

**Agenda for a meeting of the Central Management Group
to be held at 10.30 am on Wednesday, 22 January 2014
in the Raeburn Room, Old College**

- | | | |
|----------|--------------------------------------|----------|
| 1 | Minute of the meeting held on | 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 | Capital Policy – Capital Equipment Expenditure | D |
| 6 | REF2014 Equality Impact Assessment (closed) | E |
| 7 | Equality Management Group: Terms of Reference | F |
| 8 | Estates Committee Report (closed) | G |
| 9 | Staff Committee Report (closed) | H |
| 10 | Biological Services (closed) | I |

FOR INFORMATION/FORMAL APPROVAL

- | | | |
|-----------|--|----------|
| 11 | Internal Audit Report | J |
| 12 | Internal Audit Follow Up Reviews | K |
| 13 | Health and Safety Quarterly Report | L |
| 14 | Migration Management Group Update (closed) | M |
| 15 | Report and Financial Statements for year ended 31 July 2013 | N |
| 16 | Management Accounts up to 30 November 2013 (closed) | O |
| 17 | Quarter 1 Management Accounts Forecast (closed) | P |
| 18 | 10 year Financial Forecast (closed) | Q |
| 19 | Change of name of Chair of Clinical Reproductive Science and name it: the Elsie Inglis Chair of Clinical Reproductive Science | R |
| 20 | Any Other Competent Business | |
| 21 | Date of next meeting: | |

Wednesday, 5 March 2014 at 10.30 am in the Raeburn Room, Old College

Central Management Group

Monday, 11 November 2013



MINUTE

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

In attendance: Dr I Conn
Mr A Currie
Mr P McNaull
Ms T Slaven
Mr D Waddell
Ms K Bowman for item 16 only
Mr G Douglas
Ms E Fraser on behalf of Ms S Gupta
Dr K J Novosel
Dr D Cook

Apologies: Vice-Principal Professor C Breward
Vice-Principal Professor S Hillier
Vice-Principal Professor D Hounsell
Vice Principal Professor C Jeffrey
Vice-Principal Dr S Rigby
Ms S Gupta

1 MINUTE OF THE MEETING HELD ON 9 OCTOBER 2013

Paper A

The Minute of the meeting held on 9 October 2013 was approved as a correct record.

2 PRINCIPAL'S BUSINESS

2.1 Principal's Communications

The Principal reported on the following: the Remembrance Service; the impact of Emeritus Professor Higgs' joint award of the Nobel Prize for Physics, for which the Principal commended the School of Physics and Astronomy for their support; the successful events held during the Chancellor's visit to the University, for which the Principal thanked the Protocol Office; the importance of the inaugural meeting of the Global Citizenship Commission, hosted by the University; the intention of Vice-Principal Mr Nigel Paul, Director of Corporate Services to retire in the

summer 2014; the current position in respect of the National Physical Laboratory; various meetings with significant donors; and the continuing success of the Global Academies and MOOCs.

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

The report was noted and progress against undergraduate admission intake targets for 2014/2015 was discussed. CMG agreed the importance of maintaining prompt turnaround times for prospective student applicants and the need for on-going internal communication on student recruitment targets.

FOR DISCUSSION

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

CMG noted the update, including in particular the current position in respect of the National Physical Laboratory opportunity. It was noted that a Sub-Group of F&GPC would be taking this forward, with particular consideration of the due diligence requirements. The outcome of the Financial Systems Review was also noted and that it had significant implications. On the ARCHER contract (next generation High Performance Computing), it was noted that the guarantees were expected to be signed shortly and further assurances had been sought and provided.

4 STRATEGIC PLAN TARGETS AND KPIs PROGRESS REPORT **Paper D**

The progress report was endorsed and welcomed. Overall the performance against the Strategic Plan targets and Key Performance Indicators (KPIs) was positive; 13 of the targets and sub targets were on track; 12 of the targets required further work; 11 of the KPIs were improving in comparison to the previous year; 1 KPI was worsening and 6 of the KPIs were maintaining their performance. Areas of particular success include the number of International applications for academic staff posts, levels of research income and Athena SWAN awards achieved across the University. Amongst the targets that required further work, in particular further activity was required around student International experiences and improving student satisfaction at all levels of study. These issues will also be addressed in the forthcoming Planning Round. The impact of the external environment particularly around the admission related KPIs was noted by CMG.

5 PROVISIONAL DRAFT FINANCIAL RESULTS (CLOSED) **Paper E**

CMG noted the provisional financial results for 2012/2013 and welcomed the revised clear format of the report. CMG supported the intention to benchmark the financial results against relevant comparator institutions in the New Year.

6 RISK MANAGEMENT COMMITTEE END OF YEAR REPORT (CLOSED) **Paper F**

The Annual Report of the Risk Management Committee had been prepared as part of the assurance process to enable Court to sign off the 2012/2013 Annual Accounts in respect of the reporting on Risk Management. The Annual Report included the key processes the University takes to managing risks and the key activities undertaken by the Committee. CMG noted the Report and the statement that the University had satisfactorily managed its

key risks during the year ended 31 July 2013.

7 EUSA FINANCIAL PERFORMANCE, INCORPORATION & USS PENSION SCHEME LIABILITY (CLOSED) Paper G

CMG recommended that this paper be submitted to F&GPC and Court for approval. CMG endorsed the proposal that the University guarantee EUSA's USS Pension Debt.

8 GAELIC SIGNAGE POLICY Paper H

CMG approved the draft Bilingual Signage policy, subject to some minor amendments. The Bilingual Signage policy is part of the University's implementation of its Gaelic Language Plan 2013-18. The policy will enable bilingual signage to be installed at key areas of the University (including the Main Library, Halls of Residence and the new School of Literatures, Languages and Cultures Building) when it is reasonably practical to do so, as well as setting a policy for the installation of bilingual signage on other buildings on a replacement/renewal basis. CMG asked that the possibility of displaying a range of languages on plasma screens at reception points across the University be explored.

FOR INFORMATION/FORMAL APPROVAL

9 REPORT FROM FEES STRATEGY GROUP (CLOSED) Paper I

CMG welcomed the increasingly strategic approach of Fees Strategy Group and its direction. Fees are being encouraged onto the fees spine and the fee approval process has been re-considered, to speed it up and draw further upon College expertise. Plans to develop an International Partnerships Strategy Fund were also noted, as well as the intention to increase exchanges and to carry out work to improve understanding of course costs. CMG endorsed Fee Strategy Group recommendations as set out in the paper.

10 TUITION FEE PROPOSALS (CLOSED) Paper J

CMG approved the recommendations as set out in the paper in respect of various programmes within the College of Humanities and Social Science, the College of Science and Engineering and the College of Medicine and Veterinary Medicine.

11 STUDENT RENT PROPOSAL FOR 2014/15 AND INDICATIVE INCREASES FOR 2015/16 AND 2016/17 (CLOSED) Paper K

CMG approved and welcomed the rent proposals for 2014/15, including increasing the average base rate by 2.5%, which is under the current rate of inflation (detailed rates for each building are set out in the paper), as representing good value for students. CMG invited consideration about how this message could be communicated further to students. CMG also noted the indicative increases for 2015/16 and 2016/17, as recommended by Fees Strategy Group.

12 REPORT FROM SEAG Paper L

CMG noted the report from SEAG, which outlined sustainability initiatives

including sustainability and the curriculum, a proposal (agreed by SEAG) to review key strategies and noted the progress made in implementing the Social Responsibility and Sustainability Strategy during 2012/13 which will feature in the Highlights Report that will be published shortly.

13 HEALTH AND SAFETY QUARTERLY REPORT Paper M

CMG noted the report for July to September 2013 which detailed that there had been slightly fewer incidents in this quarter compared to the previous year.

14 NPRAS RATES FOR 2014-15 Paper N

CMG approved the revised NPRAS space rates for 2014-15.

15 PARKING CHARGE NOTICES INCREASE PROPOSAL (CLOSED) Paper O

CMG approved the proposal to increase the Parking Charge Notice to £60.

16 PROPOSED WRITTEN RESPONSE TO THE PROCUREMENT REFORM (SCOTLAND) BILL Paper P

CMG noted the outcome of the earlier consultation response and reviewed and approved the Written Response to the Scottish Parliamentary Infrastructure and Capital Investment Committee due on 29 November 2013 and the Financial Questionnaire due before oral evidence to the Committee on 13 November 2013. CMG also provided suggestions about how best to express the University's views on this matter.

17 DATE OF NEXT MEETING

Wednesday, 22 January 2014 at 10.30 in the Raeburn Room, Old College.

The University of Edinburgh

Central Management Group

22 January 2014

**Principal's Strategy Group Meeting
25 November 2013**

B

Amongst the items discussed were:

1. REF 2014

Vice-Principal Seckl updated the Group on the REF 2014 submission and thanked all of those who had contributed to this mammoth undertaking. The results will be available in December 2014.

2. Research Targets

The Group discussed Vice Principal Seckl's paper which considered further some of the questions raised at the recent retreat.

Although PSG acknowledged that the targets proposed were ambitious they were broadly supportive of them, and also of the strategies suggested to help meet the targets. The potential opportunity, particularly with Horizon 20:20, is especially noteworthy.

The Group agreed that "impact" is likely to remain as a key factor in future REF exercises and we should ensure that we have the research mechanisms in place to capture this information on an ongoing basis.

3. Festivals Strategy

Senior Vice-Principal Bownes introduced this paper and the Group considered the merits of the University's collaboration with the Festivals and endorsed the Festivals Working Group to take forward activity in this area.

4. RUK Bursary Name Change

PSG considered the proposal and agreed that the "University of Edinburgh Bursary" provided the required clarity for the scheme from the perspective of the students. There may be a short period of transition but the new name should be brought in as soon as possible.

**Principal's Strategy Group Meeting
16 December 2013**

Amongst the items discussed were:

1. e-Infrastructure for Big Data Research

PSG were in agreement over the importance of this area to the University and also on the opportunities it represents. The comprehensive nature of Edinburgh is viewed as a clear asset and PSG agreed that any future activity should be as broad based as possible.

The Group agreed that Vice Principal Kenway would chair a cross college management group with

Vice Principal Jeffery, Vice Principal Seckl, Vice Principal Haywood and Professor Robertson to take forward relevant University activity.

2. UNPRI Consultation

Mr Dave Gorman, Director of Social Responsibility and Sustainability, joined PSG and the Group discussed the approach to the implementation of the United Nations Principles for Responsible Investment (UNPRI). PSG offered advice on taking forward the consultation.

3. Policy and Practice Impact

PSG were supportive of the draft strategy for Impact on Policy and Practice as proposed by Vice Principal Jeffery.

The University of Edinburgh

Central Management Group

22 January 2014

Finance Director's Update



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. There are no specific requests for resource.

Resource implications

Does the paper have resource implications? No

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 effective conduct of public affairs.

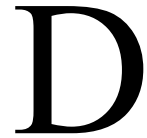
For how long must the paper be withheld? 2 years

Originator of the paper

Phil McNaull
Director of Finance
10 January 2014

To be presented by

Phil McNaull
Director of Finance



The University of Edinburgh

Central Management Group

22 January 2014

Capital Policy – Capital Equipment Expenditure

Brief description of the paper

Capital Equipment budgets are being introduced for University investment in major items, and expenditure will be chargeable against a capital budget rather than unrestricted departmental G00001 or U00001. This paper outlines what is described as Capital Equipment Expenditure and illustrates the process flow for application for budget for University-funded capital equipment.

The University's Schedule of Delegated Authority should be complied with in all cases.

Action requested

This paper is submitted for information and comment by the Group members.

Resource implications

Does the paper have resource implications? No. This paper clarifies the process of accounting in respect of capital equipment.

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 impacts.

Freedom of information

Can this paper be included in open business? Yes

Any other relevant information

To be presented by the Director of Finance

Originator of the paper

Prepared by David Montgomery
Deputy Director of Finance

12 November 2013

To be presented by

Mr P McNaull
Director of Finance

Capital Equipment budgets - qualifying expenditure

Capital Equipment Budgets

Capital budgets are being introduced for University investment in major items. Expenditure will be chargeable against a capital budget rather than unrestricted departmental G00001 or U00001 budgets. **An approved Capital Expenditure Application (CEA) will be required prior to a purchase order being placed.**

There is no change to the treatment of major equipment purchased from Research (RXXXX code) and other Restricted (JXXXX) etc, code) funds, however such items still need to be identified as they are still recorded on the major equipment asset register.

What is Capital Equipment?

General Equipment

Purchases > £25K

Individual equipment items costing in excess of £25k are capitalised by the University and recorded on the major equipment asset register. It is important that the related purchase costs are identified in the finance ledgers.

Grouped items totalling £25K or more¹

Where a number of items have been ordered at the same time, but individually cost less than £25K they may be capitalised if they cost £25K or more in total. Examples of qualifying expenditure:

- An asset made up of two components, where one cannot function without the other. E.g. an analysis device and related sample handling module.

Purchases paid in stages

Equipment purchases are often settled in stages e.g. 10% on order, 70% on delivery and 20% on commissioning. It is important that all related payments are identified even though individual stage payments may be less than £25k.

Costs not capitalised

Warranty costs, maintenance contracts, delivery costs and other associated charges will not be capitalised as part of equipment purchase costs. Consumables used in the running of the equipment cannot be capitalised.

Computer Hardware and Software

Hardware Purchases > £25K

Major computers and servers costing in excess of £25k are capitalised on the same basis as general equipment.

Software Purchases > £25K

New software application packages purchased externally at a cost in excess of £25k are capitalised.

Costs not capitalised

Maintenance contract and upgrade costs are not capitalised.

In-house development and implementation costs are not capitalised.

Useful Life

All items capitalised must have a useful life of 4 years or more. College and Support Group Finance teams can be consulted about any proposed purchase to advise on the accounting treatment.

¹ Equipment purchases may be capitalised as part of an Estates project. This document does not cover such purchases.

Capital Expenditure Application (CEA) for University Funding of Equipment Purchases¹

Overview

What is this form for?

If you want to purchase equipment and need University funds then use this form. This will ensure correct financial accounting treatment. As such, it works in tandem with the University's Schedule of Delegated Authority, which must be adhered to.

Budget for higher value capital equipment will be allocated to Colleges and Support Groups separately from revenue budgets, as part of the Resource Allocation process.

What purchases are covered by this form?

Single items over £25K (university funded)

Some grouped items totalling over £25K

Research Equipment partially funded by the University.

See Accounting policy (link below)

Example: research grant funded equipment valued at £100K: 80% is funded by a grant, so £20K funding is required from the University.

Computer Hardware and software costing in excess of £25k.

Major computers and servers, new software application packages

Useful life must be in excess of four years

Costs not capitalised

Warranty costs, maintenance contracts, delivery costs and other associated charges will not be capitalised as part of equipment purchase costs. Consumables used in the running of the equipment cannot be capitalised. In-house development and implementation costs are not capitalised.

Unspent budget

Any approved capital budget not spent by the end of a financial year will be carried forward into the next year (at College or Support Group level), unless you don't need it any more.

¹ Applications relating to premises work to be undertaken through an Estates project should be made through your College or Estates Finance team.

Purchasing the equipment

Procurement

A procurement plan must be written and approved by the Director of Procurement for all purchases in excess of £50k

Consult with Procurement when completing form, to review procurement options, implications and timescales

All expenditure needs to comply with Public Procurement Law.

Prior to placing a purchase order, you **MUST** consult with Procurement, to ensure guidelines are met.

Lead time

Make sure you leave adequate time for the procurement process. Please check the University's policies and procedures.

Purchases paid in stages

Equipment purchases are often settled in stages e.g. 10% on order, 70% on delivery and 20% on commissioning. It is important that all stage payments are included in the same PO though individual stage payments may be less than £25k.

Purchasing policies and procedures

<http://www.ed.ac.uk/schools-departments/procurement/policies-procedures/proc-timescales-thresholds>

CEA number

Where to get help

College and Support Group Finance teams can be consulted about any proposed purchase on the accounting treatment and coding

Capital Expenditure Application Form

(Major Equipment and Software)²

Date of Request	College/ Support Group & School:	Budget Year (year of expected expenditure)	CEA number: (Finance use only)

Type of Expenditure (tick as appropriate):

Equipment

Computer Hardware

Other

Computer Software

Estimated Purchase Cost

(exclude non capital items e.g. warranty)

£

Less: previously approved budget/other funding

£

Funding Required

£

Description of item(s) to be purchased (please note payment instalments , if any):

Purpose:

Description of Benefits

Estimated useful life (in years):

Cost Centre

Account (to be completed by Finance)

² For items >£200K in value, please use Business Case Capital Expenditure Application form
5-Jul-13

Capital Expenditure Application Form
(Major Equipment and Software)

CEA number:
(Finance use only)

Approvals

Requested by

Print

Signature

Position

Date

Approver

Print

Signature

College Accountant

Position

Date

Approver

Print

Signature

Head of College

Position

Date

Finance: Capital Policy

Financial Accounting
(application complies with
capital policy)

Print

Signature

Position

Date

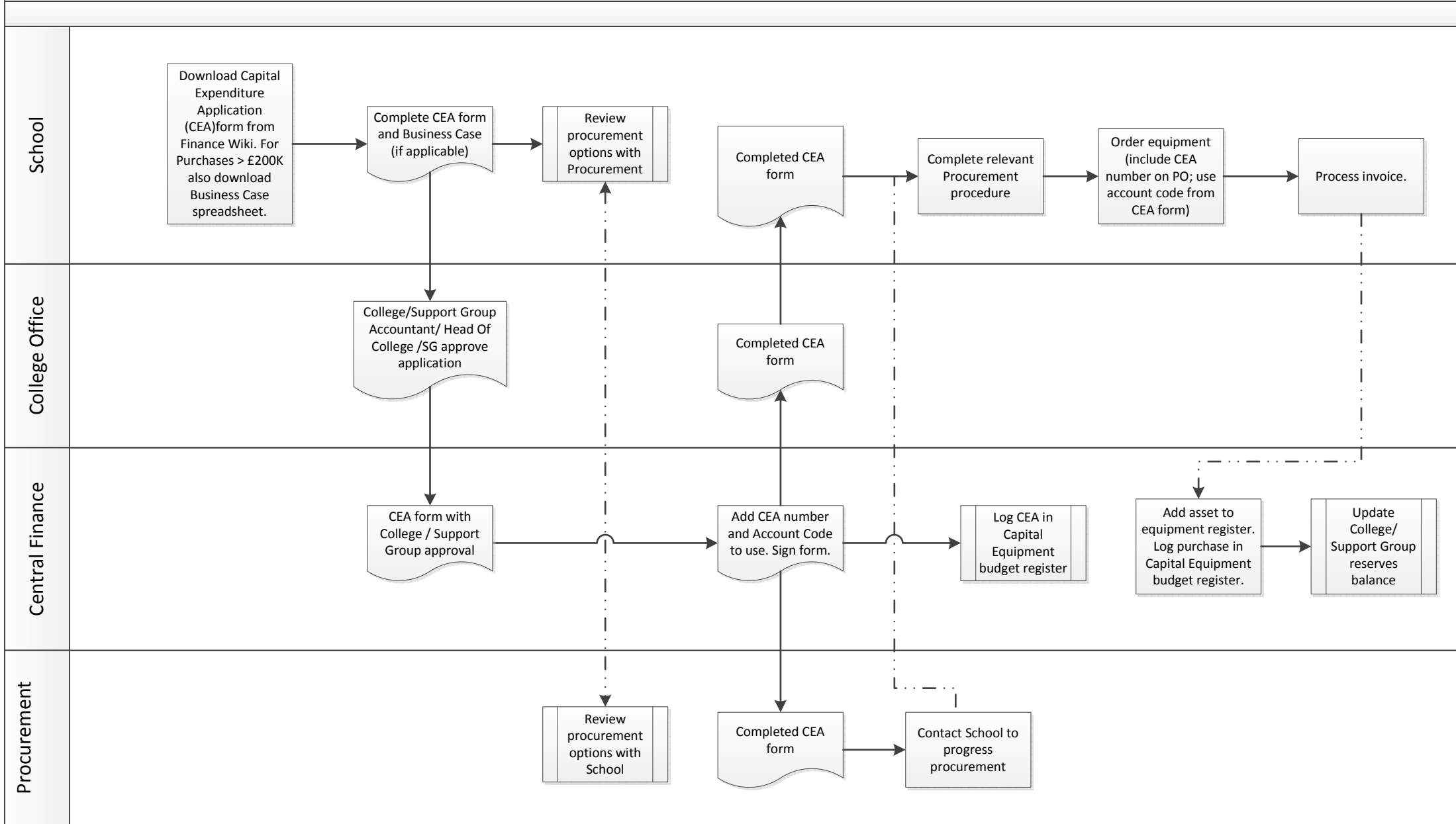
Director of Finance (if
required)

Print

Signature

Date

Process Flow for Application for budget for University Funded Capital Equipment



The University of Edinburgh

Central Management Group

22 January 2014

E

REF2014 - Final Equality Impact Analysis

Brief description of the paper

As described in the University's REF2014 Equality & Diversity Code of Practice (published July 2012) (<https://www.wiki.ed.ac.uk/display/REF2014/Equality+and+Diversity>), the University committed to publishing the final REF2014 Equality Impact Assessment (EIA). This final EIA was recently undertaken and is presented here for CMG's information and endorsement.

Overall, the REF2014 E&D Review Group¹ concluded that the final submission profiles do not suggest any concerning imbalances. No appeals against non-inclusion decisions on the basis of equality were submitted.

Action requested

For information and endorsement. The final REF2014 Equality Impact Analysis is expected to be published, as per the REF2014 Guidance on Submissions, and as described in our Code of Practice.

Resource implications

Does the paper have resource implications? No

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

Freedom of information

Can this paper be included in open business? No - Disclosure would substantially prejudice the effective conduct of public affairs.

For how long must the paper be withheld?

The paper must be withheld until the Equality Impact Assessment is published (which is expected to follow immediately upon CMG's endorsement of the Assessment).

Originator of the paper

Manya Buchan
Governance and Strategic Planning
19 December 2013

On behalf of the REF2014 Equality & Diversity Review Group

To be presented by

Tracey Slaven (Deputy Secretary, Strategic Planning)

¹ Membership: Professor Lorraine Waterhouse (Chair) (VP Equality & Diversity), Eilidh Fraser (Deputy Director of HR), Dr Rowena Arshad (HSS), Dr Anna Kenway (S&E), Professor Bob Fisher (S&E), Professor Sarah Cunningham-Burley (MVM), Dr Suzanne Trill (UCU Edinburgh), Manya Buchan (Secretary) (GaSP)

The University of Edinburgh

Central Management Group

22 January 2014

F

Equality Management Group – Term of Reference

Brief description of the paper

Earlier in 2013 CMG approved the establishment of an Equality Management Group (EqMG). The EqMG's purpose is, on behalf of the Central Management Group, to exercise strategic and management oversight of equality and diversity (E&D) for staff and students in the University and to ensure E&D policies and practices are being managed and implemented effectively at all levels of the University.

EqMG met for the first in November 2013 and discussed and proposed some minor changes to its Terms of Reference.

Action requested

1. CMG is asked to note and approve the revised attached EqMG Terms of Reference. The minor changes applied are shown in grey shading.
2. CMG is also asked to approve a proposed change of title from Equality Management 'Group' to 'Committee' which would be more in keeping with the nature of this University and strategic level forum.

Resource implications

Does the paper have resource implications? No

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? The nature of this Group is management of equality matters at University level.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Professor Jane Norman
Vice-Principal Equality and Diversity.

To be presented by

Shelia Gupta, Director of Human Resources

Equality Management Group

Terms of Reference (Revised)

Purpose

On behalf of the Central Management Group, to exercise strategic and management oversight of equality and diversity (E&D) for staff and students in the University and to ensure E&D policies and practices are being managed and implemented effectively at all levels of the University.

Remit

1. Ensure that the University meets its legal obligations and more in relation to equality, including reporting and publishing requirements, in particular under the Equality Act 2010 and the related Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012.
2. **Lead** ~~Oversee~~ the implementation of the University's E&D Strategy and Action Plan.
3. Oversee the on-going review and development of the University's E&D Strategy, including aspects of the University Strategic Plan relating to E&D in its broadest sense.
4. Stimulate and build good practice and innovation in E&D.
5. Mainstream equality into University structures, systems and processes.
6. Determine the University's E&D Action Plan, incorporating its Equality Outcomes¹, and monitor progress.
7. Identify an appropriate evidence base for E&D decision-making and monitoring.
8. Champion equality impact assessment.
9. Promote E&D and good practice through communication within the University, at all levels, and externally. Including identifying and establishing a mechanism for regular reporting on equality matters to the Group from Equality Committees/Groups and others as appropriate.
10. Review E&D governance arrangements and the Group's own performance and effectiveness.

¹ As required by the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012

Reporting

The Management Group reports to Central Management Group and through CMG to Court.

The Management Group will also provide reports to Senatus and other relevant groups. Through its membership, the Group will also ~~communicate~~ establish a mechanism for communication with Colleges/Support Groups, other E&D committees/groups and wider stakeholders, as appropriate. For example, Conveners of relevant groups/committees providing regular reports to this Group.

The Management Group's Terms of Reference and meeting notes will be published on the Equality and Diversity website.

Membership

- Convener: Vice-Principal Equality & Diversity
- All Heads of College or their nominated representatives
- All Heads of Support Group or their nominated representatives
- Representative of Senatus committees
- Convener of EDMARC
- A lay member of the University Court
- Director or Deputy Director of HR
- Representative of specialist services to students, nominated by the University Secretary
- EUSA representative

All management members of the Group have managerial responsibility for E&D action in their areas. Representatives are responsible for expressing views, taking decisions and implementing action for the areas/committees they represent.

All members of the Group shall comply with the University's Code of Conduct and are required to declare any interests which may conflict with their responsibilities as members.

Others may be invited to attend the Group, e.g. to provide expert advice, as required.

Meetings

The Group shall meet as required to fulfil its remit, which will be at least twice per year. The Group may consider some business through correspondence.



The University of Edinburgh

Central Management Group

22 January 2014

Report from Estates Committee held on 11 December 2013

Brief description of the paper

The paper reports on key discussions and recommendations made at the meeting of the Estates Committee (EC), held on 11 December 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.

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 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

Can this paper be included in open business? The paper is **closed**.
Its disclosure would substantially prejudice the commercial interests of any person or organisation
All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Paul Cruickshank - Estate Programme Administrator
Angela Lewthwaite - Secretary to Estates Committee
10 January 2014

To be presented by

Angus Currie
Director of Estates and Buildings



The University of Edinburgh

Central Management Group

22 January 2014

Report from Staff Committee- 23 October 2013

Brief description of the paper

This paper provides a summary of the key issues discussed and agreed at the meeting of Staff Committee held on 23 October 2013.

Action requested

CMG is asked to note this paper.

Resource implications

Does the paper have resource implications?

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

Risk Assessment

Does the paper have risk implications?

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

Equality and Diversity

Equality and diversity impact assessments will be carried out as part of each separate initiative where relevant.

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? Until approval has been given for the initiatives under consideration.

Originator of the paper

Sheila Gupta
Director of Human Resources
10 January 2014

The University of Edinburgh

Central Management Group

22 January 2014

Biological Services

Brief description of paper

This paper discusses proposals for the future shape and governance of the University's Biological Resources programme.

Action requested

The paper seeks approval in principle for the development of a unified management structure for the University's Biological Resources programme; and for a more detailed transition plan to be developed for agreement by March 2014.

Resource implications

None – although the proposals should lead to a more effective use of existing resource.

Risk assessment

The risk implications of the current approach and future proposals are discussed in the paper.

Equality and Diversity

There are no equality and diversity implications

Freedom of information

No this paper can't be included in open business.

Originator and presenter of the paper

University Secretary

15 January 2014

The University of Edinburgh

Central Management Group

22 January 2014

Internal Audit Report

Brief description of the paper

Senior management is responsible for governance and internal control. The attached report covers the work done by Internal Audit from April 2013 to December 2013. It is provided as part of the overall monitoring framework to help management assess the University's control environment and it highlights the significant pan-University issues arising.

Action requested

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

Resource implications

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

Risk assessment

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

Equality and diversity

The paper does not raise any equality issues.

Freedom of information

Can this paper be included in open business? Yes

Originator and presenter of the paper

Hamish McKay,
Chief Internal Auditor
10 January 2014

Internal Audit

Internal Audit Reviews - listed in the order completed from April 2013 to December 2013.

Completed audit assignments

- 1 Institute of Genetics and Molecular Medicine (IGMM) Human Genetics Unit (HGU)
- 2 Space Management – Postgraduate Taught
- 3 Key Information Sets (KIS)
- 4 Data Protection Act compliance involving student data
- 5 School of Law
- 6 Distance Education Initiative (DEI)
- 7 Insurance
- 8 Research Council Awards
- 9 School of Divinity
- 10 IT security incident reporting
- 11 Equine Vet Services - Equine Hospital
- 12 Controlled Drugs - Veterinary Services
- 13 IT Security - MVM (EEMeC)
- 14 School of Mathematics
- 15 eAuthorisations
- 16 IT Security - School of Engineering
- 17 SBS Trust Deed & Rules
- 18 SI - Online Printing Services
- 19 Feedback to Students on Course Performance (2)
- 20 Academic Collaborations
- 21 Edinburgh University RUK Bursaries
- 22 Annual Reviews
- 23 Replacement of main database servers
- 24 SI - Fraudulent diversion of funds
- 25 Bribery Act compliance
- 26 IT Security - MVM (Vets)
- 27 IT Security - School of Law

Issues arising

Issues are highlighted below where the subject has either (a) wider significance across the University and/or, (b) common themes requiring attention by senior management.

20 Academic Collaborations – issued October 2013

The University has declared an appetite for ventures such as collaborations which help it achieve 'leading edge' status. However, it also documents the risk of unsuitable collaborations being formed, and useful ones being allowed to continue when no longer delivering benefit. We found there is no clear definition of what a collaboration is. There are several categories of collaboration (teaching, research, poolings) which receive focussed oversight, but there are many other arrangements of varying size and objectives which are not formally classified as 'collaborations' and could represent an exposure. There is not a clear definition of the authorisation required in order to set up a collaboration.

19 Feedback to Students on Course Performance (2) - issued September 2013

The original audit review was prompted by the acknowledged risk to the University of continuing low scores in the student responses to questions in the National Student Survey (NSS) relating to assessment and feedback. We provided a draft audit report to management on this topic and a corresponding Interim Summary Report to the Audit Committee in September 2012. We subsequently reviewed progress in this area and were satisfied that the work proposed by management to analyse the reasons for the University's low NSS results had been completed or was underway as planned. A Remediation Strategy was in place and had been agreed by Court. There was evidence that the Remediation Strategy was being actively progressed.

10 IT Security Incident Reporting – issued June 2013

A comprehensive University wide mechanism to gather information on IT security related incidents remained a goal. Whilst the strategy on IT security incident reporting had been defined, the workable protocols and mechanisms had yet to be devised. [The recommendation to commission the Information Technology Committee to secure consensus regarding appropriate protocols and the mechanisms to achieve effective IT security incident reporting across Schools and Support Units was accepted.]

22 Annual Reviews – issued November 2013

We can provide assurance that the University has an Annual Review process in place and is actively developing policy, procedures and practice in this area. However further development is needed to align practices fully with the requirements of the University's Annual Review Policy Statement (ARPS). At the time of the audit, there was no standard system in use University-wide, for recording, monitoring and reporting on the progress/status of Annual Reviews at different organisational levels. HR have commented in the report that the Oracle HR system will be used for this purpose and that all areas of the University are now committed to recording Annual Reviews on that Oracle HR system.

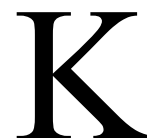
25 Bribery Act Compliance – issued December 2013

The audit focussed on the new corporate offence of 'failing to prevent bribery' as introduced by the Bribery Act of 2010. We found there is top level commitment to comply with the Act and this cascades into other areas considered to be at high risk. There are high level processes to monitor the risk and oversee activities designed to manage that risk. At the more detailed level we did a case study for one area considered to be at higher risk, and contributed suggestions for a project which is not yet underway but will have higher exposure to the risks involved; we communicated these to the appropriate line managers. The University has evidence to demonstrate positive action to prevent bribery; we had no recommendations.

2 Space Management – Postgraduate Taught – issued May 2013

The University has a strategy to increase the number of PGT students and to move towards charging market-based fees for PGT programmes in parallel with improving overall student experience, including infrastructure and learning resources. Concerns have been raised, including that a lack of space of the appropriate quality may be perceived as a restriction on the ability to increase fees and/or student numbers. Much work had already been carried out in this area, including the development of the Timetabling System and the contributions of working groups considering specific aspects of space management and student needs. However we feel that as space management now involves a wide range of stakeholders, there is a need to further clarify policy and roles and responsibilities. We recommended that the Space Management Policy is enhanced and that it is made clear who is responsible for implementing its various elements.

Hamish McKay,
Chief Internal Auditor
10th January 2014



The University of Edinburgh

Central Management Group

22 January 2014

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 22nd November 2013:

Table

1	Received since the last Audit Committee.	16
2	Actively in progress & awaiting a response.	7
3	Pending – including those with revised follow-up dates.	19

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 and presenter of the paper

Hamish McKay
Chief Internal Auditor
10 January 2014

Rolling summary

Audit Committee	Total No. of Recs checked	Actioned	% ALL recommendations reported as actioned within agreed timescale	Total No. of HIGH Recs checked	Actioned	% HIGH priority recommendations reported as actioned within agreed timescale
Feb 2013	79	40	51	11	4	36
May 2013	42	21	50	4	0	0
Sept 2013	101	77	76	19	12	63
Nov 2013	65	50	77	16	11	69

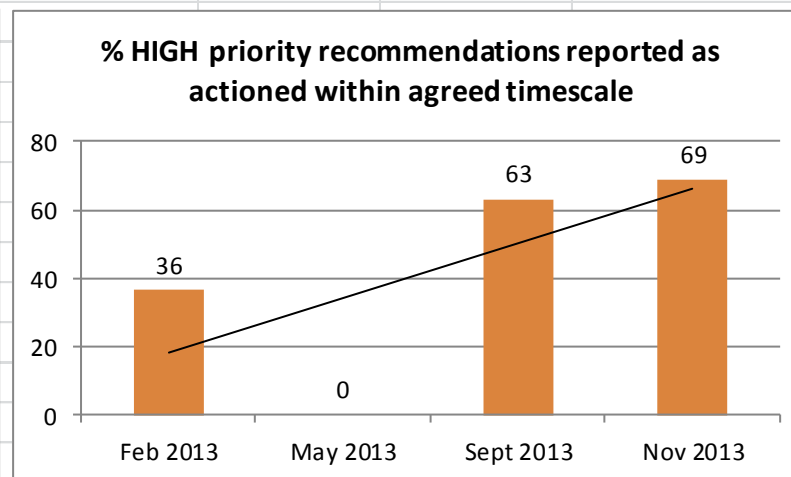
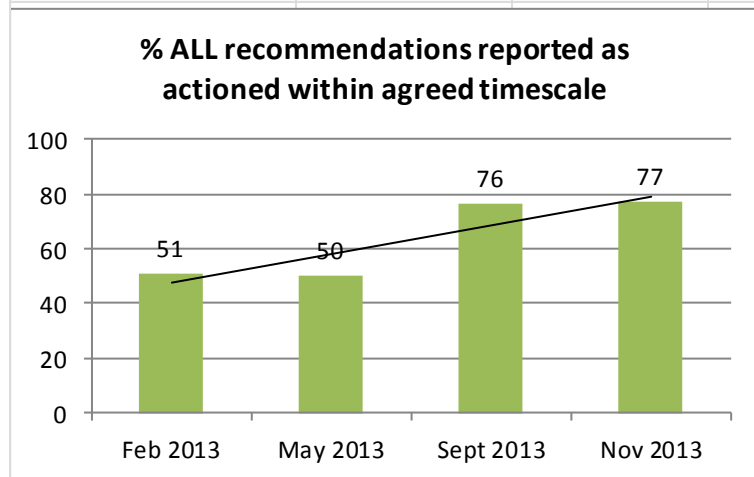


Table 1) Internal Audit Follow Up Reviews received since the previous Audit Committee - 16

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 table shows the total number of recommendations in each case. 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
2010/13	Application of Internal University IT Codes of Practice	1[0]	1[0]				Dir IT Infrastructure	ISG
2010/12	Research Grant Cost Recovery	2[0]	2[0]				CSE College Accountant	CSE
2012/35	eAuthorisations	2[1]	2[1]				Dir Finance	CSG
2011/06	Research Council Awards	3[0]	3[0]				VP Planning & Resources	----
2011/07	Research Grants Section	5[2]	5[2]				Dir Finance	CSG
2011/16	E&B Let properties	5[2]			5[2] ¹		AD Estates (Operations)	CSG

¹ There has been a delay in implementing the new Lease module in EBIS. A new 'action by' date has been agreed.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2012/03	Population of REF2014 module in PURE	3[0]	3[0]				Dep Sec Strategic Planning	SASG
2012/04	Edinburgh University RUK Bursaries	1[0]	1[0]				Dir Scholarships & Student Funding	SASG
2012/05	Personal Tutor Support Systems	3[2]	2[1]		1[1] ²		AP Learning & Student Support	SASG
2012/08	Distance Education - IT provision	3[0]	2[0]		1[0] ³		Dir IT User Services	ISG
2012/09A	School of Engineering - EXAM Application	3[1]	2[1]		1[0] ⁴		Hd of School	CSE

² 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. *[A further follow up report received in December confirmed that this recommendation is now fully actioned.]*

³ The new penetration testing application has just been made available internally. A revised date for using it on Moodle has been set for end October 2013.

⁴ Upgrade to Win7 - has been delayed due to a problem with MS Access versions (now resolved) but a new date to implement this is now needed to accommodate the examination timetable.

Report Ref	Report Title	Total Number of Recommendations	Actioned	Partly Actioned	In Progress	Not Actioned	Senior Responsibility	Coll / SGroup
2012/17	Doctoral Training Centre	1[1]			1[1] ⁵		Hd of DTC	HSS
2012/18	School of Engineering	6[0]	3[0]		3[0] ⁶		Hd of School	CSE
2012/20	School of Divinity	10[0]	10[0]				Hd of School	HSS
2012/24	Equine Veterinary Services – Equine Hospital	16[7]	13[6]		3[1] ⁷		Hd of School	MVM
2012/41	Controlled Drugs – Veterinary Services	1[0]	1[0]				Hd of School	MVM
	TOTALS	65[16]	50[11]		15[5]			

⁵ Memorandum of Understanding has been drawn up but does not yet have signatures from all HEIs. DTC Board has been informed. There has been a complete turnover of personnel at DTC Director and senior admin levels, with formerly full-time posts being part-time and/or vacant for a while, but this is being resolved. *[Update received in December that signatures from all Scottish HEI's have now been received.]*

⁶ A new web server is currently being developed which will address security issues. In parallel, the web developer is accumulating additional content to populate this. Progress will accelerate after the current priority of meeting REF (web) requirements is complete.

⁷ One element of the higher priority recommendation is outstanding. This relates to the provision of management information via the Tristan system and development work is due to be completed early in 2014.

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

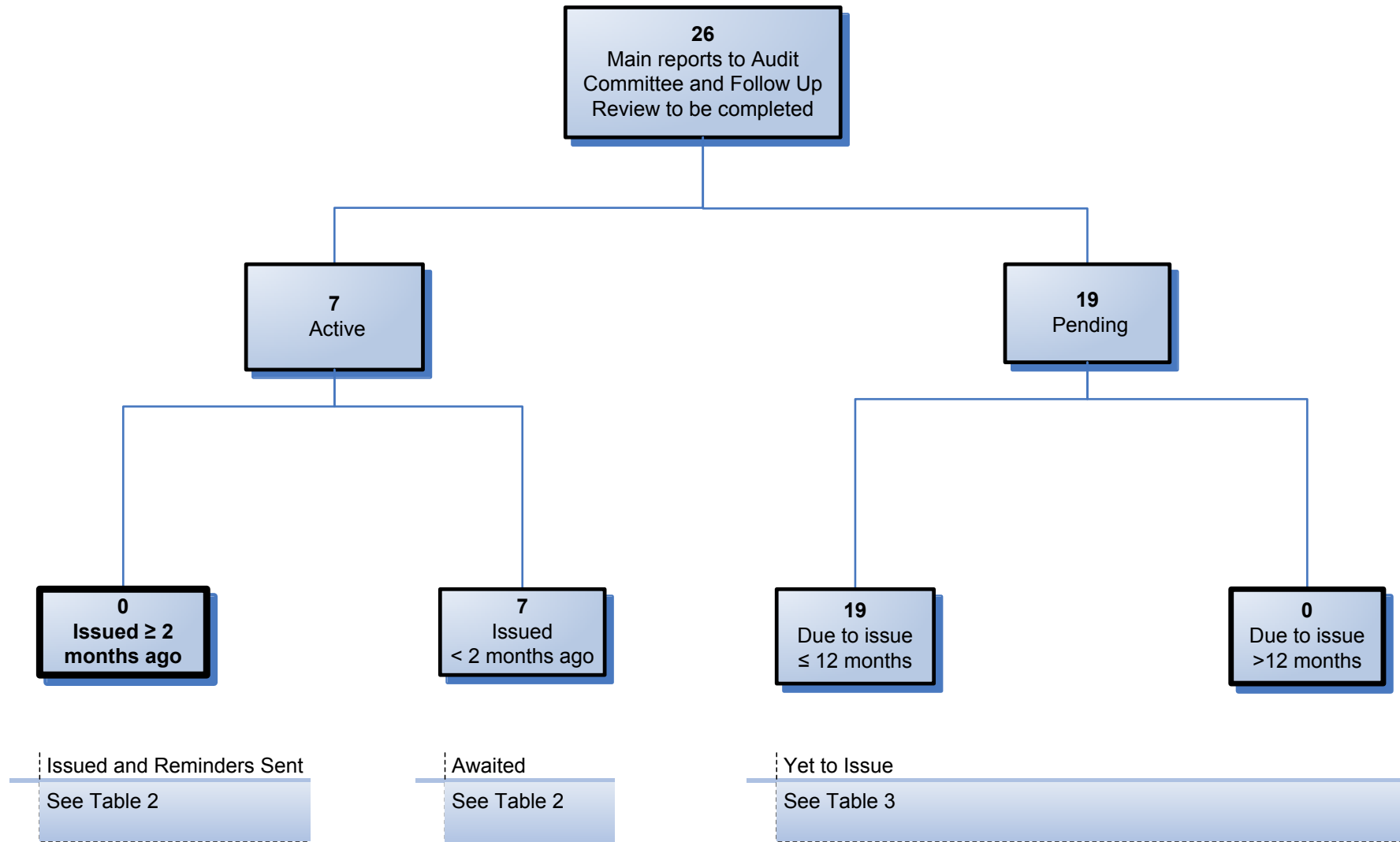


Table 2) Follow Up Reviews Actively in Progress (as at 13 November 2013) - 7

Audit Ref	Subject	Follow-up review issued Date(s)	Update for Audit Committee	Senior Responsibility	Coll / SGroup
2010/22	UoE Utilities Supply Company Limited	01/10/2013	An update was received on 20 May 2013. The Supply Agreement and Lease Agreement have yet to be signed off, but no difficulties are anticipated. The Business Plan has yet to be completed. <i>[Update received late November and 2 recommendations remain in progress and a further update is promised at the end of January.]</i>	Dep Dir Finance	CSG
2012/23	Institute of Genetics & Molecular Medicine – MRC Human Genetics Unit	01/11/2013	Interim Report from the CMVM College Registrar confirmed that one high priority recommendation was now actioned. Full response to be provided in November 2013 as scheduled. <i>[Response received late November. One higher priority recommendation remains in progress and will be re-checked in February.]</i>	Dir of IGMM	MVM
2011/16	Estates & Buildings Let Property	01/11/2013	There has been a delay in implementing the planned lease module in EBIS. A future review date has been allocated. The Ass Dir Estates (Operations) is currently out of the office. <i>[An update is being sought.]</i>	Ass Dir Estates, Operations	CSG
2012/12	Key Information Sets (KIS)	01/11/2013	<i>[Update received and recommendations actioned.]</i>	University Secretary	SASG

Audit Ref	Subject	Follow-up review issued Date(s)	Update for Audit Committee	Senior Responsibility	Coll / SGroup
2012/08	Distance Education - IT provision	31/10/2013	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. <i>[Update received and the testing has been completed.]</i>	Dir IT User Services	ISG
2012/05	Personal Tutor System	01/11/2013	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. <i>[Update received and now fully actioned.]</i>	AP Learning & Support	SASG
2012/18	School of Engineering	08/11/2013	Re-check on three outstanding recommendations. <i>[Update received that the 2 remaining recommendations are expected to be concluded by February.]</i>	Hd of School	CSE

Table 3) Follow Up Reviews Pending (as at 13 November 2013) – including those with revised follow-up dates – 19

Audit Ref	Subject	(Next) Follow-up date	Senior Responsibility	Coll / SGroup
2011/17	School of Physics & Astronomy	30/11/2013	Hd of School <i>[Update – actioned.]</i>	CSE
2011/02	UKBA Legislation - Students	15/12/2013	Dir International Office	SASG
2012/09B	IT security (MVM) - EEMeC	31/12/2013	Hd of College	MVM
2010/20	Medical Education	01/01/2014	MVM College Registrar	MVM
2011/13	Space Management - PGT	01/01/2014	VP Planning, Resources & Research Policy	----
2012/17	Doctoral Training Centre	01/01/2014	Head of DTC <i>[Update- actioned.]</i>	HSS
2012/22	Edinburgh College of Art	01/01/2014	Hd of School	HSS
2008/11	Mobile Working	14/01/2014	Dir IT Infrastructure & Dir HR	ISG
2012/32	Insurance	14/01/2014	DoF	CSG
2012/06	IT Security Incident Reporting	15/01/2014	University Chief Information Officer	ISG
2012/20	School of Divinity	15/01/2014	Head of School + Special Collections	HSS
2010/19	School of Geosciences	27/01/2014	Hd of School [& College] <i>[Update – actioned.]</i>	CSE
2012/21	School of Law	31/01/2014	Hd of School	HSS
2010/03	UKBA Legislation - Staff	01/02/2014	Dir HR	CSG
2012/24	Equine Veterinary Services - Equine Hospital	01/02/2014	Hd of School	MVM
2009/02	Financial Planning of Capital Projects	31/03/2014	DoF and Dir Estates	CSG

Audit Ref	Subject	(Next) Follow-up date	Senior Responsibility	Coll / SGroup
2012/09A	School of Engineering EXAM Application - IT Security	31/03/2014	Hd of School	CSE
2010/16	Moray House School of Education	01/06/2014	Hd of School	HSS
2012/10	Academic Collaborations	13/11/2014	Dep Secretary Strategic Planning	SASG

The University of Edinburgh

Central Management Group

22 January 2014

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Health and Safety Quarterly Report (Oct – Dec 2013); incorporating the Report from the Health and Safety Committee (November 2013)

Brief description of the paper

This paper presents information on accidents/incidents which have occurred during the quarterly period Oct to Dec 2013 and includes the Report from the meeting of the University Health and Safety Committee, held on 5th November 2013.

4 incidents which were Reportable to the Enforcing Authorities are summarised. 1 was due to an employee being absent from work for more than 7 days following an accident at work, 2 were Reportable because a member of the public (postgraduate, undergraduate or visitor) attended hospital for assessment and /or treatment and 1 was an Occupational Disease. Notable accidents and incidents, which were not Reportable to an Enforcing Authority, are also included.

Developments and issues covered in the Report from Health and Safety Committee (Appendix 1) include: fume cupboards and fume cupboard performance testing; review of occupational health provision; Healthy Working Lives gold award; partnership auditing programmes; Radiation Protection Unit Annual Report 2012/13; RETAIN – high risk materials recording system; accident and incident reporting system; report from Estates and Buildings; occupational health services for students; physiotherapy service with FASIC; changes to accident and incident reporting requirements; sustainable laboratories, Investors in People; e-cigarettes, and structural changes within MVM.

Action requested

For information - CMG is requested to note the content of this paper, including the more detailed accident etc. statistical information in Appendix 2.

Resource implications

Does the paper have resource implications? No

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 particular equality and diversity implications attached to the above.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Karen Darling / Alastair G. Reid, Deputy / Director of Health and Safety
10 January 2014

To be presented by

Vice-Principal Mr Nigel Paul
Vice Principal and Director Corporate Services

Health and Safety Quarterly Report 2013-2014

Quarterly reporting period: 1st October-31st December 2013 (Quarter One)

Accidents and Incidents

Type of Accident/Incident	Quarter 1 Oct-Dec 2012	Quarter 1 Oct-Dec 2011	Year to Date 1 Oct 2012 – 31 Dec 2013	Year to Date 1 Oct 2011 – 31 Dec 2012
Fatality	0	0	0	0
Specified Major Injury	0	0	0	0
7 day Absence (7 day injury)	1	1	1	1
Public to Hospital	2	4	2	4
Reportable Dangerous Occurrences	0	0	0	0
Disease	1	0	1	0
Total Reportable Accidents / Incidents	4	5	4	5
Total Non-Reportable Accidents / Incidents	86	114	86	114
Total Accidents / Incidents	90	119	90	119

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

Incidents Reported to the Enforcing Authorities during the quarter:

- The Injured Person (IP) slipped on water on a bathroom floor in student accommodation, and hit her hand on the toilet bowl as she fell. The shower had recently been on and water had pooled on the floor. The IP has been signed off work for at least 2 weeks. The IP had received training regarding hazards of working in a wet environment in November 2012 and was due to attend a refresher session in November 2013. The training and safe system of work both emphasise the need to check for water in any bathrooms before entering. The floor itself was non slip and in good condition. Supervisors have been asked to remind staff of these hazards. (*> 7 day injury*).
- The IP was using a scalpel to remove a plastic cup being used as a plaster mould. The scalpel slipped and pierced his pinkie finger. First Aid was administered but as precaution, the IP attended A&E where the cut was re-dressed. ECA Safety Adviser discussed other ways of removing the plastic cup with IP and it was agreed that holding a cup on the table surface instead of in his hand may have avoided this incident. IP was also reminded of the guidance available in the ECA Safety handbook regarding knives and this information has also been given to the Technician overseeing this workshop to display in the area. (***Public to Hospital***).
- IP was cutting a piece of perspex into 50mm squares using a bandsaw for which he had received appropriate training, and used regularly during his undergraduate course. The means of guarding this type of job is complicated, and the IP reached between the guard and the blade to move the perspex, whereupon the blade caught the back of his hand. Finger guards and push sticks were available, but not used by the IP. New procedures have been introduced to maximise the effective guarding of this type of work. (***Public to Hospital***).

Incidents Reported to the Enforcing Authorities during the quarter (cont.):

- IP has worked at the University of Edinburgh since 2003. Prior to working at the UoE the IP suffered from asthma and had a known allergy to rodents. Close attention has therefore been given to minimising her exposure to Laboratory Animal Allergens (LAA), and her asthma has been closely monitored by her G.P. and followed up by the University's Occupational Health Unit. The IP has been face-fit tested and, outside the Animal Unit, works on samples within a microbiological safety cabinet or on a downdraft table. When the possibility of LAA exacerbating her asthma arose, the IP was asked to refrain from entering the animal unit and from rodent exposure. The UoE is discussing the on-going management of this case based on the NHS specialist's recommendations, in conjunction with the University's Occupational Health Physician and local HR and management colleagues. HSE is to investigate this case, as it is RIDDOR Reportable. (**Occupational Disease**).

Note: IP = Injured Person

Other significant incidents which were not Reportable to the Enforcing Authorities by UoE

- A non-injury incident occurred in a lecture theatre in the central area, when a wall mounted projector fell off the wall, as the lecturer pulled a cord to retract the projector screen. On investigation, it was found that one of the main fixing screws was loose. IS instigated a check of all other similar screens to examine similar fixings and also initiated programmes to check these manual screens on a regular basis, and to replace manual screens with electrically operated models.
- Another non-injury incident of note involved a tractor driving along Gilmerton Road, with its front bucket elevated. The bucket struck a handrail projecting from a small scaffold and pulled the scaffold partly away from the wall. No one was on the scaffold at the time and the damaged structure was repaired on the same day.
- During a non-routine maintenance operation in the Main Library, library users reported a strong smell, which was causing some staff members to feel nauseous. Contract work with a pungent floor sealant in a plant room suite was stopped until an investigation was completed. The substance in use was not deemed harmful to the users of the building, although it did have a very strong odour when first applied. The work procedure was changed to ensure the areas were adequately ventilated and users of the building were informed of the possibility of intermittent strong smells by the IS Facilities team.
- A lift maintenance engineer fell around 2m from an access ladder whilst accessing a lift shaft within the Queen's Medical Research Institute. He suffered a pelvic injury, which exacerbated a pre-existing condition, and necessitated attendance at A&E. Responsibility for RIDDOR reporting of this incident lay with the casualty's employers, who fulfilled that duty and kept University E&B informed.

Report from Health and Safety Committee (November 2013) Please see Appendix 1.

APPENDIX 1

REPORT TO CMG FROM THE MEETING OF THE UNIVERSITY HEALTH AND SAFETY COMMITTEE, HELD ON TUESDAY 5TH NOVEMBER 2013.

1. FUME CUPBOARDS AND FUME CUPBOARD PERFORMANCE TESTING

The review of the University's fume cupboard performance and testing programme is nearing completion and a report is expected late 2013. The review indicated that Estates and Buildings testers have maintained and developed the long standing testing scheme, providing a responsive and flexible approach to accommodate significant developments in fume cupboard equipment design. The University Health and Safety Policy and fume cupboard performance testing scheme will be updated to reflect the excellent practice which is in place. The working group is likely to recommend that fume cupboard performance testing remains the responsibility of Estates and Buildings.

2. REVIEW OF OCCUPATIONAL HEALTH PROVISION

The independent external review of all aspects of the provision of occupational health services across the University is ongoing. This review will benchmark current practice and identify areas of development over the next few years. Effective occupational health provision involves a partnership between occupational health professionals, human resources professionals and line management interaction with individuals

The Review Steering Group has met, and consultation with the Trade Unions, and others within Schools via focus groups, are taking place in November and December. The results of this review exercise are expected in early 2014.

3. HEALTHY WORKING LIVES GOLD AWARD

Following a review / assessment exercise in May, the University maintained the Gold level Healthy Working Lives (HWL) award, acknowledging the wide range of health and wellbeing initiatives in place across the University. This award is valid for a further three years, and we will continue to receive annual visits from our local NHS Health Promotion Adviser during this time.

4. PARTNERSHIP AUDITING PROGRAMMES

The next two years of the University's partnership auditing programme with Aon will consider themes highlighted by the previous management/compliance audit cycle as areas with the potential for improvement: self-inspection at School etc. level, health and safety training / record keeping; health surveillance requirements for students working with animals, and working with display screen equipment. These areas of activity offer the opportunity to spread the best practice in evidence in some areas of the University more widely across the institution.

The recent engineering audit of liquid nitrogen storage facilities, in partnership with WS Atkins is now complete. This audit was concerned with the hardware side of installations, including tanks and pipework, as well as the management systems

including maintenance records, risk assessments and training records. Only one installation threw up significant issues and temporary ventilation solutions have been applied, whilst a permanent solution is progressed.

5. RADIATION PROTECTION UNIT ANNUAL REPORT 2012/2013

The University Radiation Protection Adviser (URPA) presented the Radiation Protection Unit (RPU) Annual Report 2012/2013. The Assistant Radiation Protection Adviser (ARPA) is now an authorised 'Radioactive Waste Adviser', as is the URPA. There were no known significant ionising or non-ionising radiation exposures / overdoses during the reporting period, however, two incidents of note were discussed.

Three visits were made to the University by the Health and Safety Executive (HSE) radiation specialist inspector. Twelve visits were made by a Scottish Environment Protection Agency (SEPA) inspector, and a number of visits were made by the Counter Terrorist Security Adviser. All of these visits were routine, with no significant adverse comments made.

The RPU has given two lectures on radiation emergency arrangements to representatives of the Scottish Fire and Rescue Services at the Fire Service College, Gullane.

A School within the College of Humanities and Social Sciences purchased a handheld X-ray Fluorescence analyser. It became apparent that the equipment, which was software controlled, had intermittent faults. The HSE were notified and on inspection, took the device into their possession for further investigation. The results of this HSE investigation are awaited. The HSE has asked the University to review its arrangements for the purchase of radioactive equipment, in order to ensure that risk assessments are carried out on new radiation emitting equipment prior to its use, and this is being progressed.

The RPU hosted the 2013 conference of the Association of University Radiation Protection Officers, which was very successful.

6. RETAIN – High Risk Materials Recording System

The Health and Safety Department has recently completed a project with Information Services (IS) to build a system to improve the management of information on the University's high risk materials. The system called RETAIN, stores information securely on the use, location, quantity and disposals of radioactive, and some biological, materials.

7. ACCIDENT AND INCIDENT REPORTING SYSTEM

The Health and Safety Department has recently started a project with Information Services (IS) to update the online accident and reporting system. The system now needs to move to a more stable platform with supported infrastructure, and this project will also enable us to incorporate a number of enhancements.

8. REPORT FROM ESTATES AND BUILDINGS

The Director of Estates and Buildings (E&B) Angus Currie, a leading supporter of health and safety and someone who has carried significant health and safety responsibilities on behalf of the University, has announced his intention to retire from his position in Spring 2014. The committee recorded their thanks for his work and looked forward to working with his successor.

A legal compliance paper which outlines the areas where Estates and Buildings take the lead on behalf of the University is submitted to the Estates Committee in December each year. This report includes information on health and safety compliance issues including, asbestos, water, legionella, electricity supply, gas supply, construction and the management of contractors, fume cupboard testing, pressure vessels, lifting equipment, and lifts.

Estates and Buildings are working in conjunction with Edinburgh University Students Association (EUSA) specifically looking at extending the provision of drinking water so that it is more widely available to the student body. A working party has been set up to look at the logistics and resource implications of extending their drinking water provision.

The 2013 Festival activities were very successful with no significant issues. The Festivals activities have a significant resource involvement for E&B staff and therefore this year E&B appointed a dedicated Festivals Co-ordinator to liaise with the Festivals Office, and local contacts within Schools on estates issues in the lead up to and during the Fringe / Festival. This appointment made a significant contribution to ensuring interactions between E&B and festival companies were efficient and effective.

Estates and Buildings have engaged the services of a former Health and Safety Executive (HSE) Electrical Inspector to review the University's arrangements for electrical safety, and in particular portable appliance testing. This review is now complete and the final report is due at the end of the year. Accommodation Services are restricted in their ability to vary their electrical testing arrangements due to the demands from the City of Edinburgh Council with regard to House of Multiple Occupancy (HMO) requirements.

Estates and Buildings will be managing a large number of significant building projects in the central area during 2014 and discussions have begun to ensure good cooperation, co-ordination, communication and control between the various contractors who will be involved.

9. OCCUPATIONAL HEALTH SERVICES FOR STUDENTS

Further consideration has been given to the principle and logistics of extending the Occupational Health Unit's (OHU) remit, which is currently limited to providing a service to members of University staff, to include provision of health surveillance initially for Undergraduate (UGS) and Postgraduate students (PGS) who work with animals in the course of their study programmes. Such an extension of provision will be in line with guidance issued by the Higher Education Occupational Physicians / Practitioners (HEOPS).

The approaches for assistance from Schools and the potential risk exposures have combined to require a re-assessment of this remit, in order to protect the health of our UGS and PGS, and reduce the University's risk exposure. This development will also provide an opportunity to raise the standard of health and safety looking toward their professional careers and enhance the student experience.

It is acknowledged that accommodating students who work with animals would be likely to be the thin end of the wedge, as demand for other occupational/study health services would almost certainly follow in due course, paralleling the development and evolution of the OHU's service to staff.

The associated resource implications, in terms of man-power, skill sets and finances, are under discussion.

10. PHYSIOTHERAPY SERVICE WITH FASIC

The Occupational Health Unit will be providing an additional service to support the physiotherapy treatment service provided by GPs, via the expert input from the Head Physiotherapist, in the Centre for Sport and Exercise's (CSE's) Fitness Assessment and Sports Injury Centre (FASIC).

This service will provide employees with quicker access to physiotherapy services than is normally available on the NHS, which will help employees to return to work more quickly. Access to this service will be via a referral from the Occupational Health Unit.

11. CHANGES TO ACCIDENT AND INCIDENT REPORTING REQUIREMENTS (RIDDOR REGULATIONS)

The updated version of the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) came into effect on 1st October. The main changes include (a) fewer injuries which are reportable to the Health and Safety Executive (HSE), (b) fewer reportable work related illnesses, and (c) fewer reportable dangerous occurrences.

These changes will appear to make our Reportable accident statistics more favourable compared to previous years. The Health and Safety Department have adopted a system to flag up the more serious non-Reportable events, to ensure they are fully investigated and that we continue to learn from such incidents.

12. SUSTAINABLE LABORATORIES

As part of the University's sustainability efforts, Estates and Buildings are working with Schools to consider ways of minimising energy usage across the University's estate. One area which has been identified as a large 'user' of energy is within general laboratories, where 8 air changes per hour is the industry standard.

A system has been installed with apparent success across a number of American Universities which has the potential to reduce laboratory ventilation usage, however, the technology is new to the U.K. and this type of system has been installed within a

very small number of organisations within the U.K. This type of system is not suitable for all laboratories.

This approach works by reducing the number of air changes per hour down from 8, to 2, and continuously samples and analyses the air within laboratories for a number of parameters, adjusting the laboratory's ventilation system automatically when appropriate.

This system undoubtedly has the potential to significantly reduce the energy costs associated with ventilation, within certain laboratories, although the impact on air quality and lab worker safety as a result of reducing the general number of air changes within labs from 8 down to 2, as standard, needs to be further considered. External expert advice will need to be sought on any decision to move away from the industry standard of 8 air changes per hour, if we were to implement this new technology. Another issue to be considered is that the use of laboratories can change quickly within the organisation. This type of technology is being carefully considered looking at the wider aspects and not concentrating solely on the energy savings.

13. INVESTORS IN PEOPLE

The Health and Safety Department underwent its three year Investors in People (IiP) review in August. This was a positive review and the Department's IiP status has been renewed, and upgraded to Bronze level.

14. E-CIGARETTES

The use of electronic cigarettes is becoming more prevalent and the University is keen to take a responsible approach to their use. The British Medical Association (BMA) believes the existing smoke-free legislation in place in the UK should be extended to include vapour from e-cigarettes. As an interim measure, the BMA recommend that e-cigarettes are prohibited in workplaces and public places, in order to (a) limit second-hand exposure to the vapour exhaled by the user ('passive vaping'), and (b) to ensure their use does not undermine smoking prevention and cessation by leading people to believe it is acceptable to smoke. The University's smoking policy will be updated in line with the BMA guidance on the use of e-cigarettes.

15. STRUCTURAL CHANGE WITHIN MVM

It is understood that the College of Medicine and Veterinary Medicine proposes to implement significant changes to the management structure within the College over the next few years, moving away from the traditional School model. These proposed changes seem likely to set it apart from the management structures within the Colleges of Science and Engineering and Humanities and Social Science.

Implications for the University Health and Safety Policy, key parts of which concentrate on the role and responsibilities of Heads of School, need to be borne in mind during the change process.

Alastair Reid
Director of Health and Safety
8th January 2014

Accidents & Incidents

Quarterly period: 01/10/2013 – 31/12/2013

Year to Date Period: 01/10/2013 – 31/12/2013

(First Quarter)

COLLEGE / GROUP	REPORTABLE (TO HSE) ACCIDENTS / INCIDENTS														TOTAL Non-Reportable Accidents / Incidents		TOTAL ACCIDENTS / INCIDENTS	
	Fatality		Specified Major Injury		>7 day injury		Public to Hospital		Dangerous Occurrences		Diseases		TOTAL Reportable Acc / Inc		Qtr	Ytd	Qtr	Ytd
	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd	Qtr	Ytd				
Humanities & Social Science	-	-	-	-	-	-	2	2	-	-	-	-	2	2	6	6	8	8
Science & Engineering	-	-	-	-	-	-	-	-	-	-	-	-	-	-	21	21	21	21
Medicine & Veterinary Med.	-	-	-	-	-	-	-	-	-	-	1	1	1	1	21	21	22	22
SASG	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4	4	4	4
Corporate Services Group	-	-	-	-	1	1	-	-	-	-	-	-	1	1	32	32	33	33
ISG	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2	2	2	2
Other Units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
UNIVERSITY	-	-	-	-	1	1	2	2	-	-	1	1	4	4	86	86	90	90

* Units noted below taken from organisational hierarchy report 03/08/12 - <http://www.ed.ac.uk/schools-departments/governance-strategic-planning/organisational-hierarchy/current-org-hierarchy>

SASG: Student and Academic Services Group: Biological Services, Communications and Marketing, Development and Alumni, Governance and Strategic Planning, Student and Academic Services, Student Recruitment and Admissions, Student Services, International Office

ISG: Information Services Group: Applications, Digital Curation Centre, EDINA & Data Library, Information Services Corporate, Infrastructure, Library and Collections, User Services Division

CSG: Corporate Services Group: Accommodation Services, Centre for sport and Exercise, Corporate Services Group, Edinburgh Research and Innovation, Edinburgh University Press, Estates and Buildings, Finance, Human Resources, Internal Audit, Procurement Office (inc. Printing Services), Health & Safety

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

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

22 January 2014



Migration Management Group Update (Tier 4 Student and Tier 2/5 Employment Category Licences)

Brief description of the paper

A briefing of activities and developments within the Migration Management Working Group, the International Office, Academic Registry and Corporate HR, relating to compliance with Tier 4, Tier 2 and Tier 5 sponsorship requirements as required in the immigration rules.

Action requested

- For information
- To note formally

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk analysis? No formal risk analysis is included, but items of risk are noted.

Equality and diversity

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

Paper relates to legislative requirements of the immigration rules.

Freedom of information

Can this paper be included in open business? No. Disclosure would substantially prejudice the commercial interests of any person or organisation and please see other relevant information,

For how long must the paper be withheld? Until March 2017

Any other relevant information

Paper is for information and noting and will not be presented formally. It highlights areas of substantial sensitivity in relation to organisational compliance with government legislation.

Originator of the paper

Euan Fergusson, International Student Support Manager, University of Edinburgh

To be presented by

University Secretary



The University of Edinburgh

Central Management Group

22 January 2013

Annual Report and Accounts

Brief description of the paper

The Annual Report and Accounts for the Year to 31 July 2013 were reviewed by F&GPC and the Audit Committee at their meetings in November and approved at the Court meeting in December 2013. Copies of the Annual Report and Accounts have been lodged with the Scottish Funding Council and are available in full online at <http://www.ed.ac.uk/schools-departments/finance/transparency/financial-statements/2010-19>, together with copies the Andrew Grant Bequest Financial Statements. Key highlights from 2012-2013 are detailed in the paper and include:

- the ratio of operating surplus total income was on target at 5%;
- the value of the University's research was 15% higher than the previous year.

The presentation of the Annual Report and Accounts is substantially improved and has been updated to reflect best practice. The paper presents the highlights section of the Annual Report and Accounts. Changes in the physical presentation of the Annual Report and Accounts have been made to bring it into line with the University's Annual Review format, allowing these two documents to be presented together as an integrated pack. In addition, new sections have been added on the University's strategy and value model, risks, and social responsibility and sustainability. Existing sections including the Principal's report, the corporate governance statement, the financial review and performance statistics have been revised. Our thanks go to colleagues in CSG, Communications and Marketing, and GASP who helped us to deliver these changes. A companion website is also being developed with IS to display this information electronically.

A separate report on the governance, performance and monitoring arrangements for the Endowment Fund has been prepared for the first time and this is available at the same link.

Action requested

CMG are asked to note the paper.

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Equality and Widening Participation is a key strategic theme for the University. The Annual Report and Accounts include high level activities carried out in this area during 2012-13

Freedom of information

Can this paper be included in open business? Yes.

Originators of the paper

Elizabeth Welch
Assistant Director of Finance
10 January 2014

To be presented by

Mr Phil McNaul
Director of Finance



THE UNIVERSITY *of* EDINBURGH

Annual Report and Accounts
for the year to 31 July 2013

www.ed.ac.uk

Our Vision

To recruit and develop the world's most promising students and most outstanding staff and be a truly global University benefitting society as a whole.

Strategic Review

Overview

02 Principal's report

Strategy and value model

06 Strategy and value model
10 Understanding our risks

Financial review

14 Financial review

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The University of Edinburgh at a glance

Our strategic goals



Excellence in education



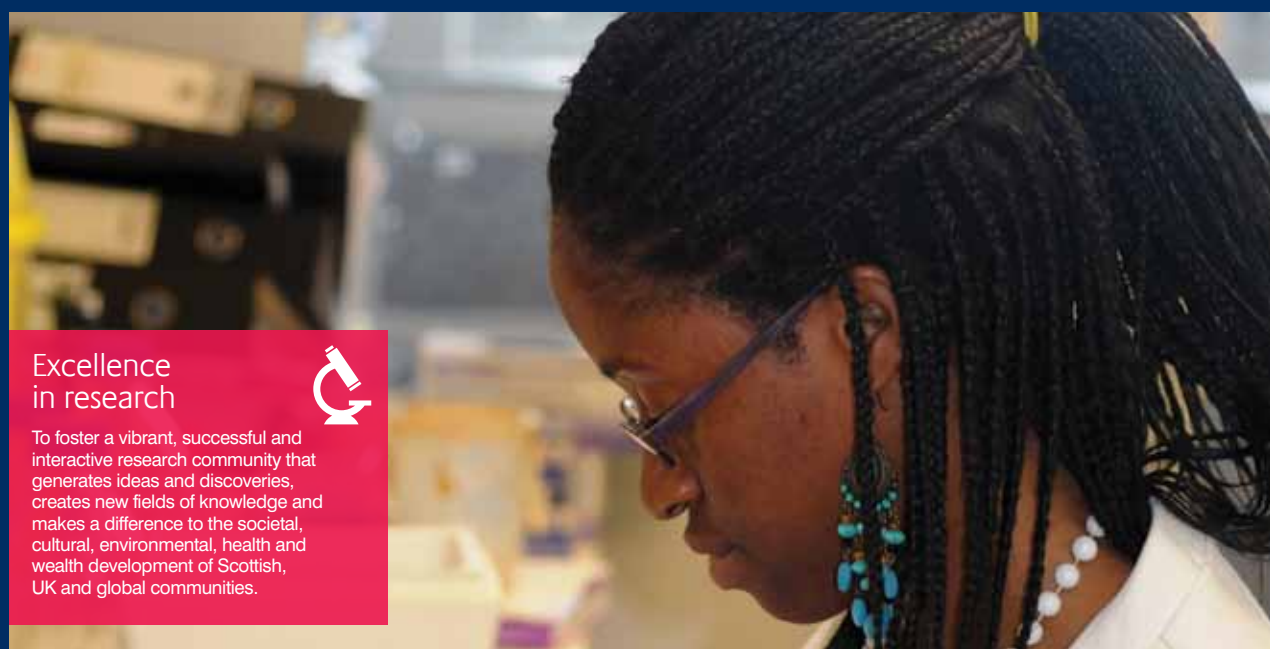
To stimulate in our students a lifelong thirst for knowledge and learning and to encourage a pioneering, innovative and independent attitude and an inspiration to achieve success within and beyond the University.




Excellence in innovation



To ensure our knowledge, ideas, skills and expertise are transformed into advice and opinion, innovation, intellectual property, enterprise and wealth, thereby realising national and international objectives and enriching society.



Excellence in research



To foster a vibrant, successful and interactive research community that generates ideas and discoveries, creates new fields of knowledge and makes a difference to the societal, cultural, environmental, health and wealth development of Scottish, UK and global communities.

Our percentage of UK/EU graduates in employment and / or further study after six months is 93 per cent and remains higher than the UK and Scottish averages.*

University world league table position*

2013	17th
2012	21st
2011	20th
2010	22nd

*Source: QS World University Rankings.

Student numbers

2013	32,864
2012	31,335
2011	28,974
2010	28,394

More than 80 per cent of those who went into employment entered graduate-level jobs.

Staff head count to 31 July

2013	12,560
2012	10,886
2011	7,828
2010	7,920

*Source: HESA Destination of Leavers of Higher Education. Survey, published July 2013.

Campuses and land area values (£m)

Central Area	£737m
King's Buildings	£139m
Western General	£37m
Little France	£133m
Easter Bush	£111m

Highlights of 2013:

A strong financial position

Total revenue (£m)

2013	738
2012	701
2011	649
2010	634

Total net assets (£bn)

2013	1.7
2012	1.6
2011	1.5
2010	1.4

EBITDA (£m) (Earnings before interest, tax, depreciation and amortisation)

2013	58
2012	63
2011	59
2010	43

Total research income (£m)

2013	200
2012	193
2011	181
2010	185

15%

The value of the University's research applications in financial year 2012/13 was 15 per cent higher than the previous year.

20%

The value of the University's research awards received in 2012/13 was 20 per cent higher than the previous year.

35:50

The University created 35 new companies and completed 50 commercial licences.

£350m

The University has a current live programme of capital projects valued at £350 million.

5%

In 2012/13 the ratio of operating surplus to total income was on target at five per cent.

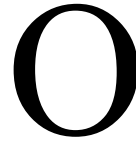
To view our annual report and accounts online, please visit:
www.ed.ac.uk/schools-departments/finance

The University of Edinburgh

Central Management Group

22 January 2014

**Management Accounts
Four Months to 30 November 2013**



Brief description of the paper

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

Action requested

The paper is for information.

Resource implications

None.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

None.

Any other relevant information

None.

Freedom of information

Can this paper be included in open business? No

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

The paper should be withheld until after publication of the University's Annual Accounts for 2013-14 (i.e. 31st December 2014).

Originator of the paper

Lorna McLoughlin
Senior Management Accountant

10 January 2014

To be presented by

Mr Phil McNaul
Director of Finance

The University of Edinburgh

Central Management Group

22 January 2014

Quarter 1 Management Accounts Forecast 2013-14

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Brief description of the paper

The University Group's Quarter 1 Management Accounts Forecast for 2013-14, including subsidiary companies.

Action requested

The paper is for information and discussion.

Resource implications

As indicated in the paper.

Risk Assessment

The continuing financial health of the University.

Equality and Diversity

The paper raises no equality issues.

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?

The paper should be withheld until after publication of the University's Annual Accounts for 2013-14 (i.e. 31st December 2014).

Originator of the paper

David C I Montgomery
Deputy Director of Finance

December 2013

To be presented by

Mr P McNaul
Director of Finance



The University of Edinburgh

Central Management Group

22 January 2014

Ten-Year Forecast: 2013-14 Quarter 1

Brief Description of the paper

The paper presents the latest update to the Ten Year Forecast of Income & Expenditure, based upon Quarter 1 data, together with the Balance Sheet and cash flow reflecting the current Estates Development programme, and some key performance indicators.

The first 3 years of the 10 Year Forecast seek to reflect the current planning round and associated Resource allocation model.

Action requested

For review and comment.

Resource implications

As described in the paper.

Risk Assessment

The continuing health of the University.

Equality and Diversity

No assessment – the paper focuses on financial considerations

Freedom of Information

Closed business.

Originators of the paper

Kevin McGuinness, Project Management Accountant

David Montgomery, Deputy Director of Finance

29 November 2013

To be presented by

Mr Phil McNaull

Director of Finance



The University of Edinburgh

Central Management Group

22 January 2014

Change in title of Chair in Clinical Reproductive Science

Brief description of the paper

To change title of Chair in Clinical Reproductive Science to Eslie Inglis Chair in Reproductive Science to recognise the outstanding role of women and to encourage women in the early stages of a medical career to consider a career in academic medicine.

Action requested

CMG is invited to:

1. consider and endorse the proposal and;
2. to recommend Senate and Court to adopt the appropriate resolution to alter the current title.

Resource implications

Does the paper have resource implications? No

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.
This change will highlight the important role pioneering have women made to medicine.

Freedom of information

Can this paper be included in open business? Yes
If no, please indicate within the table below why the paper must be withheld, and for how long.

Originator of the paper

Professor Hilary Critchley
Head of School
Clinical Sciences

To be presented by

Hugh Edminston
College Registrar, College of Medicine Veterinary Medicine

College of Medicine and Veterinary Medicine
School of Clinical Sciences

CHANGE IN CHAIR TITLE OF CHAIR in CLINICAL REPRODUCTIVE SCIENCE

The College of Medicine and Veterinary Medicine wishes to recognise outstanding, pioneering women with a view to encouraging women in the early stages of a medical career to consider a career in academic medicine.

Elsie Inglis began her studies at the new Edinburgh School of Medicine for Women in 1886 and completed her medical training at the Glasgow Royal Infirmary. Once qualified, Elsie Inglis became concerned with the existing poor standard of care and lack of specialisation for the care of female patients. Wishing to improve medical care for women, she helped establish a maternity hospital and midwifery resource centre for destitute women in Edinburgh which was staffed entirely by women. This eventually resulted in the building of the Elsie Inglis Memorial Maternity Hospital in 1925 which finally closed in 1988 as part of the Royal Infirmary of Edinburgh and Associated Hospitals Unit.

After discussions and approval from the Head of College and the holder of the Chair in Clinical Reproductive Science, Professor Richard Anderson, the School of Clinical Sciences wishes to rename the aforementioned Chair the Elsie Inglis Chair in Clinical Reproductive Science to recognise the outstanding ground breaking achievements of Elsie Inglis.

ACTION:

Central Management Group is invited to endorse the proposal from the School of Clinical Sciences and to invite Senate to support the proposal and invite Court to adopt the title in preparing a resolution to alter the current title of the Chair.

Professor Hilary Critchley
Head of School, Clinical Science
12 December 2013