



THE UNIVERSITY of EDINBURGH

CENTRAL MANAGEMENT GROUP
Raeburn Room, Old College
16 June 2015, 10 am

AGENDA

- 1 **Minute** A
To approve the minutes of the previous meeting held on 19 May 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 **Alan Turing Institute** Verbal
To receive an update by Vice Principal Professor Kenway
- 5 **SRUC** Verbal
To receive an update by Director of Corporate Services
- 6 **Collaborative Provision Guidance Project** B
To consider and approve the proposals by Deputy Secretary (Student Experience)
- 7 **Complying with Consumer Law** C
To consider and approve the proposals by Deputy Secretary (Student Experience)
- 8 **Search Engine for Fundraising** D
To consider and approve the paper by Chief Information Officer
- 9 **Delegated Authorisation Schedule** Withdrawn
To consider proposals by Chief Internal Auditor
- 10 **Annual Review** F
To receive an update by Vice Principal Professor Norman
- 11 **Financial issues**
To consider and note the reports by Director of Finance
 - Finance Director's Report G

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

- Finance Strategy Update H
- Ten Year Forecast I
- Estates Funding Strategy J

ROUTINE ITEMS

- 12 Internal Audit Status Report** K
To note a report by the Chief Internal Auditor
- 13 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.)

- 14 Strategic Plan 2016-2021 Update** L
To note
- 15 Internal Audit Annual Plan** M
To note
- 16 Meeting Dates 2015/16 and 2016/17** N
To note

Date of next meeting

Tuesday, 1 September 2016 at 10.00 am in Raeburn Room, Old College



CENTRAL MANAGEMENT GROUP

19 May 2015

Minute

- Present:** University Secretary, Ms S Smith
Vice-Principal Professor S Rigby
Vice-Principal Professor A Morris
Vice-Principal Professor C Breward
Mr H Edmiston, Director of Corporate Services
Ms T Slaven, Deputy Secretary, Strategic Planning
Mr P McNaull, Director of Finance
Mr G Jebb, Director of Estates
Mr G McLachlan, Chief Information Officer
- 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
Dr C Martin, on behalf of Vice-Principal Professor D Miell
Professor C Clarke, Head of School of Health in Social Science
Ms L Chalmers, Director of Legal Services
Dr I Conn, Director of Communications and Marketing
Mr D Gorman, Director of Social Responsibility and Sustainability
Mr G Douglas, Deputy Secretary, Student Experience
Mr B MacGregor, Director of User Services Division
Ms K Graham, Deputy Head of Court Services
- Apologies:** The Principal
Senior Vice-Principal Professor C Jeffery
Vice-Principal Professor J Seckl
Vice-Principal Professor J Smith
Vice-Principal Professor Yellowlees
Vice-Principal Professor D Miell
Vice-Principal Professor R Kenway
Vice-Principal Professor Sir John Savill
Vice-Principal Professor M Bownes
Vice-Principal Professor J Haywood
Vice-Principal Professor J Iredale
Vice-Principal Professor S Welburn
Vice-Principal Professor J Norman
Ms Z Lewandowski, Director of HR

2 Principal's Communications

University Secretary Ms S Smith, on behalf of the Principal, reported on the following: the student occupation of Charles Stewart House, with CMG noting its concern for the two staff members injured and appreciation of staff maintaining business continuity; the recent Strategic Dialogue Meeting with SFC; the publication of consultation responses on the Scottish Government's proposed Higher Education governance legislation, with a draft Bill anticipated in June; the successful EUSA teaching awards; the Principal's recent successful visits to India and Chile; the University's submission of a consultation response to Sir Paul Nurse's review of research councils.

SUBSTANTIVE ITEMS

3 Potential Opportunity with Medical and Healthcare Industry of China (SAMHIC)

Paper E

CMG noted a commercial opportunity for the phased and collaborative delivery of education to healthcare professionals employed by partner private healthcare providers within the Strategic Alliance for the Medical & Healthcare Industry of China (SAMHIC). The opportunity was in line with the University's Strategic Vision 2025 for a more international student body, deep international partnerships and strong and vibrant communities within and beyond the University.

A delivery consortium had been established comprised of three parties; the University of Edinburgh, the University of Dundee and SAMHIC and a tripartite Memorandum of Understanding between the consortia partners had been drafted following appropriate legal advice.

During discussion, CMG expressed support for the proposal, noted the opportunity for cross College involvement and agreed the importance of ensuring due process was followed within the University governance framework. The next stage was finalisation of a full business case and associated contracts for each delivery phase for review by Policy and Resources Committee prior to final approval being sought from Court with parallel approval required by Senate via the appropriate Committee.

4 SRUC

CMG noted the ongoing due diligence process with the intention of submitting a detailed business plan for consideration by the Sub Group of Court and ultimately Court for a decision on progressing the proposed strategic alliance with SRUC.

There was discussion around pension liabilities, capital and estates, academic and associated development issues. The issue of the investment of staff resource in developing the business plan was noted and the implications of this continuing into any implementation phase. CMG agreed on the importance of a planned implementation that factored in all associated costs, if the proposed alignment was approved.

5 Draft Final Plans

Paper B

CMG noted the final draft plans and that PSG, PRC and Court had approved in principle the strategic approach to surplus generation in 2015/16 of around 1.3% of turnover (£10-12m), in order to absorb the cut to the Research Excellence Grant and enable the University to grow through the financially challenging period. It was noted that this was to be seen as a strategic deviation, not a change in overall strategy, with the expectation that over the three year period the University would build back to its strategic aim of an operating surplus of 3% of turnover.

The focus now was on hardening the plans for years two and three on a base case of an improved surplus projection and there would be further discussions with colleagues to assist in this. The resourcing of strategic initiatives and efficiencies were areas that would need to be reflected in plans going forward.

The issue of the potential impact of SRUC on capital and revenue was raised and it was noted that as no decision had been made, this could not be factored into the planning process, however it would be appropriate to develop a scenario based on broad assumptions to assist consideration of the potential impact on forward plans.

It was noted that the financial commitment to the Alan Turing Institute required to be embedded into the business plans. It was further felt that it may be beneficial to receive an update on the progress of the Alan Turing Institute at the next meeting.

6 University Risk Register 2015/16

Paper C

CMG considered the draft University Risk Register 2015/16 which had been reviewed by PSG and Risk Management Committee and noted the risks that were proposed to be removed as they were no longer felt to be key or were appropriately addressed at an operational risk register level. The risks that remained high in terms of impact and or probability were noted and it was agreed that any emerging risks or major changes or developments in red risks should be raised at CMG as part of embedding the risk management process.

CMG also received and noted the Risk Appetite Statement for the University and requested some clarification around the wording. The

Risk Appetite Statement and University Risk Register would be considered by Audit and Risk Committee for recommendation to Court for approval.

7 Edinburgh Student Experience Survey results **Paper D**

The Edinburgh Student Experience Survey (ESES) was taken by pre-final year students at the same time of year as National Student Survey (NSS) and asked some questions that were common to NSS, with the intention of tracking cohort data through the different years of study. It had now been in operation for three years, enabling some interrogation of longitudinal data.

There was discussion of the implications of the data and its value at School level and the reliability of any identified trends, noting that the successful drive to increase participation was destabilising the data. Nonetheless, there was a picture emerging that the ongoing work on communication; assessment and feedback; and student community in order to enhance the student experience was not coming through in the ESES results. Further work would be undertaken at a granular level to understand the apparent spread of data and explore patterns.

ROUTINE ITEMS

8 Financial Issues **Paper F**

CMG noted the report from the Director of Finance and that the University was on track to achieve the planned operating surplus.

ITEMS FOR FORMAL APPROVAL/NOTING

9 Health & Safety Policy **Paper G**

CMG approved the revised Health and Safety Policy as set out in the paper.

10 Proposals for Chair Establishment and Changes **Paper H**

CMG approved foundation of a Chair of Molecular Cancer Pathology as set out in the paper.

11 University of Edinburgh (RUK) Bursary for Study Abroad Students 2015-2016 **Paper I**

CMG considered the proposed bursary levels for RUK students as set out in the paper and approved its implementation for students studying abroad in 2015-2016, subject to the costs already being included in the agreed budget, otherwise implementation to be delayed for one year to 2016-17.

12 Gaelic Language Plan Update **Paper J**

The report was noted.

13 Procurement Guide for Governors of HE institutions by the (UK) Leadership Foundation for Higher Education **Paper K**

The report was noted.

14 Principal's Strategy Group **Paper L**

The report was noted.

15 Report from Health and Safety Committee **Paper M**

The report was noted.

16 Date of next meeting

Tuesday, 1 September 2015 at 10.00am in the Raeburn Room, Old College.



CENTRAL MANAGEMENT GROUP

16 June 2015

Collaborative Provision Guidance Project

Description of paper

1. Over the past year, Governance and Strategic Planning (GASP), Academic Services (AS) and the International Office (IO) have worked together to develop an enhanced framework of guidance on collaborative provision. A Steering Group, including the Conveners of Senate Curriculum and Student Progression Committee and Senate Quality Assurance Committee is overseeing this project.
2. This paper summarises progress regarding this project, and includes guidance regarding approval processes for developing collaborative taught programmes. The steering group also plans to develop equivalent guidance for joint PhD programmes.
3. The Steering Group plans to launch these new processes during summer 2015, so that they are in place ahead of the University's Enhancement-led Institutional Review.

Action requested

4. Central Management Group is asked to:
 - Approve the approval processes for developing collaborative taught programmes, and delegate to the Steering Group to finalise the guidance documentation and to approve equivalent guidance regarding approval processes for joint PhD programmes; and
 - Approve a document setting out the types of collaboration that the University will and will not consider entering into.

Recommendation

5. Central Management Group is recommended to:
 - Approve the proposed approval processes for developing collaborative taught programmes, and delegate to the Steering Group to approve equivalent guidance regarding approval processes for joint PhD programmes; and
 - Approve a document setting out the types of collaboration that the University will and will not consider entering into.

Background and Context

6. Over the past year, Governance and Strategic Planning (GASP), Academic Services (AS) and the International Office (IO) have worked together to develop an enhanced framework of guidance on collaborative provision. This programme of work is designed to develop and strengthen the University's approach to managing collaborative provision, and to address recommendations in the 2012 Internal Audit report into Academic Collaborations.

7. A Steering Group with the following membership has overseen the project:
 - Dr Tina Harrison, Assistant Principal Academic Standards and Quality Assurance
 - Prof Ian Pirie, Assistant Principal Learning and Development

- Pauline Jones, Head of Strategic Performance and Research Policy
- Catriona McCarthy, Deputy Director International Office
- Leigh Chalmers, Director, Legal Services
- Tom Ward, Director of Academic Services
- Dr Dorothy Watson, Head of Strategy and Partnerships, International Office
- Marion Judge, Academic Policy Officer, Academic Services
- Jennifer McGregor, Senior Strategic Planner, Governance and Strategic Planning

8. To date, the Steering Group has delivered the following:

- A wiki (still under development) – once ready it will contain all relevant guidance to assist staff in developing collaborative programmes:
<https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA>
- A suite of template Memoranda of Agreement and Understanding (see the Wiki)
- Updating of the digital repository listing the University's collaborative arrangements.

9. The Steering Group plans to complete its work by June 2015. GASP, IO and AS will then run roadshows during Summer 2015 to highlight the outputs of the project to School and College staff involved in setting up collaborative programmes.

Discussion

10. The Steering Group has developed new guidance setting out academic and non-academic approval processes for collaborative taught programmes. See Annex A. CMG is invited to discuss and approve the approval processes, and to delegate to the Steering Group to agree a final version of the guidance.

11. The Group plans to prepare an equivalent set of guidance regarding approval processes for collaborative joint PhDs. CMG is invited to delegate to the Steering Group to agree that guidance.

12. The Steering Group has also developed a document setting out the categories of collaborative programme that the University will consider entering into, and those that it will not consider, and pointing to the appropriate approval processes. See Annex B. CMG is invited to approve this document.

Resource implications

13. The new approval processes are designed to strengthen the University's approach to managing collaborative provision. While the guidance and template MoAs / MoUs are designed to make the process of developing new collaborative programmes as straightforward and efficient as possible (while ensuring an appropriate level of scrutiny), the effective delivery of these processes will require the central support services (AS, IO and GASP), and Colleges and Schools, to allocate appropriate levels of resources. It will be necessary to keep resource levels under close review during the first year following the introduction of the new arrangements.

Risk Assessment

14. Does the paper include a risk analysis?

15. By strengthening its arrangements for managing collaborative programmes, the University will reduce the risks (whether academic, financial or reputational).

Equality and Diversity

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

17. Once the Steering Group has finished producing the guidance, it will conduct an Equality Impact Assessment of the guidance and the MoA / MoU templates.

Next Steps / Implications

18. The Steering Group will take responsibility for implementing the new guidance. This will involve workshops for staff in Schools and Colleges in Summer 2015.

Consultation

19. The Steering Group has consulted with Colleges, and with the Senate Curriculum and Student Progression Committee. CSPC endorsed the approval processes and associated documentation at its meeting on 4 June 2015, subject to the Steering Group holding further discussions with the College of Science and Engineering regarding how these processes, and the associated template Memoranda of Agreement, will apply to '2+2' arrangements in particular.

Further Information

20. Author

Tom Ward

Director of Academic Services

June 2015

Presenter

Gavin Douglas

Deputy Secretary, Student Experience

Freedom of information

21. This paper is open.

APPROVAL PROCESSES FOR COLLABORATIVE TAUGHT PROGRAMMES

- 1 This guidance applies to collaborative taught programmes we mean the delivery of joint taught (undergraduate or taught postgraduate) programmes of study leading to an award jointly or solely in the name of the University of Edinburgh. It does not cover in-programme collaborations such as study abroad or industry-sponsored projects.

RATIONALE FOR THE FORMAL APPROVAL PROCESS

- 2 The aim of the formal approval process for collaborative ventures is:
 - To ensure the University is providing an appropriate student experience by collaborating with organisations which share our values and ethos;
 - To ensure that the University protects its reputation, and adheres to the principles of collaborative provision set out in the Quality Assurance Agency's Quality Code Chapter B10 (Managing Higher Education Provision with Others);
 - To enable the University to keep a comprehensive database of all collaborative ventures as required by various regulatory authorities and to facilitate internal governance;
 - To assist the School and the College to take a strategic decision about the proposed collaboration; and
 - To ensure that appropriate academic consideration is given to the programme proposals.

RESPONSIBILITIES

- 3 In order to manage these approval processes in an effective and supportive way:
 - Governance and Strategic Planning, Academic Services and the International Office have established a Virtual Collaboration Group of administrative staff who will be able to provide advice on non-standard forms of collaboration. [Add link to contact details]
 - Where a School identifies an opportunity for collaboration it would take the lead in developing the proposals, with the College providing a supportive role (where the College is taking the lead in developing the proposals the references to 'School' in this guidance should be interpreted as referring to 'College'.)
 - Each College has identified one or more College Collaboration Contacts who will be able to provide advice to staff in Schools. [Add link to contact details]

DOCUMENTING THE COLLABORATION

- 4 All collaborations require to be documented by entering into a formal, legally binding Memorandum of Agreement which governs the terms of the collaboration. Template MoAs are available at:

<https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA>

- 5 A Memorandum of Understanding (MoU) sets out the broad principles on which it is intended that the relationship will proceed, and helps guide and focus discussions regarding the proposed specific collaborative activities. An MoU is not usually intended to be legally binding and is not a substitute for a Memorandum of Agreement for a particular collaborative arrangement. For proposed collaborations involving institutions outside the UK, it is necessary, prior to entering into an MoA, to ensure that the University has an MoU in place, since the existence of an MoU signifies that the University has undertaken the necessary checks that the institution is an appropriate partner (for example, in terms of reputational or political considerations). It is not necessary to enter into a MoU with the proposed collaborative partner if they are an institution within the UK, but we can do so if the parties wish.

TIMING ISSUES

- 6 Schools developing proposals for collaborative programmes should build in sufficient lead-in time for the full development and approval of the collaborative provision arrangement. While every effort will be made to expedite matters, it may well take a considerable time to complete the whole approval process: due diligence, ensuring academic quality and standards, approval in principle, programme approval, operational complexities, together with negotiations for the legal agreement. These are all important stages in the process, and cannot be overlooked for the sake of expediency.

APPROVAL PROCESS – FLOWCHART

[Flowchart to be added]

APPROVAL PROCESS – STEP PLAN

STAGE 1 – INITIAL DISCUSSIONS

- 7 In addition to discussing the proposals with key people within his / her School, the School member of staff leading the potential collaboration should notify the College Approval Link person early on to discuss the proposed collaboration.
- 8 Where the proposed collaboration is not a Standard type [Refer to the separate document that lists the categories of collaboration that the University engages in, once completed], the College Collaboration Contact should seek

advice from the Virtual Collaboration Group at an early stage. For extremely unusual, large-scale and / or high risk proposals, the Group may advise the College to seek approval in principle from Court at an early stage.

- 9 Schools should take avoid giving any firm commitment to the prospective collaborative organisation or any prospective student at this early stage.

STAGE 2 - INTERNATIONAL OR UK COLLABORATION – INITIAL DILIGENCE ON PROPOSED COLLABORATIVE PARTNER

A) STRATEGIC PARTNERSHIPS WITH ORGANISATIONS OUTSIDE THE UK

- 10 For proposed collaborations involving organisations outside the UK, the proposer should check whether the University already has in place a Memorandum of Understanding (MoU) for a strategic partnership. Where the University already has an MoU in place with the proposed partner, the School can take it that the University has already undertaken the necessary checks and endorsed them as a partner, and can go to Stage 3 – Academic Due Diligence.
- 11 For a list of EU / international partner institutions with which the University currently has MoUs, see the Governance and Strategic Planning database of collaborative arrangements: [We will add the link, once available]
- 12 Where the University does not already have a MoU in place, the School wishing to collaborate with the new partner is responsible for performing the checks necessary for the University to endorse them as a partner and satisfy itself of the good standing, and then to arrange for the University to put an MoU in place. School staff should consult the International Office’s guidelines on developing MoUs:

<http://www.ed.ac.uk/about/edinburgh-global/partnerships/new-partnership>

- 13 The International Office will be able to provide further advice.

B) PARTNERSHIPS WITH DEGREE-AWARDING ORGANISATIONS IN THE UK

- 14 It is not necessary to enter into a MoU with the proposed collaborative partner prior to establishing an MoA, but we can do so if the parties wish.

C) PARTNERSHIPS WITH NON-DEGREE AWARDING ORGANISATIONS IN THE UK

- 15 A School wishing to collaborate with a non-degree-awarding organisation in the UK will need to assess whether the organisation is a suitable partner for the University, and then consult with the Virtual Collaboration Group regarding whether it would be appropriate to put a Memorandum of Understanding in place before develop a Memorandum of Agreement.

STAGE 3 – ACADEMIC DUE DILIGENCE

- 16 Academic due diligence is required to be undertaken in all cases, whether or not the University has already endorsed the institution as a partner. The School should undertake a site visit to the proposed partner as part of the academic due diligence process. For all forms of collaboration, as part of academic due diligence, the School should ensure that the proposed partner has the necessary academic expertise and capacity to deliver their contribution to the proposed programme to a high standard.
- 17 In addition, where the proposed collaboration involves:
- a) **A UK degree-awarding body**, the School should also confirm that recent Quality Assurance Agency reports have not raised any concerns, and, if the partner institution's admissions and academic policies and regulations are to apply to the collaboration, the School should assess whether these policies and regulations are broadly comparable to the University's.
 - b) **An institution outside the UK**, or a non-degree awarding organisation in the UK, the School proposing the collaboration would also be responsible for ensuring that:
 - the partner institution has an effective management system suited to assuring the quality of programmes; and
 - the partner institution offers an ethos and environment for teaching and learning appropriate to UK higher education and to the particular proposed collaboration(s); and
 - academic staff at the partner institution are qualified for their role and that the partner institution has appropriate arrangements for monitoring the proficiency of its staff; and
 - if the partner institution's admissions and academic policies and regulations are to apply to the collaboration, whether these policies and regulations are broadly comparable to the University's own.
 - c) **The joint award of a degree**, the School should confirm that the proposed partner has the legal and regulatory capacity to make a joint award. If the proposed partner's degree awarding powers are time-limited, this should be taken into account when defining the term, review and termination points for the programme.
 - d) **Professional or statutory body accreditation**, the School should also confirm that the relevant Professional, Statutory or Regulatory Bodies (PSRBs) are content with the proposed arrangements.

STAGE 4 – PREPARING AND AGREEING THE BUSINESS PLAN

- 18 Along with conducting academic due diligence (see stage 3) and submitting the proposal for academic approval (see stage 5) the proposer in the School should develop a business plan for the proposed programme and seek approval for it from the School and College, following normal School / College processes and formats for business plans.
- 19 If a School / College wishes to put forward a proposal for non-standard tuition fees, they should contact GASP to confirm that the proposed arrangements are acceptable.

STAGE 5 - ACADEMIC APPROVAL PROCESSES

- 20 The proposer will need to seek approval for the programme using the normal School Board of Studies and College Learning and Teaching Committee (or equivalent) programme academic approval processes.
- 21 If the proposed collaboration is 'standard' in the following terms, there is no need for any further academic approval beyond normal School / College approval:
 - It is one of the types of collaborative programmes that the University will consider entering into (see the 'Types of Collaborative Programmes at The University of Edinburgh' document); and
 - Will operate under the standard academic arrangements set out in the attached Annex (see in particular the sections on Programmes / Courses, Assessment, and Quality Assurance). Key requirements in order to be 'standard' in academic terms are: consistency with the University of Edinburgh's curriculum framework / models of curriculum / academic year structure, and operating under the University's normal academic regulations and quality assurance arrangements.
- 22 If the proposed collaboration falls outside these criteria for 'standard' academic arrangements, the College Collaboration Contact should seek approval from the Senate Curriculum and Student Progression Committee and / or Senate Quality Assurance Committee, in addition to the normal School and College level academic approval processes. For extremely unusual, large-scale and / or high risk proposals, it may also be appropriate to seek approval from Court.

STAGE 6 - PREPARING THE MEMORANDUM OF AGREEMENT

- 23 It is essential to have a legal memorandum of agreement (MoA) between the University and the partner institution(s) in place for all taught collaborative programmes. The MoA should cover all aspects of the collaborative arrangements, including:
 - governance and management

- financial arrangements
 - recruitment and admissions
 - assessment
 - quality assurance and other aspects of academic administration and management
 - access to student accommodation and student services
 - statistical returns
 - intellectual property
- 24 The School / College will have already addressed many of these issues when seeking approval for the business plan and the academic programme.
- 25 GASP has developed a suite of standard templates (and user guides) for MoAs for collaborative programmes. See:
- <https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA>
- 26 The School should prepare the MoA (with the support of the College Collaboration Contact) once it has secured approval for the business plan and the academic programme. Where possible, the School should begin to discuss the MoA in parallel with seeking approval for the business plan and the academic programme, in order that it can identify any issues as early as possible. The School would begin by reviewing the relevant template MoA and discussing it with partner institution[s] to see whether the provisions are acceptable. The Annex provides detailed guidance, including highlighting standard provisions.
- 27 If the School or partner institution require the MoA to include non-standard provisions which would place any unusual demands on University support services, the School should agree the provisions in the MoA with the relevant support service.
- 28 If the School or partner institution require the MoA to include any other non-standard provisions, or if the partner institution wants to use its own template MoA as the basis for the agreement, then the School should contact the Virtual Collaboration Group as early as possible for advice and support. The Virtual Collaboration Group would help the School reach a position acceptable to the University.

STAGE 7 - SIGN OFF

- 29 Under the University's Delegated Authority Schedule, only certain University office-holders have authority to sign off MoAs for collaborative programmes.
- 30 Once the School and College have approved the business plan, the academic approval processes are complete, and the draft MoA has been prepared (and

agreed with the partner institution) the College Collaboration Contact would send the MoA to GASP, along with completing the checklist confirming that:

- an MoU for strategic partnership or Associated Institution status is in place for the proposed partner where necessary
- all academic due diligence processes have been completed and all risks considered
- the School and College have approved the business plan
- GASP has approved any non-standard tuition fee arrangements
- the academic programme has been approved through normal School / College approval processes
- if the curriculum structures, academic regulations and quality assurance arrangements, or other academic arrangements, are non-standard, these have been approved by the relevant Senate Committee
- if the MoA includes any unusual demands on University support services, the School / College has agreed these with the relevant support services

31 GASP would arrange for the Virtual Collaboration Group to review the MoA. If the Group does not identify any issues, the School would then arrange for the partner institution(s)'s signatory to sign two copies of the MoA, and return them to GASP for the University's signatory to sign them. The School will then return one fully signed copy to the partner institution.

32 GASP will be responsible for holding the golden copy of the signed agreement, and for maintaining a record of the agreement on its on-line repository.

33 On an annual basis, Academic Services will provide Senate Curriculum and Student Progression Committee and Senate Quality Assurance Committee with a summary of all new collaborative taught programmes which the University has entered into.

STAGE 8 – FINAL APPROVAL AND IMPLEMENTATION

34 When the above processes have been satisfactorily completed and approved, the owning School should work with the partner(s) and with relevant support services in the University to implement the collaborative programme in line with the MoA.

MONITORING THE AGREEMENT

35 The School is responsible for monitoring the operation of the Agreement, to ensure that it is running smoothly. Details of how the collaboration is to be monitored should be included in the MoA (see section x of the template MoA).

36 All MoAs should include a review date. The School is responsible for deciding whether to continue with the agreement after that date and for initiating the process for producing an updated MoA.

TERMINATION OF AGREEMENT

- 37 All MoAs should include a statement (see section x of the template MoA) explaining how the University can terminate the collaboration. If a School decides that it wishes to terminate an collaboration, it should consult the provision set out in the MoA, and contact the Virtual Collaboration Group for advice on how to proceed.

Annex B

Types of Collaborative Programmes at The University of Edinburgh

The table below sets out the categories of **taught and research student collaborative programmes** that the University will consider entering into.

Collaborative Provision Type	Information on what this category includes	QAA Definition, if provided ¹	Approval Route	Memorandum Template
Accreditation Agreements	The University of Edinburgh may, through academic partnership, accredit another organisation or body without its own degree awarding powers to exercise powers and responsibility for academic provision. UoE is responsible for the quality and standard of the award.	N/A	Non-standard Note: approval would be exceptional	N/A – no template MoA
Articulation Arrangements (An example of an articulation is a “2+2” arrangement)	This is a form of agreement between UoE and another institution where credit or advanced standing is recognised from the other institution and contributes to the programme and completed award. This type of arrangement can be known as “2 + 2” where normally the first two years of study is in the partner institution and the final two	<i>A process whereby all students who satisfy academic criteria on one programme are automatically entitled (on academic grounds) to be admitted with advanced standing to a subsequent stage of a programme of a degree-awarding body. These arrangements, which are subject to formal agreements between the parties, normally involve credit accumulation and transfer, so that credit achieved for the approved study at the first provider is</i>	Standard route for Collaborative UG / PGT programmes*	Standard template available at: https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA

¹ Chapter B10 QAA UK Quality Code: Managing Higher Education Provision with Others <http://qaa.ac.uk/en/Publications/Pages/Quality-Code-Chapter-B10.aspx#.VVmx7p1wbl8>

	years of study are completed at UoE. Note that the University's current articulation agreements differ from the standard QAA definition in that they do not guarantee admission to individual students.	<i>transferred to contribute to the programme and award completed at the second (the degree-awarding body). The two separate components are the responsibility of the respective organisations delivering them but, together, contribute to a single award (of the degree-awarding body).</i>		
Doctoral Training Centre (DTC), Doctoral Training Partnerships (DTPs)	DTCs and DTPs involve students studying for PGR degrees at more than one institution to collaborate to deliver doctoral student training. The structure of programme/partnership may vary.		Non-standard Typically, the proposal to introduce the DTC or DRP would be associated with a bid for external sources of funding. The arrangement would however also require formal academic approval.	N/A – no standard template MoA
Dual, Double Or Multiple Award	The process by which two or more awarding institutions collectively provide a jointly-delivered programme (or programmes) leading to separate awards from both, or all of them.	<i>Arrangements where two or more awarding bodies together provide a single jointly delivered programme (or programmes) leading to separate awards (and separate certification) being granted by both, or all, of them.</i>	Non-Standard The University will only consider entering into Dual / Double / Multiple Award arrangements in exceptional circumstances. Colleges wishing to propose this should seek approval from Senate Curriculum	N/A – no template MoA

			and Student Progression Committee at an early stage.	
Joint Degrees Research	The University and the partner institution(s) jointly develop and deliver a research programme leading to a single award from the participating institutions (joint award). The award is recognised by both institutions.	<i>An arrangement under which two or more awarding bodies together provide a programme leading to a single award made jointly by both, or all, participants. A single certificate or document (signed by the competent authorities) attests to the successful completion of this jointly delivered programme, replacing the separate institutional or national qualifications.</i>	Standard approval process for jointly-awarded PhD programmes	Standard template available at: https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA
Joint Degrees Taught – Single Award	The University and the partner institution(s) jointly develop and deliver a taught programme leading to a single award from all participating institutions (joint award). One institution takes the lead in financial, administrative and quality assurance matters.	<i>An arrangement under which two or more awarding bodies together provide a programme leading to a single award made jointly by both, or all, participants. A single certificate or document (signed by the competent authorities) attests to the successful completion of this jointly delivered programme, replacing the separate institutional or national qualifications.</i>	Standard route for Collaborative UG / PGT programmes	Standard template available at: https://www.wiki.ed.ac.uk/pages/viewpage.action?title=Guidance%2C+policies+and+approval+process+-+collaborative+agreements&spaceKey=GPAPFCA
Student Mobility/Year Abroad/Study Abroad	Study Abroad, including student exchanges and student mobility programmes such as ERASMUS		Standard International Office procedures	http://www.ed.ac.uk/studying/undergraduate/edinburgh/abroad

*Subject to further discussion with the College of Science and Engineering

Other Types of Collaboration which the University would not normally considering entering into:

Collaborative Provision Type	Information on what this category includes	QAA Definition, if provided	Approval Route	
Branch Campus	Some Universities have branch campuses in locations other than the main campus, usually abroad.	<i>A campus of a college or university that is located separately from the main or 'home' campus of the university or college and is often smaller than the main campus.</i>	The University of Edinburgh does not currently have overseas branch campuses.	
Franchised Programme	The degree-awarding body authorises a partner institution to deliver part of its approved programmes, or may share delivery.	<i>A process by which a degree-awarding body agrees to authorise a delivery organisation to deliver (and sometimes assess) part or all of one (or more) of its own approved programmes. Often, the degree-awarding body retains direct responsibility for the programme content, the teaching and assessment strategy, the assessment regime and the quality assurance. Students normally have a direct contractual relationship with the degree-awarding body.</i>	The University of Edinburgh does not enter into franchises.	
Serial Arrangement		<i>A serial arrangement occurs when the delivery organisation (through an arrangement of its own) offers whole programmes (franchised to it or validated by the degree-awarding body) elsewhere or assigns to another party powers delegated to it by the degree-awarding body.</i>	The University of Edinburgh does not enter into serial arrangements.	



CENTRAL MANAGEMENT GROUP

16 June 2015

Complying with Consumer Law

Description of paper

1. This paper sets out the changing legal framework regarding consumer protection law and its implications for higher education, and the work that the University has been undertaking to clarify the 'student contract'. It also highlights some key responsibilities that consumer law places on staff in Schools and Colleges, in particular to maintain accurate published information regarding courses and programmes.

Action requested

2. CMG is asked to approve the revised 'Terms and Conditions – Admissions' document, which will apply to applicants from September 2015 onwards.

Recommendation

3. CMG is invited to endorse the revised 'Terms and Conditions – Admissions' document.

Background and context

4. Universities do not typically regard students as "consumers" and the term "consumer" is clearly an inadequate representation of the relationship between a student and their University. However students have always been protected as consumers under consumer legislation, and contract law is and has always been their most likely remedy where they are dissatisfied with the education services being offered by HEI. There has also long been a form of "student contract" at the University, since students have always agreed to subject themselves to the authority of Senatus Academicus and follow the University's rules, regulations, policies and procedures.

5. However, following the introduction of £9k fees for English students, there has been increased attention paid to the responsibilities of Universities under consumer law. Most recently, in March 2015, the Competition and Markets Authority (CMA) published advice for higher education providers to help them comply with consumer law when dealing with students. The University also received a letter from the CMA advising that it will monitor the sector and carry out a review, commencing in October 2015, to assess sector compliance with consumer protection law.

6. In particular institutions are advised by the CMA to:

- give students the clear, accurate and timely information that they need so they can make an informed decision about what and where to study;
- ensure that their terms and conditions are fair, for example, so they cannot make surprising changes to the programme of study or costs;
- ensure that complaint handling processes are accessible, clear and fair.

7. This guidance has led us to consider changes to way we communicate our existing contractual terms with students.

Discussion

8. The working group convened by the Deputy Secretary (Student Experience) has focussed on two particular strands of work:

- Revising the University's 'Terms and Conditions – Admissions' document to ensure that it is easily understood, fair and balanced.
- Reviewing the information we provide to students, and how we provide it

9. *Terms and Conditions – Admissions document:*

The group's work has focussed on ensuring that the University is meeting its obligations as a provider of education services under consumer law. The learning process is clearly a partnership between learners and teaching staff, and this partnership can be conceptualised as a different form of 'contract' (sometimes articulated via 'Student Charters' or similar). The group's work has however limited itself to the question of legal contract, rather than broader ideas of contracts regarding learning.

10. Under the 'student contract', students agree to follow the University's rules, regulations, policies and procedures. While it is a student's responsibility to make themselves aware of these regulations, policies and procedures, the University must take reasonable steps to make students aware of these documents.

The group has developed a page which, firstly, sets out that successful study at University requires partnership between students and staff, and, secondly, presents the main elements of the 'student contract', highlighting the rules / regulations / policies / codes / procedures that are most likely to be relevant to students, and providing links through to many other documents. The relevant page is:

<http://www.ed.ac.uk/staff-students/students/academic-life/studies/contract>

11. The group has reviewed the ways that the University currently makes applicants / offer-holders / students aware of the 'student contract' during key points in the admissions and registration processes. The plans are to link to the relevant webpages from:

- The EUCLID Application form
- The applicant portal
- Offer letters: reference and link to the 'student contract', explaining that accepting offer is accepting contract
- Online registration, new students: reference and link to the 'student contract'
- Annual email to continuing students, welcoming them to the new session and reminding them about the student contract.

12. *Information regarding courses and programmes:*

The CMA guidance emphasises that the University must give students the information they need to make an informed decision before they apply. This information includes the course / programme content, as well as information regarding fees and other costs.

13. It is therefore essential that Schools ensure that published information regarding courses and programmes is accurate and up to date. Relevant published sources of information include:

- Course entries and Degree Programme Tables in the Degree Regulations and Programmes of Studies;
- Degree Programme Specifications;
- Online Prospectuses;
- Information on School and College websites;
- Other information communicated to applicants / offer-holders, for example at Open Days.

14. The CMA guidance also emphasises that the institution must tell applicants / offer-holders / students of any changes to courses / programmes since they applied. Section 10 of the 'Terms and Conditions – Admissions' document explains how the University has interpreted this responsibility.

Resource implications

15. There are no additional resource implications.

Risk Management

16. The actions set out in the paper are designed to manage the University's responsibilities under consumer law, and will therefore reduce the risk of non-compliance.

Equality & Diversity

17. The revised Terms and Admissions will be subject to a full EIA if they are approved.

Next steps/implications

18. Revised online material and (for staff) a series of roadshows over summer 2015.

Consultation

19. A small working group convened by the Deputy Secretary (Student Experience) has considered what constitutes the 'student contract' and how the University communicates it to applicants and students. The document has already been discussed and endorsed at Recruitment and Admissions Strategy Group and Curriculum and Student Progression Committee.

Further information

20. *Author and Presenter*

Gavin Douglas

Deputy Secretary, Student Experience

3 June 2015

Freedom of Information

21. This paper can be included in open business.



UNIVERSITY OF EDINBURGH

TERMS AND CONDITIONS – ADMISSIONS

1. INTRODUCTION

- 1.1 These terms and conditions represent an agreement between the University of Edinburgh ("**University**") and you, a prospective student. By accepting the University's offer of a place on a programme, you accept these terms and conditions in full, which along with your offer and the University's rules, regulations, policies and procedures located at <http://www.ed.ac.uk/staff-students/students/academic-life/studies/regulations> and the most recently published prospectus (as applicable), form the contract between you and the University in relation to your studies at the University as amended from time to time pursuant to Clause 1.3 (the "**Contract**").
- 1.2 If you have any questions or concerns about these terms and conditions, please contact the University's Student Recruitment and Admissions Office on +44 (0)131 650 4360 or via the online form (which is accessible via <http://www.ed.ac.uk/schools-departments/student-recruitment/about/enquiryform>).
- 1.3 Any amendments made by the University to the Contract will be made available on the University's website, which you should consult regularly. In the event that we are required to make any significant changes to the Contract, we shall take reasonable steps to bring these changes to the attention of affected students as soon as reasonably practicable. Please refer to Clause 10 for further detail.
- 1.4 Some programmes may require you to agree to the terms and conditions of professional bodies or third party providers. Details of these requirements are set out in the programme information section of the prospectus. By agreeing to these terms and conditions, you also agree to abide by any relevant professional bodies' terms and conditions.
- 1.5 In the event of any conflict between a provision in these terms and conditions and the other documents forming part of the Contract (including any professional bodies' terms and conditions (if applicable)), these terms and conditions shall take precedence.

2. OFFERS

- 2.1 It is your responsibility to ensure that all of the information you provide to the University and/or the UK Home Office and/or the UK Foreign Office is true and accurate.
- 2.2 If it is discovered that your application contains incorrect or fraudulent information, there is a re-assessment of your fee status, or significant information has been omitted from your application form, the University may withdraw or amend your offer, or terminate your registration at the University, according to the circumstances.
- 2.3 The offer the University makes to you will be conditional or unconditional. If your offer is conditional, the University will set out the conditions which you will need to fulfill in order to be admitted onto your chosen programme. In particular your offer may be conditional

upon you passing an English language test. The University's Policy Regarding English Language Requirements is available on the University's website.

- 2.4 If you have not fulfilled the conditions of your offer before the date notified to you in your Offer or any other date notified to you, the University reserves the right to withdraw your offer or defer your application to the next year of entry.
- 2.5 You may be required, at the request of the University, to provide satisfactory evidence of your qualifications (including English language qualifications if required) before admission. Failure to provide such evidence to the University's satisfaction may result in the termination of your offer, the revocation of your registration as a student of the University and termination of the Contract.

3. IMMIGRATION

- 3.1 If you are a national of a country outside the European Union, European Economic Area or Switzerland and subject to UK immigration control, you will need to demonstrate, at the point of Matriculation (as defined in Clause 4.1 below), that you have a valid immigration status to undertake your proposed programme of study.
- 3.2 You must take responsibility for ensuring that you comply with the terms of your student visa whilst studying at the University. Should you wish to take up paid employment on a part time basis, you should ensure that such work does not exceed that allowed by law. Please note that if you choose to withdraw from your studies, if your registration is terminated by the University or if you are granted permission to interrupt your studies, this will affect the validity of your visa and your ability to enter and/or remain in the United Kingdom.
- 3.3 Your visa will be revoked if your registration is terminated for any reason. In such circumstances you may not be entitled to a refund of any programme fees already paid.

4. MATRICULATION AND THE SPONSIO ACADEMIA

- 4.1 Matriculation is the administrative act of becoming a student of the University and carries with it the obligation to abide by the rules of the University, including the payment of tuition fees and other charges ("**Matriculation**").
- 4.2 The Sponsio Academia is the oath, which was originally in Latin, taken by students matriculating into the four ancient Scottish universities (Edinburgh, St. Andrews, Aberdeen and Glasgow). The Sponsio Academia at first matriculation is as follows: "*I acknowledge that in all matters relating to the teaching and discipline of the University I have willingly placed myself under the jurisdiction of the Senatus Academicus, and I recognise that if, in the opinion of the Senatus, my studies or my conduct are unsatisfactory, it has authority to forbid my continuance upon courses qualifying for a degree.*"
- 4.3 After you have accepted your offer, you must matriculate at the commencement of your studies and agree to the Sponsio Academia. You can agree to the Sponsio Academia electronically by clicking accept as part of the online registration process. Thereafter, your annual matriculation status will be dependant on your attendance on your programme being confirmed by the University.

5. **CONDITIONS OF ADMISSION**

5.1 Your admission to the University, attendance on a programme, and right to enjoy any of the privileges of membership of the University, including access to services and facilities, is subject to you complying with the terms of the Contract and matriculating in accordance with Clause 4.

6. **DEPOSITS**

6.1 In order to secure a place on your programme, you may be required to pay a deposit. If a deposit is required you will be advised, following receipt of your application, by a deposit message issued by EUCLID or in your offer letter. If you do not pay the deposit monies in accordance with the payment terms advised in your offer letter, your application shall be withdrawn without further notice. It is therefore essential that you have funding for your deposit in place before you apply to the University.

6.2 Any deposit you pay will be offset against the balance of tuition fees owed to the University.

6.3 For further information regarding deposits, please review the University's deposit guidelines which are available on the University's website.

7. **FEES**

7.1 Subject to Clause 7.2, each year's tuition fees are due, in full, prior to the date falling 5 weeks after the commencement of your programme in such year (each a "Final Payment Date"), and are subject to revision (as applicable) in accordance with the terms of the tuition fee policy which is available on the University's website.

7.2 In deciding upon increases in tuition fees the University will take into consideration such factors as inflation, market competition, Scottish Funding Council policy and other external factors outwith the University's control.

7.3 You will not be deemed to have matriculated until your tuition fees have been paid, or satisfactory evidence produced that such fees will be paid by a sponsoring authority on receipt of the University's invoice. You will be personally liable to pay your tuition fees if a sponsoring authority fails to do so.

7.4 If you are personally liable to pay all or part of your tuition fees, a number of payment methods are available to you. Further information is available on the University's website.

7.5 In the event that your tuition fees have not been paid in full by the relevant Final Payment Date (as defined in Clause 7.1 above), the University shall be entitled, but not bound to, refuse to permit you to continue on your programme of study and terminate the Contract (without incurring any liability to you).

7.6 The University may pursue legal proceedings in relation to non-payment of tuition fees.

7.7 In accordance with the University's tuition fee policy (which is available on the University's website), a refund of tuition fees may be made if you withdraw from a programme with the approval of the relevant Head of College.

7.8 If you have any concerns regarding payment of fees or require further information about tuition fees (including the refund of tuition fees), please contact the Income Section, Finance Department at Tel: +44 (0)131 650 9214, Email: feepayment@ed.ac.uk.

8. **OTHER CHARGES**

8.1 In addition, you may incur additional expenditure on items such as (but not limited to) application fees, fieldwork, specialist materials, supplementary instrumental tuition and annual continuation fees; although in some circumstances assistance from University funds may be available to meet such expenditure, you shall have primary responsibility for payment.

8.2 Details of any additional significant expenditure that you may be required to incur can be obtained from the appropriate College or School of the University. In addition, small charges may be made in some subjects for such items as course materials, equipment or room hire, photocopying and laser printing; detailed information may be obtained from the applicable School of the University.

8.3 The University may pursue legal proceedings against you if you are in debt to the University or may disclose information about you to credit reference agencies or other credit assessment, debt tracing or fraud prevention organisations. In addition, if you are in debt to the University (whether for tuition or other fees) you may be recorded as a debtor of the University in any references requested from the University.

9. **CANCELLATION RIGHTS**

9.1 If you accept the University's offer by means of distance communication (i.e. there has been no face-to-face contact between the University and you at the time you accept the offer) you have a legal right to cancel the Contract at any time within 14 days from the date the Contract is formed i.e. from your acceptance of the University's offer.

9.2 In order to cancel the Contract in accordance with Clause 9.1, you must notify the University (either orally or in writing) within the timescales referred to in Clause 9.1 and you may give the University notice by completing the cancellation form at Schedule 1 and sending it to the University's Student Recruitment and Admissions office.

9.3 If you have made any payment under the Contract prior to the date of cancellation of the Contract then the University will provide you with a full refund as soon as reasonably possible but in any event within 30 days of the University receiving your written notice of cancellation.

10. **CHANGES TO YOUR PROGRAMME**

10.1 The University reserves the right to:

10.1.1 make variations to the contents of programmes, including the range of courses (modules) offered;

10.1.2 alter the approach to methods of delivery of programmes such as the timetable, location, number of classes and methods and timings of assessments;

10.1.3 discontinue programmes and merge or combine programmes;

due to events outside the University's reasonable control or if the University considers that such action is reasonably necessary in order to appropriately manage its resources, pursue its policy of continuous improvement, comply with changes in law or comply with the instructions of the University's regulators or a professional body.

- 10.2 Where the changes referred to in Clause 10.1 are not significant (that is, where they lead to changes to individual elements of a programme but do not lead to a substantive change in the overall content or method of delivery of a programme), the University will communicate the changes through routine publications (for example, the latest version of the online Degree Regulations and Programmes of Studies publication). If you would like to study a particular course (module) as part of your programme of study, you should consult with the School offering the programme in advance of accepting your offer to confirm whether the course (module) will be available to you.
- 10.3 In the unlikely event that the University (i) discontinues or does not provide your programme of study; or (ii) significantly changes the content of your programme, method of delivery or method of assessment of your programme such that the overall learning aims and outcomes of your programme are fundamentally different; or (iii) significantly changes the location at which your programme is taught, and any such change may adversely affect you:
- 10.3.1 the University will notify you at the earliest possible opportunity;
 - 10.3.2 if you request the University to do so, the University will seek to offer you a suitable replacement programme at the University for which you are qualified or if the University is unable to offer you a suitable replacement programme at the University it shall seek to refer you to a comparable higher education institution offering a suitable replacement programme;
 - 10.3.3 if you do not wish to accept the University's offer of a replacement programme or the University is unable to offer a replacement programme, you will be entitled to withdraw your application by notifying the University in writing;
 - 10.3.4 in the event that you choose to withdraw, the University may make an appropriate refund of tuition fees and deposits paid.

11. **EDUCATIONAL PROVISION**

- 11.1 The University shall use its reasonable endeavours to:-
- 11.1.1 deliver your Programme with reasonable care and skill and as far as possible, in accordance with the description applied to it in the prospectus;
 - 11.1.2 clearly explain the academic requirements of your programme to you.
- 11.2 You must use all efforts to fulfill all the academic requirements of your programme, including submission of course work and other assignments and attendance at examinations and other required events, on time and in accordance with the relevant policies, rules and regulations of the University.
- 11.3 If you do not act in accordance with this Contract, or any of the documents referred to in it, the University may take disciplinary action against you under its Code of Student Conduct.

12. **COMPLAINTS PROCEDURE**

12.1 If you have a complaint about the University, you should follow the University's complaints procedure which can be found on the University's website. This procedure has been produced to help the University resolve any complaints you may have as promptly, fairly and amicably as possible.

13. **LIABILITY**

13.1 Whilst the University takes reasonable care to ensure the safety and security of its students whilst on the University's campus and/or whilst using the University's services, the University cannot accept responsibility, and expressly excludes liability, for loss or damage to your personal property (including computer equipment and software). You are advised to insure your property against theft and other risks.

13.2 The University shall not be held responsible for any injury to you (financial or otherwise), or for any damage to your property, caused by another student, or by any person who is not an employee or authorised representative of the University.

13.3 The University shall not be liable for failure to perform any obligations under the Contract if such failure is caused by any act or event beyond the University's reasonable control including acts of God, war, terrorism, industrial disputes (including disputes involving the University's employees), fire, flood, storm and national emergencies ("**Force Majeure Event**"). If the University is the subject of a Force Majeure Event, it will take all reasonable steps to minimise the disruption to your studies.

14. **TERMINATION**

14.1 The University reserves the right to exclude you from the University if you willfully and persistently neglect your academic work to such an extent that there is no reasonable possibility of you being able to proceed to the next stage of the programme. You should also note that your progression on your programme and your final award are not guaranteed and are dependent upon your academic performance.

14.2 The University also reserves the right to exclude you from the University for disciplinary offences, for non-matriculation, for non-payment of tuition fee debt, or for inadequate attendance or performance on your programme, in line with the relevant University policies and procedures.

15. **DATA PROTECTION**

15.1 The University holds information about all applicants to the University and all students at the University. The University uses the information from your application:-

15.1.1 to process your application, to collect feedback and to send you information about the University and its events, such as open days; and

15.1.2 if your application is successful the University will also use the information it holds about you to deliver your Programme, to provide educational and support services to you, to monitor your performance and attendance, to collect feedback and for management activities such as strategic planning, statistical analysis, equal opportunities monitoring and maintaining our IT systems

15.2 The University may disclose student information to third parties as set out in the guidance on the disclosure of student information available via the University website. We will inform you regarding use or disclosure of your information for any other purposes.

15.3 You should refer to the University's data protection policy for more information. This is accessible via the University's website.

16. **GENERAL**

16.1 The terms of the Contract shall only be enforceable by you and the University.

16.2 The Contract constitutes the entire agreement between you and the University in relation to its subject matter.

16.3 No failure or delay by the University or you to exercise any right or remedy provided under the Contract or by law shall constitute a waiver of that or any other right or remedy, nor shall it prevent or restrict the exercise of that or any other right or remedy.

16.4 If any provision or part-provision of the Contract is or becomes invalid, illegal or unenforceable, it shall be deemed modified to the minimum extent necessary to make it valid, legal and enforceable. If such modification is not possible, the relevant provision or part-provision shall be deemed deleted. Any modification to or deletion of a provision or part-provision shall not affect the validity and enforceability of the rest of the Contract.

16.5 The courts in Edinburgh will have exclusive jurisdiction to settle any dispute or claim arising out of or in relation to the Contract and that in any such proceedings these terms and conditions and the Contract into which they are incorporated will be governed by and interpreted in accordance with the laws of Scotland.

SCHEDULE 1
CANCELLATION FORM

To: the University of Edinburgh

Student Recruitment and Admissions

33 Buccleuch Place Edinburgh EH8 9JS

I hereby give notice that I cancel my contract with the University for a place on the following Programme:

Accepted on: [Date]

Name of Student: [Insert]

Address of Student: [Insert]

Signature of Student _____

Date: _____



Central Management Group

16 June 2015

Fundraising and search engines

Description of paper

1. This paper sets out the considerations around the inclusion of a charity search engine on the University's web pages that could raise funds for nominated charities.

Action requested

2. CMG is asked to approve the trial use for 12 months of charity search engines on machines in the University's Open Access Labs. Additionally, as the Turing Trust approached Information Services directly to request such a facility, CMG is asked to approve the Turing Trust as the nominated charity for the 12 month trial period.

Recommendation

3. CMG is recommended to approve the action requested and to endorse the proposal that, should the trial be successful, EUSA would be responsible for nominating a charity each year, who would benefit from the fundraising facility.

Background and context

4. In March 2015, Information Services met with James Turing to explore ways in which we could work more closely with the Turing Trust. As part of that discussion the idea of including a charity search engine on the University website was mooted. Information Services agreed to explore the technical aspects of including such a facility on our website.

5. Having completed the technical assessment and development work, it is clear that this is not an onerous task from a technical perspective. If installed on machines in our open access labs, the charity search engine would enable funds to be raised for a charity, whenever a student performs a web search.

Discussion and Approach

6. As noted above, the technical considerations are not significant with respect to the installation of the search engine on our open access machines.

7. These search engines are highly configurable and can be set to optional or default. An example charity search engine is [Easysearch](#). We would anticipate an approach that would allow students to override any default search engine we set (for example, Easysearch) and choose their own (Bing, Google etc.).

8. In introducing this small change to the search engines on the machines in our open access labs, we provide a relatively simple avenue for our students to support the third sector. If we endorse the Turing Trust as the first beneficiary, we will enhance our relationship with the charity, and be seen in a positive light as a responsive, socially aware and caring institution.

9. Additionally, to support student causes in future years, EUSA could nominate the charities that would benefit from this fundraising opportunity. This could be done on an annual basis with EUSA nominating their preferred charity following due consultation with the student body. For ease of configurability and support we would suggest that only one charity is nominated per year. Once a Charity is nominated, then the nomination would be vetted and sent for approval through the ethics and fundraising committee.

Resource implications

10. The resource implications are minimal for the University and are far outweighed by the potential benefits that will accrue to the nominated charity.

Risk Management

11. This is a low risk activity for the University.

Equality & Diversity

12. No specific impacts on particular protected characteristics have been identified as a result of this initiative.

Next steps/implications

13. Information Services will work in partnership with EUSA to provide this facility for the coming year and to review the success or otherwise of the initiative. IS, with EUSA, will conduct a review during the 12 month period in order to advise CMG on continuation beyond the 12 month trial.

Consultation

14. There has been no consultation beyond the concerned Divisions within IS. If CMG approves the proposal, we will consult with EUSA prior to any action being taken.

Further information

15. Author

Jo Craiglee
Head of Knowledge Management &
IS Planning
Graham Newton
Desktop Services Team Leader, ITI
16 June 2015

Presenter

Gavin McLachlan
CIO and Librarian to the University

Freedom of Information

16. This paper is Open.



CENTRAL MANAGEMENT GROUP

18 June 2015

Annual Review Project Phase 1

Description of paper

1. This paper highlights the outputs of Phase 1 of the Annual Review project against the objectives set by University Court.

Action requested

2. CMG are asked to consider the progress made against objectives and discuss any relevant points to be carried forward to Phase 2. Phase 1 is due to complete before end July 2015 in line with the Annual Review cycle.

Recommendation

3. CMG are asked to consider and discuss the progress to date.

Background and context

4. The Annual Review Steering group was launched at the request of the Principal to discuss and identify ways to improve the University's approach to and delivery of annual reviews.

5. It sought to address the specific concerns raised by internal audit to ensure compliance with the KPI set out in the Strategic Plan for Annual Review, and to develop an integrated approach to other types of review process e.g. probation, career progression.

6. The Steering Group were expected to act as ambassadors and ensure engagement in this area of work at the highest level across the University. Although the project involved significant input from Human Resources, the involvement and engagement of individuals from colleges and business units was essential to success.

7. The group was chaired by VP Professor Jane Norman and included Directors of Professional Services, Senior Managers, Academics, representatives from local HR teams, and representatives from University HR Services (UHRS).

Discussion

8. *Outcomes of the Project*

The decision was taken by the group to focus initially on delivering a project that would ensure consistency and fairness of practice for Annual Review across the University. The remit and outputs of this project are included in the tracker document in Appendix A which highlights progress against objectives.

9. The Steering Group's goals have been achieved and the University now has:

- High completion rates for Annual Review across academic and professional services areas
- A clearly defined Annual Review population, and clarity of links between Annual Review and other review types

- A suite of training to support managers and staff in participating in Annual Review
- Examples of good practice in relation to development forms and guidance

10. UHRS colleagues are currently consulting with Union representatives and representatives from Colleges and Support Groups with a view to reaching agreement on the following additional materials:

- Clear principles and policy statement to guide Annual Reviews
- Guidance for Annual Reviews for atypical employees
- Updated Annual Review webpages

11. *Future Direction of the Project*

The Annual Review Steering Group has delivered the initial project. Future action needs to take into consideration the quality of the Annual Review conversation. Initial discussion on this has taken place at the Annual Review Steering Group and the focus of the work going forward should be to build on our success and to create a culture of genuine, open and meaningful dialogue around performance. Giving opportunities to reflect and consider talent potential within current and future role aspirations. This work will be taken forward by an Annual Review working group specifically looking at this area and led by UHRS.

12. See Appendix A: Tracker Project Outputs for detailed information about each objective

Resource implications

13. No resource implications

Risk Management

14. Risks associated with failure to implement a robust Annual Review process include:

- a. Reputation and damage resulting in us not being seen as an attractive or inclusive employer and therefore a risk of not attracting or retaining the best staff.
- b. Lack of objective setting resulting in staff not contributing in the most meaningful way to the University.
- c. Lack of identification of development needs resulting in staff not being given an opportunity to develop to their full potential.

Equality & Diversity

15. EIA completed on any changes to Annual Review policy or practice

Next steps/implications

16. Professor Jane Norman will be responsible for receiving feedback on this and ensuring cascade to UHRS or other University departments.

Consultation

17. Professor Jane Norman and Zoe Lewandowski, Director of HR have reviewed and approved this paper.

Further information

18. Author

Kirsty Robertson
Senior HR/OD Partner L&D
UHRS, 5 June 2015

Presenter

Professor Jane Norman
Vice Principal People & Culture

Freedom of Information

19. Open Paper



Appendix A: Tracker Project Outputs

Ref.	Summary Description of Action	Current Position	Comments
1	Develop initiatives which will increase the number of reviews completed to 100%	Significant progress on KPI	The focus on review completion and reporting to Court has achieved significant improvement in the completion rate. The University completion rate has risen from 71.9% in 2012/13 to 92.55% in 2013/14 (Increase of 20.65%)
2	Make recommendations on how to promote personal accountability from reviewers and reviewees for the delivery of the KPI on annual reviews.	Completed	The focus on review completion and reporting to Court has achieved significant improvement in the completion rate and this drive has cascaded through Colleges, Schools and departments. Improvements between 2012/13 and 2013/14 as follows: <ul style="list-style-type: none"> • HSS - 68.5% to 91.17% (Increase of 22.67%) • MVM - 77% to 94.23% (Increase of 17.23%) • CScE - 43.2% to 86.35% (Increase of 43.15%) • CS - 90.3 to 93.53% (Increase of 3.23%) • IS - 91% to 100% (Increase of 9%) • SASG - 87.1% to 100% (Increase of 12.9%)
3	Identify how reviewers and reviewees are allocated and how this is communicated to individuals.	Ongoing review	The significant increase in annual review completion indicates that the issue of identifying a reviewer for individuals may be resolved.
4	Identify the linkages with academic career progression reviews and how the annual review process can support this. Consider inclusion or integration of Chancellors Fellows reviews.	Due for completion August 2015	Process for the discussion of academic progression through annual review process to be launched in August 2015. Training materials and process guidance under development to support implementation. The progress of Chancellors Fellows will not be reviewed through this process but rather will continue to be considered under the existing review process for this group of staff
5	Develop appropriate and proportionate Annual Review arrangements for staff on a typical contract of employment of more than 3 months.	Guidance is drafted. Currently consulting with Unions and Colleges/Support Groups to reach agreement on	Guidance developed as to how to take Annual Review forward effectively for this group to ensure parity with other members of staff. Work due to be completed by August 2015

		content prior to publication	
6	Consider the need for the introduction of systems to support annual review processes, including online annual review systems and how these would link into broader initiatives on the introduction of talent management and leadership development software.	On hold	This is in scope as part of the longer-term project to replace the Oracle HR system.
7	Develop more effective descriptions of the relationship between annual reviews and other policies/processes e.g. probation process, study support etc.	Guidance is drafted. Currently consulting with Unions and Colleges/Support Groups to reach agreement on content prior to publication	General guidance for managers relating to annual review and probation reviews on website
8	Produce recommendations on the content and presentation of relevant management information to Court in relation to reviews.	Completed Statement completed	Information on criteria agreed. Statement to be added to the website and circulated to relevant contacts (to be done once other changes are agreed and website is updated – aim for completion by August 2015)
9	Develop a consistent approach to the Annual Review forms and guidance to ensure they align with the key requirements set out in the University Strategic Plan.	Statement is drafted. Currently consulting with Unions and Colleges/Support Groups to reach agreement on content prior to publication	Series of focus groups held and Annual Review Policy statement and Principles for Annual Review drafted. Agreement at Steering Group that at the current time a consistent university form will not be developed. However there are several examples of good practice on the webpages giving choice and flexibility for staff in what they use to best facilitate their conversations.
10	Explore and discuss issues around confidentiality of completed Annual Review records and generate a statement of confidentiality.	Completed	A statement is included within the Principles for Annual Review

11	Develop guidance on how to resolve disagreements or disputes that may occur during the Annual Review process.	Completed	A statement is included within the Principles for Annual Review
12	Develop a system for ensuring that reviewers have appropriate training and/or experience to carry out Annual Reviews.	Completed	There is a suite of Annual Review training to support staff and managers in carrying out Annual Review – Understanding Annual Review (e learning), 4 Performance Management workshops (face to face). In addition, annual review discussion is built into the First Steps into Leadership and Management programme. Devolved HR teams also run briefings locally. .



CENTRAL MANAGEMENT GROUP

16 June 2015

Finance Director's Report

Description of paper

1. The paper summarises the Management Accounts to April 2015.

Action requested

2. Central Management Group is asked to note the content and comment or raise questions.

Recommendation

3. There are no specific recommendations.

Paragraphs 4 – 17 have been removed as exempt from release due to FOI.

Risk Management

18. There is no new impact on the risk register.

Equality & Diversity

19. 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

20. Requested feedback is outlined above.

Further Information

21. Author

Mr Phil McNaull
Director of Finance
2 June 2015

Presenter

Mr Phil McNaull
Director of Finance

22. Freedom of Information

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



CENTRAL MANAGEMENT GROUP

16 June 2015

Finance Strategy Update

Description of paper

1. The purpose of this paper is to present Central Management Group with a review of the Finance Strategy approved by Court in 2013 and to note changes recommended to Court for approval.

Action requested

2. CMG is invited to consider and comment on the update and to endorse the proposed changes.

Recommendation

3. CMG is recommended to endorse the proposed updated Finance Strategy and to note presentation of options around bond finance, which will be referred to Court for a final decision.

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

23. Risk Management

The key points to note are that our Risk Appetite will need to be modified to accept that we will run lower surpluses than 2% of turnover for the next two or three years and that our current restriction on debt as a percentage of net assets would need to increase from 20% to 30%

24. Equality & Diversity

An Equality Impact Assessment is not required in relation to this paper.

Next steps/implications

25. Further development of the Finance Strategy will be overseen by the Director of Finance and reflect comments from CMG and PRC before the paper is issued to Court for its June meeting for approval.

Consultation

26. The paper has been reviewed by PSG and Policy and Resources Committee.

Further Information

27. Author & Presenter

Mr Phil McNaul

Director of Finance

1 June 2015

Freedom of Information

28. The paper is considered closed as it contains commercially sensitive information.



CENTRAL MANAGEMENT GROUP

16 June 2015

Ten Year Forecast: 2014-15 Quarter 3

Description of paper

1. Although this paper is larger than usual our intention is to make the assumptions underpinning each line of the income and expenditure account more transparent, and we hope this provides a useful reference to colleagues. This paper presents a summary of the latest Q3 iteration of the Ten-Year Forecast (TYF)¹. The purpose of the forecast is to model the medium to long term financial performance of the University, to monitor financial sustainability, and estimate cash usage and forward planning which will be needed to progress the Estates Development Plan.

2. The Ten-Year Forecast is a result of integrated financial planning of the I&E, balance sheet and cash flows. As a result, this version includes the long-term external debt proposal required to fund the long-term Estate Strategy, however, the three-year plan does not yet take account of this major capital funding requirement. This difference equates to an additional interest expenditure of c.£9m per annum and if we were to adopt the Ten-Year Forecast version we would need to identify sources of new revenue and/or cost savings to account for this increase in expenditure. We believe that the work underway on service excellence reviews together with the increasing success of the Chancellor's Fellows/ECR appointments make this a credible target to deliver.

3. Appendix 1 shows the income and expenditure account, balance sheet, cash flow, key assumptions and performance ratios.

4. Appendix 2 provides an overview of the impact on surplus and cash flow should any of the previously modelled scenarios crystallise. The modelling shows both the revenue reduction / cost increase of each scenario as well as effective mitigations to reduce cost or to re-phase cash flow as a consequence of individual scenarios crystallising. We have now also modelled the impact of two scenarios happening at the same time.

Action requested

5. Central Management Group is asked to:

- note the base case forecast financial statements and the projected cash movements over the next ten years and to consider and provide comment on the scale of capital investment implied by the emerging Estate Strategy and its main building project elements.
- note and comment on the key assumptions in appendix 1 underpinning the forecast.
- comment on the sensitivity analysis scenario modelling and in particular to identify concerns with the level of surplus generated or cash flow balances

¹ Version Q3_29.05.15_PRC

arising as a consequence of the scenarios considered and whether there are additional scenarios that should also be modelled.

- note the proposal that the University has sufficient visibility of probable level of estate investment over the next 10 years.
- confirm that management should continue to develop the process required to raise a significant amount of long-term external debt (up to £300 million but subject to more detailed rigorous cash flow forecasting) to ensure that the long term estate strategy can be funded by accessing record low cost debt markets.

Recommendation

6. CMG is invited to provide feedback to the Finance Director on the following:

- The scale and phasing of our estate development ambition.
- Its impact on projected cash balances and overall financial sustainability.
- The recommendation to Court that the proposal to raise up to £300m of long-term external debt should be adopted and taken forward as noted above.
-

Paragraphs 7 – 25 have been removed as exempt from release due to FOI.

Risk Management

26. 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

27. The paper has no equality or diversity implications.

Next steps / implications

28. The next iteration of the ten-year forecast incorporating feedback from the Policy and Resources Committee meeting and input from CMG and GaSP/Finance will be presented to Court in June.

Consultation

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

Further information

30. Authors

Fraser Wilson
Management Accountant

Presenter

Phil McNaull
Finance Director

Lorna McLoughlin
Senior Management Accountant
02 June 2015

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

16 June 2015

Draft Estates Funding Strategy

Description of paper

1. The purpose of this paper is to present options to fund the emerging revised Estates Strategy in light of (a) the scale of the provisional development pipeline (circa £1.4bn), and (b) the planning assumption that we would aim to implement a programme of the order of £125m per annum, funded from a mixture of internal and external sources.

Action requested

2. Central Management Group is invited to consider and comment on the draft funding strategy and to provide guidance to the Director of Finance on the preferred routes to pursue if Court subsequently agrees to raise a large sum of external finance. This paper should be read together with the latest Ten Year Forecast paper that provides the financial forecasts against which the funding strategy should be considered.

Recommendation

3. CMG is recommended to endorse the proposed funding strategy, which is being considered by Policy and Resources Committee for recommendation to Court for approval.

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

Risk Management

13. The key points to note are:

- Risk in relation to the Capital Programme can be mitigated – at a cost. Obtaining loan funding brings a high degree of certainty in terms of financial support, but at an additional interest cost.
- Other sources, such as capital grants or fundraising, may be constrained either by lack of funds or by a lack of suitable donors.
- Proceeds from the disposal of assets requires the identification and release of suitable premises saleable in the necessary time period.
- Internal cash generation results from annual surplus generation which, in the current climate, are likely to be more modest in scale than in recent years.

14. We will need to fully embrace a more robust, transparent and coordinated approach to forward planning, in terms of operations and finances, to ensure the minimisation of risk associated with each of the above.

Equality & Diversity

15. An Equality Impact Assessment is not required in relation to this paper.

Next steps/implications

16. Further development of the Funding strategy will be overseen by the Director of Finance, in consultation with the Director of Estates and the Convener of the Estates

Committee. The FD will open discussions with appropriate advisers to develop a draft timetable for debt issuance and a paper will be brought to a future meeting.

Consultation

17. The paper has been reviewed by the Estates Committee and PSG.

Further Information

18. Author & Presenter
Director of Finance
1 June 2015

Freedom of Information

19. The paper is considered closed as it contains commercially sensitive information.



CENTRAL MANAGEMENT GROUP

16 June 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.

Paragraphs 4 – 21 have been removed as exempt from release due to FOI.

Risk Management

22. 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

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

Next steps/implications

24. The next Internal Audit Status Report will be presented to the Committee in September 2015.

Consultation

25. Audit & Risk Committee reviewed this report at its meeting on 28 May 2015.

Further information

26. Author and Presenter

David Kyles

Chief Internal Auditor

18 May 2015

Freedom of Information

27. This paper is closed.



CENTRAL MANAGEMENT GROUP

16 June 2015

Internal Audit Planning

Description of paper

1. The attached paper sets out the Internal Audit planning methodology and approach, and the proposed Internal Audit Plan 2015-16.

Action requested

2. CMG is asked to note the Internal Audit Plan 2015-16.

Recommendation

3. That CMG notes (i) the internal audit planning methodology and approach, (ii) the proposed internal audit plan; and (iii) the internal audit function inputs and resourcing. These were reviewed by Audit and Risk Committee on 28 May and recommended to Court for approval.

Background and context

4. The planning approach follows a risk based methodology, identifying all key processes in operation across the University. The current risks on the University Risk Register were mapped to the relevant process along with key strategic themes from the University Strategic Plan 2012-2016. Consideration was also given to known issues and key projects. Finally, senior management from across the University were asked to validate and input to the planning process.

Discussion

5. The Internal Audit Plan is attached as Appendix 1.

Resource implications

6. The cost of the Internal Audit Service is met from the USG budget for 2015-16.

Risk Management

7. 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

8. There are no equality and diversity implications.

Next steps/implications

9. The Internal Audit Plan 2015-16 will be submitted to Court on 22 June 2015.

Consultation

10. Audit & Risk Committee have endorsed this report and recommended to Court for approval.

Further information

11. Author and Presenter

David Kyles

Chief Internal Auditor

18 May 2015

Freedom of Information

12. This paper is open.



THE UNIVERSITY
of EDINBURGH

University of Edinburgh

Internal Audit

Planning

David Kyles
Chief Internal Auditor
May 2015

Internal Audit Planning

Introduction

We have now completed our Internal Audit Planning for 2015-16 and this document outlines the planning approach and proposed internal audit plan, supported by a resource allocation to deliver the plan.

	Page
Introduction & Overview	1 - 3
Section 1: Methodology, Approach & Internal Audit Themes	4
Section 2: Proposed Internal Audit Plan	5 - 6
Section 3: Audit Universe	7 - 9
Section 4: Internal Audit Function & Resource	10 - 11
Section 5: Detailed audit planning by process area	12 - 27

1. Methodology & Approach

The planning approach followed a risk based methodology, identifying all key processes in operation across the University. The current risks on the University Risk Register were mapped to the relevant process along with key strategic themes from the University Strategic Plan 2012-2016. Consideration was also given to known issues and key projects. Finally, senior management from across the University were asked to validate and input to the planning process.

The methodology and approach is outlined within **Section 1**.

Internal audit themes

Our audit approach for 2015-16 has been devised based on 3 key themes:

- **Core Basics:** to provide assurance over the operation of key controls including Finance and Human Resources
- **Strategic Priorities:** to provide input and assurance to key strategic projects
- **Efficiency & Effectiveness:** to consider and identify processes and procedures where improvements can be made in terms of efficiency, value for money or effective control

During the planning process we have also considered the mix of internal audit approaches including full scope audits, spot checks, development of assurance check-lists and data analytics to maximise the assurance which can be provided.

2. Internal Audit Plan

Based on the methodology and themes we are proposing to complete 43 audits in 2015-16. The plan will be delivered by our in-house internal audit team and specialist contractors where needed, notably on the delivery of IT Security audit assurance. The total input to deliver the plan is estimated to be 585 days.

We have also used the planning model to start developing the 2016-17 Internal Audit plan, recognising those areas which require recurring annual audit and areas which, balanced by available resource, were not included within the 2015-16 plan. The aim is to move to a rolling internal audit plan, providing additional flexibility to address new and evolving areas for internal audit input.

The Internal Audit Plan is outlined in **Section 2** along with an analysis of the coverage by process area and by internal audit theme.

3. Audit Universe

A key part of the planning process was to identify all key processes across the University to establish an Audit Universe which could be used to identify internal audits for the plan and also provide improved visibility as to why audits had been selected and also provide a mechanism to challenge areas in the University which were not included.

The Audit Universe is outlined within **Section 3**.

4. Internal Audit Function

In addition to delivering the internal audit plan there are a number of other key inputs for the internal audit function which include knowledge sharing, assessment of the University risk management process, team management to ensure we continually challenge ourselves to be efficient, effective and deliver a quality internal audit service, and a contingency element for any areas or issues which materialise during the year which have not been identified for inclusion in the plan.

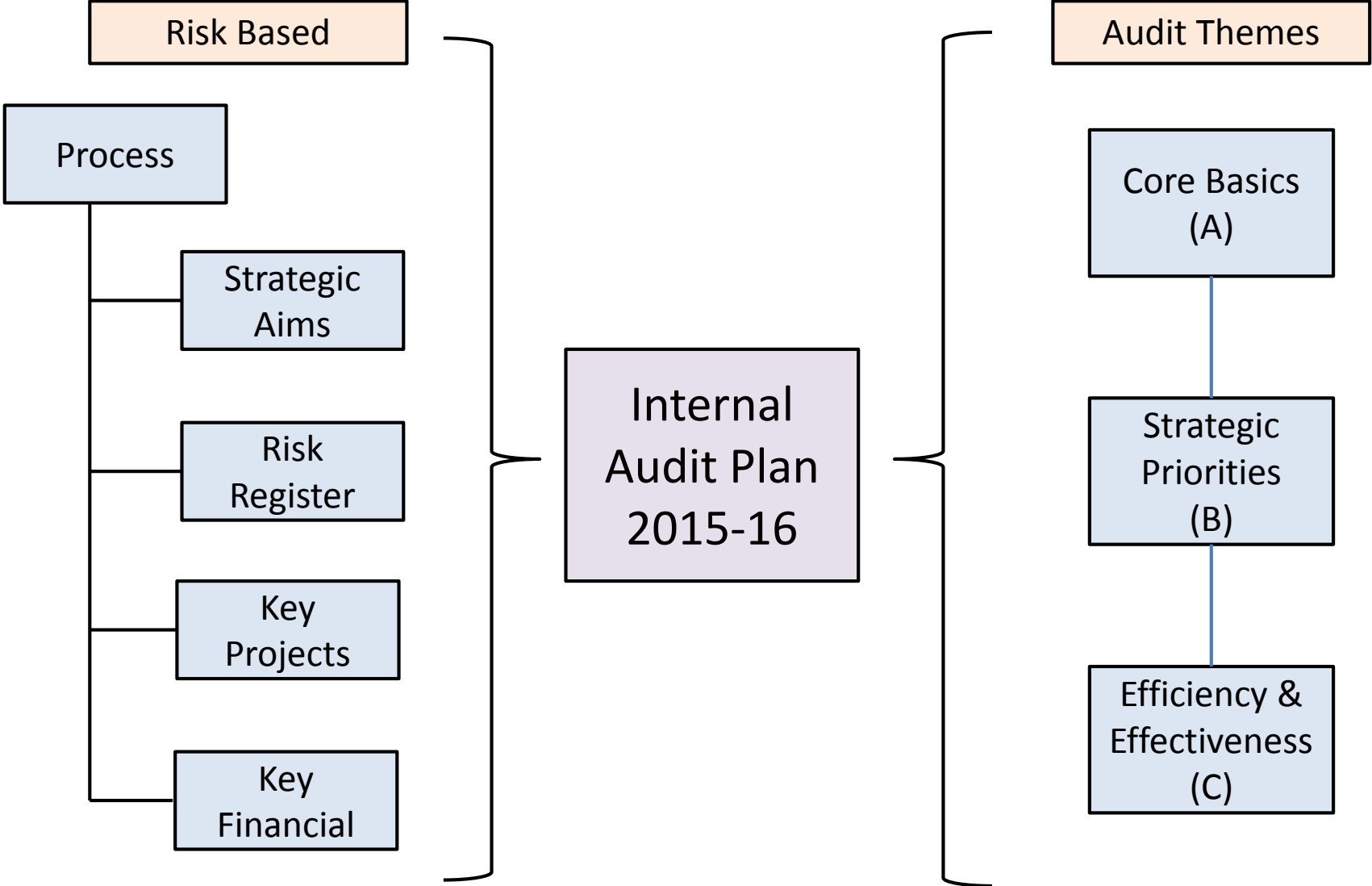
These inputs are illustrated in **Section 4** along with a breakdown of resource inputs.

5. Detailed Planning

Section 5 provides detailed planning by each process area showing internal audits prioritised based on their linkage to key risks, key processes or key strategic themes. Indicative scopes of work have been detailed for those audits selected for 2015-16.

Area	Page	Area	Page
University-wide	12	External Relations	20
Human Resources	13	Student Experience	21
Estates	15	Teaching	23
Finance	17	Research	24
Information Strategy & Information Technology	19	Governance & Strategy	25
		Commercial	27

Section 1: Internal Audit Planning Approach

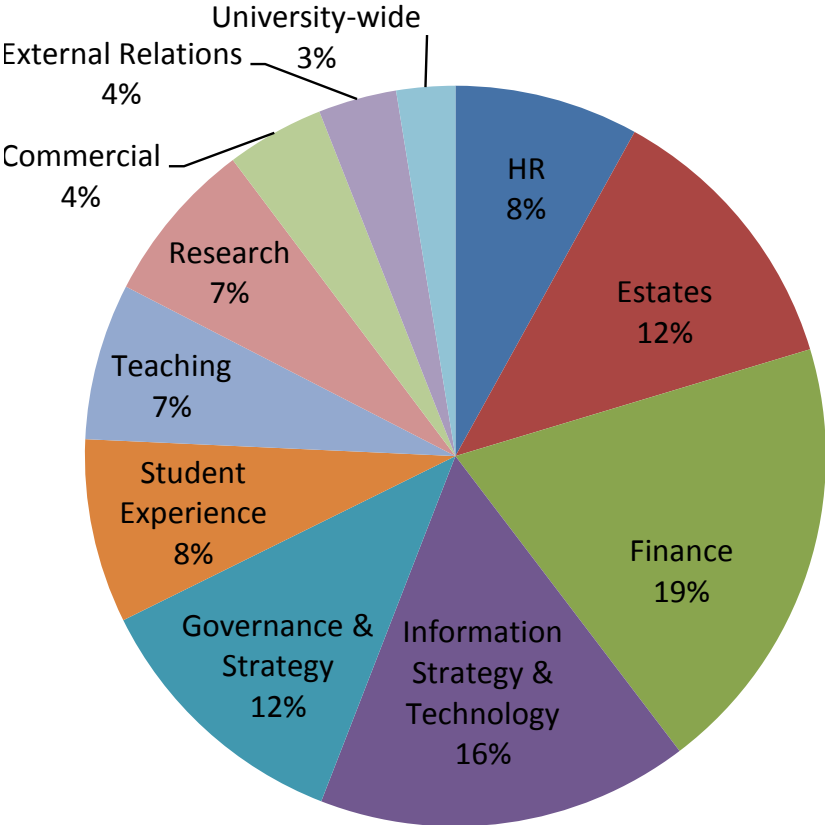


Section 2: Proposed Internal Audit Plan 2015-16

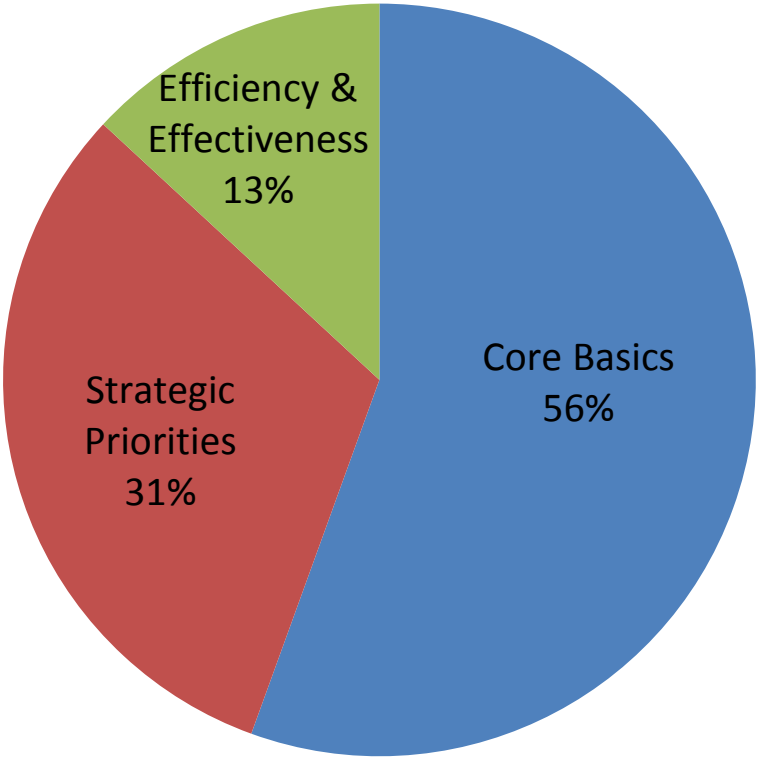
Audit Area	Number	Days	%	Proposed Audits
Human Resources	4	47	8%	<ul style="list-style-type: none"> • Joiners & Leavers Procedures • Staff Annual Review Process • Service Excellence Review • Guaranteed Hours Contract Review
Estates	5	72	12%	<ul style="list-style-type: none"> • Estates Capital Plan • Document Retention • Space Management • Supplier Selection & Management • Cash Handling
Finance	10	113	19%	<ul style="list-style-type: none"> • Key Financial Controls Reviews: <ul style="list-style-type: none"> • Central Finance • Colleges / Schools • Checklist Development • Financial Forecasting Procedures • Heritage Asset Stock Checks & Security • Payroll Analytics • Procurement Analytics • Procurement Procedures – Schools • Income – Schools & Departments • Stock – Schools & Departments
Information Strategy & Information Technology	3	95	16%	<ul style="list-style-type: none"> • IT General Controls • Library Services • Business Continuity & Disaster Recovery
External Relations	2	20	4%	<ul style="list-style-type: none"> • Fundraising Activities • Overseas Offices
Student Experience	5	47	8%	<ul style="list-style-type: none"> • Student Experience Project • UKVI Compliance • Scholarships • Student Recruitment, Retention & Employability • EUSA Priority Risk Review
Teaching	3	40	7%	<ul style="list-style-type: none"> • Collaboration Procedures • Key Location Audit • Academic Quality Assurance
Research	3	42	7%	<ul style="list-style-type: none"> • Research Grant Management • Research Ethics • Key Location Audit
Governance & Strategy	6	69	12%	<ul style="list-style-type: none"> • Risk Register Assurance • Data Quality & Management Information • Fraud Policy Review & Lessons Learned Follow Up • Mandatory & Statutory Returns Compliance Review • Equality & Diversity – Staff & Students • Strategic Project Management
Commercial	1	25	4%	<ul style="list-style-type: none"> • Commercialisation of Research & Knowledge
University-wide	1	15	3%	<ul style="list-style-type: none"> • Health & Safety Compliance
Totals	43	585	100%	

Section 2: Proposed Internal Audit Plan 2015-16

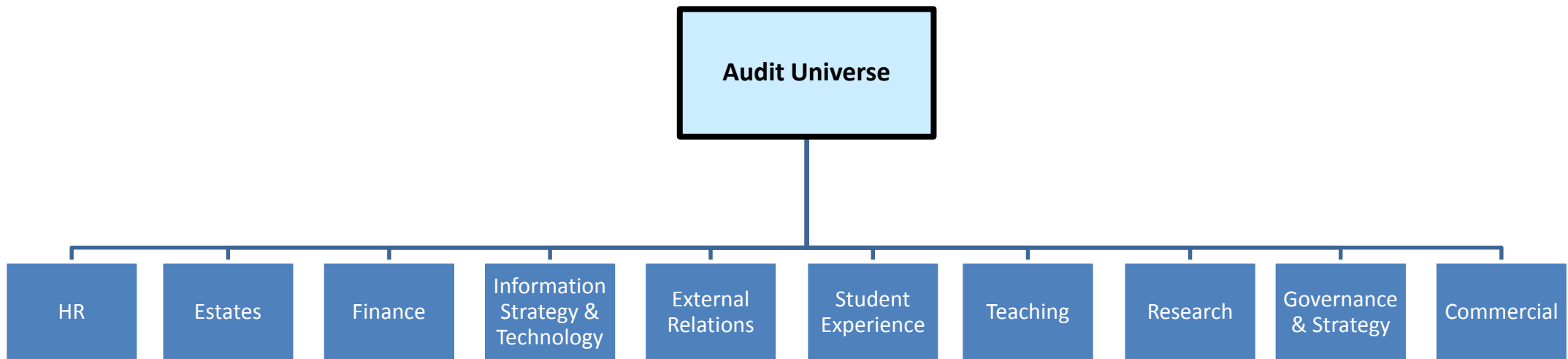
Coverage by Process:



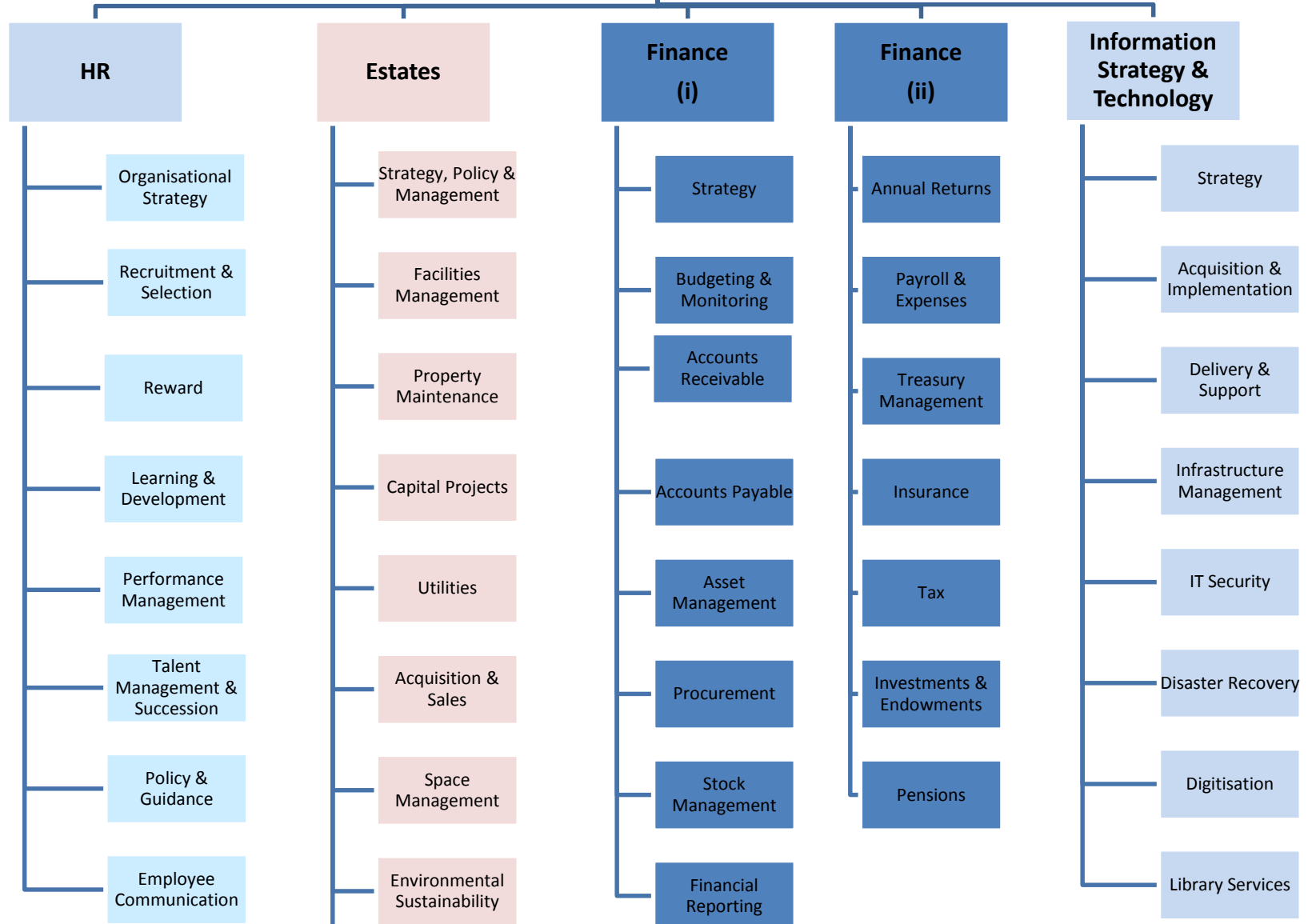
Coverage by Theme:



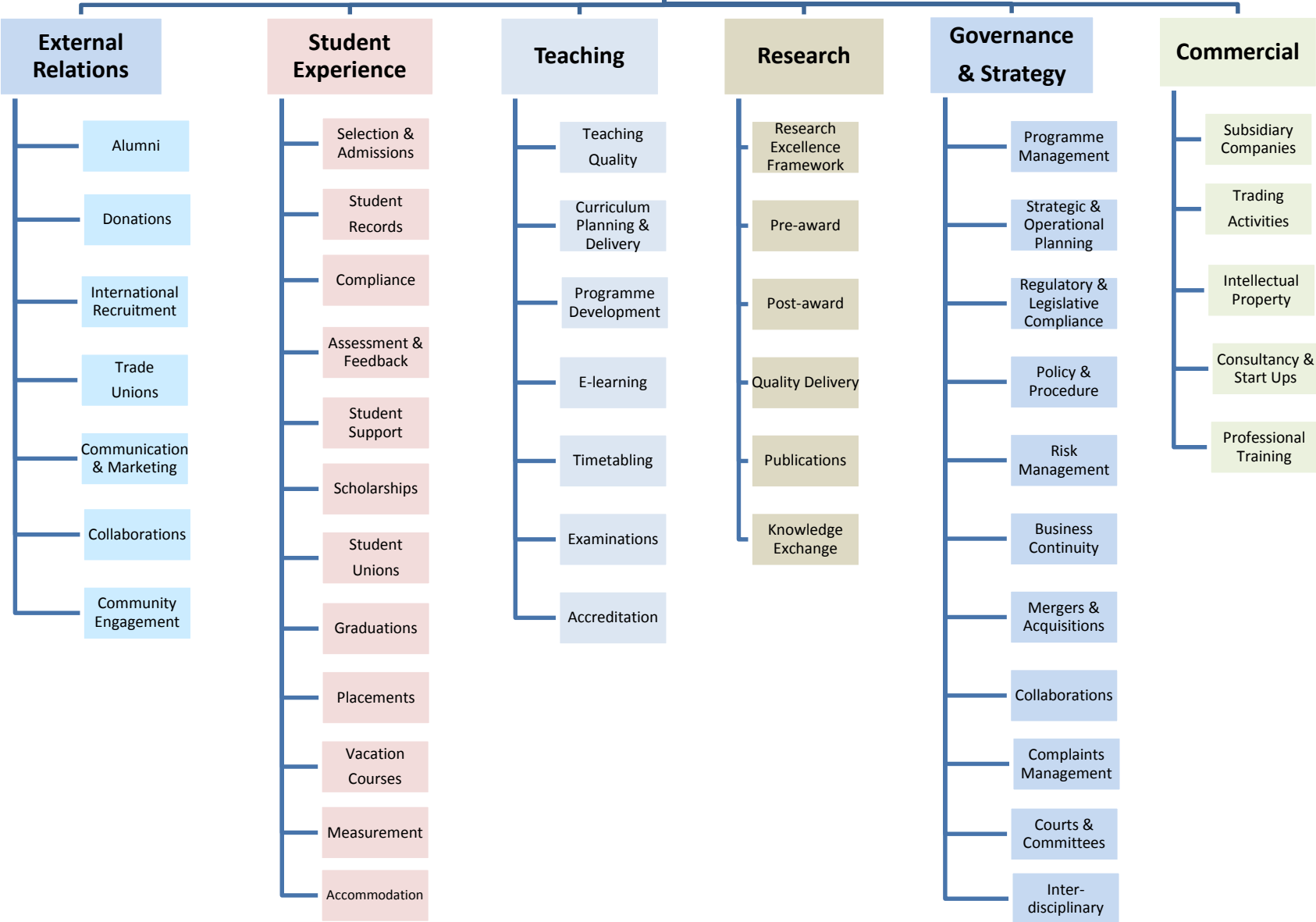
Section 3: Audit Universe – Top Level Processes



Audit Universe (Part 1)



Audit Universe (Part 2)



Section 4: Internal Audit Function Inputs

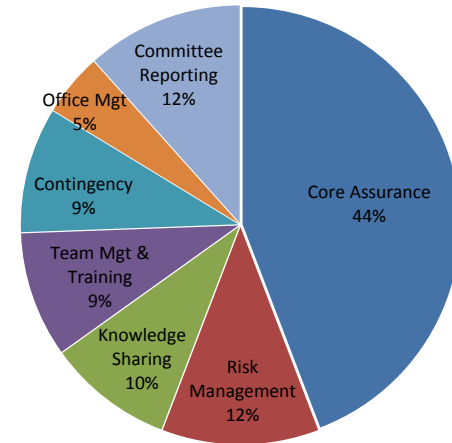


Resource Allocation

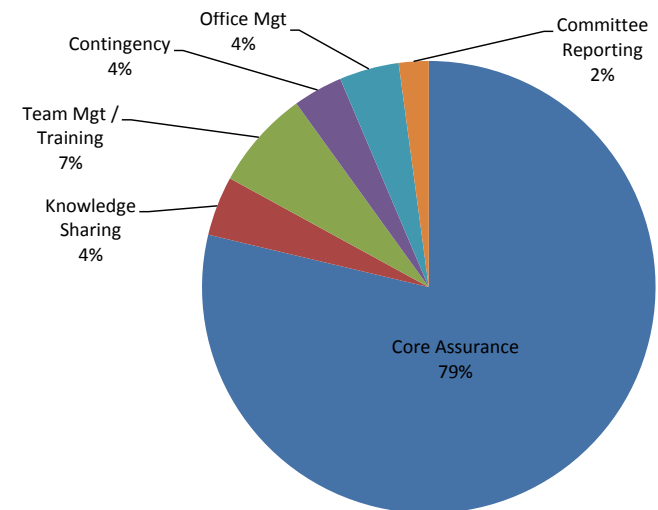
Summary by days:

Input:	CIA	Audit Team	Cont-actor	Total
	Days			
Assurance - Delivery - QA	30 65	495	60	585 65
Risk Management	25			25
Knowledge Sharing	20	30		50
Team Mgt /Training	20	50		70
Contingency	20	25		45
Committee Reporting	25	15		40
Office Management	10	30		40
	215	645	60	920

Chief Internal Auditor:



Internal Auditor:



Section 5: Planning by Process Area

University-wide	Area / Process:	In Plan:	Risk Register:	In Plan:
	Culture Value for Money Health & Safety	√ √	(3) Perceived breach of generally accepted ethical standards.	√

Note: Value for money is an overarching objective and Internal Audit is involved with VFM reporting.

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Health & Safety Compliance	To undertake compliance spot checks on key health & safety requirements across various University locations.	-			√	15	15	A
2	Bribery Act Compliance		13/14	√ (3)			-	10	A

Human Resources	Process:	In Plan:	Risk Register:	In Plan:
	Organisational Strategy		(10) Failure to retain, attract and develop key staff.	√
	Recruitment & Selection	√		
	Reward	√		
	Learning & Development	√	(11) Staff or Union industrial action (eg related to pensions)	√*
	Performance Management	√		
	Talent Management & Succession			
	Policy & Guidance			
	Employee Communication			

*Part covered within Business Continuity Planning under Information Strategy

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategic Enabler / Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Joiners & Leavers Procedures	To review the policies and procedures for joiners and leavers and test compliance across a number of University locations.	14-15	√ (10)	√	√	15		A
2	Staff Annual Review Process & Compliance	To assess the overall annual review completion rates across the University; monitor implementation of new HR guidance in this area and assess root causes for areas of non-compliance.	12-13	√ (10)	√	√	12		B
3	E-recruitment Phase II		13-14	√ (10)	√	√	-	10	B
4	Service Excellence Review	To assess the effectiveness of project governance for Service Excellence Review projects.	-			√	8		C
5	Severance Settlements		-			√	-	5	A

6	Guaranteed Hours Contracts Review	To audit the University's approach to identifying and minimising the risk and impact of Guaranteed Hours Contracts on staff and quality of delivery.	-			√	12		A
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Estates	Process:	In Plan:	Risk Register:	In Plan:
	Strategy, Policy & Management	√	(4) Failure to provide a high quality student experience.	√
	Facilities Management			
	Property Maintenance	√		
	Capital Projects	√	(12) Rate of investment and enhancement of the estate is inadequate to meet the growth aspirations of the University.	√
	Utilities			
	Acquisition & Sale			
	Space Management	√		
	Environmental Sustainability			

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Estates Capital Plan	To review the process for identifying, prioritising and approving major capital projects for inclusion in the Capital Plan. To initially assess the scalability of process and systems to support Capital Plan delivery going forward.	-	√ (12)	√	√	20	10	B
2	Post Implementation Reviews – Key Projects		-		√	√	-	12	C
3	Document Retention	To audit compliance with document retention policies within Estates.	-			√	15		A
4	Space Management	To review the processes for space utilisation data collation & reporting, and management’s identification of improvement opportunities and actions.	-	√ (4)	√	√	12		B
5	Supplier Selection & Management	To audit the supplier selection process and procedures for ongoing supplier performance management.	14-15			√	15		A
6	Maintenance Spend		14-15			√	-	15	A

7	Cash Handling	To assess the adequacy of physical security arrangements for movement of cash within the University.	-				10	-	A
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Finance	Process:	In Plan:	Risk Register:	In Plan:
	Strategy		(17) Maintenance of financial stability & sustainability	√
	Budgeting & Monitoring	√		
	Accounts Payable			
	Accounts Receivable		(new) University & wholly owned subsidiaries fail to comply with procurement legislation	√
	Asset Management	√		
	Procurement	√		
	Stock Management	√		
	Treasury Management			
	Payroll & Expenses	√		
	Financial Reporting			
	Annual Returns			
	Insurance			
	Tax			
	Investments & Endowments			
	Pensions			

Note: Planned Key Financial Controls reviews will cover all key finance processes

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Key Financial Controls Review – Central Finance	To identify, document and test key financial controls across key central finance functions.	-	√ (17)		√	15	15	A
2	Key Financial Controls Review – Colleges / Schools	To identify, document and test key financial controls at College / School level.	-	√ (17)		√	10	10	A
3	Key Financial Controls Checklist Development	Preparation of a Key Financial Controls Checklist for use as an assurance & management tool for Finance Teams.	-	√ (17)		√	5	5	A

4	Financial Forecasting Procedures	To assess the current in-year financial forecasting procedures including forecast preparation, analysis and reporting.	-		√	√	15	20	C
5	Heritage Asset Stock Checks & Security	To undertake an asset verification exercise in relation to key heritage asset stocks and assess physical security arrangements in key locations.	-	√ (17)		√	8	-	A
6	Financial Systems Review		-			√	-	5	A
7	FRS102 Readiness Review		-			√	-	-	A
8	Payroll Analytics	To complete a data analytics exercise using payroll data to provide assurance over key controls, management information and process effectiveness.	-			√	15		C
9	Procurement Analytics	To complete a data analytics exercise using purchasing data to provide assurance over key controls, management information and process effectiveness.	-	√ (17)		√	15		C
10	Procurement Procedures - Schools	To test compliance with procurement procedures across a number of Schools.	-	√ (new)		√	10		A
11	Income – Schools & Departments	To test procedures across a number of Schools & Departments to assess the effectiveness of controls over key income generating activities.	-			√	10		A
12	Stock – Schools & Departments	To test stock management processes across a number of locations.	-			√	10		A

Information Strategy & Information Technology	Process:	In Plan:	Risk Register:	In Plan:
	Strategy, Planning & Organisation Acquisition & Implementation Delivery & Support Infrastructure Management IT Security Disaster Recovery Digitisation Library Services	 √ √ √ √	(13) Insufficient investment and weak coordination of investment across the University in ICT infrastructure, systems development and IS. (14) Loss of sensitive data and business continuity due to systems being compromised or weak personal security practices.	 √

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	IT General Controls	An IT General Controls Assurance Plan will be developed to prioritise assurance needs. This will be a key deliverable linked to Phase 1 of the IT Security Review which is currently being scoped. A programme of IT audits will then be agreed with the Audit & Risk Committee for delivery across the University.		√ (13)		√	60	60	B
2	Business Continuity & Disaster Recovery	To assess the adequacy of Business Continuity & Disaster Recovery Plans across a number of key University locations.		√ (14)		√	20	20	A
3	Library Services	To undertake a risk assessment on key library service processes including income generation and licensing, and test key controls in place to manage these risks.			√	√	15	-	A

Note: Business Continuity & Disaster Recovery also links to key processes noted under Governance

External Relations	Process:	In Plan:	Risk Register:	In Plan:
	Alumni Donations International Recruitment Trade Unions Communications & Marketing Collaborations Community Engagement	√ √ √	(19) Failure to adequately manage the University's international relationships, development, and brand to generate beneficial outcomes in terms of students, research and alumni support	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Fundraising Activities	To audit key fundraising activities across the University for generating, monitoring, delivering and converting fundraising opportunities; and assessing management information to monitor fundraising targets.	-			√	10	-	A
2	Overseas Offices	To audit the process for managing Overseas Offices to ensure adequate governance arrangements are in place, compliance with University processes & procedures, and effective management information & reporting.	-	√ (19)	√	√	10	-	B

Student Experience	Process:	In Plan:	Risk Register:	In Plan:
	Selection & Admissions	√	(4) Failure to provide a high quality student experience	√
	Student Records			
	Compliance	√	(5) Student recruitment fails to meet target numbers	√
	Assessment & Feedback			
	Student Support	√	(6) Student protest actions	
	Scholarships	√	(18) Changes to UK immigration policies and practices, and their inadequate implementation in the University	√
	Student Unions	√	(22) University fails to recruit and retain sufficient widening access students.	
	Graduation			
	Placements			
	Vacation Courses			
	Measurement	√		
	Accommodation			

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Student Experience Project Wrap Up	To audit the process for transitioning the activities of the Student Experience Project into day-to-day University activities.	13-14	√ (4)	√		8		B
2	Student Recruitment, Retention & Employability	To undertake an audit of data collation and management information in relation to recruitment targets, student retention and student employability.	14-15	√ (5)	√	√	10	10	A
3	International Selection		14-15			√	-	12	A
4	Student Support across the University		-	√ (4)	√	√	-	15	B
5	UKVI Compliance	Building on work completed in 2014-15 we will continue to audit UKVI compliance across the University (further resource will be allocated should repeat checks be required).	14-15	√ (18)		√	12	10	A

6	Scholarships	To build on work completed during 2014-15 on the processes across the University for the allocation and monitoring of Scholarship funds.	14-15			√	10		A
7	Student Surveys	Student Assessment & Feedback was audited in 2014-15 and will be subject to ongoing follow up in 2015-16. <i>As part of this we will look at mechanisms to identify and benchmark optimal levels of assessment.</i>	14-15	√ (4)	√	√	-	10	B
8	EUSA Priority Risk Review	To facilitate a risk workshop with EUSA management to help identify & prioritise risk areas for the Association.	14-15			√	7		A

Teaching	Process:	In Plan:	Risk Register:	In Plan:
	Teaching Quality Curriculum Planning & Delivery Programme Development E-Learning Timetabling Examinations Accreditation	√ √ √	(7) Failure to achieve a rating of “effective” in the 2015 ELIR (20) Significant academic collaborations fail to be effectively managed and do not deliver benefits	√ √

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Collaboration Procedures	To audit the procedures for identification, authorisation and reporting of collaboration agreements and test these procedures against a number of collaboration agreements in place across the University.	12-13	√ (20)		√	15	10	B
2	Key Location Audit	Key location audits will focus on the main processes in operation including finance, HR, purchasing and income generation; along with an assessment on compliance with University wide policies & procedures.	-			√	15	15	A
3	Class & Exam Timetabling		-			√	-	15	A
4	Academic Quality Assurance	To audit the procedures across the University for planning, undertaking and reporting Academic Quality Assurance.	-	√ (7)	√	√	10	-	B

Research	Process:	In Plan:	Risk Register:	In Plan:
	Research Excellence Framework		(3) Perceived breach of generally accepted ethical standards	√
	Pre-award	√		
	Post-award	√		
	Quality Delivery	√	(8) Inadequate performance in 2020 REF assessment	
	Publications			
	Knowledge Exchange		(9) Failure to grow and diversify the spread and magnitude of Research Awards	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Research Grant Management (including RMAS)	To walkthrough the research grant management process, identifying and testing the key controls in operation.	13-14	√ (9)		√	15	15	A
2	Research Ethics	To assess University policy and procedure in relation to ensuring high ethical research standards.	-	√ (3)			12	-	A
3	Key Location Audit	A key location will be selected during the year for a full audit visit.	-			√	15	15	A

Governance & Strategy	Process:	In Plan:	Risk Register:	In Plan:
	Programme Management	√	(1) Change to policies or balance of power between Westminster and Holyrood	
	Strategic & Operational Planning			
	Regulatory & Legislative Compliance	√	(2) Developments in government policy/legislation result in changes to University governance, structures and processes	√
	Policy & Procedure	√		
	Risk Management	√		
	Business Continuity	√		
	Mergers & Acquisitions	√		
	Collaborations	√	(15) Insufficient capability or capacity and inadequate management of work priorities, to successfully implement strategic developments and projects.	√
	Complaints Management			
	Court & Committees			
	Interdisciplinary		(16) Inadequate implementation of major change projects both individually and as a combined programme of activity	√
			(18) Changes to UK immigration policies and practice, and their inadequate implementation in the University.	√ (Student Experience)

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Risk Register Assurance	For a sample of key risks on the University Risk Register, provide assurance that the risk is being adequately managed through testing of the controls identified by Management.	-	√ (sample)		√	10	10	A
2	Data Quality & Management Information	To select an area of the University where data quality is a key risk and assess the effectiveness of data collation and reporting,	-			√	12		A

		identifying areas of potential process improvement.							
3	Resource Allocation Model	Identified as a potential audit area due to the need for effective resource allocation in the management of University activities. Future audit involvement will be assessed as an output from the 2014-15 audit.	14-15			√	-	-	A
4	SRUC	Due to the strategic importance and potential risk profile of SRUC this has been included in the plan. Detailed scope will depend on SRUC progression and will be subject to ongoing review with Management.	-	√ (16)	√		TBC	TBC	B
5	Mandatory & Statutory Returns Compliance Review	To assess the University's procedures for ensuring the completeness of mandatory & statutory returns, ensuring these to be of high quality and submitted on a timely basis.	-	√ (2)		√	15	10	A
6	Equality & Diversity – Staff & Students	To audit data quality and the effectiveness of management information in relation to the assessment of equality & diversity for students and staff.	-		√		10		B
7	Strategic Project Management	To review the University's approach for strategic project governance & management, testing key projects to validate the approach.	-	√ (15)		√	10		B
8	Policy Review		-			√	-	12	A
9	Fraud Policy Review and Lessons Learned Follow Up	To review the effectiveness of the University Fraud Policy; to assess whether control improvements have been embedded further to lessons learned reporting from special investigations in 2014-15.	14-15			√	12		A
10	Records Management & Freedom of Information Requests		-			√	-	12	A

Commercial	Process:	In Plan:	Risk Register:	In Plan:
	Subsidiary Companies Trading Activities Intellectual Property Consultancy & Start-ups Professional Training	√ √ √	(new) Failure to increase economic impact by effective industry engagement and commercialisation.	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Commercialisation of Research & Knowledge	This review will consider the University's strategy, guidance, current processes and support available to locations across the University for the effective commercialisation of research and knowledge.	14-15	√ (new)	√	√	25	25	B



CENTRAL MANAGEMENT GROUP

16 June 2015

Meeting dates 2015/6 and 2016/17

Description of paper

1. This paper sets out the proposed dates for Central Management Group 2015-16 and 2016-17.

Action requested

2. CMG is asked to consider the proposed dates.

Recommendation

3. CMG is asked to note the dates.

Background and context

4. CMG's dates are set by Court Services, to accommodate the University committee cycle. CMG meetings will take place at 10 am.

Discussion

5. The proposed dates for CMG 2015-16 are as follows:

- 1 September 2015
- 6 October 2015
- 10 November 2015
- 19 January 2016
- 1 March 2016
- 12 April 2016
- 17 May 2016
- 14 June 2016

6. The proposed dates for CMG 2016-17 are as follows:

- 30 August 2016
- 4 October 2016
- 8 November 2016
- 17 January 2017
- 28 February 2017
- 11 April 2017
- 16 May 2017
- 13 June 2017

Resource implications

7. There are no additional resource implications associated with this paper, the cost of servicing CMG will be met from within existing resources.

Risk Management

8. The scheduling of meetings is important to the overall management and governance arrangements of the University.

Equality & Diversity

9. There are no equality and diversity issues associated with this paper.

Next steps/implications

10. Arrangements will be made to secure venues for these meetings and to notify all members and those in attendance of the future dates of CMG meetings.

Consultation

11. Dates for meetings are set by Court Services in consultation with the Principal, Vice-Convener of Court and University Secretary.

Further information

12. Author

Ms K Graham
Deputy Head of Court Services
May 2015

Presenter

Ms S Smith
University Secretary

Freedom of Information

13. This paper is open.