



THE UNIVERSITY *of* EDINBURGH

Central Management Group Meeting Raeburn Room, Old College 4 March 2015, 2.30pm

AGENDA

- 1 Minute** **A**
To approve the minutes of the previous meeting held on 20 January 2015
- 2 Matters Arising** **Verbal**
To raise any matters arising.
- 3 Principal's Communications** **Verbal**
To receive an update by the Principal.

SUBSTANTIVE ITEMS

- 4 Draft Planning Round Submissions** **B**
To consider and note the draft planning submissions.

ROUTINE ITEMS

- 5 Financial Issues** **C**
To consider and note the updates by Director of Finance.
- 6 Russell Group Comparative Financial Information** **D**
To note a report by the Director of Finance.
- 7 Internal Audit Status Report** **E**
To note a report by the Chief Internal Auditor.
- 8 Any Other Business** **Verbal**
To consider any other matters by CMG members.

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

- 9 NHS Surcharges for Migrants** **F**
To approve.
- 10 Social Responsibility and Sustainability Report** **G**
To approve the publication of the 2013-14 report.

If you require this agenda or any of the papers in an alternative format e.g. large print please contact Kirstie Graham on 0131 650 2097 or email Kirstie.Graham@ed.ac.uk

- | | | |
|-----------|---|----------|
| 11 | Recruitment & Admissions Strategy Group: revised terms of reference To <u>approve</u> the terms of reference. | H |
| 12 | Report from Space Enhancement and Management Group To <u>approve</u> the amended Space Enhancement and Management Policy. | I |
| 13 | Fee Proposals To <u>approve</u> . | J |
| 14 | Proposals for Chair Establishment and Changes To <u>approve</u> . | K |
| 15 | Principal's Strategy Group To <u>note</u> . | L |
| 16 | IT Security Policy To <u>note</u> . | M |
| 17 | Report from Equality & Diversity Monitoring Research Committee To <u>note</u> . | N |
| 18 | Report from Health and Safety Committee To <u>note</u> . | O |
| 19 | Date of next meeting Tuesday, 14 April 2015 at 2.30pm in the Raeburn Room, Old College. | |



CENTRAL MANAGEMENT GROUP

20 January 2015

Minute

Present:

The Principal
Senior Vice-Principal Professor C Jeffery
Vice-Principal Professor D Meill
Vice-Principal Professor C Breward
Vice-Principal Professor J Haywood
Vice Principal Professor R Kenway
Vice-Principal Professor S Rigby
Vice-Principal Professor J Seckl
Vice-Principal Professor J Norman
Vice-Principal Professor J Smith
Vice-Principal Professor M Bownes
University Secretary, Ms S Smith
Mr H Edmiston, Director of Corporate Services
Mrs T Slaven, Deputy Secretary, Strategic Planning
Mr P McNaull, Director of Finance
Mrs Z Lewandowski, Director of HR

In attendance:

Assistant Principal Professor A Trew, on behalf of Vice-Principal Professor Yellowlees
Dr C Elliot, on behalf of Vice-Principal Professor Sir John Savill
Professor C Clarke, Head of School of Health in Social Science
Ms L Chalmers, Director of Legal Services
Mr D Waddell, Director of Edinburgh Research Innovation
Dr I Conn, Director of Communications and Marketing
Mr G Douglas, Deputy Secretary, Student Experience
Mr D Gorman, Director of Social Responsibility and Sustainability
Mr B MacGregor, Director of User Services Division
Mr D Kyles, Chief Internal Auditor
Professor I Pirie, Assistant Principal Learning and Development (for item 4 only)
Mrs K Bowman, Director of Procurement (for item 10 only)
Dr K J Novosel, Head of Court Services
Mrs K Graham, Deputy Head of Court Services

Apologies:

Vice-Principal Professor A Morris
Mr G Jebb, Director of Estates and Buildings

1 Minute

Paper A

The Minute of the meeting held on 12 November 2014 was approved.

2 Principal's Communications

The Principal reported on the following: the University's success in the REF 2014, ranked the highest in Scotland for quality and breadth of research, all staff were to be commended and the strength of research impact and effective communication was noteworthy; funding uncertainty for the next academic year with likely pressure on funding; UCAS applications for September 2015 showed a positive upward trend; a complex debate on HE governance continued with legislation planned by the Scottish Government.

SUBSTANTIVE ITEMS

3 Enhancing Student Support

Paper B

Professor Ian Pirie outlined key recommendations for refinements to the Personal Tutor system in response to the detailed evaluation of phase one for 'on-campus' undergraduate students.

Students reported satisfaction with the effectiveness of Personal Tutor meetings but there remained a high degree of variability of the student experience across the Schools.

Following discussion CMG agreed there needed to continue to be a diversity of approach to the Personal Tutor system and that the focus should be on the role and status of the Personal Tutor and sharing good practice. This required effective induction, line-management and incentivising through appraisal and review and the Student Support Implementation Group should work with colleagues in HR to progress this. As part of this, CMG endorsed the proposal to gather data on PT effectiveness at School and individual PT level, and further endorsed a proposal to consider an increased number of contact points with PT's in the first years of study but a reduction in the number in later stages.

4 Strategic Vision 2015

Paper C

CMG considered the near final draft overarching narrative for the University's Strategic Vision 2025.

CMG was asked to consider and input into the document, which had been widely circulated to ensure a shared understanding of the University's strengths, opportunities and overall strategic direction.

A number of detailed suggestions were made. A Court seminar on 9 February 2015 will review and endorse the Strategic Vision 2025 to inform the development of the next three year iteration of the Strategic Plan.

5 Turing Institute

Professor Kenway provided a confidential update on the establishment of the Turing Institute. *This would be a Joint Venture with four other universities and EPSRC, establishing a company limited by guarantee and registered charity. The next steps are the signing of the JV agreement and appointment of a Chair of the Turing Institute Board. It is anticipated the Project Board will hand over to the Turing Institute Board around April 2015.*

The intention is for the Turing Institute to be based in the British Library, however a suitable location for the Edinburgh activities was currently being investigated. CMG expressed support for the commercial opportunities and the University taking a lead role. CMG noted the potential scale of opportunity could impact on the University, particularly IT infrastructure and there should be discussion initiated with this area.

6 SRUC

CMG noted that the Statement of Intent letter had been signed for a strategic alliance and the challenge was now around timings. It was essential to progress due diligence rapidly to enable Court to have oversight of the key risks before SRUC would be in a position to consult its internal stakeholders.

7 USS

CMG noted that UUK have now developed a revised proposal for pension reform closer to the UCU position.

The University had used the advice of the Court sub-group, which had no conflict of interest. The University had consistently questioned the actuarial assumptions, stressed that the revised scheme needed to be attractive and that more information and modelling tools should be available to employees.

USS had now developed a benefits modeller. The period of negotiation has been extended to 29 January 2015 and UCU had suspended industrial action in this period. It is hopeful that there will be an agreed proposal by 29 January following a JNC meeting for formal 60 day consultation.

8 Fossils Fuels Review group

Paper D

The Senior Vice Principal reported on progress from the short life working group on fossils fuel. A range of evidence was now being considered and the Group aimed to present a final report to CMG on 14 April 2015.

9 Consultation on Procurement Rules for Scotland

Paper E

The Director of Procurement alerted CMG to planned legislative changes in procurement rules and the need to be in a position to ensure compliance. Procurement was largely devolved to Colleges and Schools and a senior champion should be identified to support this.

CMG agreed with the need for a senior procurement contact to be identified in each College and School. A brief summary of the legislative changes when approved and their implications for the University was requested.

ROUTINE ITEMS

10 Finance Director's Update

Paper F

CMG noted the report and in particular the pressure on government capital and revenue expenditure for HE. The TRAC return provided insight into the University's cost base and the financial interdependency of its different teaching and research areas. The University would increasingly need to consider its business processes and opportunities for productivity gains to offset the anticipated cuts.

11 Management Accounts up to 31 December 2014

Paper G

CMG noted the financial position to date, the increase in revenue but also increase in costs, the planned revenue funded building refurbishment and the need for budget holders to consider affordability and sustainability.

12 Quarter 1 Management Accounts Forecast

Paper H

CMG noted the current forecast outturn position; a net surplus of £19m, 2.3% of forecast income, 0.7% below the target 3% and £3.1m adverse to budget, mainly as a result of building refurbishment costs. A chart showing the trend for staff costs as a proportion of income indicated an upward trend.

13 10 Year Financial Forecast

Paper I

CMG noted the report and the projections for the next 10 year period.

Given the anticipated pressure on HE funding, both growth and cost containment needed to be a focus with financial decision makers aware of their responsibility for managing costs. During discussion, concern was noted at the rise in staff costs, particularly non teaching staff costs and the Principal noted that a Post Review Group may require to be established.

14 Internal Audit Status Report

Paper J

CMG noted the report and the progress on delivery of the 2014/15 audit plan. CMG welcomed the positive trend in closing audit issues with messages from Risk Management Committee and Audit and Risk Committee on the importance of closing issues filtering down. It was planned to provide a graphical representation of overdue issue trends to show the movement across each period in terms of issues being closed and new issues which have become overdue. It was agreed that internal audit's follow up work on Tier 4 compliance was particularly important.

15 Health and Safety Quarterly Report

Paper K

CMG noted the report, that the number of accidents and incidents are broadly similar to previous years and that adequate controls are in place. CMG had previously been informed of two Health and Safety Executive improvement notices that were being appealed. The HSE investigation was ongoing and required a considerable amount of staff time and will incur costs to the University.

16 Insurance Update

Paper L

CMG noted the paper summarising the result of a review by Zurich Municipal quantifying the financial impact of a significant business interruption and the University's resilience to any interruptions. As a result of this report the indemnity levels and periods were increased. Areas for further development had been identified and the report would be considered by the Risk Management Committee on 2 February 2015 for fuller debate of the risks.

17 University Events in Brussels

Paper M

CMG considered the proposed plans to raise the University's profile through a series of events based in Brussels. Members supported the approach of two or three large events and there was discussion of the importance of engaging events with an interactive element, where appropriate.

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

- | | | |
|-----------|---|----------------------------------|
| 18 | Principal's Strategy Group | Paper N |
| | The report was noted. | |
| 19 | Confirmation of Student Rents for 2015/16 and indicative increases for 2016/17 and 2017/18 | Paper O |
| | CMG noted that student rent levels for 2015-2016 had been set within the agreed envelope and approved the indicative increases for 2016-2017 and 2017-2018 as set out in the paper. | |
| 20 | Fee proposals | Paper P |
| | The proposed fees as set out in the paper were approved. | |
| 21 | Creation of new Chairs | Paper Q Paper R |
| | CMG approved the establishment of new Chairs in the College of Science and Engineering and the College of Medicine and Veterinary Medicine as set out in the papers. | |
| 22 | Date of next meeting | |
| | Wednesday, 4 March 2015 at 2.30pm in the Raeburn Room, Old College. | |



CENTRAL MANAGEMENT GROUP

4 March 2015

Business Planning Round – 2015-17

Description of paper

1. The Planning Round paper presents a first overview of the draft plans as submitted by major budget owners, considers the wider financial environment and recommends next steps in the development of the plans.

Action requested

2. CMG is asked to consider the individual plans, endorse the next steps for the planning round and provide advice and feedback to budget owners on their plans.

Recommendation

3. CMG is asked to endorse:

- Proposed approach to budget setting for EUSA, ESCA and EUSU to allow finalisation of those plans; including the proposed budget increases (paragraph 32, 34, 36 and 38).
- The proposed target surplus level for the University (paragraph 8).

4. CMG is also asked to provide guidance on the priorities of the proposed bids put forward by the Colleges and Support Groups.

Paragraphs 5 – 42 have been removed as exempt from release due to FOI.

Risk Management

43. The key risk identified during the Business Planning round is the potential for the reduction in external funding and an emphasis on efficiency to trigger conservative decision-making behaviour. It is essential that the University maintain a positive focus on diversification of income sources and growth to ensure we sustain our improvements in research and teaching excellence and international reputation.

Equality & Diversity

44. Equality is considered within the plans of the individual budget holders. No EIA is considered necessary.

Paragraph 45 has been removed as exempt from release due to FOI.

Further information

46. Further information can be obtained from Tracey Slaven (50-2132; Tracey.Slaven@ed.ac.uk) or Peter Phillips (50-8139; Peter.Phillips@ed.ac.uk).

47. Authors

Tracey Slaven, Deputy Secretary
Strategic Planning
Jonathan Seckl, VP Resources and
Research Policy
Phil McNaul, Director of Finance
27 February 2015

Presenter

Tracey Slaven

Freedom of Information

48. The paper is closed until the completion of the business planning round.



CENTRAL MANAGEMENT GROUP

4 March 2015

Finance Director's Report

Description of paper

1. The paper summarises the finance aspects of recent activities on significant projects or initiatives.

Action requested

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

Recommendation

3. CMG colleagues are requested to consider and contact Elizabeth Welch, Finance Department with ideas (Item 12, Financial Skills Training). Colleagues are asked to continue to monitor financial spend plans (Item 7 – 2014-15 Budget and Forecast).

Paragraphs 4 – 22 have been removed as exempt from release due to FOI.

Risk Management

23. The risk associated with USS Pensions is already on the University register.

Equality & Diversity

24. 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.

Next Steps/implications

25. Requested feedback is outlined above.

Further Information

26. Author

Mr Phil McNaul
Director of Finance
27 February 2015

Presenter

Mr Phil McNaul
Director of Finance

Freedom of Information

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



4 March 2015

University Group Forecast as at Quarter 2: Annual Forecast and 10 Year Forecast

Description of paper

1. This paper presents two financial forecast positions for the University Group: the short range forecast for 2014-15, as at Quarter 2, and the longer range Ten-Year Forecast (TYF). Detailed reports on these two forecasts are included as appendices 1-7.

Action requested

2. CMG is asked to note the forecast position for the year; a net surplus of £18.6m, 2.3% of forecast income. CMG is also asked to note the longer term projections, which assume the following: delivery of an Estates Programme of £1.3bn and arrangement of additional borrowing of £300m.

Recommendation

3. The current view of the outturn for 2014-15 indicates that the forecast surplus will fall short of the current Finance KPI of 3-5% turnover. Therefore, budget holders are requested to carefully consider their spend phasing for the rest of the year and consider ways to maximise net income generation. There are no specific recommendations in relation to the TYF.

Paragraphs 4 – 22 have been removed as exempt from release due to FOI.

Risk Management

23. The continuing health and sustainability of the University depends upon strong direction supported by robust forecasting. Continuing significant volatility in the external environment requires that we make regular reviews of our prospective performance, and build on this experience.

Equality & Diversity

24. The paper has no equality or diversity implications.

Next steps / implications

25. This paper will be reported to PRC on 27 April.

26. The Q2 Ten-Year Forecast will be presented to the Estates Committee (in summary form) on 25 March and to the Policy & Resources Committee on 27 April (in full).

Consultation

27. This paper has been reviewed and approved by the Director of Finance.

Further information28. Authors

Fraser Wilson
Management Accountant

Presenter

Phil McNaul
Finance Director

Lorna McLoughlin
Senior Management Accountant
25 February 2015

Freedom of Information

29. This paper is closed. Its disclosure would substantially prejudice the commercial interests of the University.



CENTRAL MANAGEMENT GROUP

4 March 2015

Russell Group Financial Benchmarking 2013-14

Description of the paper

1. This paper reports the comparison of Edinburgh's financial performance with the selected peer group of 11 Russell Group universities for the financial year 2013-14. Of the 24 universities in the Russell Group, the peer group of 11 reported in this paper compare to Edinburgh's total income and range of activities. These universities are: UCL, Manchester, Imperial, King's, Birmingham, Leeds, Nottingham, Sheffield, Southampton, Warwick and Glasgow. Oxford and Cambridge are excluded from this analysis due to significantly higher levels of other income, primarily endowments, donations and subsidiary press income.

Action requested

2. CMG is asked to note the comparisons reported.

Recommendation

3. No other recommendations.

Paragraphs 4 – 5 have been removed as exempt from release due to FOI.

Resource implications

6. The paper has no resource implications.

Risk management

7. The paper has no risk management implications.

Equality and diversity

8. The paper has no equality or diversity implications.

Next steps/implications

9. This comparison of financial performance of the Russell Group universities for the financial year 2013-14 will be presented to the Policy & Resources Committee on 27 April 2015

Consultation

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

Further information:

Authors

Ashleigh Kelly & Julia Miflin
Management Accounting
18 February 2015

Presenter

Phil McNaul
Finance Director

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

4 March 2015

Internal Audit Status Report

Description of paper

1. The attached paper provides an update of progress against the Internal Audit Annual Plan, audits completed and the status of overdue closure of audit issues.

Action requested

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

Recommendation

3. That CMG i) notes progress on the 2014-15 Internal Audit Plan and ii) notes the status of overdue closure of audit issues.

Background and context

4. 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 overdue closure of internal audit issues.

Discussion

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

- Status of 2014-15 Internal Audit Plan
- Audits Completed in the Period
- Overall Conclusions & Observations
- Internal Audit Report Summaries
- Overdue Closure of Audit Issues

Status of 2014-15 Internal Audit Plan

| | Reported as Final to November | Audits In Period | Total | 2014-15 Plan |
|-------------------|--|-----------------------------|--------------|-------------------------|
| Fully Completed | 5 | 3 | 8 | |
| Draft / Fieldwork | - | 4 | 4 | |
| Total | 5 | 7 | 12 | 26 |
| | | | 46% | |

6. In the period we have completed 3 audits from the 2014-15 plan with a further 4 audits either at fieldwork or draft reporting stage. An additional 2 assignments have been scoped and are due to commence shortly.

Audits Completed in the Period

| | | Date | Recommendations | |
|------------------------|-------------------------------|--------|-----------------|----------------|
| | | | High | Medium / Other |
| 1 | CHSS Undergraduate Admissions | Jan 15 | 0 | 4 |
| 2 | Utilities & Service Charges | Jan 15 | 2 | 4 |
| 3 | School of Biological Sciences | Feb 15 | 1 | 3 |
| Total Recommendations: | | | 3 | 11 |

Overall Conclusions & Observations

7. We have made good progress to date with the delivery of the **2014-15 Internal Audit Plan** with 8 completed audits, 4 audits underway and a further 2 audits scoped and due to commence shortly.

8. Our audit on **CHSS Undergraduate Admissions** concluded that there were effective controls in place to manage admissions with good use of the EUCLID reporting and filtering system functions in handling paperless processing. It was recognised through the audit that the admissions process is a balance between target numbers, timeliness and applicant quality and we provided an analysis on the benefits and risks of different approaches and the potential conflicts between these three factors.

9. The High Priority findings raised during the **Utilities & Service Charges** audit focused on the potential opportunities to better target substantial utility savings across the University. As a result the Director of Estates has established a cross-function group tasked with identifying opportunities for savings. This will be delivered through improved data collection and reporting, improved energy management and better utilisation of data on consumption and cost. It is planned that this will create a portfolio of energy saving projects.

10. Overall, the finance, administrative and governance processes in the **School of Biological Sciences** are centralised to good effect. Our key finding related to the challenge in maintaining an accurate staffing list across the School with the risk that the School continues to pay people who have left the University. Other Medium Priority findings were raised on recruitment and purchasing processes.

11. Further detail on each individual audit is contained within the "Internal Audit Summaries" section below.

12. During the period we have also introduced a new **Internal Audit Reporting** format. This is designed to report on an exceptions basis, clearly highlighting the issue, impact, recommendation and action plan for each issue arising. Issues are now classified as High, Medium or Low Priority along with highlighting any relevant Observations or examples of Good Practice arising from the audit.

Internal Audit Summaries

| Audit | | High | Other |
|---|--|------|-------|
| 1 | CHSS Undergraduate Admissions | 0 | 4 |
| <p>Overall, we concluded that there are effective controls in place to manage admissions in line with the strategic direction set by the University. The process of comparing applications, offering and confirming places is complex, high volume and under strict time deadlines. The risk of error is recognised, and is addressed by checking individual details, and by additional management oversight via control totals and reports. Two audit recommendations suggest further measures to increase management oversight.</p> <p>Additional controls and good practices were observed in admissions processes and procedures and the office makes good use of the EUCLID reporting and filtering functions in handling paperless processing. Examples were also observed of Admissions Office using feedback from Schools to amend and enhance subsequent cycles of admissions.</p> <p>The admissions process aims to fulfil three criteria on target numbers, timeliness and applicant quality. We observed that focussing on any two criteria can be to the detriment of the third. The current focus on targets and timeliness, in line with the strategic decision of the University, could present a potential risk in selecting the best quality applicants and this should be monitored.</p> <p>We have raised 4 medium priority findings in our report in relation to the risk of bribery, management oversight controls, monitoring acceptable qualifications and assessing English language qualifications.</p> <p>Finally, the current strategy of the University is to encourage applications. While rising applications appears to be a positive sign for the University, we note that if numbers continue to rise there will be a potential impact on the cost or the accuracy of processing.</p> | | | |
| 2 | Utilities & Service Charges | 2 | 4 |
| <p>In 2013-14, the main utilities bill as managed by Estates and Buildings was anticipated to total £14m on utilities and carbon charges. The audit assessed arrangements and processes in place for billing and accounting for these costs.</p> <p>We have noted in our summary of findings that while the Energy Office (EO) has undertaken energy saving projects, the University as a whole has the opportunity to better use EO's data and expertise to target opportunities for substantial savings.</p> <p>The Energy team also uses a hosted service 'Optima' to validate monthly bills; this produces a great deal of information. There may be an opportunity to tailor Optima to report the higher priority issues which can be addressed within the month, and to monitor lower priority issues on a month to month basis.</p> <p>There is also a need to strengthen the validation of energy bills presented by NHS, and we note that EO is now addressing this. There is also a need to formalise the checking and authorisation of utility bills before payment.</p> | | | |

Two High Priority recommendations were made in relation to targeting energy saving opportunities and effective utilisation of expert resources. Other Medium Priority findings related to identification of billing anomalies; monitoring meter readings and utility bills; validating bills from NHS; and checks prior to authorising utility payments.

| | | | |
|----------|--------------------------------------|----------|----------|
| 3 | School of Biological Sciences | 1 | 3 |
|----------|--------------------------------------|----------|----------|

The finance, administrative and governance processes in the School of Biological Sciences are centralised to good effect. The School supports its budget holders and research leaders with quality management information which enables them to perform their function effectively.

The complexity of the School, in terms of hierarchy, size and physical layout provides a challenge to maintaining an accurate staffing list and there is a risk that the School continues to pay people who have left (High Priority). The School asked for feedback on compliance with its recruitment policy and the audit drew attention to the significant number of staff appointments made without a competitive selection process. Two Medium Priority findings were raised on the Recruitment Selection Process and Recruitment Without Interview.

We noted that some invoices are paid without the assurance that goods or services have been delivered and this was raised as a Medium Priority finding.

The audit also looked at Edinburgh Genomics which is a new and developing service, not yet breaking even financially but with potential for significant income. The service represents a significant investment and we suggest that the School protects this investment by monitoring the way the service manages its key risks.

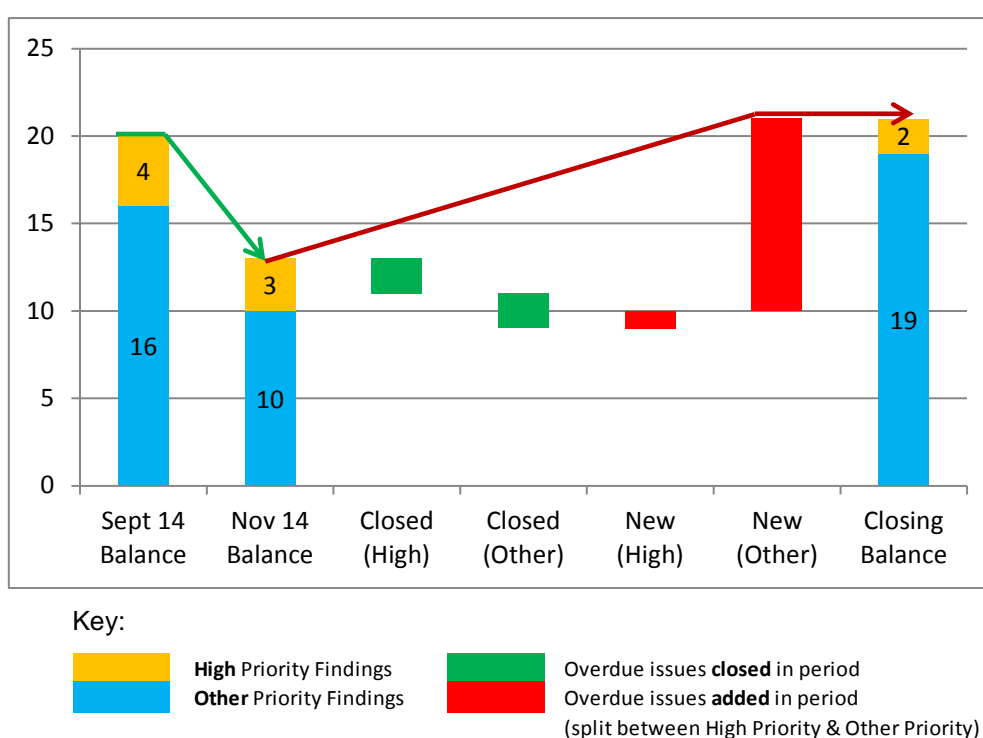
Overdue Closure of Audit Issues

13. There are currently 2 high priority and 19 other priority recommendations (3 and 10 respectively as at November 2014) which are overdue for closure (refer full listing in table on following page). Two high priority issues have been closed in the period with one new issue now overdue. The increase in other priority findings is largely driven by the follow up assessment on the E-recruitment Project and EUSA IT Security reports.

14. Although some actions have been taken on **E-recruitment** there remain some actions which are dependent on the timing of Phase II of the e-recruitment project. These issues will remain on the overdue list until they can be addressed within the next Phase or reassessed should the next Phase of work be rescheduled.

15. Activity on the **EUSA IT Security** findings is ongoing with focus given to the High Priority recommendation in relation to the Service Level Agreement between EUSA and the University. Work is underway to assess the potential levels of service needed including a review of the EUSA IT server infrastructure, and this assessment needs to conclude before this (and other related) issues can be considered to be addressed and focus turns to the other priority findings.

16. The following graph demonstrates the movement trends in overdue audit issues through the year.



Overdue Closure of Audit Issues – Detailed Listing

| | Ref | Audit | Issue | Report Date | Action By Date | Comment |
|-----------------------|----------|--|--|-------------|----------------|--|
| High Priority | | | | | | |
| 1 | 2010/16 | Moray House School of Education | Graduate School Common Procedures | 12/01/12 | 01/08/12 | In progress but not fully actioned, new Academic Director now in post. |
| 2 | 2013/19 | EUSA IT Security | Service Level Agreement between Association and University Information Services. | 21/10/14 | 31/10/14 | Ongoing discussions between EUSA and the University on levels of service to provide including a review of IT server infrastructure. |
| Other Priority | | | | | | |
| 1 | 2008/11 | Mobile Working | Mobile Working Policy. | 29/10/09 | 30/08/11 | To cover under Flexible Working Policy and assess under planned IT Security Review. |
| 2 | 2008/11 | Mobile Working | Monitoring Activity Review. | 29/10/09 | 31/07/10 | To cover under Flexible Working Policy and assess under planned IT Security Review. |
| 3 | 2010/16 | Moray House School of Education | RKEO Procedure Guidance. | 12/01/12 | 31/07/12 | Some progress on improving robustness of post-award support, but not fully addressed. |
| 4 | 2011/02 | UKBA Legislation - Students | Work Placement Review. | 11/07/12 | 31/07/13 | New staff member to address. |
| 5 | 2012/09A | School of Engineering EXAM Application - IT Security | Operating System Update. | 26/08/13 | 21/10/13 | School have made progress on setting up the new private network but not completed yet. |
| 6 | 2012/09B | IT Security (MVM) - EEMeC | Operating System Update. | 02/08/13 | 31/12/13 | Work underway on server migration but complexities mean completion now likely to be in Summer 2015. |
| 7 | 2012/09B | IT Security (MVM) - EEMeC | Code of Practice. | 02/08/13 | 31/12/13 | Preparation of Code of Practice imminent. |
| 8 | 2012/14 | Financial controls in Support Groups - Department of Human Resources | Contracts for training and development. | 11/02/14 | 30/04/14 | Procurement process needed after initial review, work on this is underway. |
| 9 | 2012/22 | Edinburgh College of Art | Tutor Payments | 19/10/13 | 31/07/13 | Focus now on managing overall hours paid in line with employee agreements. IA will continue to review progress but the original issue remains Open. |
| 10 | 2013/14 | e Recruitment Project | Use of Projects Governance Assessment Toolkit for Phase 2 | 29/08/14 | 31/12/14 | Structural and staff changes, combined with a need to focus on underlying matters of database configuration means that phase 2 of the eRecruitment project has yet to start. |
| 11 | 2013/14 | e Recruitment Project | Integration of third party software into existing authentication regime. | 29/08/14 | 31/12/14 | Update outstanding and being followed up. |
| 12 | 2013/14 | e Recruitment Project | Distillation of lessons learned findings in Risk Log. | 29/08/14 | 31/01/14 | Awaits Phase 2 of the e-Recruitment project being formally established. |
| 13 | 2013/14 | e Recruitment Project | Business change & technical integration activities. | 29/08/14 | 31/12/14 | Awaits Phase 2 of the e-Recruitment project being formally established. |
| 14 | 2013/19 | IT Security - Mathematics | Code of Practice. | 10/02/14 | 01/09/14 | Some progress towards use of Research Data Store service and migrating staff. Should be complete by June 2015. |
| 15 | 2013/23 | School of Biomedical Sciences | Governance of centres. | 24/03/14 | 31/05/14 | Awaiting formalisation of decision on CMVM restructuring. |
| 16 | 2013/19 | EUSA IT Security | Review of sources of service provision. | 21/10/14 | 31/10/14 | Issue links closely to High Priority finding above (no 2). |
| 17 | 2013/19 | EUSA IT Security | Protection of network switch from a power outage. | 21/10/14 | 31/12/14 | Issue links closely to High Priority finding above (no 2). |
| 18 | 2013/19 | EUSA IT Security | Restriction of access to the internet by the master Point of Sale PC. | 21/10/14 | 31/12/14 | EUSA in discussion with Network Service to identify a solution. |
| 19 | 2013/19 | EUSA IT Security | Move of Point of Sale terminals onto their own Virtual Local Area Network. | 21/10/14 | 31/12/14 | EUSA in discussion with Network Service to identify a solution. |

Resource implications

17. The cost of the Internal Audit Service is met from the USG budget from 2014-15. Implementation of Internal Audit recommendations will have resource implications and these are considered as part of management's approval of the recommendations.

Risk Management

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

Equality & Diversity

19. The internal audits referred to in this report did not raise any major equality and diversity impacts.

Next steps/implications

20. Any requested update to be presented to CMG in April 2015.

Consultation

21. This report is also considered by Audit & Risk Committee on 26 February 2015.

Further information

22. Author
David Kyles
Chief Internal Auditor
12 February 2015

Presenter
David Kyles
Chief Internal Auditor

Freedom of Information

23. This paper is open.



4 March 2015

NHS surcharges for migrants

Description of paper

1. The Immigration Act 2014 introduced an NHS health surcharge which is due to come into effect from April 2015. This applies to all non-EEA migrants with a visa of more than six months in duration. CMG is being asked to consider the impact of this surcharge on its ability to attract the best international staff.

Action requested

2. Given the date these charges will be introduced and the significant work involved in taking forward the recommendations; the committee is being asked to approve the recommendations as soon as possible.

Recommendation

3. CMG is being asked to approve the recommendations in paragraph 13 of this paper.

Background and context

4. An NHS surcharge will be introduced by the UK Visas and Immigration department around April 2015. All non-EEA migrants will be expected to pay a fee of £200 per year for the duration of their visa.

5. The paper aims to set out the challenges these surcharges will present and a set of recommendations for exploring options to mitigate the risk. This relates to the people enabler within the University's Strategic Plan 2012-2016.

Discussion

6. There is a genuine concern the introduction of NHS surcharges will have a negative impact on international staff recruitment. All non-EEA migrants (with some exceptions outlined in paragraph 8) will be expected to pay £200 per year for the duration of their visa with the charges payable in full at the point of visa application. For example, a Tier 2 general migrant applying for the maximum five year visa will need to pay £1,000 upfront in addition to existing visa application fees. Dependents are subject to the same charge which will represent a substantial financial outlay for an individual applying who has a family.

7. The surcharge will apply to all new in country and out of country applications. For those based in the UK, who have not paid the surcharge, they will be expected to pay up front to access NHS services. Emergency or urgent treatment will be provided without an up-front payment, subject to the proviso costs will be payable. Those who owe a substantial debt to the NHS could be refused permission to re-enter or remain in the UK until they clear that debt, subject to human rights obligations.

8. Exceptions

Migrants in the UK on a Tier 2 (Intra-Company Transfer) visa will be exempt as will vulnerable groups such as victims of trafficking; refugees asylum seekers; and children in local authority care. Visitors will remain chargeable for their healthcare at the point of access. Migrant students will be subject to a lesser annual charge of £150.

9. Other universities

This issue has been discussed on many higher education forums with feedback indicating:

- The majority of universities are still undecided in their approach.
- Some (including UCL and Cambridge) are proposing to offer interest free loans.
- Many have decided not to pay the NHS surcharges given the additional Tax and NI liability.
- One University has decided to pay the NHS surcharge for the first year.

10. Consideration should be given to how we can realistically support staff, with any decisions balancing value for money with attracting the best staff to the University. In this case the following options and recommendations are highlighted.

11. Option 1 - Include in relocation package

- Allowing staff to offset these charges against their relocation package would ease their financial burden at a critical time. However, after a discussion among the University community, and researching the HMRC relocation rules, it's generally accepted these charges are classed as a 'non-qualifying' benefit and are not exempt from tax and NI deductions. If the University allowed these charges to be paid from a relocation allowance they would incur significant costs in the form of employer NI contributions. They may also have to consider potential increases to relocation packages to ensure they remain competitive and attractive, given NHS surcharges would absorb a large portion of an individual's relocation allowance.

12. Option 2 – interest free loan

- It's possible to provide staff with an interest free loan which is paid back over a certain period of time. Payroll has confirmed the money would have to be paid back within the same tax year to avoid incurring additional NI charges. However, payroll has no facility to make a payment to a foreign bank; which would almost certainly be required for the majority of overseas relocations. Accounts Payable (AP) has the facility to make a payment to an overseas bank account and this is common practice. However, AP have no process to facilitate repayments of any kind. A new process will need to be implemented to allow any payment to be made and subsequently recouped from salary.

13. Recommendations

The following recommendations are presented:

- I recommend we do not offer to refund NHS surcharges as part of a relocation offer; but keep this under review and monitor feedback from individuals relocating.
- I recommended a new mechanism is devised that allows a loan to be paid to an overseas member of staff, and the value of that loan to then be recovered through salary deductions.

Resource implications

14. Resource implications will be managed within existing budgets.

Risk management

15. The key risk associated with this paper is the University's ability to attract and recruit the best people from around the world.

Equality and Diversity

16. An EIA is not required for the purposes of this paper. The equality impact of this initiative will be addressed in separate papers during the implementation or introduction of new or changed processes; which will be submitted to the relevant committee.

Next steps/implications

17. The Director of Human Resources will oversee the implementation of the recommendations in this paper.

Consultation

18. The Director of Human Resources has reviewed and approved this paper.

Further information

19. Author

Paul McDiarmid
Senior HR Partner
23 February 2015

Presenter

Douglas Gillespie
Head of HR Support Groups

Freedom of information

20. This paper should be considered open.



CENTRAL MANAGEMENT GROUP

4 March 2015



Social Responsibility and Sustainability Report 2013-14

Description of paper

1. This paper presents the University's Social Responsibility & Sustainability (SRS) Report for 2013-14. The report builds upon and develops the previous SRS Highlights reports published annually since 2009/10.

Action requested

2. To note and approve the publication of the 2013-14 report.

Background and Context

3. In 2014, the newly formed Department for Social Responsibility and Sustainability (SRS) was tasked by the then Director of Corporate Services with improving the University's reporting and to bring it in line with key stakeholder expectations and good practice guidelines. This recognised that accountability and transparency are part of our commitments to social responsibility and sustainability. Reporting is not an end in itself but can help both to improve our performance and contribute more broadly to an improvement in understanding of, and support for these issues.

4. The 2013-14 SRS Report has been aligned to the Global Reporting Initiative (GRI) guidance based on issues that are important to the University and which are included in the current SRS strategy. This includes direct operational performance as well as actions on learning and teaching, research, and celebrating the work of staff and students.

5. The approach and scope for the 2013-14 SRS Report was guided by input from members of the Sustainable Operations Advisory Group (SOAG) and the SRS Committee as well as other colleagues. Highlights from this year's report include:

- **Celebrating achievements:** Recognising the achievements of staff and students across the University on social responsibility and sustainability issues. This includes a decade of promoting fair trade; catering outlets achievements in the 'Food for life' Accreditation scheme; continued reductions in individual staff and student carbon footprints; continued reductions in waste to landfill; outstanding achievements in the sustainable design of the Edinburgh Centre for Carbon Innovation; student volunteering on SRS and the continued development of the Learning for Sustainability Scotland Regional Centre.
- **Performance data:** Included for the first time on various topics such as carbon emissions; waste and transport.
- **Being transparent on challenges and areas for improvement:** The Climate Action Plan 2010-20 set a goal of achieving a 29 percent carbon saving by 2020 against a 2007 baseline – with an interim target of 20 percent savings by 2015. At the end of July 2014 the University was not on track to achieve the absolute targets, although some progress has been made on carbon intensity of activities. The report notes that we continue to invest and undertake activities to support carbon reduction and management, and

identify opportunities to contain rising costs, whilst ensuring our key activities are maintained.

6. During December 2014, the draft report was shared with colleagues from across the University. Feedback has been positive while recognising more work is needed to clarify the scope and boundaries of the report for future years. Additional edits have been made based on feedback received. Approval by CMG had not previously been factored into the timelines for publication and it was originally anticipated that this would be published in January 2015 in close proximity to the publication of the Annual Report and Accounts. It is proposed in future years to seek CMG sign off in the January following the close of the academic year.

Resource Implications

7. Staff time for collating data and preparing the report is factored into the work plans of the SRS Department with assistance from colleagues across the University.

Risk Management

8. SRS Reporting should be transparent about what we have achieved and where we have challenges. While reporting on performance in areas where the University has not achieved its stated aims could be viewed as a potential reputational risk, in the medium and long term improving our reporting systems should assist with improving the focus we give to these issues.

Equality & Diversity

9. No assessment required, as the consideration of equality and diversity issues are inherent in the nature of the consideration of social responsibility.

Next steps/implications

10. After approval, the report will be published online and in print format in limited numbers.

Consultation

11. The report has been developed based on input from across the University and has been adjusted based on additional comments from senior colleagues including the Director of Corporate Services and the Senior Vice-Principal.

Further information

12. SRS Reports from previous years available online at: <http://www.ed.ac.uk/about/sustainability/what-we-do/governance-reporting/strategy-reporting/highlights-report/overview>

Further information about good practice guidelines for Sustainability reporting are available at: www.globalreporting.org

Author

SRS Department
with colleagues from across the University

Presenter

Dave Gorman
Director of Social Responsibility and Sustainability

Freedom of Information

13. This paper can be included in open business.



THE UNIVERSITY *of* EDINBURGH



Social Responsibility and Sustainability

Report 2013/2014



Social Responsibility
and Sustainability

“ A socially responsible University would understand its impact on the world. It would consider issues of justice and accountability, locally and globally, in creating a community that contributes to society and is truly responsible in action and thought.”

Professor Mary Bownes
Senior Vice Principal 2013/14



Director's foreword

Social Responsibility is a key theme of the University's Strategic Plan, and is embedded in our work with the aim of the University making a significant, sustainable and socially responsible contribution to Scotland, the United Kingdom and the world, promoting health, economic growth and cultural well-being.

The purpose of this report is to take stock of achievements across the University and to support our Social Responsibility and Sustainability journey. It gives a snapshot of progress and performance across a range of topics. This report builds on past SRS Highlights reports and is the first step by the University to align with best practices in reporting by moving towards using the Global Reporting Initiative (GRI) framework for sustainability reporting.

In 2010 the University produced its first Social Responsibility and Sustainability Strategy, building on a longstanding commitment to develop a whole-institutional approach, to create the conditions in which students and staff are inspired and supported to engage with and contribute to social responsibility and sustainability throughout the University and beyond.

In working towards this commitment the University can be proud of its achievements across diverse and complex issues ranging from fair trade, investments in energy efficiency, continuous improvement in waste and recycling and raising awareness in the staff and student body.



In 2014 staff and students celebrated the tenth anniversary of the University becoming the first Fairtrade University in Scotland, as well as becoming the first higher education institution in the United Kingdom to sign up to Electronics Watch to monitor labour conditions in the electronics supply chain and the first Scottish university to become a signatory to the International Sustainable Campus Network.

As a diverse and complex organisation, embedding and achieving change is a complex challenge and achievements to date have often been the result of key individuals willing to go the extra mile. We must continue to encourage, promote, support and celebrate such endeavours.

In 2013 the University established the Department for Social Responsibility and Sustainability, in recognition of the University's ambitions to show leadership in this area of social responsibility and sustainability and in support of those aims. We aim to provide expert advice and support and create innovative programmes to raise awareness and inspire behaviour change. We want to help the University community to input to practical action, to learn about these issues and to give their input to future priorities.

Externally, there is increasing evidence of the importance of these issues to organisational success, to the priorities of the Scottish Government and Scottish Funding Council and to the expectations of our staff, students, alumni and local community.

Under the Climate Change (Scotland) Act 2009 and Public Bodies Duty the University has a responsibility to embed the need to consider climate emissions in ways which help contribute to the Scottish Government's commitments.

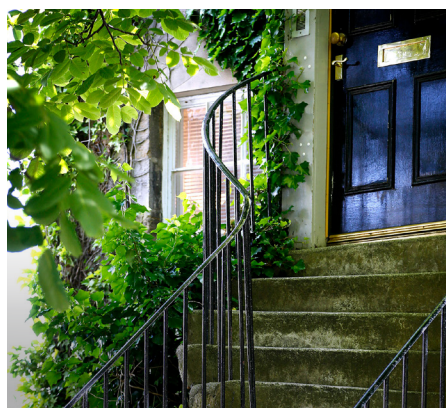
In 2015 we will continue to invest and undertake activities to support carbon reduction and management, and identify opportunities to contain rising energy costs, whilst ensuring our key activities are maintained. This is in recognition of the fact that whilst the carbon intensity performance of the University has improved in terms of carbon emitted per pound spent, that the University is currently not on track to achieve its absolute carbon reduction targets, particularly due to the growth of its teaching and research activities.

We recognise that with our commitment to social responsibility and sustainability comes with a commitment to accountability and transparency. We also recognise there is information that will not have been captured in this report and we will continue to work with staff and students across the University to further refine our approach. We welcome your comments and feedback.

The University will face a number of challenges over the next year as we work towards incorporating social responsibility and sustainability. This will include the continuing need to manage our carbon emissions, manage our supply chains responsibly and embed social responsibility in our teaching and learning. However, as this report demonstrates, the University can be proud of its achievements to date. The collective efforts of our staff, students and alumni bodes well for the future and I look forward to sharing our progress.

A handwritten signature in black ink, appearing to read 'Dave Gorman'.

Dave Gorman
Director of Social Responsibility and Sustainability



About the Department for Social Responsibility and Sustainability

Launched in April 2014, the Department for Social Responsibility and Sustainability supports the University to ensure that our learning and teaching, research and operations are socially, environmentally and economically sustainable for future generations.

Thousands of staff and students are already working to change the way we address local and global challenges.

We discover and promote changes that can help the University make best use of scarce resources and contribute to the well-being of our staff, students and wider society.

External awards and recognition

The University of Edinburgh's efforts continue to be recognised across a range of social responsibility and sustainability topics.

Green Gown Awards

The Green Gown Awards recognise the exceptional sustainability initiatives being undertaken by universities and colleges across the UK. In 2014, the University was shortlisted as a finalist in four categories, including Construction and Refurbishment, Continuous Improvement: Institutional Change, Courses and Learning, and the Food and Drink category. This is our best performance since the awards were established in 2007.

National Union of Students Green Impact Excellence Award

The achievements of Edinburgh University Students' Association and student groups working on sustainability in the curriculum were recognised. Efforts were undertaken as a direct response to the student manifesto 'Learning for Change: Students' Visions', which explored learning experiences that better equip students for contributing towards a more sustainable and socially just future during and after their time at University.

People and Planet University League Performance

People and Planet's University League is an independent league table of UK universities ranked by environmental and ethical performance.

National Union of Students Environmental Improvement Award

Stewart Anderson from Edinburgh Research and Innovation won the UK-wide NUS Environmental Improvement Award for developing a plugin for Microsoft Outlook which calculates the most sustainable routes to meetings; prioritising walking, cycling, and public transport.

Athena Swan Award

The University continues its commitment to the advancement and promotion of the careers of women. The Athena Swan Charter celebrates achievements in science, engineering, technological mathematics and medicine, and in 2014 the Schools of Molecular, Genetic and Population Health Sciences, and Clinical Sciences, were successfully awarded joint Bronze. The Edinburgh School of Architecture and Landscape Architecture, and the School of Health each successfully attained Bronze Awards.

BREEAM Outstanding

The Edinburgh Centre for Carbon Innovation (ECCI) became the first listed building in the UK to achieve the industry sustainability 'BREEAM Outstanding' award at design stage. The building also won the highly coveted Building Conservation Award at the Royal Institution of Chartered Surveyors Scotland Awards in 2014.

Food for Life

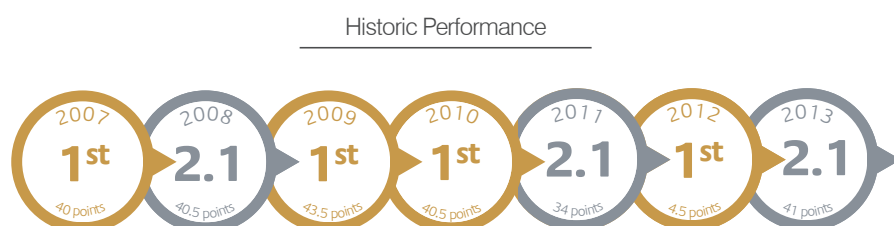
Over the last year the University has widened its Food for Life certification, by adding additional retail catering outlets to its previous Food for Life Bronze accreditation. The certification originally covered meals served at the John McIntyre Conference Centre at Pollock Halls of Residence, but now includes all retail catering outlets managed by Accommodation Services.



The University was awarded a gold medal in the 2013 Britain in Bloom awards for the Large City category.

Britain in Bloom

The University's efforts in landscape management and biodiversity were recognised along with other city-wide organisations, when Edinburgh was awarded a gold medal in the 2013 Britain in Bloom awards for the Large City category. This is the first time that the city has achieved this award.



Highlights



2013

The University became the first in Europe and the second globally to sign the UN Principles for Responsible Investment (PRI)



£20m

Invested in combined heat and power energy centres and district heating since 2003



88%

88% of staff and students walk, cycle or use public transport



85%

Waste diverted from landfill in 2013/14



2004

First Scottish university to attain Fairtrade status



The University became the first in Scotland to achieve a “Food for Life” Bronze Catering Mark.



GREEN GOWN
AWARDS 2014

Finalist in 4
categories.

THE EDINBURGH CENTRE FOR CARBON INNOVATION

The ECCI officially opened in October 2013 and was the first listed building in the UK to achieve the industry sustainability “BREEAM Outstanding” award at design stage.



Operations

The University's Strategic Plan sets out the aim to create the conditions under which our students, staff and the wider community are inspired and supported to engage with and contribute to social responsibility and sustainability across the University and beyond.

The realisation of our strategic aims is enabled by exceptional people, high-quality physical infrastructure, and financial sustainability. Meeting these aims will require minimising our environmental impact, maximising our contribution to society, having infrastructure which is developed and, where possible, operated to meet national and international sustainability and social responsibility objectives. We will demonstrate high ethical standards, balance our community's desire for around-the-clock access to responsive infrastructure against the impact on our costs and carbon footprint.

Climate change, energy and carbon

The University recognises its responsibility to take action on climate change, including reducing the carbon emissions from our direct operations as well as our indirect emissions.

The Climate Action Plan 2010-20 set a goal of achieving a 29 percent carbon saving by 2020 against a 2007 baseline – with an interim target of 20 percent savings by 2015. At the end of July 2014 the University was not on track to achieve the set targets.

This was partially due to our own success in growing our teaching and research activities. The gross internal area and revenue turnover of the University has increased since 2007. Figure 2 provides an overview of the relative carbon performance over time against these two areas.

We continue to invest in energy efficiency measures, with over £20 million invested in combined heat and power energy centres and district heating since 2003. Opportunities to reduce energy wastage continue to be identified through current engagement activities with building users. In 2013/14 the University undertook a review of Greenhouse Gas (GHG) emissions in accordance with the Greenhouse Gas Protocol, which is considered current best practice for corporate or organisational greenhouse gas emissions reporting.

Figure 1 opposite shows the upward trend of our emissions and includes Scope 1 and 2 emissions across both the academic estate and accommodation services. Scope 1 includes direct GHG emissions from sources that are owned or controlled by the University such as natural gas combustion and University owned vehicles.

Scope 2 accounts for GHG emissions from the generation of purchased electricity, heat and steam generated off-site. Figure 1 also includes Scope 3 emissions from the transmission and distribution of electricity, staff and student commuting.

This does not include GHG emissions related to business travel and procurement. Over the past year there has been a slight increase in Scope 1 emissions and a slight decrease in Scope 2 compared to the previous year, this has been due to the increased use of CHP facilities. Electricity and natural gas remain the most significant contributors to our carbon emissions.

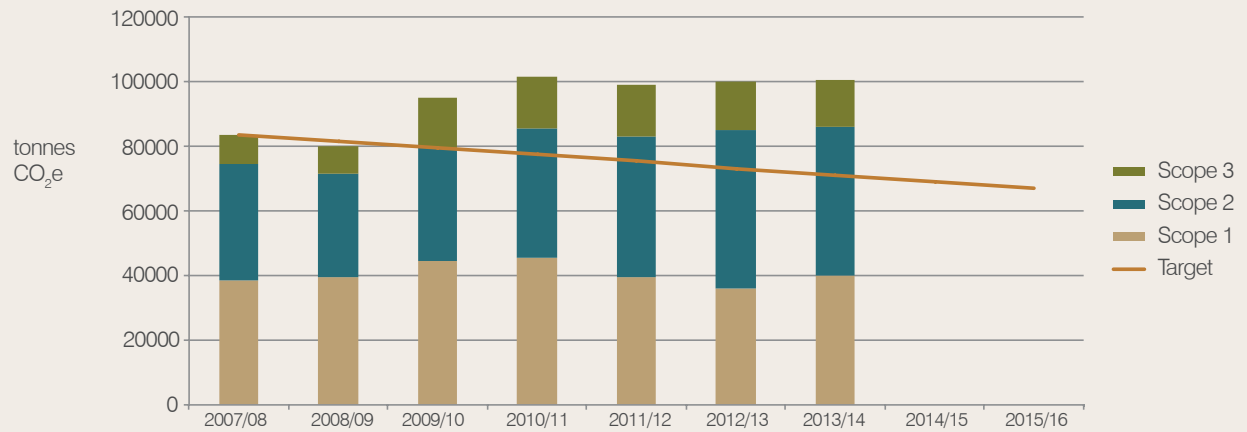
In 2015 we will continue to invest and undertake activities to support carbon reduction and management, and identify opportunities to contain rising costs, whilst ensuring our key activities are maintained.



Low Carbon Technology at the George Square combined heat and power unit (CHP)

Figure 1

Carbon emissions 2007-14



Emission factors from Defra Decc published figures for 2014 were used to calculate the University's GHG emissions. These emission factors are based on 2012 figures but use the latest GWP figures from the 4th IPCC assessment report.

Figure 2

Key performance indicators 2006-14

| University Key Performance Indicators | 06/07 | 07/08 | 08/09 | 09/10 | 10/11 | 11/12 | 12/13 | 13/14 |
|---------------------------------------|-------|-------|-------|-------|-------|-------|-------|-------|
| CO2 emissions per £m of turnover | 124 | 139 | 127 | 131 | 136 | 124 | 122 | 112 |
| CO2 emissions per GIA 000m2 | 99 | 110 | 114 | 126 | 131 | 107 | 111 | 107 |

Figure 3

University travel mode share 2013

travel to work and study mode share

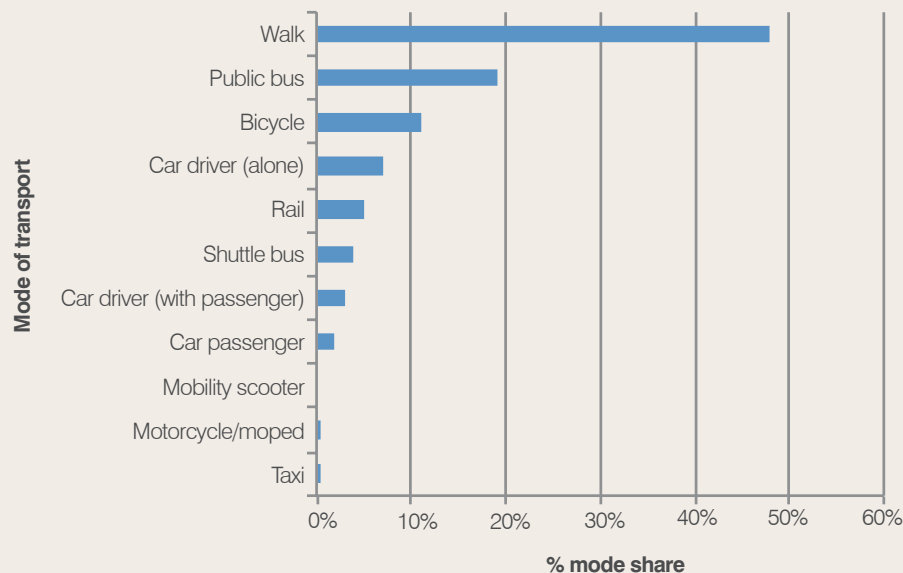


Figure 4

Waste breakdown 2007-14

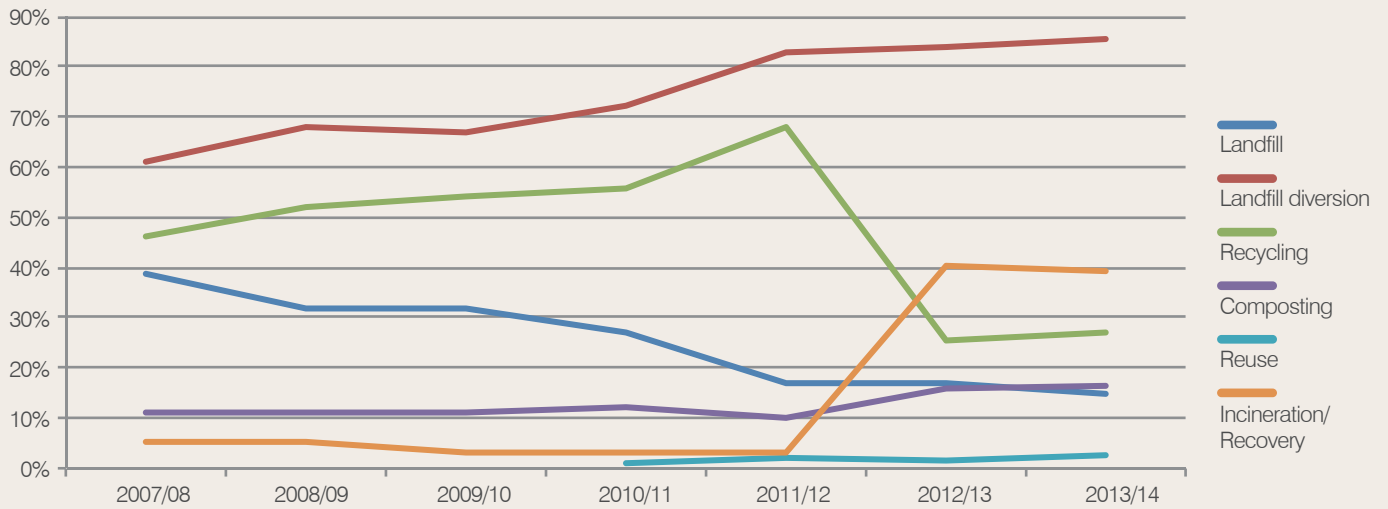


Figure 5

Waste breakdown 2013/14

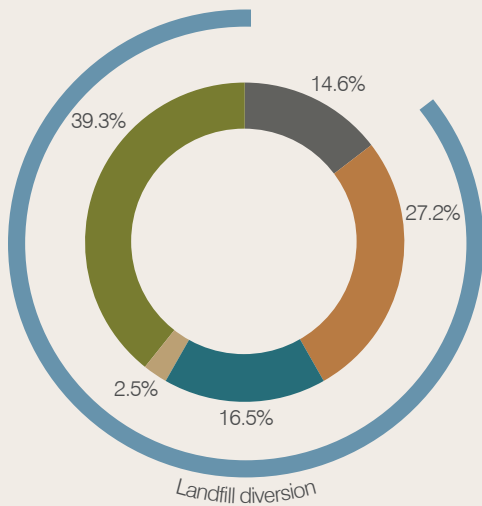
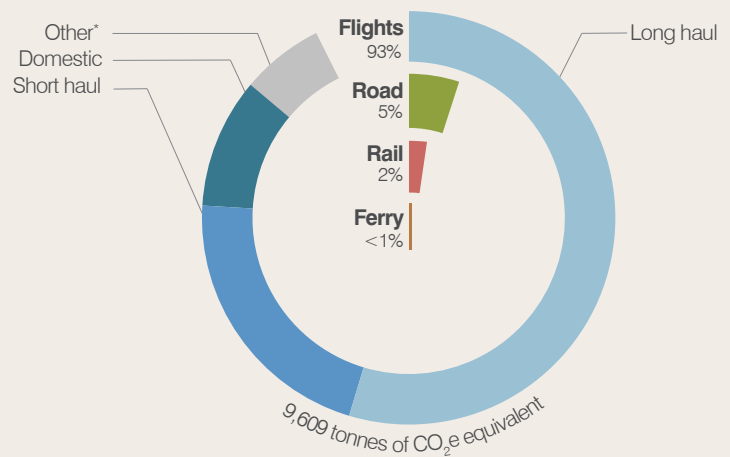
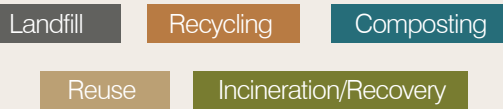


Figure 6

Business travel emissions 2013/14 by mode of transport



*Flights for which a distance could not be calculated.



Waste Arising 2,983 metric tonnes.
Core academic estate only.

Water

The University is committed to reducing its water consumption as set out within the Energy Policy of 2003. Water consumption has remained at comparable levels from 2007 through to 2014. Water consumption within the core academic estate has decreased to less than 500,000 cubic tonnes in 2013/14. Growth in the range of accommodation we offer to students has led to an increase in water consumption within accommodation services.



Water consumption within the core academic estate has decreased to less than 500,000 cubic tonnes in 2013/14.

In 2009 we approved our first Drinking Water Policy with the aim of clarifying the position regarding supplies of drinking water to University buildings and to eliminate freestanding bottled water coolers altogether.

Resource efficiency

In 2010 the University adopted a revised Recycling and Waste Management Policy, which sets out the intention to increase recycling and reduce waste to landfill.

Figure 5 highlights that we achieved our current performance indicator for the academic estate to increase the amount of waste diverted from landfill annually. This rate has increased from 61% in 2007/08 to over 85% in 2013/14. Only 14.6% of waste was sent to landfill.

Our total tonnage of waste from both the academic estate and accommodation services in 2013/14 was 4,618 metric tonnes, with a carbon footprint of 306 tonnes of CO₂e.

In 2013/14, the Waste and Environment Office have rolled out food waste bins across all University catering facilities. A student engagement strategy has also been developed for food waste reduction and recycling with students from the MSc Participation in Policy and Planning course. Waste audits were carried out in 12 catering outlets, with larger scale audits planned for the coming year. Local containers for glass recycling have been provided across the University to improve collection rates.



Approximately 3,255kg of carbon dioxide equivalent has been saved since the introduction of the WARPit portal in 2014.

An online waste and recycling portal, WARPit, was launched this year, making it easy for staff to pass on or loan unwanted items in their office to colleagues. Over 170 staff are now registered and are actively using the network, reducing the unnecessary purchase of expensive resources, cutting waste and making financial and emissions saving.

Travel

The proportion of staff and students who use sustainable modes of travel continues to increase. Eighty percent of staff and students walk, cycle or use public transport.

In the Transport and Travel Planning Policy adopted in 2010, the University committed to develop and implement innovative travel plans, to reduce carbon emissions through the promotion of active forms of travel.

The average individual travel carbon footprint per staff member has significantly reduced by 35% with the carbon footprint per student reduced by 28% between 2010 and 2013. The Staff and Student Travel Survey is undertaken every two years to capture this information. Figure 6 provides a breakdown of business travel by mode of transport for 2013/14, with 93% of all emissions resulting from air travel. Further work will be carried out to analyse the data and we will collaborate with staff to investigate low carbon alternatives. In 2013/14 over 560 people attended a series of Cycle Roadshows, with cyclists being offered a range of free maintenance, security assistance, training and advice.



The University has installed charging points for electric vehicles, providing publicly available free electric charging.

Commuter Clinics were also held to coincide with parking permit applications to encourage staff to commute sustainably. As part of an Edinburgh-wide partnership, we have installed four charging points for electric vehicles, providing staff and students with free electric charging. We have continued this partnership approach by working with local higher education institutions to introduce a pool of electric bikes for staff to use at the start of 2015.



Cycling Roadshow at Potterrow

Procurement

The Procurement Office has led efforts to facilitate and measure sustainability impacts and provide guidance to the wider higher education and public sector, where the University's good practice has been recognised.

We manage our physical infrastructure and the procurement of goods and services in ways that maximise efficiency and effectiveness while minimising social, environmental and other impacts.

Procurement Strategy 2012-16

We have worked closely with the Advanced Procurement for Universities and Colleges (APUC) to develop a sector Supply Chain Sustainability Policy, Code of Conduct and the SUSTAIN project, which aims to benchmark and engage suppliers into improving on their own environmental and social impacts. Eighty percent of our procurement spend is influenced by the Procurement Office, of which 35% is through collaborative procurement.



Office supplies now offer a "green" option to purchasers. In March 2014 this increased to 41% compared to 35% in September 2013.

The Sustainable Procurement Priority Tool continues to be rolled out across the University to evaluate risks and engage with buyers and suppliers to highlight and influence the impact of what we purchase. We continue to support and promote fair trade.

Through our procurement we engage with and support small and medium-sized enterprises. As a percentage of our influenceable spend, 26% are small and 29% are medium-sized suppliers.

Estates development

Estates are working towards developing a low carbon resilient estate for the University, supporting the delivery of world class teaching and learning, and research. Sustainability has been identified as a core principal during the development of the Estates Strategy 2025 and the University chairs the Environmental Association of Universities and Colleges (EAUC) group on Sustainable Construction.

The Edinburgh Centre for Carbon Innovation (ECCI) officially opened in October 2013 and was the first listed building in the UK to achieve the industry sustainability 'BREEAM Outstanding' award at design stage. The recently refurbished 50 George Square achieved significant energy savings through connections to the University's central area CHP along with other energy saving measures including new windows and insulation.

Ten new and recently refurbished buildings have achieved the BREEAM very good standard and above.

Biodiversity

The Landscape Section continues to support the delivery of the University's Biodiversity Policy 2010, by maintaining green spaces, green roofs and orchards, as well as installing bird boxes and working in partnership with staff and students to support apiaries to raise awareness of biodiversity among staff and students. All green waste, such as leaves and grass, are taken away to our recycling site. The compost produced from this process is used as a soil improver during soil preparation for planting across the estate.

Both native and exotic species of plants are used to provide pollen and nectar plants that encourage bees, insects and other forms of wildlife. All green waste from plants and trees are recycled, with the compost produced used as a soil improver for planting.

Food

Recognising the responsibility and influence of the University and the interconnectedness of global challenges surrounding food, we aim to contribute to the improvement of society as a whole by the creation of sustainable food systems.



Fourteen catering outlets achieved Food for Life Bronze accreditation for high-quality and sustainable food catering.

To support this vision, we became the first "Food for the Brain" University in the UK, the first University in Scotland to achieve a Food for Life Bronze Catering Mark and all catering outlets hold the "Healthy Living Award". In 2014 the University achieved the "Good Egg Award" in recognition of our commitment to use only free range eggs.

A University-wide food network has been developed, along with the creation of the Food Researchers in Edinburgh network to engage with academic staff. Work has been undertaken on a Sustainable Food policy with considerable interest and scope to develop this over the coming years.

A decade promoting Fair Trade

2014 marked 10 years since we became the first Scottish university to attain Fairtrade status following a vote by students. Our Fair Trade Policy outlines our commitments to procuring and selling fair trade products, and raising awareness of fair trade. Drinks served in our catering outlets are Fairtrade and consumption of Fairtrade continues to grow.

Through our partnership with Just Trading Scotland, every 90kg of rice purchased by the University allows it to sponsor a child to Malawi. Procurement and catering staff continue to work to increase sales of fair trade products and we have encouraged research and teaching in this area through the Academic Network.

We are committed to social responsibility in supply chains to ensure that our global impact is fair and just. We are a member of the Workers' Rights Consortium and a founding member of Electronics Watch.



Healthy University

Health and wellbeing are essential for student and staff success, engagement and retention. Launched in 2013, the Healthy University Project aims to actively promote and deliver tangible health and wellbeing benefits for the University community.

Early achievements include establishing a health wiki to promote and inform staff and students about health services available at the University, including the Centre for Sport and Exercise, the Student Disability Service, Student Counselling, Occupational Health and the Healthy Working Lives initiative.

In 2014/15 the priorities for the project include continuing to map our assets and gaps across all strands of the Healthy University model, and develop a strategic overview for health and wellbeing, based on models of best practice.



Edinburgh is one of 100 universities and research institutes which are members of the Athena SWAN Charter.

Equality and diversity

Following the review of the University's Equality and Diversity Action Plan, an Equality Management Committee has been established to exercise strategic and management oversight of equality and diversity, ensuring policies and practices are managed and implemented effectively at all levels.

Over the last year the University ran a range of high-profile events and initiatives to promote equality and diversity.

These included the annual lecture series and other events for International Women's Day and included the launch of the first phase of the Inspiring Women's Portrait Exhibition.

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

People Strategy 2012-16

The University is a Stonewall Diversity Champion, and continues its participation in the Equality Challenge Unit Programme, working on the University-wide mentoring framework.

Learning and development

The University is committed to providing all staff with learning and development opportunities, enabling all individuals to successfully achieve future goals and support our goals of embedding the principles of equality, inclusion and diversity throughout our community.

Human Resources have a dedicated team to work in partnership with departments to deliver training courses and workshops, designed to advance participants thinking in knowledge, understanding and skills, providing a comprehensive and continuous process of professional and self-growth that benefits staff, and ultimately the University.

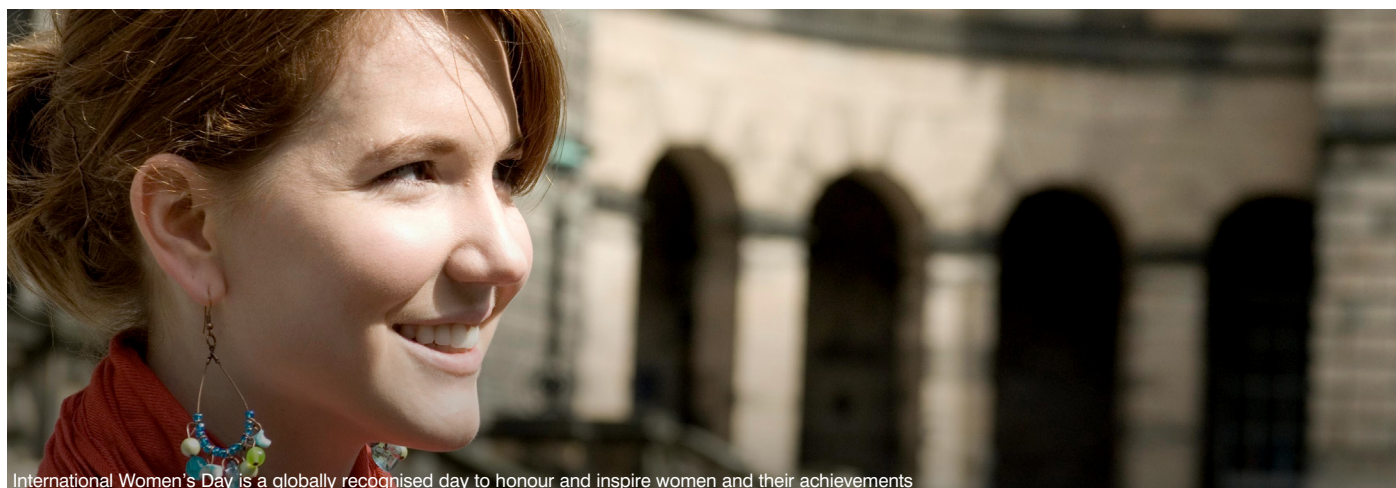
Principles for Responsible Investment

In 2013 the University became the first in Europe and the second globally to sign the UN Principles for Responsible Investment (PRI).

In follow up to the consultation with our community in 2014, an updated Socially Responsible Investment policy for the University is being developed.



For more information go to:
www.ed.ac.uk/about/sustainability/what-we-do/community/responsible-investment-consultation



International Women's Day is a globally recognised day to honour and inspire women and their achievements

Across the University and beyond

Staff and students through their innovative and proactive actions continue to contribute towards social responsibility and sustainability.

Learning for Sustainability Scotland

On the 19th November 2013 Scotland's first United Nations Regional Centre of Expertise on Education for Sustainable Development was opened at the University. Learning for Sustainability Scotland aims to enhance sustainability through education at both a local and national level. Its objectives are to ensure that education in Scotland encourages all learners to value the natural environment and ensure Scotland's economy contributes to sustaining our planet's ecosystem. A network of over 200 members has been established, which will undertake collaborative research and encourage Education for Sustainable Development practice and policy.

Volunteering

EUSA Volunteering continues to promote student volunteering within the University and in the local community, providing students with opportunities to develop their employability skills and gain a wide range of experiences during their time at university. Over 420 organisations are registered, providing students with a great range of opportunities to volunteer with charities, community groups, and organisations from the local and wider community.

Course provision

The Institute of Academic Development examined the University's undergraduate course descriptors to identify where and how social responsibility and sustainability is currently embedded in the Colleges of Humanities and Social Sciences and Science and Engineering.

The scoping exercise undertaken in 2012 identified 505 courses available within the two colleges. Almost half of the courses identified took an interdisciplinary approach, with one third taking a discipline specific approach. Thirty eight courses were identified that allowed students to engage with local community projects or businesses. In 2014/15 a review of undergraduate courses in the College of Medicine and Veterinary Medicine will be completed.

Widening participation

Widening participation is a strategic priority. We firmly believe that a diverse student community results in a more rewarding educational experience for all, and we are committed to admitting the very best students from a wide range of backgrounds.

We provide a range of sector-leading outreach projects such as the Lothians Equal Access Programme for Schools (LEAPs) and Pathways to the Professions to broaden the base of the applicant pool and to identify the students with the best potential to succeed.



In 2013/14, more than 1,500 students from low income families shared over £4m in bursaries.

Marine energy

A world-class testing facility for marine energy devices was opened at the University, with researchers and industrial partners using the facility to develop and refine full-scale devices.

The FloWave Ocean Energy Research Facility is a 25-metre circular pool that can recreate waves and currents from coastlines around the UK, Europe and beyond. The pioneering facility will speed the development of devices to harness wave and current power, and further enhance our position as a centre of excellence in marine energy research.

Sustainability Awards

The efforts of staff were again celebrated during the annual Sustainability Awards, with thirty-five departments receiving recognition for undertaking actions to make their departments more sustainable and socially responsible. A record breaking number of sixteen departments received a Gold Award compared to nine teams in 2013.

Laboratories based at the University can gain recognition for their efforts in improving efficiency and sustainability in the work place through the awards. Best practice and knowledge are shared with staff through peer to peer audits.



Case studies showcasing the achievements of departments are available to view online at: www.sustainability.ed.ac.uk/awards



Our approach to reporting

The University is committed to being a socially responsible organisation, and as part of this comes a commitment to being transparent in reporting our impacts on the environment and contributions to society.

Since 2009/10 we have reported our achievements through an annual 'Highlights' report, and we have more recently reported progress on social responsibility and sustainability issues within the University's Annual Report and Accounts.

In 2013/14 we identified that we could further improve our approach to reporting through alignment with good practice that would guide us to report on those issues that are most important to our stakeholders as well as the long term success of the University.

We have taken the Global Reporting Initiative as a starting point to guide us on our reporting journey. The GRI Guidelines provides organisations with a framework to report on environmental, social and economic issues that are most important to their stakeholders and is the most widely used international framework for sustainability reporting, using globally agreed metrics.

As a world leading university with a mission to facilitate the creation, dissemination and curation of knowledge we will have some different issues to report on in relation to social responsibility and sustainability than organisations outside of the higher education sector.

While this report is not seeking to be 'in accordance' with the GRI Guidelines it is seeking to keep the content focused on material aspects that are important to our stakeholders. To support our continuous improvement, a group of external experts are being invited to analyse and comment on the strengths and weaknesses of the report's content and structure. This advice along with lessons learned will improve future reporting.

This report contains Standard Disclosures from the GRI Sustainability Reporting Guidelines.

The GRI Content Index specifies where we have responded to the indicators set out by the GRI G4 Sustainability Reporting Guidelines, this is available both on the web based version of the annual report and as a physical document.



Further information on this approach to sustainability reporting is available at: www.globalreporting.org



Stakeholder engagement

The University of Edinburgh is a dynamic and vibrant community of staff, students, alumni and supporters.

We have a diverse range of stakeholders. On campus our community is made up of over 32,000 students and nearly 9,000 staff. Other important stakeholder groups include our alumni, the local community, the higher education sector and the wider public sector. The material aspects that are included within the annual report have been determined through engagement with stakeholders and reviewing the objectives within the University's strategic plans.

In 2013/14 a series of facilitated discussions occurred as part of the review of the University's Social Responsibility and Sustainability (SRS) Strategy, which also helped us define our issues for reporting:

Edinburgh Sustainability Awards

Workshop: 22nd April 2014.

Participants, including students, academic and operational staff, engaged in round-table discussions reviewing the success of the scheme and exploring how to further develop the Awards to recognise success in, and stimulate action towards, the University's objectives.

SEAG Operations Away Day: 23rd

May 2014. Participants explored how the Social Responsibility and Sustainability agenda had developed over time, how the University contributed to setting the agenda, and how it had responded to external drivers of change. Attendees developed implementation plans, shared ideas and common themes.

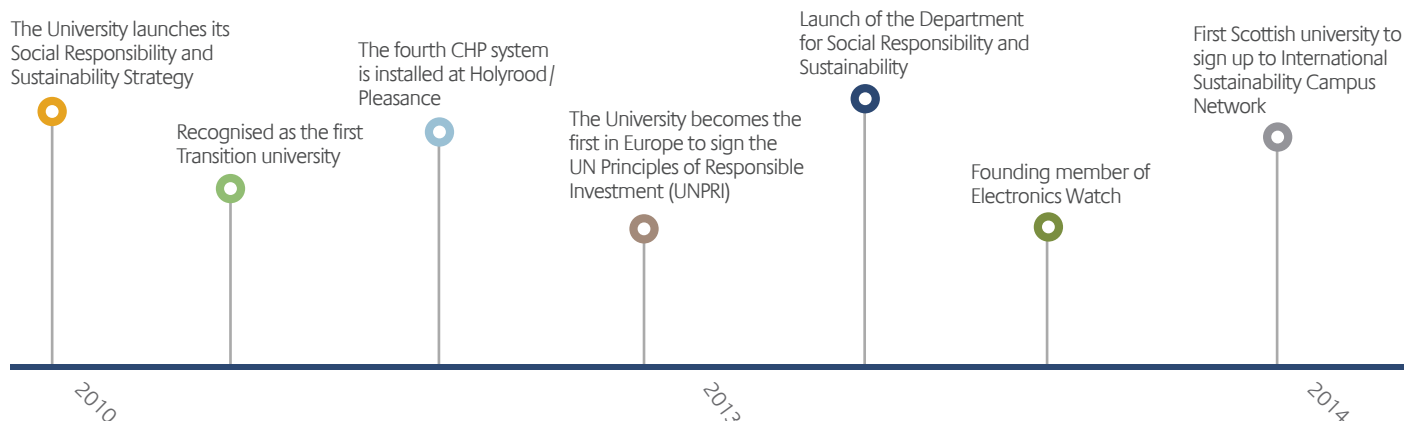
Follow up activities in the 2014/15 Academic year included an Academic workshop on 20th August exploring how the concept of Social Responsibility and Sustainability could be incorporated into the University using the Living Laboratory approach, which promotes action based learning by linking research and operations.

A Student and Staff Academic

Forum: 21st November 2014. Participants discussed how to work together to further incorporate Social Responsibility and Sustainability in Learning and Teaching at Edinburgh. In 2013/14 we also undertook a wide consultation in relation to our commitments to Responsible Investment. The Department for Social Responsibility and Sustainability engages widely with stakeholders in its mission to support the University to ensure that our learning and teaching, research and operations are socially, environmentally and economically sustainable for future generations.

The table below provides an initial mapping of key stakeholder groups and how we have engaged with them in 2013/14.

| Stakeholders | Method of Engagement |
|-------------------------|---|
| Students | Events, Surveys, Newsletters, Website, Social Media, Academic Courses |
| Staff | Events, Surveys, Newsletters, Website, Training |
| Alumni | Events, Website, Social Media, Alumni Magazine |
| Local Community | Events, Meetings, Website |
| Higher Education Sector | Events, Network, Meetings |
| Public Sector | Networks, Meetings |





“ We aim to make a significant, sustainable and socially responsible contribution to Scotland, the UK and the world, promoting health, economic growth and cultural wellbeing. ”

University of Edinburgh
Strategic Plan 2012-16

This publication is available online
at www.ed.ac.uk/sustainability
It can also be made available in
alternative formats on request.

The University of Edinburgh

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Central Management Group

4 March 2015

Recruitment & Admissions Strategy Group: revised terms of reference

Description of paper

1. This paper proposes revised terms of reference for the Recruitment & Admissions Strategy Group (RASG).

Action requested

2. CMG is asked to approve the terms of reference. These were discussed and approved by RASG at their meeting on 17 February 2015.

Background and context

3. The revised terms of reference are intended to improve the efficacy and efficiency of University governance of recruitment and admissions in the context of an increasingly dynamic recruitment environment.

Discussion

4. The revised terms of reference combine the current remits of RASG and the Monitoring Student Numbers Group (MSNG), revising group membership, and addressing the frequency and timing of meetings. The revised terms of reference are set-out below.

Recruitment and Admissions Strategy Group terms of reference (revised 2015)

RASG is a strategic committee reporting to the Central Management Group and liaising closely with the Senatus Learning and Teaching Committee on all matters relating to student recruitment and admissions. The scope encompasses UK/EU and international, undergraduate and postgraduate levels of study, and widening participation.

Remit

To provide strategic direction and guidance for student recruitment and admissions in order to progress the University's strategic aims and objectives.

Purpose

- To ensure that student recruitment and admissions strategy, policy and strategy supports and delivers the University's strategic aims
- To evaluate existing approaches to admissions and recruitment and to identify new opportunities and innovations
- On behalf of Central Management Group, to agree and monitor progress towards student number targets, in cycle and over the medium to long term
- To ensure that admissions policies and procedures are coherent, compliant with relevant legislation and regulations, and are implemented consistently

- To receive regular intelligence and information on admissions and recruitment provided through reports from College Committees; Governance and Strategic Planning; Student Recruitment and Admissions; International Office, Communications & Marketing and the Colleges
- To assess internal and external initiatives, legislation and developments relating to student recruitment and admissions
- To report regularly to the Central Management Group and Learning and Teaching Committee on all matters relating to the recruitment and admission of students

Governance

The Group will act with authority, as delegated by the Central Management Group and the Senatus, in order to take decisions regarding the University's admissions and recruitment strategy and policy.

In taking forward its remit, the Group will support and encourage diversity and variation in operation where this is beneficial, whilst seeking consistency and common approaches where these are in the best interests of the University.

The Group shall report direct to the Central Management Group as necessary, but at least annually on general matters, and monthly on in-cycle progress towards student number targets.

The Group shall liaise with relevant Court and Senatus Committees and with specific managers and offices in respect of issues or instances where matters of admissions and recruitment strategy and policy intersect with academic issues and other areas of University business.

The Group shall identify and agree the ways in which it will periodically interact and exchange information with relevant committees and academic and student services in matters relating to admissions and recruitment.

Operation

The Group will meet normally meet five times a year, in September, November, January, April and June. The Group will also interact electronically, as is necessary for its business to be effectively progressed.

Working Groups and limited life Task Groups will take forward as relevant the detailed examination of, and consultation on, the strategic issues which make up the majority of the Group's work.

Any Task Groups will be given a clear brief and will consult as appropriate during their work in order to ensure the confidence of the Group, the Central Management Group, the Senatus, and the wider University community in the resulting conclusions and recommendations.

Information on any activities will be made available electronically to ensure that members of the University Community are kept informed and can contribute to specific developments.

Agenda, papers and approved minutes will be published on the University's web pages in accordance with the University's agreed publication scheme and the status

of the above listed in respect of freedom of information legislation. This will include details of the membership of the Group.

Composition

Deputy Secretary Strategic Planning (Convenor) – Ms Tracey Slaven

Projects Officer & Policy Adviser to the University Secretary (Committee Secretary) – Mr Jamie Tait

Membership

Senior Vice Principal – Prof Charlie Jeffery

Vice Principal International – Prof James Smith

Vice Principal Learning & Teaching – Prof Sue Rigby

Vice Principal Planning, Resources and Research Policy – Prof Jonathan Seckl

Director, Accommodation Services – Mr Richard Kington

Director, Scholarships & Student Administration – Mr Robert Lawrie

Director, Student Recruitment & Admissions – Ms Rebecca Gaukroger

Head of Marketing, Communications and Marketing – Mr Niall Bradley

Head of Recruitment & Development, International Office – Mr Robbie Willis

Senior Strategic Planner, GaSP – Mr Jim Galbraith

College Registrar, CHSS – Dr Catherine Martin

Nominee, CHSS – tbc

College Registrar, CMVM – Dr Catherine Elliott

Nominee, CMVM - tbc

College Registrar, CSE – Dr Bruce Nelson

Nominee, CSE – tbc

Vice President Academic Affairs, EUSA – Mr Dash Sekhar

The Convenor may invite individuals by invitation for specific meetings or agenda items.

Substitutions of members (i.e. due to an inability to attend) shall be at the discretion of the Convener.

Resource implications

5. There are no significant resource implications.

Risk Management

6. By improving governance of recruitment and admissions strategy, the revised terms of reference should mitigate financial and reputational risks associated with failure to meet University aims and objectives regarding student recruitment.

Equality & Diversity

7. There are no direct equality and diversity implications. RASG will continue to ensure due consideration of equality and diversity implications of policies and practices it receives and approves.

Next steps/implications

8. Following approval by CMG, the final membership and 2015 meeting dates will be agreed.

Further information

9.

Author

Rebecca Gaukroger

Director, SRA

Tracey Slaven

Deputy Secretary, Strategic Planning

12 February 2015

Presenter

Tracey Slaven

Deputy Secretary, Strategic Planning

Freedom of Information

10. This paper can be included in Open Business.



CENTRAL MANAGEMENT GROUP

4 March 2015

Space Enhancement and Management Group

Committee Name

1. Space Enhancement and Management Group (SEMG).

Date of Meeting

2. Report of the meeting held on 18 February 2015

Action Required

3. CMG is asked to:
 - approve the amended Space Enhancement and Management Policy - Appendix attached;
 - note the key points from the meeting.

Key points

4. Space Enhancement and Management Policy – Amended – (endorsed by Court on 12 May 2014).
 - Noted - Minor amendments to align the Policy with the SEMG remit approved by CMG on 12 Nov 2014.
5. Specialist Spaces – Usage King’s Buildings
 - Noted - General specialist space continues to be a challenge for the University, and every effort would be made to utilise space optimally.

Full report is located at hyperlink: http://www.semg.estates.ed.ac.uk/docs/open/Paper-C-SpecialistSpaceUsag_KB.pdf

6. Academic Year 2013:14 Utilisation outcomes
 - Noted - The accurate recording and usage of school-managed general teaching space, as well as specialist space, showed that occupation (frequency) was Low - (0 - 49.9%).
 - Noted – Non-use of booked space was above 20% (above the historical sector average of 18%).
 - Noted - The development of personalised student timetables will help to bring ‘Occupancy’ more centre-stage in future years.
 - Agreed - The current ‘preference’ procedure be amended to allow the Timetabling Unit to book vacant teaching rooms to full capacity from 9:00 am to 6:00 pm on a ‘one-by-one’ basis to deliver greater efficiency. This operation would be caveated with a series of clauses to minimise impact on the student experience.
 - Noted - The range of utilisation analysis and data on the University’s teaching

space proving to be an extremely helpful tool in supporting the University's estate strategies and assisting to make informed decisions.

Full report is located at hyperlink: <http://www.semg.estates.ed.ac.uk/docs/open/Paper-D1-2013-14-UtilisationReports.pdf>

7. Academic Year 2014:15 Utilisation outcome – To-date

The paper provided guidance and reported the current 14/15 utilisation statistics for general teaching space, alongside previous 12/13 and 13/14 data.

- Noted – A marked improvement in frequency for general teaching space in the Central Zone and King's Buildings. Central area is projected to hit the desired high frequency threshold of above 70%.

Full report is located at hyperlink <http://www.semg.estates.ed.ac.uk/docs/open/Paper-D2-2014-15-UtilisationOutcome-Todate.pdf>

8. Outcomes from physical surveys, semester 1 academic year 2014-15

The paper confirmed outcomes from classroom physical surveys conducted at various points during semester 1, 14/15.

The Group agreed the recommendations that:

- primary emphasis be placed on the 'Frequency' data returned from this process as a method of calculating levels of non-use of booked space.
- methods for incentivising more responsible usage of booked space be considered.

Full report is located at hyperlink <http://www.semg.estates.ed.ac.uk/docs/open/Paper-D3-PhysicalSurveysSem1.pdf>

9. Estate Management Record (EMR) 2014-15: teaching utilisation outcomes

The paper reported the data to be submitted to HESA as part of the annual Estate Management Record (EMR) submission on teaching utilisation outcomes.

- Noted - Whilst there was no recommendation, the data, and timetabling data evidenced would help the group to make informed decisions on how to utilise space more efficiently.

Full report is located at hyperlink: <http://www.semg.estates.ed.ac.uk/docs/open/Paper-D4-EMRteachignutilisationoutcomes.pdf>

10. Teaching Space Management Group– Update on programme re repurposing / decommissioning

SEMG reviewed the programme and proposed a priority list be drawn in order to ensure critical areas are improved within the timescale and on budget.

Full report is located at hyperlink:

<http://www.semg.estates.ed.ac.uk/docs/open/Paper-E-ProgrammeRepurposDecommTeachingRoomsRev.docx>

11. Space Audit and Other Matters

- Noted - Update on the 2014 Space Audit, NPRAS, Web Central, SUSMG (Scottish Universities Space Management Group)
- Agreed - Passive Infrared Sensors be placed in general teaching rooms where utilisation was low.

Full report is located at hyperlink

http://www.semg.estates.ed.ac.uk/docs/open/Paper-F-AppletonTowerLever2teaching_Rooms-Appendix.pdf

12. Mothballed space

- Agreed – To carry out a review on the ‘mothballed’ buildings and a recommendation paper be brought to the next meeting.

13. Centralisation of Teaching Space – Update

- Noted - Business case had been circulated to Colleges for the centralisation of all timetabling operations and services, including the management of all general teaching space. .
- Noted - New timetabling capacity would help drive teaching space efficiencies and hopefully offset the key resource elements relating to the proposal.

Full report is located at hyperlink:

<http://www.semg.estates.ed.ac.uk/docs/open/Paper-G-CentralisationTeachingSpace-Amended.docx>

Full minute:

14. The papers and in due course the minute of this meeting can be accessed at the following URL: <http://www.semg.estates.ed.ac.uk/>

Equality & Diversity

15. None of the proposals in this paper raise issues beyond those that are routinely handled.

Further information

16. Author

Angela Lewthwaite
SEMG Secretary
23 February 2014

Presenter

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

Freedom of Information

17. This paper is open

Space Enhancement and Management Policy

(Approved Court 12 May 2014)

Estate context

The University estate provides the physical environment in which our colleagues work, and in which our students study and live. The purpose of the Estate is to support and enable the delivery of the University's strategic goals. The University's estate is substantial, over 750,000m² gross area (including >150,000m² residential property), reflecting over 500 buildings. The University's staff and student FTEs/m² non-residential space is one of the highest in the Russell Group of leading UK research-intensive Universities. The University's income per m² for non-residential areas has not increased (allowing for inflation) since 2007. This is not because, compared with other metropolitan Universities, our space is poor quality since over 80% of our buildings are at the highest grades, a proportion comparable to or better than our competitors. This suggests there is room for improvement in the way we use our space.

Scope and Purpose

This policy applies to all of the University estate, excluding our residential accommodation. The purpose of the policy is to optimise the use of space.

Space Enhancement and Management Policy Principles

The Space Enhancement and Management Policy sets out the principles, procedures and guidelines adopted by the University to drive optimal use of its estate. The Space Enhancement and Management Policy is governed by the University Strategic Plan 2012-16. Three objectives - Excellence in Education, Excellence in Research and Excellence in Innovation – are defined as the University's core strategic goals.

University Infrastructure (and therein management of space), is one of the three Enablers in meeting the University's strategic goals, and as specified under the Strategic Plan 2012-2016 KPIs and Targets. This states ***“optimise our use of space”*** as one of the core objectives, with the attached strategy of ***“making strides to improve our use of space and deliver increased value for money, by demonstrably improving our learning and teaching estate utilisation via the delivery of the long-term aims of our Timetabling Policy, by reducing the extent of our dispersal across small buildings and by effectively communicating the importance of good space management”***.

The long term goal in Estates Strategy is to occupy the most 'fit for purpose' and cost effective space possible to operate using consolidated and rationalised flexible facilities and improve utilisation including creating appropriate decant space to facilitate strategic estates development.

University Space Enhancement and Management Policy is based on the following principles:

1. The University Space Enhancement and Management Policy determines how the University's physical estate is configured and deployed to optimise the effective and efficient use of its educational, research, innovation, support and other activities to meet our Strategic Goals.
2. As a critical asset, space is to be used in a flexible way to optimise utilisation.

3. Whilst the University is the owner of its physical assets, the management and allocation of space in University buildings is devolved to Colleges and Support Groups, unless special circumstances determine an alternative. Generally, a College or Support group will have responsibility for a whole building.

The Head of College or Support Group is thus responsible for determining space apportionment and use within the compass of the University's Space Enhancement and Management Policy, overall strategy and KPIs.

4. Space usage and allocation is subject to on-going monitoring, review and, where strategically justified, redistribution to maximise benefit to the University, its students and staff as a whole.
5. Colleges, Schools and Support Groups are required to justify space requests on the basis of need, enhancement of the student experience or research/Knowledge Exchange (KE) capability, and improvement in utilisation. Major changes in the use of existing space or its quantity (new buildings, closing buildings, etc.), are subject to a robust business case and comprehensive review at Estates Committee.
6. All general learning and teaching spaces will progressively come under central booking and timetabling. Areas surplus to need will be sequentially re-purposed to support College ambitions such as facilities for student learning, student-staff interactions, staff accommodation and KE.

Space Enhancement and Management Policy Governance

The University's Space Enhancement and Management Policy sets out the principles and governance in the allocation and management of space which reflects:

1. The total amount of space need (demand), as determined by the Strategic Plan and College/Support Group plans.
2. Space Policy KPIs and targets, linked to the Strategic Plan KPIs / targets.
3. University requirements for a change or modification of space requirement, deployment, condition or allocation according to changing circumstances.

Space Enhancement Management Policy is governed, managed and monitored by the Space Enhancement and Management Group (SEMG)

SEMG is accountable for annually reviewing College and Support Group space plans and requirements within the University Space Enhancement and Management Policy.

Space Management Policy Processes

Space Enhancement and Management Policy establishes the processes and procedures for the allocation and management of space on behalf of the University, Colleges and Support Groups. The following policy processes apply:

1. SEMG is responsible for proposing space norms to the University. It is recognised that these are only norms and will not be achievable in some older buildings and inflexible sites or where needs differ.

2. These norms will address standard office, teaching, interaction/social and general laboratory accommodation. More specialised facilities are beyond the scope of SEMG but it is expected that Colleges will monitor their efficient usage.
3. It is proposed that the SEMG uses the timetabling and occupancy tools now available to address the optimal use of general teaching rooms, whether centrally-bookable or otherwise. SEMG has established that it is optimal to have >70% frequency of occupancy of general teaching space during the teaching week.
4. Colleges will drive efficient use of their research space and procedures for research accommodation will be developed to take account of changing practice in management of research areas.
5. Office accommodation is subject to space norms. Again, Colleges and Support Groups are expected to determine optimal usage.
6. Space has a cost and this is recognised in the current NPRAS resource allocation system. It will continue to be recognised in any future resource allocation model (RAM). The intention is for gross floor area to be the measure of space, simplifying calculations and minimising any incentive not optimally to exploit all space.
7. Each of the three Colleges and three Support Groups submit a 3-year rolling plan to reflect the University Strategic Plan 2012-16 and to meet Strategic KPIs and targets and provide an annual space update to SEMG

Benchmarking Data, Space Guidelines and Targets

The following data will be reported to SEMG on an annual basis:

- Gross Internal Area in m² per Student & Staff FTE
- Percentage of building in Functional Suitability Grades 1 and 2
- Percentage of building in Condition Categories A and B
- Planned and survey utilisation data for frequency and occupancy of teaching space
- Ratio of net internal area to gross internal area
- Total income per m² of gross internal area

Office Space Guidelines for new buildings and refurbishments are noted in Appendix

Space Enhancement and Management Group (SEMG) responsibilities

SEMG is responsible for monitoring, reporting and advising the University on the extent to which University buildings and spaces are being utilised in line with KPIs and targets set out in University's strategy documents. It has specific roles in managing general learning and teaching spaces and presaging novel trends in this area. It is informed by estates professionals and leaders of Colleges and Support Groups - SEMG is charged with supporting Colleges and Support Groups to deliver space KPIs.

SEMG reports to the Central Management Group and as appropriate papers covering specific items will be presented to the Estates Committee, Policy and Resources Committee and to Court. Any significant items relating to learning and teaching will be presented to Senate.

Space Enhancement and Management Group will:

- Be responsible for developing and implementing policies to ensure the optimal use of all space (research, learning, academic support and administration, support group) across the University, reflecting the University's strategic goals and targets expressed in the Strategic Plan, the Estate Strategy and the Climate Action Plan, and communicate these policies to the University community.
- Increase awareness that space is an expensive resource and identify and convey the academic, environmental and financial benefits that arise from a strategic approach to effective space management.
- Ensure space enhancement and management policies are explicitly reviewed in project briefs, including driving 'best practice' in learning, teaching, research and other spaces in all relevant developments.
- Ensure learning and teaching spaces are fit for purpose to meet good practices and provide recommendations for enhancement of these spaces. Ensure adequate study space is available to enhance the student experience.
- Collect comprehensive data on all types of space which allow benchmarking against the sector and drive improved performance.
- Develop tools which can assist with managing space internally, provide quality management information, and link to sector-wide developments and external reporting requirements.
- Monitor and analyse requests for space, both increases and decreases, on a regular basis to inform local and general policy.
- Have cognisance of the carbon impact and ensure that carbon emissions are calculated alongside space management requirements and work with colleagues to secure carbon gains from ongoing improvement activities.

Approved by Court 12 May 2014

SEMG Bullet Points above to be endorsed by SEMG 18 February 2015.

OFFICE SPACE GUIDELINES FOR NEW BUILDING AND REFURBISHMENTS OF EXISTING BUILDINGS (m²)

The following are space **guidelines** for office areas by m², developed both through the SMG:UK project, and analysis and discussions with other Higher Education Institutions. The areas per m² are not prescriptive and will vary dependant on the Academic or Support Group specific requirements and qualitative matters. For full terms of reference, the Space Assessment Model including the detail for all m² areas by School are available at <http://smg.ac.uk/AUDE%20Toolkit.html>

These figures apply to both Academic and Support groups across the University Estate.

| SPACE | m ² per person |
|---|---------------------------|
| Academic and Single Occupancy cellular office If a single occupancy office is requested, a statement of business need is required (unless the physical constraints of a particular building does not allow scope for either open plan or shared office areas) | 11.0 |
| Open Plan office Where possible, Open Plan areas should be developed. Benefits of open plan areas include flexibility to adapt layouts quickly for changes in staff numbers/job requirements. Also provides better efficiencies on Utilities / Building Maintenance, which in turn allows University funding to be directed to the specific requirements to the provision of appropriate Teaching and Research facilities. | 7.5 |
| Shared Cellular Office Where open plan proposals are not viable, due to either physical constraints within the building, or specific business requirements, shared cellular office space should then be considered. It is advised that where possible, larger office areas should be developed, for the same principles promoted under the open plan office guidance above. | 4.5 to 7.5 |
| Postgraduate Research Space Where possible an open plan layout or large shared cellular office layout should be provided. | 4.5 |



CENTRAL MANAGEMENT GROUP

4 March 2015

Report from Fee Strategy Group

J

Description of paper

1. This paper sets out the recommendations for tuition fees from the Fee Strategy Group meeting of 13 February 2015 which CMG are invited to endorse.

Action requested

2. For information and to approve the tuition fee proposals noted in the document.

Recommendation

3. We recommend that CMG approves the tuition fee proposals set out in the paper in paragraphs 5, 7, 9, 11 and 13.

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

Risk Management

15. The proposals for fee rates included in the papers takes into account the institution's appetite for financial risk as well as student experience and reputation.

Equality & Diversity

16. Equality and diversity issues are considered as part of the on-going monitoring of fee levels by the Fees Strategy Group and its Secretary.

Next steps/implications

17. Once endorsed, the fees will be published by Scholarships and Student Funding Services and on School and other websites.

Consultation

18. The paper has been reviewed by Tracey Slaven, Deputy Secretary Strategic Planning

Further information

19. Further information can be obtained from Peter Phillips, Deputy Director of Planning, GaSP (tel: 50-8139, email: Peter.Phillips@ed.ac.uk)

20. Author

Peter Phillips, Deputy Director of
Planning
Governance and Strategic Planning
2 March 2015

Presenter

Tracey Slaven, Deputy Secretary
Governance and Strategic Planning

Freedom of Information

21. This paper should be closed as disclosure would substantially prejudice the commercial interests of the University. The paper should be withheld until the fee rates are published.



CENTRAL MANAGEMENT GROUP

4 March 2015

College of Science and Engineering: Proposals for Chair Establishment and Changes

Description of paper

1. The School of Biological Sciences wishes to re-name the Chair of Epigenetics as the Waddington Chair of Epigenetics. The School also wish to remove the title Waddington Chair of Systems Biology from the records. The School of Informatics wishes to establish a new Chair in Cyber Security and Privacy.

Action requested

2. The Central Management Group is asked to approve the establishment, re-naming and removal of these Chairs for the College of Science and Engineering as noted above.

Recommendation

3. That CMG approve:

- The establishment of a Chair of Cyber Security and Privacy for the School of Informatics
- The re-naming of the Chair of Epigenetics as the Waddington Chair of Epigenetics for the School of Biological Sciences
- The removal of the Waddington Chair of Systems Biology from the records

Background and context

4. The process to create, re-name or remove substantive Chairs requires CMG approval. In taking this forward, Schools need the approval of their Head of College, outlining in full the financial implications and reasons for the request.

Discussion

5. *Waddington Chair of Epigenetics*

The Chair of Epigenetics is a strategically critical appointment within the School of Biological Sciences, as it is central to a long-term plan to re-organise its estate and relocate research activities to delivery synergies; Epigenetics is one of the headline 3 research themes that will be needed to draw together many of their activities. The holder of this post should have the stature and qualities to lead this theme and be a focus around which inter-disciplinary research and teaching is built. A recent round of recruitment failed to appoint a Chair of Epigenetics and the School feels that the added stature afforded to the post by re-naming it after Conrad Waddington (Professor of Genetics at the University of Edinburgh from 1945-1975, who coined the term 'epigenetics') will ensure that they are able to attract the right calibre of candidate.

6. *Chair of Cyber Security and Privacy*

The School of Informatics has identified the need to consolidate, widen and deepen existing research, teaching and outreach activities across cyber security and privacy, and this appointment will complement existing strengths and bring senior leadership to a key area. The Chair will contribute to building the Cyber Security and Privacy

Research Centre, foster strong connections with other Schools and industry, and bring broader intellectual leadership to the overall area of cyber security. They will contribute to the dissemination of knowledge among the academic research community and beyond, including within the University's own governance and operational policy, as well as advising externally, and extend the academic curriculum in Informatics and other subjects to include appropriate content in online and digital security and privacy topics. There is currently a window of opportunity to establish the University of Edinburgh as an international leader in Cyber Security and Privacy research and education allowing us to win funding, produce excellent research, have impact on industry and spin out cyber companies, achieve high-profile publicity on media-friendly topics, and influence government and international policy and standards.

Resource implications

7. The foundation of the Chair of Cyber Security and Privacy has been included in Informatics' annual plan, and approved by the College. The plan identifies significant opportunities for grant capture and commercial income in this area, to ensure sustainability. Similarly, the approval for appointment to the Chair of Epigenetics has already been given. The funding for both these Chairs will come from the core budget of their respective Schools.

Risk Management

8. There are no significant risks associated with the establishment, re-naming or removal of these Chairs within our College.

Equality & Diversity

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

Next steps/implications

10. If these proposals by the Schools of Informatics and Biological Sciences are approved, Resolutions will be drafted to formally establish, re-name and remove the three Chairs as noted above and the appropriate recruitment actions will be progressed.

Consultation

11. As Head of College, Vice Principal Professor Yellowlees has confirmed that she is content with the paper.

Further information

12. Further information about the proposals can be supplied by the relevant Head of School; Professor Johanna Moore (Informatics) and Professor David Gray (Biological Sciences).

Author

13. Diane Morrow
College HR: CSE

Presenter

Vice-Principal Lesley Yellowlees
Head of College of Science & Engineering

Freedom of Information

14. This paper can be included in open business.



Central Management Group

4 March 2015

Principal's Strategy Group

Committee Name

1. Principal's Strategy Group (PSG)

Date of Meeting

2. 23 January 2015 and 23 February 2015

Action Required

3. Provided for information

Key points

4. Among the items discussed were:

a) PSG considered the analysis of the REF 2014 results in detail and made a number of observations relevant to preparation for REF 2020.

b) PSG discussed the current public funding scenario and implications for the University and noted that a group had already been convened to consider opportunities to increase efficiency across the University.

c) PSG considered proposals and the breadth and depth of the University's activity in community engagement. It was felt that the University's contributions should be used as the basis for an increased number of positive local news stories.

d) PSG considered the pros and cons of a base in London. The Director of Corporate Services was tasked with pulling together a business case for further consideration.

e) Mr Gavin Douglas updated PSG on the funding short-fall for scholarships in 2015-16 due to a decrease in the amount of unrestricted funds raised through philanthropy and the plans to remedy this in the short and medium term.

f) PSG endorsed the proposed Student Recruitment Strategy review being undertaken by the Senior Vice-Principal and Student Recruitment and Admissions.

g) PSG noted updates from Mr Phil McNaul on the Scottish Funding Council Efficient Government Return 2013-14 and the Russell Group Financial Benchmarking 2013-14.

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 N Helliwell

Principal's Office

24 February 2015

Freedom of Information

8. Open Paper



CENTRAL MANAGEMENT GROUP

4 March 2015

IT Security Update

Description of paper

1. The purpose of this paper is to update CMG on current security issues and what steps are being taken to address these.

Action requested

2. To note and comment.

Recommendation

3. CMG is asked to comment on whether it believes the risk is being adequately managed; and for future actions if necessary.

Background and context

4. This paper was presented to the February 2015 meeting of the Risk Management Committee, following discussion of IT security issues covered in the Major IT Services 2013/14 report presented to the October 2014 meeting of RMC. This paper has been updated to reflect Court approval of the Information Security Policy, which is attached as Appendix B. This paper will be presented to Audit and Risk Committee on 26 February 2015.

Discussion

5. Security risks are always present. A number of incidents over the past two months have given a timely reminder that the whole environment does not stand still. The emergence of viruses which change their signature on what can be a daily basis, now means that we cannot assume that protecting a user's desktop with traditional anti-virus software will be sufficient. The University will have incidents, and our procedures and practices evolve with the intelligence gained after each event. This enables the institution to deal with each situation as effectively as possible.

6. The history and impact of the most recent virus incident has been reported to Knowledge Strategy Committee and a copy of this report has been attached as Appendix A.

Future Proofing

7. One area where the University is falling behind best practice is that of deploying an Incident Detection System (IDS), and potentially to extend this to provide more active security through an Incident Protection System (IPS). An IDS would monitor network traffic and identify concerning network activity for investigation. An IPS would act to block the concerning event. The lack of our use of these systems has been noted and has been flagged up in planning rounds in the past years. The recent IT Infrastructure review produced a costed five year roadmap for IT Infrastructure investment. The roadmap recognised the requirement for investment in this area, with a project over 16/17 and 17/18 to purchase and deploy these systems. Recent review has determined the need to bring this investment forward to 15/16 and this is under discussion. The deployment of these systems is not trivial and in themselves

is not a fool proof method of preventing attacks. However, they would provide more timely information on an incident and a method of responding more surgically to such incidents.

8. One particular lesson for the recent incidents is that our anti-virus screening was not as robust as it could have been. Since then we have reviewed the procedures and changed the 'quick scan' (which scanned a file only when accessed) over to a 'full scan' (which looks at all files) for all supported machines on a weekly basis. IS has also advised more vulnerable areas, such as finance, on how to change the default over to a daily full scan. A further review meeting is about to be held where IS will review how effective the weekly full scan has been and whether we should change the frequency or take other steps to help detection.

9. It must be pointed out that this can only be actioned on supported machines and the very large number of unsupported machines is a significant unknown as to their risk within the institution. However, the culture of the institution would make adoption of a single centrally supported desktop environment difficult to achieve.

10. In either the case of supported or unsupported systems, the need for user education and the message for the need to maintain security needs to be emphasised through the Heads of School as the main cause of incidents is user behaviour, e.g. via opening infected attachments.

11. IS has recently completely revamped the security pages of the website and work will continue to provide the best possible advice for users

Using Technology to Enforce Best Practice

12. One of the significant risks when a device, laptop, tablet, phone, is lost is that the email cached on the device can contain a significant number of sensitive attachments. Although a user can control what files they have in a mobile device they have less control over what others send them.

13. The ability to share files easily in the institution has always been an issue as file systems tend to be local to an area whereas files tend to be shared between areas, for example from central HR out to individuals in a school. Achieving the correct permissions in such a case without exposing files to a far wider population than requires careful consideration.

14. New technologies are available, that should file sharing much easier, and remove the need to send sensitive attachments via email. IS provide central file storage via DataStore, and development is currently underway to provide an easy to use file sharing mechanism that should be particularly attractive to researchers. One of the features of the Office 365 agreement with Microsoft is the provision of significant shared data space for all users of the system, via OneDrive. This service may be more attractive for corporate user file sharing. In both these cases, IS will need to provide the relevant advice to effectively use these technologies but their use should make the institution much less prone to loss of significant sensitive information when a device is lost.

User Authentication

15. It has been recognised that there is a need to enhance the user authentication method to EASE. The majority view has been that this should be for the most sensitive applications that we run but there is a minority view that it should be for all EASE logins.

16. The most sensitive application area that has been identified is Student Systems where the loss of a single academic's credentials could lead to the theft of the entire student record. Although finance and HR are also extremely sensitive, the recent fraud attempt with Santander has demonstrated that the loss of a single credential is not sufficient to enable such a fraud, and access to information in these systems is more granular with users only able to access information relevant to their area.

17. The current proposal is that a second challenge be instituted which will ask for three random letters from the secret word that a user has provided. This would initially be implemented for authentication to the Student Systems.

18. There are still significant challenges to be overcome, in particular with adequate security over the setting or changing of this secret word. Oversight of this development is by the Security Working Group and ITC, and further progress reports will be provided to ITC over the next few months. The second challenge is expected to be implemented in May 2015.

Policy Updates

19. An updated Information Security Policy has recently progressed through the ITC Security Working Group, to Information Technology Committee and Knowledge Strategy Committee. This update highlights the additional risks associated with mobile computing and off-site working. This policy was approved by Court on 9th February 2015.

Resource implications

20. There are no direct resource implications for the Audit and Risk Committee but there are implications for the investments proposed in the planning round.

Risk Management

21. Without adequate investment in the area the University seriously risks security incidents that will either bring substantial fines or will cause significant reputational damage.

Equality & Diversity

22. Equality and diversity have been considered and there are no implications.

Next steps/implications

23. The Information Technology Committee, overseen by both the Knowledge Strategy Committee and the Audit and Risk Committee, receive regular reports on progress.

Consultation

24. This paper was considered by Risk Management Committee on 2 February 2015 and the Information Security Policy was approved by Court on 9 February 2015. This paper to be presented to Audit and Risk Committee on 26 February 2015.

Further information

25. The following can provide more information

Author

Brian Gilmore

Chief IT Security Officer

12 February 2015

Freedom of Information

26. Paper is open

Appendix A – Report to KSC, January 2015

Security Update

There have been two security incidents of note since the last KSC meeting:

1. an email that should have only been sent to a single student was sent in error to about 30 individuals. This kind of user error is not something that we can prevent at a system level.
2. a virus infestation that has had significant and serious consequences that are still ongoing. As a result we have changed our anti-virus recommendations, settings in the University supported desktop and some of our network monitoring. We need to further review the situation once these initial measures have had time to bed in. The following text is a more detailed description for information/interest.

On around the 28th November an email attachment was opened by a user triggering a virus. This email did not come through the University email system but once triggered was able to read the user's address book and emailed itself to a large number of University users. These emails, containing the virus attachment, appear to come from another University user therefore are much more likely to be opened, hence spreading the virus further, than an email from an external source. This led to a significant number of infected machines in the institution. Once this was reported a block was placed in the email relays to prevent it spreading further.

This particular virus is particularly difficult to detect as it is built to constantly change its signature. This means that there is always a possibility of the virus getting activated before the anti-virus software has been updated to detect the signature. A review was made, however, of our anti-virus procedures and a decision taken to change to forcing a full scan on all supported machines on a weekly basis instead of the previous 'quick scan'.

This provides reasonable security for our supported desktops. However, users still have to be educated to not open attachments on emails unless they are sure of the originator. What we cannot give any protection against, apart from advice which has recently been completely updated, unsupported machines in the institution. At best guess there are about 50% of the machines which are unsupported and for which we are dependent upon the users themselves being far more vigilant than those who run a supported desktop.

This particular virus also has a further feature which has significantly increased the damage caused. On activation, it calls back to a 'home' (or which there are many) and downloads further Trojans or spambot software. In this case a banking Trojan called Dridex was downloaded onto at least 5 desktops. In four of those cases there is no evidence that the Trojan was actually activated. In the fifth case, in a desktop in Informatics, the Trojan would have appeared to have activated and stole a name and a password which was then used in an attempt to cause a fraudulent transaction. The normal finance safeguards stopped the transaction and the University was alerted to the incident by Santander.

This Trojan also changes its signature, to the extent that it is believed that it creates a signature that is unique to the system it is on. Thus, the anti-virus software is not capable of picking it up and at the

time of writing this report new incidents are being picked up by monitoring the network traffic as it attempts to call 'home'.

IS will perform a further review to see what new lessons can be learned and whether new steps need to be taken though within the constraints of the University environment our controls have kept the incident within reasonable bounds.

Brian Gilmore, Chief IT Security Officer

12th Jan 2015



Information Security Policy

This policy recognises that a core aim of the University is the dissemination of knowledge, and that any policy will fail if it assumes that access to that knowledge must, by default, be denied.

Instead, our concern is with ensuring that the steps taken to ensure the integrity of our information and, where necessary and appropriate, its confidentiality, are both proportionate and effective.

1. Introduction

1.1 The aims of this Information Security Policy are to:

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

1.2 This document includes a glossary which clarifies (and partly redefines) the meanings of words like "user" and "system owner". For the avoidance of doubt, when such words are used in this document, it is the meaning described in the glossary that is intended.

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

1.4 This policy provides overall management direction for information security across the University. 'Codes of Practice' (CoPs) have been published for individual key services, by the teams responsible for those services. These CoPs should be considered as part of this policy with references to such services.

1.5 Other CoPs will be developed for new services that come in to use.

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

2. Policy Authorisation and Compliance

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

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

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

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

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

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

The Head is responsible for IT systems in any subsidiary unit, for example, associated Institutes, research groups and multi-disciplinary organisations within the line management.

A definitive list can be found at <https://www.org.planning.ed.ac.uk/browser/>

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

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

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

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

3. Security Criticality

3.1 For security purposes, the level of criticality depends on the system concerned. Criticality is an assessment of the impact and likelihood of a security failure for a particular system.

When assigning a level to criticality, issues that should be considered include, but are not limited to: inconvenience, distress or damage to personal reputation, financial loss, harm to organisational programmes or reputation, legal violations and personal safety.

3.2 This policy contains requirements across the range of "low", "medium" and "high" criticality systems.

3.3 Individual system controllers should determine the criticality of their system as part of a general risk assessment process. This process should also consider system dependencies - any system upon which the security of a high criticality system depends is also a high criticality system, regardless of its own nature.

4. Information Security for All

4.1 General

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

4.2 Information Handling

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

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

4.2.3 All users must ensure they comply with the guidance for users for the appropriate services in relation to physical security.

4.2.4 It is the responsibility of system owners to ensure appropriate compliance guidance for users is provided. This guidance is derived from the relevant Code of Practice. (See 5.1.4)

4.3 Mobile Working, off-site working, and use of unsupported computers

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

4.3.2 Users who work using equipment outside the University and/or remove data from the University must be aware of the additional risks and take appropriate steps to mitigate them. [See the policy on the storage, transmission and use of personal data and sensitive business information out with the University computing environment](#) in in the regulations and policies part of the Information Security Website. Advice on security for mobile devices can be found at www.ed.ac.uk/is/security

4.3.3 Users of unsupported or personally owned devices should comply with relevant policies published on the Information Security website

4.3.4 When accessing services from unsupported, mobile, or personally owned devices, users should take particular care to ensure they minimise the risk by following all the relevant policies including Mobile Data Security and the Guidelines for the specific service that they are accessing. Advice on remote working can be found on the Information Security website

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

5. Information Security for System Owners and System Controllers

5.1 General

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

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

5.1.3 It is the responsibility of a system owner whether a central system or a school/college system, potentially in conjunction with a system operator, to produce a risk assessment for their system.

5.1.4 It is the responsibility of the System Owner to ensure that users are provided with appropriate guidance for users to enable them to comply with sections 4.2.2 and 4.2.3

5.1.5 It is the responsibility of The Head of School or Support Unit to maintain a register of at least their medium and high critical information systems. As a minimum, this register should contain a unique identifier for each information system, a business contact, an assessment of risk from the range "low", "medium" and "high" and an indication if Code of Practice has been produced. A template to assist in constructing a Code of practice can be found in the regulations and policies part of the Information Security Website. Following a request by the Head of School, a Head of College may elect to maintain the register for a specific business area.

5.1.6 Information and guidance for the production and maintenance of Codes of Practice can be found in the regulations and policies part of the Information Security Website.

5.2 Operations

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

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

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

5.3 System Planning and Development

5.3.1 The information assets associated with any new, or updated, high criticality service must be identified, classified and recorded and maintained within its Code of Practice.

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

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

5.4 Systems Management

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

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

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

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

5.4.5 Formal change control procedures, with audit trails, shall be used for all changes to high criticality systems.

5.4.6 Security event logs, operational audit logs, error logs, transaction and processing reports must be properly reviewed and managed by the system controller.

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

5.5 Network Management

5.5.1 A register of known externally facing services is used to configure the University network perimeter firewall. This firewall blocks much of the Internet noise and low level vulnerability probing attacks but ingress to the registered services.

5.5.2. Units or Schools maintaining their own sub-network firewall may apply to opt out from protection via the University network perimeter firewall according to 5.4.4 below.

5.5.3. In addition to the perimeter firewall, some network ranges hosting the University's most critical services, or hosting data services that are not consumable outside that network sub-range are protected by port-blocking or an additional firewall.

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

5.6 Business Continuity

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

5.7 Outsourcing and Third Party Access

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

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

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

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

5.8 Incident Reporting

5.8.1 All security incidents must be handled as described in the Information Security Incident Management Policy to be found in the University Information Security Website. This describes how to report security incidents, data protection breaches and suspected security weaknesses in the University's systems. It also describes the mechanisms in place to monitor and learn from those incidents. Anonymous reporting is allowed where it is in line with University policy.

Glossary/Definitions

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

| Revision Date | Policy Version | Author | Notes |
|---------------|----------------|--------|------------------------|
| 7 Aug 12 | V1.1 | BG | General Update |
| 19 Sep 12 | V1.2 | BG | Following IT Sec WG |
| 4 Oct 12 | V1.3 | BG | Following ITC on 4 Oct |
| 26 Oct 12 | V1.4 | BG | Following comments |
| 16 Nov 12 | V1.5 | BG | Following CMG, KSC |
| 16 Jul 14 | V2.0 | BG | |

| QA Date | QA Process | Notes |
|-------------|-----------------|-------------------------|
| 10 Dec 2012 | ITC, CMG, Court | Final approval by Court |
| | | |
| | | |

| Suggested date for Revision of the Policy | Author |
|---|--------|
| 2016 | BG |
| | |
| | |



Central Management Group

4 March 2015

Sixth Annual EDMARC Report

Description of paper

1. The paper presents the sixth report from the Equality and Diversity Monitoring and Research Committee (EDMARC) reports on students and staff data for the University of Edinburgh.

Action requested

2. CMG is asked to note the paper.

Recommendation

3. The paper is presented for information.

Background and context

4. This report focusses on staff and student data for 2013/14 and looks at the equality dimensions of gender, disability and ethnicity for undergraduate, taught postgraduate and research postgraduate students and for academic, research-only and professional services staff.

Discussion

5. The Executive Summary identifies the main points from the staff and student reports. The full reports can be obtained from the following link:

<https://www.wiki.ed.ac.uk/display/UCC/Central+Management+Group>

Resource implications

6. None.

Risk Management

7. None.

Equality & Diversity

8. Implications for equality and diversity will be considered by the Equality Management committee as well as the work of the Athena Swan and Race Charter working groups.

Next steps/implications

9. The EDMARC report will be presented to the Equality Management Committee and then to Court for formal approval. Information contained in the report will inform the forthcoming Institutional Athena Swan silver application and Race Charter application and the Equality Outcomes Progress Report as well as the monitoring report for the Equality Outcomes.

Consultation

10. The attached report has been reviewed by the EDMARC Committee.

Further information

11. Further information can be obtained, if required, from Kevin Harkin in GaSP.

Authors

Professor Jane Norman, Chair of EDMARC
and Vice Principal for Equality and Diversity
Kevin Harkin, Management Information Analyst,
Governance and Strategic Planning
25 February 2015

Freedom of Information

12. This paper is open.



EQUALITY AND DIVERSITY MONITORING AND RESEARCH COMMITTEE (EDMARC)

SIXTH REPORT EXECUTIVE SUMMARY

1. Introduction

The sixth EDMARC report provides analyses of student and staff data by the key equality dimensions of gender, age, disability and ethnicity. The report supports the monitoring of equality and diversity within the University of Edinburgh.

This summary identifies the main points from the staff and student reports. The full reports can be obtained from the following weblink,

<https://www.wiki.ed.ac.uk/display/UCC/Central+Management+Group>

or by contacting Kevin Harkin in Governance and Strategic Planning, telephone: 0131 651 4578 or email: Kevin.Harkin@ed.ac.uk.

The University intends to apply for an institutional Athena Swan Silver Award and an Equalities Challenge Unit Race Charter Award, both submissions due in April 2015. These submissions will concentrate on gender and race issues respectively in more detail than the EDMARC report does, and the findings and action plans will be published on the Equality and Diversity website in due course.

2. Students

2.1 Undergraduate

Intakes of female students remain consistent across the period, 61.7% of undergraduate (UG) entrants were female in 2013/14. There remains gender differences between colleges (linked to subject differences) with both the College of Humanities and Social Sciences and the College of Medicine and Veterinary Medicine consistently having between 63% and 68% proportion of female UG entrants and the College of Science and Engineering having between 39% and 46% female entrants. The large majority (81%) of our entrants continue to be 21 or under on entry, with the relative decrease seen from a peak of 89% in 2008/09 maintained in 2013/14. The proportion of undergraduate students with a registered disability continues to rise and is 10.0%.

At 7.7%, the overall proportion of UK-domiciled ethnic minority undergraduate entrants has remained close to that in 2012/13 (7.9%), which was the highest level recorded by EDMARC. Analysis of ethnicity data from peer groups shows that the University of Edinburgh has a similar proportion of BME entrants in comparison to other institutions in Scotland although is some way off the proportion of BME entrants to Russell Group institutions (17.6%).

For the analysis of undergraduate outcomes, we use the proportion of entrants who exit with an award as the measure. Overall, and consistently over the last ten years, there is no statistically significant difference between the successful outcomes of male and female students. Male students are more likely to withdraw from their programme of study and overall females are more likely to achieve a first class or upper second class degree than males, although this pattern is not seen in all schools, with some showing a broadly even level of attainment between genders and in some schools in some years this is reversed, with males doing better than females.

For the current year the outcomes of entrants who register a disability was slightly lower (4.6%) than the group with no declared disability although the gap between the two groups proportion that achieved a 1st or 2.1 honours degree has closed. There has been a slight divergence of achievement for UK-domiciled ethnic minority students where the proportion of students achieving a 1st or 2.1 honours degree has been lower for the last two years. EDMARC will continue to monitor this data for any emerging trends in conjunction with the work done for the Race Charter submission.

2.2 Postgraduate Taught

The overall proportion of female entrants in 2013/14 was 62.3%, which is the highest level recorded by EDMARC. Subject differences remain at postgraduate taught level, with the College of Humanities and Social Science attracting the highest proportion of female entrants. Since 2006/07 the proportion of PGT entrants with a registered disability has increased from a low of 3.5% in 2006/07 to 4.9% in 2013/14. The proportion of UK-domiciled entrants from an ethnic minority background has increased from 5.5% in 2002/03 to 11.0% in 2013/14. Outcomes of PGT entrants show that female students are slightly more likely to have a successful outcome from their programme of study. There is little difference between the outcomes of disabled and non-disabled entrants.

2.3 Postgraduate Research

For Postgraduate Research entrants the proportion of female entrants is 49.6% although there remain subject gender differences between the colleges with CHSS and CMVM having a majority intake of female students. The proportion of entrants registering a disability is slightly higher than last year at 5.7%. The proportion of UK-domiciled entrants from an ethnic minority background is 9.8%. There is no difference between the successful outcomes of women and men on Postgraduate Research programmes. Students who do not declare a disability are slightly less likely to successfully complete their programme. For 2013/14 students from an ethnic minority background were less likely to successfully complete their programme, and EDMARC will monitor this going forward.

2.4 Comparison data

Peer group comparison with Russell Group and institutions in Scotland is provided for the dimensions of gender, disability and ethnicity. The proportion of female entrants for first degree, postgraduate taught and postgraduate research are all above the Russell Group average. The University of Edinburgh has one of the highest proportion of students

declaring a disability in the Russell Group at UG level, but at PGR level it is one of the lowest. Comparisons for ethnicity show that Edinburgh has a slightly lower proportion of UK-domiciled students from ethnic backgrounds compared with other institutions in Scotland, and a much lower proportion than Russell Group average at every level of study. Edinburgh's participation in the Race Charter Mark aims to identify how participation of BME students and staff can be improved.

3. Staff

3.1 Academic Staff

Staff data is a snapshot of the staff database, as at 31 July 2014. There remains an under-representation of women in senior academic posts. For academic staff in grade UE09, 35% are women and 22% of grade UE10 staff are women. For staff on fixed-term contracts, there is no gender difference for research-only staff although for the total academic staff population, female staff are more likely to be employed on a fixed-term contract. This pattern has not changed significantly over the last six years. . UK and non-UK BME staff are each more likely to be on a fixed term contract than their white counterparts.

The proportion of UK-nationality staff from an ethnic minority background is 5.9% and for those staff from outside the UK it is 24.5%, both of which show a general upward trend since 2008/09. The University of Edinburgh has a higher proportion of UK-nationality staff from ethnic minorities than the average for other institutions in Scotland. Ethnic minority academic staff are more likely to be employed on a fixed-term contract than a white academic member of staff. This pattern has not changed significantly over the last six years for academic staff overall, although the gap has narrowed for research staff.

3.2 Professional Services Staff

For Professional Services Staff there remains a lower representation of women in higher grades UE08 and UE10 with 31% of posts at grade UE10 occupied by women. For the first time this year the proportion of women in grade UE9 has breached 50%. When compared to the proportion of women in academic posts, women are better represented in the higher grades for professional support staff; in grade UE10 only 22% of academic posts are women compared with 31% for professional support staff. At UE09 women are better represented in professional support posts with 51% female compared with 35% for academic staff.

The proportion of UK nationality ethnic minority professional support staff is 2.6%, with a general upward trend observed since 2008/09. For non-UK nationality staff the proportion of professional support staff from an ethnic minority background was 24.8% in 2013/14. Comparison with other institutions shows that the University of Edinburgh has a higher proportion of ethnic minority professional support staff than other Scottish institutions.

Consistently over the reporting period there is a slightly higher proportion of female Professional Services Staff on fixed term contracts.

3.3 Disability

Staff declaring a disability are presented here separately and at an aggregated University level as the figures are too small to be split by staff type and college and support group. The overall headcount of staff declaring a disability has risen from 98 in 2008/09 to 250 in 2013/14. To ensure that provision of support meets the need, the University is working with the Disabled Staff Network to encourage staff to declare disabilities when the next staff survey is issued.

3.4 Specific Duties from the Equality Act

To meet the Specific Duties for public bodies in Scotland, figures on sexual orientation and religion are included in the EDMARC report. In 2013/14 the number of staff declaring their religion or belief was 3,182 and 9,345 were unknown. 57% of those declared were of no religion. The number of staff declaring their sexual orientation was 3,182 and 9,345 were unknown. 87% of those declared were heterosexual. Full breakdowns of the figures are available in the EDMARC report.

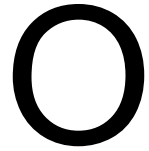
4. EDMARC actions

Following the publication of this EDMARC report, student data will be made available to all Colleges and Schools within the University and will also be made public on the Equality and Diversity website to create greater transparency. By providing a greater granularity of data on entry profiles, it is hoped that the information will be used to inform any further analysis Schools may wish to take forward.

*Professor Jane Norman, Chair of EDMARC
Kevin Harkin, Governance and Strategic Planning
February 2014*



4 March 2015



Report from the Meeting of Health and Safety Committee, November 2014

Description of paper

1. This paper summarises discussions at the meeting of the University Health and Safety Committee, held on 18 November 2014.

Action requested

2. CMG is asked to note the main topics considered by the Health and Safety Committee at its last meeting.

Recommendation

3. No action is required by CMG. The Committee should take assurance from the summary provided that the University Health and Safety Committee is bringing the expertise of its members to bear on the significant current health and safety issues, which may potentially affect the University's activities.

Paragraphs 4 – 27 have been removed as exempt from release due to FOI.

Risk Management

28. The measures outlined above all serve to reduce risks relating to both the University's personnel and estate, in line with the University's low risk appetite relating to this accidents and incidents, and non-compliance.

Equality & Diversity

29. Equality and diversity are integral to disabled evacuation issues; the potential for a Staff Disability post is very welcome, as it is anticipated that this could contribute greatly by providing a focus for staff disability issues, which is currently lacking.

Next steps/implications

30. Health and Safety Committee will oversee progress on the items noted above, reporting as appropriate to CMG and Audit and Risk Committee.

Consultation

31. The full minutes of the November Health and Safety Committee meeting have been circulated to members and posted on the Committee intranet. This paper was considered by Audit and Risk Committee at its meeting on 26 February 2015.

Further information

32. Further information is available from the paper author: Alastair Reid, and/or the Director of Corporate Services.

Author

Mr Alastair Reid
Director of Health and Safety
Health and Safety Department
18 February 2015

Presenter

Mr Hugh Edmiston
Director of Corporate Services

Freedom of Information

33. This paper is closed as its disclosure would substantially prejudice the commercial interests of any person or organisation.