



THE UNIVERSITY of EDINBURGH

Central Management Group Meeting
Raeburn Room, Old College
8 October 2014, 10am

AGENDA

- 1 **Minutes** A
To approve the minutes of the previous meeting held on 20 August 2014.
- 2 **Matters Arising** Verbal
To raise any matters arising.
- 3 **Principal's Communications** Verbal
To receive an update by the Principal.

SUBSTANTIVE ITEMS

- 4 **Home Office - Student Migration - University of Edinburgh** B
To note and support an update report by Deputy Vice-Principal, International.
- 5 **Outcome Agreement - 2015 Cycle including Draft Self-Evaluation of 2013-14 Agreement** C
To consider the paper by Deputy University Secretary, Strategic Planning.
- 6 **Planning Guidance 2015/2016** D
To note the paper by Deputy University Secretary, Strategic Planning.
- 7 **Outcome of UNPRI review and next steps** E
To approve the proposals and consider two specific areas highlighted in the paper by the Director of Social Responsibility and Sustainability.
- 8 **Edinburgh BioQuarter** F
To comment on the proposals in the paper by the Director of Corporate Services.
- 9 **Relocation – An aid to recruitment** G
To consider and comment on the proposals in the paper by Senior HR Partner Resourcing

If you require this agenda or any of the papers in an alternative format e.g. large print please contact Dr Katherine Novosel on 0131 650 9143 or email Katherine.Novosel@ed.ac.uk

ROUTINE ITEMS

- | | | |
|-----------|---|------------------|
| 10 | Finance's Director's Update | H |
| | To <u>note and consider</u> the update by Director of Finance. | |
| 11 | University Management Accounts for the year 2013-14 – Flash Report | I |
| | To <u>consider and note</u> a paper by Director of Finance. | |
| 12 | Internal Audit Status Report | J |
| | To <u>note</u> a report by the Chief Internal Auditor. | |
| 13 | English Language Teaching Centre: Strategic Vision | K |
| | To <u>consider</u> this paper by Head of English, ELTC. | |
| 14 | Paper Withdrawn | Withdrawn |
| 15 | Any Other Business | Verbal |
| | To <u>consider</u> any other matters by CMG members. | |

ITEMS FOR FORMAL APPROVAL/NOTING (Please note these items are not normally discussed.)

- | | | |
|-----------|---|----------------------|
| 16 | Principal's Strategy Group | M |
| | To <u>note</u> . | |
| 17 | Fee Proposals | N |
| | To <u>approve</u> . | |
| 18 | Joint Zhejiang-Edinburgh Programme in Biomedical Sciences | O |
| | To <u>note</u> . | |
| 19 | Creation of new Chairs | |
| | <ul style="list-style-type: none">• College of Humanities and Social Science• College of Science and Engineering | P
Q |
| | To <u>approve</u> | |
| 20 | Date of next meeting | |
| | Wednesday, 12 November 2014 at 10 am in Meeting Room 1.07, Main Library. | |

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CENTRAL MANAGEMENT GROUP

20 August 2014

Minute

Present:

The Principal
Senior Vice-Principal Professor M Bownes
Vice-Principal Professor J Haywood
Vice-Principal Professor D Miell
Vice-Principal Professor J Norman
Vice-Principal Professor S Rigby
University Secretary, Ms S Smith
Mr H Edmiston, Director of Corporate Services
Mr G Jebb, Director of Estates and Buildings
Mr P McNaul, Director of Finance
Ms T Slaven Deputy Secretary, Strategic Planning

Apologies

Vice-Principal Professor C Jeffrey
Vice-Principal Professor C Breward
Vice-Principal Professor S Hillier
Vice-Principal Professor R Kenway
Vice-Principal Professor A Morris
Vice-Principal Professor Sir John Savill
Vice-Principal Professor J Seckl
Vice-Principal Professor L Yellowlees
Ms S Gupta, Director of Human Resources
Ms L Chambers, Director of Legal Services
Mr D Gorman, Director of Social Responsibility and Sustainability

In attendance:

Assistant Principal Professor A Trew, on behalf of Vice-Principal Professor Yellowlees
Professor C Clarke, Head of School of Health in Social Science
Dr I Conn, Director of Communications and Marketing
Mr G Douglas, Deputy Secretary, Student Experience
Mr B MacGregor, Director of User Services Division
Mr D Waddell, Director of ERI
Dr K J Novosel, Head of Court Services

1 Minute

Paper A

The Minute of the meeting held on 26 June 2014 was approved.

It was noted that this was the first meeting being conducted according to the revised terms of reference for CMG including membership.

CMG welcomed the following new members, some of whom had

previously been in attendance at meetings: Deputy Secretary, Strategic Planning, Ms Tracey Slaven; Director of Estates and Buildings, Mr Gary Jebb; Director of Finance, Mr Phil McNaull; and the Director of Human Resources, Ms Sheila Gupta.

CMG further noted the following: Professor Charlotte Clarke, Head of School, Health in Social Sciences; Mr Gavin Douglas, Deputy Secretary, Student Experience; and Mr Bryan MacGregor, Head of User Services Division who were now in attendance at meetings of CMG.

It was also noted that this was the last meeting of CMG that Professor Bownes will attend in the capacity of Senior Vice-Principal: Professor Bownes will be attending future meetings of CMG in the capacity of Vice-Principal, Community Development. This would have been the last meeting of CMG for Ms Sheila Gupta and in her absence the Group thank her for her work on CMG and across the University.

2 Matters Arising

Current work on immigration reporting requirements was noted. An update to be provided to the next CMG.

3 Principal's Communications

The Principal reported on the following: the NSS results; the positive undergraduate recruitment figures for 2014/2015; the success of the University's significant involvement in the Edinburgh Festivals; challenges around holding events with sensitive/controversial associated issues and the importance of the Dignity and Respect Policy in taking these forward; the on-going work around exploring a strategic alliance with SRUC and to take forward the bid for Turing Institute including the effectiveness of the Court Sub-Groups for both these projects; the Principal's recent visit to Latin America; the likelihood of the University being designated a Model Confucius Institute; the constitutional change debate; and the signing of a MOU with the Royal Zoological Society of Scotland.

SUBSTANTIVE ITEMS

4 Planning Round Timetable

Paper B

There was discussion on the proposed changes to this year's planning round timetable the most significant being the proposal for the first planning draft to be submitted before Christmas to allow fuller analysis; and the second to submit the proposed allocation of

resources to Court for approval at its June meeting. Concern was expressed in introducing these changes this year given that the outcome of the REF would not be announced until 18 December 2014 and Schools and Colleges would wish to reflect on this in their planning submissions. Also it was considered that it would be difficult to amend internal timetables at this stage and this would result in a reduction in the time available for internal consultation of plans at School level.

There was also discussion on how strategic issues within the various areas of responsibility of the Vice-Principals would be reflected through the planning process.

Following further consideration CMG asked that the proposed timetable be reviewed to take account of the timing of the outcome of the REF and to enable information on the coming year's strategic objectives of each of the thematic Vice-Principals to be included in the planning round guidance.

5 NSS results

Paper C

The information was noted in respect of the NSS results (final year undergraduate students surveyed) and the University's internal survey (pre-final year undergraduate students surveyed) and the general correlation between the two surveys. There was disappointment with these results in that although there had been improvements in some areas the overall satisfaction and assessment feedback results remained low and broadly unchanged.

It was agreed that all Schools should make reference to the actions being initiated to improve the student experience and implement the current plan with regard to NSS as part of their planning submission. It was also agreed that Schools should be rated against scores achieved in other Russell Group Universities rather than an internal position. It was further agreed to determine when and how Schools were providing feedback with support provided to implement changes from all relevant senior officers within the University: the importance of strong leadership in this area was noted at School and College level. It was noted that further work may be required to look at staff appraisal processes in respect of learning and teaching and on how to best support Heads of Schools.

There was further discussion on the way forward and it was agreed that the current plan should be progressed with further communications with students on the action being taken.

6 Unconscious bias **Paper D**

CMG fully supported the proposals in respect of training on equality and diversity for those involved in recruitment and promotion and while recognising that making this mandatory may be difficult the risks associated with not undertaking this training outweighed these difficulties. Further work would be undertaken around this and it was noted that there would be an audit to determine the effect of the training.

7 Festival Engagement Report **Paper E**

It had been agreed to undertake further discussion around the proposals in this paper prior to its consideration at the next CMG.

8 Update on Health & Safety Executive Interventions **Paper F**

CMG noted the investigation currently being taken forward by the Health and Safety Executive (HSE) in respect of two cases of staff being diagnosed with occupational asthma in the College of Medicine and Veterinary Medicine and the new approach being adopted by the HSE.

CMG approved the proposals in respect of mandatory training and mandatory health surveillance for relevant staff as set out in the paper.

9 Student Evacuations **Paper G**

CMG noted the actions taken in respect of the students evacuated from the West Bank and approved the proposal to develop a 'Go Abroad Policy' setting out mandatory requirements for those arranging international experiences across the University.

10 Ebola Virus Disease Update: Monitoring Processes **Paper G1**

The proposed approach to monitoring the situation in respect of the Ebola virus was noted and endorsed.

ROUTINE ITEMS

11 Value for Money Report **Paper H**

It was noted the further information was still to be collated in respect of the report and subject to the inclusion of this additional information CMG approved the Report for transmitting to the Audit and Risk

Committee and Court.

12 Management Accounts

Paper I

The satisfactory financial position as at 30 June 2014 in respect of the 2013/2014 financial year was noted: the projected surplus being recorded as £29.2m. The information on the Chancellor's Fellows was particularly welcomed and very encouraging.

13 Any Other Business

Verbal

It was noted that there had been some concerns expressed on the concentration of student accommodation on the south side of the city. Discussions were taking place with relevant organisations and individuals and consideration given internally to the best way forward re future plans for accommodation provision.

ITEMS FOR FORMAL APPROVAL/NOTING

14 Principal's Strategy Group

Paper J

CMG noted the report.

15 Fee Proposals

Paper K

CMG approved the fee proposals as set out in the paper.

16 Date of next meeting

Wednesday, 8 October 2014 at 10 am in the Raeburn Room, Old College.



CENTRAL MANAGEMENT GROUP

8 October 2014

Home Office Student Migration – University of Edinburgh

Description of paper

1. The University is licensed by the Home Office to sponsor international students. As a 'sponsor' the University must fully comply with the legislation and requirements within Tier 4 – the student migration route. This paper provides a status update on our compliance as a sponsor and areas for improvement.

Action requested

2. Central Management Group is requested to note this paper and consider recommendations for further action.

Recommendation

3. Central Management Group is requested to note and support the paper in recommendations made.

Paragraphs 4 – 19 have been removed as exempt from release due to FOI.

Risk Management

20. The University's compliance with Home Office requirements for sponsoring international students remains a high priority risk on the University Risk Register.

Equality & Diversity

21. No equality impact assessment required.

Paragraphs 22 - 24 have been removed as exempt from release due to FOI.

Consultation

25. Paper reviewed by University Secretary.

Further information

26. *Authors*

Alan Mackay

Director International Office

Presenter

Alan Mackay

Director International Office

Freedom of Information

27. This paper should be closed for the following reasons:

- Its disclosure would substantially prejudice the conduct of public affairs
- Its disclosure would substantially prejudice the commercial interests of any person or organisation



CENTRAL MANAGEMENT GROUP

8 October 2014

**Outcome Agreement - 2015 Cycle
Including Draft Self-Evaluation of 2013-14 Agreement**

Description of paper

1. This paper outlines the self-evaluation of the 2013-14 Outcome Agreement (report attached as appendix 1) and summarises the timetable and priorities for the 2015 cycle.

Action requested

2. Central Management Group (CMG) is asked to consider the draft Outcome Agreement Self-Evaluation report and priorities/timetable for the 2015 cycle.

3. CMG is also asked to note the SFC priorities for the 2015 cycle and to ensure that their areas of responsibility are aware of the need to contribute to the Outcome Agreement process during the next six weeks.

Recommendation

4. CMG is recommended to consider and agree the draft Outcome Agreement Self Evaluation report for 2013-14 and progression for approval by Court.

Paragraphs 5 – 13 have been removed as exempt from release due to FOI.

Risk Management

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

Equality & Diversity

15. The Outcome Agreements with SFC highlight the importance of equality & diversity to the University and specifically include commitments in relation to widening participation, delivery of our Gaelic language plan, our equalities action plan and good governance. Priorities identified for the 2015 cycle by SFC include gender issues in relation to areas of study.

Paragraphs 16 – 17 have been removed as exempt from release due to FOI.

Consultation

18. The Self-Evaluation report follows the formal guidance from SFC on length and priorities to be addressed. Evidence on performance has been gathered from the relevant areas across the University.

Further information

19. Author

Tracey Slaven

Deputy Secretary Strategic Planning

25 September 2014

Presenter

Tracey Slaven

Deputy Secretary Strategic Planning

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

8 October 2014

2015/16 planning round: context and planning guidance

Description of paper

1. The purpose of the paper is to provide CMG with the context for the 2015/16 planning round and to present a draft 'Planning Guidance' document that will be issued to heads of College and Support Group and be generally available for all who have input into the planning round.

Action requested

2. We ask CMG to scrutinise the Planning Guidance (Appendix 1) and approve it for issue.

Recommendation

3. We recommend that CMG approves the 2015/16 Planning Guidance for publication.

Background and context

4. Each year we publish our 'Planning Guidance' which sets out the external and internal factors that will influence the College and Support Group plans and also sets out the strategic priorities that should be addressed in the planning process.

Discussion

5. For 2015/16 the Scottish Government published its letter of guidance to the Scottish Funding Council earlier than in previous years so as to inform the 2015/18 Outcome Agreement dialogue. Specific issues that the Minister wants the HE sector to address and are particularly relevant to our institution includes:

- The gender balance among students intakes for some key subjects;
- Enhanced partnership working with schools, colleges, regional strategic bodies and others to improve widening access, and in relation to medicine;
- Growing the number of graduates with practical language skills;
- Sustaining and developing research pools including working with Connect Scotland, as well as further development of the Innovation Centres; and
- Harnessing the opportunities Horizon 2020 has to offer.

6. The planning round guidance takes into account the:

- External environment, including the increasingly competitive nature of recruitment for RUK, international and PGT students, the changing political landscape in both Scotland and the UK, and the opportunities and challenges of research massification and engagement in Horizon 2020;
- Emerging strategic themes from the October 2013 Burn workshop and subsequent meetings of senior management and Court;
- Strategic priorities of the Thematic Vice Principals;
- Importance of addressing the student experience;
- Increased revenue expenditure as a result of refurbishment projects; and
- Ongoing need to address efficiency and duplication of activities.

7. The planning round for 2015/16 is taking place against a background of financial challenge given the likelihood of constrained growth in direct public sector funding for the Higher Education sector. In this context, Colleges and Support Groups are asked to articulate those factors which drive their performance and how they will ensure that their areas can continue to grow and contribute to the achievement of our strategic objectives.

8. To allow for strategic allocation of resources for 2015/16 and beyond we have proposed in our planning guidance that Colleges and Support Groups should not anticipate an automatic inflationary increase in base budgets over the planning period. Instead, budget holders should look to top line growth (earned income) which exceeds cost to deliver, as well as identifying approaches to realising efficiency gains and a review of their activity portfolio, in order to resource their strategic priorities and support their ongoing activities.

9. The planning approach builds on the previous year's planning round and will continue to use the Round Table discussions between College and Support Groups to facilitate continuing co-operation and joint working to achieve University strategic priorities. The Triumvirate meetings, informed by detailed analysis and provision of background information by GaSP and Finance, will ensure that plans, both individually and collectively, adequately cover the institutional strategic priorities.

10. Issues arising from the previous planning round

GaSP was asked to identify a sustainable funding model for library materials following agreement to short-term additional funding in the last planning cycle. Options under development look to link spend on materials to student numbers and will be finalised within the next six weeks. The budget will remain the responsibility of IS but will reflect current expenditure, the relationship between NSS scores and expenditure per student and be identified separately to improve transparency.

11. It remains the intent to secure a new more transparent approach to funding for international scholarships. Discussions on this will be progressed prior to Christmas.

12. During 2014/15, funding for tranche 2 & 3 Chancellors Fellows has been provided centrally with funds drawn down by Colleges against actuals. The original funding arrangements envisaged full-funding provision for 5 years but with any income generation treated as a saving. Following discussion with Colleges, this approach is felt to limit the incentive to generate income and potentially leads to a "cliff-edge" in funding. Consequently, it is intended to provide funding for 2015-16 onwards to College budgets on a declining taper as per tranche 1. Funding will cover salary and normal employer costs (pension and NI).

Resource implications

13. There are no resource implications at this stage of the planning process.

Risk Management

14. Colleges and Support Groups should update their risk registers in light of the contents of your planning submissions, and this will be submitted for review by Risk Management Committee at the 4 May 2015 meeting.

Equality & Diversity

15. We do not consider that an EIA is required at this stage in the planning process. The planning guidance contains strategic priorities for the equality and diversity agenda (as advised by the Vice Principal Equality and Diversity) that plans should address, and will be scrutinised as part of the review of plans as laid out in the planning timetable.

Next steps/implications

16. The next steps in the 2015/16 planning round are laid out in the Planning Timetable that was approved by CMG after the meeting on 25 August 2014 and circulated to Heads of College and Support Groups and published on the GaSP website.

Consultation

17. The paper has been reviewed by the Vice Principal Planning, Policy and Research Policy, the Director of Finance and the Vice Principal Public Policy and Impact who are all content with the contents of the paper and attached planning guidance

Further information

18. Authors

Tracey Slaven
Deputy Secretary Strategic Planning
Peter Phillips
Deputy Director of Planning
GaSP
2 October 2014

Presenter

Tracey Slaven
Deputy Secretary Strategic Planning

Freedom of Information

19. This paper is open.

Planning Round Guidance for 2015/18

1. Introduction

This Planning Guidance:

- Describes the planning approach for 2015/16;
- Sets out the strategic context;
- Presents the Corporate Plan KPIs;
- Presents a top down financial overview of the current three year plan;
- Highlights issues for consideration from the Thematic VPs;
- Provides a summary of the current Estates strategy and key projects; and
- Provides guidance to Colleges/Support Groups on how to structure medium-term plans.

Background information for the Planning Round and the University's planning processes is available through the [Planning and Resource Allocation wiki homepage](#).

2. Objective

The objective of the planning round is to support the delivery of the University's Strategic Plan, and encourage a focus on collaboration and partnership working between the Colleges and Support Groups in order to meet our institutional objectives.

3. Planning approach for 2015/16

3.1 Planning assumptions

- The 2015/16 three year plans will be a roll-forward of the previous year's plan updated to reflect the current environment and planning guidance and the evolving University strategy;
- The 2015/16 budgets from the previous planning round will be the starting point for the current planning round budget setting. There is no automatic assumption of an inflationary uplift of core budgets for Colleges or for SGs. Colleagues are reminded that NI costs are due to increase this year and should be addressed within budgets;
- NPRAS tuition fee incentive scheme will continue to operate and will take into account the previous year actuals and targets up-front with no in year adjustment. NPRAS Estates incentive scheme will continue to operate; and
- The planned University surplus will be 3-5% of total turnover.

3.2 Planning approach

Major changes in the previous two planning rounds have delivered the benefit of three year strategic plans, budgets and student number forecasts which gives each College and Support Group a starting position for their 2015/18 draft plans. This, along with the proposed



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Governance and Strategic Planning

planning round approach for 2015/16 will build on last year's improvements to give the following benefits:

- Agree non-controlled SEU and RUK student numbers early in the planning round to enable Colleges to make early offers in line with agreed expectations;
- Give more time up front for Colleges and SGs to develop their plans while taking due consideration of the external environment and to support earlier offer making;
- Create an early financial model of the Group plan that would meet with Court expectations;
- Foster an iterative approach to planning that will highlight areas of strategic importance and encourage Colleges and SGs to share ideas and approaches, and to explore new collaborative ways to deliver the University's Strategic Plan;
- Allow Support Groups to identify opportunities to apply their specialist professional knowledge to further the strategic aims of the University;
- Encourage Colleges and SGs to self-appraise their performance and continue to define and refine key measures that focus on their planned outcomes;
- Facilitate the integration of College and Support Group plans;
- Better understand the impact of the Estates strategy and project portfolio on the planned surplus;
- Allow PSG and the triumvirate¹ time to review the draft plans at an earlier stage and provide feedback that can be reflected in the final plans; and
- Make the University better prepared to meet the external challenges facing us now and in the longer-term future.

3.3 Key changes

- Thematic Vice Principals have, for the first time, created a list of priorities to be addressed by College and SG plans. These are priorities in their field which have a reach across more than one College/Support Group and require action /co-ordination across one or more;
- Colleges and SGs should state explicitly how they will address student feedback received via the established external and internal student surveys along with other feedback routes; provide baseline and aspiration data to provide context;
- Colleges and SGs should explicitly address how they will deliver efficiencies in their ongoing operations; provide baseline and aspiration data to provide context. In the latter part of the previous year's planning round budget holders were encouraged to find efficiencies of around 3%;
- Draft Plans to GaSP by 2 February 2015 with Triumvirate meetings in week beginning 16 February followed by a review of plans at CMG on 4 March; and
- GaSP/Finance available for advice, guidance of support prior to final plans submitted to GaSP on 23 March.

When drafting plans for 2015/18, you should aim to include all known and anticipated activities within your plan, even if activities are due to commence in years 2016/17 or 2017/18. This approach will provide the opportunity to make strategic allocations early and will reduce the need for ad-hoc resource allocation in-year which can result in delays to important activities. The intention is to allocate budgets for 2015/16 and confirm plans for years two and three; this will support earlier commitment to initiatives that run over more

¹ VP Planning, Resources and Research Policy, Director of Planning and Director of Finance



than one year.

The recently introduced monthly approval process is for planning approval in-year for substantial new or novel opportunities or for planned investments that have the potential to be brought forward, as well as for significant unforeseeable developments that may occur. This process is **not** intended to cover activities that fall within the normal scope of the Colleges or Support Groups and that are of the scale that could be reasonably expected to be absorbed within their overall budget.

4. External environment

The Scottish Government letter of guidance shows that resources for the HE sector is broadly flat cash for 2015/16 at £1,062.5M (£1,060.9M for 2014/15). This indicative figure will be finalised in due course in the 2015/16 Budget. Figures for 2016/17 will not be available until after the UK Spending Review which will take place after the UK general election on 7 May 2015.

	Issue	Short/ Medium/ Long term impact	High/ Medium? Low impact
Political	HEFCE relaxation of UG student numbers and review of funding for PGT	L	M
Political	Post Scottish Independence referendum constitutional change agenda	S	H
Political	Leadership changes of the SNP	S	L/M
Political	7 May 2015 Westminster general election; potential changes in maximum RUK tuition fees and/or changes in terms of repayment of tuition fee loans	L	H
Political	Scottish Government election 5 May 2016 – potential for tuition fee regime changes for SEU students		
Political	UKBA policy impact on international student markets	S/M	M
Political	Increasingly interventionist Scottish Government	L	M/H
Political	Increased language provision (LoG) ²	M	L
Political	Sustaining research pools with Connected Scotland	L	L
Political	Institutional autonomy	L	H
Economic	Reduction in public spending projections	M	H
Economic	REF results and subsequent SFC revision of research funding policy	L	H
Economic	Review of SFC/SG funding of PGT	M	M
Economic	Engaging with Horizon 2020	M	M
Economic	Research massification	L	H

² Highlighted in the Scottish Government letter of guidance (LoG) to Scottish Funding Council



	Issue	Short/ Medium/ Long term impact	High/ Medium? Low impact
Economic	Increasing focus on, and investment in, student experience by our competitors within the UK and internationally		
Social	Ongoing widening access (medicine highlighted in LoG)	L	L
Social	Gender balance on Governance and student segregation on courses (LoG)	L	L
Social	Continued perception of student satisfaction	L	M
Social	Demographic trends of international student market countries (eg China) along with increased international competition and capacity ³	L	H
Social	Continuing softening of demand for PGT from EU students	L	M
Technological	Open educational material	M	M
Technological	Online and blended learning	L	H
Technological	Digital support for learning	L	M
Legal			
Environmental	Reduction of carbon footprint (LoG)	L	M

5. Top down financial position

The Finance team will produce six versions of the top down model of the Group consolidated financial plan at key stages in the planning round to inform key discussions and committee decisions.

³ See Global Priority Market analysis in the Higher Education Sector by British Council Scotland and Scottish Enterprise http://scotland.britishcouncil.org/sites/britishcouncil.sco/files/global_priority_market_analysis.pdf



Version no	Date	RAS Versions	RAS key data sets					Committee	
			SFC grants	Tuition Fees	NPRAS space adjustment	Estates Development Plan	Planning Submissions		
1	03-Oct-14	Initial view	Updated for latest view				per Sept committee	N/A	
2	09-Jan-15	Post Q1		Updated for 13-14 end of year figures, 2014-15 initial adjustments and baseline adjustments in following 2 years.			per Dec committee	Post Q1 forecast issues, Roslin, Business School, HGU included	N/A
3	25-Feb-15	CMG paper	SFC grant letter and controlled places for Medicine, PGDE		Agreed and input to baselines			Draft plans as submitted 9th Feb	CMG 4th March
4	26-Mar-15	Post final plans	SFC grant letter	2014/15 second in year adjustments and revised 3 year targets				Final plan + bids	PSG 3rd April and CMG 14 April
5	16-Apr-15	Final copy pre UCAS deadline flex					per March committee	Incorporating CMG changes	PRC 27th April
6	08-Jun-15	Final version - refinement		Updated for revised intakes			per May Committee	Final plan + refinements	PRC 8th June

6. Strategic KPIs

We are currently reviewing the KPIs included in the 2012-16 Strategic Plan and a separate note will follow to provide an update.

7. Estates strategy impact

The 2014/15 planning round highlighted the tight relationship between the Estates Strategy portfolio of approved projects and the planned surplus that appears in the published accounts. The amount and timing of refurbishment expenditure in the project portfolio that will flow through the I&E account as revenue expenditure is often difficult to predict at the beginning of projects. The recent mix of projects has seen an increase in revenue expenditure in both 2013/14 (actual) and planned (2014/15). We expect that this trend will continue in 2015/16, placing further pressure on the planned surplus that will have to be managed as part of the planning round (and portfolio of planned Estates projects). We expect a clearer picture of the extent of the likely increase in revenue expenditure for 2015/16 after the 10th December 2014 Estates Committee meeting.

8. Thematic Vice Principals' strategic priorities

For the first time in 2015/16 we have asked the thematic Vice Principals' to state their strategic priorities which are set out in Annex 1. Colleges and Support Groups, by engagement with the Vice Principals through established committees and working groups, as well as informally, should reflect these priorities in their individual plans as appropriate.

9. College plans

The planning guidance should be considered in conjunction with the University's Strategic Plan 2012/16, the 2014/17 Outcome Agreement and the evolving three-year Outcome Agreement for 2015/18, complementary University strategies and plans, and the major



contextual issues in the University's operating environment described in section 4.

We recognise that the planning round for 2015/16 is taking place against a background of financial challenge given the likelihood of constrained growth in direct public sector funding for the Higher Education sector. In this context, Colleges and Support Groups should articulate those factors which drive their performance and how they will ensure that their areas can continue to grow and contribute to the achievement of our strategic objectives.

College plans should specifically address:

- a) How they will grow student numbers (at the University level UG growth of circa 2%pa and PG growth of circa 5% appears reasonable) to contribute to the institutional Strategic Plan targets 2.1, 8.1 and 8.3, and how they will grow income to contribute to target 6.1. This may include a review of academic portfolios, developing online PGT programmes with a 'market pull' focus (at least one per School although we are aware that some are already well ahead on this), marketing activities (we are particularly interested in market appraisals for significant existing markets and/or potentially fast growing new markets), attracting visiting students, developing MOOCs linked to online offerings or building on existing or new international links, collaborations or initiatives. Colleges should also address the strategic imperative of maintaining or improving on the staff/student ratio within Schools while growing the critical mass of academic staff and creating opportunities to grow teaching and research income;
- b) Their approach to improving the student experience in partnership with the Deputy Secretary, Student Experience and the Student Experience Project team, with particular focus on students' feedback to the University through the NSS, PRES, PTES, ISB and internal student surveys;
- c) How they will deliver efficiencies in their operations (either by lean process review or other methodologies) either alone or in partnership with Support Groups to streamline processes and identify and eliminate unnecessary duplication;
- d) How they will support the strategic objectives of the Thematic Vice Principals' remits;
- e) Strategies for research income growth, including engagement with Horizon 2020, charitable, RCUK/UK Government and industrial sources, reflecting the aspirational objectives from the Vice Principal Planning, Resources and Research Policy (targeting research income growth of circa 6%);
- f) Diversification of their research sponsor portfolio and increased cost recovery;
- g) Space usage efficiencies; and
- h) Capital requirements for investment in major equipment and new build/refurbishment.

10. Support group plans

Support Groups will again have the opportunity in the Round Table discussions and research strategy meetings to inform Colleges of their initial ideas on how they see their services developing and to have early sight of the College plans. The emphasis will be on how the Colleges and SGs can support each other in delivering the ambitions of the Colleges and the University Strategic Plan. The SGs plans should highlight opportunities for increasing their contribution to the University's key strategic aims.



Examples may include: Student experience; quality assurance and enhancement; widening access; equality and diversity; international experience for students; student employability; market intelligence and support for student recruitment; student support; student accommodation choices and flexibility; L&T technology; fundraising; sustainability; estates/infrastructure projects in support of large scale research bids. Support groups may also consider ways in which they can work together to develop and enhance business processes to improve the student experience.

Support Groups should specifically address:

- How they will deliver efficiencies in their operations (either by lean process review or other methodologies) either alone or in partnership with Colleges to streamline processes and identify and eliminate unnecessary duplication;
- Provision of baseline metrics and aspirational targets to improve KPIs relating to effectiveness and efficiency of their operations;
- How they will support the strategic aims of the Thematic Vice Principals;
- Their approach to improving the student experience;
- Use of space to promote efficiencies and excellence in the teaching and research experience; and
- Highlight capital requirements for investment in major equipment and new build/refurbishment.

11. Structure and content of plans

Medium-term plan 2015/2018	Plans should be a roll-forward of the 2014/17 plans and continue to follow the structure of the 2012/2016 Strategic Plan. Each plan should set out the College/Support Group ambitions for the period 2015/18 and demonstrate how they will contribute to the delivery of the University Strategic Plan. Plans should highlight strategies for achieving excellence in research and knowledge exchange, and strategies for increasing philanthropic fundraising. Plans should also incorporate category B activities as appropriate. Plans should be up to 12 pages long, plus a summary of no more than one page. The summary should be suitable to use as a stand-alone document to e.g. Policy and Resources Committee and for publication on the web.
Performance indicators and targets	All plans should demonstrate how they will contribute to the KPIs and targets in the University Strategic Plan, including annual milestones. GaSP will provide the latest KPI performance data on some core KPIs and targets including student number growth, student satisfaction, widening participation, research income (and income per academic FTE), PhD/FTE academic staff, consultancy, KE measures, income per staff FTE, income per square metre and staff/student FTEs per square metre. Additional KPIs and targets that enable progress to be measured against your key areas for growth/efficiency gains/service improvement should also be included. Support Group plans should demonstrate how



productivity will be increased, customer-focussed activities ensured and space occupancy rates increased.

- Self-assessment Performance reporting and self-review against KPIs, targets and milestones will form an important part of the planning process and should inform your plans. Your reflection on past target setting and delivery should inform your self-assessment and evidence areas where you are performing well as well as areas where you need to improve. You should focus on:
- External income generation
 - Widening participation
 - Staff/student ratios
 - Enhancing the student experience
 - Internationalisation
 - Innovation
 - Driving forward on Equality and Diversity
 - Sustainability; and
 - Effectiveness and efficiency of your activities.

- Management of risks You should update your risk register in light of the contents of your planning submissions, and this will be submitted for review by Risk Management Committee at the 4 May 2015 meeting.

- Breakdown of budget (Support Groups only) Support Groups were asked to provide an appendix which presented a breakdown of their budget for 2014/15, showing the main service teams' activities and the FTEs and total cost of these activities. Please update this appendix for 2015/16. Please also indicate where you believe there may be process efficiencies to be gained from an investigation into developing a more integrated approach to service delivery with other budget holders across the University (informed partly by the Round Table meetings with Colleges and partly by communication with other SGs where appropriate).

In addition you are asked to provide financial forecasts for the medium term (2015/18) -(see [Planning Round wiki page](#) for the relevant template):

Guidance for completion is included in the spread sheets.

You can find guidance on information held in university databases as well as external data/benchmarking to inform your plans on the Information Portal at <https://www.wiki.ed.ac.uk/display/IP/Information+Portal+Home>

12. Timetable

The detailed time table will be published separately on the GaSP website and circulated to Colleges and SGs. Important dates are:



SEU and RUK FT intake targets agreed with Colleges	25 August 2014
SGs and Colleges round tables	tba
Colleges confirm international UG, and all PGT and PGR intake targets by School	End Jan 2014
Draft plans submitted to GaSP	2 Feb 2015
Triumvirate meetings with Colleges and SGs	W/b 16 February 2015
Major planning issues discussed at CMG	4 March 2015
Plans finalised and submitted to GaSP	23 March 2015 (noon)
Draft final plans and investments recommended to PSG	3 April 2015
Draft final plans and investments recommended to CMG	14 April 2015
Draft final plans and investments recommended to PRC	27 April 2014
Agreement of final UG/PG intakes and updating other financial projections	W/b 11 May 2015
Final plans after flexing recommended to PRC	8 June 2015
Final plans recommended to Court	22 June 2015

13. Statement on use of reserves

From a financial management perspective, we must balance cash management and utilisation with management of the Income and Expenditure Account and Balance Sheet. In essence, it is important to maintain a steady course in terms of the University bottom-line surplus (3% to 5% of turnover), rather than see up- and down-swings in successive years. We can only use Reserves in any year to the extent that such use will not result in a lower University surplus. To utilise reserves in a controlled manner, we therefore wish to see precedence given to:

- Reserves given over as contributions to building projects via the Estates Development Programme.
- Expenditure on Capital Equipment (i.e. items costing in excess of £25k, which will be capitalised through the Balance Sheet)

The use of reserves on revenue expenditure (through the Income & Expenditure Account) is also permitted, but it must be carefully monitored and managed. We expect budget holders to manage Reserves across sub-budget areas within their purview, where this permits better or more effective use in and across years (i.e. a portfolio approach).

Multi-year projects are also key. In principle, projects set up to address University-wide initiatives (clear examples can be found within ISG and CSG) should be progressed on the basis of agreed plans, and on the basis that projects are not hampered merely as a consequence of spanning the year-end date of 31st July.

Through the Planning Round 2015-16, we will thus be looking to promote expenditure in support of capital programmes, where possible. Proposals to use reserves for revenue expenditure will be considered where the case for doing so is strong, forward commitments are limited, and the overall impact on the University budget does not mean straying from the target surplus range.



14. Procurement policy and delegated authority

When developing your plans you must consider procurement guidance when you plan to spend over £100k on externally purchased goods and services. Detailed guidance can be found on the Procurement Office website.

<http://www.ed.ac.uk/schools-departments/procurement/policies-procedures/planning-2014-15>

If you are considering any major projects or changes in your service provision you should clearly flag this up in your plans and work with the Procurement Office to ensure that you comply with best practice for option appraisals at an early stage in the process.

You should also be mindful of the scheme of delegated authority (Annex 2) when entering contracts or committing expenditure. All non-estates knowledge-related expenditure in excess of £200k should be referred to the Knowledge Strategy Committee.

<http://www.docs.sasq.ed.ac.uk/GaSP/Governance/Governance/DelegatedAuthorisationScheme.pdf>

15. Additional information to be supplied:

- 1) KPI College data for 2012/13;



Summary procurement guidance

Colleagues developing plans as part of the 2015/16 planning round must consider procurement guidance where they are planning to spend over £50,000 on externally purchased goods or services.

Colleagues acquiring goods, services or works are subject to Delegated Authorisation Schedule:

<http://www.docs.sasg.ed.ac.uk/GaSP/Governance/Governance/DelegatedAuthorisationSchedule.pdf>

With effect from 1 June 2013, Central Management Group requires that all procurements are managed as follows:

- Plans which include equipment procurement must state the source of funding and whether the purchase is to be funded from capital or revenue.
- Projects or budgets delegated (including research grants) must include procurement plans. For equipment funds from UK Research Councils which include items of equipment with a total cost of over £10,000 (per Wakeham Report), colleagues must allow enquiries to share equipment or services.
- Items of equipment with a total cost of over £10,000 must be entered on to the equipment asset register on receipt/delivery.
- Procurement plans must consider the whole life cost i.e. cost in use, recurring costs, cost of disposal. etc.
- Plans to acquire equipment, goods or services must be aggregated across the University and if the total is likely to exceed £50k over the whole life costing, the Director of Procurement must be asked to approve the procurement plan prior to engaging with suppliers/providers. This also applies to scope change on existing contracts, major amendments, or extensions.
- Plans to acquire equipment, goods or services which exceed the current EU threshold (currently £173,794) will need to be managed with a procurement specialist and follow the legal timescales/process.
- Procuring goods or services without calling for competition should only be considered by budget holders in very exceptional circumstances and within the exceptions allowed by Regulation 14 of the Public Contracts Scotland Regulations 2012. All cases over £50K must be reviewed by the Director of Procurement (or Assistant Director) before taking action.
- Ordering goods / services not acquired legally, is considered failure to perform satisfactorily.
- Staff should seek advice on procurement plans, funding bids at the earliest possible stage, i.e. prior to meeting with potential suppliers/service provider, as there may be an existing contract or framework agreement, internal service providers or



THE UNIVERSITY *of* EDINBURGH

Governance and Strategic Planning

opportunities to collaborate.

- Contract management, document/record keeping are responsibilities of the budget-holder.
- Contracts over £50k should have a signed copy sent to procurement lawyer (for reference).
- Framework agreements can only be entered into on behalf of the University by the Director of Procurement. These will be listed on the University Procurement Website and updated so please check regularly.
- If buying goods, services or works from framework agreements no further quotes/tenders should be invited, except as are described in framework agreement terms.
- In-house services can be used - without procurement - as these are internal costs.

Please note that when procuring goods and services, consideration must be given to award criteria and contract conditions that fulfill the University's duties under the Equality Act 2010.

- [Scottish Procurement Policy Note - Duties under the Equality Act 2010](#)

Proposals to purchase from internal service departments or approved contracted suppliers must also be identified. Information on approved contracted suppliers can be found at the Procurement Office website.

The University will procure any other goods/services/works according to the appropriate procurement journey process.

- [Information on University contracted suppliers](#)
- [Information on University Internal Services](#)
- [Procurement Journey decision matrix](#)

Guidance, training and awareness on the procurement law, whole life costs, drafting a procurement plan and procurement journeys are available from the Procurement Office.

- [Guidance on drafting a procurement plan](#)
- [Procurement training and awareness](#)

Thematic Vice Principals' strategic priorities

VP	Priorities
Senior VP/ Principal Public Policy and Impact	To support through the planning process PSG's commitment to a culture change across the University that shows the value we attach to teaching and learning as we value research. In particular, Colleges should ensure that it is fully understood that the promotions process welcomes promotions cases based on excellence in teaching.
	To encourage activities which support a creative and positive engagement of the University with the local community in Edinburgh, including public engagement activities, partnerships with local institutions, volunteering, and community-based projects and placement that add value to student learning.
	To encourage engagement of academic staff with Development and Alumni, so that D&A is able to promote ideas likely to inspire potential donors to and supporters of the University.
VP Learning &Teaching	Work to improve the perceived student experience and NSS. This might focus on building student communities, demonstrating timely and useful feedback, communicating with students
	Work towards our emerging design of learning and teaching. This might include work to explore digitally-mediated learning, to redesign curricula or to explore different pedagogies.
	Work towards enhancing student support. This might include further development of the personal tutor scheme, mainstreaming of innovation in student support, or work to enhance the support offered to distance and/or international students.
VP Creative Industries and Performing Arts	Work to develop cross-University postgraduate programmes in partnership with key cultural organisations in Edinburgh and Scotland.
	Contribute to the planning of Potterrow and the central area as a cultural hub.
	Advocate for the establishment of a creative industries and performing arts forum for engagement across the University's Schools and Departments to encourage best practice and strategic direction in relation to future internal and external collaboration, major funding bids and priority projects.

VP Data Science and VP High Performance Computing	Edinburgh Data Science (EDS). Consolidate this as a University-wide multidisciplinary network that achieves scale and builds partnerships to deliver regional, national and international impact that matches, or exceeds the best data science centres in the world. Continue to attract major national and international research funding awards and ensure our graduates are exceptionally skilled in data science and its applications.
	Alan Turing Institute (ATI). Establish this as a viable Joint Venture (estimated turnover of £100M in the period 2015-20) harnessing university-wide strengths, with a physical presence in Edinburgh and a sustainable business model that gives the University a return on its investment, broad and deep industry partnerships and a prominent international position in data science research and education.
VP Equality and Diversity	Maternity issues for research staff. Review our maternity leave for researchers to meet the best practice in the sector, which could include; a College fund to meet maternity pay for those on short-term externally funded contracts where the funder does not meet the costs of maternity pay; competitive fellowships for part-time relief of teaching and/or administrative duties on return from maternity leave to focus on research; sponsorship of Daphne Jackson Fellowships to facilitate return to research after a career break of two years or more.
	Race Equality Activities. Embed the Race Equality Charter Mark actions through local initiatives and ownership throughout the institution
	Staff disability provision. Enhance our staff disability provision and embed awareness and practice into all Colleges and Support Groups.
VP International	Enhancing Student's global experiences. Work towards enhancing and broadening opportunities for students to spend time abroad and engage with international issues, as well as enhance support for international students based in Edinburgh. For the former, annual plans may include work on developing overseas study and work experience opportunities. For the latter, annual plans may include work around the 'life cycle' of an international student: central services, applications, induction and on course/on campus support regarding teaching and learning, language training, mentoring, alumni, in partnership with EUSA and IAD amongst others.
	International student recruitment. Work towards the target of a 50:50 balance in UK and EU/International student populations by 2024. In particular this will require focusing on ODL and blended teaching for PGT and PGR recruitment and support. Annual plans may focus on enhanced IS provision as appropriate and the development of more competitive and flexible packages of support for doctoral students (D&A, Colleges, Schools).

	<p>Building global partnerships. Continue to build strategic links with selected leading universities, develop non-university partnerships where appropriate and develop our capacity building collaborations with other institutions. Annual plans may reflect and support our emerging portfolio of key, 'deep' partnerships and international relationships with universities, civil society, the private sector and governmental and non-governmental organisations.</p>
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THE UNIVERSITY OF EDINBURGH**DELEGATED AUTHORISATION SCHEDULE**

This Schedule lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student). The people or bodies are shown under the heading “Delegated Authority”. If the Delegated Authority is a body comprising two or more people the person authorised to sign documents giving effect to the arrangement is shown under the heading “Signatory”. The University Court may continue to exercise all authorities available to it whether or not they have been delegated. Authorities not delegated under this Schedule remain with the University Court.

Notes applicable to this Schedule are set out in Appendix A. Where a Note is applicable to a particular arrangement, it is referred to in the column headed “Notes”.

The Delegated Authority is responsible for sub-delegating authorities granted and for adding an additional signatory or otherwise changing the Signatory. This is done by means of a written scheme. Delegated Authorities may use the suggested template for a written scheme attached as Appendix B. The Delegated Authority may continue to exercise all authorities granted to it whether or not they have been sub-delegated.

Both Appendices form part of this Schedule.

This Schedule applies in addition to the **Delegation of Powers granted by the University Court to the Principal** on 10 June 2002. On 12 May 2014 the University Court increased the value of commitments and transactions which the Principal could authorise from £500,000 to £1 million.

Categories of contractual or quasi-contractual arrangements	Delegated Authority	Signatory	Notes
1. Properties Transactions			
1.1 Acquisition and disposal of the ownership interest in land and buildings:			
a) with a value of £500K or less;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of more than £500K and less than £3 million	b) Estates Committee	b) Convener of Estates Committee	
<i>[over £3 million – authority remains with Court]</i>			
1.2 Acquisition and disposal of the leasehold interest in land and buildings:			
a) with a value of £500K or less and a lease duration of less than ten years;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of £500K or less and a lease duration of ten years or more;	b) Estates Committee	b) Convener of Estates Committee	
c) with a value of more than £500K and less than £3 million and a lease duration of less than thirty years	c) Estates Committee	c) Convener of Estates Committee	
<i>[with a value of over £3 million and for a duration of 30 years or more – authority remains with Court]</i>			
2. Goods, Services and Works			
2.1 Acquiring or providing goods, services and/or works not dealt with elsewhere in this Schedule:			a, b, c, d, e
a) with a value up to and including £200K;	a) Head of College/Support Group		
b) with a value of more than £200K but up to and including	b) Principal		

£500K

[with a value over £500K – authority remains with Court]

2.2	Acquiring or providing goods, services and/or works for Estates and Buildings (including utilities and estates consumables) other than Estates-related projects – see Section 5			a, b, c, d, e
	a) transactions up to and including £200K	a) Director of Estates & Buildings		
	b) transactions over £200K and up to and including £500K	b) Director of Corporate Services		
	<i>[transactions over £500K – authority remains with Court]</i>			
2.3	Framework Agreements	Director of Procurement		e, f
3. Staff				
3.1	Offers of employment and contracts of employment	Head of College/Support Group		
3.2	Appointment to personal chairs	Central Academic Promotion Committee	Convener of Central Academic Promotion Committee	
3.3	Promotions to readerships	Head of College		
3.4	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff below grade UoE 10	Head of College/Support Group		g
3.5	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff on grade UoE 10 and equivalent staff in accordance with the framework for decision making approved by Court	Remuneration Committee	Convener of Remuneration Committee	h, i
3.6	Voluntary severance and other severance including dismissal for redundancy, capability and conduct reasons in accordance with the framework for decision making			h, j, k

	approved by Court		
	a)Senior staff	a) Remuneration Committee	a) Convener of Remuneration Committee
	b)All other staff	b) Head of College/Support Group	
3.7	Implementation of legally binding orders of courts, tribunals or other judicial bodies in relation to employment matters as well as also extra-judicial settlement of employment disputes		k
	Senior Staff:		
	a) where the award is up to a value of £200k authority will reside with	a) Principal	
	b) where the award is between £200k and up to and including £500k	b) Remuneration Committee	b)Convener of Remuneration Committee
	<i>[where the award is over £500K – authority remains with Court]</i>		
	All other staff		
	c) where the award is up to a value of £200k authority will reside with	c) Head of College/Support Group	
	d) where the award is between £200k and up to and including £500k	d) Remuneration Committee	d)Convener of Remuneration Committee
	<i>[where the award is over £500K – authority remains with Court]</i>		
3.8	Implementation of nationally negotiated annual pay awards	Principal	l
3.9	Staff expenses	Head of College/Support Group	m
3.10	Agreements to second staff from the University to third parties and vice versa	Head of College/Support Group	

3.11	Arrangements for individuals visiting the University to do research and/or teaching	Head of College	
4.	Student Admissions		
4.1	Undergraduate student admissions	Head of College	n
4.2	Visiting undergraduate student admissions	Head of College	n
4.3	Taught postgraduate student admissions	Head of College	n
4.4	Research postgraduate student admissions	Head of College	n
4.5	Visiting postgraduate students	Head of College	n
4.6	Agreements and arrangements relating to the education and learning of undergraduate, postgraduate taught or postgraduate research students other than those covered in section 16	Principal or University Secretary	
5.	Estate related Projects		
5.1	Award of and payments for all goods, services and/or works contracts for estates-related projects		o,e
	a) transactions up to and including £500K	a) Estates Committee	a) Director of Estates & Buildings
	b) transactions over £500K and up to and including £10 million	b) Estates Committee	b) Convener of Estates Committee
	<i>[transactions over £10 million – authority remains with Court]</i>		
6.	Information Technology (IT), Library and Related Projects (non-estates related projects)		
6.1	Award and payments for all goods and services related to the acquisition of IT hardware, software and library		e

	materials			
	a) transactions up to and including £1 million <i>[transactions over £1 million – authority remains with Court]</i>	a) Knowledge Strategy Committee	a) Convener of Knowledge Strategy Committee	
6.2	Award and payment for all goods, services and/or works contracts related to non-estates projects			e,p
	a) transactions up to and including £1 million <i>[transactions over £1 million – authority remains with Court]</i>	a) Knowledge Strategy Committee	a) Convener of Knowledge Strategy Committee	
7.	Financial Transactions, Borrowing, Lending and Investment			
7.1	Long term borrowing (over 12 months) of up to £5 million	Policy and Resources Committee	Principal	q
7.2	Short-term borrowing (12 months or less) of up to £5 million	Policy and Resources Committee	Director of Finance	q,r
7.3	Secured loans to third parties			q
	Under £5 million	Policy and Resources Committee	Director of Finance	
7.4	Unsecured loans to third parties			q
	Under £1 million	Policy and Resources Committee	Director of Finance	
7.5	Authorisation of cash transfers and borrowings pursuant to arrangements already approved in accordance with this Schedule	Director of Finance		q
7.6	Authorisation of release of moneys for investment other than endowment investments referred to at section 14	Director of Finance		q
7.7	Changing signatories on bank accounts	Director of Finance		q

7.8	Foreign exchange dealings up to £10 million	Director of Finance		q
7.9	Settlement of tax matters with tax authorities	Director of Finance		q
7.10	Incorporation and winding up of subsidiary, quasi-sub subsidiary and associated undertakings; dealings with the University's interest in such undertakings including representing the University at meetings and appointing a proxy (this section 7.10 does not apply to spin-out companies referred to at section 7.12)	Policy and Resources Committee	Director of Corporate Services	
7.11	Arrangements between the University and the undertakings defined in 7.10, e.g. memoranda of understanding, member or shareholder agreements	Policy and Resources Committee	Director of Corporate Services	
7.12	Incorporation and winding up of companies formed to exploit the intellectual property and/or know-how of the University ("spin-out companies"); dealings with the University's interest in spin-out companies including representing the University at meetings and appointing a proxy	Director of Corporate Services		
7.13	Arrangements between the University and the spin-out companies defined at section 7.12, e.g. shareholder agreement	Director of Corporate Services		
7.14	Write-off or write-down of moneys due to the University	Director of Finance		q
	<i>[Authority for opening of bank accounts in the University's name and the associated mandates is reserved to Court]</i>			
	<i>[Authority for borrowing, loans and foreign exchange dealings in excess of the upper limits specified in 7.1 to 7.4 and 7.8 are reserved to Court]</i>			
8.	Funding Bids			
8.1	Funding Bids in response to Scottish Funding Council	Principal		

(SFC) and other external agencies' initiatives (other than as covered by Section 9) and including joint bids with other institutions

8.2	Agreements with institutions or other parties regarding sharing of moneys or other resources provided by SFC or other external agencies for infrastructure for research or education	Head of College/Support Group or the Principal if the moneys or resources are provided for more than one College/Support Group	
9. Research grants, contracts and ancillary transactions falling within the remit of Edinburgh Research & Innovation Ltd ("ERI")			
9.1	Applications for research grants	Director of Research Services	s
9.2	Acceptance of research grants	Director of Research Services	s
9.3	Tenders for research grants	Director of Research Services	s
9.4	Contracts which are ancillary to research grants (including collaborative arrangements and sub-awards and intellectual property agreements)	Director of Research Services	
9.5	Contracts for the provision of research	Director of Research Services	s
9.6	Confidentiality agreements	Director of Research Services	
9.7	Contracts for the provision of goods, materials, software, data or other resources to or from the University for no consideration ancillary to research	Director of Research Services	
9.8	Contracts relating to clinical research e.g. clinical trial agreements, site agreements, drug supply agreements, clinical study sponsorship agreements	Director of Research Services	s
9.9	Contracts for students to do research if there is funding from a third party	Director of Research Services	s
9.10	Granting or receiving an assignation or licence of	Director of Research Services	

intellectual property to facilitate research

10. Consultancy and Service Contracts falling within the remit of ERI

10.1 Contracts for the provision by the University of consultancy services Director of Research Services t

10.2 Contracts for the provision by the University of goods and services; access to equipment and facilities Director of Research Services

11. Technology Transfer Agreements

11.1 Registration and all subsequent dealings with patents, design rights, trademarks and all other intellectual property rights, including licensing and outright transfer of such rights Director of Research Services

11.2 Dealings with copyright, know-how and all other unregistered intellectual property rights (including in relation to software and teaching materials), and licensing and outright transfer of such rights Director of Research Services

11.3 Dealings with goods and materials embodying intellectual property rights including licensing and outright transfer of such items Director of Research Services

12. University Accommodation

12.1 Allocation of student residential accommodation Director of Accommodation Services

12.2 Allocation of student residential accommodation for commercial purposes Director of Accommodation Services

12.3 Room hire: (leases, sublets, conferences, group bookings, concerts etc) Director of Corporate Services

13. Donations

13.1	Acceptance and utilisation of donations to the Development Trust	Development Trust	As specified by the Development Trust	u
13.2	Acceptance of donations to the University	Development Trust	As specified by the Development Trust	u,v
13.3	Use of donations to the University – for restricted purposes	.		u
	a) Donations with a value of less than £500K	a) Head of College/Support Group		
	b) Donations with a value of £500K or more	b) Principal		
13.4	Use of donations to the University – for unrestricted purposes	.		u
	a) Donations with a value of less than £100K	a) Head of College/Support Group		
	b) Donations with a value of £100K or more but less than £500K	b) Principal		
	<i>[over £500K authority remains with Court]</i>			
14.	Endowment Investments			
14.1	Release of moneys to fund managers for investment	Investment Committee	Convener of Investment Committee	
14.2	Instruction to fund managers to release income for use by the University	Director of Finance		
14.3	Release of income to beneficiary as a budget for the specified purposes	Director of Finance		
14.4	Specific decisions on application of endowment funding within the specified purposes	Head of College/Support Group or Principal for pan-University endowments		
14.5	Investment management services including appointment of investment managers	Investment Committee	Convener of Investment Committee	

15. Agreements with NHS Authorities

15.1	Collaborative agreements with the NHS and other agencies for medical, teaching and research purposes. Leases and licensing agreements for land and property are covered under Section 1 above	Head of College of Medicine and Veterinary Medicine	w,x,y
15.2	Additional cost of teaching ('ACT') - agreeing the allocation and use of funds provided by the NHS to meet the additional costs of teaching medical students	Head of College of Medicine and Veterinary Medicine	
15.3	Provision of laboratory services	Head of College of Medicine and Veterinary Medicine	x,y
15.4	Medical library, archiving, information technology and networking services	Head of Information Services Group	

16. International Agreements

16.1	Agreements involving agencies and equivalent bodies for the recruitment of international students	Vice-Principal International acting jointly with Head of College	
16.2	European Union schemes for student exchanges and similar	Head of College	
16.3	Agreements and arrangements relating to the education and learning of undergraduate, postgraduate taught or postgraduate research students having an international character	Principal or Vice-Principal International or University Secretary	

17. Library

17.1	Access to the Library/library facilities by non-members of the University	Director of Library Services	
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18. Disputes

- 18.1 Documents relating to the settlement of court actions or other disputes not falling within the ambit of other parts of this Schedule University Secretary

Approved 21 June 2010
Amended 20 December 2010
Amended 19 September 2011
Amended 13 May 2013
Amended 1 August 2014

THIS IS APPENDIX A OF THE DELEGATED AUTHORISATION SCHEDULE ADOPTED BY THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH ON 21 JUNE 2010

NOTES

Applicability of Notes

The Delegated Authorisation Schedule (“DAS”) to which these Notes are attached lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student).

General notes apply to all arrangements in the DAS.

Particular Notes apply to a particular arrangement if this is indicated in the column headed “Notes” in the DAS.

General Notes

- 1) This Schedule applies in addition to the Delegation of Powers granted by the University Court to the Principal on 10th June 2002, in terms of which the Principal received delegated authority to act on behalf of the University Court in all matters other than the areas which the Court reserved to itself and subject to certain principles (all as published on the University website) and to commit expenditure of up to £500,000.
- 2) The University Court has delegated various authorities to “Head of College/Support Group”. In these cases it is the Head of College or Head of Support Group where the arrangement is taking place who has the authority. On occasion arrangements can involve more than one College and/or more than one Support Group. In these situations, unless the University Court has directed otherwise, the various individuals with authority should agree amongst themselves regarding which one of them will accept the authority (and responsibility) for the arrangement concerned. Generally speaking, authority (and responsibility) should be accepted by the individual whose College or Support Group has the budget (or the majority of the budget) for the arrangement concerned.

Particular Notes

- a. Goods means corporeal movable items irrespective of how they are treated in the University’s accounts.
- b. Section 2 does not apply to the acquisition and provision of goods, services and works dealt with elsewhere in the DAS. For example goods, services and works may be provided as part of the arrangements described in sections 5, 6, 7, 9 to 12, 14.5 and 15 and, if so, these sections apply.
- c. Examples of goods, services or works covered by section 2 are computing equipment; software; books, journals and other written or electronic material; professional services such as solicitors, accountants, architects, surveyors and the like. These examples are without prejudice to the generality of section 2.
- d. Section 2 applies irrespective of whether the goods, services and/or works are purchased or obtained on hire-purchase, lease or other financial arrangement.
- e. The acquisition of goods, services and works by the University is subject to statutory requirements and internal University procedures approved most recently at the meeting of the University Court on 19th October 2009. University procedures regarding procurement may be amended or replaced in the future and if so it is the amended or replacement procedures which apply. Delegated Authorities are responsible for ensuring such requirements and procedures are complied with and should consult the University’s Director of Procurement for assistance with these matters.
- f. Framework Agreements have particular relevance in the area of procurement and are defined in procurement legislation as *“agreements with suppliers, the purpose of which is to establish the terms governing contracts to be awarded during a given period, in particular regard to price and quantity”*.

- g. There are also appeals mechanisms which can be invoked by staff: appeals panels are empowered to take final decisions.
- h. In cases where the arrangement concerned relates to the Principal, the Principal shall withdraw from the Remuneration Committee and take no part in the discussions or any decisions. Any severance package for the Principal would require formal approval of the Court.
- i. Court reserves to itself (or to its Remuneration Committee) decisions on salaries for certain senior staff.
- j. The Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current provisions are set out in the Guidance on Severance Arrangements approved by the University Court in October 2008. This Guidance defines senior staff and sets out specific rules for certain arrangements described in the guidance. The Guidance may be amended or replaced in the future. If so it is the amended or replacement guidance which applies.
- k. The Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures in relation to staff and will take particular account of the following further considerations in discussion with the Director of Human Resources:
 - (i) University policies define senior staff for certain arrangements, where there is no defined staff category, the policy will normally apply to all staff.
 - (ii) University policies and procedures may be updated or replaced in the future. If so, it is the updated or replacement policy which applies. Delegated Authorities are responsible for ensuring such requirements and procedures are complied with and should consult the University's Director of Human Resources for assistance with these matters.
 - (iii) Equally, Delegated Authorities should consult the University's Director of Human Resources for assistance with the implementation of legally binding orders of courts, tribunals or other judicial bodies in relation to employment matters.
 - (iv) In some cases, the University's Financial Regulations may also apply, including current limits on expenditure, in these cases, Delegated Authorities should consult the University's Director of Finance for advice on these matters.
- l. Although this authority is delegated to the Principal, the Principal is expected to consult the University Court before committing to the implementation of nationally negotiated annual pay awards.
- m. Staff expenses of Vice-Principals, Heads of College or Support Groups shall be authorised by the University Secretary and staff expenses of the Principal shall be authorised by the Vice-Convener of the University Court.
- n. Finance and General Purposes Committee monitors numbers of students admitted to the University.
- o. Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current Estates Development Project Procedures was approved by the Estates Committee on 8 December 2010 and by Court on 21 February 2011. These Procedures may be amended or replaced in the future. If so it is the amended or replacement Procedures which applies.
- p. For these purposes, non-estate-related projects are defined as major replacement and development projects concerned with the University's IT infrastructure and other non-estates IT and library related projects other than ground and buildings (which are dealt with as Estates related Projects under section 5).
- q. All borrowing, lending and investment transactions are subject to the Treasury Management Policy approved by Financial and General Purposes Committee on 5 March 2001. This Policy may be amended or replaced in the future. If so it is the amended or replacement policy which applies.
- r. The Director of Finance can authorise borrowing within existing facilities approved by the Court.

- s. If the arrangement relates to the funding of research and the grant or other sums payable are insufficient to the extent that the University will itself require to pay moneys to an external third party, then the Delegated Authority shall obtain the consent of the Head of College prior to making the commitment.
- t. The Procedures for Consultancies and Service Work specifies the nature of External and Internal Consultancies. It also defines Private Consultancies which fall outwith the scope of DAS. These Procedures were approved by CMG on 19 May 2010 and have been applicable since 1 June 2010 replacing all provisions previously contained within SAM 5.6. These Procedures may be amended or replaced in the future. If so, it is the amended or replacement arrangements which apply.
- u. The distinction between funds donated to the University and to the Development Trust is important. Most philanthropic donations are received by the Development Trust rather than by the University. The Trust agrees the way in which they are used, in keeping with any restrictions placed on use by the donor.
- v. The Vice-Principal with responsibility for Development will consult with the relevant Head of College or Support Group depending on which College or Support Group is to receive a donation with particular regard to terms which a donor may wish to attach to a donation. Acceptance of any donation with restricted academic purposes must be approved by the relevant Head of College or Support Group. If the donation involves land and buildings, acceptance must be approved by the Director of Estates and Buildings in addition to the Head of College or Support Group.
- w. Leasing and licensing agreements for the use of NHS or University land and property by the other party is covered under Section 1 of the DAS and includes the proper application of the 'Pater formula' to deal with the shared running costs of capital developments including those that occurred in the past where agreements in regard to estates cost-sharing were put in place.
- x. Subject to consulting the Director of Estates and Buildings in regard to estates implications.
- y. Subject to expenditure limitations set out in section 2.1.

THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH

DELEGATED AUTHORISATION SCHEDULE

FORMAL SCHEME OF SUB-DELEGATION BY *[INSERT NAME OF DELEGATED AUTHORITY]*

Introduction

This Formal Scheme of Sub-delegation is intended to authorise *[INSERT NAME OF DELEGATED AUTHORITY]* to commit the University to certain contractual or quasi-contractual arrangements and to sign documents giving effect to such arrangements, on behalf of The University Court of the University of Edinburgh.

Background – Delegation of Powers by the University Court to *[INSERT NAME OF DELEGATED AUTHORITY]*

At its meeting on 21 June 2010 the University Court of the University of Edinburgh approved a Delegated Authorisation Schedule in terms of which people or bodies holding specified positions in the University (referred to as the “Delegated Authority”) were authorised to commit the University to contractual or quasi-contractual arrangements. The University also authorised the Delegated Authorities to approve formal schemes of sub-delegation whereby the authority granted to the Delegated Authority could be sub-delegated and/or the signature arrangements changed. This document is such a Formal Scheme of Sub-delegation by *[INSERT NAME OF DELEGATED AUTHORITY]*].

A copy of the Delegated Authorisation Schedule (including the Notes to the Schedule) is attached to this Formal Scheme.

Sub-delegation to *[INSERT NAME OF SUB-DELEGATEE]*

[INSERT NAME OF DELEGATED AUTHORITY] hereby sub-delegates authority to the individual named below to commit to contractual or quasi-contractual arrangements and/or to sign documents to give effect to such arrangements on behalf of The University Court of the University of Edinburgh.

Extent of Formal Scheme

This Formal Scheme applies to all/some of arrangements and documents giving effect to these which *[INSERT NAME OF DELEGATED AUTHORITY]* is entitled to commit to under the Delegated Authorisation Schedule being those described in the following sections in the Delegated Authorisation Schedule:

[E.G. SECTION 1. PROPERTIES TRANSACTIONS]

Position and Name of Individual	Specimen Signature of Individual

Signed
[INSERT NAME OF DELEGATED AUTHORITY]

Date



CENTRAL MANAGEMENT GROUP

8 October 2014

**SOCIALLY RESPONSIBLE INVESTMENT -
TAKING FORWARD THE UN PRINCIPLES FOR RESPONSIBLE INVESTMENT**

Description of paper

1. This paper reports on the recent UNPRI consultation and how we intend to proceed. It seeks agreement on the revised Responsible Investment policy – attached as appendix 1 – which includes the proposal to establish a revised process to consider divestment requests and proposals for a more proactive approach to social investments. This paper also seeks CMG's agreement to activate the new process to consider the case for divestment in relation to two specific classes of contentious investments.

Action requested

2. To note progress with socially responsible investment thinking, note the results of the consultation and the proposed direction of travel, to comment on the revised draft Socially Responsible Investment Policy, approve the establishment of a new process and committee to examine contentious investments, and approve the immediate commencement of that process to examine two specific areas.

Recommendation

3. CMG is invited to comment on the revised Policy, approve the establishment of the SRS Committee, and approve the initiation of exploring future investments in fossil fuels and armaments.

Background and context

4. The PRI consultation ran from early January to early April and invited comment from staff and students. The response was low (less than 300) given the population size but indicated broad support for the majority of the proposals in the consultation paper. A copy of the full analysis of the consultation is available at: <https://www.wiki.ed.ac.uk/display/UCC/Central+Management+Group>

5. The consultation was wide ranging and sought agreement on broad principles to inform the responsible investment approach, as well as exploring improvements to advice, transparency and reporting.

6. The paper also set out broad directions for future investment choices, and sought views on the issue of divestment, including how to make decisions on these questions and what specific areas should be considered. It also sought views on issues of concern to inform future investment choices.

Discussion

7. Responding to the Consultation

The majority of the proposals in the consultation were supported by the majority of respondents and have been incorporated into the revised policy. These include proposals to increase the transparency and reporting of investments and the principles for investment, subject to minor amendments.

8. A process to scan the horizon for potential responsible investment issues of concern has been proposed, and in due course appointment guidance for the responsible investment element of investment manager appointment will be prepared.

9. Calls to divest from fossil fuels and armaments came from more than half of all respondents, and the student body ran an active campaign on these issues including a large petition submitted to the University Secretary.

10. *Socially Responsible Investment Policy*

The attached (appendix 1) is an updated version of the proposed revised policy to replace the existing 2006 policy. The opportunity has been taken to firm up the principles behind the University's approach, offer more specificity on the positive investments sought, further develop the process to consider contentious investments, and give more detail on a range of issues highlighted by the consultation and discussions with colleagues and stakeholders.

11. A wide range of discussions have taken place on the updated policy including a working group, discussions with senior colleagues, senior academics, views from the Investment Committee and Baillie Gifford, and with external groups and experts.

12. Comment is sought from CMG for the policy prior to submission to Policy and Resources Committee and Court. This will be updated thereafter to take account of the outcome of future decisions reached on contentious investments.

13. *Deciding on Contentious Investments*

As previously highlighted, responses to the consultation produced a range of suggestions for areas which the University might consider avoiding investing in, either on principled or on investment return grounds. It was noted however that any decision would need to consider the University's overall values, impact on investment and knock-on consequences for the University's other activities.

14. The attached revised and updated Responsible Investment policy proposes a revised process for considering requests for divestment, including that CMG may ask the new Social Responsibility and Sustainability Committee (replacement for SEAG) to provide it with advice and options on specific contentious investments meeting established criteria.

15. CMG is asked both to agree to the scrutiny process set out in appendix 1 and to initiate this process in relation to fossil fuels and armaments given the extent of student concern expressed around investment in these two areas. CMG is asked to agree that these two areas should be remitted to the new Social Responsibility and Sustainability Committee for consideration and advice; and to seek to consider this advice and reach a decision in these two areas by winter 2014/15. This timescale is, of course, subject to the need to ensure the adequate consideration of the options by the various parties.

16. The newly formed SRS Committee would be able to commence its consideration of these issues at its October meeting, and it is envisaged that a sub-group of key

representatives, including staff and student representatives, would be formed to manage the review process.

17. At the same time, CMG may wish to seek advice from the Investment Committee on the financial and investment implications of divestment from the two areas.

18. It is important to note that the SRS Committee will be remitted to consider and report back on options in this area, rather than make specific recommendations for approval, since the final decision on recommendations rests with CMG.

19. The consultation and public meetings also raised a number of other areas which individuals suggested should be considered for divestment. It is proposed to develop a background document summarising the overall review process which would explain why they did not meet the criteria for initiating a divestment review.

20. Strategic Investment Approach

Further work will be undertaken within Corporate Services Group to firm up proposals for consideration by Investment Committee and to be shared with the wider University community for views. The forthcoming review of the climate action plan offers an opportunity to consider in more depth a range of investment opportunities that may support the goals of the updated Responsible Investment policy, and deliver emission reductions and positive cash flows over the medium term.

21. Such investments would potentially come from a range of options including a revolving fund for energy reduction and micro-renewable deployment; direct ownership of, or investment in, on or off-site renewable generation assets; start-ups associated with low carbon or green technology opportunities.

22. The business cases for, and investment cases relating to, these options will be explored in greater depth as part of the climate action plan review. Investments here could potentially be significant to generate significant emission reductions and savings but would clearly need to fit with the overall investment strategy.

23. On social finance there appears to be strong support to take discussions further, accepting (in principle) a lower return that might be obtained from standard investments but deriving social benefit from investments linked to the University's key purpose and activities. Investments here could be of a more modest scale, perhaps starting with a commitment to a fund of a small element of endowment fund assets.

24. Proposals to date have included investment in young people in Edinburgh, widening access, community or student sustainability or energy projects, global justice start-up activities, sports as opportunity, troubled families, cooperative ventures on livestock in the developing world, and other exciting possibilities linked to our core mission and to areas of research strength. Again, much more work is needed to explore these possibilities, develop business cases and ensure they fit with the overall investment approach.

Resource implications

25. There are resource implications. Costs associated with new areas of investment would be considered by the Investment Committee as part of its investment assessment during the implementation phase in line with standard practice. Costs associated with PRI reporting will come from within existing Corporate Services Group resources. The need for further specialist advice in this area will be assessed as part of future planning rounds.

Risk Management

26. This paper does not include a risk analysis but the future design of the PRI implementation process will consider organisational, financial, sustainability and reputational risks in due course.

Equality & Diversity

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

Next steps/implications

28. The revised policy would be submitted to Policy and Resources Committee and Court for approval. SRS Committee will commence the immediate review of the two issues proposed, starting at its October meeting.

Consultation

29. The broad direction of travel was the subject of a consultation earlier this year. The draft policy has been shared with a range of senior colleagues as well as representatives from the UNPRI Working Group, Investment Committee, investment managers, academics, staff representatives and elected student representatives.

Further information

30. Further information available from the consultation webpages at:
<http://www.ed.ac.uk/about/sustainability/what-we-do/community/responsible-investment-consultation>

31. Author

Dave Gorman
Director of Social Responsibility and
Sustainability
8 October 2014

Presenter

Dave Gorman
Director of Social Responsibility and
Sustainability

Freedom of Information

32. This paper can be included in open business.

University of Edinburgh Socially Responsible Investment Policy

Introduction and Scope

The University's mission is the creation, dissemination and curation of knowledge. Carrying out our activities in a socially responsible and sustainable way, the University aims to make a significant contribution to Scotland, the UK and the world.

Our research advances human knowledge and understanding, continually breaking new boundaries and pushing the frontiers of existing knowledge. Working together with industry and the public sector to realise the benefits of research and through initiatives such as our [global academies](#), we seek to respond significantly to global problems such as food security, climate change, disease, development needs and population growth. We recognise that stewardship of our financial resources is an essential enabling factor in fulfilling our mission to benefit society.

Responsible investment is an approach that explicitly recognises that the generation of long-term sustainable returns is dependent on stable, well-functioning and well governed social, environmental and economic systems.

This policy also enables us to meet our commitments to the United Nations Principles of Responsible Investment (UNPRI). It provides guidance from Court to the University's Investment Committee and third party investment managers and decision makers in taking a socially responsible approach to investment.

2.0 Principles to Inform Investment

Our fundamental values as a University include supporting new knowledge creation and curation, the principles of openness, rationality and the virtues of debate, critical thinking and academic freedom. Our values include a broader concern for wider issues of social justice, human rights, economic and social well-being. We recognise that there is a clear and global need to manage finite resources efficiently and reduce risks from short or longer term environmental degradation or social exploitation, inequalities or corruption.

In guiding the university's approach to socially responsible investment the University has therefore adopted the following principles:

Principle 1 - The University will use appropriate opportunities to utilise its endowment funds to further its mission to advance human knowledge, benefit the local and global community, and to support its students, staff and alumni.

Principle 2 - The University should take a long-term view of its investment approach, fully informed by the need for financial sustainability, ethical and social impact and environmental sustainability, exploiting opportunities to act as an agent for change

Principle 3 - No investment choices will be made which threaten the long-term viability of the university as a world leading institution, or undermine its core academic freedom

Principle 4 - In making, managing and reporting on its investments, the University will be open and transparent about the reasoning behind its choices, explaining the approaches

that it has adopted to inform its activities and ensuring it seeks a wide range of advice before it makes substantial changes to its approach.

Principle 5 - The University will avoid investing in particular types of activities which are fundamentally incompatible with the mission of the university to benefit society as a whole and the values stated above.

Our Approach

Responsible investment is driven by a growing recognition in the financial community that effective research, analysis and evaluation of environmental, social and governance factors is fundamental in assessing the medium and long term value as well as performance of an investment. This analysis should inform asset allocation, stock selection, portfolio construction, shareholder engagement and voting at company general meetings. We believe that the management of all asset classes can be socially responsible, and that such considerations need to be factored into the appointment, monitoring, engagement and reporting processes of our investment managers.

We propose to be an active investor, setting out our values and concerns clearly, using our investment managers to undertake our engagement. This way we maximise the expertise available to us, and increase the effectiveness of our overall approach. We see a range of choices for engagement, which include raising issues with companies, shareholder resolutions, working in coalitions, monitoring progress with issues of concern, and eventually considering divestment should those companies fail to improve over a period of time. On occasion we may wish to signal issues of potential strategic concern, and proactively pass those issues to our investment managers to raise on our behalf.

We will seek to avoid investment in specific sectors or companies which fail to reach recognised standards on human rights, sustainability, business and labour practices. We recognise and support the principles of the [UN Global Compact](#).

If companies in which we invest fail to progress towards adopting recognised standards or fail to engage with recognised improvement processes, we will initially express concern, and may divest if adequate progress is not made over time. We will also brief our Director of Procurement and other key staff regarding companies that fall into this category to ensure that proposed tenders and purchases avoid inconsistency with this Policy.

Socially Responsible Investment Framework

We recognise the global challenges of urbanisation, population growth, growing demand for food, energy and water, threats posed by climate change, loss of natural systems and the spread of infectious diseases. In line with our principles set out above, we seek to contribute to solving global health and poverty challenges, particularly in developing countries and in meeting the challenge of healthy ageing and tackling major diseases.

We therefore will take appropriate opportunities to invest in companies and funds which contribute to solving these problems. In practice this means:

- Assessing opportunities to direct some of our investment funds towards future energy sources that are cleaner and make a contribution to tackling climate change; where consistent with other investment criteria, investing in a range of low carbon, clean technology opportunities that deliver substantial improvements on current impacts and assist in the delivery of meeting global challenges

- Considering the case for investment in social enterprises that will improve the lives of those in the developing world, alongside socially responsible businesses here in Edinburgh. This may include 'start-up' innovative companies or social investments linked to identified social responsibility themes.

Our practical framework for socially responsible investment is as follows:

- The primary purpose of our investment strategy is to generate financial returns that will help fund our primary activities, recognising the major contribution that these make to develop a better world
- We will continue to invest in a wide range of activities with a strengthened focus on socially responsible environment, social and governance factors
- We expect our investment approach to explore opportunities to invest directly in socially responsible activities and to ensure that the companies or funds we invest in are working towards these objectives, commensurate with agreed investment goals and outcomes
- The practical contribution to be made from various investments to these objectives will vary and is a decision for the Investment Committee in implementing this policy
- Where specific companies or funds have failed to meet recognised standards over time, or undertake activities fundamentally at odds with the values and ethos of the university then we will avoid investing in them and divest where appropriate.

Avoidance of Investment in Principle

The University wishes to maintain its long-standing commitment to avoiding direct investments in tobacco, given the negative impacts on health and the University's commitment to health improvement through research and teaching and direct medical services.

The University wishes to make a difference through its socially responsible and sustainable policy, but recognising the limits of our influence and ability to manage every impact, we have adopted a 'materiality' policy. This means that if the proscribed activity forms a relatively small element of a company's overall business, then divestment will not be considered. We have suggested [5%] [10%] of total company turnover is a suitable threshold at which to consider action.

Such an approach might be needed if the Investment Committee wishes to adopt cost-effective tracker fund approaches (where absolute certainty in this area would be difficult), or to avoid disproportionate effort on investigations of company activities, divestment from which would yield low or minimal benefits or may affect supply chains unreasonably. If the proscribed activity became larger than [5%] [10%] this would trigger a review and possible action.

In judging future areas where the University is asked to consider avoiding investment in principle, we intend to use the following criteria:

- An activity wholly contrary to the values and ethos of the university as stated above
- Impact on investment capital and returns
- Ease of avoiding investment within realistically available investment choices
- Impact on other areas of University activity (research, teaching, fund raising, procurement)
- The University's view of future changes and 'direction of travel' in the area proposed

Our revised process for considering and deciding such issues in future is set out in Annex 1 and updates our existing approach from 2003 and 2006.

Reporting, Advice and Transparency

The University is committed to transparency in the management of its investments, consistent with commercial confidentiality and broader investment goals. We commit to reporting annually to the PRI process and participating proactively in broader best practice and knowledge exchange activities on responsible investment and supply chain impact. We will publish any advice on socially responsible investment passed to the Investment Committee by Court, alongside any guidance we prepare on the integration of socially responsible investment into the appointment and reporting requirements of our investment managers. We will publish a summary of our investments on a six monthly basis, and will publish the engagement activities undertaken on our behalf by our investment managers, within the limits of commercial confidentiality.

Advice and Information

The University of Edinburgh is committed to ensuring it has the best possible range of advice on these matters to inform the Court, Investment Committee and our overall investment and supply chain approach.

The University has established a new Social Responsibility and Sustainability Committee, which will develop advice on issues of concern and opportunities, respond to any request from the University's Central Management Group to provide advice on potential disinvestments, develop advice on social responsibility issues in the appointment of investment managers, identify issues of concern in sourcing certain higher risk goods, services and works, and provide input to future reviews of this policy. The Committee will be supported by the University's own Finance, Social Responsibility and Sustainability, and Procurement departments.

This policy was adopted by Court on xxx 2014 and is due for review in 2018.

Annex 1- Examining Future Calls for Avoiding Investment

1. Any group within the University may draw attention to any investment held by the University that is considered to be wholly at odds with the values and ethos of the University, either on an individual company basis or covering sectors of activity
2. The key criteria against which specific cases would be considered are:
 - An activity wholly contrary to the values and ethos of the university as stated above
 - Impact on investment capital and returns
 - Ease of avoiding investment within realistically available investment choices
 - Impact on other areas of University activity (research, teaching, fund raising, procurement)
 - The University's view of future changes and 'direction of travel' in the area proposed
3. Expressions of concern should be related to either specific companies or specific sectors whose activities or values appear, on the basis of clear evidence, to be so far removed from the University's core values as to give grounds for serious concern. Cases will normally only be considered if brought forward by representative bodies such as EUSA or a recognised trade union, or via the University's committee structure.

4. Cases will be considered by the Central Management Group in the first instance. If brought forward by EUSA, the President and relevant Vice President would attend for discussion of that item. CMG may instruct the Social Responsibility and Sustainability (SRS) Committee to consider the merits of the request and to report back with its findings. CMG may also ask the Investment Committee for comments and analysis.
5. The SRS Committee's deliberations will be led by the Chair of the SRS Committee and supported by the University's SRS, Procurement and Finance Departments. This may include the convening of a special sub-committee to consider the matter further. The SRS Committee is free to consider the best means to deliver a timely, considered and thorough response but in developing its analysis it should apply the criteria contained in the above policy.
6. In reaching its decision, CMG is expected to take into account the current extent (if any) of the investment or procurement managers' engagement with the relevant company on the matters complained of. It is for CMG to decide whether there are sufficiently strong grounds to warrant particular engagement with the company through the mechanisms established by the investment managers where this is not already in hand, or to request strengthening that engagement if already active. CMG may also decide to recommend divestment from a particular company, or avoid investment or acquisition in a specific sector of activity.
7. CMG is empowered to raise matters with the Investment Committee and investment managers without the need for Policy and Resources Committee's/Court's endorsement. Its decisions in regard to whether to do so in individual cases, whether positive or negative, shall be reported to the Policy and Resources Committee and the Court. The investment managers would be asked to report back, giving clear details as to any action that had been taken, so ensuring accountability. CMG will communicate these matters to Policy and Resources Committee and Court as appropriate.
8. It is acknowledged that a situation could arise in which engagement did not assuage serious concerns raised about a particular company. In those circumstances Court may conclude that it should disinvest. The Investment Committee would make the financial consequences of such a decision clear to the Court. There may also be a need to clearly indicate the procurement, sourcing or contractual consequences of any decision.
9. CMG's requests for engagement are normally transmitted to the investment managers via the Investment Committee. However, in exceptional circumstances, it is possible to ask the investment managers to pursue a matter at fairly short notice (e.g. at a forthcoming company AGM). In such circumstances a request for engagement should be passed from CMG to the Convener of the Investment Committee who would communicate it to the investment managers after such consultation with the Investment Committee and SRS Committee as was practicable in the circumstances.



CENTRAL MANAGEMENT GROUP

8 October 2014

Overview of Proposed Edinburgh BioQuarter Newco Business Model

Description of paper

1. This paper provides an update for CMG with respect to the development of a business plan proposal for BQNewco that will be presented to the Policy and Resources Committee on 20 October 2014. This is an important initiative and if supported by CMG and Court will be one of the corner stones for the University's commercialisation/knowledge transfer strategy going forward.

Action requested

2. No action is required. CMG is asked to note the content and provide comment with respect the proposed strategic direction i.e. proposal that will go to the Policy and Resources Committee to take BQNewco to initial public offering.

Recommendation

3. CMG to consider the paper being submitted to P&RC and to support/challenge the proposal that is to be submitted.

Paragraphs 4 – 12 have been removed as exempt from release due to FOI.

Risk Management

13. A separate risk assessment is included as part of the business plan proposal. The Court's risk appetite towards knowledge exchange is at the high end of the spectrum (higher willingness to take risks) ranging between 6 – 10.

Equality & Diversity

14. Full consideration will be given to equality and diversity implications, however currently none are expected.

Paragraphs 15 – 17 have been removed as exempt from release due to FOI.

Consultation

18. Two papers have been presented to the former Finance and General Purposes Committee, the first highlighting the commercialisation funding gap between the North and South of the country and to bring attention to the Committee that funding for BioQ is drawing to an end. The second paper set out a number of options for BioQ moving forward, the Committee supported the recommendation to explore the IPO option. There has been extensive consultation both internally (CMVM, ERI, UoE Investment Committee, VP Planning and Resources, Finance Director...etc.) Significant and sustained consultation will need to be continued.

Further information

19. Please contact Director of Corporate Services.

20. Author
Mike Capaldi

Presenter
Hugh Edmiston

Director
Bioquarter Team
21 September 2014

Director of Corporate Services

Freedom of Information

21. This is a closed paper. Its disclosure would substantially prejudice the commercial interests of any person or organisation



CENTRAL MANAGEMENT COMMITTEE

8 October 2014

Relocation - An aid to recruitment

Description of paper

1. The Relocation (Appendix 1) and Partner Career Transition (Appendix 2) are attached for consideration and comment by Central Management Group (CMG) before approval at Policy and Resources Committee on 20 October 2014.

Action requested

2. CMG is asked to note, consider and comment.
3. To recommend approval of the policies to Policy and Resources Committee.

Paragraphs 4 – 12 have been removed as exempt from release due to FOI.

Risk Management

13. The Relocation policy will mitigate the risk of any challenges of inequity when awarding relocation packages. This is particularly for Grade 10 /Professorial appointments and use of a through a 3rd party supplier carrying out a thorough needs analysis.

14. The Partner Career Transition policy introduces partner career transition support for partners of UE8, UE9 and UE10 appointees and whilst also enabling Supernumerary Partner Career Transition appointments. It provides robust principles and procedures regarding the provision of preferential access to employment for partners enabling control, monitoring and quality assurance with oversight exercised by the Remuneration Committee.

15. The University must be mindful of direct and indirect discrimination in its application. It is important, that as with all policies it is applied in a non-discriminatory way to all UE10 /Professorial appointees and therefore irrespective of any protected characteristic. The University will need to keep the application of the Partner Career Transition policy under review and seek to operate it in such a way that those at risk of redundancy are not disadvantaged by it.

16. Any Supernumerary Partner Career Transition post should be advertised and an interview and assessment of the partner's qualifications, knowledge, skills and experience will be carried out to ensure that they have the competencies to meet the University's normal standard of excellence.

Equality & Diversity

17. An Equality Impact Assessment has been carried out and review of both policies application should take place after one year in operation.

Paragraph 18 has been removed as exempt from release due to FOI.

Consultation

19. The policy development process included consultation with People Committee, 3 June

2014, Heads of College, Registrars, Heads of Human Resources, Remuneration Committee, 29 August 2014 and Trade Unions.

20. In particular, the University is required to negotiate and agree with Trade Unions on “Principles governing the procedures under which appointments are made and terminated and under which promotions or moves beyond an efficiency bar are made.” It was therefore necessary to negotiate on Partner Career Transition policy where the University would give a Grade 10 appointment’s life partner a preferential route into the University, (Partner Career Transition Supernumerary Appointment Procedure). However, no other aspects of the Partner Career Transition or Relocation policies were subject to negotiation. Agreement was reached at Combined JCCNC meeting on 29 September 2014, although UCU required a review of Partner Career Transition Supernumerary Appointment Procedure after one year of operation. This was agreed.

Further information

21. Author

Anna Edgar
University Human Resource Services
30 September 2014

Presenter

Anna Edgar
University Human Resource Services

Freedom of Information

22. Closed until the policies are published following approval at Policy and Resources Committee.



CENTRAL MANAGEMENT GROUP

8 October 2014

Finance Director's Report

Description of paper

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

Action requested

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

Recommendation

3. No recommended actions required.

Paragraphs 4 – 18 have been removed as exempt from release due to FOI.

Risk Management

19. There are no specific risks identified.

Equality & Diversity

20. Specific issues of equality and diversity are not relevant to this paper as the content focusses primarily on financial strategy and/or financial project considerations.

Paragraph 21 has been removed as exempt from release due to FOI.

Further Information

22. Author

Mr P McNaull
Director of Finance
29 September 2014

Presenter

Mr P McNaull
Director of Finance

Freedom of Information

23. This paper should not be included in open business as its disclosure could substantially prejudice the commercial interests of the University.



8 October 2014

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University Management Accounts for the year 2013-14 – Flash Report

Description of the paper

1. This paper reports the University of Edinburgh management accounts for the twelve months to 31 July 2014, excluding subsidiary companies.

Action requested

2. CMG is asked to note the favourable surplus position of £34.7m reported for the financial year, representing 4.6% of total university income.

Recommendation

3. No recommended actions required.

Paragraphs 4 – 14 have been removed as exempt from release due to FOI.

Risk management

15. The paper does not include a risk analysis.

Equality and diversity

16. The paper has no equality or diversity implications.

Paragraph 17 has been removed as exempt from release due to FOI.

Consultation

18. This paper has been reviewed and approved by the Deputy Finance Director.

Further information

19. Author

Lorna McLoughlin
Senior Management Accountant
26 September 2014

Presenter

Phil McNaull
Finance Director

Freedom of Information

20. The paper is closed. Its disclosure would substantially prejudice the commercial interests of the University.



CENTRAL MANAGEMENT GROUP

8 October 2014

Internal Audit Status Report

Description of paper

1. The Internal Audit Status Report provides detail on the progress against the Internal Audit Plan, the results of the audit assignments completed in the period and the status of follow up recommendations. This paper was presented to the Audit and Risk Committee at their meeting on 16 September 2014.

Action requested

2. The CMG is asked to note progress against the Internal Audit Plan.

Recommendation

3. The CMG is asked to note progress including i) the completion of the 2013-14 Internal Audit Plan ii) the proposed change to the Internal Audit Plan at paragraph 13, page 2 (iii) findings from audits completed in the period and iv) that overdue recommendations are reviewed.

Background and context

4. Our Internal Audit Status Report covers the following areas:

- i. Status of Internal Audit Plans
 - 2013-14 Plan Completion
 - 2014-15 Plan Status
- ii. Audits Completed in the Period
- iii. Overall Conclusions & Observations
- iv. Internal Audit Report Summaries
- v. Follow Up Reviews & Overdue Closure of Audit Recommendations

Discussion

(i) Status of Internal Audit Plans

2013-14 Internal Audit Plan

	As At May Audit Committee	Audits In Period	Total Audits Completed	Plan
Fully Completed	18	10	28	
Draft / Fieldwork Complete		4	4	
Total Audits	18	14	32	28

5. We have completed 32 audits during the year compared to the original Internal Annual Plan of 28 audits.

6. During the year we have completed 3 special investigations of which two were

undertaken or finalised during the period relating to School of Chemistry Lab Coat Income and Engineering.

7. Two audits were postponed from the 2013-2014 Internal Audit Annual Plan. Firstly, the planned review of Research Award Impact Statements was deferred until the REF publication in December 2014 and secondly, Mobile Data arrangements will be included within a wider IT Security review in 2014-2015. The Plan was supplemented by an additional audit on School of Chemistry Stores

8. Two deferred audits from 2012-2013 were completed as part of the 2013-2014 Internal Audit Plan covering IT: Vet School (reported to the Committee in February 2014) and Strategic Plan KPIs.

9. Four audits are at draft report stage and are currently being finalised covering Student Attendance Monitoring; Student Experience Project Review; Outcome Agreement with SFC; and Research Grant Funding Calls.

10. This completes the 2013-2014 Internal Audit Plan.

2014-15 Internal Audit Plan

	Audits In Period	2014-15 Plan
Fully Completed	3	
Draft / Fieldwork	3	
Total	6	26

11. The 2014-2015 Internal Audit Plan was agreed at the Audit Committee meeting in May 2014 and contained 26 planned audits. The Plan has now been fully communicated with proposed timings by quarter. We are currently in the process of detailed scoping and scheduling of all assignments for the year.

12. To date we have completed 3 audits from the 2014-15 plan with a further 3 audits either at fieldwork or draft reporting stage.

13. The audit plan includes an assignment on Cashless Catering. Accommodation Services are currently in the process of preparing a tender for system replacement with an expected go-live date for the beginning of the 2015-16 academic year. It is therefore proposed that Internal Audit's input would be better directed at assisting where appropriate with the new system selection and implementation and a full audit review completed post go-live.

14. For completeness, it was reported at the Audit Committee meeting in May 2014 that the 2012-2013 Audit Plan had been completed with 8 audit reports finalised and presented to the Committee throughout the year.

(ii) **Audits Completed in the Period**

Assignments: 2013-14		Date	Recommendations	
			High	Other
1	University of Edinburgh Accommodation Ltd	May	1	6
2	School of Informatics	July	1	7
3	School of Social & Political Science	July	3	6
4	Strategic Plan KPIs	July	0	0
5	Deaconess & Holyrood Student Accommodation Projects - Operational Arrangements	August	0	2
6	School of Literature, Languages and Cultures	August	0	4
7	CSCE College Office Undergraduate Applications	August	0	3
8	E-recruitment (Post Implementation Review)	August	0	6
9	Engineering (Special Investigation)	August	n/a	n/a
10	School of Chemistry Lab Coat Income (Special Investigation)	August	0	6

Assignments: 2014-15

1	IT Security Science & Engineering – PHYESTA	August	0	1
2	IT Security School of Economics: BLUE	August	1	4
3	Office of Lifelong Learning	August	2	5

Total Recommendations:

8	50
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(iii) **Overall Conclusions & Observations**

15. Two **IT Security Audits** were completed in the period with one High Priority finding raised relating to the School of Economics BLUE system (which includes the personal details of people taking part in experimental studies). Here we found that the underlying software was out of date and was therefore vulnerable from a security point of view but penetration testing has now been undertaken to establish fully the extent of the security issue. Five other recommendations were raised in these two audits.

16. The **post implementation review** of eRecruitment demonstrated that a number of key learnings had been identified by the Project Team as the implementation of eRecruitment had taken place against an extended timescale, with significant changes in personnel. Although it is recognised that many of these issues would now be addressed by the Major Projects Governance Assessment Toolkit, it is important that these lessons are shared with other major project initiatives within the University, notably in relation to engagement with end users, and we will raise this with the University's Central Management Group.

17. Related to IT Systems, our key observation from the CSCE Undergraduate Admissions audit was that the process of scoring and comparing applications involves taking the data from EUCLID and working offline on an Excel spreadsheet. Although this was well designed and effective, it was recognised that basing a core University activity on Excel is not ideal. Despite effort and debate between Recruitment & Admissions staff across the University, it has not been possible to devise a more robust solution which would be suitable for all 3 Colleges. The current process therefore carries an inherent risk of error placing greater reliance on individual team members to execute the required levels of control.

18. Two audits were completed in **Estates and Accommodation Services**. Our audit of the Holyrood & Deaconess Estates Project demonstrated that the project had been administered carefully, with due attention to the identification and mitigation of risk. The University of Edinburgh Accommodation Ltd audit identified one High Priority recommendation in relation to the allocation of staff costs.

19. During the period we completed a **Special Investigation** into the income received by the School of Chemistry for the sale of lab coats. During our earlier School of Chemistry audit anomalies had been identified between the number of lab coats issued and the amounts of money banked. The discrepancies were significant enough to merit a separate review. Our findings were passed to an Appointed Investigator to take forward under Disciplinary Procedures and we have prepared a lessons learned report.

20. During the period we have completed four **School & Location Audits** covering School of Informatics, School of Social & Political Science (SPSS), School of Literature, Languages & Cultures (LLC) and Office of Lifelong Learning. Nearly half of our recommendations in the period (28 of 58) have been raised during these audits. On review of the findings there are some common themes emerging and there is an opportunity for control improvement both within each individual School or location but also by sharing the types of issues arising with other areas.

21. One key trend of issues relates to the Schools' approach for expenses. It was noted in the SPSS audit that the use of photocopy expense forms had resulted in duplicate payments. Recommendations on other related issues were also made including receipts, use of the e-expenses system and review & approval procedures.

22. One High Priority finding was raised in the School of Informatics audit to ensure that the procedures for approving consultancy work by academic staff are reviewed and that the Head of School's approval must be obtained before consultancy agreements are allowed to proceed. The process for Consultancy Agreements has been included as a

separate 2014-15 audit assignment and we will include this example as part of our audit work.

23. Financial procedure documentation, including segregation of duties, was raised as a High Priority issue within SPSS with another similar recommendation in LLC. This, combined with effective staff training, helps ensure that controls are understood, implemented and effective.

24. Petty cash procedures were raised in two audits (SPSS & LLC) albeit immaterial in nature. However, this, combined with the issues identified in the School of Chemistry Lab Coat investigation, would suggest the need to reinforce the controls required over cash management and petty cash balances across locations. Although balances are not material there is a heightened risk of error or theft and we should challenge the need for these cash balances, the associated administrative time it entails and whether other systems (purchasing, expenses etc.) could not be used as a better alternative.

25. Further detail on each individual audit is contained within the next section.

(iv) **Internal Audit Summaries**

2013-14 Internal Audit Plan

Audit	High	Other
1 UoE Accommodation Ltd	1	6
<p>The purpose of our review was to provide assurance that appropriate arrangements are in place and operating effectively in relation to the budgeting and accounting arrangements for UoE Accommodation Ltd (UoEAL), the commercial subsidiary. We are able to provide assurance over the design and operational effectiveness of the systems in place for budgeting, forecasting and allocating of income and expenses within UoEAL. However, we have recommended that existing mechanisms for cost allocations are reviewed, and that the reporting mechanisms in place are improved to enhance the efficiency, clarity and reliability of the financial reporting processes. One High Priority recommendation was made in relation to the staff cost allocation model between the University and the commercial subsidiary.</p>		
2 School of Informatics	1	7
<p>The scope of this audit was to perform a review of internal controls present within the School of Informatics and to assess their adequacy and effectiveness. Our audit testing showed that the School of Informatics is well run, and has a clear administrative structure and procedures. General accounting procedures for budget setting, monitoring and reconciliation of accounts are well organised. We recommended that improvements are made to procedures to ensure that Head of School approval is always confirmed before consultancy agreements are allowed to proceed (High Priority). Other recommendations addressed segregation of duties issues for some purchases made via eFinancials, research budget review, expenses, funding eligibility checking and tutor timesheets.</p>		

3	School of Political and Social Science	3	6
<p>The audit objective was to assess the adequacy of the controls operating in key areas including payroll, purchasing, cash handling and income collection. The audit concluded that inaccuracies and deficiencies in key processes are compromising what, on face value, appear to be good controls. We recommended a number of improvements to be implemented to improve the integrity of the systems and to provide greater confidence to management that the systems are operating effectively. Three High Priority recommendations were made addressing procedures and division of duties in relation to the monitoring of costs; documentation of financial procedures; and expense procedures in relation to photocopied expense claims to prevent duplicate payments.</p>			
4	Strategic Plan 2012-2016 key performance indicators	0	0
<p>The University Strategic Plan 2012-2016 plan contains 12 key performance indicators which are intended to provide confidence that performance toward meeting the University's targets is improving. The review focussed on the key performance indicators related to Equality & Widening Participation and People. There is a reporting framework for the Strategic Plan which ensures the tracking of progress and an overview of University performance, which should ensure early identification of areas where remedial action is required. Our detailed testing of the data and associated processes used to prepare these key performance indicators found there is an adequate audit trail to the source data and no material issues were identified.</p>			
5	Deaconess and Holyrood Student Accommodation Projects - Operational Arrangements	0	2
<p>The University has embarked on two projects to provide additional student accommodation commencing with the start of the academic years in September 2014, 2015 and 2016. These are at sites at the old Deaconess Hospital and at Holyrood. Internal Audit was asked to carry out a review of the projects with specific focus on overarching project risks and the arrangements for Facilities Management. The projects have been administered carefully, with due attention to the identification and mitigation of risk. The responsibilities for Facilities Management in both projects are clearly defined and appear to be well understood. No significant matters arose from the review.</p>			
6	School of Literature, Languages and Cultures	0	4
<p>The School have spent significant effort in recent years developing greater centralisation of financial processes as appropriate, though this could be further enhanced by the preparation of documented financial procedures. There are arrangements in place to ensure effective overall general accounting and financial monitoring controls and that only valid and appropriately authorised expenditure is processed.</p> <p>No High Priority findings were raised during our audit.</p>			

7	CSCE College Office Undergraduate Applications	0	3
<p>Processing applications for undergraduate places in the College involves large volumes of applications and tight deadlines and the process has been re-engineered in 2013-14 to align with UCAS paperless processing.</p> <p>The process of scoring and comparing applications involves taking the data from EUCLID and working off-line on an Excel spreadsheet. Although well designed and effective, it is recognised that basing a core University activity on Excel is not ideal. Despite effort and debate between Recruitment & Admissions staff across the University, it has not been possible to devise a more robust solution which would be suitable for all 3 Colleges. The current process therefore carries an inherent risk of error placing greater reliance on individual team members to execute the required levels of control. The current approach should be subject to periodic review to confirm it remains fit for purpose, taking into account any issues which have arisen and whether increasing application numbers are still manageable.</p>			
8	E-recruitment (Post Implementation Review)	0	6
<p>The eRecruitment Project was initiated in 2008. Together with the Procurement exercise, the implementation of eRecruitment has taken place against an extended timescale, with significant changes in personnel. The Procurement exercise resulted in a contract award, to Core International, in November 2011. Phase 1a went live in October 2012, with Phase 1b being implemented in July 2013. Phase 1b was signed off in November 2013, four months after going live, following significant issues post going live.</p> <p>The eRecruitment Project predates the University's Major Projects Governance Assessment Toolkit, devised after the difficulties of implementing the Student application and administration system, EUCLID. The Project Board commissioned a Lessons Learned report and this report generated seventy-four recommendations, under ten themes.</p> <p>A review of the report's recommendations shows that many of them are covered by the Major Projects Governance Assessment Toolkit. Other recommendations echo experiences from the EUCLID and Shared Academic Timetabling projects. Engaging with an appropriate spread of users with operational knowledge of the business processes which also represent the University organisational locations, remains a challenge for the University as a whole.</p> <p>The Live implementation of Phase 1a sharpened management focus as the project transitioned into an operational service with the need to timely consider impacts arising from "live" use, as the application is exposed to a larger user base and its entire range of functionality is subjected to real world interaction with amended and existing business processes. There is also an imperative to maintain a consistent set of environments to facilitate Development and User Testing.</p> <p>There is evidence of progress on addressing some issues such as the appointment of a Senior User from the User Group, later to become Chair of the User Group, to the Project Board, to provide a greater user perspective at Board meetings. Discussions were also initiated with Core to strengthen the Service Level Agreement set out in the</p>			

contract.

9	Engineering (Special Investigation)	n/a	n/a
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A verbal update was provided to the Audit Committee in May 2014 by the Director of Finance. Internal Audit had previously prepared and finalised their investigation report as an input to Disciplinary Proceedings.

10	School of Chemistry Lab Coat Income (Special Investigation)	0	6
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It was noted in a routine audit of the School of Chemistry that there was an anomaly in cash banked. Laboratory coats are withdrawn from Stores in order to issue to first year undergraduate students and a charge of £10 is levied. There was an apparent inconsistency between the stock removed and the cash banked.

The investigation found that there was limited record keeping for lab coat sales in 2013-14, and no records for previous years; the amount banked for 2013-14 was in the order of £2K lower than the sales records suggest; over a 7 year period, the amount banked was in the order of £16-17K lower than the stores figures of lab coat withdrawals suggest; and cash had not been stored with suitable record keeping or security considerations.

The findings of the audit have been documented and passed to an Independent Investigator under the University's Disciplinary Policy. We have also documented a set of standard cash income and cash management controls which we would expect to be in place in similar situations. We recommend that this is used for wider communication to relevant departments in other parts of the University to help prevent any similar issues arising.

2014-15 Internal Audit Plan

Audit		High	Other
1	IT Security - PHYESTA	0	1
<p>PHYESTA (Physics at Edinburgh and St Andrews) combines two of Scotland's leading Physics and Astronomy departments into a single world-class centre. We reviewed the PHYESTA IT service which collects and combines data from the research information management systems at the two universities and found that the operational regime in place ensures confidentiality, integrity and availability of the data. No High Priority recommendations were made.</p>			
2	IT Security School of Economics: BLUE	1	4
<p>We reviewed the system which holds personal details on people taking part in experimental economic studies. We found that the underlying software is out of date and is therefore vulnerable from a security point of view. This presents a security exposure and we have recommended a more thorough penetration test to establish the extent of the problem (High Priority) and this has been noted by management as</p>			

already complete.

In addition, the application does not encrypt data, but transmits participants' personal details as well as Superuser credentials in plain text. Other findings relate to the assessment of system criticality in line with the IT Policy; software upgrade feasibility; and contingency planning.

3	Office of Lifelong Learning	2	5
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The Office of Lifelong Learning (OLL) comprises the English Language Teaching Centre (ELTC) and Short Courses which includes Open Studies, Languages for All and the Art & Design Studies.

The two High Priority findings relate to the lack of a clear strategy for the programme of short courses therefore no clarity about what should be offered, no obvious means of marketing, and no ability to fully measure success.

The IT system used for short courses does not support income collection and is being replaced imminently, and additional interim control improvements have been recommended. Other recommendations cover the line management of tutors; class registration processes; and marketing.

(iv) Follow Up Reviews & Overdue Closure of Audit Recommendations

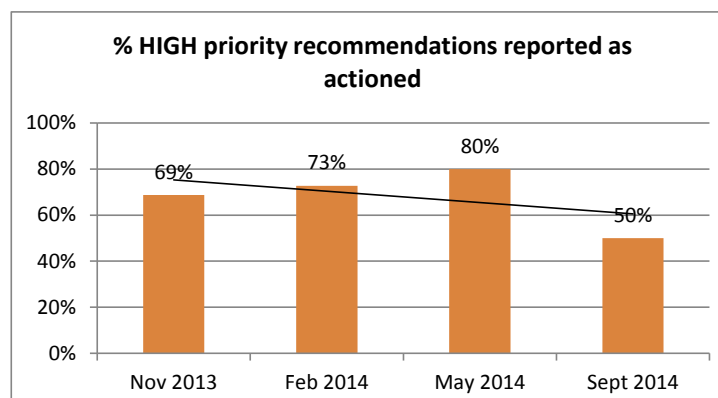
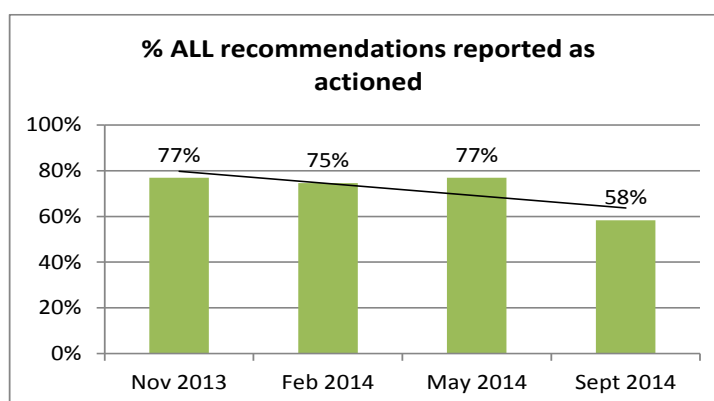
26. Since the last Audit Committee meeting we have followed up on 24 recommendations (10 of which were High Priority) from 10 individual audits. Of these, 58% have been reported as actioned (50% of the high priority recommendations).

27. For the full year 74% of agreed recommendations which were followed up were reported as having been actioned. This is an increase from the previous year (65%).

28. As the table below shows, the percentage of recommendations actioned since the last Audit Committee has fallen compared to those reported at previous meetings over the last year. This may be due, in part, to the relatively low number of recommendations reported this period and the actual recommendations being followed up.

Rolling Position 2013-14

Audit Committee Meeting	Total No. of Recs checked	Actioned	% reported as actioned	Total No. of High Priority Recs checked	Actioned	% High priority reported as actioned
Nov 2013	65	50	77%	16	11	69%
Feb 2014	55	41	75%	11	8	73%
May 2014	26	20	77%	5	4	80%
Sept 2014	24	14	58%	10	5	50%



Audits Followed Up in Period

The following table shows the audits that were followed up during the period and whether the recommendations were closed, in-progress or open (High Priority actions are noted in brackets).

Report Ref	Report Title	Total Number of Recs	Closed	In-Progress	Open
2009/02	Financial Planning of Capital Projects	1[1]	1[1]		
2010/16	Moray House School of Education	2[1]		2[1]	
2011/02	UKBA Legislation - Students	3[1]	1[0]	2[1]	
2012/01	Capital projects - compliance with external conditions	4[2]	4[2]		
2012/02	Annual Reviews	5[1]	3[1]	2[0]	
2012/09A	School of Engineering EXAM Application - IT Security	1[0]		1[0]	
2012/09C	IT Security Vet School	2[1]	1[0]		1[1]*
2012/14	Financial controls in Support Groups - Department of Human Resources	1[1]		1 [1]	
2013/13	European Investment Bank Loan	4[1]	3[0]	1[1]	
2013/28	Financial controls in Support Groups: Department of Finance	1[1]	1[1]		
TOTALS		24[10]	14[5]	9[4]	1[1]

* The security issues identified have been deferred until implementation of the new system.

Overdue Closure of Audit Issues

29. There are currently 4 high priority and 16 other priority recommendations which are overdue for closure (refer table on following page). Of these, 2 high priority recommendations and 6 other priority recommendations have been outstanding for 2 years or more. Often this can be the result of one remaining part of the recommendation still to be fully closed.

30. It is expected that some actions will become overdue and the relatively low number of overdue issues evident within the University suggest that recommendations are being addressed after the completion of each audit.

31. We propose that the older overdue recommendations are reviewed to assess whether, in the time since the audit was completed, mitigating controls have been identified to address the original recommendation or whether the University continue to be exposed to the potential risk identified. A brief assessment of these recommendations is included within the table.

Overdue Closure of Audit Issues – Detailed Listing

Ref	Audit	Issue	Report Date	Action By Date	Comment	
High Priority						
1	2012/09C	IT Security Vet School	IT Security Issues	16/12/13	31/03/14	Tristan system is being replaced
2	2011/02	UKBA Legislation - Students	Staff Manual	11/07/12	31/07/12	One recommendation (of 5) is outstanding
3	2010/16	Moray House School of Education	Graduate School Common Procedures	12/01/12	01/08/12	Staffing Issues
4	2012/22	Edinburgh College of Art	Recognised budget owners	19/02/13	30/04/13	Most actions dealt with in priority order
Other Priority						
1	2008/11	Mobile Working	Mobile Working Policy	29/10/09	30/08/11	To cover under Flexible Working Policy
2	2008/11	Mobile Working	Monitoring Activity Review	29/10/09	31/07/10	To cover under Flexible Working Policy
3	2010/03	UKBA Legislation - Staff	Recording Provision of Training on Database	22/02/12	31/07/12	Delays to implementation of eRecruitment
4	2012/09C	IT Security Vet School	Confidentiality Agreement Review	16/12/13	30/06/14	Set for end August 2014
5	2012/09C	IT Security Vet School	Tristan Code of Practice Development	16/12/13	30/06/14	Tristan system is being replaced.
6	2012/09A	School of Engineering EXAM Application - IT Security	Operating System Update	26/08/13	21/10/13	Upgrade Delay
7	2012/22	Edinburgh College of Art	Firm up controls for making HTBN payments	19/02/13	31/07/13	Awaiting outcome of a College-wide HTBN review
8	2012/22	Edinburgh College of Art	Reduce authorisations for spending on budgets	19/02/13	31/03/12	Authorisation for some technicians to be changed
9	2012/22	Edinburgh College of Art	Cash controls in Art College shop	19/02/13	31/07/13	To document cash discrepancy process.
10	2011/02	UKBA Legislation - Students	Work Placement Review	11/07/12	31/07/13	New staff member to address
11	2012/06	IT Security Incident Reporting	Security Incident Procedure Handling	14/06/13	31/12/13	New policy expected by end of year
12	2012/09B	IT Security (MVM) - EEMeC	Operating System Update	02/08/13	31/12/13	Restructure / New Director
13	2012/09B	IT Security (MVM) - EEMeC	Code of Practice	02/08/13	31/12/13	Restructure / New Director
14	2010/16	Moray House School of Education	RKEO Procedure Guidance	12/01/12	31/07/12	Staffing Issues
15	2012/14	Financial controls in Support Groups - Department of Human Resources	Contracts for training and development	11/02/14	30/04/14	Will need a procurement process after initial review.
16	2013/13	European Investment Bank Loan	Implement Formal Scheme of Sub-Delegation	14/02/14	31/05/14	Wider review of formal delegations of authority being carried out in Finance Dept.

Resource implications

32. There may be resource implications for management when implementing recommendations.

Risk Management

33. Internal Audit plays a central role in assessing that there is an effective control environment in respect of risks identified through the risk management process within the University.

Equality & Diversity

34. A reminder is 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.

Next steps/implications

35. The next Internal Audit Status Report will be presented to the Audit and Risk Committee in November 2014.

Consultation

36. The Internal Audit Status Report was presented to the Audit & Risk Committee at their meeting on 16 September 2014.

Further information

37. Author

David Kyles
Chief Internal Auditor
1 October 2014

Presenter

David Kyles
Chief Internal Auditor

Freedom of Information

38. This paper is open.



CENTRAL MANAGEMENT GROUP

8 October 2014

Update - English Language Support for International Students

Description of paper

1. High quality English language support is one of the foundations for achieving the University's strategic goals of increasing international student numbers and enhancing the student experience. The English Language Teaching centre (ELTC), part of the Office for Lifelong Learning, has been working to define a vision and plan for enhancing its support for students and staff. We have now reached a stage where CMG is invited to consider how our emerging plan fits current and emerging priorities and to provide commentary.

Action requested

2. CMG is asked to comment on ELTC's plans as set out in this paper.

Recommendation

3. Continue to support ELTC's extension of academic English language provision to students and staff across the University. Continue to expand support for staff working with international students.

Background and context

4. Integral to the internationalisation of the University and the enhancement of the experience of international students is the provision of academic English language support for prospective and current University of Edinburgh students and support for staff working with international students.

5. ELTC has been working, over the last 2 years, to redefine our core purpose as providing this support. Since July 2013, we have no longer offered general English courses. This has released staff and other resources to enable considerable expansion of EAP (English for Academic Purposes). We have increased the quantity and range of academic English support we provide for both students and staff. We have developed innovative new courses and collaborated closely with staff in Schools to tailor support for the particular needs of their international students. Formal and informal feedback from staff and students on the effectiveness of this provision has been very positive.

Discussion

6. The re-focussing of ELTC provision on support for the wider University's strategic goals has involved ELTC staff in developing a statement of core purpose and the development of plans for the next 5 years. These are outlined below along with a broad overview of our current provision.

7. *ELTC's core purpose*

We see ourselves as making a valuable contribution to achievement of excellence in education and research. We do this by providing support to non-native speaking students in developing their linguistic ability and academic understanding.

8. The ability to use language effectively and appropriately in academic contexts and an understanding of the cultural expectations and assumptions of academic life in the UK are prerequisites for all students to achieve their potential. We minimise the barriers to success which functioning in a second language and in a different academic culture can present.

9. *Broad overview of current English language support*

a) In-session support

- Suite of 11 courses in face to face and online formats offering generic support in various aspects of academic English. The number of students taking these courses has increased by around 20% in the past year. While the courses are judged to be of benefit in detailed feedback sought from staff and students, we are looking at ways of improving retention and relevance.
- Courses tailor-made to support students in various Schools and Colleges. Our online course, which supports PGR CMVM students at the start of their studies, now in its 3rd year, has been particularly successful as evidenced in feedback from CMVM students and staff.
- Workshops supporting staff in working with international students.

b) Pre-session support

- 10 week summer pre-session courses providing English language support for students in reaching required entry levels, study skills and academic acculturation. Progression onto programmes is around 95%.
- September to June pre-session programme offering longer term English language and study skills.
- International Foundation Programme for CHSS and Global Select – ‘Integrated’ Foundation Programme for CSE.
- Our ‘OPAL’ course (Online Pre-session Academic Language course) is unique in offering online pre programme summer support for DL students.

10. Please see appendix 1 for detailed information about these and all of our courses and plans for each area as well as information relating to the number of students and planned expansion.

11. *Our plans for development*

We intend to:

- a) Continue to develop our generic and specific English language support for students.
- b) Widen the range of students at whom this support is targeted and develop new ways of understanding effectiveness of support provided.
- c) Develop our support for staff working with international students and provide language support for non-native speaking international staff.
- d) Work in partnership with IAD, Schools, International Office, EUSA and SEP to ensure that language, academic, cultural and pastoral support is integrated.
- e) Establish a Governance Group for ELTC to oversee and advise on ELTC provision and to ensure that our strategy aligns with University Strategy. Membership to include staff from International Office, Schools, IAD, etc.
- f) Raise the profile of ELTC across the University.

- g) Support decision making about English language entry testing and explore our capacity to assess and support the language needs of skilled applicants who may lack orthodox qualifications in English.
- h) Continue to invest in further study and development of ELTC staff so that we can continue to develop our understanding of the needs of international students, design appropriate means of support (face to face and ODL courses, independent study materials, etc) and lead research in this area.

Resource implications

12. The loss of our general English commercial work has meant a decrease in fee income. At the same time we have expanded and developed the support we provide for current students and staff with no direct reimbursement from students or departments. This transition has been funded by a grant of £250,000 for both 2012-2013 and 2013-2014 and also income from student fees from our pre-sessional summer work and income from other activity – International Foundation Programme, courses for visiting students, etc.

13. It is our understanding that a levy on international student fees was proposed to create a new EFL funding model, as noted in the Senatus Learning & Teaching Committee minute of December 2011. Were this to be implemented we would like to see this factored into the revised Resource Allocation Model as the current flat rate subsidy arrangement does not allow for expansion of this provision.

14. The department also seeks to improve access to appropriate teaching accommodation across the peak pre-sessional Summer period when competing demands for space constrict programme expansion.

Risk Management

15. Key risks to ELTC are in line with the risks identified to international student income that is a decrease in the number of international students coming to the University for various reasons as outlined in the risk register.

Equality & Diversity

16. No consideration required.

Next steps/implications

17. The plans outlined here are in line with OLL's overall strategic plan. OLL Management Team, supported by ELTC senior teaching staff will oversee the implementation of the plans outlined above and take forward over the course of coming year and years.

Consultation

18. Paper has been reviewed by Vice-Principal Professor Miell, Internal to OLL – OLL senior staff, administration staff, etc.

Further information19. Author

Michael Jenkins
Head of the English Language
Teaching Centre, Office for Lifelong
Learning

1 October 2014

Presenter

Michael Jenkins
Head of the English Language
Teaching Centre, Office for Lifelong
Learning

Freedom of Information

20. This paper is open

Detailed plans for in session support 2014-2015

We have developed the following in session provision:

- **'ELTT' (English Language Teaching and Tuition)** from 2014-2015 'ELISIS' _ (English Language Support for International Students) - a suite of 11 free courses available to students across the university (including ODL students), in online and face to face formats, in various aspects of academic English: <http://www.ed.ac.uk/schools-departments/english-language-teaching/courses/academic-purposes/elsis/elsis-courses>.
- **Various tailor-made courses developed and run in collaboration with Schools and Colleges** (CMVM, SPS, Chemistry, Biology, Engineering). For example: 'SAW' (Scientific Academic Writing) for CMVM was developed in the summer of 2012 and run over 5 weeks in semester 1 of 2012-2013 and repeated in semester 1 of 2013-2014. We are running this course again in semester 1 this year. It was developed in close collaboration with staff in CMVM and designed to meet the specific needs of PGR students. A fuller description of the course is available below: <https://www.wiki.ed.ac.uk/pages/viewpage.action?pageId=200185679>
- We ran, in collaboration with IAD a series of workshops to support staff in working with international students.

In 2013-2014, a total of around 1,100 students were enrolled on these generic and specific in session courses

Our plans for in-session support for 2014-2015:

- **Increase the number of students enrolled on ELTT (ELISIS) courses** by 20%. We intend to offer most of these courses in face to face as well as online formats and repeat all courses in semester 2. We are publicising these courses to a wider pool of students. In particular we are concerned to increase the currently relatively small numbers of UG and PGR students.
- **Repeat all of our School specific, tailor-made courses** (already agreed) and, in addition, offer tailor-made courses for Education at the start of semester 1 and, in semester 2, on dissertation writing.
- Seek to **extend links and establish new contacts in Schools** and work collaboratively with staff to develop courses specific for their students' language and study needs.
- Offer **a suite of workshops for staff in semester 1** focussed on teaching classes which include international students.

Detailed plans for pre- sessional support 2014-2015

The following courses (apart from 'OPAL') are funded from direct fee income:

- **Summer pre-sessional.** Our 10 week summer pre-sessional courses are targeted largely at PGT students although we are seeing increases in PGR and UG students. We also provide the pre-sessional portion of a 2+2 programme for students in various schools in CSE. These summer courses offer a route into programmes across the University. We saw approximately an 11% increase from 790 to 877 enrolments from 2012 to 2013 and approximately a 26% increase from 877 to 1107 enrolments from 2013 to 2014. We are expecting this trend to continue in 2015 and in subsequent years.

Plans for summer 2015: The major challenges in managing this increase are finding the most qualified temporary staff and adequate teaching rooms. We are working more closely with accommodation services and with International Office and are re-designing our mode of delivery to be able to manage our predicted increase in numbers of students.

- **Year round pre-sessional** (funded from fees). This course is aimed at students who need more than the 10 week summer school to be able to achieve the level of English required to enter their programmes. There were around 80 full time students on this course in 2013-2014.

Plans for 2014-2015: We are predicting a lower number of students on this course in 2014 and 2015 and therefore a drop in income from this source. We are working with International Office and Admissions staff to publicise this course to students who may be funded for as much as a year of pre-programme English, notably students from Chile and other LATAM countries.

- We also contribute to the **International Foundation Programme for HSS, Global Select** and run a year round course for **Visiting Students**. We intend to continue and expand this involvement in 2014-2015.
- **OPAL (Online Preessional Academic Language course)** – the development and first running of this as a pilot (summer 2013) was funded partly with DEI project funding and partly as an IAD secondment project. ELTC has financed its running for summer 2014. This unique 5 week/25 hour course aims to prepare international ODL students for study. A description of this course is available at:

<https://www.wiki.ed.ac.uk/display/casestudies/Online+and+Distance+Learning>

Plans for summer 2015: We will, in collaboration with IAD and International Office, expand our publicity for this course to increase the number for students from the relatively small numbers so far enrolled.

Publicity – raising the profile of ELTC

- We are currently working on a major revision of the ELTC website with the aim of shifting its orientation to publicising the work that we are currently doing for students and staff and publicising the support that we can offer.
- ELTC staff have been given the specific remits of collaborating with SEP (PAITG) and EUSA on publicising ELTC's work. We intend to designate ELTC staff to act as the main contacts and liaison people for IAD and IO.

ELTC Staff – CPD

ELTC staff have substantial experience of and expertise in understanding the linguistic needs of students. We also have considerable knowledge of the wider cultural differences which can present challenges to study and which can impede students from achieving their full potential. We aim further to enhance and develop these skills.

In line with the strategic University goal of excellence in learning and teaching our aims are:

- for the majority of ELTC staff to be qualified at least to Masters level in language teaching or Applied Linguistics.
- for staff to be actively engaged in Schools in developing appropriate forms of English language support

- to extend and develop teaching staff's active contribution to the wider academic community in teaching EAP outwith the University
- for increased staff contribution to research in the field of teaching academic English. We are aiming for staff to have presented papers at all meetings of BALEAP (British Association of Lecturers in EAP) in the coming year and are planning to host a BALEAP 'Professionals Issues Meeting'.



CENTRAL MANAGEMENT GROUP

8 October 2014

Principal's Strategy Group

Committee Name

1. Principal's Strategy Group (PSG)

Date of Meeting

2. 25 August 2014

Action Required

3. Provided for information

Key points

4. Among the items discussed were:

a) Vice Principal Kenway updated PSG on progress with Data Science activities, noting that an interim executive body for Edinburgh Data Science has been set up and have been consulting widely on the future development. The possibilities raised by the current Turing Institute opportunity in Edinburgh were also discussed as they could be closely linked.

b) Vice-Principal Seckl brought PSG up to date on research plans and targets. The Group were very supportive of the activity to date and of the clear future plans for driving engagement with industry and other sectors.

c) Senior Vice Principal Bownes provided a review of activity to do with Postgraduate Research and signalled that although some aspects of this challenge, such as our accommodation offer, have improved dramatically other aspects including overseas government funding and our employment offer have not.

d) The new Vice-Principal Global Access will be tasked to improve our overseas government funding figures.

e) Vice-Principal Haywood updated the Group on Postgraduate taught activity. It was confirmed that the Digital Education and International initiative should remain a priority for the University. Central support should continue but PSG acknowledged that ownership should gradually be transferred to the Schools.

f) Deputy Secretary Strategic Planning, Mrs Tracey Slaven, confirmed the proposed undergraduate intake targets for 2015/16 – 2017/18. The paper was well received and all were content with the "smoothing" plan for the next period.

g) Vice-Principal Rigby introduced a paper which proposed a way to engender a culture change within the organisation by prioritising learning and teaching in addition to other core activities as a way to enhance the student experience. The group are supportive but stressed the need to involve all staff.

h) Vice-Principal Rigby introduced a paper on review systems for tutors and demonstrators. PSG were supportive of a short life working group being set up to take the issue forward.

i) Director of Social Responsibility and Sustainability, Mr Dave Gorman, joined the Group to give an update on the United Nations' Principles for Responsible Investment. Following discussion the group agreed with the proposed approval process for the new policy and that CMG should be the Group that considers and advises on contentious matters. Further discussion will take place on other aspects of the proposed new procedures and governance aspects relating to the new Committee.

Equality & Diversity

5. Items generally come to PSG at an early stage of development and it is anticipated that Equality & Diversity matters will be given full consideration as the initiatives take shape and become formalised.

Further information

6. Additional information can be provided by the secretary to PSG Ms Fiona Boyd or by the individuals named against the individual items above.

7. Author

Ms F Boyd

Principal's Office

29 September 2014

Freedom of Information

8. Open Paper



CENTRAL MANAGEMENT GROUP

8 October 2014

Fee proposals

Description of paper

1. Fee proposals from the College of Medicine and Veterinary Medicine.

Action requested

2. CMG is asked to approve the below fee proposals.

Recommendation

3. Governance and Strategic Planning (GaSP) recommended that CMG approve the fee proposal for academic year 2015/16 with immediate effect.

Paragraphs 4 – 8 have been removed as exempt from release due to FOI.

Risk Management

9. Due consideration has been taken reviewing the financial risk in this proposal.

Equality & Diversity

10. Equality and Diversity was considered as part of the wider review of fees.

Paragraph 11 has been removed as exempt from release due to FOI.

Consultation

12. MVM started the review of PGT fee in February 2014 with the purchase of external market information on competitor fees, delivery of programmes and APCs. Following the review of this data the College Office proposed fees for 2015/16 for each programme for discussion with the Heads of School and Programme Directors.

Further information

13. Author

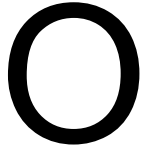
Emma Lyall
Governance and Strategic Planning
23 September 2014

Presenter

Vice-Principal Seckl
Vice-Principal Planning, Resources
and Research Policy

Freedom of Information

14. This paper will remain closed until the fee rates have been published as prior disclosure could prejudice the commercial interests of the organisation.



CENTRAL MANAGEMENT GROUP

8 October 2014

Joint Zhejiang-Edinburgh Programme in Biomedical Sciences

Description of paper

1. To bring to the attention of CMG the opportunity to deliver a joint undergraduate programme in Biomedical Sciences in partnership with Zhejiang University starting in 2016.

Action requested

2. This paper is for information only.

Recommendation

3. Subject to the satisfactory completion of the business plan, due diligence and legal arrangements the University will enter into an agreement with Zhejiang University.

Paragraphs 4 – 9 have been removed as exempt from release due to FOI.

Risk Management

10. Please see risk report appendix 1.

Equality & Diversity

11. An Equality Impact Assessment (EIA) has not yet been completed. This will be undertaken once the policies and procedures are agreed between ZJU and University of Edinburgh.

Paragraphs 12 – 13 have been removed as exempt from release due to FOI.

Consultation

14. Legal advice has been provided by Pinsent Masons, and financial advice by Deloitte. Internal consultation has included the Head of Legal Affairs, School of Biomedical Sciences and Biomedical Teaching Organisation, CMVM College Registrar, CMVM Head of College, Senate Curriculum and Student Progression Committee, Director of the International Office, Director of Scholarships and Student Administration.

Further information

15. Further information on the project can be supplied by contacting the Author as detailed below.

16. Author
Assistant Principal Professor Jeremy
Bradshaw
22 September 2014

Presenter
Director of Corporate Services and
(currently) CMVM College Registrar
Hugh Edmiston

Freedom of Information

17. This paper should be a closed document until it is signed off formally by ZJU and University of Edinburgh. Its disclosure at this time would substantially prejudice the commercial interests of both the organisations.



CENTRAL MANAGEMENT GROUP

8 October 2014

Proposal to establish a new Chair in the College of Humanities and Social Science

Description of paper

1. The paper outlines the case for the creation of a new Chair in the Archaeology department of the School of History, Classics and Archaeology.

Action requested

2. The Central Management Group (CMG) is asked to approve the Chair so that the recruitment and selection process can commence with a view to interviewing in early 2015 and commencement of the role in September 2015.

Recommendation

3. That CMG approve the establishment of the Chair.

Background and context

4. The process to create a new substantive Chair requires CMG approval. In taking this forward the School must seek the approval of the Head of College outlining in full the reasons for and the financial implications of such a request.

Discussion

5. The new, established A G Leventis Foundation Chair of Byzantine Studies will considerably further the University's ambitions to expand this area of study, and the Foundation's support will enable us to appoint academic talent of international reputation to the role. Under the leadership of a Chair, the Hellenic Studies department will be able to strengthen both its teaching and research output.

6. The College envisages that the start-up funds provided by the A. G. Leventis Foundation will create enough momentum for the post to become self-sustaining at the close of the grant. This will be achieved by intense and successful collaboration in research projects and studentships. The College of Humanities and Social Science is confident that it can recruit to the post successfully.

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

Resource implications

8. The Chair will be funded by a grant from the A. G. Leventis Foundation for the first 6 years, after which time the post will become self-sustaining.

Risk Management

9. There are no significant risks involved in approving the post.

Equality & Diversity

10. Whilst there are no direct implications on equality and diversity, the University is committed to embedding Equality and Diversity across all its work more generally,

including recruitment.

Next steps/implications

11. If the proposal is approved, a Resolution will be drafted to formally establish the Chair and recruitment processes will commence.

Consultation

12. Professor Dorothy Miell has reviewed the paper and its content.

Further information

13. Author

Elle Dora
College of Humanities and
Social Sciences
22 September 2014

Presenter

Vice-Principal Professor Dorothy Miell
College of Humanities and Social Sciences

Freedom of Information

14. This paper is open.



CENTRAL MANAGEMENT GROUP

8 October 2014

Proposal to establish new Chairs in the College of Science and Engineering

Description of paper

1. The College wishes to establish seven new Chairs in the area of Technology Enhanced Science Education and two new chairs in the School of Engineering.

Action requested

2. The Central Management Group is asked to approve the establishment of these new Chairs.

Recommendation

3. That CMG approve the creation of the following nine Chairs:

- Chair in Physics Education
- Chair in Carbon Management and Education
- Chair in Evolutionary Ecology
- Four generic Chairs of Technology Enhanced Science Education, specific titles to be confirmed on appointment
- Chair of Combustion Engines
- Chair of Energy Storage

Background and context

4. The process to create new substantive Chairs requires CMG approval. In taking this forward Schools must seek the approval of the Head of College outlining in full the reasons for and the financial implications of such a request.

Discussion

5. *Technology Enhanced Science Education*

The creation of seven Chairs in this area is proposed to take forward the University's strategic goal to expand and enhance our distance education provision. Each Chair will be embedded in one of the seven Schools in the College and collectively will form the Centre for Science Education. The post holders will be responsible for providing strategic leadership in developing teaching, learning and assessment to enhance student learning and make an impact on higher education, both nationally and internationally.

6. We seek approval to create four chairs with generic title of Chair of Technology Enhanced Science Education and a further three Chairs with the following specific titles:

- Chair of Physics Education, School of Physics and Astronomy.
- Chair of Carbon Management and Education, School of Geosciences.
- Chair in Evolutionary Ecology, School of Biological Sciences.

7. *School of Engineering*

The School of Engineering wishes to establish two new Chairs within its Institute of Energy Systems: the Chair of Combustion Engines will provide direction in the key

area of propulsion in vehicles and the Chair of Energy Storage will provide direction in the key area of renewable energy.

Resource implications

8. Funding for the Chair of Combustion Engines and the Chair of Energy Storage will be met from within the School of Engineering's core budget. The College has been allocated funding to support the appointment of the seven Chairs in the area of Technology Enhanced Science Education with further funding identified from within College allocations.

Risk Management

9. There are no significant risks associated with the establishment of these Chairs.

Equality & Diversity

10. Good practice in respect of equality and diversity will be followed in taking forward appointments to these Chairs.

Next steps/implications

11. If these proposals are approved, Resolutions will be drafted to formally establish the Chairs and recruitment progressed.

Consultation

12. Vice-Principal Professor Yellowlees is content with the paper.

Further information

13. Further information can be supplied by Vice-Principal Professor Lesley Yellowlees and Professor Graeme Reid, College Dean of Learning and Teaching in respect of the seven Chairs of Technology Enhanced Science Education and Professor Hugh McCann in respect of the Chairs in the School of Engineering.

14. Author
June Bell
College HR
22 September 2014

Presenter
Vice-Principal Lesley Yellowlees
College of Science & Engineering

Freedom of Information

15. This paper can be included in open business.