on due diligence steps required for any joint venture, whether in the UK or overseas. All appointments of agents and joint venture partners must be monitored and reviewed on a periodic basis and ongoing due diligence procedures adopted, proportionate to any corruption risks that have been identified.

Any agents or other parties who are performing services for, or on behalf of the University, will be expected to agree to a contractual clause which confirms that they will comply with the University's Anti-Bribery and Corruption Policy or adhere to an equivalent policy, standard or other procedures they may have in place to prevent bribery. This clause will confirm that any breach of these anti-corruption obligations can lead to termination of the contractual relationship.

7. DUE DILIGENCE

Appropriate risk-based due diligence must be conducted in relation to any party outside of the University who is performing services for it or on its behalf. Enhanced due diligence should be conducted in relation to overseas agents and joint venture partners of the University. The following guidance indicates the steps that should be considered in planning and conducting Due Diligence in these types of relationship.

- Require the party/agent to complete a Questionnaire (currently under development), which requests details of the party/agent's ownership; details of senior management of the party/agent; a copy of CVs of key personnel performing services for the University); details of referees for the party/agent and key personnel who will be providing services under the proposed agreement; details of other directorships held, existing partnerships, and third-party relationships, and any relevant judicial or regulatory findings about the party/agent or key personnel of the party/agent, and details of the jurisdictions in which the agent operates.
- Undertake research, including reasonable internet research (dependent on risk), on the party/agent and any individuals who have a degree of control if the agent is a corporate entity.
- Check independently that the party/agent does not appear on any applicable sanctions list, or have outstanding court actions or judgments against it
- Make enquiries with any relevant authorities, including contacting a commercial attaché at the embassy in the territory where the party/agent operates, to verify information obtained in the Questionnaire and seek any independent background information about the party/agent's reputation.
- Take up references and assess responses received
- Conduct any further enquiries of the party/agent to clarify any matters arising from the questionnaire, including arranging a face to face meeting if required. There may also be a need to meet with the party/agent in the territory
- Request and review copies of the party/agent's anti-bribery policies and any relevant procedures they operate to prevent bribery and corruption
- Assess relevant commercial considerations for the University's activities, e.g.:
  o is the appointment necessary?
  o does the party/agent have the required expertise to provide the services?
  o is the party/agent going to interact with a public official, or are there any other connections between an party/agent and a public official?
  o are the proposed payment terms of the party/agent reasonable and in accordance with the market rate?
  o have appropriate steps been taken to consider alternative appointments/competitors to this party/agent?

8.   FACILITATION PAYMENTS

Facilitation payments are typically small unofficial payments paid to speed up an administrative process or secure a routine government action by an official.   They are more common in certain overseas jurisdictions in which the University conducts its activities, but it is possible that they could arise in the UK.

Facilitation payments are treated as bribes by the Bribery Act and are prohibited by this Policy.

Examples of when such payments may be requested include:

- To obtain or expedite a permit, licence or other official document or approval
- To facilitate provision of utilities, such as connecting water, electricity, gas or telephone services
- At border controls or crossings to allow safe or prompt entry or exit from a jurisdiction
- To avoid unwarranted delays when goods are held by a customs official
- To ensure personal security or preservation of property from law enforcement officials

Facilitation payments should be contrasted with official, lawful payments (typically to an organisation rather than an individual) to expedite certain functions (e.g. where there is an official system to choose a premium fast track service to obtain a passport). Sometimes demands for facilitation payments are forms of extortion (e.g. unless the demand is met, a person's safety or liberty is placed in jeopardy). However, identifying when a payment is a lawful, official payment and when it is a facilitation payment and a bribe is not always easy. In these cases, it is important for staff to seek confirmation wherever possible of the lawfulness of the payment from an independent source, and seek additional guidance from their Head of School/Support Department or the University Secretary immediately.

If it is not possible to undertake the above steps and if a member of staff is unsure as to the validity of an official's request for a payment, the steps below should be followed as far as they are applicable and as far as it is possible to do so:

The member of staff should:
- Contact their line manager
- Ask the official for proof of the validity of the fee
- Request that a receipt be provided confirming the validity of the payment
- If no proof of validity will be provided, politely decline to make the payment and explain they cannot make the payment because of the University's policy and anti-bribery laws
- If possible ask to see the official's supervisor
- Make a full note of the request, the circumstances and the parties involved
- At all times remain calm, respectful and polite

The University policy is that it strictly prohibits any kind of facilitation payments made by members of staff or third parties acting on its behalf. However, if a member of staff is in fear for their safety or at risk of loss of liberty, they should not refuse the demand for a payment. In all circumstances members of staff must report any demand for facilitation payments immediately to their Head of School/Support Department, who should in turn

refer to matter to the University Secretary for expert advice and guidance where appropriate.

The University of Edinburgh

Central Management Group

11 October 2011

Equality & Diversity Strategy and Action Plan

Brief description of the paper

This paper seeks CMG's approval of the new University Equality and Diversity (E&D) Strategy and Action Plan.

Action requested

For approval.

Resource implications

Implementation of the action plan has resource implications in relation to both financial costs and the time of staff. See paragraph 8.

Risk Assessment

Does the paper include a risk analysis? No. There are several risks associated with equality, such as potential non-compliance with legislation, individual discrimination claims and reputational risks. Although these cannot be removed, the proposed E&D Strategy and, in particular, the Action Plan should reduce these risks.

Equality and Diversity

Does the paper have equality and diversity implications? Yes. This paper states the University's strategic position on equality and diversity and sets out its action plan for the coming year.

Any other relevant information

Eilidh Fraser will present the paper. Sarah Cunningham-Burley, Acting Vice-Principal Equality and Diversity will also be present.

Originator of the paper

Eilidh K Fraser, Deputy Director of HR

Freedom of information

Can this paper be included in open business? Yes

Equality & Diversity Strategy and Action Plan

1. This paper seeks CMG's approval of the attached University Equality and Diversity (E&D) Strategy and Action Plan.

Background

2. The new E&D Strategy and Action plan have been developed in the context of significant changes to the legislation in this area. The Equality Act 2010 brought together over 116 separate pieces of legislation into a single Act. It created a single framework covering nine 'protected characteristics': age, disability, gender reassignment, marital status, pregnancy and maternity, race, religion and belief, sex, sexual orientation. The Act also set out a Public Sector Equality Duty, which requires the University to have due regard to the need to:

   o Eliminate discrimination, harassment and victimisation
   o Advance equality of opportunity
   o Foster good relations between people who share a relevant protected characteristic and people who do not share it.

3. Further 'Specific Duties' will be introduced under the Act by the Scottish Government in due course. These are currently under consultation and are likely to include specific requirements to carry out Equality Impact Assessments and to report on equality outcomes.

4. Led by Professor Lorraine Waterhouse, Vice-Principal E&D, the Strategy and Action plan has been developed in consultation with a wide range of colleagues, including Staff Committee and the Principal's Strategy Group. It was recently approved by the E&D Committee, which includes representatives from EUSA, the Trade Unions, the three Colleges and colleagues working in specialist areas related to E&D.

Strategy and Action Plan

5. The E&D Strategy covers all of the protected characteristics and aims to support the University in meeting its Public Sector Equality Duty, promoting an inclusive culture in which all staff and students can develop and contribute to their full potential.

6. The Action Plan draws together and replaces the University's previous separate action plans on disability, race and gender. The plans for action have been extended to cover all of the protected characteristics and the actions have been reviewed to reflect current University priorities and legal requirements.

7. The Action Plan is intended to be a working document, setting out objectives that are practical and achievable and which promote equality, prevent discrimination and foster good relations between groups. The Action Plan will be reviewed regularly to track progress and revise priorities in light of changes in the University's needs and the legal context.

Resources

8. The implementation of the Action Plan has resource implications, in terms of both funding and staff time. It continues to be a core principle that E&D should be embedded in the University's functions and activities, and all managers have responsibility for E&D in their area. Leadership is therefore essential to ensure effective mainstreaming.

9. It is anticipated that most of the action set out in the Action Plan will be taken forward as part of the ongoing planning and management within the University's Colleges, Schools and functions, and many are already underway. However, some initiatives, such as mentoring and Equality Impact Assessment, will require dedicated resources at least initially. It is proposed that discussion of that should be taken forward with senior management, through Staff Committee and the individual senior managers concerned.

Conclusion

10. CMG is asked to approve the attached Equality and Diversity Strategy and to endorse the priorities and actions set out in the Action Plan, with the associated responsibilities.

Eilidh K Fraser
Deputy Director of HR

Equality & Diversity Draft Strategy

1. Introduction

1.1. This is a single equality strategy to ensure that equality and diversity are guiding principles in our pursuit of academic excellence. Its introduction coincides with the implementation of the Equality Act 2010 and builds on its principle of integrating equality and diversity in policy and practice. We are pleased to have brought together a Single Equality Action Plan (see Appendix 1) as part of the overall Strategy, which specifically aims to address equal of opportunity in relation to the Protected Characteristics under the Act and sets out the priorities for action for the University of Edinburgh. (A full version of the Equality Act can be viewed at: http://www.legislation.gov.uk/ukpga/2010/15/pdfs/ukpga_20100015_en.pdf

1.2 The University has successfully integrated equality and diversity into the priorities of successive strategic plans, and built on that by setting new targets in the University of Edinburgh Strategic Plan 2008-2012.

1.3 We also see the importance of making the strategy open and accessible to all members of the University. This is why we have introduced a dedicated equality and diversity website. This website brings together information on our current policies, some aspects of law in these areas and updates on best practice and developments in government policy.

Our Vision

1.4 We aspire to be a place of first choice for some of the worlds most talented students and gifted staff. The University is committed to developing a positive culture, where all staff and students are able to develop to their full potential.

1.5 The University is committed to embedding Equality and Diversity across all its work, and believes this strategy reflects its commitment and contribution to its place as a world-leading centre of academic excellence.

1.6 We have set targets at University Strategic level as well developing a single

equality action plan to address our duties under the Equality Act 2010 encompassing all of its protected characteristics of age, disability, gender reassignment, race, religion or belief, sex, sexual orientation, marriage and civil partnership and pregnancy and maternity. We identify improvements in the student experience, the challenges faced by disabled staff and students in accessing higher education and gender issues that may affect the pursuit of scientific work as key to tackling real issues.

1.7 The University welcomes the challenges ahead and we are committed to working on the issues facing the higher education sector. It is also expected that this new integrated E&D Strategy will assist the University in working collaboratively with other UK and Scottish Universities and relevant public bodies; in working in partnership with the Trade Unions; in knowledge transfer, leadership development, monitoring and policy development.

2. Scope

2.1 This Equality and Diversity strategy covers the period to November 2012 in keeping with the University of Edinburgh Strategic Plan (2008-2012). It meets our responsibilities in relation to the Equality Act 2010 through publishing a single Equality Action Plan encompassing the protected characteristics under the Act. It is a Strategy for the whole University community of staff and students.

3. Principles

3.1 The University promotes a positive culture for working and studying to which every student and member of staff contributes and within which they are able to develop to their full potential.

3.2 It is central to the concept of a university that all members of that community treat each other with respect, regardless of their race, disability, ethnicity, gender (including transgender), age, sexual orientation, or beliefs.

3.3 The University will embed Equality and Diversity across all its work. To achieve this all staff and students have a part to play.

3.4 The University will simplify the key principles in law so that they may be easily accessible to everyone throughout the institution and to make this information widely available for all members of the University in a range of forms.

3.5 Freedom of expression within the law is central to the concept of a university. To this end, the University will foster a culture which permits freedom of thought and expression within a framework of mutual respect.

3.6 We will always have an Action Plan to meet the aims of the Strategy which will be reviewed regularly and address the following:

(a) **Knowledge management**: to improve the availability and use of knowledge and information across the University, and to support knowledge exchange for improvement in policy and practice.

(b) **Equality monitoring**: to monitor equality data to identify changes over time and to carry out research in areas of particular significance.

(c) **Innovation and improvement:** to promote a positive equalities culture for all staff and students through self-evaluation and evidence based innovation in teaching, learning and services.

(d) **Collaboration of resources**: in the field of Equality and Diversity leading to more streamlined and efficient services.

3.7 The three previous Equality Action Groups (Race, Gender and Disability) who were overseeing the implementation of the three statutory action plans will be subsumed into in a Single Equality Action Group.

4. How the Law Applies to the University

4.1 The University of Edinburgh has legal responsibilities under the Equality Act 2010. The Act consolidated previous anti-discrimination legislation and also introduced new measures that have direct implications for higher education institutions.

4.2 The Equality Act provides a single legal framework with clear, streamlined law that will be more effective at tackling disadvantage and discrimination. It brings disability, sex, race and other grounds of discrimination within one piece of legislation which covers nine protected characteristics. (A full version of the Equality Act can be viewed at: http://www.legislation.gov.uk/ukpga/2010/15/pdfs/ukpga_20100015_en.pdf)

4.3 The Equality Act introduced a new Public Sector General Equality Duty which requires the University to pay 'due regard' to the need to: eliminate unlawful discrimination, victimisation and harassment; advance equality of opportunity and foster good relations.

Definitions of Equality and Diversity and Discrimination

4.4 [1]**Equality** is about creating a fairer society where everyone can participate and has the same opportunity to fulfill their potential. Equality is backed by legislation designed to address unfair discrimination based on membership of a particular group

4.5 [2]**Diversity** is about recognising that everyone is different in a variety of visible and non-visible ways. It is about creating a culture and practices that recognise, respect and value difference. It is about harnessing this potential to create a productive environment in which the equally diverse needs of the customer/client can be met in a creative environment. It is about creating a workforce who feel valued/respected and have their potential fully utilised in order to meet organisational goals. Diversity is not an 'initiative' or a 'project'; it is an ongoing core aim and a core process.

4.6 **Discrimination**
The areas of discrimination where the law offers protection are:

Direct discrimination is where a person is treated less favorably than another in a similar situation on a protected ground.

Specific forms of direct discrimination have also been defined:

- **Associative (transferred) discrimination** is now extended to cover age, disability, gender reassignment and sex. This is direct discrimination against someone because they associate with another person who possesses a protected characteristic.

- **Perceptive discrimination** is now extended to cover disability, gender reassignment and sex. This is direct discrimination against an individual because others think they possess a particular protected characteristic. It applies even if the person does not actually possess that characteristic

- **Disability related direct discrimination**: is where a person discriminates against a disabled person if, on the ground of that person's disability, he or she is treated less favourably than a person not having that particular disability has been or would have been treated.

- **Disability - reasonable adjustments:** is where employers are obliged to make reasonable adjustments to premises or working arrangements to

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[1] www.lawscot.org.uk, accessed 11.08.11
[2] www.lawscot.org.uk, accessed 11.08.11

EQUALITY & DIVERSITY DRAFT STRATEGY 2011-2012

prevent a disabled person from being placed at a substantial disadvantage compared with persons who are not disabled.

Indirect Discrimination is where a rule or practice is applied across the board, but it operates to particularly disadvantage a protected group when compared to others outside the group, unless the rule is needed to achieve a legitimate aim, and the means of achieving that aim are appropriate and necessary.

Victimisation is where an individual who has sought to enforce their rights, or has helped another to do so, has as a result been treated less favorably than others who have not complained.

Harassment where an individual is subjected to unwanted conduct on a protected ground which has the purpose or effect of violating his or her dignity or of creating an intimidating, hostile, humiliating, or offensive environment.

4.7 **Protected Characteristics**

The nine protected characteristics on the grounds upon which discrimination is unlawful are:

Age - refers to a person belonging to a particular age (e.g. 32 year olds) or range of ages (e.g. 18 - 30 year olds).

Disability - a person has a disability if s/he has a physical or mental impairment which has a substantial and long-term adverse effect on that person's ability to carry out normal day-to-day activities.

Gender reassignment - the process of transitioning from one gender to another.

Marriage and civil partnership - marriage is defined as a 'union between a man and a woman'. Same-sex couples can have their relationships legally recognised as 'civil partnerships'. Civil partners must be treated the same as married couples on a wide range of legal matters. The public sector equality duty does not apply to this characteristic.

Pregnancy and maternity - pregnancy is the condition of being pregnant or expecting a baby. Maternity refers to the period after the birth, and is linked to maternity leave in the employment context. In the non-work context, protection against maternity discrimination is for 26 weeks after giving birth, and this includes treating a woman unfavourably because she is breastfeeding.

Race - refers to a group of people defined by their race, colour, and nationality (including citizenship) ethnic or national origins.

Religion or belief - Religion has the meaning usually given to it but belief includes religious and philosophical beliefs including lack of belief (e.g. Atheism). Generally, a belief should affect your life choices or the way you live for it to be included in the definition.

Sex - a reference to a man or to a woman

Sexual orientation - Whether a person's sexual attraction is towards their own sex, the opposite sex or to both sexes

6. Action Plan

Refer to **Appendix 1** for the Single Equality Action Plan and Aims.

7. References

Equality and Diversity website
University's Strategic Plan 2008-12
EDMARC - Equality & Diversity Monitoring and Research Committee
Equality & Diversity Coordinators and their role descriptor
Equality Act 2010

8. History and Review

This Equality and Diversity Strategy was reviewed in 2010/11 in line with the University's Strategic Plan and to incorporate legislative changes. It was approved by # on [date] and takes effect from the same date. It replaces the previous Equality and Diversity Strategy and Action Plan; the University's Disability, Gender and Race Equality Schemes and Action Plans; the Race Equality Policy and the Policy and Codes of Practice on Equal Opportunities in Employment and on Equality and Diversity for Students.

This Strategy and Action Plan will be reviewed in the event of any significant changes to the legal position on equality or diversity, or any other relevant factors. In the absence of such a change, they will be reviewed following publication of the University's next strategic plan in 2012/13.

9. Alternative Format

If you require this document in an alternative format please contact Equality and Diversity at: equalitydiversity@ed.ac.uk or telephone 0131 650 .8127

THE UNIVERSITY *of* EDINBURGH

Equality Action Plan 2011 - 2012

This Action Plan specifically aims to address equal opportunity in relation to the Protected Characteristics (PC) under the Equality Act 2010. It sets out the priorities for action for the University of Edinburgh (UoE) Equality & Diversity (E&D) Strategy.

Key - Protected Characteristics: All (All) Age (A) Disability (D) Sex (S) Nationality [3] (N) Race (R) Religion or Belief (RB) Sexual Orientation (SO) Gender Reassignment (T)

Review: This Action Plan will be reviewed annually and be reported to relevant University Committees and published on the relevant University websites.

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[3] Note: Nationality is part of Race, but is also specified separately here because it is of distinct significance in relation to the University's Internationalisation Strategy and can be separately identified and monitored in relation to the University's staff and student populations.

SES Action Plan Post E&D C Sep. 2011

1. Structures and Communications

Priorities and Action	Why	PC	Timeline	Responsibility
1.1 Embedding equality and diversity into Structures – **1.1.1** Review E&D Management, consultation and committee structures, including different Protected Groups, Edinburgh University Student Association (EUSA), Trade Unions (TUs), external bodies e.g. government bodies & local agencies. **1.1.2** Review School/Support Department E&D plans under the remit of Colleges/Support Groups and incorporate into UoE level Strategic/Action Plans.	To promote diversity within memberships of key committees and across the University.	All	**1.1.1** By end 2011 **1.1.2** Annually each June	**1.1.1** Vice-Principal Equality and Diversity. **1.1.2** Vice-Principal Equality and Diversity. Heads of Schools and Colleges/Head of Support Depts and Support Groups.
1.2 Networks –Support and promote networks in achieving equality aims.	To promote information exchange and support consultation.	Potentially All [staff and students] dependent on specific networks.	Ongoing.	Senior HR Employee Relations Partner
1.3 Support & Induction - **1.3.1** Review the 'pre-arrival guidance' for new international students and review the provision of ongoing support. **1.3.2** Review the Information for New Staff Guide and review the provision of ongoing support.	To improve support for staff and students from first point of contact with the University.	All (staff & students)	**1.3.1 & 2** By 2012	**1.3.1** Director of International Office. **1.3.2** Senior HR Partner – Resourcing
1.4 Publicising equality – promote equality and diversity in published documents and materials e.g. recruitment documentation, newsletters.	To improve awareness of equality and diversity and promote good practice.	All	Ongoing	Vice-Principal Equality and Diversity, Deputy Director of HR, Heads of Colleges/Support Groups.

2. Policy and Good Practice

Priorities and Action	Why	PC	Timeline	Responsibility
2.1 Equality Impact Assessment (EIA) - **2.1.1** Develop EIA Policy and Forms. **2.1.2** Ensure EIA is carried out as part of Internal Audits, Reviews and Major projects.	To fulfil legal obligations and more. To support continuous improvement. To further embed equality and diversity into structures and practice.	All (staff & students)	**2.1.1** By end 2011 **2.1..2** By end 2011	**2.1.1** Deputy Director of HR. **2.1. 2** HR/Internal Audit/Vice-Principal Equality and Diversity/Heads of College and Support Groups/EUSA.
2.2 Flexible Working Policy – Disseminate a flexible working policy and provide guidance and good practice to managers and staff.	To introduce changes in the law on retirement. To fulfil legal obligations in supporting disabled staff and students. To support family friendly policies.	A/D/S/R/RB [staff and students]	By October 2011	Senior HR Employee Relations Partner
2.3 Accessibility - (physical & other) **2.3.1** Review and implement the EIA process on estates projects in Estates & Buildings to take account of all PCs. **2.3.2** Timely response to required equality adjustments to the estate. **2.3.3** Review and implement the EIA process on estates projects in relation to Information Services infrastructure to take account of all PCs.	To fulfil legal obligations and more. To improve the student experience and working environment for staff. To disseminate good practice.	All [staff and students]	**2.3.1** tbc **2.3.2** Ongoing **2.3.3** tbc	**2.3.1** Director of Estates & Buildings. **2.3.2** Director of Estates & Buildings. **2.3.3** Vice Principal Knowledge Management, Chief Information Officer & Librarian, University of Edinburgh.
2.4 Code of Practice on the Selection of Staff - REF 2014 (COP REF] - Promote equality & diversity through preparation of COP REF. [Incorporating guidance on "equality analyses" which is the term used to refer to equality within REF processes.]	To fulfil legal obligations and more To disseminate good practice	All	By 2014	Via Research Policy Group [Code of Practice prepared by Director of HR]

SES Action Plan Post E&D C Sep. 2011

Priorities and Action	Why	PC	Timeline	Responsibility
2.5 Procurement Develop specific University guidance on equality in procurement by: 2.5.1 Ensuring providers are made aware of our equality procedures & Action Plan. 2.5.2 Equality Impact Assess the University's Procurement process.	To fulfil legal obligations and more To disseminate good practice	All	By 2012	Director of Procurement
2.6 Higher Education Academy (HEA) 'Developing an Inclusive Culture' Project - Review current policy and practice on curriculum design by examining new course and programme approval processes.	To embed inclusive practice in line with the outcomes of the HEA project.	All	By 2012	Assistant Principal Academic Standards and Quality Assurance
2.7 Annual Review/equivalent processes - **2.7.1** Carry out EIA on annual performance and development review/appraisal or equivalent processes. **2.7.2** Review annual review/equivalent processes data statistics against Protected Characteristics in relation to new annual review/equivalent processes. **2.7.3** Embed E&D in annual review/equivalent processes training and guidance. N.B. annual review processes currently being reviewed.	To fulfil legal obligations and more. To identify any potential discrimination and to take remedial action as required.	S/R/D/A	2.7.1 From Oct. 11 onward 2.7.2 By 2012 2.7.3 tbc.	2.7.1 Aggregate: within College/Support Groups via Heads of HR. 2.7.2 Deputy Director of HR. 2.7.3 tbc.
2.8 Mentoring – In the first instance develop plans for the introduction of expanded availability of mentoring for Academic & Research staff, including relevant training & support.	To promote equality in relation to career development.	S/R	By 2012	Director of HR, Heads of School.
2.9 Good Practice Hub - Develop and promote a good practice 'hub' on the Equality & Diversity website, ensuring all Protected Characteristics are clearly exemplified.	To disseminate good practice.	All (staff & students)	By 2011	R Employee Relations Partner, EUSA.
2.10 Dignity & Respect (D&R) - Develop a D&R Framework and disseminate the Policy.		All (staff & students)	By mid 2012	Deputy Director of HR, EUSA.

Priorities and Action	Why	PC	Timeline	Responsibility
2.11 Learning & Development - **2.11.1** Publicise and promote e-Diversity in the Workplace online training. **2.11.2** Roll-out Cultural Diversity training **2.11.3** Ensure that those running L&D events have been E&D trained.	To fulfil legal obligations and more. To improve the student experience and working environment for staff.	All (staff & students) R	**2.11.1** By June 2011 **2.11.2 By end 2011** **2.11.3** By July 2012	**2.11.1** Deputy Director of HR **2.11.2** Deputy Director of HR **2.11.3** Deputy Director of HR/Director of Institute of Academic Development. Vice-Principal Knowledge Management.
2.12 Promotions - **2.12.1** Review equality & diversity representation on promotions committees. **2.12.2** Review Academic promotions processes.	To disseminate good practice. To fulfil legal obligations and more. To promote equality in relation to career development.	S/R	**2.12.1 & 2** By 2012	**2.12.1** /Snr HR Partner – Reward, local HR **2.12.2** Director of HR/Snr HR Partner – Reward.

3. Monitoring

Priorities and Action	Why	PC	Timeline	Responsibility
3.1 Monitoring - **3.1.1** Improve data collection through staff recruitment processes. **3.1.2** Review the number of appointments/ promotions: **3.1.3** Produce annual Equality & Diversity Monitoring & Research Committee (EDMARC) Reports & keep the content under review. **3.1.4** Follow up EDMARC findings, as appropriate. **3.1.5** Carry out regular Equal Pay Audits. **3.1.6** Continue to encourage disabled staff to disclose disability and provide support when they do.	To fulfil legal obligations and more. To improve recruitment & staff satisfaction, e.g. to improve student uptake. To promote diversity within memberships of key committees and across the University.	A/S/R/D (staff & students)	**3.1.1** By end 2011 **3.1.2** through **3.1.6** all Ongoing	**3.1.1** e-Recruitment Project. **3.1.2** Snr. HR Partner - Reward **3.1.3** Convener of EDMARC. **3.1.4** University Secretary with advice from EDMARC **3.1.5** Snr. HR Partner - Reward **3.1. 6** Deputy Director of

				HR.

4. Additional Action on Specific Protected Characteristics

Priorities and Action	Why	PC	Timeline	Responsibility
4.1 Age – Consider appropriate measures in relation to removal of the default retirement age [DRA].	To fulfil legal obligations and address the consequences of the removal of the DRA.	A	Spring 2012	Deputy Director of HR
4.2 Occupational Segregation - Review the Scottish Government reports on Occupational Segregation and identify any actions.	To fulfil legal obligations and more.	S	By end of 2011	Deputy Director of HR
4.3 Childcare – Review provision of childcare facilities across the University to ensure equality of access and the services to meet the needs of a wide variety of staff and students.	To support staff and students with childcare.	S	2011	Director of Corporate Services Group.
4.4 Athena SWAN Awards **4.4.1 Relevant schools/units in CSE and MVM** apply for Awards. 4.4.2 Participate in the Equality Challenge Unit's 'advancing gender equality in higher education: good practice in employment recognition scheme' pilot.	4.4.1 To meet the University's strategic objectives. To promote women in science. 4.4.2 To promote a good practice recognition scheme to promote and advance gender equality in higher education	S	4.4.1 By 2012 4.4.2 During 2011/12	**4.4.1** Vice-Principal Equality and Diversity + School leads. 4.4.2 Vice-Principal Equality and Diversity and Project team
4.5 Accessibility – Review the refurbishment of e.g. the John MacIntyre Conference Centre and other buildings.	To improve the student experience and working environment for staff. To adapt to suit the protected characteristics. To disseminate good practice.	All [staff and students]	tbc	Director of Corporate Services Group.

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Priorities and Action	Why	PC	Timeline	Responsibility
4.6 English as an additional language – Review provision of English as an additional language support for under/post graduate students and seek advice from the English Language Teaching Centre.	To ensure that undergraduate and postgraduate students are supported to the best of their ability in developing academies literacy in their subject area.	R	December 2011	Assistant Principal Academic Standards and Quality Assurance via Senatus Quality Assurance Committee (SQAC).
4.7 International Students - **4.7.1** Consider the effects of the Christmas and New Year closure on international students. **4.7.2** Provide good quality pre-arrival information. **4.7.3** Participate in the Equality Challenge Unit project on Experiences of International Students.	To improve the experiences of International students.	All	All - tbc	**4.7** Vice-Principal Equality and Diversity via : **4.7.1&2** International Office **4.7.3** Convener, Race Equality Action Group.
4.8 Qualitative research - **4.8.1** Extend monitoring beyond 'hard data' by deploying qualitative research methods on agreed priority areas. Agree with the Chair of EDMARC an area of qualitative research study related to Black, Asian Minority Ethnic (BAME) students e.g. attainment and progression rates, poor conversion rates for BAME students from offer to acceptance.	To improve the experiences of BAME students and students from different faith/belief backgrounds. To improve the acceptance rates of BAME students into the UoE.	R/RB	December 2011	Vice-Principal Equality and Diversity with Chair of EDMARC.
4.9 Partnership with professional and community bodies - **4.9.1** Heads of School to identify their Schools' needs and establish dialogue with professional bodies on equality issues. **4.9.2** Undertake to make links with professional bodies on under-represented groups.	To ensure race equality matters from the sector are embedded into university programme content. To improve the numbers of BAME and disabled applicants into the sector. To play an active role as a civic university in taking forward equality in the area of race relations as well as religion and belief.	R/RB/S/D	**4.9.1** April 2012 **4.9.2** tbc.	**4.9.1** Heads of School of the specific professional programme areas. **4.9.2** Centre for Education for Racial Equality in Scotland (CERES). Others tbc.

SES Action Plan Post E&D C Sep. 2011

Priorities and Action	Why	PC	Timeline	Responsibility
4.10 Learning and Development - **4.10.1** To roll-out differentiated inter-cultural and faith awareness courses for different categories of staff on MyEd. **4.10.2** To provide seminars on topics addressing race and religious diversity matters e.g. promoting good relations in learning and teaching, service delivery, addressing inter-and intra-group tensions related to racial matters.	To build staff awareness and confidence of working within racial, cultural, religious, and linguistic diversities.	R/RB	June 2012	**4.10.1** tbc. **4.10.2** Student Disability Service, International Office, Chaplaincy, EUSA.
4.11 Sexual Orientation – Set up an LGBT Network.	To promote equality and to support LGBT staff and students.	SO	Tbc	Senior HR Partner - Employee Relations.
4.12 Transgender – Develop a Trans Equality Policy.	To support trans equality staff and students.	T	By April 2011	Senior HR Partner - Resourcing.
4.13 Disability – Staff **4.13.1** Develop a Staff Disability Policy. **4.13.2a** Develop improved processes for staff and managers to access support for disabled staff. **4.13.2b** Develop and publicise information on the support for disabled staff, for both staff and managers. **4.13.2c** Develop health & wellbeing pages on the HR web on good practice e.g. flexible working, reasonable adjustments. **4.13.3** Work with external bodies on initiatives such as Healthy Working Lives and 'See me' Scotland to develop a staff culture which promotes good mental health. **4.13.4** Review the systems and processes for obtaining monitoring data on disability, with a view to improving data collection and improving statistical reporting.	To support disabled staff, and to recruit and retain staff. To fulfil legal obligations and more.	D [staff]	All By 2012	HR Partner - Employee Relations

Priorities and Action	Why	PC	Timeline	Responsibility
4.14 Disability - Students - **4.14.1** Review satisfaction monitoring measures for disabled student support: **4.14.2** By reviewing content of Student Disability Service evaluation, exploring other feedback mechanisms. **4.14.2a** Fully implement course adjustments for students. **4.14.2b** Revise and update guidance for all relevant stakeholders (e.g. Manual for the Management of Adjustments to Academic Processes for Disabled Students). **4.14.2c** Develop further awareness of issues relating to students with specific learning difficulties, including Aspergers Syndrome and dyslexia. **4.14.3** Embed a culture of improved and necessary support for mental health issues, by: **4.14.3a** Work closely with relevant student bodies e.g. EUSA, to disseminate information and promote mental health awareness and support. **4.14.3b** Develop mental health support provided by the Student Disability Service via the mental health mentor service. **4.14.4** Continue to work towards an inclusive environment for disabled students.	To fulfil our legal obligations. To improve the student experience and supporting the Widening Participation agenda. To support students to reach their full potential. To promote an inclusive environment. To enhance our student experience.	D [students]	**4.14.1** Annually. **4.1.4.2** Ongoing. **4.14.2a/b/c** tbc. **4.14.3** Ongoing **4.14.3a & b** Ongoing **4.14.4** Ongoing	**4.14.1** Director of Student Disability Service. **4.14.2** Student Disability Service Coordinators of adjustments/academic and support staff. **4.14.2a & b** Senatus Quality Assurance (SQAC) Accessible Learning [Teachability] Implementation Group. **4.14.2c** Student Disability Service. **4.14.3** University Secretary with support form Student Disability Service. **4.14.3a & b** Disability Committee Mental Health sub-group. **4.14.4** Student Disability Service.

Priorities and Action	Why	PC	Timeline	Responsibility
4.14.5 Develop University-wide communication on Accessible Learning (Teachability), including examples of good practice. **4.14.5a** Reduce overall number of specific adjustments recommended on students' learning profiles in favour of "mainstreamed" approach. **4.14.6** To review and update the University's Disability Policy to reflect the new legislation.			**4.14.5 & a** Ongoing **4.14.6** by January12	**4.14.5** SQAC task group implementation plan **4.14.5a** Director Student Disability Services/SQA Teachability Task group/Colleges/Schools. **4.14.6** Disability Committee.

The University of Edinburgh

Central Management Group

11 October 2011

Performance and Development Review

Brief description of the paper

This paper reports on progress with the development of performance and development review policy and processes and seeks CMG's approval to an Annual Review Policy Statement, pending final agreement through the Combined Joint Consultation and Negotiation Committee (CJCNC).

Action requested

To note progress and approve the Policy Statement in principle.

Resource implications

None

Risk Assessment

Does the paper include a risk analysis? No.

Equality and Diversity

Does the paper have equality and diversity implications? Yes. Annual Review plays an important part in ensuring that all staff fulfill their potential and are appropriately recognised. The Policy Statement states that Annual Review must be carried out in line with the University's Equality and Diversity and Dignity and Respect policies.

Originator of the paper

Eilidh K Fraser, Deputy Director of HR

Freedom of information

Can this paper be included in open business? Yes

Performance and Development Review

1. This paper reports on progress with the development of University performance and development review policy and processes and seeks CMG's approval in principle to an Annual Review Policy Statement, pending final agreement through CJCNC.

2. At its meeting in June, following discussion by a one-off sub-committee, Staff Committee agreed a set of key principles and core processes that should apply to the review of staff's performance and development across the University. These proposals were then discussed with the Trade Unions as part of an ongoing informal consultation process.

3. It appeared, through the discussions with the unions, that there was accord on most of the broad principles. However, the unions remained opposed to the word 'performance' being part of the title of the process and it was apparent that discussion of some more detailed aspects was standing in the way of agreeing on the principles and core process. In order to ensure that ongoing reviews across the University are underpinned by a single set of principles, it was agreed with the unions that we should firstly seek to agree on a relatively brief Policy Statement and that development of fuller guidance and a standard format should follow.

4. The attached Annual Review Policy Statement has now been developed in consultation with the trade unions and members of Staff Committee. This includes the key principles and core processes identified by Staff Committee in June.

5. While Staff Committee had expressed a preference for the title of 'Performance and Development Review', it was agreed that the title 'Annual Review' could be used provided that the dual purpose - to review both performance and development – was explicit and clear. In order to agree a Policy Statement with the unions, it has proved necessary to take that approach.

6. The Annual Review Policy Statement is now brought to CMG for approval, subject to final agreement through CJCNC.

7. Following approval of the Policy Statement, the next steps will be:

    o   The Annual Review Policy Statement will be put to CJCNC for agreement and then published on the HR website and publicised through Staff News and through managers.

    o   The development of fuller guidance and a standard format for Annual Review is underway and will be taken forward as quickly as possible, involving managers, trade union representatives and HR colleagues from across the University.

    o   A basic Annual Review recording system has been developed and is now available for use by all areas. Plans are being made to roll-out implementation. If this is used in all areas, it will enable ready collection of data on Annual Reviews through the Oracle HR system. A fuller on-line Annual Review 'work-flow' system has also been developed and is currently being piloted.

8. CMG is requested to approve the attached Annual Review Policy Statement, subject to final agreement through the Combined Joint Consultation and Negotiation Committee (CJCNC), and to note the plans for development of University guidance and a standard format for Annual Review.

Eilidh K Fraser
Deputy Director of HR

Annual Review Policy Statement

Purpose

1. This Policy Statement sets out the core principles of Annual Review in the University, to support a positive working culture which enables, encourages and recognises success and aligns with the University's mission and goals.

2. Annual Review aims to equip employees to realise their full potential; to focus their efforts as direct contributors to the success of the university; and to support individual professional and personal development. It involves reviewing every employee's performance and development each year, setting objectives and identifying development needs and opportunities for the future. It should ensure that employees are clear about what is expected of them, how their work is progressing and how they will be supported in their job and their development.

Scope

3. The principles for Annual Review set out in this Policy Statement apply University-wide, while enabling individual Schools/departments/units/employee groupings the flexibility to ensure the process recognises their particular context and needs.

4. This Policy Statement applies to all those employed by the University for a period of greater than 3 months irrespective of the nature of the contract.

Principles and Governance Processes

5. Annual review is mandatory for all employees. Where employees are absent at the time when the Annual Review would normally be held, either due to a significant period of absence (e.g. maternity leave) or shorter-term period of absence, arrangements will be made to ensure a Review is held before and/or after the period of absence.

6. Heads of Colleges and Support Groups will make arrangements for reviews to be carried out and recorded for all staff within each year, between 1 August and 31 July.

7. Some employees are required to have a review or appraisal of their work and development through an external process, as is the case with all clinical academic staff. In such cases the Annual Review may be carried out through

2

that process and the timetable may differ, provided the process is consistent with the principles set out here.

8. Through the Annual Review, employees and their line managers should clearly identify how employees' roles contribute to the successful attainment of the school/department/unit goals and support the achievement of the University's goals.

9. As a minimum, through Annual Review the employee and their manager will:

   o Review the employee's achievements, and progress and performance in relation to objectives over the preceding year
   o Review the employee's development over the preceding year
   o Identify priorities and objectives for the coming year
   o Identify development and support requirements for the coming year
   o Identify longer term objectives and development needs, where appropriate

10. Annual Reviews will always involve a meeting between the employee and their manager (or other nominated reviewer). The extent, duration and nature of Annual Review discussions and processes should be proportionate and appropriate to the circumstances, e.g. taking into account the nature of the employee's job and the extent to which their objectives change from year to year, and any external requirements such as from professional or funding bodies.

11. Line managers are responsible for ensuring that Annual Reviews take place and will normally act as Reviewers. If not acting as Reviewers, line managers are responsible for nominating a suitable Reviewer to act on their behalf.

12. The purpose of Annual Review meetings is to review the employee's performance and development over the previous year and discuss and agree objectives for the next twelve months, and for the longer term where appropriate. Reviewer and reviewee are both responsible for participating fully in the Annual Review. They have joint responsibility for preparing fully for the Annual Review meeting, engaging in an honest, professional discussion around the reviewee's contributions and discussing and planning for the reviewee's future contributions and development.

13. During the Annual Review meeting there should be:

   o Honest, balanced, evidence-based feedback on the reviewee's strengths and areas for development or improvement
   o An opportunity to gain a clear understanding of the College/School/Support Groups' expectations of the employee and detailed discussion of the employee's contribution to the achievement of local goals, in the context of University goals
   o Detailed discussion of development needs and appropriate guidance, support and development towards the achievement of the employee's objectives and enhancement of their performance.

14. At the end of the meeting the reviewee should have clear objectives for the coming year and a development plan that allows them to take a proactive approach to their own development with the support of their line manager.

15. Both parties are responsible for the effectiveness of the Annual Review, including adhering to the following values:

    o **Mutual trust and respect -** both parties are expected to approach the discussions with a mutual respect for the other person's skills, abilities, knowledge and experience in their respective roles
    o **Collaboration/partnership -** the review meeting should be a genuine, constructive two-way discussion: with both parties taking an active part to ensure that it is meaningful, relevant and productive for both
    o **Transparency -** a clear and shared understanding of the purpose and outcomes of the process
    o **Relevance –** the discussion should focus on work priorities and objectives that clearly link to University goals.

16. Annual Reviews will be carried out in a fair and equitable way, in line with the University's Equality and Diversity principles, and with a view to promoting a positive culture for working and studying, as required by the University's Dignity and Respect Policy.

17. Reviewers are required to have appropriate training and/or experience to carry out Annual Reviews. The University will provide a range of learning and development resources to support the skills and knowledge of all staff in relation to Annual Review. This will include written guidance and workshops.

18. The key points and outcomes of the Annual Review discussion must be documented and signed off by the employee, their line manager and the next level of manager.

19. On the rare occasion where disagreement arises through the Annual Review or in the documentation, this should be resolved between the line manager and the employee, wherever possible. Where unresolved, advice should be sought from HR.

Monitoring

20. Individual staff development needs will be identified through the Annual Review process, and will be collated to inform Learning and Development strategy, planning and provision.

21. Annual Review completion is an important Quality People indicator and strategic target for the University. Completion rates will be monitored at School/Service Area/College and University level.

22. Equality monitoring will be carried out on review completion, particularly in relation to age and sex.

History and review

23. This Policy Statement was endorsed by CJCNC and approved by CMG on [Date] and takes effect from [date]. It replaces the previous 'appraisal' framework and the Professional Development & Review scheme for new lecturers. If there is perceived to be any contradiction between this Policy Statement and other University policies or guidance, advice should be sought from HR. It is intended that the principles set out in this Policy Statement should take precedence.

24. Further guidance on Annual Review is being developed in partnership with a range of stakeholders, including the recognised trade unions, which will provide some standard elements of processes and further advice on Annual Review and support in particular circumstances, such as during probation, for early career academic staff, for staff working on research grants and for staff working variable hours. Guidance will also be provided on the relationship between Annual Review and other University policies and processes and on how to resolve disputes. It is anticipated that the guidance and processes will continue to evolve in the light of good practice experience both in the University and elsewhere.

25. This Policy Statement will be reviewed by September 2012 and an initial evaluation of the Annual Review process will be undertaken in 2012-13.

Alternative Format

This document can be provided in alternative formats on request by email to UHRS@ed.ac.uk or by calling 0131 650 8127.

The University of Edinburgh

Central Management Group

11 October 2011

**Changes to Tuition Fees for 'Rest of UK' Students
Proposed Approach to Implementation**

Brief description of the paper

This paper aims to:

(i)   Explain the new tuition fees arrangements for UK and EU students for 2012/13;
(ii)   Describe the proposed approach for assessing the domicile of applicants;
(iii)   highlight issues and risks; and
(iv)   Present the ways that we can treat the fee status of students who demonstrate that their domicile is different to their designated domicile at offer.

Action requested

To approve the proposed process of assessing the domicile of applicants and of the development of a software tool to aid this process and to decide on the policy for fee status of students who demonstrate that their domicile is different to their designated domicile at offer.

Resource implications

Does the paper have resource implications? Yes, detailed in 'Resources' page 3.

Risk Assessment

Does the paper include a risk analysis? Yes, detailed in 'Risks' page 3

Equality and Diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No

Originator of the paper

Academic Registry (Bruce Johnson, Robert Lawrie)
Governance and Strategic Planning (Peter Phillips)
Student Recruitment and Admissions (Rebecca Gaukroger)
College of Humanities and Social Science (Saladin Rospigliosi)
College of Medicine and Veterinary Medicine (Emma Rowson)
College of Science and Engineering (Wendy Magowan)

Paper to be presented by

Dr Kim Waldron, University Secretary
6 October 2011

<u>The University of Edinburgh</u>

Central Management Group

11 October 2011

Report from Estates Committee held on 8 September 2011

<u>Brief description of the paper</u>

The paper reports on key discussions and recommendations made at the meeting of EC, held on 8 September 2011.

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) or online via the EC web-site at http://www.ec.estates.ed.ac.uk/index.cfm

<u>Action requested</u>

CMG is invited to note the report and endorse the recommendations contained in the paper.

<u>Resource implications</u>

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

£5.035m of requests are recommended for approval. The Estates Committee sub group met following the EC meeting as the Director of Finance was not present at the Estates Committee and the Capital Projections Plan had not been fully updated post year-end. The ECSG met on the 28th September and concluded that the £5.035m was all affordable without compromising the University's approved speculative priority programme and will be funded from the University's CAC.

<u>Risk Assessment</u>

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, FGPC, and Court.

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.

<u>Equality and Diversity</u>

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.

<u>Any other relevant information</u>

The Senior Vice-Principal Planning, Resources and Research Policy will present the paper.

<u>Freedom of information</u>

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.

<u>Originator of the paper</u>

Paul Cruickshank – Estate Programme Administrator
Angela Lewthwaite - Secretary to EC
3 October 2011

The University of Edinburgh

Central Management Group

11 October 2011

2010/2011 Value for Money Report

Brief description of the paper

In January 2006 a Value for Money Policy was agreed by the Audit Committee. On 14 October 2008, the SFC introduced its new mandatory requirements, which universities are obliged to comply with, as set out in paragraph 16 of the Financial Memorandum. These mandatory requirements oblige institutions (a) to have a strategy for systematically reviewing management's arrangements for securing value for money, and (b) to obtain, through their internal audit arrangements, a comprehensive appraisal of management's arrangements for achieving value for money. Audit Committee had included in the policy the giving of prime executive responsibility to the Central Management Group. This paper reports on VFM activity for 20010/11, covering both initiatives pursued through CMG, and more locally-focussed work. Members of CMG are asked to consider whether the content of this paper meets their needs in satisfying themselves that sound arrangements are in place to promote economy, efficiency and effectiveness. With CMG's endorsement, the paper will be passed to Audit Committee.

Action requested

To endorse this report and transmit it to Court via Audit Committee as part of the Committee's Annual Report.

Resource implications

Does the paper have resource implications? Yes it reports on some very significant investment to deliver VFM

Risk Assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Jon Gorringe,
Director of Finance

25 August 2011

20010/11 Value for Money Report

1. Introduction

In January 2006 a Value for Money Policy was agreed by the Audit Committee. On 14 October 2008, the SFC introduced its new mandatory requirements, which universities are obliged to comply with, as set out in paragraph 16 of the Financial Memorandum. These mandatory requirements oblige institutions (a) to have a strategy for systematically reviewing management's arrangements for securing value of money, and (b) to obtain, through their internal audit arrangements, a comprehensive appraisal of management's arrangements for achieving value for money. Audit Committee had included in the policy the giving of prime executive responsibility for this to the Central Management Group. This paper reports on VFM activity for 20010/11, covering both initiatives pursued through CMG, and more locally-focussed work over the last year, so that consideration can be given as to whether sound arrangements are in place to promote economy, efficiency and effectiveness and appropriate activity.

With reductions in public funding for universities now occurring, there has been a concerted effort across the University to both increase income and reduce costs. In broad terms, this activity has been reported both to the Scottish Government in response to their efficient government initiative and to Universities Scotland to support our case that Institutions are continuing to do more with less resources in the wider context of funding for universities.

As in previous year the report on initiatives have been divided into the following categories :

- Specific University wide initiatives.
- Major investments to deliver long-term business enhancement and cost savings
- Estate rationalisation and other initiatives aimed at reducing utility costs and other estate-related expenditure.
- Reviews and reorganisation to deliver improved teaching, research and other support service delivery, including cost reductions.

2. Specific University-wide Initiatives or national initiatives

- Changes to the USS pension scheme to be implemented on the 1st of October 2011 have delivered a financially sustainable scheme for the University and its members
- Successful negotiation of the merger of eca into the University will allow substantial cost savings and service enhancements.
- Estates have conducted pilot projects using a Space Assessment Model with Architecture, Law and Languages, Literatures & Cultures and are running further pilots at the College of Science and Engineering. The aim is to deliver a model that is accepted by budgetholders as fair way of improving space management across the University.
- The central post review group has continued in operation in 2010/11, being a part of the delivery of the reduction in overall staffing numbers. The rigorous process has focused on making vacant posts available only to internal candidates in the first instance, ensuring that academic posts are focused on the REF as well as delivering teaching and that support services are delivered in a coordinated way across all areas of the University.
- Voluntary severance and early retirement has continued to be supported by central funding in 2010/11. It has resulted in …..staff agreeing to leave the University. Though the volume of uptake of the scheme has reduced it is still important in allowing rationalisation and improvements in both academic and support activities.
- Lean Reviews, which in previous years were solely sponsored by the Corporate Services Group, are now being in addition taken up by SASG. Coming out of these reviews has been a number of value for money improvements. The new and existing buildings and facilities at

Easter Bush are now being managed by a unified facilities management operation coming out of an Estates Lean project.

- Procurement activity across the University has continued to deliver improving cost efficiencies which for 2010/11 totalled £8.6 million (2009/2010 £7.4 million). Highlights sere the procurement of major new bio-imaging equipment for the new Roslin building. New sports and entertainment equipment for Sport and Exercise has also been successfully procured. The University remains 'superior' rated and best in HE in Scotland in the latest assessment of public sector bodies in Scotland.

3. Major Investments to deliver long-term business enhancement and cost savings

- The shared timetabling project aims to deliver major improvements both in the efficiency of the use of teaching space and the flexibility of students in taking course options as part of their studies. Commercial software is being purchased to address this issue where Edinburgh currently does not have systems and procedures which have been in operation for many years at other universities.
- From the beginning of 2010/11, radical changes to the budget model for the Edinburgh Business School were introduced, designed to incentivise improved financial performance to invest in enhanced teaching and research quality. This took significant senior management input, but in the first year of operation, the Business School has had a record year in terms of income and surplus.
- The unidesk service management to is being developed for introduction in 2011/12. This system should improve user self-help particularly for distance learners at reduced support costs.
- An investment of £4.5 million over 3 years is enabling the delivery of a much enhanced range of postgraduate taught courses delivered by distance learning. There is aim to deliver a significant increase in activity which through the economics of scale should make efficiency savings around the support systems required for teaching at a distance.
- The merger of eca into the University was completed at the end of the year. Major staffing rationalisation took place within eca as it planned for merger, reducing staff costs by over £1 million. The University took over estates services to deliver improvements and cost savings which will continue in teaching and support areas in its first year as the new eca within Humanities and Social Sciences.
- Negotiations continued on merging the MRC Human Genetics Unit into the University from October 2011. This will give similar opportunities to improve the efficiency of the support services.
- During the year a gateway process was adopted by estates on major capital building projects. This is aimed to improve the management of such projects and therefore deliver value for money. In the coming year post completion reviews will enable VFM to be measured on completed capital building and IT projects which have previously been subject to the gateway process.

4. Estates Rationalisation and activity to reduce utilities cost

- The opening of the New Dick Vets School at Easter Bush has enabled the existing Summerhall building to be sold. There are also reductions in running costs and long-term maintenance of over £700,000 per annum despite the new facilities being spectacularly better and larger. In addition three libraries have been rationalised into….
- Further phases of the Library redevelopment have built on the vast increase in usage seen with the earlier phases. A further 30% to 90% from the pre-project usage has been achieved.
- The development of the Library Annexe in commercial warehousing off campus has allowed lesser-used books to be stored more cost effectively. New service and capital investment in scanning equipment has allowed fast delivery back to campus.

- A range of innovative solutions delivering more efficient shelving and storage of books at library facilities across the University.
- In areas such as Informatics with usage of sophisticated computing hardware, greater focus on electricity usage is the procurement of new equipment in delivering savings of up to 33% despite technological advances in performance.
- Further work in preparation for the devolution of utilities costs to budgetholders has continued. Accurate information by building after the implementation of new mete…is now being produced. An agreed procedure for devolving budget for 2012/13 will be agreed in the coming year.
- The levels of recycling continue to increase and the amount of waste sent to landfill bas reduced by 23%. This delivered savings in excess of £100k for last year.
- The University has now been part of the overall Scottish public sector in procurement for gas and electricity for over a year. Pressure is being exerted to receive meaningful benchmarking of prices paid compared to large Universities in the rest of the UK.
- Savings initially of 5% rising to 11% in 2013/14 have been achieved with a similar contract for water supplies.

5. **Reviews and reorganisations to deliver improved teaching, research and other support service delivery including cost reductions.**

- The School of Physics and Astronomy is, following a project analysing their pre-award research grant procedures, introducing revised processes from September 2011. It will streamline the preparation of research grant bids, reducing administrative costs and improving the quality of the submission made to funders.
- The School of Chemistry has replaced a nitrogen generator with a new facility which is delivering cost savings of over £2000 per month in high usage periods as all demand can be met internally rather than being bought in. It has also delivered operational improvements in terms of certainty of supply and reduced health and safety risk.
- The School of Maths has redesigned its prehonours teaching including the rationalisation of its nonspecialist (service) provision. This process will take us from teaching 400 points of courses at this level in 2009-10 to approximately 240 points in 2012-13. Combined with replacing some 10-point course with 20-point courses, this will considerably ease the administrative ad other costs associated with this provision while maintaining or improving quality.

<u>Conclusion</u>

Again this report demonstrates the wide range of activities taking place across the University to deliver improved value for money. The focus is now on moving from opportunistic staff reductions after a period of sustained growth for the University to changes and actions which deliver improvements and cost enhancements. This is clearly a more challenging process but one that University managers see as necessary to maintain our competitive position in an extremely testing environment.

Jon Gorringe, *Director of Finance*

25 August 2011

The University of Edinburgh

Central Management Group

11 October 2011

Queen's Diamond Jubilee

Brief description of the paper

This paper provides information on the Government's declaration of an additional public holiday to mark the Queen's Diamond Jubilee and possible options regarding the University's position.

Action requested

CMG is asked to consider the options and agree an appropriate way forward.

Resource implications

Does the paper have resource implications? Yes

There are resource implications as set out in the paper depending on which options is agreed.

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

Originator of the paper

David Rigby
Senior Employee Relations Partner

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The University of Edinburgh

Central Management Group

11 October 2011

Security Advisory Group – Annual Report

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Brief description of the paper

The attached paper is a report from the Security Advisory Group [SAG] for the year 1st August 2010 to 31st July 2011.

Action requested

CMG is invited to:-

- note and advise on the continuing unacceptable post examinations behaviour;

- re-affirm its support to the commitment that members of staff are encouraged to display their ID Cards and members of CMG are invited to set an example**;**

- note positive progress on reduction of incidents of anti-social behaviour through the 3 Squares Initiative

Resource implications

Does the paper have resource implications? Yes – Failure to protect property and equipment will have a financial implication.

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

Its disclosure would substantially prejudice the commercial interests of the organisation.

Any other relevant information

Paper to be presented by Nigel Paul, Director of Corporate Services

Originator of the paper

Angus Currie
Convener of Security Advisory Group
3 October 2011

The University of Edinburgh   M

Central Management Group

11 October 2011

Procurement Report 2010-2011

Brief Description of Paper

The purpose of this paper is to update CMG of the University's Procurement performance and achievements in 2010-2011 and the strategic steps we are taking to maintain and increase standards, mitigate risks, whilst continuing to deliver value for money (VFM) for the institution in the current challenging environment.

Resource Implications

Does the paper have resource implications? Yes

With the ever increasing financial pressures, legislative changes, complex strategic projects, the Procurement team has highlighted six key areas which it will prioritise to meet the University's strategic and operational goals. *See section 2.2*

Risk Assessment

The increasing caselaw shows that since the public procurement Remedies Directive (Dec 2009), added to new risks from the Equality and Bribery Acts (2011), our University's devolved and collaborative procurement is at a greater risk of challenges. The Director of Procurement and team are mitigating the risks when advice sought early. Risk Management Committee gets annual report and training is offered to staff.

Freedom of Information

Can this paper be included in open business? Yes

Originators of the paper

Karen Bowman   Director of Procurement
George Sked   Assistant Director of Procurement
4 October 2011

Procurement Report 2010-2011

1. Introduction

The University Procurement Office continues to deliver an on demand professional service to the institution, influencing the HE sector both in Scotland and the rest of the UK. Both Director and Assistant Director represented the profession internationally or sector-wide as Council members of the Chartered Institute of Purchasing and Supply and The Association of University Procurement Officers, respectively. Procurement team members also sit on various Scottish Government reform groups influencing national procurement strategy. Nigel Paul takes a leadership role with Universities Scotland and UUK on procurement strategic matters and efficiency task force aims.

(i) Main achievements 2010-2011
- Value for money (savings) increased from £7.9m to £9.04m
- Procurement professional influence maintained at over 80%
- E-procurement spend increased to £9.1M (over 50% of orders)

(ii) Additional achievements
- Increased Procurement Capability Assessment score to 88%, which is externally audited by a third party. We are now assessed bi-annually. Edinburgh continues to be the only 'superior' ranked institution in the HE/FE sector in Scotland and is one of only four Scottish public procurement organisations to meet this exacting standard.
- Finalist for the *'Times Higher Education'* Leadership and Management Award for Outstanding Procurement team of the year (for a second consecutive year).
- Finalists for '*Government Opportunities*' GO Scotland Awards for Excellence in public procurement: Outstanding Procurement Team and Sustainable Procurement Initiative (*winners will be announced on 25 October 2011*).
- Achieved Investors in People Standard for Procurement and Printing Services
- Achieved level 3 of the Government Flexible Framework (for sustainable procurement targets) and are now working towards level 5 – highest level.
- Procurement delivery and ongoing support of key strategic projects
  - E-recruitment
  - Timetabling
  - Holyrood development
  - Policy leading with HR re Agency Workers; Bribery Act; Equality.
  - Institutional Mergers supported throughout this year – eca and HGU
- Leading on Scottish Fairtrade Universities and Colleges and City initiatives
- External shared services and income levels maintained due to some new NVQ candidates and shared procurement service with Queen Margaret University.
- Delivered benefits to external partners eg by using our procurement services QMU increased their Procurement Capability score by 17% and have now achieved the *'improved performance'* rating. Scottish Borders Council use our training and development service to deliver vocational training, allowing their own procurement team to become professionally qualified, which is paying dividends as they too are finalists for a *GO Scotland* Award!

<u>2. Procurement Developments</u>

2.1 Procurement Journey

(i) Background
The Scottish Government, in conjunction with all sectors (Local Authorities, NHS, HE and FE, Central Government and the emergency services) has developed a simpler procurement manual (including templates and guidance) which is freely available for use by all public bodies in Scotland.

This tool is named the 'Procurement Journey' (PJ) and facilitates best practice and consistency across the public sector. This will help suppliers bidding for business.

APUC (Advanced Procurement for Universities and Colleges) have recommended and agreed with the Universities Procurement Strategy group, which our Director of Procurement is a member of, that the new Procurement Journey replaces the existing Universities and Colleges sector procurement manual, which we co-developed (2007).

This University will adopt the new tool and is in the advanced stages of planning the implementation of a more efficient way of complying with procurement processes.

(ii) The Procurement Journey
The procurement journey is split into three 'routes'. The appropriate route to use is defined by the acquisition's expenditure level and complexity (see link below):

http://www.scotland.gov.uk/Topics/Government/Procurement/buyer-information/spdlowlevel

The University will be adapting the threshold levels to reflect our thresholds, agreed by CMG and Court when the Remedies Directive came into force (June-Dec 2009). We will also provide suitable "localised" documents for use within the University.

(iii) In summary
Route 1 is for straight forward, low risk procurements up to a value of £50,000.

Route 2 is for higher value and moderately complex procurements of goods and services between £50,000 and £350,000.

Route 3 is for all procurements above £350,000 and those in excess of £50,000 deemed to be high risk / complex procurements.

<u>NOTE: Given the complexity / risks associated with the route 2 and 3 procurements, and the need for adequate advertising and EU compliance risks, it is likely that these ought to be carried out with [MCIPS] procurement qualified staff in a leading role.</u>

(iv) Timelines and options
Planning will be complete in September / October when roll out will begin, supported by appropriate training and materials. Staff authorised to procure over thresholds will be target for Routes 2 and 3 and all staff should to learn about Route 1 (QuickQuotes)

We will run training sessions in a number of different locations (central area, Little France, KB, Easter Bush etc.) and bookings can be made via MyEd. Additional sessions will be available on demand and can be accommodated at the user's location.

We will be recommending a link to the Learning and Development HR programme, for staff promoted, authorised to higher levels of spend, or as part of local inductions.

2.2. Future developments include
- Action plan in place to increase our Procurement Capability score to +90%
- Action plan to further develop QMU's strategy and its procurement capability
- Strategic review of priorities carried out and the following six areas proposed
    - Efficiency (vfm)
    - Engagement
    - People and Skills
    - E-procurement
    - External income generation
    - Flexible framework (social responsibility and sustainability)

3. Risk mitigation

There have been a number of new pieces of legislation which have a direct impact on the way the University carries out procurement e.g Bribery and Equality Acts. We supported colleagues in HR to bring in legal experts to deliver a series of briefings. This was delivered to 120 staff.

As part of the shared procurement strategies, our team, working with key stakeholders have identified commodity areas which have an elevated risk associated with this. To mitigate this steps are taken in developing a tender or a procurement strategy to make sure that these risks are minimised (based on last FY non pay spend almost 45% of influence able spend into this higher risk category). Therefore it is imperative that when delivering procurement services either collaboratively, shared or locally, that this risk is taken in to account and the appropriate countermeasures are actually taken. Documenting an adequate procedure and recording decisions taken can assist here. Procurement Journey will be updated by APUC and Scottish Government regularly.

4. eProcurement

Use of eProcurement tools : InTend and PCS for sourcing and tender management; PECOS and SciQuest for eOrders and catalogue management; and ERM for chemical control has increased markedly during the last year. We always use eTender apart from major projects such as the Holyrood Development where other eDocumentation was used (called AWARD). We will be reviewing new Scottish Government tools.

The engagement of suppliers was reviewed as a LEAN project and New Supplier route will be adopted working with Finance, as soon as possible - for risk-reducing. Chemical controls to lab benchtop was adopted in the School of Chemistry bringing Health and Safety and research audit benefits as well as efficiency and financial gains. This has been upgraded to ERM and tools will be rolled out in labs as agreed, locally. We continue to improve on contracts and types of products/services staff can eOrder. This helps with process efficiencies, accuracy and compliance with contract terms.

CMG are asked to NOTE the achievements and endorse the developments plan.

The University of Edinburgh

Central Management Group

11 October 2011

Report from Sustainability and Environmental Advisory Group (SEAG)

Brief description of the paper

This paper provides CMG with a report from SEAG meeting of 28 September 2011:
- a summary of the Social Responsibility and Sustainability (SRS) Implementation Plan 2011/12
- a briefing on how progress on elements of the SRS Strategy 2010-20 is overseen
- a summary of guidance on climate change duties for public bodies and
- annual reports on waste and recycling and on transport and parking.

Action requested

CMG is invited to note the paper.

Resource implications

Does the paper have resource implications?
Yes – all incorporated into normal activities in each responsible area

Risk Assessment

Does the paper include a risk analysis?
Not a formal review although there is potential reputational risk if clear evidence is not identified for achieving progress on the SRS Strategy 2010-20.

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

The Paper will be presented by Nigel Paul, Director of Corporate Services

Originator of the paper

David Somervell
Sustainability Adviser
3 October 2011

Report from Sustainability and Environmental Advisory Group (SEAG)

This paper provides CMG with a report from SEAG meeting of 28 September 2011:

1. **Summary of Social Responsibility and Sustainability (SRS) Implementation Plan 2011/12**
   Practically all of the 86 detailed tasks under 25 Actions in the first SRS Implementation Plan were completed in 2010/11. The Progress Log was presented to SEAG on 8 June and is posted online at www.ed.ac.uk/sustainability.

   This second Plan emerged from workshops held on 24 May and 27 June. It has been reviewed by SEAG Operations Group and was endorsed by SEAG at its meeting 28 September 2011.

   Detailed Actions and supporting tasks are being progressed under guidance of the named colleagues – and progress will be reported to subsequent meetings of SEAG.

   Please see the new Implementation Plan at Annex A.

2. **Oversight of Social Responsibility and Sustainability Strategy**

   A one-page briefing outlines the governance of the SRS Strategy 2010-20 adopted by Court Feb 2010 – including SEAG Ops, SEAG Engagement Task Group, Learning for Change Task Group, Fairtrade Steering Group and the Climate Action Plan Working Group.

   Please see at Annex B.

3. **Scottish Government Guidance: Public Bodies Duty on Climate Change**

   The Scottish Government published Guidance on Public Bodies Climate Change Duties on 4 February 2011. FHEIs are considered "Major Players" under the Duties and climate action should definitely be considered as a factor in the Planning and Resource deliberations at all FHEIs. It includes requirement for "Integration of climate change within business planning, e.g. through policy appraisal and impact assessment: Building a process whereby the 'climate change question' and 'sustainability question' is routinely asked …"

   A short extract from the Guidance is at Annex C.

4. **Annual Reports 2010/11 on Waste and Recycling and on Transport and Parking**

   Further solid progress has been achieved with headline 67.5% recycling achieved against a sector average of 45%. 278 tonnes of our general waste arising was composted and 1,781 items of furniture re-used – reducing landfill disposal by 30 tonnes. Each occupant of Academic buildings was responsible for approximately 79kg of landfill waste and an additional 195 kg of recycling. Landfill per occupant is down 9% on last year.

   Public transport improvements in the implementation of the Easter Bush Campus Travel Plan enhanced connections to the expanded campus. With increasing use of the Service 67 the MVM subsidy was reduced by £100k against previous years.

   Please see Annexes D and E.

5. **Recognition of achievements**

   Transition Edinburgh University was runner up for Best Green PR Campaign at **Scottish Green Awards** and four submissions are shortlisted in this year's UK **Green Gowns Awards:**

   1. Continuous Improvement – our progress towards Sustainability
   2. Promoting Positive Behaviour – Transition Edinburgh University achievements
   3. Student Initiatives and Campaigns – for the OurEd student-facing website

4. Social Responsibility – for Accommodation Service with People & Planet Freeshop

All the Submissions – including one to Times Higher for Outstanding Contribution to SD (Awards ceremony 24 November) – are available online at SEAG website www.seag.estates.ed.ac.uk/.

David Somervell, Sustainability Adviser, 3 October 2011

Social Responsibility and Sustainability Implementation Plan 2011-12

Proposed Actions and Tasks	Owner(s)	Oversight[1]*
A. Studying		
A1. Identify SRS projects in University for SFC-funded "Embedding Work Placements in Taught Masters Programmes" pilot project	Neil Lent, IAD Learning to Work 2	**LCTG**
A2. Develop guidance re SRS requirements in Taught Prog Reviews	A-P Tina Harrison	**LCTG**
A2.1 Identify upcoming Programme Reviews for 2011-12	Linda Bruce, SASG	
A2.2 Engage with relevant colleagues to identify needs		
A2.3 Prepare guidance for both academic staff and Review Panels		
A3. Develop special studies module template to enable group or individual student projects on SRS within their own discipline	Liz Grant, S Riley J Broadhurst	**SEAG**
A3.1 Map all special study modules in undergraduate courses		
A3.2 Identify possible advocates for SRS within several disciplines		
A3.3 Develop course template able to be tailored to each school		
A3.4 Use Innovative Learning Week in 2012 to pilot the scheme		
A3.5 Use web tools to maximise & share sustainability knowledge		
A4. Explore opportunities for accreditation as the UN Regional Centre of Expertise on Education for Sustainable Development	P Higgins, S Rigby,	**SEAG LCTG**
B. Research		
B1. Promote Global Academy model for supporting research excellence and communicating interdisciplinary engagement	S Hillier & VPs Jake Broadhurst	**SEAG**
B1.1 Internal: Sharing who is already working in this area		
B1.2 External: industry, civil society, international		
B2. Publish best practice guidance on Sustainable Researcher	IAD	**SEAG**
B3. Set up a Fair Trade Academic Network of relevant researchers	Tim Haywood	**SEAG FSG**
B3.1 Internal Show&Tell Research Update Workshops and Seminars		
B3.2 "Think Out Loud" public events and an Ethical Forum		
C. Community Engagement		
C1. Establish Alumni Clubs globally; build links to current students	M Bownes / S Hillier	**SEAG**
C2. Develop opportunities for volunteering and community engagement in Innovative Learning Work	EUSA Volunteer Centre, IAD LtoW2	**SEAG**
C.4 Review Community Engagement Strategy	Rob Tomlinson	**SEAG ETG**
D. Campus		
D1. Continue implementation of the Climate Action Plan 2010-20	Geoff Turnbull	**SEAG Ops & CAP WGp**
D1.1 Identify & monitor progress / impact of invest to save projects	Andrew Whitson	
D1.2 Review capital projects at key RIBA stages to confirm SRS objectives being met and report on BREEAM accreditations	Graham Bell	
D1.3 Review potential for use of Low & Zero Carbon Technologies - CHP & Renewables within Engineering Infrastructure Strategy	David Barratt	
C1.4 Identify greenhouse gas emissions arising from waste arisings	Fleur Ruckley	
D1.5 Identify how to measure carbon emissions from business travel	Emma Crowther	
D1.6 Engage with UoE Supply Chain on carbon emissions reductions	Karen Bowman	

D2. Create an understanding of the importance of the Space Audit process in holding accurate data and its links to costs & carbon	SV-P Nigel Brown Angus Currie	**SEAG Ops**
D2.1 Review estate against appropriate space norms	Graham Bell	
D2.2 E&B Space Mgrs to introduce improved Web Central interface	Space Managers	
D3. Undertake campus biodiversity baseline review of Central Area	Fleur Ruckley	**SEAG Ops**

E. Support best practice, innovation and leadership

E1. To comply with the Public Bodies Duty each policy and main committee to consider the Carbon Question and Sustainability Question as part of the University's business process		**SEAG**
E1.1 Raise relationship with University's strategic goal of SRS		
E1.2 Monitoring via reports, minutes, schools plans etc on websites		
E1.3 EUSA adoption of Carbon and Sustainability questions	Ryan Mackie	**EUSA CoM**
E2. Embed SRS in strategies, policies and procedures		**SEAG**
E2.1 Embed SRS in Staff Welcome, local induction guidance including for new Heads of School / Unit and PIs and in P&DR process	Sheila Gupta	
E2.2 Embed SRS in revised training/guidance for Directors of Studies	D Hounsell, VPAA	
E3. Promote awareness of UoE SRS Strategy and Climate Action Plan through links within the University and with external groups including City of Edinburgh and Midlothian Councils	David Somervell	**SEAG ETG**
E3.1 Improve internal communications though engagement with sustainability champions embedded in already existing networks		
E3.1 Identify good practise on internal communications (eg AS IIP)		
E3.2 Identify and build on existing networks		
E3.3 Clarify what people want to know & how		
E3.4 Develop / provide internal training and volunteer opportunities		
E4. Green IT: Expand programme to reduce ICT carbon footprint	Peter Jackson, ISG	**SEAG Ops**
E5. Promote video-conferencing and related ICT DEI applications for enhancing both academic and business processes	Sue Rigby and David Somervell	**SEAG Ops**
E6 To further develop social responsibility and sustainability in our procurement (devolved acquisition of goods/services)		
E6.1 lead a sector topic support network sharing best practices		
E6.2 to share future visions from the latest research and teaching	Karen Bowman	**SEAG Ops**
E6.3 to remove (internal) barriers to buying better in whole life cycle		
E6.4 to develop (external) shared market engagement promoting SRS		
E6.5 to provide case studies on SRS procurement achievements		

F. Recognise and communicate activity by students, staff, alumni

F1. Develop & promote an SRS communication & engagement plan	Dawn Ellis	**SEAG ETG**
F1.1 Workshop(s) to explore engagement with different audiences		
F1.2 Develop short courses / training and guidance material		
F1.3 Develop community of practice for continual learning & sharing		
F2. Embed best SRS & Equality & Diversity cultural practices across the University via the Single Equality Action Plan	V-P L Waterhouse Sheila Gupta	**SEAG**
F3. Develop different categories of Sustainability Awards so that more teams can engage and be recognised for their actions	David Somervell	**SEAG ETG**
F4. Introduce a pilot Edinburgh Awards scheme to recognise student engagement in extra-curricular initiatives	Gavin McCabe	**SEAG ETG**

Version 5 revised following comments at SEAG meeting 28 September.

David Somervell, Sustainability Adviser, 3 October 2011

[1] Oversight / Governance / Remits of the following groups explained in Appendix B:

SEAG Operations, SEAG Engagement Task Group, SEAG Learning for Change Task Group, Fairtrade Steering Gp, Climate Action Plan Working Gp and EUSA Committee of Management

Oversight of Social Responsibility and Sustainability Strategy

This representation of the **SRS Strategy** and **Climate Action Plan** and the different *Groups* responsible for delivering them is intended to demonstrate how implementation is governed:-

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University of Edinburgh Strategic Plan 2008-12

Our vision: "To shape the future by attracting and developing the world's most promising students and outstanding staff." **Themes** include: Engaging with Our Wider Community and Promoting Equality, Diversity, Social Responsibility and Sustainability – part of V-P Mary Bownes' portfolio

– approved by *Central Management Group (CMG)* and adopted by Court.

Social Responsibility and Sustainability (SRS) Strategy 2010-20

Vision: To create opportunities from global challenges – choosing our future and making a positive contribution to society by engaging staff and students and showcasing best practice

– prepared by *Sustainability & Environmental Advisory Group* reporting to CMG.

SEAG's objective: "To advise CMG on how the University might differentiate itself as a leader in Social Responsibility and Sustainability and gain the organisational advantages of that distinction."

Convener: Prof Mary Bownes, Vice Principal, External Engagement / meets three times each year

Members are key decision-makers from each of the three Colleges and three Support Groups with a "futures thinking" remit to contribute to well-being in Scotland and globally – through academic knowledge exchange and promotion of good citizenship & in the management of our own activities.

SEAG Operations Group	*Engagement Task Gp*	*Learning for Change TG*	*Fairtrade Steering Gp*
"To deliver all operational aspects of Edinburgh's SRS Implementation Plans to continuously improve environmental perform-ance of operational areas."	"To engage with the wider University community & external stakeholders & identify specific opportunities for promoting SRS."	"To integrate principles, values and practices of sustainable development into all aspects of teaching and learning at the University."	"To promote fair trade's role in alleviating poverty and effecting real changes in people's lives in developing countries."
Nigel Paul, Director of Corporate Services Gp	Dawn Ellis, Director of Website Development	Prof Pete Higgins, Moray House Sch of Education	Karen Bowman, Director of Procurement
Members are practitioners responsible for delivering on campus activities – meeting six times / year.	Members are officers responsible for communicating change – meeting six times / yr.	Members are academics promoting Education for Sustainable Development – short life Task Group.	Members are students and staff committed to extending FT at UoE – 6 term time meetings.

Climate Action Plan WGp	
"To implement all aspects of **Climate Action Plan**" Geoff Turnbull, Asst Dir, Estates & Buildings Members are directly responsible for managing and reporting on progress – meeting monthly.	"*It is good to get this recognition. As you are aware I've been conscious of the need for annual SRS reporting for some time.* *As we move forward there will be an increasing need to publicly proclaim the value of Edinburgh as a University to politicians and the public sector, potential students, current students and alumni, as well as the business and charity sectors, not to mention general public. SRS reporting is a hugely important part of this jigsaw.*" – Nigel Paul, commenting on the University being named as one of just eight UK HEIs reporting on Sustainability on CorporateRegister.com website. August 2011

SRS Strategy & Climate Action Plan have an annual Implementation Plan & related Progress Log to evidence how objectives being achieved. This Log is reviewed at each meeting of SEAG.

Prepared by David Somervell, Sustainability Adviser, for 2nd meeting of SEAG Engagement Task Group

August 2011

Duties on Public Bodies* under the Climate Change (Scotland) 2009 Act

The Scottish Government published Guidance on Public Bodies Climate Change Duties on 4 February 2011. FHEIs are considered "Major Players" under the Duties and climate action should definitely be considered as a factor in the Planning and Resource round now in train at all FHEIs. Their 4-step process includes: [p15]

1. Understand the Duties

2. Identify how we
a) impact on and influence greenhouse gas emissions;
b) can help prepare Scotland for a future climate and how climate change could affect our organisation; and
c) can incorporate the principles of sustainability into our decisions and actions.

3. Take Action. Ensure that:
a) Our governance supports climate change action;
b) We have strategies/action plans to address climate change;
c) We set outcomes and targets for emissions (direct/indirect);
d) We integrate greenhouse gases into decision making through carbon impact assessments;
e) We are prepared for a changing climate;
f) We are working in partnership to deliver climate change action;
g) We support climate change awareness and engagement work; and
h) We act sustainably.

4. We are aware of and feel confident in accessing <u>sources of information, guidance and tools</u> which are available to support us in undertaking their duties.

Transparent and open <u>reporting</u> on delivery of our duties which generates public confidence in our performance, drives improvement and assists us in demonstrating compliance with our duties.

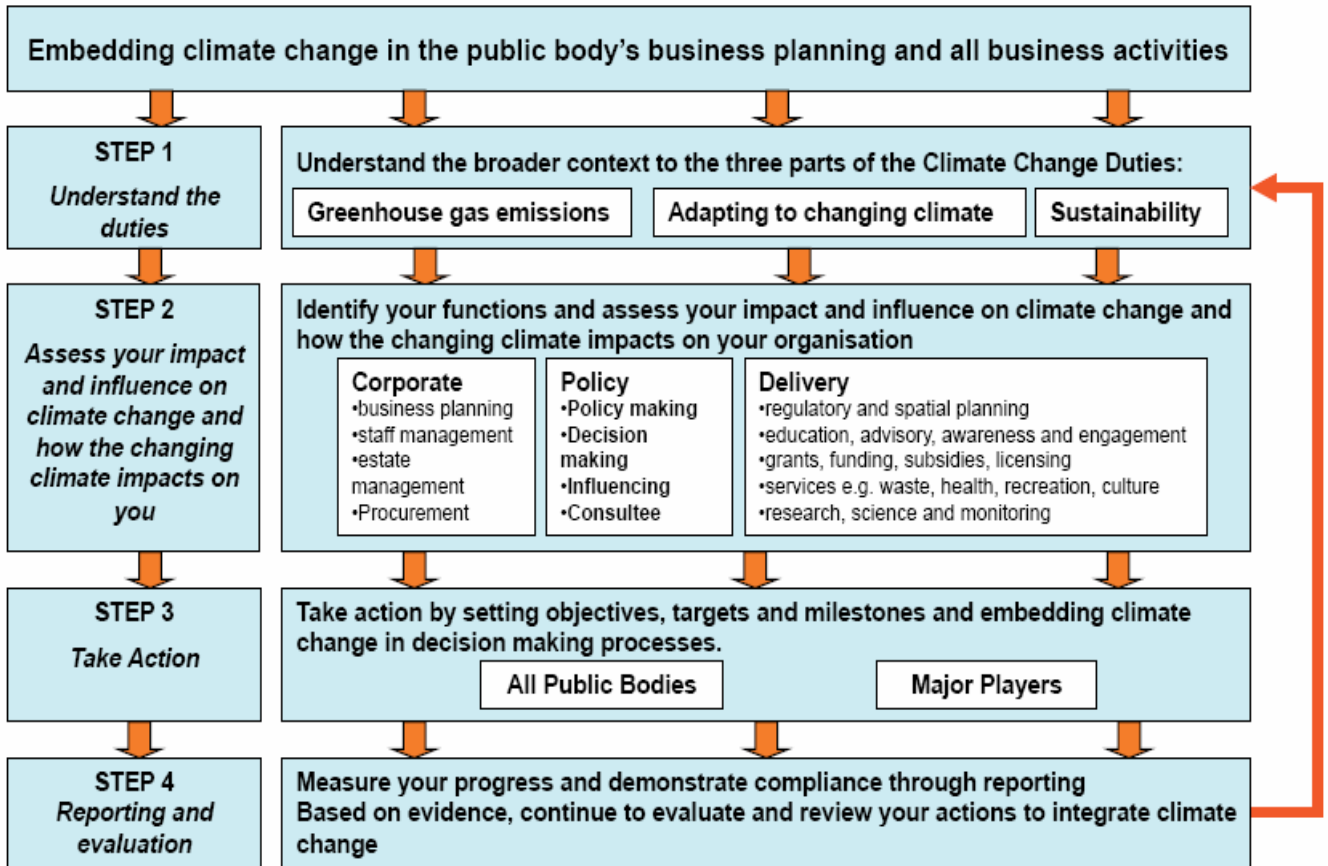Specifically under step 3 - and expanding d) above: [page 30]

- "**Mainstreaming means integrating climate change in everyday work of a public body at all levels including senior management, policy makers, service delivery and external partners** and requires:
- Strong leadership and shared ownership of climate change action: By ensuring that responsibility for leadership on climate change is clear within the organisation, both at management level and cascaded throughout the organisation, accountability for climate change action will be increased.
- A declared commitment to action on climate change: Making a public body's commitment to deliver against the climate change duties visible and transparent, both to those who work within the organisation and to stakeholders, suppliers and service users, will increase the level of scrutiny of climate change actions, and public bodies will begin to exert positive influence over the behaviours of their stakeholders, supplier and service users.
- **Integration of climate change within business planning, e.g. through policy appraisal and impact assessment: Building a process whereby the <u>'climate change question'</u> and <u>'sustainability question'</u> is routinely asked as part of the decision making process around new and existing policies, plans and proposals, will ensure the impact of that decision on climate change is considered and public bodies are seeking to act sustainably**. [my emphasis]
- Partnership working with external bodies and interests: Working cooperatively with other public bodies, e.g. bodies in the same geographic area, or bodies working in the same sector, will maximise efficiency and increase the impact of climate change action."

And the box on page 31 emphasises – under "Suggested actions: Governance, leadership and commitment: (Actions in **bold** have particular reference to major players, other actions can apply to all public bodies.)

- Develop commitment to climate change within the senior management of the organisation to ensure that <u>climate change is visible in management processes and decisions</u> and to promote increased awareness of climate change and appropriate action at all levels of the organisation.
- Promote this climate change commitment to staff, service users, stakeholders, delivery partners and suppliers, e.g. by referring to it in other published material (e.g. a medical practice handbook), website, displaying within the public body's premises etc.
- **Be able to <u>demonstrate commitment and leadership in addressing climate change</u> and consider where appropriate a formal governance system for addressing climate change within the organisation with a <u>nominated lead or champion from senior management</u>.**
- Consider demonstrating visible leadership by making a public commitment to address climate change through the actions of the organisation. This could be part of an organisation mission statement or stated priorities. Joint action in association with partners is also encouraged and there are good examples of these (local authorities' climate change Declarations and Universities & Colleges Climate Commitment)."

* www.scotland.gov.uk/Topics/Environment/climatechange/howyoucanhelp/publicbodies/publicsector

Diagram extracted from page 15 of the Scottish Government Guidance available at

www.scotland.gov.uk/Topics/Environment/climatechange/howyoucanhelp/publicbodies/publicsector

Diagram 1: A four-step approach for public bodies to climate change action

Embedding climate change in the public body's business planning and all business activities

STEP 1 — *Understand the duties*

Understand the broader context to the three parts of the Climate Change Duties:

| Greenhouse gas emissions | Adapting to changing climate | Sustainability |

STEP 2 — *Assess your impact and influence on climate change and how the changing climate impacts on you*

Identify your functions and assess your impact and influence on climate change and how the changing climate impacts on your organisation

Corporate
•business planning
•staff management
•estate management
•Procurement

Policy
•Policy making
•Decision making
•Influencing
•Consultee

Delivery
•regulatory and spatial planning
•education, advisory, awareness and engagement
•grants, funding, subsidies, licensing
•services e.g. waste, health, recreation, culture
•research, science and monitoring

STEP 3 — *Take Action*

Take action by setting objectives, targets and milestones and embedding climate change in decision making processes.

| All Public Bodies | Major Players |

STEP 4 — *Reporting and evaluation*

Measure your progress and demonstrate compliance through reporting
Based on evidence, continue to evaluate and review your actions to integrate climate change

Mainstreaming climate change into their strategic and corporate processes and actions is the overarching goal for public bodies to work towards. However, it is acknowledged that public bodies will be at different stages of development and understanding of climate change action, and that effective mainstreaming could require more time and effort for some bodies than for others.

Waste Management & Recycling Report 2011

As a large, multi-site higher education institution, the University of Edinburgh (UoE) faces a range of challenges in relation to our social, environmental and ethical impacts. Some key environmental impacts arise through organisational policies and operations, e.g. landfill disposal of redundant resources and packaging, which ultimately need to be addressed within this framework.

The University's *Social Responsibility and Sustainability Strategy 2010* (SRS-10) highlights the need to "*maximise efficiency and effectiveness while minimising social, environmental and other risks*". More specifically, our *Recycling and Waste Management Policy 2010* (RWM-10) provides the University community with guidance on the management and reduction of waste. This report summarises our progress towards the targets outlined in these strategic documents during the academic year 2010-11.

Performance Update

1. Progress vs targets

SRS-10 contains our 2010-20 intentions for Waste & Recycling. In addition to this we have specific targets outlined within RWM-10:

- **Reduce waste sent to landfill by 3% year on year**
  The University sent around 660 tonnes of waste to landfill during 2010-11. This is an **8.5% decrease** since last year, a significant improvement over our *3% reduction* target.

Waste Arisings Breakdown 2010-11

- **Increase the rate of recycling by 3% year on year**
  In 2010-11, the University recycled **1,626 tonnes** (or **67.5%**) of its Waste Arisings[1]. This is compared to 1,472 tonnes recycling during the previous year. We are recycling 3% more than in last year.

- **Divert all biodegradable waste from landfill by 2020**
  Approximately **11.5%** (**278 tonnes**) of our general waste arising is currently **composted** (mostly in-house). Our Landscape Waste is now 100% composted and we are presently diverting at least 780 tonnes of biodegradable waste away from landfill. We are on our way towards achieving this target.

- **Receive no environmental notices / prosecutions**
  We received no environmental notices or prosecutions last year.

Combined Hazardous Waste Treatment (2010-11)
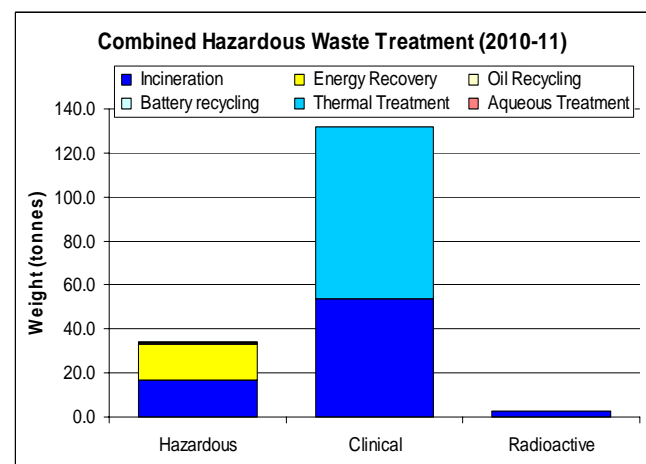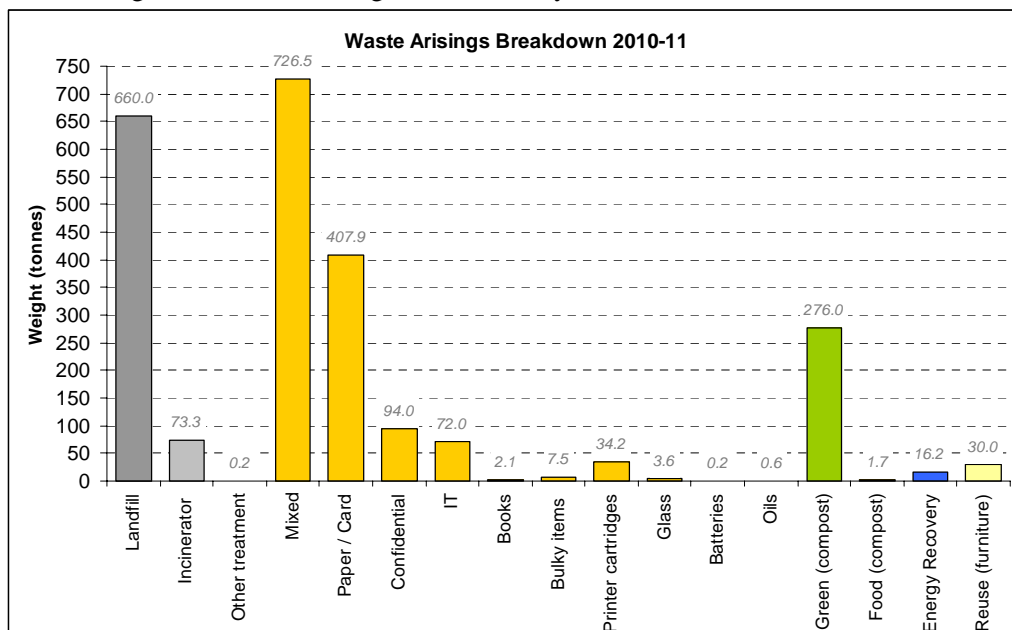
2. Furniture Reuse

The Estates & Buildings Furniture Office has been storing and reusing office furniture for a number of years. Last year alone, 1,781 items or **an estimated 30 tonnes (or 1.3%) were reused** within the University Estate. This reuse has financial and environmental benefits.

3. Hazardous Waste

The University disposed of at least 169 tonnes of Hazardous and Clinical wastes last year. A breakdown of the treatment and disposal routes used is shown in the adjacent graph. Notably, we can now start to report on Energy Recovery as a treatment option (now at least 0.7% or our arisings).

Carbon Footprint

Last year, for the first time, the University's Waste & Recycling related carbon dioxide equivalent (CO_{2eq}) emissions were calculated and thought to be around 3,400 tonnes.

Since then, the UK government has changed the methodology behind this calculation[2].

The revised approach provides a better fit to our data and what we therefore believe to be a more realistic figure.

Waste & Recycling Arising (Weight vs Emissions) - 2010-11
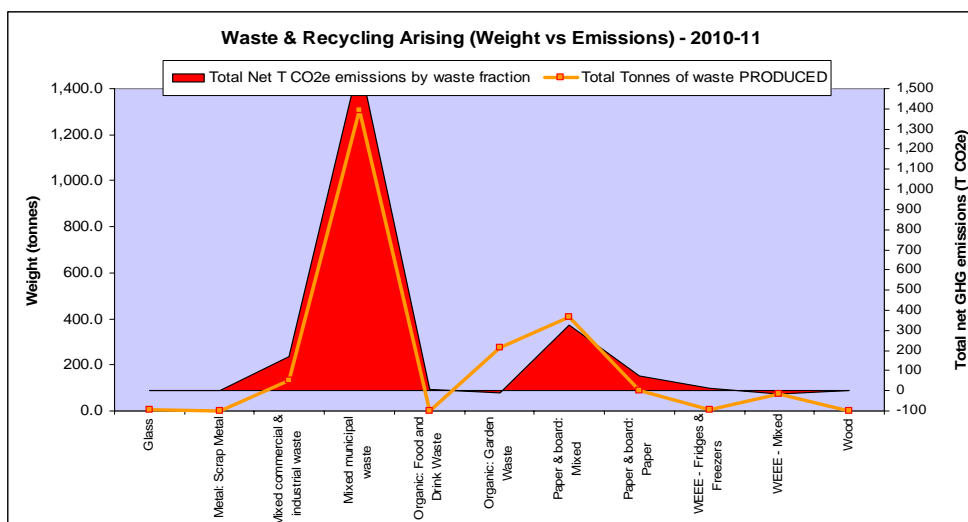
As the adjacent graph shows, it is now estimated that Waste & Recycling related GHG emissions for the University academic estate were around **2,200 tonnes CO_{2eq}** during 2010-11. It is worth noting that this is 5% lower than 2009-10 – which has been recalculated at just over 2,300 tonnes CO_{2eq}.

Normalised Data

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

- In 2010-11, **each occupant of Academic buildings was responsible for approximately 79kg of landfill waste** and an additional **195 kg of recycling**. Landfill per occupant is down 9% on last year.
- The University Academic Estate gave rise to **4.2 kg waste and recycling /m²/pa** with 2.8 kg recycling/m²/pa.

Accommodation Services

This report has historically reflected University performance within the Academic and Support estate although it is now possible to report additionally on the performance of Accommodation Services buildings.

The General Waste & Recycling rate[3] for Pollock Halls of Residence and the main Edinburgh First catering establishments combined is at least 52%, with 13.5 tonnes of paper & card separated out and additional 253 tonnes sent for mixed recycling. This is a significant improvement over the 34% rate of 2008-09. A great deal more work is needed to properly assess the GHG emissions related to the Accommodation estate.

An initial calculation suggests that at least 1,200 tonnes CO_{2eq} were produced in 2010-11.

Festival Arisings

A special interest was paid to the arisings from Festival 2010 that entered University managed waste and recycling containers. This arose primarily from Edinburgh University Student Union managed venues. **An estimated 22.5 tonnes was landfill and a further 27.5 tonnes (or 55%) recycled**.

Way Forward

During 2011-11, we are aiming again to meet or better our existing targets as well as to:

- Produce a Waste and Recycling Strategy;
- Tender our General, WEEE and Hazardous waste contracts;
- Calculate waste & recycling related GHG emissions for the entire estate for the previous 4 years; and
- Continue to collect and collate data arising out of University capital projects.

In order to achieve these aims, it will also be necessary to commission a Waste Audit to quantify the amount and types of waste actually being generated currently by different parts of the University.

Estates Waste Management, August 2011

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

Transport and Parking Annual Report 2010-11

The Transport and Parking Office has been heavily engaged in the Capital Development programme during the last academic year, most notably in planning for the opening of the Easter Bush Campus.

Staff have also played a key role in the implementation of the Climate Action Plan and SRS Strategy, most notably working with colleagues in the schools, colleges and departments to collate data to determine the University Transport Carbon Footprint, and to begin to develop policies and guidelines to reduce this in accordance with the targets set out in the Transport and Travel Planning Policy 2010.

Key activities 2010-11

Implementation of the Easter Bush Campus Travel Plan:
- **Public transport improvements**: Connectivity of the Campus with the city has substantially improved. Lothian Buses Service 67 will continue to be subsidised by CMVM. The subsidy is substantially less than in previous years (reduced by £100k) and the service has been enhanced (more peak time services and extended to Penicuik during peak times). The diversion of Service 47 through the Campus at peak times was implemented in April 2011. This is at no cost to the University.

- **Parking management**: A strategy was developed and has now been implemented. It is not anticipated that there will be any parking difficulties experienced at the campus as parking space supply currently outstrips demand.

- **Communication**: Dedicated Campus travel website (www.ed.ac.uk/transport/easter-bush), e-mails to staff and students, and travel information sessions for all staff and students affected by the move to the new Campus were implemented at the start of Semester 2. Timed to be immediately prior and during parking permit applications to ensure awareness of all options to travel to the campus.

- **Car sharing** was heavily promoted to staff and students through the Tripshare scheme. Prior to the promotion there were 310 members of Tripshare. As a result of the promotion 450 new members joined. Every student who has a permit has committed to car sharing, and some staff have been able to commit to this as well.

- An Easter Bush Campus **Travel Map** has been designed and produced. The map folds into a handy credit card size, and summarises walking, cycling and public transport routes to the site, as well as detailing the travel plan measures and parking arrangements. It has been warmly received by staff and students.

- Public transport will be closely monitored during Semester 1, with the assurance from Lothian Buses that any problems which arise e.g. over crowding, will be dealt with swiftly.

Scottish Centre for Regenerative Medicine
- Staff moving to the building have been provided with information on travel to the site via e-mails and a dedicated website. Two Travel Information Sessions (as for Easter Bush) were run for staff to help them plan their new journey to work. These were very well attended.

- The SCRM car parks have been incorporated into Little France parking management, and all staff were invited to apply for a permit. Uptake has been low but we suspect this is due to delays for the move-in date. We anticipate that demand will not exceed supply.

King's Buildings Travel Plan:
This has been updated and in particular reflects the Public Realm Strategy and planned developments.

Business Travel:
Working with Procurement for the re-tender of Travel Management Services, to ensure Carbon Footprint data is collected. Also assisted consultants contracted by HEFCE to report on how Scope 3 emissions can be collected by the HE Sector (report due in November). Draft Business Travel Guidelines have been prepared.

Carbon Footprint of University Fleet:
We now have three complete academic years worth of data on our fleet to enable a calculation of the carbon footprint. Response rates to our request for data from Vehicle Coordinators have improved each time, such

that the majority are now providing it. This allowed us to respond to a recent request from the Scottish Government to provide this data as a part of their review of the public sector fleet and progress towards de-carbonisation. We are currently reviewing the data supplied for 2010-11 and the Carbon Footprint will be available shortly.

City Car Club:
We have been Corporate members since August 2010. Existing pool car users were transferred. Although we have had positive feedback from users, we have experienced difficulties with invoicing which need to be resolved before it is actively promoted across the University.

Cycling
- New secure cycle storage facilities have been installed at Little France, WGH and KB. Match funding was secured for these projects through Sustrans and SESTrans.

- Achieved the Cycle Friendly Employer Award (awarded by Cycling Scotland) for Little France and WGH (already achieved for KB and Central Area). This is in recognition of the facilities and support the University provides to cyclists.

- As a Cycle Friendly Employer the University received subsidised cycle training from Cycling Scotland. This provided 11 staff and students with the 1 day practical Commuter Cycle Training Course.

- The Transport and Parking Office funded three evening cycle maintenance courses which were fully attended by 22 staff and students.

Key activities for 2011-12
1. Ongoing implementation and review of the Easter Bush Campus Travel Plan.

2. Ongoing implementation and review of the SCRM Travel Plan.

3. Implementation of the KB Travel Plan, specifically the promotion of Tripshare.

4. Prepare updated Central Area Travel Plan (this is an urgent requirement for ECCC and the Holyrood South project).

5. Central Area – management of car parking and promotion of sustainable travel – in preparation for further reduction in parking spaces from Semester 2 due to capital developments.

6. Re-tender for supplier for the Cycle to Work scheme (Bicycles+).

7. Develop guidance notes for university fleet vehicle replacement to reduce carbon footprint of the fleet.

8. Identify cycle infrastructure improvements within the KB campus, investigate possible funding sources and report findings with associated costs
(Note the City of Edinburgh Council plans to implement the KB Quality Bike Corridor from George IV Bridge in early 2012. This will improve on road cycling conditions for cyclists).

9. Continue to develop Business Travel Guidelines and work with our travel management suppliers to collate and monitor the carbon footprint.

Emma Crowther,
Transport and Parking Manager
August 2011

NB Footnotes below relates to the Waste and Recycling Report

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[1] The data and recycling figures for 2009-10 have been reworked due to the addition of new datasets this year.
[2] The *2011 Guidelines to Defra / DECC's GHG Conversion Factors for Company Reporting (Annex 9)*
[3] We are not yet in a position to report fully on reuse and recycling from Accommodation Services and as such are keeping this data separate from the Academic and Support data.
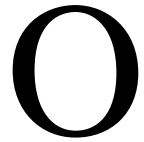
The University of Edinburgh

Central Management Group

11 October 2011

Energy Devolution – Incentives to cut carbon emissions & costs

Brief description of the paper

This paper outlines a proposal from SEAG Operations Group 9th September for a pilot scheme to establish whether an incentive to building users will actually reduce electricity consumption over the 2011/12 year.

SEAG at its meeting on 28 September endorsed this proposal and recommended that the pilot be conducted at the King's Buildings and that the full value of savings against a baseline be awarded to participants.

Action requested

CMG is invited to **approve** the pilot with value of savings rebated to participating schools /admin units.

Resource implications

Does the paper have resource implications?
Yes – savings on anticipated electricity costs would be passed to participating schools /admin units.

Risk Assessment

Does the paper include a risk analysis? Yes. This proposal addresses the need to extend engagement of building occupants in energy reduction measures which complement the engineering invest to save projects. Failure to achieve carbon and energy improvements will raise growing financial and reputational risks.

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

CMG to note that the proposal has support in principle from the Registrar and Head of College of Science and Engineering – subject to further detailed discussion on the extent of the pilot project within the College.

Originator of the paper

Geoff Turnbull, Assistant Director of Estates and Buildings
David Barratt, Engineering Operations Manager
3 October 2011

Paper to be presented by

Nigel Paul
Director of Corporate Services

Energy Devolution – Incentives to cut carbon emissions & costs

Aim

To put in place a financial incentive scheme to encourage more efficient local energy usage as a pilot in the College of Science & Engineering in 2011/12 with roll out to the rest of the University in 2012/13.

Detailed paper from SEAG Operations Group is at Appendix A.

Background

The Sustainability and Environmental Advisory Group (SEAG) has endorsed a short note on governance of the University's Social Responsibility and Sustainability Strategy 2010-20 adopted by Court in February 2010 and this is appended in Annex B of Paper P.

Responsibility for progressing the University's Climate Action Plan is vested in SEAG Operations Group.

Summary

SEAG Operations Group has recommended a pilot incentive scheme which was discussed at SEAG on 28 September. SEAG heard that a precedent had been established by Accommodation Services in their First Year Flats where electricity rebates of up to £250 per occupant had been issued this summer where student flats had reduced energy consumption compared to previous years.

SEAG endorsed the proposed pilot and recommended that the full value of savings achieved be distributed in a scheme to be established at the King's Buildings. Discussions are ongoing with the College of Science and Engineering regarding the extent of the pilot / number of buildings etc to be included.

Risk Assessment

The University recognises that investment in energy efficiency improvements pay dividends. At a time of significant volatility in energy prices and – with the prospect of doubling in price by 2020 – several different investment approaches are being used:

- Work has started on extension of the successful Central Area Combined Heat and Power scheme.
- There is ongoing investment in enhanced thermal standards and equipment in capital projects.
- Allocation of revolving funds to opportunities for smaller scale energy efficiency interventions.

This proposal addresses the important complementary role building occupants have in identifying and implementing simple low cost energy efficiency / behaviour changes – complementing the recently re-launched Switch and Save campaign.

Action requested

CMG is invited to **approve** the pilot with value of savings rebated to participating schools / admin units.

Originator of the paper

Geoff Turnbull, Assistant Director of Estates and Buildings
David Barratt, Engineering Operations Manager

3 October 2011

Energy Devolution – Incentives to cut carbon emissions & costs

The University's Social Responsibility & Sustainability Strategy adopted by Court on 15th February 2010 set out our ambitions in this area for the period 2010-2020. It included publishing a Climate Action Plan (adopted by Court on 25 May 2010) and reporting on progress annually.

The University's objective is to achieve 29% carbon savings by 2020 against a 2007 baseline – with interim target of 20% savings by 2015. This reduction – of around 3% annually – will be our contribution towards the ambitious national targets enshrined in the Climate Change (Scotland) Act 2009 – against a 1990 baseline – of 42% reduction by 2020 and by 80% by 2050. This University target is informed by the Committee on Climate Change evidence submitted in February 2010 to Scottish Parliament which recognised that 29% was ambitious but is achievable on a whole-Scotland basis.

The Energy Devolution Project was identified as an important element of this plan with a potential for up to 5% reduction in consumption across the University estate. Specialist software provides both building and operating unit monthly reports and holds consumption information over several years providing an historic average of consumption. This provides a baseline against which current year consumption can be compared.

Concern was raised at a Energy Lean Workshop undertaken in 2010 re allocation of energy consumption based on the Occupied Area of each unit in a multi-occupied building (MOB). This original proposal simply allocated consumption equally for each square metre from the space management database and assumed an equal usage of energy across the building. This is not always the case and detailed field research into actual consumptions established a more fine-grained assessment of typical square meter consumption for different activities using the Hugh Robson and James Clark Maxwell Buildings.

As a result the existing list of Room Standard Descriptions in the space management database are to be used with a weighting factor to more closely align different types of occupied space with consumption. These weighting factors were determined from the results of the study. The space data, including room standard description weighting, will be applied once a year. The results will not impact on a building that is occupied by a single School as the total electricity consumption remains the same.

Aim

To put a financial incentive scheme in place to encourage more efficient local energy usage – as a pilot in the College of Science & Engineering in 2011/12, with roll out to the rest of the University in 2012/13.

Energy Budget Incentive Scheme Proposal

The Lean Energy Group proposed that an alternative to full budget devolution would be to incentivise building users by offering a reward where any building achieved an annual consumption less than its energy baseline – this was endorsed at the May 2011 meeting of SEAG-Ops. It has since been proposed that this should be piloted within the King's Buildings where the buildings are almost exclusively within the College of Science and Engineering.

The proposal is to use the 2011/2012 annual electrical consumption and to compare this with the baseline on a building basis. Where savings are made and the building use remains essentially static, then the value of the electricity saved would be returned to the building users. Generally this would be as follows:

1. Apply to building electricity consumption only as electricity metering data is more robust due to the type of meters installed and it will be relatively easy to do an annual (check) manual read. Electricity accounts for over 60% of carbon emissions and of cost.

2. A second reason for limiting the scheme to electricity is that this utility that is the one most widely recognised as being under the control of the building users.

3. Restrict to buildings that have historic data for at least one full year (preferably two) without significant alteration to the building fabric or engineering and without significant change of use or occupancy.

4. Propose that the funds be distributed to the benefit of School / department occupying the building rather than return to central energy budget.

5. Disburse a "rebate" based on the saving against the baseline – with two options:
    A. this could be allocation of the whole value of savings
    B. this could be capped to a limit of 5% of savings against baseline.

Table 1 below identifies those buildings that consumed less (and more) than their previous baseline in 2010/2011. Discrepancies in metered data have been identified in the entries highlighted in yellow so they cannot be included in the pilot. The total calculated savings under baseline would have been £26,240 for the year and the buildings within this total would be those that would attract an incentive payment if a similar improvement was achieved during the current year.

BUILDING	TARGET (kWh)	ACTUAL (kWh)	Diff (kWh)	cost (£)	%age diff	Comment
0647 MARCH BUILDING	238,718	87,168	- 151,549	-£15,155	-63.48%	Data discrepancies
0624 CREW BLD TEACH.LAB	132,734	60,483	- 72,251	-£7,225	-54.43%	change of use?
0645 JOHN MURRAY BLDG	268,923	236,895	- 32,028	-£3,203	-11.91%	Partial vacation?
0648 ROGER LAND BUILDING	1,269,269	1,134,368	- 134,901	-£13,490	-10.63%	Due to be vacated Oct 11
0639 KB CENTRE PHASE 2	317,925	284,885	- 33,040	-£3,304	-10.39%	
0602 HUDSON BEARE BLD	95,361	85,727	- 9,634	-£963	-10.10%	
0603 FARADAY BUILDING	119,143	109,336	- 9,807	-£981	-8.23%	
0668 WILLIAM RANKINE BLDG	985,632	925,487	- 60,145	-£6,014	-6.10%	
0616 ALRICK BUILDING	539,088	509,046	- 30,042	-£3,004	-5.57%	
0615 FLEEMING JENKIN BUILDING	955,119	902,156	- 52,963	-£5,296	-5.55%	
0622 WEIR BUILDING	78,727	74,841	- 3,886	-£389	-4.94%	
0610 DARWIN BLD + OUTHSES	174,033	167,474	- 6,559	-£656	-3.77%	Partial vacate
0611 DARWIN LIBRARY	270,418	265,649	- 4,769	-£477	-1.76%	Now vacated
0632 JOSEPH BLACK BLD	4,787,049	4,758,317	- 28,732	-£2,873	-0.60%	
0612 SWANN BUILDING	620,004	617,916	- 2,088	-£209	-0.34%	
0604 ENG STRUCTURES LAB	12,290	12,256	- 34	-£3	-0.28%	
		Total savings under baseline		-£26,240		
0617 SCOTTISH MICRO ELEC CTRE	2,376,314	2,413,704	37,390	£3,739	1.57%	
0633 GEOLOGY/GEOPHYSICS	1,003,068	1,056,592	53,524	£5,352	5.34%	
0652 ANN WALKER BUILDING	403,701	427,142	23,441	£2,344	5.81%	
0613 JCMB	9,835,618	10,516,475	680,857	£68,086	6.92%	
0623 CREW LABORATORY	81,194	87,999	6,806	£681	8.38%	
0658 ERSKINE WILLIAMSON BLDG	170,213	184,621	14,408	£1,441	8.46%	
0608 DAN RUTHERFORD BLD	1,637,390	1,905,424	268,034	£26,803	16.37%	
0626 BIOCHAR LABORATORY	1,281	66,847	65,567	£6,557	5120.12%	No previous data for target
0621 CREW BUILDING	197,995	#N/A	#N/A	#N/A	#N/A	
0640 ASHWORTH LABS	813,429	724,480	- 88,949	-£8,895	-10.94%	Meter issues
0657 ASHWORTH EXT NEW WING	411,528	451,689	40,161	£4,016	9.76%	Meter issues
0644 ASHWORTH EXTENSION	625,006	686,070	61,064	£6,106	9.77%	Meter issues
		Ashworth total	12,276	£1,228	0.66%	

Table 1 KB Buildings – ranked by diff between baseline and actual electricity consumption

These figures identify the consumption on a building basis – it is proposed to allocate these savings at a School level using the Space Database and allocating on an activity-weighted floor area basis. The total savings should be the same.

We are aware of some metering issues within the Ashworth complex of buildings and these are removed from the table calculation. If the plus and minus of these three buildings is summed, the difference over the year reduces to less than 1%.

The final issue of 2010/11 reports was issued on 7th September 2011. We therefore have a complete record of data for this year and baseline data for 2011/12 will be calculated using the weighting factors. This will be issued as a baseline report at the end of September 2011 and will provide a direct comparison with the monthly consumption reports.

Action requested   The group is invited to;
- **endorse** the introduction of a pilot incentive scheme at Kings Buildings to reward buildings that achieve savings over electrical consumption targets commencing August 2011
- **recommend** Option A – where the full value of savings is disbursed rather than Option B – limit the rebate available to 5% savings against baseline.

In neither cases where the energy efficiency actions of local staff and students in buildings were rewarded by an incentive rebate would the core energy budget be out of pocket. The benefit received by the savers – most likely as a budget supplement in succeeding year –is funds not spent on electricity

Geoff Turnbull, Assistant Director Estates and Buildings, 19 September 2011

The University of Edinburgh

Central Management Group

11 October 2011

Fees Strategy Group: Convener's action

Brief description of the paper

This paper contains an item agreed by the Convener of Fees Strategy Group, following consultation with members of the Group, for final approval by CMG.

Action requested

Approve recommendation.

Resource implications

Does the paper have resource implications? Yes
As detailed in paper.

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? Yes
Equality and diversity issues are considered as part of the ongoing monitoring of fee levels by the Fees Strategy Group

Freedom of information

Can this paper be included in open business? No

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

Withhold information until information published in table of fees.

Originator of the paper

Susie Rice
Governance and Strategic Planning
3 October 2011

The University of Edinburgh

Central Management Group

11 October 2011

New Travel Management Service Agreement

Brief description of the paper

The paper updates CMG on a new travel management service agreement for the University of Edinburgh.

The Travel Services agreement provides a one stop shop solution for travel and accommodation requirements, the following key services are available:

- Travel: Rail, Air, Ferry, Bus, Coach, Underground
- Accommodation: Hotel, B&B, Serviced Apartments
- Travel related services: Visas, Meet & Greet, and Airport Parking
- Conference venues

This is a collaborative agreement that was led by Scottish Government for the Scottish publicly funded sector and participation was supported from the University of Edinburgh travel booking community earlier this year. Expotel are one of the top 10 travel companies and the largest hotel booking specialist, serving major clients in both the private and public sectors.

The new agreement starts 1st October 2011 and supplements the CMG endorsed policy of staff self-booking and claiming eExpenses for lower cost journeys, successfully implemented.

Resource implications
Does the paper have resource implications? Yes.
This is a one stop shop approach to booking travel. Bookers can place all travel orders through this agreement for a point to point travel service. A reduction in time and transaction fees applies as point to point travel will only occur **one** transaction fee for all travel. This offers a substantial saving compared to current fee structures. *See Benefits section 4*

It is proposed moving forward to review an online booking tool hosted by the supplier to provide a more efficient process to bookers, which has even lower transaction fees available.

Risk assessment
No significant risk, mainly on reluctance to change and influencing those who are not currently using existing travel agreement.   Price value for money risk will be managed by the provider/ Scottish Government and special academic/charity/low fares can still be accessed.

No personal risk, all duty of care and emergency travel requirements will apply within the service.

Freedom of information
Can this paper be included in open business? Yes

Originators of the paper
Gordon Whittaker, Procurement Manager
George Sked, Assistant Director of Procurement
11th October 2011

New Travel Management Service Agreement

1. Background

The University's travel user group agreed that using a collaborative contract would be the most effective method of contracting for travel services

The national strategy for the procurement of Travel Services was developed by Scottish Procurement (formerly Procurement Scotland) in collaboration with key stakeholders across the Scottish Public Sector and representatives from industry suppliers. This engagement was supported by sector workshops conducted in June 2010 highlighting potential benefits from utilising the 'Buying Solutions' Framework.

It was agreed that the optimal approach to market to meet the requirements of end user organisations would be to conduct a mini competition under the current Buying Solutions Framework for Travel Services, for a one-stop shop solution.

This mini competition has now been contracted with **Expotel Ltd.**

The contract was awarded in July 2011 with a staged migration dependant on individual organisation agreements. Within the Scottish HE sector, Edinburgh, Heriot Watt, Robert Gordon, Glasgow, Stirling Universities are participating along with Inverness, Perth and Stevenson Colleges.

2. Key Changes

(i) Effective from 1 October 2011, staff should now use **Expotel** for managed travel services. Procurement travel pages are all updated with information and contacts.
http://www.ed.ac.uk/schools-departments/procurement/buying/commodity-info/travel/travel

(ii) The managed travel service supplements self-booking Travel Policy for under £300.
http://www.ed.ac.uk/schools-departments/procurement/buying/commodity/travel/travelpolicy

(iii) *Key Travel* retained (under an HE consortium deal) for access to certain air travel for which flexible Academic or Charitable fares can apply, until February 2012, subject to sector review.

3. Contracts
(i) The University framework contract with HRG Robinson ended on September 30th 2011.

(ii) **Travel Services Agreement is Expotel from 1st October 2011 until 30th June 2014**.

(iii) *Key Travel* (under SUPC agreement) for academic/charitable fares runs to Feb 2012.

4. Benefits

(i) This new agreement offers substantially lower transaction fees on all travel. Competitive ticket pricing should be available via this as a major collaborative agreement. Self-booking for low cost journeys is still an option for staff.

(ii) As point to point travel provider Expotel offer a full travel management solution and will only charge **one booking fee** (highest if several transactions make up journey).

For example Train, International flight with Hotel accommodation will only incur Air transaction of **£17.50** in comparison to what was **£47** fees (*previous agreement*).

(iii)   Additionally saving will be on group travel to same destination where only one transaction would apply, regardless of numbers travelling together. For example 10 staff booked to travel together on same International flight pay **one transaction fee** of £17.50 in comparison to what have been as much as £250 or £350 fees with previous agreement. Field work and conference travel will see particular benefits.

(iv)   Key Travel Academic of Charitable fares may offer best value and a formal statement on eligibility and criteria is being prepared by Key Travel marketing for publication through the University of Edinburgh Travel group & procurement web.

(v)   Carbon impact will be part of Expotel Management Information that will support our sustainability aspirations and help SEAG colleagues in the CO_2 travel data capture.

(vi)   Monthly consolidated invoicing will still apply, offering us processing efficiencies.

(vii)   An online booking tool, with further efficiencies, is available and a project will commence later in year to review how University of Edinburgh can best use this tool.

5. Risks

(i)   Biggest risk is reluctance to change within the University of Edinburgh.

(ii)   The travel market is a very loyal industry when bookers stay where they perceive a more personal service. Procurement manager is encouraging Expotel to become engaged with our many key stakeholders to develop and market the agreement and to ensure its service quality.

(iii)   Pricing benchmark carried out by Scottish Procurement team as part of the agreement.

(iv)   The migration period will continue for a minimum period of 3 months, working closely with Expotel and our travel bookers so that a high level of service is provided to meet the requirements of our staff. Thereafter, continued contract management support is provided.

This risk is already being addressed by short pilot among bookers, data and service transfer collaboration from the current service providers and a 'roadshow' is planned from Expotel .

A supportive procurement manager will liaise with the firm and the travel users group will reconvene to provide a conduit on any common concerns and for performance review with the Expotel account manager and (local) office manager. Major concerns are escalated to the Scottish Procurement team and senior escalation points in Expotel, if this was needed.

6. Contact : Mr Gordon Whittaker, Procurement Manager Gordon.Whittaker@ed.ac.uk or ext 6502759.

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7. Recommendation: CMG to NOTE change of Travel Management Service to *Expotel ltd* on Scottish Public Sector agreement alongside
(i) low cost travel for <£300 selfbooking and claims via eExpenses
(ii) for air -academic or charity fares - where applicable, from *Key Travel*.

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The University of Edinburgh

Central Management Group

11 October 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 September 2011. 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? Yes

Any other relevant information

Not applicable

Originator of the paper

Hamish McKay,
Chief Internal Auditor
3 October 2011

Internal Audit

Internal Audit Reviews - listed in the order completed from January to September 2011.

Completed audit assignments

1 The Pensions Office

2 Cash Loss at Student Registration

3 2009-10 TRAC Return Process

4 2009/10 TRAC Teaching Return

5 School of Arts, Culture and Environment

6 Events Management (Accommodation Services): Efficiency and Delivery of Service

7 Research Grant Management

8 Payroll Instructions

9 Financial Planning of Capital Projects

10 The BioQuarter Project

11 Credit / Debit Card Processing

12 School of Biological Sciences

13 Centre for Population Health Sciences (General Practice)

14 Application of IT Codes of Practice

15 Carbon Reduction Strategy

16 Student Admissions and Curricula Systems

17 Equipment Asset Management and Insurance

18 University of Edinburgh Utilities Supply Company Limited

19 Control Account Reconciliations and Bank Reconciliations

20 HESA Data

21 Non-salary Payments to Staff

22 Business School Cash Loss

23 School of Geosciences

24 Expenses Policy

Issues are highlighted below where the subject has either (a) <u>wider significance</u> across the University and/or, (b) <u>common themes</u> requiring attention by senior management. Some assignments were carried out by specialist staff under contract.

Financial Planning of Capital Projects

The identification and monitoring of cash flows for capital projects is important in maximising the return from funds invested. In recent years the Estates and Buildings and Finance Departments have developed and improved the detail which is collated, analysed and subsequently reported, primarily to the Estates Committee. Such reporting has been on an annual basis and it was agreed to increase the frequency to quarterly or monthly periods and also to focus on standardising information on cash flow. Opportunities to streamline procedures to minimise duplication of effort were agreed. Guidance on cash flow information needs to be provided in the new Treasury Management procedures being developed by the Finance Department.

Equipment Asset Management and Insurance

The new requirement for Research Council grant applications following the Wakeham Report 2010 (once the details are fully clarified) and the financial climate facing Universities is that there is a greater need to maximise value from the purchase and utilisation of equipment and related assets. While there was clearly defined authority for management of the University's asset portfolio in place, there was not clearly defined authority for overall coordination of the University's equipment and related asset portfolio in its totality. As a result, the University was unlikely to be in the optimum position to meet the new Research Council requirements and maximise the value obtained from its equipment asset portfolio. The Senior VP (Planning Resources & Research Policy) agreed to accept responsibility for overall strategic control of the University's asset portfolio with ultimate authority for deciding on what should be recorded. There were overall arrangements in place for insurance of equipment and related assets that will mitigate the risk of the University incurring additional costs. However, there was potential to update the methodology to give further assurance that insurance is based on fully accurate and up to date management information.

Research Grant Management

The Infinite system is intended to improve the management of research grant information through enhancing the workflow processes and management information associated with the transfer of information between the ERI (pre-award) and the University's financial (post-award) systems. The Infinite system should represent a positive development for the University overall and therefore assist the maximisation of Value for Money through improved workflow processes and improved management information. Various enhancements suggested by Internal Audit during the project relating to the controls and delegated authority levels in the Infinite system were subsequently actioned. The proposed authorisation control processes matched accountability in the CSE and HSS Colleges. However in the MVM College, the authorisation arrangements were not fully in harmony with budgetary accountability in practice for funding deficits arising from grants, and therefore resulted in some residual risk of inappropriate commitments. The Project Sponsor undertook to revisit the feasibility of enhancing the Infinite system prior to it going live, and had proposed an alternative process for CMVM which will mitigate, but not fully eliminate the risk.

Student Admissions and Curricula Systems

The scope was restricted to the post implementation technical service management arrangements and non-functional areas such as capacity planning and performance monitoring. The technical service management arrangements provided by Information Services were consistent with good practice in this area. Service reporting to the business users had been established and covered a comprehensive range of topics. Service provision was consistent with a robust and resilient architecture. Performance

monitoring and reporting was in place. Change management was embedded within the operational framework in place.

HESA Data

The various external dependencies involved with Higher Education Statistics Agency (HESA) submissions, and the dynamic nature of changes in data and of external changes in requirements, will continue to present risk to successful and timely submission of HESA Returns. Although the data is processed by an external supplier (HESA), it is in the University's interests to maintain close involvement, firstly to help ensure accuracy of the return from all sources, and secondly because the data is relevant to other projects. Such involvement will require maintaining staff skills in-house. All indications are that the University's HESA data is being processed to required standards.

Application of IT Codes of Practice

The University's Information Security Policy provides overall management direction for information. It stated that Codes of Practice should be developed for individual key services, based on an assessment of criticality. The University had identified eighteen high priority applications and services for Business Continuity purposes but only three Codes of Practice had been developed. Given his pan-University authority, the Chief Information Officer was invited to consider the best way of ensuring that the remaining Codes were prepared. Any delegated authority within these Codes needed to be clearly specified.

Credit / Debit Card Processing

The Payment Card Industry Data Security Standard is a mandatory security standard for the protection and securing of card payment data. Sanctions, following a data breach, range from fines to removal of the ability to process cards. In 2008, the University recorded 44,552 credit card and 63,165 debit card transactions, generating receipts of £18.4 million and £15.8 million respectively. There was a corporate risk arising from local non-compliance. In terms of the status of overall Payment Card Industry Data Security Standard compliance, the University's main external credit card processor, Streamline, advised that they are already compliant. However, the University's own processes also needed to meet the standard. The University intends to have all card transactions processed through a main external credit card processor and intends to work towards mitigating the risks around the processes to achieve full compliance in all parts of the University, including subsidiaries. Each user area would be evaluated individually for compliance. The majority of our recommendations were specific to the high credit / debit card user areas that we focused on during the review.

Carbon Reduction Strategy

The University's response to the opportunities and challenges presented by the social responsibility and sustainability agenda has developed organically over a number of years including the development of an overarching strategic group, the Sustainability & Environmental Advisory Group (SEAG), and a complementary SEAG operations group (SEAGOG). More recently a Social Responsibility & Sustainability Strategy (SR&SS) and a Climate Action Plan (CAP) were adopted by Court in 2010. It was agreed that a senior manager would be allocated overall responsibility for management of the CAP and that a standardised method of costing and comparing business cases for individual projects contributing to the CAP would be developed.

University of Edinburgh Utilities Supply Company Limited

University of Edinburgh Utilities Supply Company Limited is a major plank in the University's carbon reduction strategy and it had been successful in achieving its objectives to date. It was entering a new phase of development and operations that required a clear strategy and plan to ensure it continues to achieve its objectives, especially in support of the University's Climate Action Plan and associated target to reduce carbon emissions.

Hamish McKay,
Chief Internal Auditor, 3rd October 2011

The University of Edinburgh

Central Management Group

11 October 2011

Senior Vice-Principal, Planning, Resources and Research Policy's Contingency Fund

Brief description of the paper

This paper contains the year end statement for the Senior Vice-Principal, Planning, Resources and Research Policy's Contingency Fund for the financial year ended 31 July 2011 and the position to date in respect of the 2011/2012 budget.

Action requested

For information.

Resource implications

Does the paper have resource implications? Yes, as noted in the paper.

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.

This paper should remain closed until the Management Accounts for this period have been published.

Originator of the paper

Dr Katherine Novosel
Head of Court Services

To be presented by:

Senior Vice-Principal Professor N Brown
October 2011