**Agenda for a meeting of the Central Management Group
to be held at 10.30 am on Monday, 12 November 2012
in the Raeburn Room, Old College**

1	**Minute of the meeting held on 10 October 2012**	**A**
2	**Matters Arising**	
3	**Principal's Business**	
3.1	Principal's Communications	
3.2	Principal's Strategy Group	**B**

FOR DISCUSSION

4	**Finance Update (closed|)**	**C**
5	**Planning Guidance 2013/2014 (closed)**	**D**
6	**Progress Report - Strategic Plan 2008-2012**	**E**
7	**Enhancement of University-wide IT Security**	**F**
8	**Risk Management Committee end of year Report**	**G**
9	**Principal's Career Development PhD Scholarships**	**H**
10	**Report from Staff Committee (closed)**	**I**
11	**Chancellor's Fellowships – update**	**J**

FOR INFORMATION/FORMAL APPROVAL

12	**Report from Fees Strategy Group (closed)**	**K**
13	**Routine Fees (closed)**	**L**
14	**NPRAS Space Rates 2013/2014**	**M**
15	**Security Advisory Group Annual Report**	**N**
16	**Climate Action Plan Update 2012**	**O**
17	**Health and Safety Report**	**P**
18	**University Athena Swan Bronze (closed)**	**Q**
19	**Proposal to create five new Chairs in the Business School**	**R**
20	**Any Other Competent Business**	
21	**Date of next meeting**	

Wednesday, 23 January 2013 at 10.30 am, in the Raeburn Room, Old College.

A

Central Management Group

Wednesday, 10 October 2012

MINUTE

Present:	The Principal
	Senior Vice-Principal Professor M Bownes
	Vice-Principal Professor J Seckl
	Vice-Principal Professor C Breward
	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 Waterhouse
	Mr H Edmiston
	Vice-Principal Mr N A L Paul
	Dr K Waldron
In attendance:	Dr I Conn
	Mr A Currie
	Ms S Gupta
	Mr P McNaull
	Mr D Waddell
	Assistant Principal Dr T Harrison
	Dr B Nelson, on behalf of Vice-Principal Professor L Yellowlees
	Dr K J Novosel
Apologies:	Vice-Principal Professor R Kenway
	Vice-Principal Dr S Rigby
	Vice-Principal Professor L Yellowlees
	Dr A R Cornish

1   MINUTE OF THE MEETING HELD ON 22 AUGUST 2012   Paper A

The Minute of the meeting held on 22 August 2012 was approved as a correct record.

CMG welcomed Vice-Principal Professor Jonathan Seckl in his new capacity and welcomed Mr Phil McNaull the new Director of Finance.

2   PRINCIPAL'S BUSINESS

2.1   Principal's Communications

The Principal reported on the following: the successful 2012/2013 undergraduate student recruitment particularly the position achieved with international students; the priority being given by the Scottish Government to widening participation, the Government resources being made available and the various actions in respect of bursary provision, admission processes and learning skills opportunities; recent media coverage on league table results; distance learning initiatives; continuing success in securing research

investment; UCU stress survey; and the successful team approaches to international developments and quality/student experience initiatives.

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

CMG noted the report.

FOR DISCUSSION

| 3 | **FINANCIAL UPDATE (CLOSED)** | **Paper C** |

The position regarding student fee income was noted and progress to take forward the Holyrood development including the discussions with the funding partner. The intention to improve the transparency of utilisation planning around College and Support Group reserves was also noted and the importance of maximising opportunities to invest in staff given the coming REF and to take forward initiatives in respect of the student experience.

| 4 | **UPDATE TO THE ALLOCATION OF RESOURCES FOR 2012-13 (CLOSED)** | **Paper D** |

CMG noted and endorsed the revisions to the allocation of resources 2012/2013 and the now planned budget surplus of £7.467m. CMG further approved the proposals in respect of programmes to be included within NPRAS.

| 5 | **FUTURE DIRECTIONS IN ADDRESSING FEEDBACK SCORES IN NSS (CLOSED)** | **Paper E** |

Following discussion and agreement at Court of the approach to address the issues raised by the recent NSS results, CMG noted and was supportive of the three proposed strands of work: understanding and identifying the issues through internal student surveys in every year of study; commissioning independent experts to analyse these results and to deliver a co-ordinated approach across the University; and to improve communications to students and staff. There was also discussion on: the need to consider benchmarking information from other institutions; the useful points raised at the last meeting of Senate particularly around students' desire to identify with degree cohorts; the current assessment and learning structures at under and postgraduate levels; training and support for those delivering feedback; and managing expectations by undertaking further surveys. CMG further noted the costs of this implementation plan.

| 6 | **SCOTTISH EQUALITY REGULATIONS: EQUALITY IMPACT ASSESSMENT (CLOSED)** | **Paper F** |

CMG noted the implications of the specific duties placed on the University by the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012 and endorsed the proposed approach in respect of equality impact assessments noting that the University had already found this approach helpful in its decision making processes. CMG endorsed the draft Equality Impact Assessment Policy Statement and recommended approval, in principle, to Court subject to consultation and finalisation and further approved the proposed amendment to the coversheet of papers for Court, Senate and Committees.

| 7 | **REPORT FROM ESTATES COMMITTEE (CLOSED)** | **Paper G** |

CMG endorsed the recommendations as set out in the paper in particular noting progress with the Deaconess House Development, the opportunities around the possible acquisition of Murchison House and the intention to establish a short term working group to look at an overall high level plan for the University's estate. The revisions to the plans for a Day Nursery facility at King's Buildings, the proposed acquisition of the RV Short building and the revised master plan for the BioQuarter were also noted and endorsed.

FOR INFORMATION/FORMAL APPROVAL

| 8 | **EUSA VOLUNTEERING OPPORTUNITIES ANNUAL REPORT** | **Paper H** |

The continuing success of EUSA's volunteering activities as set out in the 2011/2012 Annual Report was welcomed and CMG further noted the inclusion of financial information as previously requested.

| 9 | **EDINBURGH STUDENTS' CHARITIES APPEAL (ESCA) ANNUAL REPORT** | **Paper I** |

CMG noted the ESCA's annual report and confirmed the University's continued financial support for this group. It was suggested that it would be helpful to know more about the number of students actively involved.

| 10 | **FEES STRATEGY GROUP: CONVENER'S ACTION (CLOSED)** | **Paper J** |

The proposal in respect of the scholarship agreement was approved and it was noted that a further paper would be brought to a future CMG on scholarship arrangements for all international partnerships.

| 11 | **RESPONSE TO THE SCOTTISH GOVERNMENT PROCUREMENT REFORM BILL CONSULTATION (CLOSED)** | **Paper K** |

CMG noted the paper and that issues around the proposals were actively being taken forward by Universities Scotland on behalf of the sector.

| 12 | **DRAFT SRS IMPLEMENTATION PLAN 2012-13** | **Paper L** |

The progress being made on taking forward the sustainability agenda was welcomed. The 2012/2013 implementation plan which involved working with a number of groups across the University was endorsed by CMG.

| 13 | **PROPOSAL TO ESTABLISH A PERSONAL SENIOR RESEARCH CHAIR OF AUTOMATED REASON** | **Paper M** |

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

| 14 | **PROPOSAL TO ESTABLISH A PERSONAL CHAIR OF GOVERNMENT** | **Paper N** |

CMG approved the proposal to establish a Personal Chair of Government.

15   DATE OF NEXT MEETING

Monday, 12 November 2012 the Raeburn Room, Old College

The University of Edinburgh

Central Management Group

12 November 2012

Principal's Strategy Group Meeting
8 October 2012

Amongst the items discussed were:

1. Strategy for 2013-2014 Intake Targets

The Group discussed the options and agreed the strategy for the 2013-2014 intake targets.

2. SFC Additional Funded Places Incentive Schemes

The Principal noted the recent Ministerial Letter of Guidance and Vice Principal Seckl introduced each of the new SFC Incentive Schemes. Following discussion it was agreed that:

- The University should, where possible, participate in these schemes.
- The bid for the **Widening Access** scheme will be led by Senior Vice Principal Bownes and will consider financial support, learning support and an increased emphasis on the use of contextual admissions data.
- The **Highly-Skilled Workforce** bid will be led by Vice Principal Rigby.

3. Distance Education and MOOC Progress Report

Vice Principal Haywood updated the Group on the current picture with regard to the Distance Education Initiative (DEI). There are 16 DEI funded programmes currently running representing £434,000 of new fee income for this academic year.

PSG are strongly supportive of the ambition that every School in the University should be running at least one distance education course.

Six short first year MOOC courses, two per College, are currently being developed for launch in late January 2013.

4. Estates Overview

PSG are very supportive of increased space efficiency across campus and it was agreed that an update on space efficiency matters would be sought from the Space Management Group and the Shared Academic Timetabling Group which would be considered at a future meeting along with the question of space and utility charging. In addition, at a future meeting, PSG would consider in greater depth high level Estates priorities, resource opportunities and the standardisation of internal protocol with regard to estates projects.

5. NSS Progress Report

Vice Principal Rigby gave an update on progress with the seven strands of activity that are being undertaken in response to the University's poor results in the NSS 2012.

PSG were supportive of all activity which will be presented to CMG in greater detail later this week.

The University of Edinburgh

Central Management Group

C

12 November 2012

Finance Update

Brief description of the paper

Monthly update from the Director of Finance. Previous report dated 3 October 2012.

Action requested

To note the contents.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment?   No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the commercial interests of any person or organisation
For how long must the paper be withheld? 2 years

Originator of the paper

Phil McNaull
Director of Finance
5 November 2012

The University of Edinburgh

Central Management Group

12 November 2012

Planning Round Guidance
2013-14 to 2015-16

Brief description of the paper

This paper presents the Planning Guidance for medium term plans for the period 2013-14 to 2015-16.

Action requested

CMG is invited to approve the planning guidance. Indicative uplifts to core budgets will be notified verbally at the meeting.

Resource implications

The paper addresses issues which will impact on University resources and College and Support Group budgets.

Risk assessment

The paper addresses issues which will impact on University resources and College and Support Group budgets.

Equality and diversity

Equality and diversity should be addressed in each College and Support Group Plan, in line with the Strategic Theme 'Equality and Widening Participation' in the University's Strategic Plan 2012-16.

Freedom of information

This paper should not be included in open business. Disclosure would substantially prejudice the commercial interests of any person or organisation.

To be presented by

Professor Jonathan Seckl, Vice Principal Planning, Resources and Research Policy

Originator of the paper

Alexis R Cornish
Director of Planning and Deputy Secretary
1 November 2012

E

The University of Edinburgh

Central Management Group

12 November 2012

Strategic Plan 2008-2012 Targets – Final Report on Progress

Brief description of the paper

This paper presents the final report on progress against the 33 targets set out in the University's Strategic Plan 2008-2012. Once CMG's comments have been incorporated, the progress report will be submitted for discussion to FGPC on 19 November and Court on 10 December 2012. It will then be submitted to the Scottish Further and Higher Education Funding Council (SFC).

Action requested

For comment.

Resource implications

None.

Risk assessment

Inadequate monitoring of progress against the University's Strategic Plan targets could result in the non-delivery of the University's objectives and strategies and, ultimately, failure to meet targets. The University's Strategic Plan 2012-16 maintains a focus on areas of priority for the University over the next 4 years.

Equality and diversity

Targets 10.1 – 10.3 in the 'Promoting equality, diversity, sustainability and social diversity' Strategic Theme of the Strategic Plan have equality and diversity implications. Equality and diversity issues are taken forward in the Strategic Theme 'Equality and Widening Participation' in the University's Strategic Plan 2012-16.

Freedom of information

Can this paper be included in open business? Yes

To be presented by

Dr Alexis Cornish, Director of Planning and Deputy Secretary

Originator of the paper

Rona Smith, Senior Strategic Planner
Dr Alexis Cornish, Director of Planning and Deputy Secretary
Governance and Strategic Planning, 7 November 2012

THE UNIVERSITY *of* EDINBURGH

GOVERNANCE AND STRATEGIC PLANNING

Final Report on Progress against Targets in Strategic Plan 2008-12
October 2012

1. Summary

The following 33 targets were contained within the University's Strategic Plan 2008-2012. Colleges and Support Groups also set and monitor their own targets in addition to those listed here.

In this final report on progress, the achievement statuses for the University's 33 targets confirm that:

- 27 targets are met, partially met or are 'on track' to be met (data not yet available for the final year);

- the University has not met 5 out of 33 targets (1.1, 4.1, 8.2, 10.2 and 12.3); and

- the remaining target is categorised as further work required (10.3).

Target		Progress to date	Achievement Status
Excellence in learning and teaching			
1.1	increase the level of satisfaction expressed in the *Assessment and feedback* section of the National Student Survey and enter the upper quartile of institutions surveyed *This target is measuring the percentage of Edinburgh's National Student Survey (NSS) respondents answering 4 (mostly agree) or 5 (definitely agree) to the five questions in the NSS which relate to assessment and feedback. The aim is for the University's percentage figure by 2012 to be at least equal to the upper quartile figure for all non-specialist Universities UK (UUK) members, being the largest relevant group of participating institutions.*	• In the 2012 NSS, Edinburgh's figure was 52%, no change from 2011, but up from 51% in 2010 and 46% in 2009. This remains the lowest figure of all comparator group institutions. The comparator group upper quartile figure increased to 72%, which, at 20% higher than Edinburgh, represents a divergence of 2% year on year. • Through a wide-reaching Student Voice project initiated by Governance and Strategic Planning, a new set of centrally produced and standardised NSS reports was introduced for the 2011 results, and further refined for the 2012 data. The approach provides comparisons of results at University, School, subject and programme level. Our results are also compared year-on-year and systematically benchmarked against those of other institutions, providing a firmer basis for reviewing performance and determining follow-up actions. • The approach which has been followed to improve NSS performance has comprised four strands: (a) setting standards and communicating expectations (based around University-wide Feedback Standards and Guiding Principles approved by Senatus in June 2010 and revised in May 2012 by Learning and Teaching Committee); (b) monitoring performance and actions; (c) review and development of feedback and assessment practices; and (d) identifying and promulgating effective practices. • In the light of the disappointing 2012 results, additional actions are being taken, focusing primarily on b. through securing a more robust picture of the provision of feedback, since the results in some cases diverge markedly with course-level own internal surveys, and do not seem to reflect the very considerable efforts being made by Schools to improve provision. Two external studies are therefore being commissioned as matter of urgency: one will benchmark feedback practices with	NOT MET

Target		Progress to date	Achievement Status
		those of a sample of comparator universities, targeting in particular universities where there have been significant improvements in NSS feedback scores; the other will conduct focus groups with the final year students completing NSS 2013, seeking in-depth information on how the students review and weigh their experiences of feedback at Edinburgh across a range of courses in responding to the three NSS questions on feedback. Additionally, plans are being finalised to undertake regular University-wide internal surveys of students across all years of study (the NSS is confined to final-year undergraduates), to establish a more robust corpus of information on the student experience. • Further steps are also being taken to enhance the quality of feedback (strands c. and d.). These include the launch of a 'good feedback network' to support key initiatives to improve practices, and strengthening the subject-specific guidance provided to new lecturers and new postgraduate tutors and demonstrators. • The new approach to student support launched for the start of the new academic year will also have an important contribution to make, by opening up opportunities for students to review their progress with their Personal tutors and consider how they can make most effective use of the feedback being generated across the various courses they are taking.	
1.2	by September 2009, simplify and standardise assessment procedures and regulations, using common processes except where departures from these are necessary for academic reasons	• In June 2011, the Curriculum and Student Progression Committee (CSPC) adopted taught assessment regulations, which combined the previous undergraduate and taught postgraduate assessment regulations. The taught assessment regulations were standardised and structured into policy, regulation and guidance. They came into use in academic year 2011/12 and update training sessions for members of	MET

Target		Progress to date	Achievement Status
	*Given the complexities of this area, and the need to achieve the final outcome through well-considered incremental change, a **revised timescale of 'by the end of the Plan period'** was agreed for this target was reported in October 2009.*	Boards of Examiners which ran in 2011/12 are planned to become annual events. • In June 2012, CSPC adopted postgraduate research assessment regulations, which were standardised and structured into policy, regulation and guidance. Where relevant, these postgraduate research assessment regulations align with the taught assessment regulations. The postgraduate research assessment regulations came into use in academic year 2012/13 and were publicised to Schools in July 2012. • In May and June 2012, following consultation with Colleges and EUSA, CSPC and the Senate adopted the undergraduate and postgraduate degree regulations for 2012/13. The regulations were simplified and common processes agreed through the Degree Regulations Task Group. Previously there were eight sets of regulations: undergraduate and postgraduate for the University and each College: these have been combined and rationalised into two sets of regulations: undergraduate and postgraduate. Regulations for higher degrees have been separated into their own section. The new regulations, and key changes, were publicised to staff in July 2012.	
1.3	be one of the first Russell Group universities to implement the use of transcripts for measuring and recording student achievement	• The University issued the first new style HEAR (Higher Education Achievement Report) transcripts to undergraduate and taught postgraduate students graduating in summer 2012. This is an extended transcript which includes information about students' non-credit bearing activities. • The University is an early adopter, with many more institutions starting to deliver this session.	MET

Target		Progress to date	Achievement Status
1.4	increase our headcount of taught postgraduate students by 50%	• In 2011/12, our headcount of taught postgraduate students was 6,280, which was 64% greater than in 2007/08.	MET
Excellence in research			
2.1	achieve year-on-year improvement in the quality and quantity of our research as measured by the Research Excellence Framework	• The REF2014 Guidance on Submissions was published in July 2011, and the Panel Criteria and Working Methods were published in January 2012. Sub-panels will produce the overall quality profiles by assessing three distinct elements of the assessment, weighted as follows: Research outputs : 65% Research impact : 20% Research environment : 15% • The research environment data to be considered (over the census period 1 August 2008 to 31 July 2013) are: Research doctoral degrees awarded Research income • An interim indication of research performance can be provided on the basis of research environment data from 1 August 2008 to 31 July 2011: Research doctoral degrees awarded : 18% increase Research income : 20% increase • In preparation for the REF2014 submission in November 2013, Schools and Colleges have been engaging in mock REF exercises in order to assess the quality of research outputs. Units of Assessment have also been preparing research environment statements, impact case studies, and impact statements. These are in the process of being reviewed within the Colleges and will be reviewed by the REF Senior	MET

Target		Progress to date	Achievement Status
		Management Group in 2013.	
2.2	increase our headcount of research postgraduate students at a greater rate than the Russell Group average	• 2011/12 data will not be available until March 2013. • Our headcount of research postgraduate students in 2010/11 was 2,845, which was 9.4% higher than in 2007/08, the baseline year. In comparison, the Russell Group average headcount of research postgraduate students was 8.5% higher than in 2007/08.	MET
2.3	double the recorded number of skills training and development opportunities taken up by postgraduate research students *This target relates to training and opportunities provided throughout the University (including Schools as well as support services like the Institute for Academic Development).The bulk of the training and development opportunities reported for this target are one-off events.*	• Based on the figures reported to date, there is a record of 5,500 training opportunities being taken up during 2011/12, compared to the 2007/08 baseline of 2,800. This represents an increase of 96%. These figures reflect take up of training that is automatically reported (mostly through the MyEd booking channel) together with information from four training providers who operate outside that system. If the figures also included information on take up for all other providers (particularly Schools), the 100% target is exceeded.	MET
Excellence in commercialisation and knowledge exchange			

3.1	increase our economic impact by a higher percentage than our growth in income
	
	 Biggar Economics, who prepared the figures to allow us to report on progress against this target, advised that the most appropriate economic impact measure to use for this target is Gross Value Added, calculated with reference to annual impact measures.
		• Since the University's Scotland-wide economic impact was first calculated in 2008:
		
		   • our economic impact, as measured via Gross Value Added (GVA) focusing on annual impact measures, has increased by 31%; whilst,
		
		   • our income (GDP deflator applied) has increased by 29%.
			MET

Target		Progress to date	Achievement Status
Quality people			
4.1	achieve an 85% appraisal completion rate across all staff *This target is measuring the proportion of the University's total staff population who are recorded as having had an appraisal, or 'Annual Review' covering both performance and development. The target is aiming for 100% of staff with contracts of 1 year or more, other than where review is not possible e.g. due to turnover and long-term absence.*	• The target was set in the context of plans to introduce a new framework for reviews across the University. The University Annual Review (AR) Policy Statement was agreed by CMG during 2011/12 – following substantial debate in Staff Committee and with the Trade Unions. This aimed to achieve a clear University-wide policy which balanced the need to have a single University-wide set of principles with the flexibility to ensure that ARs meet the particular needs of individual staff and their business areas, including recognising that other external processes operate in some areas, for example, for staff on NHS contracts. • The AR Policy Statement established the principles and governance processes for Annual Review and formally changed the University policy to require reviews to be annual, rather than every two years, with effect from November 2011. • The priority has been to embed good practice at School and Service level, for the process to be meaningful and not just a tick box exercise. Locally, areas have therefore been doing a great deal to embed the implementation of AR review meetings over the last few years, including communicating the importance and requirement for Annual Review developing local guidance and providing tailored training if appropriate. In those Schools where AR completion was not on target in 2011/12, there is now good awareness of the importance of annual reviews and a strong will, backed by encouragement by all the Heads of College, to ensure AR for all staff in 2012/13. • One of the challenges has been to train and develop staff across the University in	NOT MET

Target	Progress to date	Achievement Status
	Annual Review processes and practice. However, it is impractical to be able to train all relevant staff through workshops or briefing sessions. Whilst to date staff development has been provided through such sessions, an online training facility will be launched shortly, which will enable quick and easy access to staff development/refresher training for all staff. • The AR recording system within the main Oracle HR database has been piloted across different areas of the University to test its usability and, following some adaptation, is now configured to enable reporting University-wide in 2013. Information on Annual Review completion rates gathered by the College/Support Group HR teams, indicates that, for the University as a whole, approximately **66%** of staff have had reviews in 2011/12. This is based on the following rates for each College/Support Group. • In CHSS, 57% of staff have had Annual Reviews. One school had changed the timing of reviews, resulting in a low rate which will correct itself in 2012/13. In addition, the AR process has not yet been embedded in ECA following the merger. • In CMVM, a strategic decision was taken in 2011 to focus on Annual Review for senior staff (on grades 9 and 10) during 2011/12. 84% of grades 9 and 10 and equivalent staff had ARs in 2011/12 along with 48% of other staff, giving a rate of 55% for all staff – a modest increase since last year. The College is now launching the 2012/13 review process, emphasising the requirement now to review all staff. • In CSCE, 63% of staff had a review in 2011/12 – increased from 55% last year. This figure is considered to under-state the true rate, due to under-reporting of completed reviews. It has also been noted that in some cases REF-related discussions have been held, even where ARs have not. The highest increase in AR	

Target		Progress to date	Achievement Status
		completion was in the School of Chemistry, which recently won an Athena SWAN Gold award. • In Corporate Services Group, 87% of staff have had ARs in 2011/12. • In Student and Academic Services Group, 85% of staff have had ARs in 2011/12. • In Information Services Group, 72% of staff have had ARs in 2011/12. In some Support Group areas the timing of reviews has changed, resulting in a lower completion figure. However, that will correct itself in 2012/13.	
4.2	increase the proportion of Schools achieving the Athena Swan Silver Award for the recruitment and promotion of women in science, to include at least one School in the College of Medicine and Veterinary Medicine and another three Schools in the College of Science and Engineering	• This target is categorised as partially met as, although significant success has been achieved, and a great deal of work is in train, the target, as set out, has not been fully achieved within the period of the Strategic Plan. • In the College of Medicine and Veterinary Medicine: • The School of Biomedical Sciences has been successful in achieving the Silver Award in 2011. • The Roslin Institute has been successful in achieving the Bronze award in 2012 and has been invited to apply for the Silver Award in 2013 • The Schools of Clinical Sciences and Molecular, Genetic and Population Health Sciences are aiming jointly to achieve a Silver Awards in 2013. The Royal Dick School of Veterinary Studies is planning to submit for a Bronze award in April 2013. • In the College of Science and Engineering: • The School of Chemistry was awarded the Athena Swan Silver award in 2006,	PARTIALLY MET

Target		Progress to date	Achievement Status
		which was successfully renewed in 2009, and achieved the Gold Award in 2012. This is the first Gold in Scotland and only the second in the UK. • The School of Physics was awarded 'Juno Practitioner' status through the Institute of Physics' Project Juno which is a similar programme to Athena SWAN. The School is working to achieve both 'Juno Champion and Athena Silver in 2013. • The School of Biological Sciences' is aiming to achieve a Bronze Award following an application in November 2012. • The remaining four Schools are aiming to achieve Awards in 2013. • In the College of Humanities & Social Science: • The College has identified four areas that are eligible for Athena SWAN awards: Psychology, Architecture, Nursing and Sports Science. The College is planning to apply for Bronze awards for those areas in 2013 and 2014. In addition, the College will support the introduction of a similar accreditation scheme, for the humanities, in its other Schools. Such a scheme is currently being piloted and is anticipated to become available during 2013.	
4.3	ensure 90% of staff in leadership roles have participated in a leadership development programme or other related activities *Definition of leadership role - Staff in grades 9 and 10/equivalent who are in defined leadership roles such as Head/Director of School, Research, Teaching, Post-graduate, Centre, Division, Institute, Subject, Support Service. The leadership development initiatives included*	• By the end of academic year 2011/12, a cumulative total of 90.4% academic, clinical and professional services staff in identified leadership roles (grades 9, 10 & equivalent in Head/Director roles with responsibility for others, even if just one other person) participated in a leadership development programme or other related activities. • The cumulative totals of academic staff, and professional services staff, participating in a leadership development programme or other related activities	MET

Target		Progress to date	Achievement Status
	are only those known to HR at the time of reporting.	over the period are, respectively, 86% and 100%.	
4.4	increase the number of international applications for academic posts	• This target is measured using applicants' home address data and covers all 'academic' vacancies advertised, including those for research assistant posts. Against a 60% increase in vacancies advertised between 2007/08 and 2011/12, and a 200% increase in total number of applications, the number of international applications has gone up by almost 300%. The proportion of applications which are from international applicants has also increased, from 35% to 46%. • In 2011/12, 544 academic vacancies were advertised. We received a total of 18,705 applications for these vacancies: 8,585 (46%) applications had an international (non-UK) home address and the remaining 10,120 (54%) had a UK home address. Of the 8,585 international applications, 3,708 had a home address outwith the UK but within the EU and 4,877 had a non-EU home address.	MET
Quality services			
5.1	complete the review of the balance and interaction between locally and centrally provided services, and consider and act upon its recommendations	• The review was completed and its recommendations endorsed by the University Court at its meeting on 24 May 2010. Recommendations have been implemented.	MET
5.2	increase the overall level of satisfaction expressed in the *Support services* section of the International Student Barometer survey and enter the upper quartile of institutions surveyed	• The overall level of satisfaction expressed in the Support services section of the Summer 2012 International Student Barometer survey was 89.5%, which is 1.8% higher than the 2008 baseline of 87.7%. • Although our satisfaction rate has been within the upper quartile of institutions	PARTIALLY MET

Target		Progress to date	Achievement Status
		surveyed for the last three years, in 2012, the University was ranked outwith the upper quartile in this final year.	
5.3	deliver the EUCLID project in accordance with the agreed plan	• The EUCLID Project formally closed at the end of 2010, as agreed with the Central Management Group. Academic Registry's Student Admissions and Curricula Systems (SACS) now manages EUCLID and related systems, under the direction of the SACS Governance Board. Full details can be found at http://www.euclid.ed.ac.uk/ed/governance/. • In the past year, significant effort has been expended on addressing the very many external compliance requirements and University internal projects. External demands included new tuition fees, Key Information Sets, revised HESA Destination of Leavers from Higher Education (DLHE) requirements, and new SAAS requirements. Internal projects contributed to include merger with ECA, Distance Education initiative, Academic Timetabling project, and Enhancing Student Support (Personal Tutors).	MET
5.4	offer a University website, encompassing all academic and support units, that is rated by key user groups as highly effective	• The University Website is now underpinned by a robust, well-managed, centrally-run infrastructure. All college offices, all support groups and most schools have now joined the online publishing framework which is supported by the Polopoly content management system. Ownership and management of online content is devolved to the business. All content editors (over 500 colleagues spread across the University) have received face-to-face training both in writing for the web, and in how to use Polopoly software. Content is written and structured for target internal and external audiences. Schools which have chosen not to use Polopoly have access to guidelines to help them with online brand compliance and more general training and support from the University Website Programme Team in website usability and	MET

Target		Progress to date	Achievement Status
		writing.	
		• Content for key strategic themes such as internationalisation and student recruitment is being pro-actively managed in Polopoly, leading to a more streamlined and effective user experience for external website visitors. Thanks to this work, website visitors should no longer require an understanding of our internal organisation to find the information they are seeking.	
		• User testing has indicated that greater consistency in interface design, information architecture, and the provision of content written and edited for the web has created the impression of a more joined-up University, has increased "findability" across sites and, over all, has delivered a more successful and effective user experience.	
Quality infrastructure			
6.1	increase income per square metre on a year-on-year basis	• In 2011/12, our income per square metre of gross internal area was £1,097, which was £36 per square metre higher than in 2010/11 and £117 per square metre higher than in 2007/08.	MET
6.2	undertake a review of the University's academic timetable and teaching space utilisation with a view to implementing change as appropriate from 2010/11	• Phase 3 of the Shared Academic Timetabling project, 'minimum process change', has successfully completed within the specified timescale, with the following key implementations: • Launch of new Scientia Enterprise timetabling system in March 2012. • The expansion of the University's centrally-recorded room booking database from 230 to 870 rooms. • The approval of the Shared Academic Timetabling Policy by C&SPC. • Launch of new Web Room Booking and Web Timetable services to all staff and students.	MET

Target		Progress to date	Achievement Status
		• Implementation of interfaces to automate the transfer of key student record/staff data to support timetabling services. • Training and ongoing support of 300 registered School users to ensure consistent and accurate delivery of timetabling and booking data. • Phase 4, 'extended implementation' is under way and is projected for completion in October 2013. This phase will deliver benefits directly related to the student experience, as well as further implementations to support E&B strategic planning, with the delivery of: • Personalised timetables for all taught students. • Introduction of timetable planning tools to enable Schools to identify greater flexibility and efficiency in the timetabling process. • 2-way interface between Scientia Enterprise and MVM booking system. • 2-way interface between Scientia Enterprise and Accommodation Services' Kinetics conference booking system.	
6.3	increase overall building performance (condition and functional suitability), achieving 90% acceptable standard in two of our three academic zones and 60% for the Central Area (within the constraints of historic buildings)	• As at December 2009, the proportion of the University's buildings which were categorised as being of highly satisfactory or reasonable standard, was 89% in the Central Area, 77% in the CMVM Zone, and 86% in the CSCE Zone (up from 31%, 63% and 63% respectively, at the time of the last survey in 2005). This therefore represented good progress, with significant improvement having been made in the Central Area. As this survey was prior to the merger with ECA, the Central Area figures exclude the ECA estate. • Although updated data will not be available until 2013/14, in line with the timetable for Estate Strategy updates, based on recent estates developments, which include new build at Scottish Centre for Regenerative Medicine, the new Roslin Institute and the Veterinary School, Main Library redevelopment, the Kenneth and Noreen	MET

Target		Progress to date	Achievement Status
		Murray Library at King's Buildings, and the disposal of Summerhall, the target is judged to have been met within the period of the Strategic Plan.	
Enhancing our student experience			
7.1	increase the level of satisfaction expressed in the *Overall satisfaction* question from the National Student Survey and enter the upper quartile of institutions surveyed *This target is measuring the percentage of Edinburgh's National Student Survey (NSS) respondents answering 4 (mostly agree) or 5 (definitely agree) to the overarching 'overall satisfaction' question in the NSS. The aim was for the University's percentage figure by 2012 to be at least equal to the upper quartile figure for all non-specialist Universities UK (UUK) members, being the largest relevant group of participating institutions.*	• In the 2012 NSS, Edinburgh's figure was 83%, which was 2% lower than last year; and 3% lower than in 2010; but 1% higher than in 2008, the baseline year. • Although our overall satisfaction rate has been within the upper quartile of institutions surveyed during the Strategic Plan period, in 2012 our satisfaction rate was 5% lower than that needed to be positioned within the upper quartile of all comparator group institutions. • See target 1.1 for information on actions being taken to improve Edinburgh's figure.	PARTIALLY MET
7.2	ensure that all our teaching programmes, undergraduate and postgraduate, incorporate comprehensive development of the skills and attributes that graduates need	• As noted in the report for target 1.3, all of the University's graduates since summer 2012 will receive a Higher Education Achievement Report (HEAR), which contains descriptions of the graduate attributes of each degree, and a description of a range of activities undertaken by the student that will have contributed to the skill set of that student, such as acting as a class representative or participating in a work placement. • The Edinburgh Award, which allows students to chart and understand their own growing skill sets, has now been successfully piloted, and over 100 students have completed the course. The scheme will be developed much more widely in	MET

Target		Progress to date	Achievement Status
		academic year 2012/13.	
		• Employability and graduate attributes are now embedded as a key theme in University and College Learning and Teaching Strategies.	
		• Employer engagement with our learning and teaching activities has increased as a result of our actions to address the Wilson Report and the recruitment of a set of employers to help us coordinate our future approach.	
		• Postgraduate students now receive dedicated skills training through the Institute for Academic Development and their home Schools.	
		• A growing number of our Masters students engage with employers as part of their studies, supported by School initiatives or by our SFC project, Making the Most of Masters.	
		• Finally, 2012 Higher Education Statistics Agency Performance Indicator data show that 93.6% of 2010/11 students leaving Edinburgh were either in employment or further study six months after graduating. This figure is the third highest in the Russell Group.	
Advancing internationalisation			
8.1	increase our headcount of non-EU international students by a minimum of 1,000	• This target has been significantly exceeded: in 2011/12, our headcount of non-EU international students was 6,890, an increase of 2,967 on the 2007/08 baseline of 3,923.	MET

Target		Progress to date	Achievement Status
8.2	increase the proportion of our students attending another international institution by 50% *This target is measuring the number of students participating in formally approved student exchange programmes managed by the International Office, including Erasmus exchanges.*	• The target of a 50% increase between 2007/08 and 2011/12 required us to achieve a figure of 699 by the final year. This has not been achieved. • In 2011/12 there were a total of 621 instances of Edinburgh students participating in formally approved student exchange programmes (comprising 373 ERASMUS and 248 on International Exchange). This represents a total increase of 33% since the 2007/08 baseline year when we had 466.	**NOT MET**
8.3	increase the value of our research grant income from EU and other overseas sources so that we remain above the median of the Russell Group	• 2011/12 data will not be available until April 2013. • In 2010/11, the value of our research grant income from EU and other overseas sources was £22.5 million which was 29% higher than in 2007/08 and 38% higher than the Russell Group median.	**ON TRACK**
Engaging with our wider community			
9.1	bid successfully for at least one major international and one major domestic sporting event per year, and one training camp for the 2012 Olympic Games	• In 2011/12, the Centre for Sports and Exercise staged 4 major international and 2 major domestic sporting events (following the staging of 10 major international and 8 major domestic events across 2008/09 – 2010/11). • The Team GB Swim Team held their pre-London 2012 Olympic holding camp in Edinburgh utilising new conditioning facilities at the Pleasance and swim sessions at the Royal Commonwealth Pool. In addition, the prestigious Team Dinner was staged in the University's Playfair Library. GB Swimming also staged its Aspiring World Class Performance Programme Camp at UoE to coincide with the Senior GB Swim Team pre-Olympic Camp. The University also hosted the Team GB Women's Volleyball Preparation and Selection Camp ahead of London 2012.	**MET**

Target		Progress to date	Achievement Status
9.2	meet the Edinburgh Beltane Beacon programme target of seconding nine Public Engagement Fellows over three years	• The Edinburgh Beltane Beacon programme target has been significantly exceeded: 14 Public Engagement Fellows and two Honorary Fellows have been appointed since May 2008. The programme has been shortlisted for the 2012 Times Higher Education Awards for "Outstanding Support for Early Career Researchers".	MET
Promoting equality, diversity, sustainability and social responsibility			
10.1	converge on our participation benchmarks for under-represented groups	• 2011/12 data will not be available until June 2013. • For the proportion of young entrants from state schools, our performance in 2010/11 was 74.4% compared with a benchmark of 78.2%, representing a difference of 3.8%. In 2009/10, our figures were 70.4% / 78.8%, giving a difference of 8.4%. This year's performance against benchmark therefore represents a convergence year-on-year of 4.6%. It also represents a convergence since the start of the Strategic Plan, when the difference between performance and benchmark was 10.3%. • For the proportion of young entrants from low social classes, our performance in 2010/11 was 17.1% compared with a benchmark of 21.0%, representing a difference of 2.9%. In 2009/10, our figures were 16.5% / 20.9%, giving a difference of 4.4%. This year's performance against benchmark therefore represents a convergence year-on-year of 1.5%. Although the difference between performance and benchmark is very marginally wider at the end of the Strategic Plan period, compared to at the start, as there are some issues with comparability of data for	ON TRACK

Target		Progress to date	Achievement Status
		low social classes across the full period, the focus for this measure is on data for the most recent two years.	
10.2	increase the proportion of female academic staff appointed and promoted to the lecturer, senior lecturer, reader and professor levels	• As regards the overall academic staff population, over the last four years the proportion of female lecturers, senior lecturers and readers has increased year on year, rising from 42.4% to 46.8% of lecturers, from 34.3% to 36.6% of senior lecturers and from 22.9% to 27.5% of readers. Over the same period the proportion of female chairs has remained essentially level, varying between 18.9% and its current level of 18.4%, although this followed a marked rise from 13% six years ago. Most of the promotion decisions made in 2011/12 are not yet reflected in the figures, since they take effect from 1 August 2012 - so an increase is anticipated in 2012/13. • In 2011/12, the proportion of female academic staff appointed and promoted to grades UE08 or equivalent and higher was 35.8%. This is higher than the proportion of all academic staff who are female, 34.4%, so contributes a little to improving the gender balance. The appointment/promotion rate in 2011/12 was lower than in 2010/11 and 2007/08, but higher than in the two intervening years. The figures over the previous four years were 40.5% in 2010/11, 33.6% in 2009/10, 34.7% in 2008/09 and 38.4% in 2007/08. • At each grade (or equivalent), the proportion of female academic staff appointed and promoted were 37.7% to Lecturer, 36.6% to Senior Lecturer/Reader and 29.7% to Professor. These proportions are considerably higher than last year for Professor, slightly higher for Senior Lecturer/Reader and notably lower for Lecturer.	NOT MET
10.3	reduce absolute CO_2 emissions by 40%, against a 1990 baseline	• The intensification of academic business and related activities and development of the estate over the period between 2007 and 2012, makes this a very challenging	FURTHER

Target		Progress to date	Achievement Status
	The University has set a revised target for reducing CO$_2$ emissions by 29% against a 2007 baseline by 2020. The baseline year was revised as a result of the Climate Change (Scotland) Act 2009.	target. Major drivers for reduction in CO$_2$ are now the Climate Action Plan (CAP) together with the Carbon Reduction Commitment (CRC). The CRC imposes a statutory requirement to submit annual carbon emissions covering the whole University estate (previous targets applied to the academic core estate only). • In the light of this intensification, the Climate Action Plan is reviewed on an annual basis with Estates and Buildings continuing to explore all opportunities to improve infrastructure efficiency and building consumption. An Engineering Infrastructure Review has been commissioned in order to identify projects across the University Estate which would, subject to funding, support a reduction in CO$_2$. The installation of new CHP and similar large infrastructure works are key to the plan as well as changing each individual's attitude to the use of energy. • The following list of projects identifies the main work elements: • Energy Infrastructure and CHP investment • Energy Devolution Project • Switch and Save Campaign • SALIX Rotating Fund work programme • Sustainable Development • Procurement, Transport and Waste	WORK REQUIRED
Building strategic partnerships and collaborations			
11.1	establish at least five new international partnerships for the award of joint PhDs	This target is met: the University now has 11 new agreements in place that include 25 international partner universities. • University-wide Memoranda of Understanding (MOU) have been signed with:	MET

20

Target	Progress to date	Achievement Status
	- Macquarie University, Sydney 15 partners of Universitas 21 - University of Burgundy (separate from our well-established Franco-Scottish agreement) - University of Louvain/Leuven, Belgium • College/School-level MOUs have also been signed as follows: - College of Humanities and Social Science with the National University of Singapore; - School of Social and Political Science with the University of Cologne (EU ITN EXACT project); - School of Informatics with the Royal Institute of Technology, Stockholm, Albert-Ludwigs-Universität, Freiburg, and NCBS, Bangalore (PhD Neuroinformatics); - School of Philosophy, Psychology and Language Sciences with the Universities of Naples and Trieste - Jointly awarded PhD in Experimental Psychology and Cognitive Neuroscience; - School of Informatics with Beihang University, Beijing, China - Jointly-awarded PhD; - School of Literatures, Languages and Cultures with University of Granada, Spain – Jointly-awarded PhD; and - School of Chemistry with TUM, Munich, Germany - Jointly-awarded PhD.	
Stimulating alumni relations and philanthropic giving		
12.1	meet or exceed the £350 million fundraising target of the Edinburgh Campaign	• The Campaign total at the end of 2011/12 was £350.3 million.	MET

Target		Progress to date	Achievement Status
12.2	raise £35 million through fundraising for scholarships as part of the Edinburgh Campaign	• Since 1999, the starting point for this target, over £48 million has been raised for scholarships.	MET
12.3	deliver a threefold increase in the participation rate of alumni who give to the University	• Our baseline participation rate in 2007/08 was 3.3%, based on 3,400 recorded alumni donors and 104,000 contactable alumni. Therefore the target, to deliver a threefold increase, meant that we were aiming for a participation rate of 9.9% by 2011/12. As previously reported, achieving this participation rate was extremely challenging, due in part to the year-on-year increase in the base number of our alumni who are contactable (the denominator). • Our closing alumni participation rate was 3.0%, therefore our alumni participation rate has not increased over the period of the Strategic Plan. This is despite closing the 2011/12 financial year with a record number of alumni donors, 4,412 (up 30% on the baseline). Over the same period our number of contactable alumni rose by almost 50%. These figures highlight the difficulty of increasing our participation percentage, due to its dependence on the number of contactable alumni.	NOT MET

Alexis Cornish/Rona Smith
Governance and Strategic Planning
7 November 2012

The University of Edinburgh

Central Management Group

12 November 2012

Enhancement of University-wide IT Security

F

Brief description of the paper

This paper sets out proposals from IS to enhance the overall security of the University's IT systems. It includes the revised Draft Security Policy for the University.

Action requested

To note the designation of the Director of IT Infrastructure (Brian Gilmore) as Chief Information Technology Security Officer (CITSO) for the University.

To agree the steps proposed within:
1. CMG is asked to comment and offer advice on the approach to University-wide IT Security as outlined in the paper.
2. CMG is asked to consider the recommendation that Heads of School/Support Units should appoint IT Security Officers.
3. CMG is asked to agree that the Head of College/Support Group has overall responsibility for ensuring the security of IT services offered by their units (Item 2.4 of the Information Security Policy).

Resource implications

Does the paper have resource implications? Not directly

Risk assessment

Does the paper include a risk analysis? The paper describes IT security risks to the University

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

Brian Gilmore, Director, IT Infrastructure and CITSO

Paper to be presented by

Vice-Principal Professor Jeff Haywood

Enhancement of University-wide IT Security

Background

CMG has expressed concern that the level of IT security may not be uniform across the institution. In particular, although significant effort has been expended over the levels of security within centrally-run (Information Services) systems, with assurance being provided through the work of Internal Audit, the same degree of consistent scrutiny has not been evident for systems being run at College, School or Support Service level. Units may run their own services, may procure services from external suppliers or use an external cloud for services and data. Each of these practices contains risk.

Although the University's CIO, Vice Principal Jeff Haywood, has been regarded as having reactive responsibility for all IT systems within the institution, we have come to regard a more pro-active role in this area as being both desirable and necessary.

Current Activities to Enhance University IT Security

As a consequence of our review of this area, it has become clear that the reporting lines for IT incidents and the overall lines of responsibility for IT systems, within the institution have not been clear to all involved. Events have occurred which, although correctly dealt with at the technical level, have not been fully reported up the management chain to ensure that HoCs/HoSGs are aware of incidents. Failure to report incidents leaves us all vulnerable to not learning from mistakes, with the potential for more than one part of the University to suffer as a result of the same threat. Moreover, we lack a full view of the overall level of risk.

With the increasing reliance of the University on its IT systems, both those operated by Information Services and those in Schools, Colleges and Support Services, it is essential that both reporting and managerial lines are very clear.

There has been significant activity, both centrally and locally, in the area of 'mobile data' and the recent questionnaires on the use of mobile data and follow up activity put out to all staff by CMVM and CSE is to be warmly welcomed.

The overarching security policy for the University is laid down in the 'Information Security Policy' which was agreed by Court in 2009. A light-touch review of this policy was carried out recently, and it was decided that the section which describes the responsibilities of the Support Groups and Colleges/Schools required amendment to emphasise the differing responsibilities of both groups. A small number of further modifications to ensure the policy is up-to-date have also been made, and the new draft policy is attached as Appendix A.

As part of the process of establishing clearer lines of responsibility, the CIO has designated Brian Gilmore, Director of IT Infrastructure, Information Services as the Chief Information Technology Security Officer (CITSO) for the University to be the focal point for the provision of advice, and the collection point for security incidents across the institution.

Help and Support for Colleges, Schools and Support Services

Information Services has recognised that although responsibility for their School and College IT systems lies with the Head of School or College as appropriate, there has been very little support from us to assist them with this responsibility. We intend to develop an IT security service to help them, and their technical staff, in carrying out their responsibilities.

The Information Technology Committee discussed this topic in June 2012 and agreed that the CIO should send out an annual letter to HoSs/HoCs with advice and guidance on the governance of their IT systems, and advice on completing the IT part of the University Annual Risk Management report. A draft of this letter is attached at Appendix B. In addition the CITSO has been invited to lead a short session on IT security at the next induction workshop for new Heads of Schools, which it is hoped will become a regular input.

The technical staff in charge of maintaining local systems have useful informal mechanisms to pass information between themselves, but it is not clear that the controls to ensure that even basic requirements, such as regular security patching, do in fact take place on all machines, as is evidenced by recent problems with compromised web sites. We propose to set up an area within the IS website that brings together as much advice, incident data, threats and fixes as can reasonably be compiled. We shall also consult the IT professionals' community at workshops etc at which up-to-date advice and experience can be disseminated as part of continuing professional development.

One particular request from a number of School-based IT staff is to have in place some form of IT service 'penetration testing' that could be called on. IS has been looking into this and, whilst it is important that the costs are sustainable, negotiations are under way to provide a basic, free at point of use, service that can do static penetration testing from the outside, and a more intensive, charged, service to test particular services. A final confirmation of utility and details is still needed, but it is expected this service would be available in the autumn semester 2012-13.

Internal Audit Role

Until the last academic year, the majority of the work of Internal Audit has concentrated on centrally-based systems and practices. During the past year there have been a few audits of School-based IT systems, and it is important that this work continue and be expanded, both in depth and breadth to ensure that good governance in IT systems is universal.

Future Steps

Further discussions will need to be held to establish needs, and in particular it would seem sensible to set up an email list of system administrators in order to be able to pass information about potential vulnerabilities and other relevant information in an effective manner.

In particular CMG is requested to consider recommending that Colleges, Support Groups and, preferably each School, running IT systems should appoint a known IT security contact with a defined role that would include pooling knowledge and best practice.

Brian Gilmore

Director, IT Infrastructure and CITSO

1st November 2012

D R A F T

Information Security Policy

This policy recognises that a core aim of the University is the dissemination of knowledge, and that any policy will fail if it assumes that access to that knowledge must, by default, be denied..
Instead, our concern is with ensuring that the steps taken to ensure the integrity of our information and, where necessary and appropriate, its confidentiality, are both proportionate and effective.

1. Introduction

1.1 The aims of this Information Security Policy are to:
> i. protect against the potential consequences of breaches of confidentiality, failures of integrity or interruptions to the availability due to attack of that information.
> ii. ensure that all the University's information assets and computing and network facilities are protected against damage, loss, misuse or unauthorized access.
> iii. ensure that all users of the University's computing facilities are aware of and comply with UK and EU legislation which applies to the processing of information.
> iv. increase awareness and understanding across the University of the requirements of information security, and the direct responsibilities of users for protecting the confidentiality and integrity of the data which they handle.

1.2 Section 1 to 4 should be read by all users. Section 5 should be read by system owners and system controllers.

1.3 This policy provides overall management direction for information security across the University. Individual 'Codes of Practice' will be developed for individual key services, by the teams responsible for those services. These codes should be considered as part of this policy with references to such services.

1.4 Information and services in the University can be categorised as either open to the public or restricted to a set of people by some mechanism. This policy addresses the prevention of unauthorised access.

2. Policy Authorisation and Compliance

2.1 It is the University's policy that the information it is responsible for shall be appropriately secured to protect against the consequences of breaches of confidentiality, failures of integrity or interruptions to the availability of that information and to protect it against damage, loss or misuse.

2.2 This policy has been ratified by the University Court, via the Knowledge Strategy Committee and forms part of its policies and procedures, including its Computing Regulations. It is applicable to and will be communicated to all users.

2.3 This policy shall be regularly reviewed to ensure that it remains appropriate.

2.4 A Head of College/Support Group has overall responsibility for ensuring the security of IT services offered by their units. .

The responsibility for ensuring the protection of information systems and ensuring that specific IT security processes are carried out shall lie with:-

(a) Head of School, or
(b) Head of Support Unit

 The Head is responsible for IT systems in any subsidiary unit, for example, associated Institutes, research groups and multi-disciplinary organisations within the line management.
A definitive list can be found at https://www.org.planning.ed.ac.uk/browser/

2.5 Specialist advice on information security shall be made available, throughout the University, from Information Services and drawing on appropriate expertise within the wider University community.

2.6 An information system's compliance with the information security policy shall be reviewed in line with the assessed security criticality (defined below) of the system independently of the system owner.

2.7 The University's Computing Regulations and other documents (such as the Contract of Employment for staff, and disciplinary codes for students) set out the responsibilities of staff and students with respect to information security.

2.8 In exceptional circumstances the Chief Information Officer may elect to waive particular clauses of this policy for particular systems after due regard is taken of risks and benefits. A Head of College or Support Group can request with appropriate reasons that security policies be varied in specific cases with the approval of the University CIO.

3. Security Criticality

Systems can be described using a spectrum of criticality for security purposes. Criticality is an assessment of the impact and likelihood of a security failure for a particular system. Issues that should be considered include, but are not limited to, inconvenience, distress or damage to personal reputation, financial loss, harm to organisational programmes or

reputation, legal violations and personal safety. This policy contains requirements across the range of "low", "medium" and "high" criticality systems. Individual system controllers should determine the criticality of their system as part of a general risk assessment process. This process should also consider system dependencies - any system upon which the security of a high criticality system depends is also a high criticality system, regardless of its own nature.

4. Information Security for All

4.1 General

All users of information systems are to be provided with a summary of the information security policy.

4.2 Information Handling

4.2.1 All users of information systems must manage the creation, storage, amendment, copying, archiving and disposal of information in a manner which safeguards and protects its confidentiality, integrity and availability.

4.2.2 Any username and password or any other access credential shall be used in accordance with the appropriate Code of Practice and, where applicable, any requirements of the central authentication service.

4.2.3 All users must ensure they comply with the guidance in the appropriate services Code of Practice in relation to physical security, the environment from which access is made and the type of access.

4.3 Mobile Working

4.3.1 It is recognized that mobile computing is a normal part of University business. However, this entails additional risk and users must take additional precautions.

4.3.2 Users who do work using equipment outside the University and/or remove data from the University must be aware of the additional risks and take appropriate steps to mitigate them. Advice on this can be found at www.ed.ac.uk/is/security

4.3.3 Users of mobile computing equipment must adhere to the appropriate Codes of Practice giving guidance on how to conform to the University's information security policy and other good practices.

4.3.4 Users must take all steps to mitigate the risks associated with the environment or 3rd party equipment they may use while engaged in mobile or off site working.

5. Information Security for System Owners and System Controllers

5.1 General

5.1.1 The University's information systems shall be managed and run by suitably trained and qualified staff.

5.1.2 All staff involved in managing information systems shall be given access to IT security training, and advice.

5.1.3 It is the responsibility of a system owner whether a central system or a school/college system, potentially in conjunction with a system operator, to produce a risk assessment and a subsequent Code of Practice for their system. A template to assist in constructing a Code of practice can be found at http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/security-policies/security-policy

It is the responsibility of The Head of School or Support Unit to maintain a register of at least their medium and high critical information systems. As a minimum, this register should contain a unique identifier for each information system, a business contact, an assessment of risk from the range "low", "medium" and "high" and an indication if Code of Practice has been produced. "Following a request by the Head of School, a Head of College may elect to maintain the register for a specific business area."

5.2 Operations

5.2.1 Areas and offices which contain medium/high criticality systems or information shall be given an appropriate level of physical security and access control, including protection from unauthorised access, and, for high criticality systems, protection from environmental hazards and electrical power failures.

5.2.2 The procedures for the operation and administration of all information systems and activities must be documented at a level appropriate for their criticality. These documents should be subject to regular maintenance and internal review.

5.2.3 Duties and areas of responsibility, appropriate to the criticality of the system, shall be segregated to reduce the risk, and consequential impact, of information security incidents.

5.2.4 Procedures will be established and widely communicated to report security incidents, data protection breaches and suspected security weaknesses in the University's systems. Mechanisms shall be in place to monitor and learn from those incidents. Anonymous reporting is allowed where it is in line with University policy.

5.2.5 Procedures will be established to report software malfunctions and faults in the high criticality systems. Faults and malfunctions shall be logged and monitored and timely corrective action taken.

5.3 System Planning and Development

5.3.1 The information assets associated with any new, or updated, high criticality service must be identified, classified and recorded and maintained within its Code of Practice. A risk assessment should be undertaken to identify the risks of security failure, and an assessment of any legal obligations which may arise. Responsibility for updating this information shall be identified and recorded.

5.3.2 The development, use or modification of all software on the University's critical systems for their complete lifecycle shall be appropriately controlled to protect against the introduction of security risks.

5.3.3 Acceptance criteria for new high criticality information systems, upgrades and new versions shall be established and suitable tests of the system carried out prior to migration to operational status. This includes ensuring compliance with the University's information security policies, access control standards and requirements for ongoing information security management.

5.4 Systems Management

5.4.1 The user account management process must be handled in a secure manner over its lifecycle.

5.4.2 Access controls for all systems shall be set at an appropriate level in accordance with the value of the assets being protected, and the criticality of the system. Access controls shall be regularly reviewed, with any changes in access permissions being authorised by the system owner. A record of permissions granted must be maintained.

5.4.3 Access to all information systems shall use an appropriate access mechanism with security appropriate to the criticality of the system. Access to parts of high criticality systems may be augmented by requiring stronger assurance, further authentication, or controlled by time of day or location of initiating system.

5.4.4 All access to high criticality services is to be logged and appropriately monitored to identify potential misuse of systems or information. Logs must be retained and access granted according to the appropriate legislation.

5.4.5 Formal change control procedures, with audit trails, shall be used for all changes to high criticality systems.
5.4.6 Security event logs, operational audit logs, error logs, transaction and processing reports must be properly reviewed and managed by the system controller.

5.4.7 System clocks must be regularly synchronised across all University high and medium criticality machines.

5.5 Network Management

5.5.1 The network must be segregated into separate logical domains with routing and access controls operating between the domains. Appropriately configured firewalls shall be used to protect the networks supporting the University's critical systems.

5.5.2 Moves, changes and other reconfigurations of users' network access points will only be carried out by staff authorised to perform such functions according to defined procedures. Networks and communication systems must all be adequately configured and safeguarded against both physical attack and unauthorised intrusion.

5.6 Business Continuity

5.6.1 All business continuity plans must comply with the appropriate sections of the Information Security Policy.

5.7 Outsourcing and Third Party Access

5.7.1 Persons responsible for agreeing contracts will ensure, after a risk assessment, that the contracts being signed are in accord with the content and spirit of the University's information security policies.

5.7.2 The School or Unit will assess the risk to its information and, where deemed appropriate because of the confidentiality, sensitivity or value of the information being disclosed or made accessible, the University will require external suppliers of services to sign a confidentiality or non disclosure agreement to protect its information assets.

5.7.3 Any facilities management, outsourcing or similar company with which the University may do business must be able to demonstrate compliance with the University's information security policies and enter into binding service level agreements that specify the performance to be delivered and the remedies available in case of non-compliance.

5.7.4 Where personal data, that is, information about living identifiable individuals, are being transferred to any external organisation then the appropriate University policy must be followed. See http://www.ed.ac.uk/schools-departments/records-management-section/data-protection/guidance-policies/transferring-data/overview.

5.8 Incident Reporting

5.8.1 All security incidents must be reported without delay to the Head of School/Support unit with the responsibility for the system concerned and by him/her to the Chief Information Technology Security Officer (CITSO).

5.8.2 It is the responsibility of the CITSO to ensure that the security incident is handled correctly and that knowledge of the incident and lessons learnt are promulgated to the relevant bodies including the CIO. The CITSO will maintain a record of such incidents for reporting to the CIO and other relevant bodies in the University An annual report will

be made by the CIO to Risk Management Committee, and thence to Court as part of the standard University procedure.

Glossary/Definitions

Computing facilities	Includes central services as provided by UoE Information Services, UoE School or College computers; personally owned computers and peripherals, and all programmable equipment; any associated software and data, including data created by persons other than users, and the networking elements which link computing facilities.
User	Staff, students and any other person authorized to use computing facilities.
System	A computer that provides a service, other than simple desktop use, to more than a single person
System owner	The person (or persons) with overall responsibility for a system and its data as a University asset.
System controller	The person (or persons) with the responsibility for the day to day operation, control and maintenance of an information system.
Code of Practice	The codes of practice provide a detailed description as guided by the draft template to describe a systems conformance with this policy..
Information Systems	Any system which processes the University of Edinburgh's information assets or any data or information belonging to others that we use or process on their behalf.
Process	Any action on data including, but not limited to, creation, amendment, deletion, storing and dissemination by any means.

Revision Date	Policy Version	Author	Notes
7 Aug 12	V1.1	BG	General Update
19 Sep 12	V1.2	BG	Following IT Sec WG
4 Oct 12	V1.3	BG	Following ITC on 4 Oct
26 Oct 12	V1.4	BG	Following comments

QA Date	QA Process	Notes
	ITC, CMG, Court	

Suggested date for Revision of the Policy	Author
2014	BG

Dear HoS,

Are your IT based services sufficiently robust?

The CIO for the University of Edinburgh (Professor Jeff Haywood) has an overall responsibility to ensure that IT risks across the University are minimised, and where we do have 'issues', we learn from them. Formally, this duty is discharged through the annual risk management questionnaire about the risks associated with failure of IT services and the risk of loss of data. At present, this is a relatively weak process, as indicated by the number of incidents that have surfaced over the past few months, although the process may well have been followed correctly.

To help Heads of Schools and Support Services, we have created (below) a simple set of questions that can be asked internally about the robustness of local IT services, and some guidance notes have been added as Appendix A.

If you are running local School or Support Service IT services it is important to consider the potential impact of risks associated with those services. There are three main risks:

1. The service is insufficiently robust and as a result is unavailable at some business critical time, resulting in loss either financial or reputational, eg, students unable to do an assessed online test.
2. The service is insecure resulting in loss or inappropriate use of data. This covers a broad spectrum of loss, eg research time if research data is not backed up and is lost, or loss of reputation and financial penalties in the case of personal data, eg, exam questions or results.
3. Server infrastructure has been compromised and is hosting unauthorised software which may result in reputational loss, eg websites advertising Viagra.

There are many cases where systems use changes over time as functions are added or as its use replaces other methods of working to the point where what was a simple system has become a mission critical service. In these circumstances it is easy to overlook the increasing impact of failure on your business. The CIO has the responsibility for ensuring that these risks are addressed for the central services, and Heads of School and Support Services have a responsibility to ensure that their IT services are similarly fit for purpose. Of course, there is a wide spectrum of approaches, some Schools and Support Services choose to only use centrally-provided services and therefore have no local level risks, and others run complex services that are at the heart of their teaching and research, and service.

There have been a number of incidents over the last couple of years that indicate that all Schools and Support Services may not have understood or engaged with this issue. Some examples:

*   Three badly maintained websites were compromised and their data published on the internet.

- A web application not using EASE was hacked resulting in password theft. As most users had set their password to match EASE this compromised all EASE protected services for those users
- Failure of underlying infrastructure disrupting delivery of course material in the run up to an assessment deadline
- Failure to maintain security levels resulting in servers being infected with software that sent spam e-mail
- Inability to support a critical IT component after a member of staff left

The Information Security Policy for the University (http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/security-policies) details that a Head of School, or equivalent, should do a security risk assessment on any services run locally and should keep a register of those services. Services which have been designated as either 'medium' or ''high' security risk to the unit should have further attention details of which are contained in the security policy. A guidance note on determining the degree of security risk is attached as Appendix B.

In order to assist Schools and Support Services with these requirements, Jeff Haywood as CIO has appointed Brian Gilmore, Director of IT Infrastructure, Information Services to be the University's Chief Information Technology Security Officer (CITSO) as a focal point for the reporting of security incidents in the University and to provide assistance, if required ,from either IS or other expert resources to help in remedying the problem. This role will also ensure that knowledge of threats is disseminated around to avoid other units suffering disruption.   It is implicit that such dissemination is handled discreetly, as the intention is not to make examples but to avoid unnecessary duplicate attacks.

Vice Principal Jeff Haywood

date

Appendix A

Guidance notes for Heads of Colleges/Support Groups/Schools/Service Units regarding the IT Questions in the University Annual Risk Management Report

All Heads of Colleges and Support Groups are required to submit an annual Risk Management Report which contains two questions directed towards IT and data areas (see table below). I am conscious that, as the range and complexity of IT services that can be offered by Schools and Support Units has expanded, and as more data have become electronic in form, some guidance might be welcomed by those who are responsible for these aspects of their unit's activities.

		Yes	No	If YES, provide details
16	Have there been any instances of failure, loss or inadequate operation of IT systems, infrastructure or controls that resulted in significant disruption to College / Support Group activities?			
17	Have there been any occurrences of inadequate security over, or loss of personal data from the University e.g. loss of electronic equipment, memory devices etc containing personal data, unauthorised downloading from or access to electronic systems/files or and manual records containing personal data etc,			

Minimising the risk of problems in IT provision that might result in a YES response to Q16 & 17 is desirable for us all, and Central Management Group has requested that I, as CIO, should work with the Internal Audit department to extend their work beyond the IT services of Information Services to those operated by Schools and Service Units. The type of questions that IA has asked Information Services to answer in order to evidence good practice is very similar to those set out below.

To address Q16, the sorts of questions that a Head might ask of the staff responsible for IT services in her/his area are:

1. What IT services is my School/Unit (or substantial sub-unit such as a Centre or Institute) operating for its staff, students, visitors, clients? *Examples of IT services include: VLE or other digital learning systems, filestore, high performance computing, teaching admin systems (including with staff and student data), website, and network/firewalls.*
2. Which are the most important of those services (eg in terms of numbers of users / criticality to unit business)?
3. What is the risk to the business of my unit from each of those important services being unavailable? *(Consider how long loss can be tolerated/worked-around and times of the week/year when they are most critical.)*
4. What is the reputational risk to my unit or the University resulting of each of those important services being unavailable?
5. How is the security of the system being assured? *(Consider authentication mechanisms, the number of people who have/need admin access etc.)*

To address Q17, consider these questions:

1. What are the business consequences of data being lost? *(Eg are they irreplaceable, are they backed-up safely etc.)*
2. What are the reputational consequences of data being lost? *(Eg personal data, commercially confidential etc.)*

3. What is done to ensure that staff and students understand the University policy and guidance on managing sensitive data, and is compliance satisfactory? *(University policy etc can be found here: www.ed.ac.uk/is/encryption*
& http://www.recordsmanagement.ed.ac.uk/)

The University Risk Management Committee will forward to me any YES responses to Q16 or 17, so that I can work with the relevant units in College or Support Group to understand the problem that has arisen and seek ways to learn from it to minimise other occurrences. I shall also ask College and Support Group Offices to alert me to any YES responses from Schools or Units that the Office does not consider sufficiently serious to warrant a YES response on the Risk Management proforma, but which are nevertheless of sufficient magnitude to offer lessons from which we might learn.

If you would like advice from IS on how to address these issues within your School or Unit, please contact the Head of your IS College Consultancy Team or Bryan Macgregor in the first instance.

Appendix B

Assessment of Risk in IT Systems

Many Schools and units run their own IT systems. It is the responsibility of the Head of School or Head of Unit to manage the consequences of failure of those services. In the great majority of cases the consequences will be trivial however there are two cases that are important to assess

1. Where non availability of the service would cause loss eg loss of research information or loss of reputation if student services were not available when students expect them
2. Loss of sensitive data eg clinical records, student assessments, exam scripts, etc. due to a security failure

It is easy to overlook the importance of systems. In the first case they may have started off as interesting innovations but have become essential over time and in the second case there may be a lack of visibility of what data systems are managing.

It is therefore important for a Head of School or equivalent to determine the potential risks associated with any IT systems that are run by the School or Unit.

The security policy suggests that systems be banded into one of the following risk categories: Low, medium or High. This banding is not intended to be highly accurate but is intended to enable a Head of School to be aware of the potential consequences if an IT system is compromised in some way.

There are two main areas which it is suggested are considered in assisting in this banding.

1. What sort of a period of time could the School be without the given system?
2. What sensitive data does the system hold?

System non-availability

This test is not intended as a check on a metric such as overall up-time. It is intended to enable a measure of the criticality of a given system.

A number of examples may give a guide on this

A system could be a major teaching system which the loss of for a part of a day could be a major embarrassment to the School. This would clearly be High.

A system could either not be used or used trivially for most of the year but could be essential for example for handling exam marks a few times a year. For those it could change from Medium to High. Heads of Unit should be aware of this.

A system could be used by a single researcher to control a resource which is time critical and therefore potentially cause a significant loss to that researcher. This would clearly be High but with potentially a very different mitigation strategy from that of a general purpose system

A system could hold a great deal of 'static' information used by a large number of users but whole loss for even a few days would be a nuisance rather than a disaster. This could rate as Low but potentially as either Medium or High depending on the potential impact of the data it contained.

Sensitive Data

As indicated above, a system which is rated as either Low or Medium could well be categorised in a higher or the highest category depending upon the potential impact of the data it contains.

For example, the handling of the following types of data would fit into this category.

- Confidential work with outside interests
- Valuable University IP
- Large lists of personal information
- Significant quantity of exam questions
- Name and password lists if the system is protected with its own authentication

More information about the sensitivity of personal data can be found in the Records Management website at: http://www.ed.ac.uk/schools-departments/records-management-section/data-protection/guidance-policies/using-sensitive-data

University Information Security Policy

The University Information Security Policy, see: http://www.ed.ac.uk/schools-departments/information-services/about/policies-and-regulations/security-policies/security-policy, requires Heads of School or equivalent to maintain a register of Medium and High Security risk systems and to produce a Code or Practice that describes the system and the measures to protect it.

You may want to consider

1. Receiving a service report from the systems manager on a regular basis for high and medium category systems.
2. Reviewing system documentation annually to ensure it is kept up-to-date and also to ensure appropriateness should anything happen to your local support.

If you require further information or help in this matter then please contact the IS helpline at (0)131 651 5151 or email IS.Helpline@ed.ac.uk who will pass you on to a consultant.

Brian Gilmore,
Director IT-Infrastructure and Chief Information Technology Security Officer
4 Sep 2012

The University of Edinburgh

Central Management Group

G

12 November 2012

**Risk Management Committee
Report for year ended 31 July 2012**

Brief description of the paper

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2012, 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 2012.

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
3 October 2012

RISK MANAGEMENT COMMITTEE

REPORT FOR YEAR ENDED 31 JULY 2012

Prepared by	N.A.L. Paul	Convenor	Date: 3 October 2012
	H Stocks	Secretary	

Introduction

This report summarises the activities of the Risk Management Committee during the year ended 31 July 2012, 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, UKBA, 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 2011/12

The key activities of the Risk Management Committee during 2011/12 can be summarised as:

− Update of University Risk Register – the outcome of the 2011/12 review was approved by the University Court at its meeting on 2 July 2012. 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 UKBA policies and practice result in inability to achieve international student and staff recruitment aims, and the UK being perceived as an unwelcoming place to study and work
    o Implementation of divergent fees policies between Scotland and the rest of the UK results in changes to cross border flows of students, legal challenges or operational issues
    o Changes to university governance structures and processes, (including the introduction of Outcome Agreements) or degree structures result from developments in government policy/legislation
    o Staff and/or student dissatisfaction leads to disruption to business continuity. This could arise as a result of

- pressures for changes in staff pay, terms and conditions (including pension funds)
- implementation of RUK student tuition fees

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

– A review of each risk identified in the 2011/12 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 operational, financial and legal risks related to implementation of the fee regime for Rest of UK students

  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 weak results for "feedback" in NSS survey, the consequent reputational risks, and implementation of the new student support system and personal tutors

  o changes within NHS Lothian, and funding for the NHS that have potential risks to student's medical experience and the progress of capital projects on or adjacent to NHS sites

– The risks related to any change in the balance of powers between that UK Government and Scottish Government in due course were noted. It was recognised that the level of public debate had increased over the past year

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

– A report was reviewed on University business continuity / contingency planning. The committee commended the paper as a comprehensive and helpful summary of the activities taking place around contingency and business continuity planning, and their adequacy.

– A report was received on the management of Bribery Act risks, and the work undertaken to establish and implement an Anti-Bribery and Corruption policy for the university and its subsidiaries, carry out training of key staff, and undertake a first set of risk assessments.

– 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 followed the effectiveness review undertaken last year, and progressed the matters related to business continuity and the proposed joint meeting with Audit Committee

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 2011/12

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 in the University Risk Register, approved by Court at its meeting on 2 July 2012.

    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 2011/12 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 report 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. Further evidence of the University's procurement capabilities was provided by Procurement Department winning the Government Opportunities Procurement Team of the Year award in both the Scotland and the UK award ceremonies.

The University has recorded benefits of £11.9m during 2011/12 (£9.8m for 2010/11) 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 material incidents of failure to comply with procurement legislation and University/funding body requirements. Tender processes were put in place for categories of spend where the previous arrangements had grown to exceed EU thresholds .

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 a Letter of Representations to the external auditors as part of its year end processes as follows (2011 year end wording)

The University Court: ……..acknowledges its responsibility for the design, implementation and maintenance of internal control to prevent and detect fraud and error;

The University Court has disclosed to you the results of the risk that the financial statements may be materially misstated as a result of fraud

The University Court has disclosed to you all information in relation to
a) Fraud or suspected fraud that it is aware of and that affects the Group and the University ns involves
  - *Management*
  - *Employees who have significant roles in internal control*
  - *Others where the fraud could have a material effect on the financial statements*
b) Allegations of fraud or suspected fraud, affecting the Group and the University's financial statements communicated by employees, former employees, analysts, regulators and others

Fraudulent financial reporting involves intentional misstatements including omissions of amounts or disclosures in financial statements to deceive financial statement users. Misappropriation of assets involves the theft of an entity's assets. It is 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 authorisation.

An error is an unintentional misstatement in financial statements, including the omission of an amount or a disclosure.

For the purposes of this letter, references to "management" should be read as "management and, where appropriate, those charged with governance".

With regard to the points above regarding disclosure, the Annual Risk Questionnaire (Questions 11-14) formally sought information regarding fraud from each College and Support Group, and the Internal Control Questionnaire also sought assurances on fraud. The external auditors will receive a copy of this reports and attachments which provide an evidence trail of disclosure to support the University Court signing the Letter of Representation.

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 Internal Audit and 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 2012. 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 – University Summary
Risk Management Annual Return
For the period 1 August 2011 to 31 July 2012

		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, distance learning growth, widening participation or home/RUK 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?		√	
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?		√	

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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	If YES, provide details[1]
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?	√		There were 2 members of staff dismissed for non-compliance with policies and standards. There were 4 members of staff given formal written warnings. In addition, 2 members of staff have resigned: one following a disciplinary hearing, and the other whilst still under investigation.
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 - others where the fraud could have a material effect on the financial statements - academic fraud	√		Allegation by another University that an employee who had transferred employment to the University of Edinburgh was using and publishing data from his previous University fraudulently and without their consent
13	Have there been any allegations of fraud or suspected fraud communicated by employees, former employees, regulators, or others?		√	
14	Have there been any instances of bribery or suspected bribery (as defined in the Bribery Act 2010) affecting the University including involving employees or persons associated with the University making or receiving bribes		√	
15	Has there been any safety, health or environmental incidents or releases, which have resulted in serious injury, death, reputational damage, or imposition of	√		An incident involving a serious injury during an external event in Playfair Library. HSE investigated and

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

		Yes	No	If YES, provide details[1]
	restrictions?			made no recommendations for any action. Civil claim being repudiated by insurers. It should be noted that the University is discussing with NHSL, H&S concerns related to re-routing of traffic at Little France associated with the RHSC project
16	Have there been any instances of procurement activity that has 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 (to 31/12/11 above £156k over 4 years; from 1/1/12: £174k) or works (to 31/12/11 estimate over £3.9m; from 1/1/12: £4.35m)? - failure to obtain required authorisation for entry into purchasing framework agreements as required by the Uiversity Delegated Authorities Schedule	√		There were three historic contracts identified where spending had grown to levels that exceeded EU limits. In two cases the services are being re-procured in accordance with OJEU procedures and in one case (security) it has been decided utilise the in-house team rather than re-procure.
17	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?	√		Failure of Questionmark Perception service which caused 24-hour delay of 5th year honours exam on 23rd May. IS has put measures in place to ensure no repeat of this There were short disruptions in the new Learn (e-learning system) service in Sept 2012 due to student access growth being higher than expected and software bug fixes. These were resolved quickly. After year-end, 2 servers in the University (Schools) and 1 in EUSA have been hacked. The University servers were no longer in use and as such their security was not up to date. No sensitive information has been released.
18	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,	√		A folder of extracts from payroll reports was accidently left in a café when individual was taking it to City Council to support an ERDF grant

		Yes	No	If YES, provide details[1]
	unauthorised downloading from or access to electronic systems/files or and manual records containing personal data etc,			audit. Folder was found and handed in to Police within 1 hour and subsequently returned. Procedures have been tightened, and individual subject to disciplinary action
19	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		√	
20	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?		√	
21	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?	√		Implementation of e-Recruitment project has been delayed from Aug to Oct 2012 to resolve technical issues There continued to be delays in implementation of the Infinite Research Grants software, due to a combination of technical issues and user driven changes A significant number of student systems developments and change initiatives have overrun, or have had to be re-planned Poor performance and engagement by the third party supplier of some of the EBIS (Estates) software has led to delays in implementation of new developments
22	Have there been instances of inadequate financial control (managerially or		√	

		Yes	No	If YES, provide details[1]
	operationally) which resulted in, or potentially could have resulted in significant financial loss or loss of reputation?			
23	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?		√	
24	Have any legal actions been brought against the University (whether settled or pending)?	√		Small number of relatively minor civil claims related to health and safety; one significant civil case concerning historical asbestos exposure; one claim by employee related to back damage obtained by slipping on an un-gritted car park at Christmas

There have been 2 Employment Tribunal cases

One case is in judicial review having been brought by former PhD student

The long standing Cramond action raised by AMA against UoE was resolved during the year |
25	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 24 above
26	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?		√	
27	Are actual or potential changes in public policy and legislation having or likely to have a significant detrimental impact on	√		Implementation of the Education (Fees) (Scotland) Regulations 2011 and the

		Yes	No	If YES, provide details[1]
	college/support group activities?			Student Fees (Specification) (Scotland) Order 2011 have given rise to legal and operational issues Implementation of immigration legislation and on-going changes to UKBA policy and practice has had a significant impact on the University. Compliance has significant resource and operational implications, whilst failure to comply would have substantial reputational implications particularly in relation to the attraction of students and staff The Equality Act 2010 (Specific Duties Regulations) (Scotland) 2012 have significant resource implications impacting centrally and locally to ensure compliance. Proposed new RIDDOR accident and incident reporting regulations under discussion in HSE/Government New Single Regulatory Framework for biological activities is still awaited
28	Are there any areas of existing, new, or changed legislation where implementation has not been or will not be completed in the required timescale	√		It will be exceeding challenging to meet the government's 2020 targets for absolute carbon reduction
29	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?		√	
30	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
June 2012

Appendix 2: Assurance map 2011/12 version: relating to University Risk Register version 9

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 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	Lobbying, directly and via US/UUK – development of US/Government model to calculate the financial gap between English and Scottish institutions Input to SFC on their strategic plans and funding issues/reviews University planning and monitoring processes – e.g. student demand and intakes, fee rate setting, financial performance (including against comparator institutions) Maintain focus on growth opportunities – international and PG students, distance-learning, diversifying and expanding research funding (e.g. FP8) and non-governmental funding	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	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/Risk Management/20120509/B_Risk1_InsufficientFunds.pdf Court: 19.9.11, 7.11.11, 12.12.11, 20.2.12 PSG: 31.10.11 FGPC 5.9.11, 12.11.11, 30.4.12, 11.6.12 CMG: 24.8.11, 11.10.11, 14.11.11, 18.4.12, 20.6.12 RMC: 9.5.12 AC: 29.9.11, 21.11.11, 1.3.12, 31.5.12

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. 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	Lobbying, directly and via US, of Scottish Government to find a funding solution that does not distort cross-border flows University planning and monitoring processes for student demand, applications and offers	Promoting equality, diversity, sustainability and social responsibility	• Ensuring that our student admissions policy and procedure is fair, clear and transparent • Providing and promoting awareness of scholarships and bursaries • Providing staff with training and information to help prevent discrimination, promote equality and opportunity and respond to internationally diverse needs and expectations	Review of effectiveness of controls by lead risk manager Monitoring of applications process by Colleges Regular summary reports provided to CMG Responses from Risk Management Annual Return	College Registrars Director of Planning and Deputy Secretary	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120117/PaperC_Risk2_CrossBorderStudents.pdf Court: 19.9.11, 2.7.12 PSG: 22.8.11 FGPC: 11.6.12 CMG: 24.8.11 RMC: 17.1.12
3. Changes to university governance processes or structures result from developments in government policy/legislation	Lobbying, directly and via US, of Scottish Government	Excellence in research Quality people Quality services	• Ensuring that our management and support structures enable us to be flexible and responsive to new opportunities and investment sources • Continuing to review and improve recruitment and retention strategies, systems and processes • Improving ways of informing and involving staff in decisions and changes which affect them • Enabling staff at all levels to take ownership of , and responsibility for, decisions relating to their service, and to deal with cross-cutting and cross-boundary issues	Review of risk and actions by lead risk manager Responses from Risk Management Annual Return	University Secretary	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/3_Governance.pdf http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/7_DegreeStructures.pdf Court: 20.2.12, 14.5.12

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
						FGPC: 6.2.12, 11.6.12 CMG: 24.8.11, 25.1.12 RMC: 12.4.12 AC: 29.11.11, 22.11.11, 1.3.12, 31.5.12
4. Growth in international, PG and distance learning student recruitment fails to achieve targets and falls behind UK and international competitors e.g. due to a) UKBA polices and practice resulting in UK perceived as unwelcoming to international students b) marketing and quality of distance learning programmes	Strategic plan priorities and targets, and its implementation Internationalisation Strategy, steering group and development plans International Office and Marketing activities Development of international linkages and MoUs Active management of issues arising with UKBA Student number monitoring Structured programme for supporting distance learning developments Residential developments overseen	Excellence in learning and teaching Excellence in research Quality services Quality infrastructure Advancing internationalisation	• 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 • embedding the use of performance indicators • generating surpluses for reinvestment • continuing to attract more, and a diverse range of, international students and staff	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 Balanced Scorecard indicators Student intake number setting, analysis and reporting Responses from Risk Management Annual Return	Director of Planning Director of Finance and Director of Planning Director of Planning Director of Planning Director of Planning	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/Risk Management/20120412/4_GrowthTargets.pdf Court: 12.12.11, 14.5.12 PSG: 21.5.12, 31.10.11 FGPC: 21.11.11, 6.2.12 CMG: 24.8.11, 11.10.11, 14.11.11, 25.1.12, 7.3.12 RMC: 12.4.12 AC: 1.3.12

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
	by Strategic Accommodation Development Group					
5. Staff and/or student dissatisfaction leads to disruption to business continuity. This could arise as a result of a) 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	Maintenance of relationships with local union representatives Maintenance of relationships with EUSA Input to national pay negotiations and discussions on pension funds Independent working group of the University Court established to assess, advise and progress pensions matters, including overseeing consultation with staff on proposed pension fund changes Senior staff work with Heads of School to ensure downsizing and change activity appropriately managed Business continuity planning, and guidance	Excellence in research Excellence in commercialisation and knowledge exchange Quality people Promoting equality, diversity, sustainability and social responsibility	• 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 • Ensuring that our student admissions policy and procedure is fair, clear and transparent • Providing and promoting awareness of scholarships and bursaries	Review of effectiveness of controls by lead risk manager Operation of Staff Committee, JULC, Pensions Sub-committee and Consultative Committee on Redundancy Avoidance (SCCRA) Responses from Risk Management Annual Return	Director of HR	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/5_StudentDissatisfaction.pdf Court: 19.9.11 PSG: 22.8.12 FGPC: 21.11.11, 30.4.12 CMG: 11.10.11, 25.1.12, 7.3.12 RMC: 17.1.12, 12.4.12 AC: 31.5.12

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
	for handling protests Regular communication with staff e.g. roadshows					
6. Maintenance of financial sustainability and ensuring effective delivery of key strategic and operational plans	Financial strategy and financial planning and budgetary/forecasting processes, including F&GPC/Court oversight Fees Strategy Group Financial scenario planning Post Review Group ER/VS activity Benchmarking with 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 Space Management	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 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	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 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 Director of Finance & VP Dev & Alumni Director of Finance Director of Finance Director of Finance	Court: 7.11.11, 12.12.11, 20.2.12, 2.7.12 PSG: 13.2.12, 27.2.12, 12.4.12, 31.10.12 FGPC: 5.9.11, 21.11.11, 6.2.12, 30.4.12, 11.6.12 CMG: 24.8.11, 11.10.11, 14.11.11, 25.1.12, 7.3.12, 18.4.12, 23.5.12 RMC: 9.5.12 AC: 29.9.11, 1.3.12, 31.5.12

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
	Group / Drives to improve the utilisation of the University's estate Cost reduction exercise, integration and cost sharing opportunities					
7. Changes to degree structures are required as a result of developments in government policy/legislation (e.g. changes to location of degree delivery, reduced length of UG degree courses etc) which impact on curriculum structures, academic quality, student experience and financial sustainability	Lobbying, directly and via US, of Scottish Government Input to SFC Teaching Funding Review	Excellence in learning and teaching	• working with employers, professional bodies and other stakeholders to ensure that our degree programmes are responsive to need • proving flexible and informed curriculum choice • building collaborative learning into the 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	Review of effectiveness of controls by lead risk manager Responses from Risk Management Annual Return		http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/3_Governance.pdf http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/7_DegreeStructures.pdf RMC: 12.4.12

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
8. Rate of maintenance, enhancement and investment in the estate fails to support University growth aspirations (in 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 Annual backlog and compliance review Ongoing estate activities e.g. building inspections, physical condition and compliance surveys, fire risk assessments Stepwise decision making for major projects in line with gateway/RIBA framework Active interactions with City Planning Department and local community	Excellence in learning and teaching Excellence in commercialisation and knowledge exchange Quality infrastructure Enhancing our student experience	• stimulating new and more flexible ways of learning, teaching and assessing through the use of new technologies and the innovative design of teaching space • creating and extending pre-incubation, incubation and science park facilities through the Edinburgh Pre-Incubation Scheme, the Edinburgh Technology Transfer Centre, the Edinburgh Technopole Science Park, The Informatics Forum, and the Edinburgh BioQuarter • developing and regenerating our estate through the implementation of our Estate Development Masterplans • promoting a culture of space awareness and flexible approaches to the use of space across the University • providing excellent project management and appropriate cost control for capital development projects • continuing our maintenance and compliance work programme • finding new ways to share space, facilities, services and expertise within the sector and with other organisations • securing investment from external sponsors • providing good-quality and well-placed learning and social spaces that support group and individual learning and form stimulating foci for the life of the academic community	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 Management Annual Return	Director of Estates & Buildings Director of Estates & Buildings Director of Estates & Buildings Director of Estates & Buildings	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120117/PaperE_Risk8_EstateMaintenance.pdf Court: 7.11.11, 12.12.11, 2.7.12 PSG: 14.11.11, 13.2.12 CMG: 11.10.11, 25.1.12, 7.3.12, 23.5.12 RMC: 17.1.12 AC: 31.5.12

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
			• preparing a sustainable estate strategy for EUSA to underpin delivery, over time, of the facilities required to support EUSA services			
9. Inadequate performance in 2014 Research Excellence Framework (REF) Assessment	Research Policy Group oversight of preparations HoC leadership Regular monitoring Recruitment and retention processes Data gathering and reviews	Excellence in research Building strategic partnerships and collaborations	• recruiting and retaining excellent researchers • supporting the professional and career development of staff engaged in research • fostering new ideas and ways of working between researchers from different disciplines • 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 • developing opportunities in animal health research through the EBRC • increasing numbers of postgraduate research students • leading the development of collaborative research activities internationally and in the UK • stimulating the development an growth of interdisciplinary research centres across Schools and Colleges and with other organisations	Review of effectiveness of controls by lead risk manager Monitoring of volume and quality of outputs Plan of activities up to submission date Responses from Risk Management Annual Return	SVP Planning, Resources and Research Policy SVP Planning, Resources and Research Policy Director of Planning and Deputy Secretary	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120117/PaperF_Risk9_InadequateREF.pdf Court: 20.2.12, 2.7.12 PSG: 14.11.11, 28.11.11, 30.1.12, 30.4.12 FGPC: 21.11.11 CMG: 14.11.11, 25.1.12, 7.3.12, 18.4.12, 23.5.12 RMC: 17.1.12

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
10. Failure to provide a high quality student experience e.g. in teaching and learning, pastoral and academic support, 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 Quality Assurance Committee overview of learning and student services delivery Appointment of VP Learning and Teaching, operation of new senate committees, and development of good proactive guidelines School plans for performance improvement Promotion of increased participation in NSS Improvement of study and social spaces as part of estates plans	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 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	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. International Student Barometer and Postgraduate Research Experience Survey Responses from Risk Management Annual Return	VP Learning and Teaching VP Learning and Teaching VP Learning and Teaching VP Learning and Teaching	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120509/D_Risk10_StudentExperience.pdf Court: 12.12.11, 20.2.12, 14.5.12, 2.7.12 PSG: 22.8.11, 31.10.11, 28.11.11, 5.12.11, 30.1.12, 13.2.12, 12.4.12, 30.4.12, 21.5.12 FGPC: 11.6.12 CMG: 14.11.11, 7.3.12, 18.4.12, 23.5.12 RMC: 9.5.12 AC: 29.11.11, 31.5.12

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
11. 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 (including salary) Active leadership by Principal and of HoCs Recruitment processes group, and flexible HR strategies to meet needs of different business areas Proactive succession planning	Excellence in learning and teaching Excellence in research Quality people Advancing internationalisation	• Ensuring that staff involved in the delivery of learning and teaching continue to develop their professional capability • Recruiting & retaining excellent researchers • Supporting the professional and career development of staff engaged with research • Continue to review and improve recruitment and retention strategies, systems and processes • Developing and implementing succession planning arrangements • Recognising and rewarding excellence through the effective use of our Contribution Reward policy and promotion process, and the development of a Total Reward Strategy • Establishing a culture of personal and professional development through appraisal and other development processes • Supporting the development of all staff in preparing for, holding, or stepping down from leadership and management roles • Promoting health, wellbeing and a positive working environment supported by good management practices and clearly defined roles and responsibilities • Continuing to attract more, and a diverse range of, international students	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	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/11_RetainStaff.pdf PSG: 31.10.11, 13.2.12 CMG: 24.8.11, 18.3.12 RMC: 12.4.12

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
		Promoting equality, diversity, sustainability and social responsibility	and staff • Ensuring that students and staff with particular needs have access to appropriate facilities and support services			
12. Inadequate management of work priorities and major change projects both individually and as a combined programme of activity. Major projects in progress are: 12.1 academic timetable project 12.2 major estates projects e.g., library, KBLRC, central area refurbishment; 12.3 implementation of PURE systems to meet REF information requirements 12.4 implementation of merger of Edinburgh College of Art 12.5 implementation of merger of MRC Human Genetics Unit	Project management steering groups, boards, advisory groups and implementation groups Project management processes, Gateway 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	Quality services Quality infrastructure Building strategic partnerships and collaborations Excellence in research	• planning major initiatives on a holistic basis • developing and regenerating our estate through the implementation of our Estate Development Masterplans • providing excellent project management and appropriate cost control for capital development projects • continuing to develop a systematic approach to the acquisition, creation, capture, storage, presentation and management of information resources • stimulating the development and growth of interdisciplinary research centres across Schools and Colleges and with other organisations • 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	Review of effectiveness of controls by lead risk manager Monitoring by Strategic Project Boards of progress, costs, quality, sustainability SFC/Court ECA merger reviews, coupled with student intake, performance and research performance statistics Responses from Risk Management Annual Return	8.1 Director of Registry 8.2 Director of Estates & Bldgs 8.3 Director of Planning 8.4 SCE College Registrar (students) and Director of HR (staff) 8.5 Prof David Fergusson 8.6 MVM College Registrar	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/121_TimetablingProj.pdf http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/12.2_EstatesProjects.pdf Court: 19.9.11, 7.11.11, 12.12.11, 14.5.12, 2.7.12 PSG: 14.11.11, 13.2.12, 30.4.12 FGPC: 24.10.11, 21.11.11, 6.2.12 CMG: 24.8.11, 25.1.12, 7.3.12, 18.4.12, 23.5.12 RMC: 17.1.12, 12.4.12, 9.5.12

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
						AC: 29.9.11, 1.3.12
13. Insufficient investment in systems developments and infrastructure resulting in failure to maintain fit for purpose systems and infrastructure, or serious breach of IT or data security	Operation of Knowledge Strategy Committee, and Information Technology Committee Planning round processes Ongoing resilience improvement programmes and infrastructure upgrades Internal and external audit processes, including external penetration testing, applied to central and Schools/Colleges IT systems and procedures Business recovery plans and exercises Systems implementation trialling and load testing Annual IT assurance process from VP Knowledge Mgt and CIO Policies on data security	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 Constant review by IS Annual IT assurance process Responses from Risk Management Annual Return	VP Knowledge Management and CIO VP Knowledge Management and CIO VP Knowledge Management and CIO	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/13_FailureIT.pdf CMG: 7.3.12, 20.6.12 RMC: 12.4.12 AC: 29.9.11, 1.3.12, 31.5.12

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
14. 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 Promoting equality, diversity, sustainability and social responsibility	• Working together with major research funders and other external bodies internationally and in the UK • Enhancing our contribution to public policy formulation • Striving to meet recognised industry and commercial standards • Continuing our maintenance and compliance work programme • Providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • Interacting with key city partners over issues including planning, procurement, transport and relations between the student and resident communities • Developing new, and strengthening existing, relationships with key strategic partners in both the public and private sectors, including Scottish Enterprise, NHSScotland and small and medium-sized enterprises • Exploiting our strengths in environmental and sustainability research to influence policy formulation and implementation	Review of effectiveness of controls by lead risk manager Responses from Risk Management Annual Return	Head of Public Policy	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120117/PaperH_Risk14_PublicPolicy.pdf Court: 7.11.11, 12.12.11, 20.2.12, 2.7.12 FGPC: 24.10.11, 6.2.12 CMG: 24.8.11, 11.10.11, 14.11.11, 25.1.12, 7.3.12, 23.5.12, 20.6.12 RMC: 17.1.12 AC: 1.3.12
15. Failure to appropriately position and support the University's unique brand and reputation in the UK and worldwide	Internationalisation Strategy development Activities of Communications &	Advancing internationalisation Engaging with our	• promoting internationally the strengths of the University and the achievements of our staff and students • increasing and embedding the public	Review of effectiveness of controls by lead risk manager Monitoring of adverse media	Director of Communications & External Affairs Director of	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/15_Im

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
	Marketing in partnership with all units	wider community	engagement work undertaken by staff through the activities of the Edinburgh Beltane Beacon programme • providing expert contributions to public debate, and briefing MSPs, ministers, officials and the media on policy issues • developing and expanding innovative initiatives to encourage pupils in our local schools to consider the University of Edinburgh as their institution of choice • supporting the involvement of University teams and individuals in major sporting events and competitions • interacting with key city partners over issues including planning, procurement, transport and relations between the student and resident communities • developing new, and strengthening existing relationships with key strategic partners in both the public and private sectors, including Scottish Enterprise, NHS Scotland and small- and medium-sized enterprises • implementing our Community Relations Strategy • promoting the University's achievements, emphasising national and international media in our communications activity • fostering recognition through improved physical branding and signage, publications, our website and recruitment and advertising strategies	coverage Monitoring of fundraising levels Monitoring of number of student applications Responses from Risk Management Annual Return	Communications & External Affairs Director of Development & Alumni Director of SRA	ageRep.pdf Court: 2.7.12 PSG: 31.10.11, 21.5.12 FGPC: 24.10.11, 6.2.12, 30.4.12, 11.6.12 CMG: 14.11.11, 7.3.12 RMC: 12.4.12
	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 e.g. British Council, SDI, UKFO, Confucius Network, U21					
		Stimulating alumni relations and philanthropic giving	• sustaining and strengthening our relationships with the General Council and with individual alumni			

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
16. Significant academic collaborations fail to be effectively managed and do not deliver benefit to the University	Strategic decisions made through PSG/CMG Group/Finance & General Purposes Committee Memoranda of Agreement Collaborative repository Guidelines for staff Separate financial monitoring Quality Assurance Agency Codes of Practice Governance arrangements put in place and clear designation of responsibilities Review of all partnerships and collaborations on a 5 yearly cycle	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	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120412/16_Collab.pdf Court: 7.11.11, 12.12.11, 14.5.12, 2.7.12 FGPC: 6.2.12, 30.4.12 CMG: 14.11.11, 25.1.12, 20.6.12 RMC: 12.4.12 AC: 29.9.11
17. Widespread damage to property and buildings (fire, explosion, malicious damage etc), including properties adjacent to the	Fire/security policies Fire detection systems Security staff &	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	Director of Estates & Buildings Director of Estates &	http://www.docs.sasg.ed.ac.uk/GaSP/Governance/RiskManagement/20120117/PaperI_Risk1

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
University estate	procedures Training & awareness Audit of H&S mgt in all units in partnership with insurance brokers Insurance cover Programme of fire risk assessments Business continuity plans Planned preventative maintenance			H&S audits carried out by University's insurance brokers Responses from Risk Management Annual Return	Buildings Director of Estates & Buildings	7_DamageProperty.pdf RMC: 17.1.12 AC: 29.9.11
18. 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 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	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 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	Review of effectiveness of controls by lead risk manager Routine QA monitoring of Schools and Colleges ELIR Steering Group updates Report back from ELIR review panel Responses from Risk Management Annual Return	Asst Principal Academic Standards and QA Asst Principal Academic Standards and QA Asst Principal Academic Standards and QA Asst Principal Academic Standards and QA	Court: 12.12.11, 20.2.12, 14.5.12 PSG: 5.12.11 FGPC: 6.2.12 RMC: 12.4.12

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
	contacts Reviews and enhancement of various teaching, learning, academic & pastoral support and support services for students	Enhancing our student experience	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			

The University of Edinburgh

Central Management Group

12 November 2012

H

Principal's Career Development PhD Scholarships

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

This paper informs CMG that we propose to continue the successful Principal's Career Development PhD Scholarships Scheme in 2013-14 and seeks any comment.

<u>Action requested</u>

For information and comment

<u>Resource implications</u>

Does the paper have resource implications? Yes

The funding is described in Section 2 of the paper

<u>Risk assessment</u>

Does the paper include a risk analysis? No

<u>Equality and diversity</u>

Does the paper have equality and diversity implications? No

<u>Freedom of information</u>

Can this paper be included in open business? Yes

<u>To be presented by</u>

Vice-Principal Professor Jonathan Seckl

<u>Originator of the paper</u>

Vice-Principal Professor Jonathan Seckl
24 October 2012

Principal's Career Development PhD Scholarships

1. Introduction

As previously noted there has been a significant reduction in the number of postgraduate research studentships offered by the Research Councils, and the University has fewer PGR students than we would wish. It is therefore appropriate that we continue the very successful Principal's Career Development PhD Scholarship scheme.

The Principal's Career Development PhD Scholarship scheme was fully reviewed last year and continues to attract high quality students from a variety of backgrounds.

It is proposed that the scheme be continued for a further year with an intake of 50 students funded to 50% from the centre with the balance coming from the Schools.

2. Proposal

- 50 Principal's Career Development PhD Scholarships will be advertised for take-up in 2013-14.
- The fees and stipend for each Scholarship will be funded 50% from the supervising School(s) and 50% centrally.
- The total costs of the Scheme for 1 year entry will be *ca*. £2.73M over 3 years, £1.37 M of which will be borne centrally.

3. Additional notes

A review of the Principal's Career Development PhD Scholarship scheme was held in 2011. The scheme was well-received by the Schools and by the students and the quality of students was very high. The scheme was oversubscribed with high quality students.

Students develop skills in the following career development areas: Teaching, Public Engagement, and Entrepreneurship, as well as in Research.

CMG is invited to note and comment on the paper.

The University of Edinburgh

Staff Committee

12 November 2012

Report from Staff Committee

Brief description of the paper

This paper provides a summary of the key issues discussed and agreed at the meeting of Staff Committee held on 24 October 2012.

Action requested

CMG is asked to note this paper.

Resource implications

Does the paper have resource implications?

Any resource implications are covered in the content of the separate papers under discussion, where these are known. However, many papers are here for discussion and will be developed into a formal proposal later with costs, subject to support and agreement from Staff Committee for the initiative to proceed.

Risk Assessment

Does the paper have risk implications?

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

Equality and Diversity

Does the paper have equality and diversity implications?

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

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

Sheila Gupta, Director of Human Resources

J

The University of Edinburgh

Central Management Group

12 November 2012

Chancellor's Fellowships Initiative Update

Brief description of the paper

This paper provides a brief update on the Chancellor's Fellowships initiative to date, including recruitment progress and learning and development events that have taken place.

Action requested

For information

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? Yes, described in Section 2.

Freedom of information

Can this paper be included in open business? Yes

To be presented by

Eilidh Fraser, Deputy Director of HR

Originator of the paper

Anna Edgar, Senior Partner - Resourcing
University HR Services

CHANCELLOR'S FELLOWSHIPS INITIATIVE UPDATE

Following the decision in November 2011 to announce up to 100 Chancellor's Fellowships this initiative continues to progress well. 40 Chancellor's Fellows are now in post and a further 27 have accepted contracts and are due to join us shortly. Completion of recruitment is anticipated by January 2013. Once all posts are successfully appointed to, this cohort of staff will represent approximately 2.8% of the current Academic Staff headcount figure.

1. ADVERTISING

The posts were advertised in Nature, Science, Times Higher Education, www.jobs.ac.uk, Job Centre Plus and our own website on 1 December 2011. The posts were then re-advertised on 15 March 2012 in Times Higher, www.jobs.ac.uk and Jobcentre plus at total advertising costs of around £16K. Since the generic advertising a small number of specific posts have been re-advertised once more to ensure compliance with UKBA rules which restrict the time between the date of the advert and assignment of the Certificate of Sponsorship to six months. (Since June 2012, UKBA have extended this period to 12 months for PhD level skill jobs.)

The advertisements resulted in 4272 applications in total.

2. APPOINTMENTS

Table 1: The table below shows the number of accepted contracts of employment to date by School/Institute:

College	School	Total
Humanities and Social Sciences (HSS)	Business	1
	Divinity	2
	ECA	5
	Education	4
	History Classics and Archaeology	5
	Health	4
	Law	2
	Literature, Languages and Culture	1
	Philosophy, Psychology and Language Sciences	5
	Social and Political Science	5
HSS Total		**34**
Medicine Veterinary Medicine (MVM)	Centre for Cognitive and Neural Systems	2
	Centre for Inflammation Research	3
	Centre for Integrative Physiology	3
	Centre for Neuroregeneration	1
	Edinburgh Cancer Research Centre	1
	Institute of Genetics and Molecular Medicine	3
	Roslin Institute	2
MVM Total		**15**

Science and Engineering (CSE)	Chemistry	2
	Engineering	4
	GeoSciences	3
	Informatics	2
	Maths	1
	Physics & Astronomy	3
CSE Total		**18**
Grand Total		**67**

Table 2: The table below shows the number of accepted contracts of employment to date <u>by grade</u>:

	College				
Grade	**HSS**	**MVM**	**CSE**	**Total**	**% of Total**
UE07	7			7	10%
UE08	24	13	15	52	78%
UE09	3	2	1	6	9%
UE09 Reader			2	2	3%
Total	**34**	**15**	**18**	**67**	

The majority of appointments have been at Grade 8 and this is expected to continue with the remaining vacant posts.

Table 3: The table below summarises the contracts accepted to date <u>by gender</u>:

	College			
Gender	**HSS**	**MVM**	**CSE**	**Total**
Female	14	5	4	23
	41%	33%	22%	34%
Male	20	10	14	44
	59%	67%	78%	66%
Total	**34**	**15**	**18**	**67**

The gender balance is not as good as we would have hoped. Once the appointments are complete a full analysis of the equality and diversity profile of applicants in comparison to appointments will be undertaken and reported. It is the intention to use this cohort to monitor and gather evidence to inform future approaches relating to equality and diversity in early career academics' recruitment and career progression.

3. GUIDANCE FOR LINE MANAGERS

The Chancellor's Fellows have a formal review at the end of year 3. We have developed draft guidance for line managers about this review and we are currently in consultation with the Trade Unions with a view to publishing it on the Chancellor's Fellowship website shortly.

4. INDUCTION AND DEVELOPMENT

The Institute for Academic Development (IAD) and University HR Services (UHRS are working together, in partnership with Edinburgh Research and Innovation (ERI), local HR teams and academic managers, to ensure a comprehensive and effective induction and development programme for Chancellor's Fellows. In addition to supporting these new staff, this is being viewed as a pilot for the induction and initial development of academic staff in future.

A successful welcome and networking event was held on 25th October and another is planned for early 2013. The format for this event was a series of small round table discussions on themes of research funding, teaching and learning, external engagement and knowledge exchange, professional development opportunities, commercialisation and consultancy, and insights from senior academics. Tables were hosted by IAD, ERI, UHRS and the Beltane Public Engagement Network with additional involvement from Professor James Smith (HSS), Professor Philippa Saunders (MVM) and Professor David Finnegan (CSE). The event received excellent feedback from the Chancellor's Fellows.

In an online survey, the Chancellor's Fellows identified applying for research funding as a priority. To support this ERI is running 'Building a Research Profile' (13th November) with follow up sessions on 'Knowledge Exchange, Impact, IP and Engagement' (27th November) and 'Writing Successful Funding Applications' (12th December). We have also invited the UK Research Integrity Office to run a workshop on good research practice (12th November).

Many of the Fellows are new to Edinburgh and in the survey they also requested opportunities to meet socially. A couple of informal events took place in the summer with a future event planned for November.

Longer term, the IAD and UHRS, in partnership with ERI, will continue to provide development support for applying for research funding as well as additional opportunities around leadership, engagement, and learning and teaching. We will also review the support for mentoring and pilot action learning sets around specific themes.

Anna Edgar, Senior HR Partner – Resourcing
University HR Services

The University of Edinburgh

Central Management Group

12 November 2012

Fees Strategy Group: November meeting note and Convener's action

Brief description of the paper

The paper contains the meeting note of November Fees Strategy Group and also an action from the Fees Strategy Group's Convener.

Action requested

Approve the recommendations as set out in Items 2, 3, 4 and 6 of the meeting note.
Approve the recommendation on page 5.

Resource implications

Does the paper have resource implications? Yes.
This paper deals with tuition fees.

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 and its Secretary.

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

Deborah Cook
Governance and Strategic Planning
8 November 2012

The University of Edinburgh

Central Management Group

12 November 2012

Routine Tuition Fees

Brief description of the paper

The paper contains routine tuition fee proposals for programmes with recommendations from GaSP for final approval by CMG.

Action requested

Approve the recommendations on pages 5 and 6.

Resource implications

Does the paper have resource implications? Yes.
This paper deals with tuition fees for 2012/13 and 2013/14.

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 and its Secretary.

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

Deborah Cook
Governance and Strategic Planning
5 November 2012

The University of Edinburgh

Central Management Group

12 November 2012

NPRAS Rates for 2013-14

M

Brief description of the paper

This paper presents the NPRAS rates for the forthcoming planning and budgeting round and an explanation for the composition of the rates.

Action requested

CMG is invited to **approve** the revised NPRAS space rates for use in the 2013-14 planning round.

Resource implications

Does the paper have resource implications?   Yes, the revised NPRAS rates will have resource implications for all Colleges and Support Groups who engage in marginal trading of space.

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

Originators of the paper

Geoff Turnbull
Assistant Director, Estates and Buildings
Moira McFarlane
Management Accountant, Finance
30 October 2012

Revised NPRAS rates 2013/14

This paper presents the revised NPRAS rates for the forthcoming Planning and Budgeting round and an explanation for the composition of the rates.

As there is still some uncertainty surrounding a date for the potential devolution of Utility budgets the NPRAS rates have been calculated including and excluding Utilities. The rates to be applied to 2013/14 budgets, as per previous years, are set for 'Moderately serviced' and 'Highly serviced' buildings, which make up the majority of the estate.

It should be noted that these rates are only applicable for marginal trading/changes in space. Where a major new development or refurbishment project is planned Estates and Building will provide a detailed estimate for recurrent operational costs associated with the project.

The recommended rates to be applied for 2013/14 Planning and Budgeting purposes are in summary:

NPRAS rate including utilities		NPRAS rates excluding utilities
Highly Serviced	£119.52 per m2	£88.93m2
Moderately Serviced	£95.04 per m2	£71.70m2

MOTHBALLED rate including utilities		MOTHBALLED rate excl utilities
Highly Serviced	£86.97 per m2	£56.38 per m2
Moderately Serviced	£66.60 per m2	£43.26 per m2

The rates for 2013/14 reflect a forecasted increase in, tender prices for maintenance work, materials and labour, which when combined amount to an average percentage increase of 2.9% on prices as at 4th Quarter 2011. Similarly forecast increases for national pay awards, 2.1%, material prices, 3.3% have been taken into account in calculating the rate for 2013/14. These forecasts are provided by the Building Cost Information Service of RICS and are recognised as the industry standard. As such the NPRAS rates for 2013/14, detailed in the table above, have been set at an appropriate level to account for these increases.

The Utilities market continues to be volatile. Procurement of utilities for the University is through contracts arranged through Procurement Scotland. These contracts do provide a degree of risk avoidance as the University utility requirements are purchased at a fixed price in advance of the year of consumption. The University Energy Office has indicated that electricity prices will increase by 0.3% and, gas prices by 8.2%, for the year 2013/14. These increases have been applied to this element of the NPRAS rate.

Recommendation

CMG is invited to **approve** the revised NPRAS space rates for use in the 2013-14 planning round.

Geoff Turnbull
Assistant Director, Estates and Buildings
Moira McFarlane
Management Accountant, Finance
30 October 2012

The University of Edinburgh

Central Management Group

12 November 2012

Security Advisory Group – Annual Report

N

Brief description of the paper

The attached paper is a report from the Security Advisory Group [SAG] for the year 1st August 2011 to 31st July 2012.

Action requested

CMG is invited to:-

- **Note and comment,** on the issue of unacceptable post exam behaviour.

- **Re-affirm,** support to the commitment to wearing and displaying ID Cards and invited to set an example.

- **Support,** the proposal that EUSA to develop a guidance document for students and their societies on how to conduct meetings with visiting speakers.

- **Note,** the on-going work with Anti-Social Behaviour Unit.

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.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Adam Conn Chief Security Officer
6 November 2012

To be presented by

Angus Currie
Convener of Security Advisory Group

Security Advisory Group Annual Report
1 August 2011 to 31 July 2012

Security Section - relocation

The University Security Section has been in its new location at 13 Infirmary Street for 12 months. In the event of an incident requiring evacuation of 13 Infirmary Street, the former Operations room at Appleton Tower could be brought back into temporary service with a backup office available in the Dugald Stewart Building. . Members of CMG are welcome to view the Infirmary Street facility at a mutually agreeable time.

Building Access Control Policy

Following CMG approval of the Buildings Access Control Policy further consideration is being given to practical arrangements across the estate including management and use of master keys.

Post Exam Celebrations - Disturbance Outside Exam Halls

Concerns were expressed at SAG that the previously discussed unacceptable post examination behaviour continues despite the following agreed measures again being put in place:-

- Further consideration was given to venues and examination arrangements, including relocation where appropriate.

- Additional servitors and security staff were positioned at key locations (e.g. Adam House & the Quad) at key times.

- Environmental Health and the Police were asked to patrol exam venues at key times.

- The Code of Discipline was amended to clarify that it would apply to inappropriate behaviour on and in the vicinity of University premises;

- Additional notices were posted at exam locations stating that offending students would be dealt with and would be liable for any clean-up costs incurred by the University or the City Council.

- All-student email, and notices emphasising the impact of such behaviour on members of the public, servitors etc were distributed. The information advised that Police would take action against anyone found drinking alcohol or causing a disturbance outside exam halls.

- rescheduling of some Honours exams

Even with the above measures in place unacceptable behaviour continues to be a problem.

CMG is invited to note and comment on the issue of unacceptable post exam behaviour.

ID Cards

Last year CMG endorsed again the wearing and display of ID Cards and all members of staff are periodically reminded via a number of publications to wear and display their security ID Card. The importance of this was highlighted at last year's Chancellor's Installation and other high profile events.

CMG is invited to re-affirm support for wearing and displaying ID Cards and invited to set an example.

Risk Management - Assessment of All Buildings

The security risk management assessment continues with approximately 95% of buildings now complete. Security risk assessment is now a regular and on-going activity throughout the year and helps to ensure accuracy of the security database when departments move buildings or activity changes from one area to another.

Two new members of staff have undertaken training in supporting victims of crime and have also completed a Crime Prevention Officers course at the Scottish Police College at Tulliallan so that they can deliver crime prevention advice to building users. An officer from the Easter Bush site will be similarly trained as this site continues to develop.

Bilston Wood

A group of individuals continue to live on University property in Bilston Wood in various types of handmade dwellings located at ground level and also within the tree canopy.
There have been site meetings with some dwellers who still believe that the construction of the ASDA supermarket and other developments nearby will increase vehicle traffic in the area and require the road to be realigned to pass through the wood. At the most recent public meeting (6th September 2012) a local authority officer confirmed that the plan to realign the road was no longer on their agenda. The tree dwellers representative stated that if this could be confirmed in writing to them they would consider leaving the site. To date this has not yet happened.

A series of regular visits to the woods is carried out by farm staff and woodland management advisers and some remedial work to the trees is scheduled.

High Profile Events

The University continues to host many high profile events with security having had input to 72 events over the past year. The highlight of these was the installation of the new Chancellor and the new Rector. Four security officers dedicated to provide a more visible patrol presence and cover at events in the Central Area are now in post.

The Security Section draws on existing resources to cover events out with the norm such as the student protests last year. This does mean a reduction in service delivery elsewhere during the period of these events.

SAG is encouraging the student sabbatical VPS to develop a guidance document for students and student societies on how to properly conduct meetings and visiting lectures based on the University Diversity and Equality Policy.

CMG is invited to support the proposal that EUSA to develop a guidance document for students and societies on how to conduct meetings with visiting speakers.

Anti-Social Behaviour Unit

The joint working group called the '3 squares initiative' deals with the issues of on street drinking and resultant anti-social behaviour caused by groups in and around Bristo Square. The on street drinking bye-law, previously introduced to Bristo Square, reduced incidences of anti-social behaviour in the area as those who engage in this behaviour are aware that there are now legal sanctions in place. There has however been a displacement effect to other areas which is being monitored. The University are also exploring a data protection compliant information exchange with the police to identify thieves and violent persons.
Security staff work closely with our partners in the City of Edinburgh Council and Lothian and Borders Police to minimise incidents of anti-social behaviour across the estate.

CMG is invited to note the on-going work with Anti-Social Behaviour Unit.

CCTV

A planning application for the re-provision of CCTV cameras in George Square has been agreed by the City of Edinburgh Council. It is planned to have another 2 cameras erected in George Square, one on the Chrystal Macmillan Building at the north west corner and the other on the Business School on the south east corner. There are also six cameras being erected around the perimeter of the Main Library and these together with the previous two should give good cover in the square.

Exploratory talks continue with the City of Edinburgh Council (CEC) unit, which monitors public space CCTV, regarding the potential for a camera being mounted on one of our buildings to monitor the displacement of antisocial behaviour from Bristo Square into Nicolson Square. This initiative could be beneficial as it is an area heavily used by students and staff and the footfall past the Dugald Stewart and Informatics Forum is very high as it incorporates student passage to the Student's Union, Potterrow, the Main Library and numerous buildings around George Square. CEC will manage the procurement process for the equipment.

Regulation of Security Operatives - Private Security Industry Act 2001 (as amended)

Background Information - The Security Industry Authority (SIA) was formed in 2006 and extended to Scotland in 2007 to deal with the security service industry transition to regulation and licensing.

Security Section staff have not renewed their door supervisor's licences as 'in house' staff are now considered exempt from this requirement. This matter will be kept under review until we understand the intent of the organisation that will eventually replace the SIA. Security officers currently receive in- house conflict management training to a standard in excess of SIA requirements.

Reported Incidents – Trend

Reported crime incidents for the year have continued to rise from the previous financial year as illustrated in the table below:-

	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11	2011/12
Totals	395	447	603	445	407	384	390	412	503
Value (£)	29465	52730	56857	35009	103252	149700	15819	33891	20880

The cost of reported stolen items has dropped slightly but costs for personal property are of concern and suggest more care should be taken with personal items. Bicycle theft continues to pose a problem with stolen cycles very quickly broken down into constituent parts and sold. . The figures for this crime type are up on last year from 25 to 43 and it is clear the University is being targeted. It is a priority crime for the local Neighbourhood Policing Team and over 200 cycles have been cycle marked at various events in an attempt to reduce this crime. Tailgating and opportunist theft is a constant issue across the whole of the University and Security staff urge students and staff not to leave their personal possessions unattended. Security staff also encourage all staff and students to lock office and lab doors when they leave. It is encouraging that staff and students are heeding the message to report suspicious incidents and this information is helpful in targeting our crime prevention activities.

Included within the recorded incidents were acts of vandalism that have actually decreased from 109 to 95 with many of these being graffiti (or street art) related. This may relate to the work being done at the rear of the Festival Theatre as the wall where this was tolerated has now been removed. Thefts from academic buildings have also decreased from 28 to 18. Incidents of assaults on persons rose again from 12 to 17 although most of these were reports we recorded near our buildings on members of the public.

Edinburgh Student Safety Forum

This Forum is scheduled to meet every 3 months with the aim of improving student safety on campus and across the city. It has faltered of late as the chair post rotates around those institutions attending meetings. It is attended by the University's Chief Security Officer and Student Association representatives. It is a valuable network opportunity to meet with representatives from other Edinburgh Universities and Further Education Colleges. The

group have set 4 priority areas for the next 12 months, Personal Safety, Crime Prevention, Fire Safety and Alcohol and Drug Advice.

Liaison with Police

Members of the Security Advisory Group continue to meet with Senior Officers of Lothian and Borders Police to discuss matters of mutual interest. A meeting with police from the Central Division and the Midlothian Division at Easter Bush was held at Charles Stewart House on 19th April 2012.

Good levels of co-operation continue between the University and Lothian and Borders Police. This is evidenced in the contact during the Edinburgh Festival Fringe and the presence of officers in the area is valued by venue promoters.
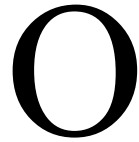
It is important that the University has an awareness of security issues at a national level, in particular with regard to any terrorist activity; as such the new Head of Special Branch has met with the University Secretary.

Adam Conn
Chief Security Officer
6 November 2012

O

Climate Action Plan Annual Report 2011-12

Brief description of the paper

This paper provides CMG with the annual report endorsed by SEAG when they met on 18 September 2012.

It records annual progress implementing the Universities and Colleges Climate Commitment for Scotland which Court agreed and the University formally sign in December 2008. Court has requested an annual report.

This commitment is enshrined in the University's Climate Action Plan adopted in May 2010.

Action requested

CMG is invited to **note** the report and transmit forward to FGPC and Court and then onward to the Environmental Association for Universities and Colleges (EAUC).

Resource implications

Does the paper have resource implications?
Yes – there will be significant call for invest to save projects which reduce lifetime carbon emissions and associated utilities costs. These were referred to in the original Climate Action Plan adopted in May 2010.

Risk Assessment

Does the paper include a risk analysis?
The potential reputational risk of failure to incorporate the Climate Change Question and the Sustainability Question as part of decision making around new and existing policies, plans and proposals, within business planning is noted on the first page of the Climate Action Plan annual report.

Equality and Diversity

Does the paper have equality and diversity implications?   No

Freedom of information

Can this paper be included in open business?   Yes

Any other relevant information

Scottish Government has indicated through SFC that significant capital funds will be made available to institution(s) able to demonstrate achieving carbon emission reductions.

Originator of the paper

David Somervell
Sustainability Adviser
October 2012

To be presented by

Senior Vice-Principal Professor Mary Bownes

Climate Action Plan Annual Report 2011-12

Report to CMG from Sustainability and Environmental Advisory Group (SEAG)
Note that the full original papers are available online at www.seag.estates.ed.ac.uk

SEAG Operations Group meeting held on 10 September 2012 and the full meeting of SEAG on 18 September reviewed progress under the **Universities and Colleges Climate Commitment for Scotland**[1]and the University's **Climate Action Plan 2010-20**[2] which Court had adopted May 2010 and had updated[3] in March 2012. The Annual Report for 2011-12 is attached.

The report recognises the challenge of achieving absolute emissions reductions at a time of expansion, but remains committed to a 3 percent per year reduction target. Due to continued growth in turnover, students and activities – together with the increasing energy intensity of some aspects of ground-breaking research activity – we have not achieved this target in the last year.

However the relative performance indicators – against floor area for our growing laboratory estate and against turnover, which reflects increasing research activities – show real improvements.

SEAG **noted**:

- Significant increase in courses offered which specifically relate to education for sustainability – and a new MA in Sustainable Development welcomed first students

- Several new research opportunities were launched including collaborations on Carbon Innovation, on Carbon Capture and Storage and an Institute of Governance

- The ground-breaking research activity – especially in modern laboratory buildings – increased energy intensity and made it difficult to meet the 3 percent per year emissions reduction target

- The Scottish Government's economic growth driver for the higher education sector which results in a greater carbon footprint from extra activities and additional buildings

- While increased intensity of activity and new buildings tended to increase energy consumption a reduction of around 4% in electricity consumption was achieved in targeted buildings

- 78% of all waste arisings were recycled – against a sector average of 45% and new arrangements for capturing compostable waste were consolidated – recovering 287 tonnes

- Guidance to design teams is to achieve a 30 percent betterment against energy building standards in capital projects, using whole life costing to determine selection of design options

- More awards were garnered for the refurbishment of existing buildings – signalling an emphasis on revitalising and upgrading the quality of the existing estate.

SEAG **endorsed** the report and requested that positive achievements since signing the Climate Commitment be reported. These have been added to the report.

The group **agreed** that the CAP Annual Report as amended be forwarded to CMG, FGPC and the Court and then submitted to EAUC for incorporation into a larger progress report for SFC.

CMG is invited to **note** this report from SEAG meeting of 18 September 2012.

David Somervell,
Sustainability Adviser,
October 2012

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[1] Universities and Colleges Climate Commitment for Scotland www.eauc.org.uk/ucccfs
[2] UoE Climate Action Plan 2010-20 http://www.ed.ac.uk/polopoly_fs/1.48308!fileManager/UoE-CAP-2010.pdf
[3] Update www.ed.ac.uk/polopoly_fs/1.85039!/fileManager/Climate%20Action%20Plan%20Update.pdf

The University of Edinburgh

Climate Action Plan
Annual Report 2011-12

The University has continued to invest considerable financial and human resources in the programme of activities for mitigating and containing our carbon emissions.
This Annual Report should be read in conjunction with the UCCCfS, the University's Climate Action Plan 2010-20 and the CAP Update endorsed by CMG in March 2012.

At a time when research activities intensified, student numbers continued to grow, and more new buildings came on line during the year, emissions increases offset the savings achieved through engineering efficiency improvements and sustainability engagement activities.

The University has joined with other public sector bodies in Scotland to procure 100% Renewable Energy supplies for our next electricity contract starting April 2013.

The University has a statutory obligation to report emissions under the CRC and EUETS schemes and a carbon allowance tax was incurred for the first time under these. Data from these submissions suggested that emissions for those buildings within the schemes fell in the fiscal year by 2.2%.

Progress continues on energy budget devolution project to improve metering hardware, software and reporting. College of Science and Engineering have agreed to continue for a further year.

Energy reduction through face-to-face engagement has proved successful in targeted buildings:

- During May 2011-June 2012, the Sustainability Office engaged over 1,100 staff

- Ideas generated led to a 4% saving in electricity consumption at 22 locations

- Projected savings: £82,000 and 286 tonnes of CO_2.

Travel Plans have been published for three major projects and active measures implemented to improve inter-campus public transport. After lobbying by Students Association in 2010 the city council has enhanced the route from Central Area to King's Buildings as a Quality Bike Corridor.

Further preparatory work has been undertaken to assess carbon emissions associated with transport – including improved recording of mileage and fuel consumed in our own fleet.

There was a 27% decrease in waste to landfill and an increase to 78% of all arisings recycled: 38% better than last year – partly due to improved management of major clear-outs for departmental moves and partly due to roll-out of shared recycling bins to a third of the campus.

We are on track to divert food waste from general waste stream by 2020 – with 11% of arisings currently composted on site or sent to anaerobic digestors. This includes 11 tonnes of food scraps collected from EUSA kitchens. Overall Composting increased by 4% & Reuse increased by 48%.

The University remains encouraged under the Public Bodies Duties under Part 4 of the Climate Change (Scotland) 2009 Act to ensure the

> "… *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 as part of the decision making process around new and existing policies, plans and proposals …".*

The government's intention is to ensure the impact of decisions is considered and public bodies are seeking to act sustainably in their annual planning and resource rounds.

David Somervell, Sustainability Adviser, October 2012

1. Annual Report on Energy 2011-12

The University Strategic Plan 2012 to 2016 has set an SRS target and KPI using Absolute Reduction in carbon emissions approach based on a 29% reduction by 2020 against 2007 baseline. The data used and the time of year that this is published are critical to ensure that the various reporting mechanisms are consistent with each other as they are all in the public domain. Two statutory schemes are operated to a fiscal year timetable and are submitted in July:

Statutory scheme for whole or part of UoE	2010/11	2011/12	%age change
EU ETS King's Buildings & George Sq only	24,514	21,885	-10.8%
Carbon Reduction Commitment (all the rest)	64,323	65,865	+2.4%
CRC + EUETS Total	88,834	87,750	-2.2%

The UK Carbon Reduction Commitment scheme is now effectively a carbon tax. The first such purchase of allowances was completed in August 2012 at an annual cost of £795,168.

The table below displays the energy consumption figures for each academic year. This data uses the emissions base year of 2007 and care has been taken to ensure that all data is corrected for additions and deletions to the estate due to the recent mergers back to that date.

Space data has been updated as some buildings were not on the database in 2007 but are now. This apparent increase in estate gross internal area has led to revisions in previous KPI's issued.

Key performance indicators: Absolute and Relative ESTATE Carbon Emissions since 2007

Emissions: Whole campus inc Accomm	2007-08	2008-09	2009-10	2010-11	2011-12
Absolute emissions (tonnes CO_2equivalent)	78,917	76,253	82,347	88,339	**83,561**
Turnover from Annual Report (£million)	£572m	£608m	£651m	£677m	**£699**
Relative emissions / turnover (tCO_2e/£million)	138	125	127	130	**120**
Gross Internal Area (GIA) in 1,000 sq.m	718	752	754	774	**809**
Relative emissions / GIA (tCO_2e / 1,000 sq.m)	110	101	109	114	**103**

Energy Budget Devolution

The metering hardware and software continues to improve the scope of metering and the robustness of information and reporting throughout the estate. Baseline reports based on last two years' consumption data are now used for monthly reports to Schools and Departments.

The pilot scheme with College of Science and Engineering resulted in some reductions in electrical consumption. The combined savings for all Schools came to approximately £22k with Informatics achieving almost £14k. The College have agreed to run the devolution scheme for a further year.

We have new software in place that is able to pick up live electricity consumption and display this on a web page and to plasma screens in building foyers.

Electricity Contract

The University is in the last year of a contract with ScottishPower and Scottish Southern Energy. Scottish Procurement has awarded the next contract to EDF Energy starting on the 1st April 2013 and running 3 years to 31st March 2016 with an option to extend in yearly for a further 3 years.
The contract provides for 100% of electricity supplied to be from Renewable sources (not nuclear).

Gas Contract

The current gas contract terminates on the 31st March 2014. Procurement Scotland will be issuing the tender documentation shortly and hope to award the contract in Spring 2013.

Water Contract

Water is in the second year of a three year contract running to 31st March 2014. It provided for a 11% reduction in our water charges for April 2012 to March 2013 against the published tariffs and a 13% reduction for April 2013 to March 2014 – a saving of £154k and £182k respectively.

Andrew Whitson, Energy Manager and David Barratt, Engineering Operations Manager

2. Annual Report on Sustainability Engagement 2011-12

Face-to-face engagement for energy reduction grew out of the initial Ashworth Energy Project run by Transition Edinburgh University in February 2011. The technique was then tested more widely May through July 2011, and was rolled out in its most recent phase September 2011-July 2012. Following the success of this form of collaboration a continuing engagement for energy reduction and related pro-environmental activity continues into the academic year 2012-2013.

Table of electricity consumption in targeted buildings 2011-12

Location	Occupied Area sq.m	Equivalent period kWh consumption last yr	% kWh Change
0008 Minto House	5, 271	15,4739	+4%
0201 Appleton Tower	10,340	967,584	+1.7%
0208 George Square, 1	4,062	660,660	-5.1%
0209 George Square, 7	5,185	195,373	-4%
0282 Informatics	12,579	2,552,884	-7%
0305 Infirmary St, 9-11	2,483	73,027	-10%
0615 Fleeming Jenkin Bldg	4,135	152,864	-5%
0616 Alrick Bldg	3,173	244,483	-3%
0617 Scottish Microelectronics Centre	2,689	2,291,232	-0.3%
0618 Alexander Graham Bell Bldg	2,167	312,831	-7%
0621/3/4 Crew Bldg, Lab & Annexe	2,907	101,321	-8%
0632 Joseph Black Bldg	15,742	4,513,444	
0633 Grant Institute	5,214	291,228	-4%
0640 Ashworth Laboratories	3,117	425,265	-0.4%
0668 William Rankine Bldg	1,430	91,765	-3%
2326 Edinburgh Cancer Res Centre	3,465	655,242	-9%
2702 QMRI, Little France	20,323	2,585,249	-1%

Some other locations were included in this workstream and are now being reviewed to validate results.

Benefits of staff engagement

Engaging with staff face-to-face on energy use and sustainability was effective at the University:
- Gathering staff feedback and facilitating local action gives staff a sense of ownership and empowerment over energy use in their workplaces
- The tools and support networks developed through engagement with staff promote active participation in energy reduction
- Working with Switch and Save presents an integrated approach to energy reduction.

Outcomes

Face-to-face engagement with staff across buildings has resulted in:
- CO_2 reduction of more than 200 tonnes and over 2,000 tonnes against the Business As Usual 8% increase trend of control group of rest of University
- Enhanced relations and understanding between Estates & Buildings and academic and support colleagues in many Schools and Institutes
- Increased Schools' academic and support staff buy-in to energy reduction
- Measurable impact on utilities usage across target locations, especially electrical
- Location specific solutions to issues identified by building users.
- Payback on the time and resources invested estimated as less than two years.

Caroline Overy, Acting Engagement Coordinator, August 2012

3. Annual Report on Transport and Parking 2011-12

This year saw the result of three years of travel planning for the opening of the new Vet School and Roslin Institute at Easter Bush and new Travel Plans prepared for Systems Medicine at WGH, the Edinburgh Centre for Carbon Innovation and the KB Library and Learning Resource Centre.

There was also greater focus on gathering data to better understand the University's transport carbon footprint and to identify ways to reduce it.

Easter Bush: The start of the 2011-12 academic year provided the first opportunity to truly put the public transport enhancements for the Campus to the test. These were:
- improvements to the Service 67 timetable which is subsidised by the University;
- diversion of Service 47 into the campus at peak times (at no cost to the University);
- ongoing provision of Service 15A.

The popularity of these services in the first few weeks of the semester meant that the capacity of some services during the peak times did not match demand. From November 2011 Lothian Buses Service 67 was changed to entirely double decker and an additional 15A service provided during the morning peak; the subsidy increased from £2,950 to £3,250 per week (£170k per annum). This solved the capacity problems and public transport serving the campus has worked well since.

Following a campaign by the EUSA President 2011-12, the Vet School have agreed to provide subsidised public bus travel for all undergraduate students for 2012-13. The Transport and Parking Office has been advising the Vet School on the administration of the scheme which will entail students being reimbursed a proportion of the cost of purchasing a Lothian Buses Ridacard.

The Easter Bush campus has been awarded the Cycle Friendly Employer Award from Cycling Scotland joining King's Buildings, Central Area and Little France in achieving this recognition.

The Easter Bush Campus Travel Map (by Steer Davies Gleave) was well received by staff, students and visitors. This handy pocket sized fold up map – summarising how to access the campus – was recognised by the British Cartographic Society Annual Awards 2012.

The Transport and Parking Office monitors parking permit allocation to ensure parking is managed within the limits of the planning permission. Car sharing was popular, particularly for students.

King's Buildings: A site Travel Plan for 2011-14 was submitted for the **KB Library and Learning Resource Centre**. This includes targets to reduce the proportion of single occupancy car journeys by increasing car sharing and cycling with multiple positive measures to help meet the targets.

Improvements to cycling infrastructure were included in landscaping works around the JCMB and the KB Library and Learning Resource Centre. More and better cycle parking has been provided and the footpath linking the two buildings is now shared use for cyclists and pedestrians.

Construction work started on a new entrance gateway in front of the Ashworth Laboratories). Designed to provide a more welcoming entrance to the King's Buildings at Mayfield Road / West Mains Road junction is due for completion November 2012. It forms one end of the new Quality Bike Corridor linking King's Buildings with Central Area campus and George IV Bridge.

This first ever Quality Bike Corridor in Edinburgh provides improved on-road cycling infrastructure, new parking arrangement and a 20 mph speed limit to improve cycling experience. The project includes sheltered / secure cycle parking and signage welcoming visitors and a campus map with location of cycle parking facilities and city map showing how to travel to and from the campus.

The **KB Shuttle Bus** was well used by students and staff with the service frequently operating at full capacity. Departure times of the KB Shuttle Bus were reviewed following opening of the new KB Library and Learning Resource Centre. To ensure students have access to the Library the Shuttle Bus will be extended to cover evenings and weekends for 2012-13 as a trial.

Little France: Staff moved into the **Scottish Centre for Regenerative Medicine (SCRM)** autumn 2011. All staff moving in were offered a personal travel plan and travel information provided on the SCRM website. The Little France parking management system covers the SCRM car parks with plenty of spare capacity available – so we do not need to turn down parking permit applications.

Western General: We worked with Estates Development and external transport consultants to prepare a Travel Plan for **Systems Medicine**. The development will be entirely car free making it essential that good alternative transport solutions are in place. Improvements will be made to cycle and pedestrian infrastructure to provide better access to the site with more secure and sheltered cycle parking with shower, changing and locker facilities. Public transport provision will be reviewed following an informal staff survey which highlighted a number of issues.

Central Area: Plans for a refurbished **50 George Square** and **DHT Teaching Hub** will provide much needed secure and sheltered cycle parking for both developments. Showers and changing facilities in both projects was more challenging and provision cut back due to space constraints.

Although 50 car parking spaces were displaced for construction site use in the DHT / Appleton Tower car park and we communicated with permit holders and advised on alternative parking locations. Consequently we received very few complaints, even though the car parks in the George Square area were operating very close to capacity during semester time.

A Travel Plan for the **Edinburgh Centre for Carbon Innovation** at the Old Royal High School was drafted. Together with Systems Medicine at the Western General this is the University's first car-free development. The car park at High School Yards closed permanently in January 2012 reducing parking provision in the Central Area by 90 spaces. We are working with ECCI senior management to bring the University's first public electric vehicle charging facility to the Centre.

Before the closure of High School Yards car park we improved access and security for the nearby **Robertson's Close car park**, and secured our first ever ParkMark Award from the Police service. Travel planning advice days were held in Charles Stewart House and at 11 Infirmary Street to offer staff advice on alternatives to car use and prepare them for the reduction in car parking provision. This was offered in conjunction with The Bike Station "A Better Way to Work" project.

Cycle to Work: The contract to administer the scheme was re-tendered and re-awarded to the UK-wide Cyclescheme. We now have a more attractive "end of hire" solution for employees taking out an interest free loan under the Tax-free scheme approved by HMRC.

Business travel carbon emissions: A listing of University owned / leased vehicles together with fuel consumption and mileage was collated for the 2010/11 Estates Management Statistics return to HESA. Using this data we calculated that 369 tonnes of CO_2 were emitted in 2010/11.

The University now has 4 hybrid vehicles in the fleet (140 vehicles in total), one of which is used by as the University Car for senior staff. We have continued to test drive a variety of lower carbon vehicles, including an electric van which will be leased by Estates and Buildings from 2012-13.

Overall our carbon emissions associated with travel have been captured more effectively in the recent years. Note that data for commuting travel is collected every 3 years from the staff and student travel survey. The last survey was conducted in 2010-11. Fuel data from the University fleet is collected annually to calculate an estimate of Scope 1 emissions. This data is not yet available for 2011-12.

Key performance indicators: Absolute & Relative **TRANSPORT** *Carbon Emissions*

Emissions: Whole University	2007-08	2008-09	2009-10	2010-11	2011-12
Commuting emission (tonnes CO_2equivalent)	4869	-	11,489	-	-
UoE Scope 1 Transport emissions (tCO$_2$e)	345	321	495	369	**Not available**

Emma Crowther, Transport and Parking Manager, August 2012

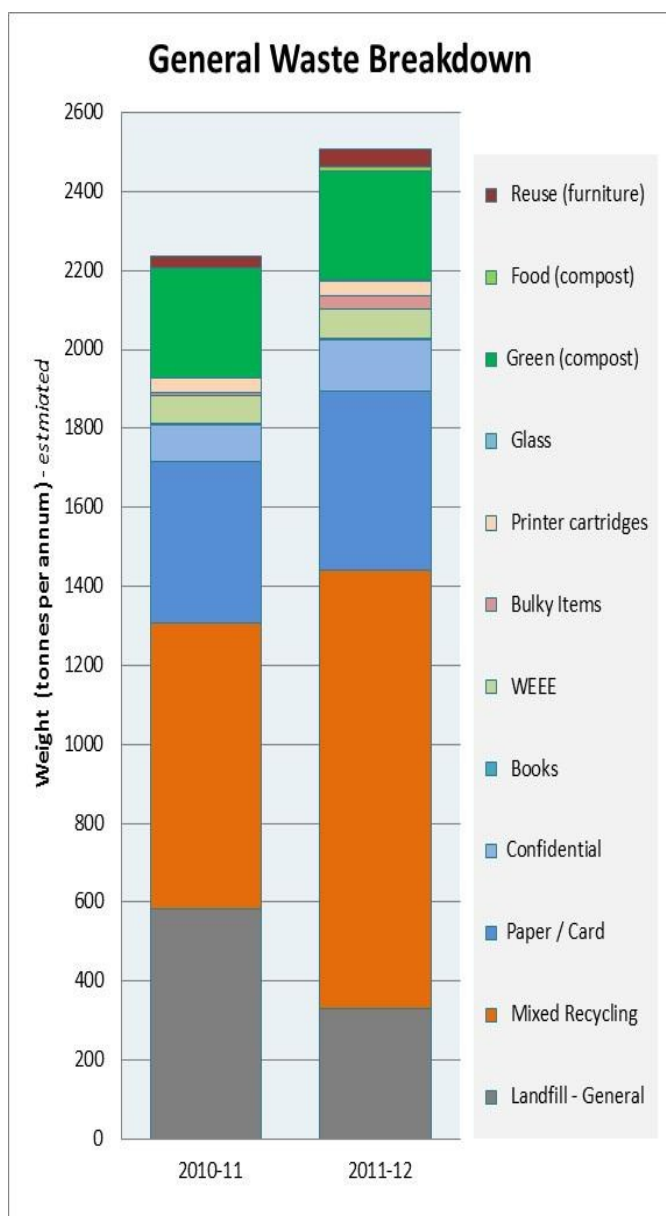## 4. Annual Report on Waste and Recycling 2011-12

This report, prepared by the Waste Management team within Estates & Buildings, summarises the University's progress towards strategic targets[i] and objectives set for the academic year 2011-12.

The year has been a challenge for Waste Management at the University with large scale moves, renovations across the University and increases in campus size, combined with a requirement to tender our General and Hazardous Waste contracts and to assimilate and act on a radically changing legislative and political framework. At the same time, increased take up by Schools of facilities such as shared bins, efficiency improvements in contractor performance and better internal procedures over the year have resulted in improvements across the board.

Performance Update

In 2011-12, the University produced approximately 2,760 tonnes of waste[ii] (15% higher than 2010-11). There has been a simultaneous increase in the size of the University Estate, with the full integration of Edinburgh College of Art and opening of new medical and veterinary medicine facilities at Little France and Easter Bush.

At the same time, we have achieved significant improvements in performance as a result of a change in practice during clear-outs and moves, an increase in take up of shared recycling bins and an improvement in the recovery rates and general efficiency of the appointed University Waste Management contractors.

General Waste Breakdown — Weight (tonnes per annum) - estimated. Legend: Reuse (furniture), Food (compost), Green (compost), Glass, Printer cartridges, Bulky Items, WEEE, Books, Confidential, Paper / Card, Mixed Recycling, Landfill - General. Years: 2010-11, 2011-12.

Progress against targets

Reduce waste sent to landfill by 3% year on year
Only 480 tonnes of general waste uplifted by our contractors were sent to landfill during 2011-2. This is 27% less than last year, a significant improvement over our 3% target.

Increase the rate of recycling by 3% year on year
In 2011-12 around 1,865 tonnes (or 78%) of our total waste arisings were recycled. This is a 38% improvement compared to the 1,350 tonnes recycling during the previous year.

Divert all biodegradable waste from landfill by 2020
Around 11% (287 tonnes) of our general waste arising is currently composted on site or sent off site to anaerobic digestion. This includes around 11 tonnes[iii] of food waste mainly collected from EUSA kitchens.

Receive no environmental notices/prosecutions
The University again received no environmental notices or prosecutions.

Furniture Reuse
2,172 items or an estimated 44 tonnes (or 1.3% of total) were reused within the University Estate last year. This is an increase of about 50% on 2010-11 with significant financial and environmental savings.

Hazardous Waste

The University disposed of around 250 tonnes of Hazardous and Clinical waste last year. Of this, 62 tonnes was incinerated, 149 tonnes treated and sent to landfill, 39 tonnes recovered or recycled (including 20 tonnes sent to Energy Recovery).

Engagement Activities

During the year, the Estates Waste team engaged in a number of activities to increase awareness within the University community.

Hazardous Waste Breakdown

Legend:
- Other recovery
- Energy Recovery
- Oils
- Batteries
- Other treatment
- Incinerator
- Landfill - Other

Y-axis: Weight (tonnes per annum), 0 to 300
X-axis: 2010-11, 2011-12

These included carrying out training, assisting the Uni-tots nursery with their Annual Litter pick, holding a Recycle Week event which attracted over 200 people and working with Schools to roll out over 750 shared waste and recycling bins.

Carbon Footprint

Key performance indicators: Absolute WASTE Carbon Emissions since 2007

Emissions: Whole campus inc Accomm	2007-08*	2008-09	2009-10	2010-11	2011-12*
Absolute emissions (tonnes CO$_2$equivalent)	534	487	576	571	334

* Data for Accommodation is not currently available for 2007-08 and 2011-12.

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 *gross internal area*.
In 2011-12, within the Academic & Support buildings:

- 268 kg of waste per occupant was produced (7% lower than 2010-11).
- 4.3 kg waste and recycling was recorded per square meter (3% higher than 2010-11).

Way Forward

During 2011-12, we are aiming to achieve University Strategic Plan targets of "*improving our overall management of resources*" and "to *reduce waste and maximise recycling*" by:

- Continuing to increase the value of our recycling and the efficiency and cost effectiveness of our contracts;
- Completing our Waste Composition Analysis update and using that to inform services;
- Scoping options to encourage and enable an increase in reuse and sharing of resources;
- Continuing to improve and enhance our communications and engagement with the University community.

For further information please contact: Estates Waste Management, The University of Edinburgh, Estate Operations, 13 Infirmary Street, Edinburgh EH1 1LT. Telephone / Fax 0131 650 9346, Email waste@ed.ac.uk Website www.ed.ac.uk/recycling.

Fleur Ruckley, Waste and Environment Manager, October 2012

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[i] Targets are outlined in the University's *Recycling and Waste Management Policy 2010* and in the *Social Responsibility Sustainability Strategy 2010* and in the University's *Strategic Plan 2012-16*
[ii] This does not include waste streams managed centrally apart from Construction and Demolition waste.
[iii] Food waste collection for Anaerobic Digestion from EUSA's Teviot Row House has increased substantially over 2010-11.

The University of Edinburgh

Central Management Group

12 November 2012

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Quarterly Health and Safety Report: (July-Sept 2012); incorporating the Report from the meeting of Health and Safety Committee, held on 3 October 2012

Brief description of the paper

This paper presents information on accidents/ incidents statistics, and other developments and issues in health and safety, which have occurred during the quarterly period July to September 2012, and includes the Report from the meeting of the University Health and Safety Committee, held on 3rd October 2012.

12 incidents which were Reportable to the Enforcing Authorities are summarised, 6 of which were Reportable because a member of the public (postgraduate or undergraduate) attended hospital for assessment and/or treatment. 3 injuries which led to more than 7 days absence from work, 2 Specified Major Injuries and 1 Reportable Dangerous Occurrence were also included.

Developments and issues covered in the Report from Health and Safety Committee include: (1) University Emergency Telephone Numbers (2) Review of the University Health and Safety Policy (3) Behavioural Safety Training Programme (4) Health and Safety Executive Fees (5) Personal Emergency Evacuation Plans (PEEPS) (6) Occupational Health Unit Annual Report 2010/2011 – Statistical Update (7) Radiation Protection Unit Annual Report 2011/2012 (8) Health and Safety Plan (9) Changes to Accident and Incident Reporting Requirements (RIDDOR consultation) (10) Near Miss Reporting (11) "Occupational Health" Services for Students (12) Health and Wellbeing

Action requested

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

Resource implications

No direct resource implications.

Risk Assessment

Not relevant.

Equality and Diversity

No particular equality and diversity implications attach to the above.

Originator of the paper

Karen Darling/Alastair G. Reid, Deputy/Director of Health and Safety, 6th November 2012

Freedom of information

Can this paper be included in open business? Yes

Health and Safety Quarterly Report 2011/2012

Quarterly reporting period: 1st July – 30th September 2012

Accidents and Incidents

Type of Accident/Incident	**Quarter 4 July-Sept 2012**	Quarter 4 July-Sept 2011	**Year to Date 1 Oct 2011 – 30 Sept 2012**	Year to Date 1 Oct 2010 – 30 Sept 2011
Fatality	0	0	0	0
Specified Major Injury	2	0	5	6
> 3 day/ >7 day Absence (7 day injury)	3	5	12	16
Public to Hospital	6	5	26	15
Reportable Dangerous Occurrences	1	0	1	1
Disease	**0**	1	**0**	2
Total Reportable Accidents / Incidents	**12**	11	**44**	40
Total Non-Reportable Accidents / Incidents	**94**	96	**412**	388
Total Accidents / Incidents	**106**	107	**456**	428

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

Incidents reported to the Enforcing Authorities during the quarter:

- The IP fell outside Lee House, on steel drainage runners, onto her hands and knees. She attended hospital where she was found to have torn ligaments in her left knee. The IP was signed off from work from 02/07 for 3 weeks. *(> 7 day injury).**

- The IP was vacuuming in Abden House when his back suddenly seized and he felt pain and tingling in legs. The IP returned to work on 27/08/2012. Training is provided on using vacuum equipment. *(> 7 day injury).**

- The IP was carrying a small rodent cage into a procedure room and tripped over the rodent barrier. She struck her head on a sink, bruising both knees, back, and arm, and pulling muscle in arm. Following a holiday, she was signed off work for 2 weeks. An additional trolley has been made available to assist with the transport of cages. *(> 7 day injury).**

- An E&B Heating Engineer reported that a gas boiler was unsafe. He erroneously reported the situation to HSE. Senior E&B and H&S managers re-instated boiler operations, as a result of a balanced risk assessment. HSE visited the site and confirmed that they had no concerns regarding the installation. (*Dangerous Occurrence).*

- A sedated horse was having a sling fitted around it's abdomen. The IP was holding a halter on the horse's head, when the horse unexpectedly tossed it's head. The IP's hand made contact with the wall of the recovery box resulting in pain and swelling to her finger. The IP was taken to hospital as a precaution. Investigations indicated that sedation levels were correct, staff numbers/support were appropriate, and that procedures were being followed. (*Public to Hospital*).

o   While filling up tubes with diluted formaldehyde from a container located on the work bench, one of the tubes dropped causing the solution to splash into the eye. The eye was immediately rinsed using the eyewash station and the IP taken to hospital as precaution. The risk assessment has been reviewed to include wearing eye protection and the location of the dispensing unit has been relocated to a more convenient position to facilitate safe handling. (***Public to Hospital***).

o   The IP, a visitor on an internship, received a splash of liquid into her eye, whilst opening a cryotube which contained a serum sample which has been removed from the freezer and thawed. The eye was washed immediately and the IP attended hospital as a precaution. Appropriate prophylactic treatment was given as a further precaution and the serum sample was retrospectively analysed for relevant human pathogens; no pathogens were present. The relevant risk assessment has been reviewed to take account of the potential eye contamination. (***Public to Hospital***).

o   The IP, who has mobility issues, fell as she was exiting the shower cabinet. She grabbed the towel rail, which could not support her weight, and gave way, striking her on the face. The IP attended hospital where she received a stitch to her lip. The shower has non-slip flooring, but with be further monitored. (***Public to Hospital***).

o   The IP, a student at the Summer School 5-day clay modelling course, stepped backwards to observe her piece of clay work. As she did so, her trousers caught a small tightening screw on the foot of the modelling stand, causing her to become unbalanced, and she fell backwards. She put out both hands to break her fall. The IP indicated that she had hurt her wrists and sat for the remainder of the class. She sustained fractures to both wrists. (***Public to Hospital***).

o   The IP was cooking, using a pan of oil, which overheated and caught fire. The contents of the pan spilled over, causing burns to her hands. IP was taken to hospital - skin grafts to be performed. (***Public to Hospital***).

o   The IP was on the 2nd-from-top step on an A frame step ladder. He twisted and over-reached to access an item on the wall, and fell approx. 1.5m, landing heavily on his back, sustaining a compressed fracture to the front, and a hairline fracture to the rear, of one vertebra. He was taken to hospital and has been signed off work for 4 weeks. This activity was not part of the IP's duties. The ladders were in good condition and were being held at the bottom by a colleague. *(Specified Major Injury).*

o   As the IP was cleaning up a spillage he slipped. He put his hand out to save him and as he fell he sustained a chipped bone in his wrist, and was taken to hospital. The IP attended health and safety refresher training in February 2012. *(Specified Major Injury).*

REPORT TO CMG FROM THE MEETING OF THE UNIVERSITY HEALTH AND SAFETY COMMITTEE, HELD IN THE CUILLIN ROOM, CHARLES STEWART HOUSE ON WEDNESDAY, 3RD OCTOBER 2012

1. **UNIVERSITY EMERGENCY TELEPHONE NUMBERS**

   The University's emergency number is to be changed to 999, to ensure consistency across campuses, and to enable staff or students to speak to the emergency operator directly, which is of particular importance in a casualty situation. This should then be followed up by a call to University Security to ensure that the University is aware of emergency incidents involving staff, students or visitors on our premises, and can offer assistance as appropriate.

   University Security will remain the main contact for non-emergency incidents. A new national non-emergency number is to be introduced on 1st April next year. This will be accompanied by a public awareness campaign, and the University's revised emergency arrangements will be implemented to coincide with changes to the national system for responding to incidents. There are a number of practical issues to be progressed with the introduction of a new emergency procedure, such as signage across all buildings, signage on telephones, and general awareness amongst staff and students

2. **REVIEW OF THE UNIVERSITY HEALTH AND SAFETY POLICY**

   A comprehensive review of the University Health and Safety Policy is underway, with a view to producing a new, more concise Policy document, together with clearly defined and properly ordered supporting guidance. Donald Blue MBE, formerly CHASTE Project Co-ordinator, is providing expert external input, with experience of drafting health and safety policies within the Scottish Higher Education sector. Re-drafting of the current Keynote Guide, and the separation of policy and arrangements elements from guidance elements, in the current 10 part Policy, is in progress with the new Policy expected to be ready for publication Spring 2013. The revised Emergency Procedure arrangements will be included in the new Policy.

3. **BEHAVIOURAL SAFETY TRAINING PROGRAMME**

   A pilot 2-day behavioural safety course will be held in November, in conjunction with the Edinburgh-based Keil Centre, a team of respected occupational psychologists. The course will initially be attended by corporate Health and Safety staff and full time professional Health and Safety Managers etc., in the Colleges and Schools. Following this pilot course, consideration will be given to the possible approaches to cascading this type of learning within the University, taking costs into account.

4. **HEALTH AND SAFETY EXECUTIVE FEES**

   The Health and Safety Executive (HSE) introduced a charging scheme called Fee For Intervention (FFI) on 1st October. The scheme sets out to recover all of the

HEALTH AND SAFETY EXECUTIVE FEES (Cont.)

costs of an inspection / investigation and taking enforcement action, where a material breach of health and safety law is identified by the HSE.

The HSE currently intends to charge £124 per hour for the duration of the entire visit, not simply from when a breach is identified, through to the breach being resolved, or when the HSE hand the case to the Procurator Fiscal. No fee will be charged for trivial breaches. If following a visit, the HSE issue a prohibition or enforcement notice, a formal letter, or send an email, then the organisation are liable for all relevant costs. Biological activities, and licensed asbestos work, are currently exempted from the fee scheme.

In due course, should any such fees be charged by HSE to the University, these will be met by either the School, College, or corporately, depending on the circumstances surrounding the breach. A decision on which budget code such fees will be paid from will therefore be taken on a case-by-case basis by the Director of Corporate Services, in consultation with the Central Management Group.

5. **PERSONAL EMERGENCY EVACUATION PLANS (PEEPS)**

A number of issues relating to the wider aspects of staff and student disability are being dealt through the Timetable Project and Central Management Group, and also through discussions on the staff disability provision in general which have taken place between the Director of Corporate Services, the Director of Health and Safety, University Human Resource Services and Student and Academic Services Group, involving the University Secretary. In addition, Estates and Buildings Design Office have an ongoing programme looking at access issues across the University's estate.

6. **OCCUPATIONAL HEALTH UNIT ANNUAL REPORT 2010/2011 – STATISTICAL UPDATE**

The Occupational Health Manager (OHM) presented a statistical update to the Occupational Health Unit (OHU) Annual Report Interim Summary 2010/2011, which was presented at the last meeting of the committee. The majority of activities within the OHU can be split into 3 main categories - statutory health surveillance (44%), referrals (39%) and immunisations (17%). The majority of referrals come from managers, rather than staff self-referrals, and the vast majority of referrals come from the Support Service areas. Recorded absence levels vary for a number of reasons across the University. The Support Service areas have historically had a high level of recorded sickness absence and therefore good management controls are in place. Absence statistics have not been as accurately recorded within Colleges and work is ongoing to address this.

The main reasons for all referrals to the OHU can be broadly split into the following categories – musculoskeletal disorders (32%), mental health (31%), medical (25%) and surgery (12%). The majority of staff attending the OHU for health surveillance is due to work with animals. The OHU has increased the range of travel immunisations available, including Yellow Fever, and offers a full travel advice and guidance service.

7. RADIATION PROTECTION UNIT ANNUAL REPORT 2011/12

The University Radiation Protection Adviser (URPA) presented the Radiation Protection Unit (RPU) Annual Report 2011/2012.

The Assistant Radiation Protection Adviser has gained accreditation as a RPA under the Ionising Radiation Regulations, and the URPA has received accreditation as a Radioactive Waste Adviser, under the Radioactive Substances Act.

The URPA noted there were no serious incidents during this reporting period. There were no personal doses in excess of the derived maximum permissible limits reported by the personal dosimetry service. A number of routine visits were made by the Scottish Environmental Protection Agency (SEPA). No visits regarding radiation issues were made by the Health and Safety Executive (HSE). One visit was made by the Counter Terrorist Security Adviser from Lothian and Borders Police.

8. HEALTH AND SAFETY PLAN

The Director of Health and Safety outlined the Corporate Health and Safety Annual plan for 2012/13, which was presented to the Committee for information. Annual Health and Safety Plans dovetail with the Corporate Services Group Strategic Plan, and with the University's overarching Strategic Plan for 2012-2016.

9. CHANGES TO ACCIDENT AND INCIDENT REPORTING REQUIREMENTS (RIDDOR consultation)

The HSE is undertaking a consultation exercise on proposals to simplify and clarify the requirements of the Reporting of Injuries, Disease and Dangerous Occurrences Regulations 1995 (RIDDOR). These proposals, if adopted, will result in substantial changes to the types of accidents and incidents which organisations will be required to report, likely resulting in a significant reduction in the number of accidents and incidents which will be reported by the University, particularly in the "non-employee to hospital"category, which would have the effect of making our HSE accident and incident statistics appear more favourable.

Internal procedures within the Health and Safety Department will be reviewed to ensure that statistical data and the learning stemming from significant accidents and incidents is maintained, regardless of the final RIDDOR reporting requirements.

10. NEAR MISS REPORTING

The Committee discussed the importance of reporting and recording details on "near miss" incidents and raised the option of introducing a separate form for "near miss" incidents, but the preference was to maintain a single form for accidents, incidents and dangerous occurrences.

11. "OCCUPATIONAL HEALTH" SERVICES FOR STUDENTS

The current approach to student 'occupational' health (OH) services across the organisation lacks cohesion and consistency. Students may require a range of services including, health surveillance, travel consultations, parking permit assessments and self-referrals.

The University's Occupational Health Unit's (OHU) formal remit extends to staff occupational health matters only. The OHU have provided limited 'occupational' health services to (mainly) postgraduates, for a number of years on a goodwill basis but due to the growing demand, extending this provision would tax the OHU's limited resources.

The University Health Service (UHS) provides NHS GP services, with the majority of its patient list being made up of University of Edinburgh students, though our students may also obtain GP services through other NHS Practices.

Health and Safety, OHU, UHS and other relevant parties are to meet to give further consideration on how to develop a suitable OH provision for our students.

12. HEALTH AND WELLBEING

The University obtained the Gold level Healthy Working Lives (HWL) award in May 2010 and will be required to undertake a full reassessment exercise after 3 years. During these 3 years we are required to undertake an annual assessment. The University's latest annual assessment, which took place in August, was very positive. The Healthy Working Lives assessment process is currently being completely reviewed, with a view to more emphasis made on the annual review meetings, and it is hoped that the revised process will be in place by the time the University undertakes this exercise, in May 2013.

Accidents & Incidents

Quarterly period: 01/07/2012 – 30/09/2012
Year to Date Period: 01/10/2011 – 30/09/2012   (Fourth Quarter)

| COLLEGE / GROUP | REPORTABLE (TO HSE) ACCIDENTS / INCIDENTS | | | | | | | | | | | | | | | TOTAL Non-Reportable Accidents / Incidents | | TOTAL ACCIDENTS / INCIDENTS | |
| | Fatality | | Specified Major Injury | | >3 day/ >7 day absence | | Public to Hospital | | Dangerous Occurrences | | Diseases | | TOTAL Reportable Acc / Inc | | | | | |
	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd
Humanities & Social Science	-	-	-	-	-	1	1	9	-	-	-	-	1	10	7	27	8	37
Science & Engineering	-	-	-	-	1	2	1	7	-	-	-	-	2	9	16	97	18	106
Medicine & Veterinary Med.	-	-	1	2	-	2	2	4	-	-	-	-	3	8	21	107	24	115
SASG	-	-	-	-	-	-	-	1	-	-	-	-	-	1	2	4	2	5
Corporate Services Group	-	-	1	3	2	7	2	5	1	1	-	-	6	16	45	168	51	184
ISG	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	6	1	6
Other Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2	3	2	3
UNIVERSITY	**-**	**-**	**2**	**5**	**3**	**12**	**6**	**26**	**1**	**1**	**-**	**-**	**12**	**44**	**94**	**412**	**106**	**456**

* Units noted below taken from organisational hierarchy report 03/08/11 - http://www.ed.ac.uk/schools-departments/governance-strategic-planning/organisational-hierarchy/current-org-hierarchy

SASG: Student and Academic Services Group: Biological Services, Communications and Marketing, Development and Alumni, Governance and Strategic Planning, Student and Academic Services, Student Recruitment and Admissions, Student Services
ISG: Information Services Group: Applications, Digital Curation Centre, EDINA & Data Library, Information Services Corporate, Infrastructure, Library and Collections, User Services Division
CSG: Corporate Services Group: Accommodation Services, Centre for sport and Exercise, Corporate Services Group, Edinburgh Research and Innovation, Edinburgh University Press, Estates and Buildings, Finance, Human Resources, Internal Audit, Procurement Office (inc. Printing Services)
Other: Students Association, Sports Union, Talbot Rice Gallery, Associated Institutions.

NB Reporting requirements for absence from work after an accident changed on 6th April 2012 to >7 day absence

The University of Edinburgh

Central Management Group

12 November 2012

Athena SWAN Bronze University award renewal application

Brief description of the paper

The University's Athena SWAN Bronze award is due for renewal, for which an application must be made by 30 November 2012.

The draft renewal application for the University is attached for CMG's consideration, along with an update on the 2009 action plan and a draft new UoE Athena SWAN Action Plan 2012.

It should be noted that the application is a work in progress: some information has still to be included and further editing is required. The text in italics is part of the form and is retained for clarity.

Action requested

CMG is invited to suggest any amendments or additions to the renewal application and is asked to give general endorsement to the draft. CMG is also asked to approve the Action Plan 2012 at Appendix 2.

Resource implications

Does the paper have resource implications? Yes – the implementation of the Action Plan 2012 has implications for staff resources and in some cases will have financial costs.

Risk Assessment

Does the paper have risk implications? Yes – the institutional Bronze award is a prerequisite for Schools to be able to attain and retain Athena SWAN awards, so it is essential that the University successfully renews the award.

Equality and Diversity

Does the paper have equality and diversity implications? Yes – positive implications. The Athena SWAN awards relate to the advancement of gender equality.

Freedom of information

Can this paper be included in open business? No

For how long must the paper be withheld? Until 1 December 2012.

Originator of the paper

Professor Lorraine Waterhouse, Vice-Principal Equality and Diversity
Eilidh Fraser, Deputy Director of HR

The University of Edinburgh

Central Management Group

12 November 2012

Proposal for 5 new Chairs in the Business School

Brief Description of Paper

The paper outlines the case for the creation of 5 new chairs in the Business School to strengthen distinctiveness, research and leadership.

Action requested

Approval of the chairs so that advertising and a professionally conducted chair search can begin in November.

Resource implications

None immediately. Based on School current performance, the new posts could be sustained for 2-3 years without having to draw off financial reserves. New course developments will ensure long-term sustainability.

Risk assessment

There are no significant risks involved from approving the posts. They should help *reduce* risk by strengthening the research and leadership of the School.

Equality and diversity

There are no direct implications, although we anticipate appointments as part of the new cohort should act to improve the School gender profile.

Freedom of information

Yes

Originator(s) of the paper

Professor Ian Clarke, Head of the Business School
22 October 2012

Professor Dorothy Miell, Vice-Principal, CHSS
6 November 2012

The University of Edinburgh

Central Management Group

Proposal for 5 new Chairs in the Business School

The Business School seeks to create and appoint 5 new chairs across two areas. The School is at a critical point following a period of growth, physical redevelopment, and the appointment of a new Head of School in September 2012. A combination of retirements, departures, and the appointment of a significant number of new faculty has meant that the profile of the School has changed. There is therefore a significant need to strengthen the leadership of the School.

The new chairs are critically important in helping to position the School, build distinctiveness, and strengthen the School's REF submission. Once approved, a professional supported search process will be used to recruit five new professors simultaneously to address an integrated agenda, focussing on two or three key themes. The Principal has agreed that final confirmation of the specific subject areas/themes does not require to be made immediately, and may, to an extent, be contingent on the strengths and synergies of the best candidates identified during the search process.

The posts are critical for several reasons. First, the chairs will help to strengthen the School's REF submission in Business and Management by ensuring appointed candidates have the best possible output profiles, as well as evidence of grant income, engaged research, and strong teaching contributions. Second, while based in subject groups, the key themes will recognise that there are cross-cutting challenges facing organizations and investing in them will allow us to build the distinctiveness of the School. Third, recruiting several chairs in parallel will allow us to ensure that, collectively, the chairs help to develop the School's executive education offering, and construct distinctive engaged taught courses that can be deployed into the School's Masters' programmes, as well as the MScs offered by the University 'Global Academies'. Fourth, appointing strong candidates around the themes will enable the School to construct an agenda for development fundraising (discussions have been taking place with the Head of Development). Fifth, the appointees will work with the School around the themes to support the development of an alliance with 5-6 leading business schools in key regions of the world in order to take forward the School's internationalisation strategy. The posts will, therefore, help align the School and institutional strategies. They have been approved by CHSS.

Investment in the five new chairs and support posts allied to this integrated agenda (including a fundraising officer and a head of internationalisation) is made possible by the School's continued performance and an accrued surplus of £4.5m. They will be further underpinned by proposals for new Masters programmes from the Subject Groups within which they will be based.

Professor Ian Clarke, Head of the Business School

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