

**Agenda for a meeting of the Central Management Group
to be held at 10.30 am on Wednesday, 9 October 2013
in the Raeburn Room, Old College**

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|----------|---|----------|
| 1 | Minute of the meeting held on 21 August 2013 | A |
| 2 | Matters Arising | |
| 3 | Principal's Business | |
| 3.1 | Principal's Communications | |
| 3.2 | Principal's Strategy Group | B |

FOR DISCUSSION

- | | | |
|-----------|--|----------|
| 4 | Finance Director's Update (closed) | C |
| 5 | 2012-2013 Outcome Agreement: self-evaluation (closed) | D |
| 6 | Draft Outcome Agreement 2014-2017 (closed) | E |
| 7 | ECA post-merger self-evaluation (closed) | F |
| 8 | Report from Estates Committee (closed) | G |
| 9 | Taking forward UN PRI | H |
| 10 | IP proposals | I |

FOR INFORMATION/FORMAL APPROVAL

- | | | |
|-----------|--|----------|
| 11 | Internal Audit Follow Up Reviews | J |
| 12 | International undergraduate MBChB tuition fee (closed) | K |
| 13 | Security Advisory Group Annual Report 2012-13 | L |
| 14 | Proposed New IS Division | M |
| 15 | Proposal to establish a Chair of Infectious Disease Pathology | N |
| 16 | Any Other Competent Business | |
| 17 | Date of next meeting | |

Monday, 11 November 2013 at 10.30 am in the Raeburn Room, Old College



Central Management Group

Wednesday, 21 August 2013

MINUTE

Present: The Principal
Senior Vice-Principal Professor M Bownes
Vice-Principal Professor J Haywood
Vice-Principal Professor C Jeffery
Vice-Principal Professor D Miell
Vice-Principal Dr S Rigby
Vice-Principal Professor L Waterhouse
Vice-Principal Professor L Yellowlees
Vice-Principal Mr N A L Paul
University Secretary Ms S Smith
Mr H Edmiston

In attendance: Dr I Conn
Ms S Gupta
Mr P McNaull
Mrs T Slaven
Mr D Waddell
Mr G Turnbull on behalf of Mr Currie
Dr K J Novosel

Apologies: Vice-Principal Professor C Breward
Vice-Principal Professor S Hillier
Vice-Principal Professor D Hounsell
Vice-Principal Professor R Kenway
Vice-Principal Professor J Seckl
Mr A Currie

1 MINUTE OF THE MEETING HELD ON 19 JUNE 2013

Paper A

The Minute of the meeting held on 19 June 2013 was approved as a correct record.

2 Principal's Business

2.1 Principal's Communications

The Principal reported on the following: the undergraduate position for 2013/2014 and that the University had not entered clearing in any area; the NSS results; the success of the University's involvement in the Edinburgh Festivals and the work of EUSA and E&B staff in particular; the winner of the first James Tait Black award for Drama; issues around hours to be notified staff; and the continuing success of MOOCs.

FOR DISCUSSION

3 FINANCE DIRECTOR'S UPDATE (CLOSED)

Paper B

CMG noted the successful completion of the Financial Settlement in respect of the Holyrood development, the on-going work around PRAM and the need to ensure that

all areas across the University were comfortable with the approach, and the satisfactory outcome of the audit on the administration arrangements for research grants.

4 UNIVERSITY'S PEOPLE STRATEGY Paper C

The production of this Strategy developed to take forward the people agenda within the Strategic Plan was welcomed and the Strategy was endorsed subject to inclusion of a reference the Beltane initiative and the production of an easy to access short summary of the key principles in the Strategy. It was noted that a detailed implementation plan would be developed and monitored by the Staff Committee.

5 REPORT FROM STAFF COMMITTEE (CLOSED) Paper D

CMG noted the report and approved the proposed changes to the Maternity Policy which would now be subject to consultation with the Combined Joint Consultative and Negotiation Committee to seek its approval prior to implementation.

6 VALUE FOR MONEY REPORT Paper E

The range of value for money initiatives which had been taken forward in 2012/2013 was commended and CMG approved the report for transmission to the Audit Committee.

7 SOCIALLY RESPONSIBLE INVESTMENT POLICY (CLOSED) Paper F

CMG noted the background to this issue and the agreed process for CMG to consider such cases in accordance with the current Socially Responsible Investment policy. After detailed debate it was agreed that further information should be provided to CMG: due diligence on the investment cited; information from ERI re the response to an external grant to take forward research in this area; and the possible impact on fundraising activities. It was anticipated that a paper would be circulated to CMG to enable CMG to make a comment to Court on the appropriate way forward.

Post meeting note: Following circulation of additional information (electronic meeting concluded 6 September 2013) CMG agreed that the University should disinvest from this company and that this should now be reported to the next meeting of Court on 16 September 2013.

8 NSS RESULTS

The outcome of the NSS survey was noted by CMG with overall a fall of 1% from the position last year: detailed information was now available on the staff student survey wiki. A programme of visits to Schools was underway to discuss the best approach for each area. CMG further noted the wider work in regards to the student experience and the publication of a leaflet setting out the five main strands of work.

9 STAFF DATA (CLOSED) Paper G

CMG noted and endorsed the revised remit of the Post Review Group and commended the attached staff data which would be produced on a quarterly basis and utilised to monitor and manage staffing trends and resources.

FOR INFORMATION/FORMAL APPROVAL

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|-----------|---|----------------|
| 10 | ESCA EDINBURGH STUDENT CHARITIES APPEAL | Paper H |
| | <p>CMG noted and welcomed the report.</p> | |
| 11 | EUSA VOLUNTEERING ANNUAL REPORT | Paper I |
| | <p>CMG noted and welcomed the report.</p> | |
| 12 | HEALTH AND SAFETY REPORT | Paper J |
| | <p>CMG noted the 4 reportable incidents to the Enforcing Authorities, endorsed the need to ensure that appropriate refresher training was in place and noted the near misses and the items being taken forward by the Health and Safety Committee.</p> | |
| 13 | SEAG REPORT | Paper K |
| | <p>The report from SEAG was noted. CMG further noted that Mr David Gorman had now taken up the post of Director of Social Responsibility and Sustainability and was providing leadership in taking forward the development of the new Department for Social Responsibility and Sustainability.</p> | |
| 14 | SPACE MANAGEMENT REPORT | Paper L |
| | <p>CMG approved the 5% increase in the rates for centrally bookable space with effect from 1 August 2013 for the academic years 2013/2014 and 2014/2015; the increase reflected rising utility and other costs. The other items in the report were noted.</p> | |
| 15 | PARKING CHARGES | Paper M |
| | <p>CMG fully endorsed the approach to parking charges as set out in the paper recognising the need to cover maintenance and other costs and approved the proposals and increase in charges with effect from 1 January 2014 subject to revision of the approach at Easter Bush. In respect of Easter Bush it was agreed that there should be a phased approach to the introduction of charging with no immediate change and a move towards the rates being the same as King's Buildings in 2015.</p> | |
| 16 | FEE PROPOSALS (CLOSED) | Paper N |
| | <p>CMG approved the proposed fees for the three post graduate programmes in the College of Humanities and Social Science as set out in the paper with effect from the 2013/2014 academic year.</p> | |
| 17 | SCOTTISH ASSOCIATION FOR MARINE SCIENCE – ASSOCIATED INSTITUTE OF THE UNIVERSITY OF EDINBURGH | Paper O |
| | <p>There was full support and approval for the Scottish Association for Marine Science being formally recognised as an Associate Institute of the University.</p> | |
| 18 | PROPOSAL TO ALTER THE NAME OF REGIUS CHAIR OF SANSKRIT LANGUAGE, LITERATURE, AND PHILOSOPHY AND COMPARATIVE PHILOLOGY | Paper P |
| | <p>CMG approved and welcomed the proposed change of name of the Regius Chair of</p> | |

Sanskrit Language, Literature, and Philosophy and Comparative Philology to the
Regius Chair of South Asian Language, Culture and Society.

19 PROPOSAL TO ESTABLISH A CHAIR OF APPLIED HYDRODYNAMICS Paper Q

CMG approved the proposal to establish a new Chair.

20 DATE OF NEXT MEETING

Wednesday, 9 October 2013 at 10.30 am, in the Raeburn Room, Old College.

9 October 2013

**Principal's Strategy Group Meeting
26 August 2013**

B

Amongst the items discussed were:

1. NSS Results 2013

Vice-Principal Dr Rigby introduced the results and PSG agreed that they represented a not unexpected levelling out of the University's position. There are some positive signs with Assessment and Feedback up 2% and Learning Resources up by 4%. Our overall satisfaction levels have dropped by just 1% to 82% with some positive, and not so positive, results across the twenty two Schools.

2. Resource Allocation Model Update

Vice-Principal Professor Seckl summarised the current position with regard to the introduction of a new resource allocation model and PSG discussed the issues.

3. 2014-2015 Outcome Agreements

PSG considered the new three year approach to Outcome Agreements and how this might fit with broader University activities and strategy taking place in a similar timeframe. There is clear benefit in aligning activity and targets where there is a good fit, while continuing to promote University themes, such as internationalisation, that sit outside the Outcome Agreement framework.

4. Anniversary and Special Events

Senior Vice-Principal Professor Bownes highlighted the need for greater connectivity between Schools and Development and Alumni in order to maximise potential fundraising opportunities around milestone or anniversary events.

5. Admissions and Accommodation Levels

Deputy Secretary, Strategic Planning has been asked to look into the University's process for modelling and predicting accommodation demand.

The University of Edinburgh

Central Management Group

9 October 2013

Finance Director's Update

C

Brief description of the paper

The paper summarises the recent activities on significant projects or activities which have financial implications for the University.

Action requested

The Group is asked to note the content and comment or raise questions where necessary.

Resource implications

Does the paper have resource implications? There are no specific requests for resource.

Risk assessment

Does the paper include a risk assessment? Yes, as necessary.

Equality and diversity

Has due consideration been given to the equality impact of this paper? Specific issues of equality and diversity are not relevant, as the content focusses primarily on financial strategy and/or financial project considerations.

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
1st October 2013

To be presented by

Mr P McNaull
Director of Finance

The University of Edinburgh

Central Management Group

9 October 2013

Outcome Agreement 2012-13: Draft self-evaluation report

Brief description of the paper

This paper sets out the draft self-evaluation report of progress made during 2012-13 against the Outcome Agreement for 2012-13. The paper reports the achievements and progress made to the Scottish Funding Council. Achievements include: the expansion of our early years initiative work with primary schools on widening access, attracting 361 entrants eligible for the Lothians Equal Access Programme for Schools, creating 35 new companies and implementing the personal tutor scheme.

Action requested

For comment and endorsement.

Resource implications

Progress will be used by the SFC to assess whether there is underachievement against areas which are not governed by specific funding streams and conditions of grant, such as the new additional investment schemes for funded places. In cases of under-delivery, there is the potential for future funding to be reduced or for financial penalties to be applied. There are no such cases of under-delivery within the University's 2012-13 self-evaluation report.

Risk assessment

The risks inherent in Outcome Agreements are addressed in the University Risk Register.

Equality and diversity

There is a specific equality and diversity outcome in the University's 2012-13 Outcome Agreement. Progress against this outcome has been provided.

Freedom of information

This paper should remain closed until University Court has approved the final report.

Any other relevant information

To be presented by Tracey Slaven, Deputy Secretary, Strategic Planning.

Originator of the paper

Deborah Cook, Senior Strategic Planner
Tracey Slaven, Deputy Secretary, Strategic Planning
Governance and Strategic Planning, 30 September 2013

The University of Edinburgh

Central Management Group

9 October 2013

Draft Outcome Agreement 2014-17

E

Brief description of the paper

This paper sets out the first draft of the University's Outcome Agreement with the Scottish Funding Council for 2014-2017. This sets out what the University will deliver in return for SFC funding, in alignment with the University's Strategic Plan. The draft Outcome Agreement seeks to demonstrate that the University is a research pioneer, with a global outlook, inclusive and accessible, facilitates flexible learner journeys through distance learning and life-long learning and is sustainable – financially, environmentally and socially. Further work is required on national measures. CMG will also be invited to consider/endorse a further revised draft in November, but your initial views are sought now, so that you can consider alongside the 2012-13 self-evaluation report.

Action requested

For comment.

Resource implications

Having a signed agreement is a requirement of future SFC funding. Where future ambitions require additional funding for 2015-17 we ask that these are clearly marked as the future funding settlement is not yet confirmed.

Risk assessment

The risks inherent in outcome agreements are addressed in the University Risk Register.

Equality and diversity

Equality and diversity is a horizontal theme which runs across all outcomes and embedded throughout. Equality of opportunity is also promoted through specific actions in the draft Outcome Agreement.

Freedom of information

This paper should remain closed until Court has approved the final Outcome Agreement.

Any other relevant information

To be presented by Tracey Slaven, Deputy Secretary, Strategic Planning.

Originator of the paper

Deborah Cook, Senior Strategic Planner
Tracey Slaven, Deputy Secretary, Strategic Planning
Governance and Strategic Planning, 30 September 2013

9 October 2013

F

ECA Post Merger Evaluation draft report

Brief description of the paper

Two years after merger, is a timely juncture to consider progress made since the merger with ECA. As part of the terms and conditions associated with merger funding, the SFC also requires the University to produce a post-merger evaluation report by 31 October 2013. In summary the merger has been a clear success with new academic developments, research activity and collaborations underway or planned. This post-merger evaluation report draws on extensive review material created throughout the period, reflects on views from trade union representatives and includes fresh updates against the aims and objectives of merger, as well as operational aspects. There are some drafting notes in the text which will be removed in the final version, but your views are sought now to make the deadline.

Action requested

CMG is asked to:

- 1) Agree that the draft ECA merger report should progress, with any appropriate amendments, for consideration by Court.
- 2) Provide guidance on the presentation of Estates material on page 28.
- 3) Identify any areas of the report which would benefit from additional commentary or evidence. Outputs from a meeting with ECA students in mid-October will be added prior to the report going to Court.
- 4) Note that SFC will also conduct a review visit in January 2014.

Resource implications

None.

Risk assessment

The paper does not include a risk analysis.

Equality and diversity

The paper notes progress made against the merger objective to “realise a more diverse student body with a richer extra-curricular experience”.

Freedom of information

This paper should remain closed until the Post Merger Evaluation has been finalised and approved by the University’s Court. Parts relating to finance and estates should remain closed under the exemption relating to the effective conduct of public affairs.

Any other relevant information

To be presented by Tracey Slaven, Deputy Secretary, Strategic Planning.

Originator of the paper

Deborah Cook, Senior Strategic Planner

Lynda Hutchinson, Senior Strategic Planner

Tracey Slaven, Deputy Secretary, Strategic Planning

Governance and Strategic Planning, 30 September 2013



The University of Edinburgh

Central Management Group

9 October 2013

Report from Estates Committee held on 11 September 2013

Brief description of the paper

The paper reports on key discussions and recommendations made at the meeting of EC, held on 11 September 2013.

Action requested

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

Resource implications

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

Risk Assessment

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

General:

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

Capital/Revenue commitments – mitigated by tracking via the Group Estate Development Programme and regular updating in consultation with Finance and reporting to EC, CMG and FGPC, through to Court.

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

Equality and Diversity

Has due consideration been given to the equality impact of this paper? None of the proposals in this paper raise issues beyond those that are routinely handled in all estates developments. It should be noted that EC papers contain, where applicable, separate E&D assessments.

Any other relevant information

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

CMG is reminded that copies of the EC papers and the minutes of the meeting are available to CMG members on request from Angela Lewthwaite (Tel: 651 4384, email: angela.lewthwaite@ed.ac.uk) or online at: <https://www.wiki.ed.ac.uk/display/UCC/Estates+Committee>

Freedom of information

Has due consideration been given to the equality impact of this paper. The paper is **closed**.

Its disclosure would substantially prejudice the commercial interests of any person or organisation
All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Paul Cruickshank - Estate Programme Administrator
Angela Lewthwaite - Secretary to Estates Committee
1 October 2013



The University of Edinburgh

Central Management Group

9 October 2013

**Socially Responsible Investment-
Taking Forward the UN Principles for Responsible Investment**

Brief description of the Paper

As part of the plan for implementing the UN Principles of Responsible Investment (UNPRI) the University agreed a number of actions. The purpose of this paper is to update CMG on the process to implement these actions. Previous relevant papers include updates from the Investment Committee to the Finance and General Purposes Committee (9th November 2012), and updates to CMG (6th March 2013) and the Investment Committee (November 2012, February 2013, May, 2013).

Action Requested

CMG is invited to

- comment on the proposed process as set out in the paper and particularly the range of interests to be consulted in section 4 and the proposed timelines contained in Figure 1.
- endorse the establishment of a short-life working group tasked to operationalize the UNPRI as set out in section 5.
- note the potential range of actions that will need to be addressed as set out in section 6 and the potential mechanisms for engagement.

Resource Implications

Does the paper have resource implications? Yes, seeking the establishment of a short-life working group.

Risk Assessment

Does the paper include a risk analysis? No but the future design of the PRI implementation process will consider organisational, financial, sustainability and reputational risks in due course.

Equality and Diversity

No assessment required, as the consideration of equality and diversity issues are inherent in the nature of the consideration of socially responsible investment.

Freedom of Information

Can this paper be included in open business? Yes

Originator of the Paper

Dave Gorman, Director of Social Responsibility and Sustainability
26 September 2013

Socially Responsible Investment - Taking Forward the UN Principles for Responsible Investment

1. Background

As part of its commitment to signing up to the UNPRI the University agreed to the actions outlined at Appendix A.

By signing the UNPRI declaration in December 2012 the University became the first HE institution in Europe (and only the second HE institution globally) to take such a step and demonstrated significant commitment to its Social Responsibility and Sustainability principles¹. Previous relevant papers include updates from the Investment Committee to the Finance and General Purposes Committee (9th November 2012), and updates to CMG (6th March 2013) and the Investment Committee (June 2013)

There is now a need to operationalize the principles both to maintain momentum and prepare for forthcoming reporting requirements, but more importantly to begin to inform investment decisions within the endowment funds. A key task is to update the University's Socially Responsible Investment Policy, first written in 2003 and reviewed in 2006, in addition to embedding the principles into other areas of university life. This paper sets out how this will be done.

There are important roles for the University Court in setting out the strategic investment framework for the Investment Committee to work within, and for the Investment Committee itself to operate against that mandate, and advise on the implications of adopting revised guidelines.

This paper recaps on the requirements of the UNPRI, progress to date and makes proposals for consultation, governance and overall timelines for agreement, as well as indicating the range of potential matters that need review.

A copy of the existing Socially Responsible Investment (SRI) Policy is available [here](#) and the UNPRI itself is available [here](#). Appendix B contains an activity log of work undertaken to-date.

2. What Do the UN Principles for Responsible Investment Require?

The UNPRI is about embedding socially responsible investment thinking within the processes of investment policy, selection and management. As such there are a number of key principles that must be met in order to satisfy UNPRI requirements. Note that becoming a signatory to the UNPRI does not commit an organisation to a set of ethical principles per se, although it is wise to consider the investment decisions made in light of the overall values, ethos and aims of the University.

3. Progress To Date

The Finance department has been actively considering the actions required to deliver the UNPRI and a paper with an agreed short-term implementation plan was agreed by CMG in March 2013. Given the appointment of the new Director for SRS it is timely to consider and propose further actions to develop the agreed approach.

4. Consultation and Scope

It is clear that many different aspects, issues and concerns must be consulted and considered before a revised policy is agreed. Those interests should include senior management and independent members of Court, Committees formally responsible for a range of fund-raising and income generation, the

¹ See: <http://www.ed.ac.uk/schools-departments/governance-strategic-planning/strategic-planning/strategic-plan-2012-16> and http://www.ed.ac.uk/polopoly_fs/1.47611!fileManager/UoE-SRS-Strategy.pdf

Investment Committee itself and the University's fund managers, interests from Colleges and Support Groups, staff, students and alumni.

In addition, it would be prudent to continue to gather evidence as to how outside institutions, both within and outside the HEI sector, have prepared socially responsible investment policies as well as continuing to consult informally with those with particular investment, social responsibility or sustainability expertise.

A proposed process and timeline for governing the review and implementation of the UNPRI is set out in Figure 1.

Figure 1- Proposed Process and Timelines

	Phase 1- Agree Approach and Establish Mechanisms
Agreement of overall process by Central Management Group	9 th October 2013
SEAG informal consultation	22 nd October 2013
Establishment of short life working group	During October/November
Consultation with key interests and stakeholders	October to December 2013
Briefing to Investment Committee and discussion	November 2013
	Phase 2- Reviewing Feedback and Formalising Options and Decisions
Reviewing feedback from consultation process	January/February 2014
Identifying options and reviewing	February/March 2014
Development of revised policy and associated work programme	March/April 2014
	Phase 3- Formal Agreement of Revised Approach
CMG approval	21 st May 2014
Investment Committee approval	27 th May 2014
F&GP Committee approval	9 th June 2014
Court approval	23 rd June 2014

The scope of the UNPRI is restricted to the University's endowment funds but clearly any principles and investment stance adopted for the endowment funds will also have potential implications for, and needs to be considered by, a range of other activities. These may include university research fundraising and income generation, pension funds management, general fund raising and alumni activities. Governance processes are already in existence for each of these areas, and arrangements will be made to ensure dialogue and discussion prior to the finalisation of a revised policy.

A number of choices for the consultation process exist and will be finalised via the working group, but these could include a consultation paper approach, workshops and seminars, presentations and 1:1 sessions as required. CMG is invited to comment on the proposed process as set out in the paper and particularly the range of interests to be consulted as set out above and the proposed timelines contained in Figure 1. It is proposed to establish a small steering group consisting of the Directors of Corporate Services, SRS and Finance to inform and guide the process.

5. Establishment of a Working Group

In order to ensure that the full range of views and issues are considered, it is proposed to establish a short life working group to advise and support the package of work required for operationalization of the principles. Such a group would be chaired by the Director of SRS and include the following representation:

- Finance department
- Senior representative from each of the Colleges

- Representation from SASG including ethical fund raising and alumni activities
- A representative from the research ethics community
- Staff representative
- Student representative

The purpose of the group would be to support the development of the work, advise on existing governance and frameworks, receive and review the results of the consultation, highlight the implications of policy choices and ensure that the revised policy was well rounded and appropriate. The SRS department will act as the core secretariat for the group, supported by the Finance department. CMG is invited to approve the establishment of a short-life working group tasked to operationalize the UNPRI as set out above .

6. Range of Issues and Outputs

The process outlined above would need to consider a range of issues and develop policies to ensure the University meets the requirements of the UNPRI in a financially sustainable, socially responsible and organisationally effective manner.

There are a number of specific tasks to be completed as part of the process, including the review of the existing SRI policy. However a broader range of issues would also need to be considered.

The issues to be considered would include the range of interventions and investment choices that could be made; the SRS information needed to advise and support the investment process; the implications for wider income generation and fund management activities; the central values, ethos and strategic objectives of the University and their link to investment concerns; the most effective means to ensure that key stakeholders and interests have their proper place in the process; the actions required to ensure effective and transparent reporting to the UN itself, senior managers and Court, staff, students and the wider community.

In addition to the production of a revised SRI policy for approval, the process may need to generate a range of specific outcomes including:-

- A document setting out the long-term investment view, principles and investment stance of the university with regard to SRS principles
- Revised guidelines on the appointment of investment managers
- Revised guidance for the Investment Committee as required
- Principles and processes for on-going engagement
- Processes to ensure timely review of the activities of the investment managers on behalf of the University
- Consideration, updating and amendment as required of governance and reporting activities
- Consideration of the means by which the University secures advice, including consideration of advisory committees, fora or other processes.

CMG is invited to note the potential range of actions that will need to be addressed as set out above and the potential mechanisms for engagement

7. Conclusions

The University continues to demonstrate leadership in this field by adopting the UNPRI. It is now timely to operationalize that commitment, and to do so in a balanced, sustainable and engaging manner which secures as much buy in as possible to the eventual outcome.

8. Recommendations

The CMG is asked to comment on the proposed process as set out in the paper and particularly the range of interests to be consulted in section 4 and the proposed timelines contained in Figure 1.

The CMG is asked to approve the establishment of a short-life working group tasked to operationalize the UNPRI as set out in section 5.

The CMG is invited to note the potential range of actions that will need to be addressed as set out in section 6 and the potential mechanisms for engagement.

Appendix A – Draft Implementation Tasks UNPRI reported to Investment Committee, May 2013

UNPRI Agreed Action	Initial Tasks
1. Pursue policy of constructive engagement with companies on issues which are consistent with the fiduciary responsibilities under UNPRI and work with its fund managers to achieve this.	<ul style="list-style-type: none"> • Develop and agree voting and engagement policy for interacting with fund managers • Draw up guidelines for Investment Committee to follow when working with external managers in line with UN PRI guidance on manager selection, appointment and monitoring. http://intranet.unpri.org/resources/files/Aligning_Expectations_2013.pdf http://www.frc.org.uk/Our-Work/Publications/Corporate-Governance/The-UK-Stewardship-Code.aspx • Agree policy for engagement with Students on investment matters
2. Work to identify areas where the UNPRI can be integrated with existing practices.	<ul style="list-style-type: none"> • Work with newly appointed Director of Social Responsibility to embed UNPRI principles
3. Current Responsible Investment policy to be reviewed to ensure it is in-line with the UNPRI.	<ul style="list-style-type: none"> • Review existing policy in line with methodology set out in paper above
4. Engage with University fund managers to develop responsible investment and work to promote high standards of corporate governance, and voting at AGMs.	<ul style="list-style-type: none"> • Develop and agree voting and engagement policy for interacting with fund managers to identify if an investment asset is failing to meet best practice in environmental, social and governance issues and agree how to influence change.
5. Report on progress on adopting the principles to the UNPRI on an annual basis.	<ul style="list-style-type: none"> • This will be driven by the UNPRI reporting requirements from Autumn2014 onwards.
6. Report on activities and progress of UNPRI and promote the principles of responsible investment within the Higher Education Sector in the UK.	<ul style="list-style-type: none"> • Many signatories report progress on UNPRI on a regular basis e.g. Appendix B - UN PRI Activity Report (January to June 2013.) It is proposed to report this to Investment Committee/F&GPC every 6 months. This will build evidence needed to report to UN PRI when the first returns are due in the Autumn 2014. • Promote academic network to staff and engagement policy to students • Promote UN PRI via website

<p>7. Work to incorporate ESG issues into investment analysis and decision-making processes</p>	<ul style="list-style-type: none"> e.g. along the lines of the USS Responsible Investment Private Equity Toolkit at http://www.uss.co.uk/Documents/USS%20PE%20internal%20guidance%202010.pdf
<p>8. Seek appropriate disclosures on ESG issues by the entities in which we invest</p>	<ul style="list-style-type: none"> Agree how this information should be reported by fund managers to Investment Committee

Appendix B – Activity Log UNPRI (January- June 2013) reported to Investment Committee, May 2013.

Activity	Description	UNPRI Strategy Reference
Signatory of UNPRI	Court approved membership in December 2012, based on recommendation from F&GCP in October 2012. In January 2013 the University became the first in Europe and the UK to sign up its endowment funds.	6
Fund Manager engagement	The University wrote to its investment fund managers to remind them of the University's Socially Responsible Investment policy and in particular the University's requirement not to be invested in tobacco.	1
People & Planet Green League 2013 submission ² .	Previously the University has not scored highly in the ethical investment section of the return although overall the University achieved a score of 40.5 which saw it ranked 42 out of 145 institutions. Based on the provisional marks received the University achieved full marks for the ethical investment section (3 points). Overall the University achieved 29 points in the policy section above our initial target of 27	6
UN PRI Signatory Meeting	UN PRI meeting which presented updates on recent publications and collaborative engagements and discussion on the financial implications of carbon disclosure in Europe	6
Collaborative Working	Dr Andreas Hoepner invited to Investment Committee meeting to discuss the St Andrews approach and areas for joint working	6
Raising Student Awareness	UN PRI provided some background materials which have been passed to EUSA along with an invite on how they wish engage with the University on the UN PRI.	6
Raising staff awareness	An article for the University Bulletin staff news has been drafted by Communications and Marketing highlighting the University's commitment and will be in Autumn issue of the Bulletin.	6
Implementation Strategy	Draft UNPRI implementation tasks to Investment Committee.	1-8
Wiki	Wiki pages to be upgraded with information on the UNPRI etc.	6

² The People and Planet Green League ranks UK universities by environmental and ethical performance and the league table is compiled annually by the students campaigning network, People and Planet.

The University of Edinburgh

Central Management Group

9 October 2013

Policy on Exploitation of Intellectual Property: Principles and Processes

Brief description of the paper

This paper includes a draft Policy on Exploitation of Intellectual Property; Principles and Processes, and sets out the purpose and scope of such a policy. It also explains the discussions and consultation which have taken place in order to prepare the draft policy.

Action requested

CMG is asked to note formally, to endorse and to recommend approval of the policy by Court. CMG is also invited to suggest ways in which the policy may be best communicated throughout the University.

Resource implications

The paper has no resource implications.

Risk assessment

The paper does not include a risk analysis. There are no risks associated with the proposals.

Equality and diversity

Consideration has been given to the equality impact of the paper. The paper applies to all employees in the University equally.

Freedom of information

This paper can be included in open business.

Any other relevant information

This paper will be presented by Nora Kellock.

Originator of the paper

Nora A Kellock, Head of Legal, Edinburgh Research & Innovation Ltd.

Policy on Exploitation of Intellectual Property: Principles and Processes

Introduction

This paper includes a draft “*Policy on Exploitation of Intellectual Property: Principles and Processes*”, requests the University’s Central Management Group (CMG) to note formally this policy, endorse it and recommend it for approval by the University Court.

The Policy

Employees of the University produce a tremendous amount of intellectual property (IP) in the course of their research and scholarship. It is important that this IP is made widely available for the public good, and where it has significant potential for commercial exploitation, such exploitation is attended to in an efficient and transparent manner for the benefit of the University and the employee who created it. These exploitation activities (often referred to as ‘technology transfer’) are also important for stimulating innovation and benefitting the local economy. Finally it is important that sponsors of research and government can see that the University has adopted proper principles and processes for technology transfer.

This policy applies to IP capable of industrial or commercial application. It does not apply to IP in teaching materials, books, learned articles and artistic or musical works.

The University’s wholly owned subsidiary, Edinburgh Research and Innovation Ltd (ERI), is responsible for the University’s commercialisation activities and prepared the draft policy.

This policy supersedes and replaces the University’s current arrangements for these matters set out in the University’s Staff Administration Manual, Chapter 5.7, dated February 1990, sections 3 (IPR) and 4 (Royalties). Essential elements of these two sections including in particular the royalty sharing arrangements, have not changed and the policy seeks only to provide additional guidance and advice in relation to the main principles. Since the original policy was set out in 1990, practices in university technology transfer arrangements have changed so that now an important part of the University’s technology transfer arrangements involves the creation of spin-out companies. This policy covers the formation of such companies and applies the same principles to this activity as apply in relation to the licensing of IP to existing companies.

This policy has been the subject of extensive discussion and consultation with the University and College Union. Its terms have been agreed with the Union. Such discussions were greatly assisted by the involvement of Eilidh Fraser of the University’s Human Resources Department.

Communication of the Policy

It is proposed that the policy be available on ERI’s website and be signposted from the University’s Human Resources website. At the request of the Union, ERI will also provide associated guidance for researchers on the exploitation of their IP including examples of exploitation which has taken place previously and flowcharts explaining the processes in a straightforward manner. The new policy will also be notified in Staff News and an email sent to all employees advising of this.

Conclusion

The creation of a clear and transparent policy will assist the University in achieving its strategic goal of excellence in innovation by stimulating innovation and benefiting the local economy. It will assist employees of the University to turn their ideas into commercial reality whether by licensing these to existing businesses or creating new companies.

Actions

CMG is invited to note formally, endorse and recommend approval of the policy, to the University Court.

CMG is also invited to make suggestions as to how the policy may be more widely communicated to employees of the University.

Paper prepared by

Nora A Kellock
Head of Legal, Edinburgh Research & Innovation Ltd
2nd October 2013

Policy on Exploitation of Intellectual Property: Principles and Processes

1. POLICY PURPOSE

Employees of the University of Edinburgh produce a tremendous amount of intellectual property (IP) in the course of their research and scholarship. Some of this IP makes a valuable contribution to the body of knowledge relating to a wide range of disciplines, but has little commercial value. Other IP has significant potential for commercial exploitation which can be of financial benefit to both the University and the employee concerned. In addition, sponsors of research and government expect the University to make arrangements for the exploitation of IP. The purpose of this policy document is to provide guidance and sources of advice in order to encourage the early identification of such IP and successful exploitation for the mutual benefit of all parties.

2. OBJECTIVES

The objectives of this policy are:

- To set out basic principles that govern the University of Edinburgh's approach to potentially exploitable IP arising from research and scholarship by University employees.
- To help University employees identify potentially exploitable IP at an early stage and indicate sources of advice and guidance.
- To set out the process to be followed in order to implement effective exploitation of potentially exploitable IP for the benefit of the University and its employees.
- To ensure that the rights and expectations of sponsors of research are protected and met.

This policy applies to IP capable of industrial or commercial application. It does not apply to IP in teaching materials, books, learned articles and artistic and musical works or other works excluded from the definition of Intellectual Property (see 'Terminology' below).

3. PRINCIPLES

- 3.1. The University's fundamental position is that research should be published openly and widely, in order to make research findings freely available to the public. For most research, where there is no potentially exploitable IP and no other barrier to publication, research findings should be published as normal and with minimum delay. However, where there is potentially exploitable IP, publication and dissemination may be deferred for a short time pending decisions on patent protection and exploitation. This may delay publication, including in written abstract or oral forms, but will not prevent it once the appropriate protection arrangements have been made. Such protection can, if necessary, be arranged in a few weeks. Nothing in this guidance is intended to detract from this statement of the University's fundamental position.
- 3.2. The University supports the Research Councils UK Common Principles on Data Policy and nothing in this policy is intended to contradict those Principles.
- 3.3. Under UK law, IP generated by employees of the University in the course of their employment is the property of the University unless otherwise agreed.

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- 3.4. IP created by employees outside the course of their employment belongs to the employee concerned except where University resources have been used to create the IP. Where University resources have been used to create the IP (other than incidentally) the employee will be deemed to have agreed to transfer such IP to the University.
- 3.5. The University considers potentially exploitable IP to be a valuable asset that should be protected and exploited in the most effective way to ensure that it reaches the market place and the optimal financial return is enjoyed by the University and its employees.
- 3.6. Throughout the exploitation process, due recognition will be given to the Inventors (see 'Terminology' below).
- 3.7. All potentially exploitable IP should be identified by the Inventor and disclosed to the University as early as possible in order to avoid loss of patent protection due to the IP being publicly available before a patent application is filed.
- 3.8. The University is responsible for arranging and paying for the protection of IP.
- 3.9. The financial benefit from the exploitation of IP after deduction of the costs of protection will be shared between the University corporate, the Schools from which the IP originates and the Inventor.
- 3.10. The terms and conditions of the sponsors of the research giving rise to the IP must be complied with.
- 3.11. Conflict of interest, whether actual, potential or perceived, is a serious matter which can arise frequently in exploitation matters. The University's Policy on Conflict of Interest should be strictly adhered to for the protection of the individuals and the University's reputation and credibility.
- 3.12. The University, as owner of the IP, is responsible for determining the exploitation route and the related terms and conditions in consultation with the Inventor.
- 3.13. Tangible research materials embodying potentially exploitable IP and created in the course of research activities should only be transferred outside the University under the terms of a material transfer arrangement negotiated in accordance with University guidance.
- 3.14. IP created by a student who is not an employee of the University belongs to the student concerned. Students will be asked to assign IP to the University where this is necessary to allow the University to comply with the conditions of the sponsors of the research and/or exploit the IP. In such cases students will be offered revenue-sharing arrangements generally in line with those offered to University employees (see para 5.2.5 below) and are encouraged to seek independent advice.
- 3.15. Licensing
 - 3.15.1. Licensing aims to ensure effective exploitation of IP. IP will normally be licensed, not assigned, to third parties (including new companies formed to exploit the IP). Assignations of IP may be granted where this is the most effective way of exploiting the IP subject to adequate safeguards.
 - 3.15.2. Licence arrangements will be restricted to specific, existing elements of IP which can be readily identified. 'Pipeline' agreements giving third parties rights to IP to be developed in the future will not normally be entered into.

Options to acquire rights to future IP and improvements may be agreed subject to additional payments being made.

- 3.15.3. In order to ensure maximum exposure of IP to the market place, licences will generally be non-exclusive and relate to specific fields of application and/or geographical territories. Exclusive arrangements may be made where this optimises exploitation of the IP, for all applications, on a world-wide basis.
- 3.15.4. Licensing arrangements must always provide for the University's future use of IP for its core activities of academic research and assist the University's wider national and international objectives as well as enriching society¹.
- 3.15.5. The University encourages its employees who wish to establish start-up or spin-out companies based in whole or in part on the University's IP, to seek licences to such IP.
- 3.15.6. Both the University and its employees are expected to apply reasonable judgements and to act reasonably in relation to the identification of IP and its exploitation.

4. TERMINOLOGY

For the purposes of this policy, the following terms are defined below.

Distributable Payments	Payments (including, but not limited to, royalties) and/or shares in spin-out companies received by the University in exchange for rights to IP after deduction of costs incurred by the University in connection with protecting and exploiting the IP concerned.
ERI	Edinburgh Research and Innovation Limited and its employees and advisers within Colleges and Schools with a professional affiliation to ERI.
Exploitation	Action taken to ensure that appropriate Inventions and IP reach the market place and the optimal financial return is enjoyed by the University and its employees. Following establishment of the appropriate means of protection (e.g. patenting), exploitation will typically involve licensing, company formation or other technology transfer measure.
Intellectual Property (IP)	Inventions, computer software, data, databases, technical know-how and trade secrets. Large banks of new data collected in the course of research are also covered here only if they may reasonably be considered to have potential for exploitation. This policy does not include IP in teaching materials, books or learned articles, artistic or musical works, sound recordings, films or broadcasts, works protected by design right, trademarks (all of which are regarded in this Policy as 'creative works') except to the extent that any creative works form part of an Invention.
Invention	A novel or useful idea relating to processes, machines, manufacturing or compositions of matter. It would include such things as new or improved devices, systems, computer software, circuits, chemical

¹ The current plan can be found at
[http://www.sasg.ed.ac.uk/gasp/strategic_planning/201216/Strategic_Plan201216.pdf]

compounds, biomedical materials, mixtures etc. In lay terms, it is probable that an invention has been made when something new or useful has been conceived or developed, or when unusual, unexpected or non-obvious results have been obtained and can be exploited. Inventions will most commonly be developed through science, engineering and clinical research, but can arise from any area of academic research or scholarship.

Inventor	An employee who makes an Invention or creates IP
Potentially Exploitable IP	Any Invention or IP with potential for commercial exploitation and which might be worth protecting (e.g. by patenting).

5. ADVICE AND SUPPORT

- 5.1. ERI and affiliated employees specifically appointed for these purposes in Colleges and Schools are experienced in the protection and exploitation of IP and provide services to the University and its employees on IP and related issues. These services include financial, legal and administrative advice and support regarding IP issues; identification of Potentially Exploitable IP; and the legal and practical issues relating to patenting, copyright protection, licensing and company formation. These services include both funding and administering the filing of patent applications on behalf of the University and its employees. Information about ERI and contact details are available at www.research-innovation.ed.ac.uk.

6. PROCESS

6.1. Disclosure and Assessment of Inventions

- 6.1.1. All University employees are expected to apply reasonable judgement as to whether an Invention or IP is potentially exploitable, and should, therefore, be disclosed to the University (through ERI or through specifically recognised affiliated employees in Schools or Colleges).
- 6.1.2. Employees of the University may not use University resources including facilities, employees, equipment or confidential information for personal gain including making Inventions or IP which do not belong to the University. If University resources have been used to create Inventions or IP (other than incidentally) the employee will be deemed to have agreed to transfer such Inventions or IP to the University.
- 6.1.3. Disclosure of Inventions to ERI should be as early as possible, but normally at least four weeks prior to any planned or proposed disclosure to any third party, including at meetings, conferences, etc, to enable suitable steps to be taken to assess and protect such Inventions or IP prior to disclosure since it is not possible to apply for a patent after disclosure. A disclosure form is available on the ERI website at http://www.docs.csq.ed.ac.uk/ERI/inventions-ip/invention_disclosure_form_v3.doc for this purpose.
- 6.1.4. ERI, advised where relevant by affiliated employees, will assess such disclosure normally within three months as to their patentability and provide an initial assessment of the most suitable exploitation route to be discussed with the Inventor. This assessment will include consideration of any requirements of the sponsors of research.

6.2. Outcomes

- 6.2.1. If a view is reached that the Invention or IP is not potentially exploitable or a decision is taken not to proceed with patenting or other commercial exploitation and the Inventor wishes to pursue the matter personally, ERI, on behalf of the University, will normally, assign ownership of the Invention or IP to the Inventor subject to any reasonable terms and conditions necessary to protect the University e.g. in relation to the requirements of the sponsor of the research which gave rise to the Invention or IP.

If a decision is taken to proceed:

- 6.2.2. Decisions regarding the exploitation route and negotiations regarding exploitation will be conducted by the University, as owner of the IP, under the auspices of the Director of Corporate Services and/or the Director of Research Services, as appropriate. The Head of School and/or Head of College will be consulted at this stage, where appropriate. Individual Inventors will be fully consulted, but because of the potential for conflict of interest, the final decision will rest with the University.
- 6.2.3. ERI will be responsible for decisions regarding patent protection, filing of patent applications and related IP protection methods at its own cost unless otherwise agreed in specific cases.
- 6.2.4. Inventors are expected to co-operate fully with actions required by the exploitation process and will be given due recognition for this.
- 6.2.5. Where the chosen exploitation route is a licence to an existing company, ERI will prepare non-confidential disclosures, seek to identify potential licensees, negotiate and draft licences, receive and distribute Distributable Payments made in accordance with the University policies. Unless agreed otherwise the first Fifty Thousand Pounds of Distributable Payments will be distributed as follows:

Up to and including £50,000	
Inventor(s)	50%
Inventor's School	30%
University corporate	20%
Over £50,000	
Inventor(s)	35%
Inventor's School	35%
University corporate	30%

- 6.2.6. Where the proposed exploitation route involves the formation of a new company, the following process will apply:-
- 6.2.7. A brief case will be prepared by ERI setting out why this is the preferred exploitation route, what other options have been considered, the future role in the company of the Inventors, and an outline business plan.

- 6.2.8. This case will be evaluated by a panel convened by the Director of Corporate Services consisting of the Director of Research Services, the Director of Finance and appropriate Head of College and/or School and at least one external member knowledgeable about industry (or his/her/their nominee(s)). If the panel approves the formation of the company, it will instruct ERI to assist in the company formation, setting out such conditions, if any, that might be appropriate. If the panel rejects the proposal to form a new company, it will set out its reasons and, if appropriate, invite ERI to submit a further case.
- 6.2.9. If approval is given for a company to be formed, it will normally be on the basis that any equity holding at the outset belongs to the University and to the founders of the company in proportions to be agreed at the time having regard to the different contributions being provided. To avoid potential tax liabilities, the founders will pay the spin-out company the market value of the shareholding allocated to them subject to the provisions of sub-clause 6.2.10. Shares allocated to the University will be in payment (or part-payment) of the IP being licensed to the company and the University will not make any payment to the company for such shares. If the licence to the IP is non-exclusive or it involves a mixture of shares and payments, then the proportion of the shares passing to the University can be reduced; taking shares by the University does not preclude it from also requiring monetary payments (eg in the form of royalties) from the company if this is appropriate in the circumstances. Similarly in certain cases, it may be appropriate for the University to receive only monetary payments from the company and not receive any shares.
- 6.2.10. Founders who are employees of the University, and who would be entitled to a share of the Distributable Payments under the University's revenue sharing policy will be transferred an appropriate number of the University's shares in the company as their share (or part of their share) of Distributable Payments. Founders may in addition be allocated shares for other contributions they make to the company. In ascertaining the appropriate number of shares to be received under the University's revenue sharing policy, regard will be had to the overall number of shares being allocated to the employee for his/her various contributions to the company. Founders allocated shares under this sub-clause 6.2.10 need not pay for the shares allocated in this way.
- 6.2.11. In the case of a company formation, both the University and founders shall agree on any future dilution in their respective share holdings as a result of recruitment of company management and financial investment. A fundamental principle is that the University and founders should be treated equally.
- 6.2.12. Abandonment of patent
- If the University decides to abandon patent application(s) or patent(s) that have been filed, the University will normally offer to the Inventor(s) the opportunity to take over the patent(s) and exploitation arrangements subject to any reasonable terms and conditions necessary to protect the University.

7. DECISIONS AND REVIEW

7.1. Ownership

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- 7.1.1. In the event of a dispute between the Inventor and the University regarding ownership of IP, the matter shall be referred to an independent expert to be agreed between the Inventor and the University.
 - 7.1.2. If agreement on the choice of independent expert is not reached within thirty days, the expert shall be appointed by the President of the Law Society of Scotland.
 - 7.1.3. The expert's fee shall be payable by the University in the first instance but shall ultimately be the responsibility of the party held by the expert to be the owner of the IP. If the decision is that the University is the owner, the expert's fee shall be deemed to be a cost incurred in protecting and exploiting the IP concerned.
- 7.2. Exploitation
- 7.2.1. Final decisions relating to exploitation of the IP, including the terms and conditions of licensing arrangements, rest with the Director of Research Services or his/her nominee. Final decisions relating to company formation rest with the Director of Corporate Services or, in his absence, his/her nominee. Where an employee does not agree with a decision, they should seek to resolve the difference through the process set out below. It is expected that almost all cases will be capable of being resolved through discussion and informal processes.
- 7.3. Informal Resolution
- 7.3.1. If an Inventor disagrees with the decision he/she should try to resolve the matter with the decision-maker (i.e. the Director of Research Services, the Director of Corporate Services or their delegate). Either party may give consideration to involving others to help this process. For example, the Inventor may seek advice from a colleague with relevant experience or expertise within their School or from another part of the University and either party may consider seeking external, independent advice, or proposing the use of mediation.
- 7.4. Formal Review
- 7.4.1. In the exceptional situation where no mutually acceptable resolution can be reached and the Inventor wishes to seek review, they should raise the issue formally by setting out their complaint in writing and addressing it to their line manager, within two weeks of (a) the University notifying the Inventor of its decision or (b) a failure to agree. The Inventor's written complaint should include a summary of the issues, specify the outcome they are seeking and set out what action the Inventor has taken to resolve the issue informally.
 - 7.4.2. The manager who has received the complaint will arrange to appoint a reviewer to consider the matter, in consultation with ERI. The reviewer will normally be at least at a level equal to the Inventor's line manager, will have appropriate knowledge/expertise in the exploitation of IP, will have had no prior involvement in the case, and their appointment should not give rise to any potential conflict of interest. The Inventor and the original decision-maker will have the opportunity to challenge the selection of the reviewer where they believe that there is a conflict of interest.

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- 7.4.3. The reviewer will write to the original decision-maker, letting them know that a complaint has been submitted enclosing a copy of the written complaint.
- 7.4.4. The reviewer will confirm to the Inventor and the original decision-maker how they intend to carry out the review. As a minimum this will involve meeting with the Inventor, meeting with the decision-maker or their nominee and considering relevant documentation.
- 7.4.5. While the matter is being reviewed, neither party may take action which would jeopardise potential exploitation of the IP.
- 7.4.6. The Inventor has the right to be accompanied to meetings as part of the formal review process, by either a workplace colleague or a trade union representative whose role is to act as their witness and support person at the meeting.
- 7.4.7. The reviewer will summarise their findings and any recommendations in a written report and forward it to the manager who appointed them as soon as possible and normally within four weeks of the complaint. The reviewer will either:
 - a) confirm the original decision, or
 - b) recommend an alternative solution
- 7.4.8. The manager will inform the Inventor and the original decision-maker of the outcome in writing. Where an alternative solution has been recommended, the decision-maker will be asked to confirm to all parties whether or not they are willing to implement that solution, and if not, to give reasons.
- 7.4.9. The Inventor will be notified of their right to appeal against the reviewer's finding and/or the decision-maker's response. If the Inventor is not satisfied, they may appeal in writing through the Appeals process in the University's grievance procedure.

8. RELATED DOCUMENTS

Introduction for Researchers to the Exploitation of Intellectual Property at University of Edinburgh [*This explanatory guide will be added to the ERI Website*].

Policy on Applying for External Funding:

http://www.docs.csg.ed.ac.uk/ERI/researchsupportanddevelopment/applications/UoE_Policy_for_Applying_for_External_Grant_Funding_v_9%20Mar%202012.pdf

Code of Practice for Research:

http://www.docs.csg.ed.ac.uk/ERI/research-support-and-development/applications/Code-of-Practice-for-Research_October2011.pdf

Policy on Conflict of Interest

http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Conflict_of_interest.pdf

9. POLICY HISTORY

This policy was approved by University Court on **4th November 2013** and takes effect from that date. It replaces and supersedes sections 3 (IPR) and 4 (Royalties) of Chapter 5.7 of the University's Staff Administration Manual dated February 1990 (Procedures for Research Contracts).

9 October 2013

Internal Audit Follow Up Reviews

Brief description of the paper

The annual Audit Plan includes a programme of follow up reviews to monitor the extent to which recommendations agreed by management are reported as having been implemented. The following tables summarise the follow up reviews at the time of the Audit Committee on 23rd September 2013:

Table

1	Received since the last Audit Committee.	29
2	Actively in progress & awaiting a response.	2
3	Pending – including those with revised follow-up dates.	30

Action requested

To note progress in implementing agreed internal audit recommendations.

Resource implications

There may be resource implications for management when implementing recommendations.

Risk Assessment

This report provides an indication of the progress being made by management to implement recommendations made to help mitigate identified risks.

Equality and Diversity

A reminder is now issued with all audit reports that managers and individuals with responsibility for implementing any change to a policy or practice must ensure that due regard is given as to whether an equality impact assessment is needed.

Freedom of Information

Can this paper be included in open business? Yes

Originator of the paper

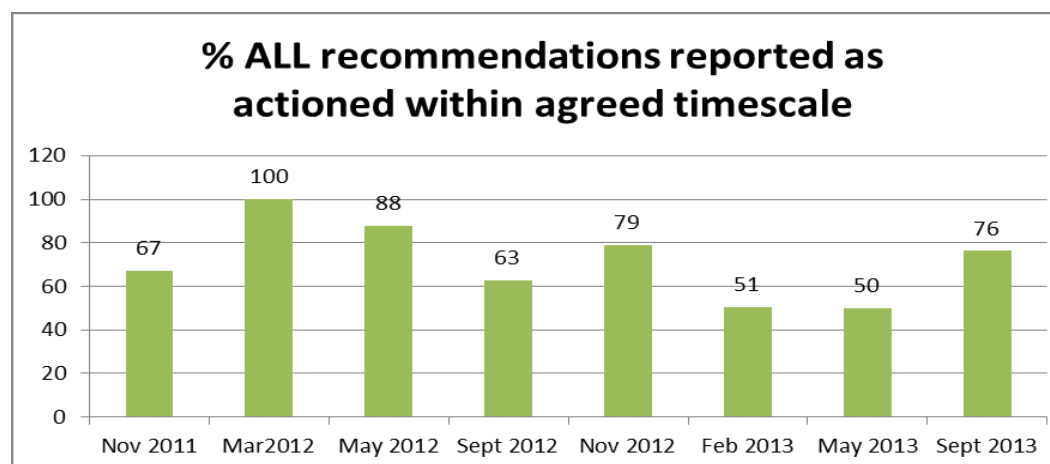
Hamish McKay, Chief Internal Auditor

Presenter of the paper

Hamish McKay, Chief Internal Auditor

Summary

The table below summarises the position reported to the last four Audit Committee meetings. The graph on the right extends the analysis for all agreed recommendations over the last eight meetings. The subset of Higher Priority recommendations is shown in brackets e.g [3].



Summary	No of assignments	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned
Recommendations agreed to be actioned May '13 to September '13	29	101 [19] 100%	77 [12] 76%	0 [0] 0%	23 [7] 23%	1 [0] 1%
Recommendations agreed to be actioned Feb '13 to May '13	11	42 [4] 100%	21 [0] 50%	0 [0] 0%	19 [4] 45%	2 [0] 5%
Recommendations agreed to be actioned Nov '12 to Feb '13	16	79 [11] 100%	40 [4] 51%	2 [1] 3%	34 [6] 42%	3 [0] 4%
Recommendations agreed to be actioned Sept '12 to Nov '12	10	38 [7] 100%	30 [6] 79%	1 [0] 3%	7 [1] 18%	0 [0] 0%

Table 1) Internal Audit Follow Up Reviews Received Since The Last Audit Committee

The following table shows internal audit reviews that have been followed up since the last Audit Committee meeting. It summarises the progress reported by management in implementing recommendations made and agreed with Internal Audit at the time of the original review. The 'Actioned' column may include recommendations where management have implemented alternative action to cover the risk leading to the original recommendation. The subset of Higher Priority recommendations are show in brackets e.g. [3].

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2008/07A	Full Business Continuity Operational Readiness in Key Risk Areas - Non-IT Related	5[1]	5[1]				Dir Corporate Services	CSG
2008/11	Mobile Working	2[1] ¹			2[1]		Dir IT Infrastructure + Dir HR	ISG / CSG

¹ Mobile working will now be covered under the project to redevelop the 'Flexible Working Policy' as mobile working is one of the many forms of flexible working. University HR Services planned to start to develop a revised Policy on Flexible Working in early 2013, which will include provision for mobile working and working from home. The development process will involve consultation with colleagues from devolved HR teams, IS, Managers and Trade Unions. A revised target date of January 2014 has been offered.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2008/13	Intellectual Property	1[1]	1[1] ²				ERI Head of Legal	CSG
2009/02	Financial Planning of Capital Projects	2[0]			2[0] ³		DoF + Dir Estates	CSG
2010/08	Identity Management (service) IDM	3 [1]	3 [1]				Dir App Div IS	ISG
2010/13	Application of Internal University IT Codes of Practice	1[0]			1[0] ⁴		Dir IT Infrastructure	ISG
2010/16	Moray House School of Education	2 [1]			2 [1] ⁵		Hd of School	CHSS

² ERI Legal Services have secured agreement with the Unions on their remaining points of query on the proposed policy.

³ Project gestation has been longer than originally planned due to staff changes over the last two years. However, it has recently been re-launched, and a small project team of four within Finance are taking it forward. E&B is currently working towards a specification for a new E&B finance system to meet their requirements. This is in the early stages of development and it is not known at this time whether E&B will have its own system or will integrate with any new solution implemented by the corporate Finance Department.

⁴ 17 of the 18 identified high priority Codes of Practice have been completed. The remaining Code is in draft with a revised completion date of October 2013. *[Subsequently confirmed that all Codes have now been completed.]*

⁵ Update provided on 1 August 2013. Two recommendations remain in progress. A change in staffing is expected to help move work forward in the Graduate School. The Research & Knowledge Exchange Office has had a number of staff changes. A new member of staff will be starting in October 2013 and will continue to progress the recommended guidance then.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2010/19	School of Geosciences	4 [1]	3 [1]			1[0] ⁶	Hd of School	CSE
2010/20	Medical Education	2[1]			2[1] ⁷		MVM College Registrar	CMVM
2011/02	UKBA Legislation – Students	6[2]	1[1]		5[1] ⁸		Dir International Office	SASG
2011/03	Data Protection Risk	1[0]	1[0]				Hd Records Management	SASG
2011/05	Student Fee Finance Processes	4[0]	4[0]				DoF + Secretary	CSG / SASG
2011/08B	IT Security: EPCC Projects	2[0]	2[0]				Hd of School	CSE
2011/08C	IT Security - Penetration Test (EASE)	4[0]	4[0]				Dir IT Infrastructure	ISG

⁶ Updated procedural guidance, including a producing a Chart of Accounts, has been deferred, due to staffing changes and other pressures on forecasting and budgeting, with a revised action date of December 2013.

⁷ EEMeC is now being re-launched. This will be the platform for documentation repository. Following appointment of new DULT, membership of MBChB committees is being considered, as is training for key committee roles.

⁸ An update was received on 4 September 2013. One recommendation has been actioned and the remaining 5 are in progress. A key member of staff has been out of the office for a significant period of time due to scheduled surgery. As a result, progress has been slower than anticipated.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2011/08C	External Penetration Test (SPSS)	3[0]	3[0]				Hd of School	CHSS
2011/12	Treasury Management	3[1]	3[1]				DoF	CSG
2011/14	Equality Act 2010	6[2]	6[2]				Dep Dir HR	CSG
2011/16	E&B Let properties	5[2]			5[2] ⁹		Ass Dir Estates Operations	CSG
2011/19	College of Humanities and Social Science (CHSS) PhD Student Progression Monitoring	3 [1]	3 [1]				PG Dean	CHSS
2011/20	Business School	2[0]	2[0]				Hd of School	CHSS
2011/21	School of Health in Social Science	12[0]	12[0]				Hd of School	CHSS
2011/22	MVM Postgraduate Office Recruitment Procedures	11[0]	11[0]				PG Dean	CMVM
2012/03	Population of REF2014 module in PURE	3[0]	2[0]		1[0] ¹⁰		Dir Planning	SASG

⁹ There has been a delay in implementing the new Lease module in EBIS. A new 'action by' date has been agreed.

¹⁰ Now that most selection decisions for REF have been finalised, relevant staff will be asked to ensure that their citations are complete.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2012/05	Personal Tutor Support Systems	3[2]	2[1]		1[1] ¹¹		AP Learning & Support	SASG
2012/06	IT Security Incident Reporting	1[0]	1[0]				VP Knowledge Strategy & CIO	ISG
2012/08	Distance Education - IT provision	3[0]	2[0]		1[0] ¹²		Dir IT User Services	ISG
2012/15	DPA involving student data	3[0]	3[0]				Dir Academic Registry	SASG
2012/17	Doctoral Training Centre	3[1]	2[1]		1[0] ¹³		Head of DTC	CHSS
2012/23	IGMM – MRC Human Genetics Unit	1[1]	1[1]				Dir of IGMM	CMVM
	TOTALS	101[19]	77[12]	0[0]	23[7]	1[0]		

¹¹ An update was received on 12 September 2013. All recommendations have now been actioned apart from one element of a recommendation that relates to resource monitoring arrangements. Final decisions on this have been deferred until the September SSIG meeting to ensure all key project members are able to contribute.

¹² The new penetration testing application has just been made available internally. A revised date for using it on Moodle has been reset for end October 2013.

¹³ Memorandum of Understanding has been drawn up. Signatures not yet complete.

Audit Assignment Status Report – Follow Ups Open as at 13 September 2013

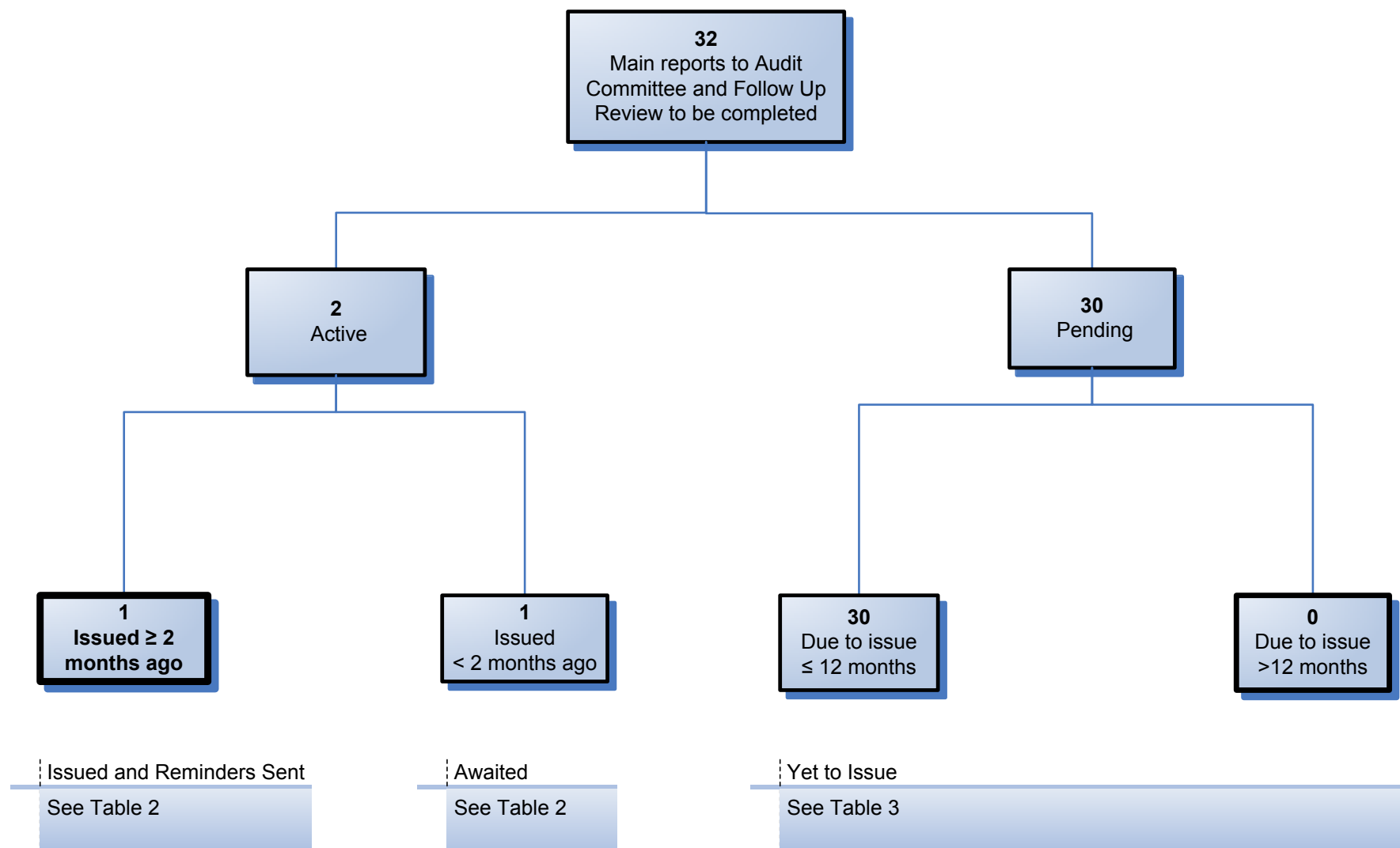


Table 2) Follow Up Reviews Actively in Progress & awaiting a response as at 13 September 2013 - 2

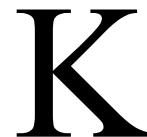
Audit Ref	Subject	Follow-up review FUR Issued Date(s)	Update for Audit Committee on 23 September 2013	Senior responsibility	Coll / SGroup
2011/07	Research Grants Section	02/10/2012 & 9/1/2013 & 13/5/13 & 1/7/13	Delayed implementation of two recommendations due to software difficulties. Latest expectation of implementation was end of August 2013. To be confirmed. <i>[Software difficulties reportedly continuing.]</i>	DoF	CSG
2012/18	School of Engineering	02/09/2013	<i>[Reply since received.]</i>	Hd of School	CSE

Table 3) Follow Up Reviews Pending – including those with revised follow-up dates - 30

Audit Ref	Subject	(Next) follow-up date	Senior responsibility	Coll / SGroup
2012/20	School of Divinity	30/09/2013	Head of School	CHSS
2010/12	Research Grant Cost Recovery	01/10/2013	College Accountant SCE	CSE
2010/22	UoE Utilities Supply Company Limited	01/10/2013	Dep Dir Finance	CSG
2011/06	Research Council Awards	01/10/2013	VP Planning, Resources and Research Policy; Dean of Research MVM; Head of Research Support and Development, ERI	VP Planning / CMVM / CSG
2012/24	Equine Veterinary Services - Equine Hospital	01/10/2013	Hd of School	CMVM
2012/35	eAuthorisations	01/10/2013	DoF	CSG
2012/41	Controlled Drugs - Veterinary Services	01/10/2013	Hd of School	CMVM
2011/16	Estates & Buildings Let Property	28/10/2013	Ass Dir Estates, Operations	CSG
2012/08	Distance Education - IT provision	31/10/2013	Dir IT User Services	ISG
2012/03	Population of REF2014 module in PURE	01/11/2013	Dir Planning	SASG
2012/05	Personal Tutor System	01/11/2013	AP Learning & Support	SASG
2012/09A	School of Engineering EXAM Application	01/11/2013	Hd of School	CSE
2012/12	Key Information Sets (KIS)	01/11/2013	University Secretary	SASG
2012/17	Doctoral Training Centre	01/11/2013	Head of DTC	CHSS
2012/23	Institute of Genetics & Molecular Medicine – MRC Human Genetics Unit	01/11/2013	Dir of IGMM	CMVM

Internal Audit Follow Up Reviews

Audit Ref	Subject	(Next) follow-up date	Senior responsibility	Coll / SGroup
2010/13	Application of Internal University IT Codes of Practice	30/11/2013	Dir IT Infrastructure	ISG
2011/17	School of Physics & Astronomy	30/11/2013	Hd of School	CSE
2010/19	School of Geosciences	01/12/2013	Hd of School [& College]	CSE
2011/02	UKBA Legislation - Students	15/12/2013	Dir International Office	SASG
2012/09B	IT security (MVM)	31/12/2013	Hd of College	CMVM
2010/20	Medical Education	01/01/2014	MVM College Registrar	CMVM
2011/13	Space Management - PGT	01/01/2014	VP Planning, Resources & Research Policy	VP Planning
2012/22	Edinburgh College of Art	01/01/2014	Hd of School	CHSS
2008/11	Mobile Working	14/01/2014	Dir IT Infrastructure & Dir HR	ISG / CSG
2012/32	Insurance	14/01/2014	DoF	CSG
2012/06	IT Security Incident Reporting	15/01/2014	UoE Chief Information Officer	ISG
2012/21	School of Law	31/01/2014	Hd of School	CHSS
2010/03	UKBA Legislation - Staff	01/02/2014	Dir HR	CSG
2009/02	Financial Planning of Capital Projects	31/03/2014	DoF and Dir Estates	CSG
2010/16	Moray House School of Education	01/06/2014	Hd of School	CHSS



The University of Edinburgh

Central Management Group

9 October 2013

International undergraduate MBChB tuition fee

Brief description of the paper

This paper proposes fixed international undergraduate MBChB for 2014/15 fees set, irrespective of degree duration.

Action requested

To consider recommendations.

Resource implications

Does the paper have resource implications? Yes.

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Has due consideration been given to the equality impact of this paper? There are no equality and diversity implications.

Freedom of information

Can this paper be included in open business? No

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

Release information as soon as 2014/15 fee rates have been published.

Originator of the paper

Emma Lyall

Governance and Strategic Planning



The University of Edinburgh

Central Management Group

9 October 2013

Security Advisory Group – Annual Report 2012-13

Brief description of the paper

The attached paper is a report from the Security Advisory Group [SAG] for the year 1st August 2012 to 31st July 2013.

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 comment on measures to promote the display of ID cards by students and staff.
- note that EUSA have developed a formal policy for students and societies on how to conduct meetings with visiting speakers.
- note the change in policing emphasis from anti-social behaviour to anti-violent behaviour.

Resource implications

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

Risk Assessment

Does the paper include a risk analysis? No.

Equality and diversity

Has due consideration been given to the equality impact of this paper? There are no equality and diversity implications.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Adam Conn Chief Security Officer
30 September 2013

Paper to be presented by:-

Angus Currie
Convener of Security Advisory Group
30 September 2013

Security Advisory Group Annual Report

1 August 2012 to 31 July 2013

Security Section - relocation

The main Security Control Room was fully established in 13 Infirmary Street and contingency has been provided for loss of power. 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.

Post Exam Celebrations - Disturbance Outside Exam Halls

Concerns were expressed at SAG that the previously discussed unacceptable post examination behaviour continues despite the mitigating measures put in place.

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

Building Access Control Policy

In line with the Buildings Access Control Policy, arrangements for access control across the estate, including the installation of access control doors and the issue of lifts bypassing access controls continues. There is an emerging issue of the control of keys around the estate and an audit has begun to quantify what keys there are at each location and the security in which these are kept. This may form a future appendix to this policy.

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. Concerns were expressed regarding a lack of similar measures encouraging matriculated students to display their ID Cards and a lack of guidance on the issue of lanyards to students. This is being encouraged in many Schools.

CMG is invited to re-affirm support to the commitment to wearing and displaying ID Cards and comment on measures to promote the display of ID cards by students and staff.

Risk Management - Assessment of All Buildings

The security risk management assessment has reached completion.

Security risk assessment is now an on-going activity throughout the year and helps to ensure accuracy of the security database when departments vacate buildings or activity changes from one area to another.

The Risk Management Register has been completed and will be reviewed by the Crime Prevention Officers on an annual basis.

High Profile Events

Security continues to have input into many high profile events including a visit by a delegation from the Royal Thai Embassy, the Graduation ceremonies and Festival Fringe set up period.

Following investigation into events during the Israeli Ambassador visit, SAG requested EUSA to review their guidance document for students and student societies on the running of events and this has been completed and issued.

CMG is invited to note that EUSA has developed a formal policy for students and societies on how to conduct meetings with visiting speakers.

Anti-Social Behaviour Unit

Police Scotland (Local Police Tel 101) produced a degree of police inertia as the 'go live' date of 1 April approached. Systems, policies, priorities and structures have now changed slightly but dialogue with local officers continues regularly. The previous focus on anti-social behaviour has now shifted to anti-violent behaviour with an emphasis on stop and searches. The number of on street drinkers remains steady but their presence within the on-street drinking bye law area has reduced as they are aware of consequences should they transgress and anti-social behaviour has reduced. The dialogue surrounding the data protection compliant information exchange with the police to identify thieves and violent persons has stalled. This will continue to feature in our on-going discussions with police to identify persons of mutual interest who target University property with intention to commit crime or disorder there.

CMG is invited to note the change in policing emphasis from anti-social behaviour to anti violent behaviour.

Festival Fringe Events

August was another very busy month with the Festival Fringe in full swing as many enjoyed an unprecedented spell of very good weather. This meant that all the venues were well attended and the Festivals Manager reported circa one million tickets sold bringing a significant foot fall into our area and surrounding streets as well as the City Centre. A debriefing session was held with Festivals staff, police and other representatives to include learning outcomes for the planning of next year's event. In total security staff dealt with 23 Festival related 'incidents' and 154 Festival related 'activities'. None of these were too serious in nature.

CCTV

The CCTV camera on the Business School is now in operation and providing enhanced coverage in the south east corner of George Square. There are now 6 additional external cameras around the Main Library and can be called up on the University network. This has given a far better footprint around the most used University building and the definition of images is of a high quality. A camera was erected at the north-west corner of George Square on the Chrystal MacMillan Building but the wiring is not compliant with planning guidance and is being changed. The camera coverage around the ECA has been renewed and upgraded. The project to place additional cameras within the Main Library has been agreed with EUSA representatives and is work in progress. There are new cameras being commissioned outside the Ashworth Building at King's Buildings.

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.

This matter is reviewed periodically.

A consultation document is expected to be circulated by SIA in January 2014 to outline future structure and remit.

Reported Incidents – Trend

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

	03/04	04/05	05/06	06/07	07/08	08/09	09/10	10/11	11/12	12/13
Totals	395	447	603	445	407	384	390	412	503	525
Value(£)	29465	52730	56857	35009	103252	149700	15819	33891	20880	26472

The cost of reported stolen items has dropped slightly but costs for personal property continue to be a concern, particularly within the Main Library and at ECA. With the arrest of a number of individuals targeting the University, the incidence rate was expected to decrease. Liaison with the Police Search and Recovery team has increased the chance of getting stolen goods returned. This has not changed over the last 12 months.

Tailgating

Tailgating and opportunist theft is a constant issue across the whole of the University and Security staff will continue to refresh and reiterate crime prevention messages, particularly for office-based staff. 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. During ‘Fresher’s’ week this year our Security staff spoke with 4682 students and gave them a quick basic crime prevention and property marking message whilst they were waiting at queues for other events.

IT Equipment

Work continues with Information Services staff to reduce the theft of laptops. Issuers of portable devices are being encouraged to take responsibility for UV marking and setting up PIN codes. Crime Prevention Officers continue to offer a drop-in session for staff to cover the installation of software to aid recovery and the marking process.

Security Design Input

Design input at an early stage during project planning from Security and Transport sections covering CCTV specifications and secure cycle storage was now proving to be beneficial. The Security Operations Manager and 2 Area Security Managers will be attending specialist courses over the next 12 months to enhance their knowledge and skills.

Bicycle Theft

Bicycle theft continues to pose a problem with stolen cycles very quickly broken down into constituent parts and sold. It was a priority crime for the local Neighbourhood Policing Team and this problem will be monitored over the coming year. As part of the University's sustainable transport objective, improving the provision of secure cycle storage was felt to be essential. S AG has agreed to allocate a portion of its budget to enhancing existing security measures and would formulate proposals for implementation in 2013/14. These will be brought to the SAG meeting in November.

Edinburgh Student Safety Forum

The Edinburgh City wide forum has become moribund and has now been discontinued. The new EUSA VPS is in discussion with University Security about the mechanism and the remit to provide input on security matters as required to the Edinburgh University student body.

Liaison with Police

Members of the Security Advisory Group will continue to meet with Senior Officers of Police Scotland, Eastern Area on an annual basis to discuss matters of mutual interest.

It is hoped that the good levels of co-operation will continue between the University and Police Scotland. This is evidenced in the contact during the Edinburgh Festival Fringe and the presence of officers in the area is valued by venue promoters. Assurance will be sought to ensure that their changed priorities will not impact on their service delivery to the University of Edinburgh.

Adam Conn
Chief Security Officer
30 September 2013



The University of Edinburgh

Central Management Group

9 October 2013

Proposal to create a new Division within Information Services

Brief description of the paper

This paper outlines the proposal to create a new Division (planning unit) within Information Services Group. This proposal comes as a result of discussions within the Group concerning the changes that have taken place over the last 4 years within higher education, in particular the innovations in learning technologies and distance education. Directors considered the current IS structure and the changes that would be necessary to ensure both the sustainability and flexibility of IS services to enable the Group to deliver on the aspirations within the University's Strategic Plan.

Action requested

CMG is asked to approve the creation of the new Division (working title Learning & Web); and the creation of a new Director role to lead said Division.

Resource implications

Does the paper have resource implications? Yes, this will add a new Director (UoE10) to the staff complement.

Risk assessment

Does the paper include a risk analysis? The paper identifies the current risk and vulnerabilities for this area (page 2, para 1)

Equality and diversity

Has due consideration been given to the equality impact of this paper? No – not at this stage. A full Equality Impact Assessment will be carried once the proposal has been approved.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Jeff Haywood
Vice Principal, Knowledge Management, CIO and University Librarian
September 2013

Proposal to create a new Division within Information Services

Since 2005, Information Services has gone through a number of changes to its configuration. The primary restructure occurred under the previous Vice Principal, Helen Hayes. This initial stage replaced the planning units of Library, Computing, MIS and MALTs with 5 function-based Divisions: IT User Services, Library User Services, Library & Collections, IT Infrastructure and Applications.

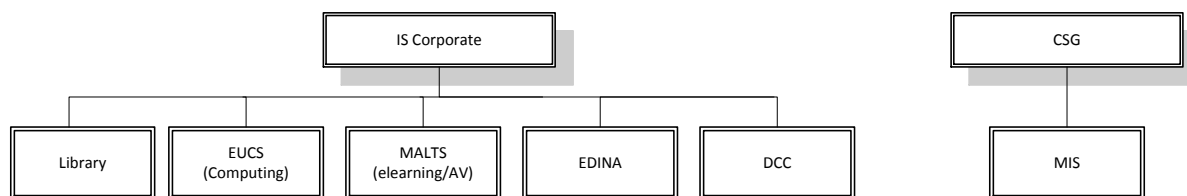


Fig 1: Pre 2006

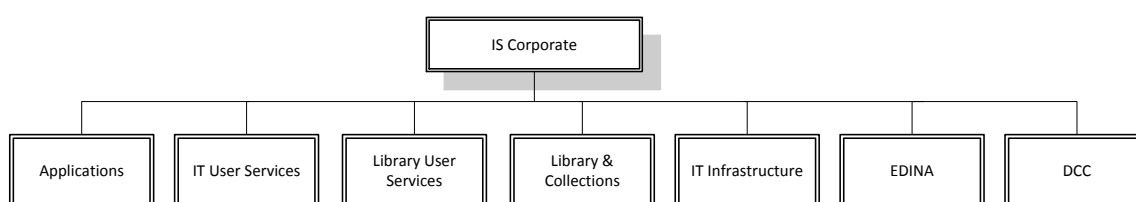


Fig 2: IS post 2006

In 2009, following an IS review of Help and Support Services, CMG agreed to the merger of IT and Library User Services Divisions into one User Services Division.

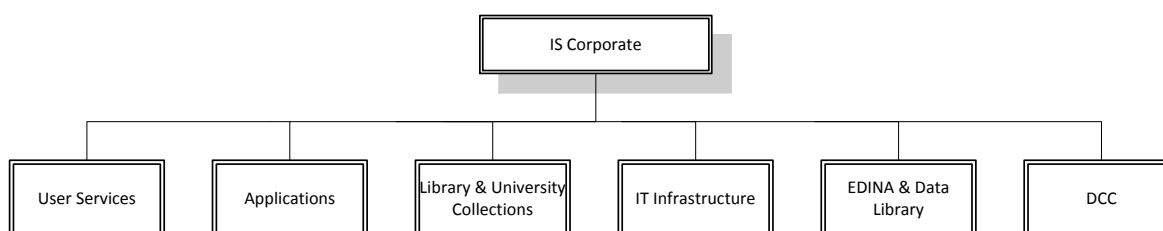


Fig 3: IS post 2009

In the last four years, both the University and the higher education environment have changed significantly. The predominance of learning technologies, supporting distance education as well as the redefining of delivery to on-campus students requires a different approach to the way IS does its business. The place of the web as an increasingly important communication and delivery tool draws in to question the isolation of the current website team as a project within IS Corporate.

IS Directors were asked to review the current structure and advise the Vice Principal on any changes that were necessary to ensure both sustainability and flexibility of IS services, thereby enabling the Group to deliver on the aspirations within the University's Strategic Plan. Their recommendations form the basis of this proposal.

Discussion and proposals:

The Directors considered the future direction of the University as laid out in the 2012-2016 University Strategic Plan. This included consideration of specific strategies such as: flexibility in study patterns; expanding and enhancing the distance education provision; enabling staff to embrace new technologies employing open approaches and methods; flexible interdisciplinary working; technical sustainability; workforce development; and identifying future technological developments and positioning ourselves to respond to these rapidly and flexibly.

The Directors also considered the strengths and potential limitations of the Group as it is currently configured. Over the last four years we have grown the online learning services and support (including DEI and MOOCs), and absorbed staff and services from the merger with ECA. We have folded these requirements into the existing structure with varying levels of success. However, the growing importance of online learning, both on campus and remote, makes it obvious that the current configuration of the IS Divisions is not optimal for the future delivery of these services. In its current distributed state, the services for online learning and web are incoherent. There is a need to pull these together to create a more articulate and sustainable set of services. Additionally, the leadership for online learning comes direct from the Vice Principal and whilst this has worked well, it is only sustainable in the short term. These two factors create vulnerabilities and risk for what is increasingly a strategically important area of the University's business.

At present the services for online learning and the web are spread across 4 Divisions: IS Corporate, User Services, Applications and ITI. Bringing these together into one place allows for more joined up, coherent planning and delivery of services. Directors considered two options: creating a sub-Division within an existing unit; and creating an additional IS Division. Both options also considered where the locus of IS's leadership, knowledge and expertise in online learning should lie.

There is no 'obvious' home for a sub-Division within the existing structure. Whilst elements of online learning currently reside within User Services Division (USD), the transfer of other elements in from elsewhere would create a large and managerially unsustainable Division. Directors were agreed that the needs of online learning and web would be best served within a division dedicated to those activities. This has the added advantage of creating sufficient flexibility for IS to absorb any future service changes related to the way we work with the three Colleges. Additionally, it was agreed that this option provided the opportunity to appoint an acknowledged expert in the field of online learning. The proposed new structure showing the services within each Division is attached at Appendix 1. The two external facing units of EDINA & Data Library and DCC are not included in this diagram as they are not directly affected by this reconfiguration.

It is proposed that:

1. A new Division be created within Information Services, enabling the bringing together of learning technologies and web services ;
2. A new Director post (UoE10), with expertise in the field of online learning, be created within IS to lead this Division.

It is anticipated that the additional administrative support required for the new Division will be achieved through redeployment of existing IS staff.

Action: CMG is asked to approve the creation of the new Division (working title Learning & Web); and the creation of a new Director role to lead said Division.

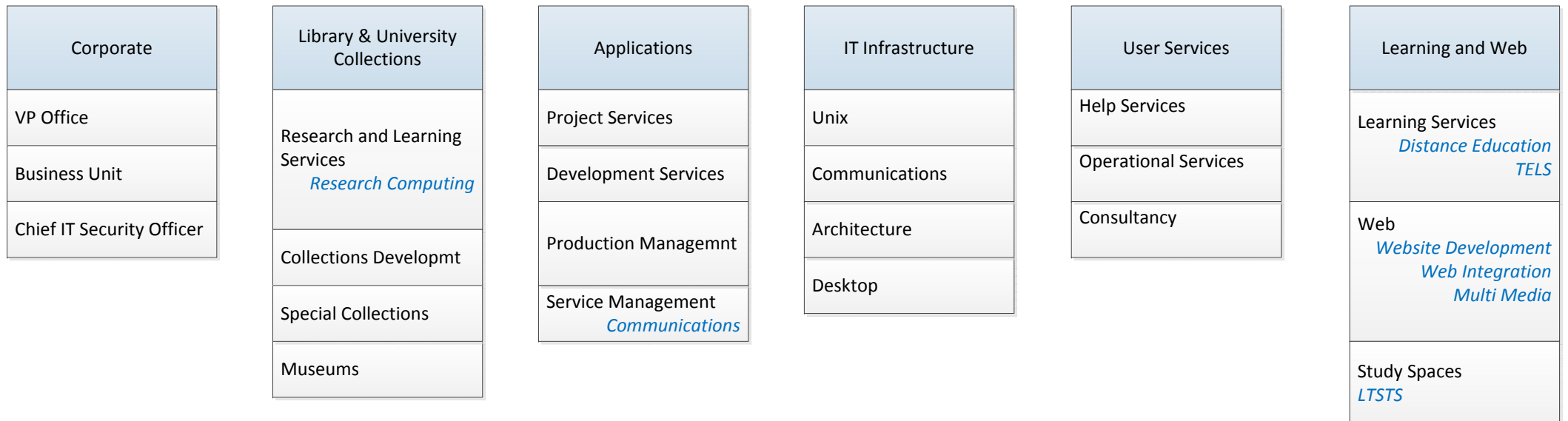
It is anticipated that the new division will operate in shadow format during the 2nd quarter of 2014 and come formally into effect as of 1 August 2014.

Jeff Haywood

Vice Principal, Knowledge Management, CIO and University Librarian

September 2013

New IS structure with additional Division (provisionally titled)



Edina and DCC omitted from diagram

The University of Edinburgh

Central Management Group

9 October 2013

N

Establishment of Chair of Infectious Disease Pathology

Brief description of the paper

The Roslin Institute wishes to establish a Chair of Infectious Disease Pathology.

Action requested

To recommend establishment of a new Chair.

Resource implications

Does the paper have resource implications? Yes

The post will be fully funded from Roslin ISPG funds.

Risk Assessment

Does the paper include a risk analysis? No

Equality and Diversity

Has due consideration been given to the equality impact of this paper? Yes.

Appropriate recruitment practice will be implemented in appointing to this Chair.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Professor David Hume
Director of the Roslin Institute
Easter Bush Campus

CENTRAL MANAGEMENT GROUP

Establishment of Chair of Infectious Disease Pathology

The University of Edinburgh is in the process of establishing the Centre for Comparative Pathology, largely based at the Easter Bush Campus but with links into the other parts of the CMVM.

The proposed Chair of Infectious Disease Pathology will provide an opportunity to build on the well-established strengths on the Easter Bush campus in veterinary and comparative pathology. It will maximise the research potential of the Centre for Comparative Pathology and build further links between The Roslin Institute, the R(D)SVS and other parts of the CMVM, AHVLA Lasswade and the Moredun Research Institute.

In addition to the proposed new Chair, the College of Medicine and Veterinary Medicine has undertaken to provide several other posts to underpin these initiatives. These include a second professorial academic appointment (Professor Michael Cheeseman) and an as-yet-to-be appointed Head of the Centre.

A request is therefore made to establish a Chair of Infectious Disease Pathology.

Prof D Hume
Director
The Roslin Institute
22nd August 2013