



THE UNIVERSITY of EDINBURGH

Central Management Group Meeting
Raeburn Room, Old College
19 January 2016, 10am

AGENDA

- 1 **Minute** A
To approve the minute of the meeting held on 10 November 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 **UNPRI Responsible Investment Policy** B
To consider and endorse a paper by the University Secretary.
- 5 **Strategic Plan** C
To consider an update by the Deputy Secretary, Strategic Planning.
- 6 **Information Security Update** D
To consider an update by the Chief Information Officer.
- 7 **Home Office Update** E
To consider and endorse a paper by the University Secretary.
- 8 **Finance Director's Update** F
To consider and note the updates by Director of Finance.
- 9 **Complaint Handling Procedure** G
To consider and approve a paper by the Deputy Secretary, Student Experience.
- 10 **Dignity and Respect Policy** H
To consider and approve a paper by the Director of Human Resources.
- 11 **EvaSys Course Evaluation update** I
To consider and comment on a paper by Director of Student Systems.
- 12 **European Regulation on Data Protection: Implications for the University** J

To comment and approve a paper by the Deputy Secretary Strategic Planning.

- | | | |
|-----------|--|---------------|
| 13 | Internal Audit Status Report | K |
| | To <u>consider and note</u> a report by the Acting Chief Internal Auditor. | |
| 14 | Undergraduate Bursary Review | L |
| | To <u>consider and note</u> a paper by the Deputy Secretary, Strategic Planning. | |
| 15 | Health and Safety Quarterly Report | M |
| | To <u>consider and note</u> a report by the Director of Corporate Services. | |
| 16 | Any Other Business | Verbal |
| | To <u>consider</u> any other matters by CMG members. | |

ITEMS FOR NOTING OR FORMAL APPROVAL

- | | | |
|-----------|---|----------------------------------|
| 17 | Office of Lifelong Learning (CHSS): proposal to change name | N |
| | To <u>approve</u> . | |
| 18 | Fee Proposal | O |
| | To <u>approve</u> . | |
| 19 | Creation of new Chairs | |
| | <ul style="list-style-type: none">• College of Humanities and Social Science• College of Medicine & Veterinary Medicine• College of Science & Engineering | P Q R |
| | To <u>approve</u> . | |
| 20 | Report from Equality & Diversity Monitoring Research Committee | S |
| | To <u>note</u> . | |
| 21 | Principal's Strategy Group | T |
| | To <u>note</u> . | |
| 22 | Date of next meeting | |
| | Tuesday, 1 March 2016 at 10.00am in the Raeburn Room, Old College. | |



CENTRAL MANAGEMENT GROUP

10 November 2015

Minute

- Present:** Senior Vice-Principal Professor Charlie Jeffery
Vice-Principal Professor Dorothy Miell
Vice-Principal Professor Jane Norman
Ms Sarah Smith, University Secretary
Mr Hugh Edmiston, Director of Corporate Services
Ms Tracey Slaven, Deputy Secretary, Strategic Planning
Mr Gary Jebb, Director of Estates
Mr Phil McNaull, Director of Finance
Ms Zoe Lewandowski, Director of HR
- In attendance:** Professor Arthur Trew, on behalf of Vice-Principal Professor Yellowlees
Dr Catherine Elliott, on behalf of Vice-Principal Professor Sir John Savill
Mr Tony Weir, on behalf of Mr Gavin McLachlan
Mr Gavin Douglas, Deputy Secretary, Student Experience
Dr Ian Conn, Director of Communications and Marketing
Ms Leigh Chalmers, Director of Legal Services
Mr Dave Gorman, Director of Social Responsibility and Sustainability
Mr David Kyles, Chief Internal Auditor
Professor Charlotte Clarke, Head of School of Health in Social Science
Ms Kirstie Graham, Deputy Head of Court Services
- Apologies:** The Principal
Vice-Principal Professor Mary Bownes
Vice-Principal Professor Chris Breward
Vice-Principal Professor Jeff Haywood
Vice-Principal Professor John Iredale
Vice-Principal Professor Richard Kenway
Vice-Principal Professor Andrew Morris
Vice-Principal Professor Sir John Savill
Vice-Principal Professor Jonathan Seckl
Vice-Principal Professor James Smith
Vice-Principal Professor Sarah Welburn
Vice-Principal Professor Lesley Yellowlees
Mr Gavin McLachlan, Chief Information Officer
Mr Brian MacGregor, Director of User Services Division

1 Minute

Paper A

The Minute of the meeting held on 6 October 2015 was approved.

2 Principal's Communications

Senior Vice-Principal Professor Charlie Jeffery, on behalf of the Principal, reported on the following: the emerging themes from the

recent senior management retreat; the second round of ELIR visits now underway; the Cabinet Secretary for Education and Lifelong Learning's evidence giving session on the governance bill; the Principal's upcoming meeting with the Deputy First Minister; the recently published Green Paper for Higher Education which proposed far reaching changes to the education landscape; and the upcoming Chancellor's Statement and implications for Scotland.

SUBSTANTIVE ITEMS

3 Strategic Plan: Targets and KPIs Progress Report

Paper B

CMG noted that this was the penultimate year of reporting on the current strategic plan. Overall, the Key Performance Indicators showed an improved or maintained performance for 9 out of the 10 KPIs, with particularly positive results around achievement of the Athena Swan Silver Institutional award, graduate employability and impact on the local economy.

There was a need for further investigation at the target level, particularly around the gender pay gap, postgraduate research students and student experience measures.

There was discussion of the link between the operational targets and the strategic objectives and a view that for the next strategic plan the performance measurement system should be clearer on the link between operational targets and strategic objectives with an enhanced understanding across the university of the relationship between strategic plan measures and business plans. The link between College and School KPIs also required further development.

In terms of the current report, there were discussions around the gender pay gap and lag time in results from activity to address this area and it was noted that the Remuneration Committee was looking closely at this area in relation to grade 10 staff. There was also discussion of student experience measures and academic and pastoral support extending beyond the Personal Tutor system.

4 Draft Outcome Agreement

Paper C

CMG noted that a draft budget was expected in January 2016 and the University was in line with the sector response of waiting for further details of the budget before finalising the 2016-17 Outcome Agreement, which would be for a single year, due to uncertainty over future funding. CMG noted and endorsed the proposed approach to the Outcome Agreement.

5 Research Policy Group

Paper D

CMG considered the proposal to formalise the remit and position of the Research Policy Group (RPG) to ensure there is clearer and

regular oversight of good research practice with particular regard to research integrity and ethics.

Innovation and industry engagement should be noted in the terms of reference and there needed to be clarity around accountability in relation to research ethics across all areas of the University. Subject to this, the remit and terms of reference, as set out in the paper, were approved.

6 Timetabling of Teaching Space in Semester 2

Paper E

CMG was aware of the challenges around timetabling in Semester 1 and noted that the University Secretary had commissioned a review of the timetabling process and related issues, led by the Chief Information Officer, and the findings of this review would come to a future CMG meeting.

In the meantime, CMG considered a paper which addressed the immediate issues in relation to scheduling Semester 2 core teaching activities. This identified that the main challenge was in the central area and this was exacerbated by a “clumping” of key, popular teaching slots. It should be possible to address the central area challenge for semester 2 by both the provision of some additional space and working closely with Schools to identify greater flexibility on time preferences.

CMG noted that requested flexibility around teaching slots may address the immediate semester 2 challenge, but there were a range of issues that needed to be addressed around the quality of teaching space, meeting student expectations and maintaining staff research time. It was noted the current paper did not seek to address or identify solutions to these larger issues and on that basis CMG endorsed the proposed approach to Semester 2 timetabling.

7 Finance Director’s Update

Paper F

The Director of Finance tabled a flash report of the management accounts to October which indicated the financial metrics were all ‘green’. Members were updated on progress on the external debt raising process; the Alan Turing Institute and the implementation plans for FRS 102.

8 People Report

Paper G

CMG noted that this was the first of what was intended to be a quarterly report to CMG on People related matters. CMG welcomed the report and noted the issues raised, including progress with implementing shared parental leave, the visa loan mechanism, the national pay award and impact of the recent increase to the living wage, and implementation of pension changes.

CMG formally noted the achievement of the Athena Swan Silver award and expressed its appreciation and thanks to all those involved in this achievement.

9 Request to Rename the College of Humanities and Social Science Paper H

The renaming of the College of Humanities and Social Science to the College of Arts, Humanities and Social Sciences was approved.

ITEMS FOR NOTING OR FORMAL APPROVAL

10 Proposals for Chair Establishment and Changes Paper I

The proposal to establish a Chair of Cognitive Ageing and/or Cognitive Epidemiology was approved.

11 Fee and Rent Proposals Paper J

The student rent and tuition fee proposals as set out in the paper were approved.

12 Annual Report on Complaint Handling Paper K

CMG noted the annual report on student complaint handling and suggested consideration of the interaction between staff and student complaint processes in future reports.

13 CCTV Policy Paper L

The updated University CCTV Policy was noted.

14 Policy on Speakers and Events Paper M

The Policy on Speakers and Events and establishment of a University Compliance Group was approved.

15 Date of next meeting

The next meeting will be held on Tuesday, 19 January 2016 at 10 am in Raeburn Room, Old College.



CENTRAL MANAGEMENT GROUP

19 January 2016

University of Edinburgh – Responsible Investment Policy Statement

Description of paper

1. This policy statement summarises the approach the University takes to responsible investing, and highlights the progress made along with actions planned in response to policy decisions and strategic objectives relating to environmental, social and governance considerations.

Action requested/Recommendation

2. To endorse the approach taken in responsible investing and to approve the policy statement to be submitted to Court.

Paragraphs 3 – 5 have been removed as exempt from release due to FOI.

Risk Management

6. There is a need to ensure the clear communication of the policy statement to avoid misunderstandings and to ensure a coherent approach to implementation.

Equality & Diversity

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

Next steps/implications

8. The policy statement will be submitted to Policy and Resources Committee and Court for approval.

Consultation

9. The policy statement has been discussed with the Senior Vice-Principal; University Secretary; Director, Finance Specialist Services; Directors of SRS; and EUSA VPS.

Further information

10. Further information on responsible investment is available at <http://www.ed.ac.uk/about/sustainability/themes/responsible-investment>

11. *Author*

Terry Fox
Director, Finance Specialist Services

Presenter

Sarah Smith
University Secretary

Freedom of Information

12. This is a closed paper.



CENTRAL MANAGEMENT GROUP

19 January 2016

Strategic Plan 2016

Description of paper

1. Governance and Strategic Planning have been developing the University's next Strategic Plan in collaboration with senior management, with widespread consultation across the University. This paper presents a high level draft for discussion and comment before further development and discussion at Policy and Resources Committee and Court.

Recommendation

2. CMG is invited to comment on the draft Strategic Plan.

Paragraphs 3 – 9 have been removed as exempt from release due to FOI.

Risk Management

10. The changes to the Strategic Plan may result in changes to the Risk Register. Many of the elements of risk are currently partially managed through the monitoring of the strategic plan.

Equality & Diversity

11. The 2012-16 Strategic Plan was developed with Equality and Diversity issues in mind, and specific elements of the 2012 Plan (including Strategic Theme 12, Equality and Widening Participation, and Enabler 4, People) explicitly link the University's measures of success to KPIs and targets relating to Equality and Diversity. In developing the new plan we have continued to be mindful of these and seek to embed these further. The proposed 'What makes us Edinburgh' section would be particularly mindful of equality and diversity issues, as they relate to staff, students and the wider community within which we operate. We will also ensure that staff and students from different backgrounds and communities are able to contribute to the planning process.

Next steps/implications

12. Comments from CMG and PRC will feed into the draft for Court on 8 February. The draft text, amended with comments from Court, will be opened up to staff and student consultation between early February and April. Governance and Strategic Planning will lead discussions with academic and support groups on how progress against the Plan's aims will be measured, including a review of appropriate KPIs and case studies to illustrate the plan's implementation.

13. Following consultation, the final draft will be presented at the 20 June 2016 Court meeting, for publication at the start of the 2016-17 academic year.

Consultation

14. The draft Plan has been discussed at Principal's Strategy Group. A variety of groups and individuals have input to the plan's development. The following is a non-exhaustive list of other discussions and individuals consulted:

- Discussion at Court seminar.
- Discussion at Senate.
- Discussions at other committees and management groups, including Academic Strategy Group; People Committee; Knowledge Strategy Committee; Learning and Teaching Committee; Research Policy Group; Social Responsibility and Sustainability Committee.
- Nine focus groups, which were open and widely advertised to all staff, on five topics: Research and Innovation; Learning, teaching and student experience; Digital and Data; Global and Local; and Community and Public Engagement and Social Responsibility and Sustainability. These were attended by around 150 staff.
- Comments emailed to GaSP from workshop attendees and others unable to make workshops.
- One-to-one discussions with academic and support group senior managers.
- Attending departmental meetings on the request of teams.
- Engagement with EUSA on how best to consult students, and on intelligence coming from EUSA's own strategic plan consultation.
- One-to-one discussions with any other staff who have expressed a particular interest – for example on data science and analytics.

Further information

15. Author

Pauline Jones

Governance and Strategic Planning

21 December 2015

Presenter

Tracey Slaven

Deputy Secretary, Strategic Planning

Freedom of Information

16. This paper is closed as the draft version is intended for future publication after the February Court meeting.



CENTRAL MANAGEMENT GROUP

19 January 2016

PwC¹ Information Security audit of the University of Edinburgh

Description of paper

1. This paper summarises the findings of the Cyber Security Maturity Assessment carried out by PwC. The review assessed the maturity of the current information security arrangements in place at the University across six domains: priorities; risk; connections; people; technology and crisis. The full PwC report is available on request.

Action requested / Recommendation

2. CMG is asked to note and comment on the paper, in particular, the recommendations set out on page 3.

Paragraphs 3 – 14 have been removed as exempt from release due to FOI.

Risk Management

15. The paper includes recommendations aimed at the enabling the University to better manage the risk in the area of Information Security.

Equality & Diversity

16. There are no direct Equality & Diversity issues associated with the audit.

Paragraphs 17 – 18 have been removed as exempt from release due to FOI.

Consultations

19. This paper has been presented previously to IT Committee, Knowledge Strategy Committee and Audit and Risk Committee, where it met with approval.

Further information

20. Further information may be obtained from the authors of this paper.

Authors

Gavin I. McLachlan
CIO & Librarian to the University

Jo Craiglee
Head of Knowledge Management

Tony Weir
Director, IT Infrastructure

2 September 2015
Revised: 29 October 2015

Presenter

Gavin I. McLachlan
CIO & Librarian to the University

¹ PriceWaterhouseCoopers

Freedom of Information

21. This paper is closed as its disclosure would put the security of the University at risk.



CENTRAL MANAGEMENT GROUP

19 January 2016

Home Office Compliance Update

Description of paper

1. This paper presents an update on key Home Office issues following the recent meeting of the Home Office Compliance Group.

Action requested/Recommendation

2. Central Management Group (CMG) is asked to note the updates and endorse and support the recommendations set out in the paper,

Paragraphs 3 – 28 have been removed as exempt from release due to FOI.

Risk Management

29. Risks are outlined within the main discussion. It should be noted that if the University was to lose either its Tier 2 or Tier 4 licence, the University would lose both licences as a result.

Equality & Diversity

30. Compliance with Home Office requirements are primary to the University's commitment to equality and diversity.

Next steps/implications

31. Recommendations will be taken forward as stated if endorsed by CMG.

Consultation

32. The paper was drafted by members of the Home Office Compliance Group and approved by the University Secretary.

Further information

33. Authors

Barry Neilson
Director of Student Systems

Alan Mackay
Director of International Office

Zoe Lewandowski
Director of Human Resources

Presenter

Sarah Smith
University Secretary

11 January 2016

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

19 January 2016

Finance Director's Report

Description of paper

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

Action requested/Recommendation

2. CMG is asked to note the content and comment or raise questions. CMG colleagues can use this report to brief their teams on Finance matters.

Background and context

3. The paper provides a monthly update on finance related issues for CMG.

Paragraphs 4 – 25 have been removed as exempt from release due to FOI.

Equality & Diversity

26. 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

27. Requested feedback is outlined.

Further information

28. Authors

Lee Hamill
Deputy Director of Finance
8 January 2016

Presenter

Phil McNaul
Finance Director

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

19 January 2016

The University's Complaint Handling Procedure (CHP)

Description of paper

1. This paper sets out proposed changes to the University's Complaint Handling Procedure (CHP).

Action requested/Recommendation

2. CMG is requested to approve the proposed revisions to the CHP.

Background and context

4. In line with the requirements of the Scottish Public Services Ombudsman (SPSO), the University adopted the SPSO's Model CHP for the higher education sector on 12 March 2013. Edinburgh was the first institution to move to the model, working from a template provided by SPSO. It later emerged that some sections had been accidentally omitted from the early version of the template by SPSO, and some of the proposed changes are therefore to insert the missing sections (new Sections 3.3 and 3.4; and consequent renumbering).

5. SPSO indicated that institutions were expected to adopt the model in its entirety, and the wording throughout is therefore essentially as set by SPSO; there were just three sections where institutions were permitted to customise the model, namely in relation to the sections on:

- confidentiality and the Data Protection Act
- internal governance of complaint handling
- dealing with 'unacceptable behaviour' (this is the wording used by SPSO) on the part of complainants.

6. With the benefit now of almost three years' experience of working with the CHP, we propose changes to Section 8 of the CHP, which covers the circumstances in which the University may restrict or deny access to the CHP where a complainant's behaviour is deemed unacceptable. The effect of the proposed changes is to simplify the circumstances under which behaviour may be deemed unacceptable and shorten the text, whilst giving the University the ability to look into issues raised by the complainant where appropriate. The proposed changes also specify that we will make reasonable adjustment where necessary; clarify review/appeal arrangements where access has been restricted or denied; and ensure that we will report numbers of cases where a restriction has been put in place.

Discussion

7. There has been a delay in bringing forward these proposed changes as we were anticipating minor changes by SPSO to the Model CHP and had intended to bring a single set of amendments to CMG for formal approval. Those changes have not yet been forthcoming, and we therefore ask CMG to approve the correction to sections 3.3 and 3.4, and the revisions to section 8.

Resource implications

8. There are no immediate resource implications.

Risk Management

9. There are no risks in the amendments *per se*. Risk management is a key element in the successful handling of all complaints, and having clear procedures which are compliant with the SPSO model is essential.

Equality & Diversity

10. SPSO carried out an EIA before publishing the model CHP. The proposed changes to section 8 make specific reference to 'reasonable adjustment', which was previously missing from this section.

Next steps/implications

11. The Investigations Manager will be responsible for publishing the revised CHP on the web and for notifying appropriate colleagues, staff in The Advice Place, and QAC.

Consultation

12. None required, other than approval by CMG.

Further information

13. Author

Jean Grier
Investigations Manager
17 December 2015

Presenter

Gavin Douglas
Deputy Secretary Student Experience

Freedom of Information

14. This paper is open.

[REVISIONS DECEMBER 2015, FOR IMPLEMENTATION IN AY 2015/16](#)

The University of Edinburgh Complaint Handling Procedure

March 2013

[\[INSERT NEW DATE ACTIVE\]](#)

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The University of Edinburgh Complaint Handling Procedure (CHP)

1 Foreword

1.1 This Complaint Handling Procedure reflects the University's commitment to valuing complaints. Students and recent students, applicants and members of the public should feel free to raise matters of concern without risk of disadvantage. Our aim is to resolve issues of dissatisfaction as close to the initial point of contact as possible and to conduct thorough and fair investigations of complaints so that, where appropriate, we can make evidence-based decisions on the facts of each individual case.

1.2 Resolving complaints early saves time and resource and contributes to the overall efficiency of the University. Concentrating on achieving an early resolution of a complaint as close to the point of contact as possible will free up the time of academic and support staff and ultimately contribute to the continued positive experience of our students and members of the public.

1.3 This procedure has been drawn up in compliance with *The Scottish Higher Education Model Complaints Handling Procedure* published by the Scottish Public Services Ombudsman (SPSO) on 19 December 2012.

1.4 This procedure was formally approved by Central Management Group on 6 March 2013, for implementation from 11 March 2013. [Revisions were approved by CMG on \[date\] and implemented with immediate effect.](#)

2 Scope and purpose

2.1 What is a complaint?

For the purpose of this procedure, a complaint may be defined as:

'An expression of dissatisfaction by one or more individuals about the standard of service, action or lack of action by or on behalf of the Institution.'

A complaint may relate to:

- the quality and standard of service
- failure to provide a service
- the quality of facilities or learning resources
- treatment by or attitude of a staff member, student or contractor
- inappropriate behaviour by a staff member, student or contractor
- the failure of the University to follow an appropriate administrative process

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- dissatisfaction with the University's policies, although it is recognised that policy is set at the discretion of the University.

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The definition of a complaint is very broad and the list above is not exhaustive. However, not every concern raised with the University is a complaint. For example, the following **are not complaints**:

- a routine, first-time request for a service
- a request under the Freedom of Information (Scotland) Act or Data Protection Act*
- a request for information or an explanation of policy or practice
- a response to an invitation to provide feedback through a formal mechanism such as a questionnaire or committee membership will generally not be treated as a complaint
- an insurance claim
- an issue which is being, or has been, considered by a court or tribunal
- a request for compensation only
- an attempt to have a complaint reconsidered where the University's procedure has been completed and a final decision has been issued
- a grievance by a member of staff which is eligible for handling through the [Staff] Grievance Policy**
- an appeal about an academic decision on assessment or admission***.

These issues will be dealt with under the alternative appropriate processes rather than under the CHP. It should be noted, however, that some situations can involve a combination of issues, some are complaints and others are not, and each case should be assessed on a case by case basis.

*For information on **Freedom of Information** or **Data Protection Act** requests, please see <http://www.pubs.recordsmanagement.ed.ac.uk/index.cfm>.

**For information on the Grievance Policy for members of staff, please see http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Grievance_Policy.pdf

***For information on **academic appeals**, please use appropriate links from <http://www.ed.ac.uk/schools-departments/academic-services/students/undergraduate/academic-appeals>.

2.2 Who can make a complaint?

The CHP covers complaints from anyone who receives, requests or is affected by our services. Complaints may be submitted by:

- current students and those who have left recently (all referred to as 'students' through the remainder of this document), where they have a complaint about matters which are (or were at the time they arose) the responsibility of the University
- members of the public, where they have a complaint about matters which are (or which

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were at the time the issue arose) the responsibility of the University

- members of the public who are applying for admission to the University and whose complaint does not relate to academic judgement.

The basic processes for investigating complaints are the same for students, members of the public and applicants to the University.

Sometimes individuals may be unable or reluctant to make a complaint on their own. The University will accept complaints brought by third parties, as long as the individual affected has given their personal consent under the requirements of the Data Protection Act (1998). This usually means that the complainant must give clear written authority to the University for the third party to act on their behalf. Complaints made by a third party with the explicit permission of the complainant will be dealt with according to the same timescales.

2.3 Anonymous complaints

Complaints submitted anonymously will be considered if there is enough information in the complaint to enable the University to make further enquiries. If, however, an anonymous complaint does not provide enough information to enable us to take further action, we may decide not to pursue it further. However, the University may give consideration to the issues raised, and will record the complaint so that corrective action can be taken as appropriate.

Any decision not to pursue an anonymous complaint must be authorised by a senior member of staff. If an anonymous complaint contains serious allegations, it should be referred to a senior member of staff immediately.

2.4 Complaints involving more than one department

If a complaint relates to the actions of two or more departments, Schools or service areas, the staff member receiving the complaint must confer with the other area(s) to decide who will take the lead on the complaint. The complainant will be told to whom the complaint is being passed and given their contact details. Coordination may be required between different areas of the University to ensure that the complaint is fully addressed in a single response. The nature of the complaint may also require parallel procedures to be initiated (such as referral to academic appeal procedures or staff or student disciplinary procedures).

2.5 Complaints involving other organisations or contractors who provide a service on behalf of the University

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If an individual complains to the University about the service of another organisation, but the University has no involvement in the issue, the individual should be advised to contact the appropriate organisation directly.

Where a complaint relates to a University service and the service of another organisation the complaint must be handled through the CHP in the first instance. In particular, the same timescales will apply. This relates to complaints that involve services provided on the University's behalf (such as partner institutions and contractors) or to those provided by a separate organisation (such as awards agencies). If enquiries to an outside organisation in relation to the complaint are required, care must be taken to comply with Data Protection legislation and the guidance on handling personal information. Such complaints may include, for example:

- A complaint made in relation to provision of third-party services
- A complaint made about a service that is contracted out
- A complaint made to the University about a student loan where the dissatisfaction relates to the service we have provided and the service the loan agency has provided.

2.6 Time limit for making complaints

Complaints should be raised with the University as soon as problems arise to enable prompt investigation and swift resolution. This CHP sets a time limit of six months to raise a complaint with the University, starting from when the complainant first became aware of the problem, unless there are special circumstances for requesting consideration of a complaint beyond this time.

Beyond the six-month time limit, the University will exercise discretion in the way that the time limit is applied. This will take account of the time limit within which a member of the public can normally ask the SPSO to consider complaints, which is twelve months from when the person first became aware of the issue about which they are complaining.

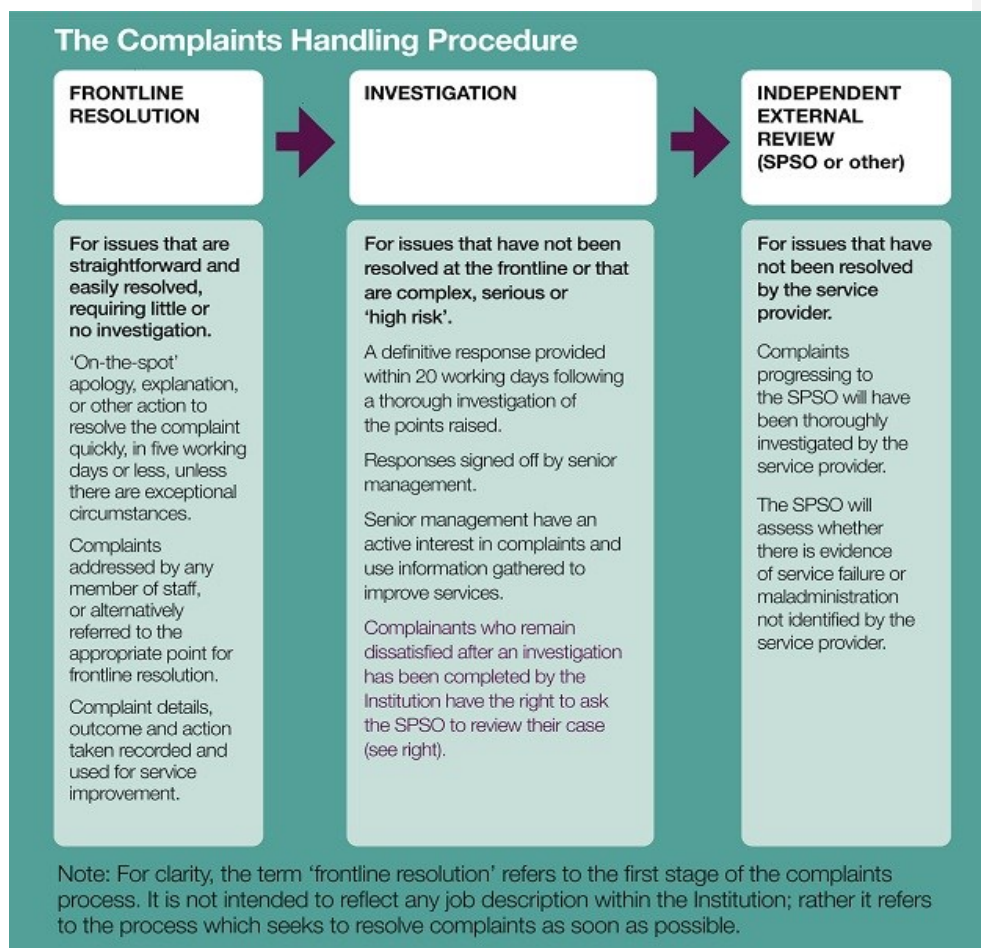
3 The Complaint Handling Procedure

3.1 Overview

The CHP is intended to provide a quick, simple and streamlined procedure with a strong focus on early resolution by empowered and well-trained staff. The procedure involves up to two stages, details of which are explained below. Stage 1 - Frontline Resolution seeks to resolve straightforward complaints swiftly and effectively at the point at which the complaint is made, or as close to that point as possible.

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Stage 2 - Complaint Investigation is appropriate where a complainant is dissatisfied with the outcome of frontline resolution, or where frontline resolution is not possible or appropriate due to the complexity or seriousness of the case.



3.2 Stage 1: Frontline Resolution – to be completed within five working days

Anyone who has a complaint is encouraged to raise it initially at the point of, or as close to the point of, becoming aware of it as possible and to raise it with the department or service area in

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which the issue arose. Complaints at this stage may be made face-to-face, by phone, in writing or by email.

The purpose of frontline resolution is to attempt to resolve as quickly as possible complaints which are straightforward and require little or no investigation. Complaints at this stage of the process may be addressed by any relevant member of the University's staff and may be handled by way of a face-to-face discussion with the complainant, or by asking an appropriate member of staff to deal with the complaint.

Members of staff to whom complaints are made will consider some key questions:

- Is this a complaint or should the individual be referred to another procedure?
- What specifically is the complaint (or complaints) about and which area(s) of the University is /are involved?
- What outcome is the complainant hoping for and can it be achieved?
- Is this complaint straightforward and likely to be resolved with little or no investigation?
- Can the complaint be resolved on the spot by providing an apology /explanation / alternative solution?
- If I cannot help, can another member of staff assist in seeking a frontline resolution?
- What assistance can be provided to the complainant in taking this forward?

Resolution may be achieved by providing an on-the-spot explanation of why the issue occurred and/or an apology and, where possible, what will be done to stop this happening in the future.

If responsibility for the issue being complained about lies in the staff member's area of work, every attempt will be made to resolve the problem at source. If responsibility lies elsewhere, the staff member receiving the complaint will liaise with the relevant area rather than simply passing the complainant on to another office.

3.3 Extension to the five day timeline

Frontline resolution should normally be completed within five working days, though a resolution may be achieved more quickly. In exceptional circumstances a short extension of time may be necessary to increase the possibility of resolving the complaint at the frontline resolution stage (for example, by obtaining information from other areas where no single area of the University is responsible for the issue(s) being complained about). Where an extension is required this must be agreed by an appropriate senior manager. The complainant must be told of the reasons for extending the deadline and advised of the new timescale for resolution.

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3.4 Closing the complaint at the frontline resolution stage

The outcome will be communicated to the complainant. This may be face-to-face, by phone, in writing or by email. There is no requirement to send out further written communication to the complainant, although the University may issue a written response where it seems helpful to do so.

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Once a decision has been issued, the record of the complaint must be updated on the recording system, including details of the decision reached. The complaint should then be closed.

3.53 Stage 2: Complaint Investigation – to be completed within 20 working days

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These complaints may already have been considered at the frontline resolution stage, or they may be complaints identified upon receipt as appropriate for immediate investigation.

A complaint will be moved to the investigation stage when:

- frontline resolution was attempted, but the complainant remains dissatisfied. This may be after the case has been closed following the frontline resolution stage
- the complainant refuses to recognise or engage with the frontline resolution process and is insistent that the issue be addressed by a more senior member of staff
- the issues raised are complex and will require detailed investigation
- the complaint relates to issues that have been identified by the University as high risk or high profile.

Special attention will be given to identifying complaints considered high risk or high profile, as these may require particular action or may raise critical issues requiring direct input from senior management. Potential high risk /high profile complaints may:

- involve a death or terminal illness
- involve serious service failure, for example major delays in service provision or repeated failures to provide a service
- generate significant and on-going press interest
- pose a serious operational risk to the University
- present issues of a highly sensitive nature.

A person can make a complaint in writing, in person, by telephone, by email or online or by having someone complain on their behalf. Where it is clear that a complaint will need to be considered at the investigation stage rather than through frontline resolution, the complainant will be asked to complete the appropriate complaint form to provide full details of the complaint and any relevant documentation. If they choose not to write it down and would prefer to complain in person, the complaint form can be completed with them and a letter to confirm the scope of the complaint issued to them.

The purpose of conducting an investigation is to establish all of the facts relevant to the points made in the complaint and to provide a full, objective and proportionate response to the complainant that represents the University's definitive position.

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3.4 What the University will do when it receives a complaint for Stage 2 Complaint Investigation

The University will allocate the complaint to a Complaint Investigator (see section 5.1 of this procedure). It is important to be clear from the start of the investigation stage exactly what is being investigated, and to ensure that both the complainant and the investigator understand the scope of the investigation. In discussion with the complainant, three key questions should be considered:

- 1 What specifically is the complaint (or complaints)?
- 2 What does the complainant hope to achieve by complaining?
- 3 Do the complainant's expectations appear to be reasonable and achievable?

If the complainant's expectations appear to exceed what the University can reasonably provide or are not within the University's power to provide, the complainant will be advised of this as soon as possible in order to manage expectations about possible outcomes.

Details of the complaint must be recorded on the system for recording complaints. Where the complaint has been through the frontline resolution stage this must be shown in the complaints log. At the conclusion of the investigation the log must be updated to reflect the final outcome and any action taken in response to the complaint.

3.5 Timelines

The following deadlines will be used for cases at the investigation stage of the CHP:

- complaints will be acknowledged in writing within three working days
- the University will provide a full response to the complaint as soon as possible but not later than 20 working days from the time that the complaint was received for investigation.

3.6 Extension to the timeline

Not all investigations will be able to meet this deadline; for example some complaints are so complex that they will require careful consideration and detailed investigation beyond the 20 working days timeline. Where there are clear and justifiable reasons for extending the timescale, senior management will exercise judgement and will set time limits on any extended investigation, with the agreement of the complainant. If the complainant does not agree to an extension but it is unavoidable and reasonable, then senior management must consider and confirm the extension. In such circumstances, the complainant must be kept updated on the reason for the delay and given a revised timescale for bringing the investigation to a conclusion. It is expected, however,

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that this will be the exception and that the University will always strive to deliver a definitive response to the complaint within 20 working days.

Where an extension has been agreed, this will be recorded appropriately and the proportion of complaints that exceed the 20 working day-limit will be evident from reported statistics.

3.7 Mediation and other dispute resolution options

Some complex complaints (where, for example, the complainant and/or other involved parties have become entrenched in their position) may benefit from a different approach to resolving the complaint. Using mediation can help both parties to understand what is driving the complaint, and may be more likely to result in a mutually satisfactory conclusion being reached. Whilst the University does not have a formal mediation service, parties wishing to consider alternatives to complaint investigation should enquire about this with the investigator. Where other means of dispute resolution are attempted, the complaint investigation will be suspended pending the outcome. If the complaint is not resolved by alternative resolution techniques, complaint investigation will be resumed and revised timescales will be agreed.

3.8 Closing the complaint at the Complaint Investigation stage

The outcome of the investigation will be communicated to the complainant in writing. The decision, and details of how and when it was communicated to the complainant, must be recorded on the system for recording complaints. The decision will also advise the complainant about:

- their right to ask the SPSO to review the complaint
- the time limit for doing so
- how to contact the SPSO.

4 Independent external review (SPSO)

4.1 Role of the SPSO

Once the Stage 2 Complaint Investigation has been completed, the complainant is entitled to ask the SPSO to look at their complaint. The SPSO considers complaints from people who remain dissatisfied at the conclusion of the University's CHP. The SPSO looks at issues such as service failure and maladministration (administrative fault) as well as the way the University has handled the complaint.

4.2 Contact information for the SPSO

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The SPSO requires the University to use the wording below to inform complainants of their right to ask the SPSO to review the complaint.

Information about the SPSO

The Scottish Public Services Ombudsman (SPSO) is the final stage for complaints about public services in Scotland. This includes complaints about Scottish universities. If you remain dissatisfied with a university after its complaints process, you can ask the SPSO to look at your complaint. The SPSO cannot normally look at complaints:

- where you have not gone all the way through the university's complaints handling procedure
- more than 12 months after you became aware of the matter you want to complain about, or
- that have been or are being considered in court.

The SPSO's contact details are:

SPSO
4 Melville Street
Edinburgh
EH3 7NS

SPSO
Freepost EH641
Edinburgh
EH3 0BR

Freephone 0800 377 7330
Online contact www.spso.org.uk/contact-us
Website www.spso.org.uk
Mobile site: <http://m.spso.org.uk>

5 Governance of the Complaint Handling Procedure

5.1 Staff roles and responsibilities

All staff will be aware of:

- the CHP
- how to handle and record complaints at the frontline resolution stage
- who they can refer a complaint to if they are unable to handle the matter personally
- the need to try and resolve complaints early and as locally (within their department) as possible and

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- their clear authority to attempt to resolve any complaints they may be called upon to deal with.

Senior management will ensure that:

- the University's final position on a complaint investigation is signed off by an appropriate senior member of staff in order to provide assurance that this is the definitive response of the University and that the complainant's concerns have been taken seriously
- it maintains overall responsibility and accountability for the management and governance of complaints handling within the University
- it has an active role in, and understanding of, the CHP (although not necessarily involved in the decision making process of complaints handling)
- mechanisms are in place to ensure a consistent approach to the way complaints handling information is managed, monitored, reviewed and reported at all levels in the University, and
- complaints information is used to improve services, and this is evident from regular publications.

Principal: The Principal provides leadership and direction to the University. This includes ensuring that there is an effective CHP with a robust investigation process which demonstrates that organisational learning is in place. The Principal delegates responsibility for the procedure to the **University Secretary**, and receives assurance of complaints performance by way of regular reporting. The University Secretary should ensure that complaints are used to identify service improvements, that these improvements are implemented, and that learning is fed back to the wider organisation as appropriate.

Investigations Manager: reports to the University Secretary and is responsible for receiving and acknowledging complaints at the Complaint Investigation stage. The Investigations Manager checks complaints initially to ensure that they are within time and within jurisdiction, refers them for frontline resolution if this has not been attempted and seems appropriate, and is responsible for the allocation of complaint investigations to appropriate trained investigators, bearing in mind the need to avoid any possible conflict of interest. The Investigations Manager is also responsible for signing off the Investigation Report (in consultation with senior colleagues as necessary) and for ensuring that a) individuals affected by the report are notified of the outcome as appropriate and b) case-specific remedial action and/or process improvement for the future are drawn to the attention of the relevant area(s). The Investigations Manager is also the University's SPSO Liaison Officer. As SPSO Liaison Officer, the Investigations Manager is responsible for providing complaints information in an orderly, structured way within requested timescales, providing comments on factual accuracy on behalf of the University in response to SPSO reports, confirming recommendations have been implemented, and providing evidence to verify this.

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Complaint Investigator: Complaint Investigators are suitably trained staff members responsible for the conduct of the complaint investigation and are involved in the investigation and the co-ordination of all aspects of the response to the complainant. This may include preparing a comprehensive written report, including details of any recommended procedural changes to service delivery. Working with the Investigations Manager, Complaint Investigators have a clear remit to investigate effectively and reach robust decisions on more complex complaints. This also requires clear direction and support from senior management on the extent and limits of discretion and responsibilities in investigating and resolving complaints, including the ability to identify failings, take effective remedial action and issue an apology, where it is appropriate to do so.

All staff: A complaint may be made to any member of staff. All staff must, therefore, be aware of the CHP and how to handle and record complaints at the frontline resolution stage. They should also be aware of whom to refer a complaint to, if they are not able to handle the matter personally. We encourage all staff to try to resolve complaints early, as close to the point of service delivery as possible.

6 Recording, reporting, publicising and learning

Valuable feedback is obtained through complaints. One of the objectives of the CHP is to identify opportunities to improve provision of services across the University. Staff must record all complaints so that complaints data can be used for analysis and management reporting. By recording and using complaints information in this way, the causes of complaints can be identified and addressed and, where appropriate, training opportunities can be identified and improvements introduced.

6.1 Recording complaints

To collect suitable data, it is essential that all complaints are recorded in sufficient detail. The minimum requirements are as follows:

- name and contact details of the complainant and student matriculation number (if applicable)
- date of receipt of the complaint
- how the complaint was received
- category of complaint
- staff member responsible for handling the complaint
- department to which the complaint relates
- action taken and outcome at frontline resolution stage
- date the complaint was closed at the frontline resolution stage
- date the investigation stage was initiated (if applicable)

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- action taken and outcome at investigation stage (if applicable)
 - date the complaint was closed at the investigation stage (if applicable)
 - underlying cause and remedial action taken (if applicable)
 - response times at each stage

The University has structured systems for recording complaints, their outcomes and any resulting action so that the complaint data can be used for internal reporting as indicated below.

6.2 Reporting of complaints

The University has a system for the internal reporting of complaints information. Regularly reporting the analysis of complaints information helps to inform management of where improvements are required. Information reported internally will include:

- performance statistics, detailing complaints volumes, types and key performance information, for example on time taken and stage at which complaints were resolved
- the trends and outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped improve services.

This information will be reported at least quarterly to the appropriate committees and at least annually to Central Management Group (CMG).

6.3 Publicising complaints performance information

The University will publish on a quarterly basis a summary of complaints outcomes, trends and actions taken to improve services, with a focus on case studies and examples of how complaints have helped improve services. This may also include positive feedback from students and members of the public.

This demonstrates the University's approach to improving services on the basis of complaints and shows that complaints can influence our services. It also helps ensure transparency in our complaints handling and will help to demonstrate to our students and members of the public that we value their complaints.

The University will report on complaint handling performance annually in line with SPSO requirements.

6.4 Learning from complaints

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Complaint Investigators will always try to ensure that all parties involved understand the findings of the investigation and any decisions made. Senior management will ensure that the University has procedures in place to act on issues that are identified. These procedures facilitate:

- using complaints data to identify the root cause of complaints
- taking action to reduce the chance of this happening again
- recording the details of corrective action in the complaints file
- systematically reviewing complaints performance reports to improve performance.

The analysis of management reports detailing complaints performance will help to ensure that any trends or wider issues which may not be obvious from individual complaints are quickly identified and addressed. Where the University identifies the need for service improvement:

- an member of staff (or team) will be designated the 'owner' of the issue, with responsibility for ensuring that any identified action is taken
- a target date will be set for the action to be implemented, and followed up on to ensure delivery within this timescale
- where appropriate, performance in the service area will be monitored to ensure that the issue has been resolved.

7 Maintaining confidentiality

7.1 Confidentiality and data protection

Complaints will be handled with discretion and access to information about individual investigations will only be shared with those who have a legitimate access requirement. In determining access requirements the University will have regard to legislative requirements; for example, data protection legislation and freedom of information legislation and also internal policies on confidentiality and the use of complainant information.

Information about individual complaints will only be shared with those who need access for a legitimate University purpose. This includes staff investigating and responding to the complaint.

Individuals have the right to access information concerning them, except in limited circumstances. For example, complainants and other parties to the complaint are entitled to access the information about them gathered by complaint investigators. Exceptions to the right to access information about oneself include occasions where disclosure would have an adverse impact on health and wellbeing, management planning, negotiations or the prevention or detection of crime.

Promises of confidentiality will only be given when absolutely necessary to obtain the co-operation of a witness. For example, a witness to an alleged sexual assault may be unwilling to provide a

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statement to complaint investigators without a promise of confidentiality. Promises of confidentiality will be specific and conform to University guidance.

7.2 Reporting outcomes

Where a complaint has been raised against a student or member of staff and has been upheld or partially upheld, the complainant will be advised of this. However, information about specific students or staff members will not normally be shared, particularly where disciplinary action is taken.

8 Managing unreasonable complaints and/or unacceptable behaviour

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8.1 Basic principles and expectations

The University values complaints as an important tool in enabling students and recent students, applicants and members of the public to raise matters of concern with the University. The University seeks to learn from complaints, in order to improve what we do and how we work with our students and in the community. We look at all complaints which we receive.

We occasionally receive complaints which we are unable to resolve, or where we consider it would be a disproportionate use of staff time to look further at the complaint, and in these cases we will advise the complainant why we are not taking matters further.

Very occasionally, a complainant will behave in a way which we consider unacceptable, and in these cases too we may restrict or deny further access to the complaint handling procedure. This may be because of:

- aggressive or abusive behaviour, or because of
- other types of unreasonable behaviour such as excessive levels of contact.

Where necessary, we will make reasonable adjustment for a disability, and will take this into account as appropriate before making any decision to restrict or deny further access to the complaint handling procedure.

If action to restrict or deny access to the Complaint Handling Procedure is deemed necessary, we will advise the complainant of this and reasonable attempts will nevertheless be made to complete the investigation of the complaint, though contact with the complainant may be restricted.

8.2 Unreasonable demands, and complaints with no prospect of success

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The University receives a small number of complaints about matters where there is no prospect of an outcome which would satisfy the complainant. In such cases, we may decide that it would be an unreasonable use of staff, time and resources to investigate the complaint further, because doing so would impact substantially on the work of the office with no prospect of a satisfactory outcome for the complainant. Examples of situations where we may decide it would be unreasonable to consider the complaint further include:

- matters which are outwith the University's jurisdiction – for example, a complaint about a new building, the planning application for which was approved by the local authority; or a complaint about road surfaces following work carried out by a utility company
- matters where a full explanation has already been given, and where there is nothing further the University can do – for example, a complaint about the level of fees charged to an international student, where those fees have been clearly published in advance of that student's admission and where the student clearly falls within the definition of 'overseas' set by the relevant legislation
- matters where policy has been decided (either by the University or by a relevant professional body) in relation to entry qualifications – for example, a complaint that school-level qualifications obtained many years ago are not recognised for admission purposes due to passage of time
- matters where the outcome being sought is disproportionate to the issue being complained about – for example, a request for a wholesale review of security procedures following the loss of a small item of personal property accidentally left in a lecture theatre
- matters where the complaint arises from a difference of view or opinion – for example, a complaint that research publicised by the University advances science in the wrong direction; or a complaint that a public lecture offered political views to which the complainant is opposed.

In all cases where we decide not to conduct a Stage 2 investigation of the complaint, we will advise the complainant of our reasons for not doing so, will ensure that they have been given a full explanation as to why nothing further is being done with their complaint, and will advise them of their right to refer the matter to SPSO for a review of our handling of the complaint.

8.3 Aggressive or abusive behaviour

Complainants are subject to the same expectations regarding their behaviour as all others who interact with the University, its staff and students. Complainants should feel free to raise matters of concern without risk of disadvantage (and to raise more than one complaint if necessary), but where a complainant's behaviour over the complaint is deemed to be unacceptable, the University reserves the right to invoke other procedures as necessary. In the case of applicants for admission to the University, unacceptable behaviour may result in consideration of an application being terminated, or an offer of admission being withdrawn. In the case of students, unacceptable behaviour may result in referral under the Code of Student Conduct.

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The University has a duty to protect staff from unacceptable behaviour, and aggressive or abusive behaviour towards staff will not be tolerated. In addition to any physical threats, the definition of unacceptable behaviour includes threats, verbal abuse, derogatory remarks or rudeness and any written or verbal content which may cause staff to feel afraid, threatened or abused. Inflammatory remarks and unsubstantiated allegations are also considered unacceptable. If physical violence is threatened or used, the University will always report this to the police. In cases where other behaviour is considered abusive to staff or contains unsubstantiated allegations, the complainant will be advised that their language is considered unacceptable, they will be asked to moderate their behaviour, and they will be warned that if the unacceptable action or behaviour continues, the University will cease to respond to them. If the complainant is a student, unacceptable behaviour may result in referral under the Code of Student Conduct.

When unreasonable behaviour limits the University's ability to communicate with the complainant, reasonable attempts will nevertheless be made to investigate and report on the complaint, on the basis of written evidence produced up to the point at which contact has been restricted.

8.4 Other unacceptable behaviour

We aim to maintain a reasonable dialogue with complainants throughout the progress of their complaint, but occasionally we encounter behaviour which we consider unacceptable, and which may lead us to restrict or deny further access to the Complaint Handling Procedure. Examples of unacceptable behaviour include:

- making unreasonable demands – insisting on speaking to a particular staff member, demanding responses within unreasonable time scales, changing the substance of the complaint and/or adding new matters to the complaint
- unreasonable levels of contact – making an unreasonable number of calls or visits in connection with the complaint, sending an unreasonable number of emails, or submitting an excessive amount of documentation which is not clearly relevant to the complaint
- unreasonable persistence, and/or refusal to accept a decision or explanation – insisting on further explanations or responses when a matter has already been explained fully, and/or requesting that a complaint be investigated further or re-opened after investigation has been completed
- unreasonable use of the complaint handling procedure – raising a large number of complaints (whether related or not); or demanding a Stage 2 investigation where there has been no attempt to resolve a simple matter at Stage 1 of the procedure
- any behaviour where the effect of this is to harass staff or prevent them from pursuing their legitimate business or implementing a legitimate decision – raising the same or similar issues with multiple members of staff or different offices; or seeking to involve external agencies (other than EUSA) in the resolution of an internal [University] matter

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- failure to cooperate with reasonable requests from the Complaint Investigator – failing to respond within a reasonable period to any communications from the Complaint Investigator, such as failure to agree a date for an investigatory interview; or failing to return interview notes.

When unreasonable behaviour limits the University's ability to communicate with the complainant, reasonable attempts will nevertheless be made to investigate and report on the complaint, on the basis of written evidence produced up to the point at which contact has been restricted, unless we decide that it would be a disproportionate use of staff, time or resources to take the complaint further.

8.5 Communicating and reporting

As noted in Section 8.1, if we decide not to progress the complaint because we deem the complainant's behaviour to be unacceptable, we will advise the complainant in writing of our reasons for such a decision. The decision will be taken by a senior member of staff and will normally be final. We will advise the complainant if there is any right of appeal to the University, but this will generally only be available if significant new information comes to light. In the event of an appeal, a senior member of staff will review the decision which was previously made, and consider whether the complaint should now be progressed. In all cases where we give a final decision, we will advise the complainant of their right to ask the SPSO to review our decision not to progress the complaint.

All complaints are logged, including those where we decide not to progress the complaint. Data on complaint numbers, including number of cases where a decision is made to restrict access, will be reported regularly to the relevant committees for review of the operation of the Complaint Handling Procedure, and so that any trends may be reviewed.

9 Supporting the complainant

9.1 Reasonable adjustments and accessibility

Anyone who receives, requests or is directly affected by the services the University provides has the right to access the complaint handling procedure. The University will seek to make reasonable adjustments to enable complainants with specific needs to access the CHP easily.

9.2 Support from the Advice Place

Students considering making a complaint are strongly encouraged to consult the Advice Place, which is an independent service run by the Students' Association, EUSA, and staffed by professional advisers with experience of supporting students with complaints. An adviser at the Advice Place can:

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[http://sg-datastore.ed.ac.uk/sg/datastore.ed.ac.uk/sg/users/jcang/Research&Projects/Student complaints/UoE CHP March 2013 revisions Dec 15 tracked.docx](http://sg-datastore.ed.ac.uk/sg/datastore.ed.ac.uk/sg/users/jcang/Research&Projects/Student%20complaints/UoE_CHP_March_2013_revisions_Dec_15_tracked.docx)
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- Help students to decide whether making a complaint is the best course of action, or whether another procedure may be more appropriate;
 - Explain how the complaints procedure works, and what the potential outcomes may be;
 - Read drafts of any correspondence students write to the University (including complaint forms), to help students make their case as clearly as possible;
 - Support students at any meetings they attend with University staff in relation to their complaint if requested.

Students can contact the Advice Place in person at either of their offices in Potterrow or King's Buildings House, via email at advice@eusa.ed.ac.uk, by phone on 0131 650 9225, or online at www.eusa.ed.ac.uk/advice.

10 The Complaint Handling Procedure Diagram

See below.

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CENTRAL MANAGEMENT GROUP

19 January 2016

Dignity and Respect Policy

Description of paper

1. This paper presents the revised Dignity and Respect Policy for approval.

Action Requested / Recommendation

2. Central Management Group (CMG) is asked to approve the policy for onward transmission to and approval by Court.

Background and Context

3. The current Dignity and Respect Policy was approved by Court in August 2012 and was amended in January 2013 to incorporate the previous Harassment Codes of Practice for Staff and Students, which ceased to exist from January 2013.

4. Due for a full review by February 2016, the refreshed version strengthens the University's commitment to creating and fostering a culture of equality and diversity, dignity and respect and collegiality. It emphasises the responsibilities of individuals and managers and makes clear the seriousness with which the University will treat any complaint of bullying, harassment and/or discrimination.

Discussion

5. The changes are: rephrasing of the Policy Statement to bring it in line with other equality-related documents; simplification of the Scope and Purpose; removal of Guiding Principles section; expansion of the Responsibilities section; inclusion of specific examples of unacceptable behaviour; addition of Sections 5.1.4 and 5.2.4 (Reporting concerns to Police) and Appendix of definitions. The revised policy is attached in full as Appendix 1.

Resource Implications

6. To support the publication and application of the revised policy, new web-based materials will be created, additional Dignity and Respect Advisers will be recruited and trained and procedures and supporting guidance for raising and resolving complaints will be developed.

7. The cost of developing the above supporting services and information will be met from the UHRS 2015/16 operating budget.

Risk Management

8. The development of supporting processes and systems to embed the values and responsibilities expressed in the policy is essential to minimising the University's exposure to reputational and compliance risk.

Equality & Diversity

9. The policy is integral to the University's commitment to equality and diversity. A full Equality Impact Assessment will be conducted before the refreshed policy is launched.

Next steps/implications

10. Subject to CMG agreement, the attached revised policy will be presented for approval by Court on 8 February 2016.

Consultation

11. The attached policy has been developed in conjunction with key stakeholders in Academic Services and will be presented for information to the Senate Curriculum and Student Progression Committee on 21 January 2016. It has been discussed with representatives of EUSA, current Dignity and Respect Advisers and was approved by the Combined Joint Negotiating and Consultative Committee on 30 November 2015.

Further Information

12. Author

Linda Criggie
Deputy Director of HR
7 January 2016

Presenter

Zoe Lewandowski
Director of HR

Freedom of Information - Open Paper

13. This paper is open.



Dignity and Respect Policy

1. Policy Statement

The University has a strong and long-standing commitment to equality, diversity and inclusion and to promoting a positive culture which celebrates difference, challenges prejudice and ensures fairness. Our staff and students are our greatest assets and all members of the University community should expect to be able to excel, and to be respected and valued for their unique perspectives and contributions.

Integrity, collegiality and inclusivity are central to the University's values. In accordance with these values, the University is committed to providing an environment in which all members of the University community treat each other with dignity and respect, and where bullying, harassment and discrimination are known to be unacceptable. This Policy sets out the expectations placed on all members of the University.

The University regards any incident of bullying, harassment or discrimination as a serious matter and will respond promptly and sensitively to formal complaints, and where appropriate take disciplinary action.

2. Scope and Purpose

This policy applies to all staff and students of the University in relation to both individual and collective activities and dealings with others in the University.

The purpose of the policy is to:

- Foster a positive culture for working and studying which supports freedom of thought and expression within the law, and within a framework of respect for the rights of other people.
- Promote an enabling and inclusive environment where all individuals are treated with dignity and respect, free from bullying, harassment and discrimination.
- Ensure that occurrences of bullying, harassment and discrimination are taken seriously, and dealt with promptly and with due sensitivity.
- Set out the framework for raising, addressing and resolving concerns about individual and/or organisational behaviour.

3. Responsibilities

3.1 Individuals

As members of the University community we have a responsibility to:

- Demonstrate respect and integrity in our interactions with individuals and groups.

- Work and study collaboratively, collegially and effectively in teams within and across organisational units.
- Identify and challenge unacceptable behaviour when it occurs, even if it is not directed at ourselves.
- Address and resolve matters ourselves, where reasonably possible, in a positive and constructive way.
- Raise more serious concerns with relevant University staff and participate positively in approaches to resolve them.
- Modify our behaviour should we become aware that we have behaved unacceptably in relation to this policy, even if no complaint has been made.

3.2 Managers

In addition, managers of staff and others with responsibility for areas of work or study have:

- A responsibility to lead in promoting a culture of dignity and respect, and
- A duty to take timely, relevant action to resolve concerns.

3.3 University

Expectations of the University as an employer and provider of education will be to ensure that:

- It fosters a positive culture for working and studying which permits freedom of thought and expression within a framework of mutual respect.
- It treats staff and students with openness, respect and dignity at all times.
- Complaints of harassment, bullying or discrimination are treated seriously and with discretion.
- Staff and students feel safe and are listened to when raising concerns about behaviour.
- Malicious or vexatious allegations are dealt with in line with University disciplinary procedures.

4. Unacceptable behaviour

The University expects all its members to treat others with dignity and respect and regards bullying, harassment or discrimination as unacceptable behaviour. The University will respond promptly and sensitively to formal complaints, and where appropriate take disciplinary action.

For students, examples of unacceptable behaviour/misconduct are set out in the Code of Student Conduct: <http://www.ed.ac.uk/academic-services/staff/discipline/code-discipline>

For staff, examples of unacceptable behaviours in the workplace can include, but are not limited to:

- Unwelcome physical contact ranging from unnecessary touching to serious assault
- Intimidating or threatening behaviour, or language
- Unwelcome attention or advances of a sexual nature

- Disparaging, ridiculing or insulting behaviour, language or gestures
- Inappropriate communication or visual display of offensive material
- Isolation, non-cooperation, or deliberate exclusion of an individual from a work situation (including work-related social events)
- Undermining of an individual through unfair work allocation or persistent unjustified criticism

5. Resolution

Staff and students are encouraged, where possible, to resolve concerns informally.

Staff may wish to seek advice and support from a manager, HR advisor or Trade Union representative. Students may wish to seek advice and support from [The Advice Place](#), or an independent member of staff such as Personal Tutor, Lecturer, or Warden.

The University has a network of trained **Dignity and Respect Advisors (DRAs)** who can provide advice and appropriate support to employees and students when they believe they have identified behaviour contrary to this policy. Their contact details can be found at: <http://www.ed.ac.uk/schools-departments/equality-diversity/help-advice/advisors>

5.1 Options for Employees

Where an employee identifies a potential breach of this policy, there are a number of ways they may wish to approach the matter in an attempt to resolve it, as set out below.

5.1.1 Individual Action

Where an employee believes they are being subjected to treatment which is in breach of this policy, they should seek to address this at the earliest possible stage.

Where they feel able to, the employee should make clear to the person causing the offence that such behaviour is unacceptable to them. In many instances, this can be sufficient to bring an end to that behaviour.

5.1.2 Seeking Informal Assistance

If the employee does not feel able to resolve the matter themselves at an early stage, they may wish to seek advice and support from a manager, HR advisor or Trade Union representative.

They may also approach any of the University's DRAs dedicated to working with staff, who can provide support and advice on how the particular problem could be handled.

The DRA will outline the different ways of dealing with the matter, which for staff, will include:

- Dealing with the situation through discussion or formal mediation.
- Raising the matter with their manager, a more senior manager or a member of their College/Support Group HR Team.
- Accessing staff support services e.g. counselling.

Whilst the DRA can provide impartial advice, the employee concerned will be expected to make the decision about which route to follow and take responsibility for progressing with their desired actions.

5.1.3 Raising a Formal Complaint

If the problem has not been resolved by informal means, or the employee feels it cannot be resolved through informal means, then they may submit a formal complaint.

If the complaint relates to the conduct of a student then this will be taken forward by the University through the Code of Student Conduct. Guidance on reporting allegations of student misconduct can be found at: <http://www.ed.ac.uk/academic-services/staff/discipline/code-discipline>

If the complaint relates to another member of staff then this should be submitted as a grievance in line with the University's Grievance Policy and procedure, which can be found at: <http://www.ed.ac.uk/schools-departments/human-resources/policies-guidance/discipline-grievance>

5.1.4 Reporting concerns to Police

Where an employee identifies a breach of this policy which constitutes a criminal offence or an immediate threat to safety, they should report the matter to the Police in addition to raising concerns through the appropriate internal route set out in this policy.

5.2 Options for Students

Where a student identifies behaviour contrary to this policy, the ways in which they may wish to approach the matter in an attempt to resolve it are set out below.

5.2.1 Individual Action

Where a student believes they are being subjected to treatment which is contrary to this policy, they should seek to address this at the earliest possible stage.

Where they feel able to, the student should make clear to the person causing the offence that such behaviour is unacceptable to them, regardless of whether the person is a student or a member of staff.

5.2.2 Seeking Informal Assistance

If the student does not feel able to resolve the matter themselves at an early stage, they may wish to seek advice and support from [The Advice Place](#) or an independent member of staff.

Students may also approach one of the DRAs dedicated to working with students.

The DRA will outline the different ways of dealing with the matter, which for students, will include:

- Dealing with the situation through discussion.
- Raising the matter with an appropriate member of staff, e.g. a Personal Tutor, Lecturer, or Warden
- Accessing student support services e.g. counselling.
- Submitting a complaint through the Student Complaint Procedure, which can be found at: www.ed.ac.uk/schools-departments/student-academic-services/student-complaint-procedure

Whilst the DRA can provide impartial advice, the student concerned will make the decision about which route to follow and take responsibility for progressing with their desired actions.

5.2.3 Raising a Complaint through the Complaint Handling Procedure

If the problem has not been resolved by informal means, or the student feels it cannot be resolved through informal means, then they may submit a complaint through the Complaint Handling Procedure, which can be found at: <http://www.ed.ac.uk/university-secretary-group/complaint-handling-procedure>.

DRAs and/or The Advice Place can advise students on submitting a complaint.

5.2.4 Reporting concerns to Police

Where a student identifies behaviour which constitutes a criminal offence or an immediate threat to safety, they should report the matter to the Police in addition to raising concerns through the appropriate internal route set out in this policy.

6. Monitoring

The University will monitor and review its performance on promoting dignity and respect, and the effectiveness of this policy and associated procedures on an ongoing basis. Formal reports will be provided at regular intervals to People Committee and other relevant committees.

7. Policy History and Review

This policy was originally approved by CMG on 20 January 2010 and Court on 15 February 2010 and took effect from 15 February 2010. It was reviewed in 2012, and subsequently incorporated the previous Harassment Codes of Practice for Staff and Students, which ceased to exist from January 2013. A further substantial review was conducted in December 2015 in consultation with Academic Services and approved by the CJCNC. This policy will be reviewed in the event of any significant change to the legal position on equality matters, relevant statutory requirements or any other related matter. In the absence of such change, the policy will be reviewed by February 2018.

| No. | Approval date: | Amendment made: | Approved by: |
|-----|----------------|---|--|
| 1. | December 2011 | Minor amendments to language have been made throughout to bring the Policy in line with the Equality Act 2010 and with the University Strategic Plan but mainly to include Section 6 clarifying procedures for breaches of this Policy. | HR Policy Development Group on behalf of CJCNC |
| 2. | August 2012 | Addition of Section 5 on Breaches and minor amendments to the wording of the Policy Statement and Scope and Purpose sections. | CMG, Court |
| 3. | January 2013 | This policy now supersedes the Harassment Codes of Practice for Staff and Students. At the same time the Harassment Contact Officer's role title changed to Dignity and Respect Advisor. Additionally, the detailed description of this role was added. | E & D Committee |
| 4. | December 2015 | Rephrasing of the Policy Statement to bring it in line with other equality-related documents; simplification of the Scope and Purpose; removal of Guiding Principles section; expansion of the Responsibilities section; inclusion of specific examples of unacceptable behaviour; Addition of Sections 5.1.4 and 5.2.4 (Reporting concerns to Police) and Appendix of definitions. | HR Policy Development Group, CJCNC |

8. Alternative Formats

If you require this document in an alternative format please contact UHRS@ed.ac.uk or telephone 0131 650 8127.

Appendix: Definitions

This Appendix provides definitions of the terms ‘bullying’, ‘harassment’, and ‘discrimination’

Discrimination

Discrimination means treating an individual unfairly because the individual has, or is perceived to have a protected characteristic, or because of their association with someone who has a protected characteristic. The protected characteristics are:

- Age
- Disability
- Gender reassignment
- Race
- Religion or belief
- Sex
- Sexual orientation
- Pregnancy and maternity
- Marriage and civil partnership

Discrimination can be direct or indirect. Indirect discrimination can occur when the University has a policy or practice that applies to everyone but particularly disadvantages people who share a protected characteristic.

Harassment

Harassment is defined by the Equality Act 2010 as:

“Unwanted conduct related to a relevant protected characteristic, which has the purpose or effect of violating an individual’s dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for that individual.”

The relevant protected characteristics are:

- Age
- Disability
- Gender reassignment
- Race
- Religion or belief
- Sex
- Sexual orientation

Staff and students need not possess the relevant characteristic themselves but may be subjected to unacceptable behaviour because they are wrongly perceived to have a protected characteristic, or because of their association with a person who has a protected characteristic. In addition, Staff and students have the right to complain of behaviour that they find offensive even if it is not directed at them.

Victimisation is a type of harassment. This occurs when an individual is treated less favourably because he/she has, in good faith, made an allegation of harassment, or has assisted another person in bringing forward such an allegation, or participated in an investigation of a complaint or disciplinary hearing.

Bullying

Bullying is not defined in law but for the purposes of this policy is defined as:

“Offensive, intimidating, malicious or insulting behaviour which intentionally or unintentionally undermines, humiliates, denigrates or injures the recipient.”

Bullying is normally characterised by a pattern of behaviour but a single incident could be considered as bullying behaviour.

Bullying is to be distinguished from the legitimate exercise of managerial responsibilities where these responsibilities are carried out in a respectful, reasonable and appropriate manner.



19 January 2016

The role out of EvaSys Course Evaluation: Timelines, use of data, access, and consultation

Description of paper

1. This paper provides a high level overview of the planned role out of the EvaSys course evaluation system.

Action requested / Recommendation

2. CMG is asked to review the high level plan and provide any comments.

Background & context

3. By the start of the 2016/17 academic year, EvaSys course evaluation system will be rolled out to all Schools, covering all UG and PGT courses.

4. This work is one of three areas of development under the heading ‘the use of student data’ designed to support Heads of School and others understand aspects of performance in relation to Learning & Teaching and the Student Experience. The others relate to the development and roll-out of student data dashboards, and the measurement of assessment & feedback turnaround times.

5. We currently have insufficient data on performance in Learning & Teaching and are, as a result, limited in our capacity to identify both high and low performance and pursue the enhancement of performance across the board. This deficit has become all the more significant given the higher level of external scrutiny – and challenging publicity – the university is receiving around its learning and teaching performance

6. The EvaSys system is in use in 15 Schools with coverage of 30% of our taught courses. Within this, there is variation between Schools in the implementation of the course evaluation as highlighted in the table below.

| | |
|-----------------------------|--|
| Core questions | Mix between use of the standard set and variation on these. |
| Staff questions | Variation between use of named staff, generic feedback on Tutor, and Schools opting not to ask this set of questions. |
| Additional questions | Some using questions from a standard set, some developing School specific, and some not asking any additional questions. |
| Open questions | 3 open comment questions (plus two Schools have comments at tutor level). |
| Engagement & Response rates | Significant variation in response rates on course surveys. Variation in staff engagement and visibility within Schools. |
| Use of data | Some variation on the use of the data at a course and staff level. |

Future position

7. A short-life project board will be established, sponsored by Vice Principal Professor Jane Norman, to help deliver the project.

8. The table below illustrates the future desired position and within that the key strands in the project. A number of these have been expanded in the text below the table.

| | |
|-----------------------------|--|
| Roll out | All taught courses for the start of 2016 academic year (with any exceptions identified). |
| Core questions | Agreed set of core questions in advance of September 2016. |
| Staff questions | Agreed set of staff questions and use of named members of staff in advance of September 2016 |
| Additional questions | Set of questions Schools can pull on for different course types or particular areas of interest for School/Subject area. |
| Open questions | 3 open comments remain plus decision made on whether open comments should be available on individual staff members. |
| Policy | Re-drafted covering purpose, key principles and use of data. Of particular sensitivity the use of data to help optimize learning & teaching. |
| Engagement & Response rates | Engagement with EUSA and Students on the purpose of course evaluation, how the feedback will be used and the value of engaging. Engagement with colleagues both through the development of approved question sets and to share practice internally, enhance engagement rates, and distribution methods (online/paper). Engagement with Trade Unions. |
| In-year support | In-year support for set up and running of additional volume of questionnaires, reports and engagement. |

9. It is proposed that the policy clearly sets out accessibility to data, including:

a) The accessibility of quantitative data from the core, staff and additional questions (starting with a position of making this data open internally, and defining what we mean by open);

b) The accessibility of free text comments, relating to course and staff (with a starting position that this will be more restricted than quantitative data);

c) Access to data for key roles. For example course organisers will see all quantitative and free text comments on the course they are responsible for; aggregated data at the individual member of staff (providing a summary across all courses the individual teaches on) only available to the individual member of staff, the Head of School and line manager.

10. There are some practical steps that will need to be taken this year to prepare for the roll-out, including:

- a) Ensuring information stored on our systems for course organisers and staff teaching on courses is accurate;
- b) Develop and test distribution methods to Heads of School, line managers and individual members of staff.

11. Communication and engagement with colleagues will be important and a set of key messages will be developed: A clear and straightforward statement of what we are trying to achieve through these steps, how the data will be used, and access to the data, linking in with broader work relating to performance in learning & teaching.

12. Likewise communication with students will be important to help ensure engagement and high response rates. Working with EUSA we will focus on the following areas:

- a) Guidance and support for students about how to give constructive feedback at the course and individual level;
- b) Clarity regarding the use of the data in Schools and clarity on what is kept confidential and what is available publicly;
- c) Clarity regarding anonymity in the process.

Consultation

13. The project plan will clarify the various strands of consultation that need to be undertaken. The table below provides a summary of the high level approach that will be undertaken.

| | | |
|-----------|---|--------------------|
| Policy | Learning & Teaching Committee & Senate People Committee and CJCNC Discussion with Union representatives | From December 2015 |
| Questions | Quality Assurance Committee College Committees Project consultation on question sets | From January 2015 |
| Students | Engagement with EUSA | From January 2016 |

Resource Implications

14. There are resource implications for the roll out of the EvaSys course evaluation survey to cover all taught courses and all Schools. Centrally, Student Systems will need to provide a relatively intense work to roll out the project for September 2016 and support provided to Schools both prior to and during the first year of running the increased number of surveys.

15. In addition, there will be resource implications within Schools to engage with the project and then during 2016/17 support the roll out of the course evaluation, student engagement and response rates. We would, however, expect alternative methods of course evaluation to stop.

Risk Management

16. The project will develop and manage a risk register.

Equality & Diversity

17. There are no Equality and Diversity issues arising directly from this paper.

Consultation

18. This paper has been discussed in a previous draft by the Learning & Teaching Policy Group. That paper was also shared with the People Committee as e-business.

19. This paper will go to the Learning & Teaching Committee in January 2016 and the People Committee in February 2016.

Further Information

20. Author

Barry Neilson
Director of Student Systems
19 January 2016

Presenter

Professor Jane Norman
Vice Principal, People and Culture

Freedom of Information

21. This paper is open.



CENTRAL MANAGEMENT GROUP

19 January 2016

European Regulation on Data Protection: Implications for the University

Description of paper

1. The European Union (EU) has agreed the text of new data protection legislation to replace the existing regime. The legislation raises the overall base level of compliance and introduces some new requirements. Meeting these will have implications throughout the University in terms of culture, policy, process and procedural change. This paper gives early warning of some of the key requirements, proposes an overall risk-based approach to implementation, and seeks approval to initiate preparations for the new legislation.

Action requested/Recommendation

2. Central Management Group (CMG) is asked to discuss the early implications of the new legislation, comment on areas of concern and approve the overall approach to the implementation of the forthcoming EU Regulation on Data Protection set out in this paper and authorise the initiation of the more detailed work proposed in the 'Next Steps' section.

Background and context

3. The University's use of information about living, identifiable individuals ('personal data') is currently regulated by the Data Protection Act 1998, which derives from EU Directive 95/46/EC. The EU has conducted a comprehensive review of this regime and has prepared a new General Data Protection Regulation. This is currently undergoing consolidation and proof reading with the intention that it will come into force in mid-2018.

Discussion

4. This section proposes an overall approach to the legislation, flags up the key requirements that will affect the University and highlights areas requiring UK legislation.

Overall approach

5. Examining the legislation at this early stage enables the University to adopt a considered and proportionate approach, allows for developments to be reflected in the planning cycle and maximises the time available to work towards compliance.

6. The draft legislation encourages a risk based approach to compliance, based upon an assessment of the potential impact of non-compliance or a security breach on the data subject. This will permit the University to adopt a proportionate approach to its implementation.

7. Although it is expected that the new legislation will have some implications for any area of the University which collects, uses, discloses or stores personal data, many aspects are compatible with the University's current direction of travel and it should

be possible to integrate them with existing plans and initiatives. For example, EU funding arrangements now include a rigorous examination of the data protection arrangements for research projects involving any personal data.

8. Data protection compliance is most effectively addressed by embedding it within normal business practice. It is proposed that implementation be approached by identifying key areas or processes within the University, such as Student Systems, and working with them to ensure that their policies, practices and procedures are compatible with the new requirements. These hubs of expertise could then cascade their procedures and practices to other areas of the University which use the same data. This work could be incorporated within work already underway or planned, such as the response to the Etherington Review in Development and Alumni.

Key requirements

9. The new Regulation contains a number of new, mandatory obligations for the University. This section identifies the most significant ones.

10. The legislation places the onus on the University to prove compliance, using mechanisms such as privacy risk assessments, policies and written procedures for the handling of personal data, and central registers of some types of information, including data security breaches.

11. The concept of data protection by design and default is core to the legislation. It requires organisations to play an active role in ensuring privacy. From project/policy/process inception to data deletion, the University will be expected to systematise measures to ensure the accuracy, confidentiality and security of the personal data it holds. The tools listed above are considered to be key to this, as is the monitoring of compliance.

12. Data minimisation is a further aspect of data protection by design and default. This relates to the extent of data collected, the ways in which it is used, how long it is kept, and the number of people who can access it. This will require changes to the University's approach to the design of databases in terms of access permissions and data deletion.

13. A risk-based approach to information security will be introduced, taking into account available technology (or the current state of the art), the costs of implementation, the nature, scope, context and purposes of the processing, and the likelihood and severity of the risk for the rights and freedoms of individuals. It will be mandatory to inform the Information Commissioner of information security breaches unless the breach raises no risk for the rights and freedoms of the data subject. In serious cases, the University must also inform the data subjects.

14. Activities such as fundraising, alumni, marketing, recruitment and events will need unambiguous consent to collect and use personal data.

15. The Data Protection Act currently requires the University to tell data subjects about the ways in which data about them will be used, usually at the point of collection of the information. This transparency requirement will be extended, with

much more information provided to data subjects. Forms and screens used to collect personal data will need to be revised to accommodate these new requirements.

16. The requirements when transferring personal data to other organisations, particularly those outside the European Economic Area, will become more stringent. Procurement, Legal Services and the International Office are already considering the implications of this for with a view to providing assistance such as template contracts or guidance.

17. A data protection certification scheme will be introduced. When this scheme is established, the University should consider if it would be beneficial to seek accreditation.

Areas awaiting further legislation

18. The new Regulation includes a number of derogations for Member States to specify how the Regulation will apply to certain areas. Most significantly, UK legislation is required to ensure that the Regulation does not interfere with the conduct of research or with the operation of the University archive. It is important that the University continue to liaise with relevant sectoral and professional groups to ensure that the UK adopts appropriate legislation in these areas.

Resource implications

19. The legislation has resource implications throughout the University in terms of the staff time involved in implementing policy, process and database changes. At this overview stage, it is difficult to quantify these clearly. However, it is recommended that resource implications be minimised by focusing on priority areas and planning to integrate changes with other updates to policies, systems and processes whenever possible.

Risk Management

20. Failure to comply with data protection legislation carries a wide range of risks, particularly in the areas of reputation, compliance and people. These are all areas where the University has a low appetite for risk.

21. The level of the risk varies according to the type and quantity of information, the nature of the breach, its duration and the number of affected individuals.

22. At the core of data protection legislation is the protection of individuals, and failure to comply with the legislation could expose individuals to theft, identity fraud, embarrassment, damage or even endangerment.

23. A failure to treat information about individuals with respect would also involve reputational risks, including implications for access to research data, loss of funding, or discouraging applicants, donors or third parties from entering into a relationship with us. A misreported data breach in 2012 caused the US Department of Education to seek confirmation that the University was still an appropriate institution for US students.

24. There is also a prospect of regulator action, which may include a fine. The extent to which fines will apply to the University will be determined by UK legislation, with the maximum being either 4% of turnover or 20 million Euros. However, even a low fine or a set of fines could have a disproportionate reputational impact.

Equality & Diversity

25. Data protection legislation applies to all information about living, identifiable individuals. The legislation includes additional safeguards for information relating to a number of protected characteristics, notably ethnicity, health, religion and sexual life.

Next steps/implications

26. If CMG endorses the direction of travel in this paper, the following indicative timeline pulls together the key aspects of the approach:

- | | |
|------------|--|
| AY 2015/16 | <ul style="list-style-type: none">• Continue monitoring developments with the legislation.• Identify issues and raise them with relevant regulators, professional bodies or groups for clarification. • Identify hubs of expertise.• Hubs of expertise develop compliant policies and written procedures. • Revise contract templates and use them for all new contracts. • Develop privacy impact assessment framework. • Plan for IT changes in IS planning cycle. |
| AY 2016/17 | <ul style="list-style-type: none">• Begin revising data collection notices and retention schedules to accommodate new requirements, starting with key areas.• Hubs of expertise disseminate best practice to wider University.• Launch privacy impact assessments. |
| AY 2017/18 | <ul style="list-style-type: none">• Complete changes to key databases.• Complete changes to data collection notices and retention schedules.• Develop and implement communication and awareness raising strategy for wider University community. |

Consultation

27. Consultation and liaison with key areas are critical to the success of this approach. The issues outlined in this paper have already been discussed with senior University managers and potential hubs of expertise, including: Finance, Communications, the International Office, Development and Alumni, the College Registrar for the College of Science and Engineering, Information Services Directors, the Deputy University Secretary for Strategic Planning, Student Systems, Academic

Services, Legal Services, Procurement, the Records Management Section, and the Vice-Principal Planning, Resources and Research Policy. Plans are underway to explore the issues with other key areas, such as HR.

Further information

28. Author

Susan Graham
Head of Information Governance
& Data Protection Officer

Presenter

Tracey Slaven
Deputy Secretary, Strategic Planning

Freedom of Information

29. Open.



CENTRAL MANAGEMENT GROUP

19 January 2016

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 / Recommendation

2. The Group is asked to note progress on the 2015-16 Internal Audit Plan and the status of overdue closure of audit issues.

Paragraphs 3 – 19 have been removed as exempt from release due to FOI.

Risk Management

20. 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

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

Next steps/implications

22. The next Internal Audit Status Report will be presented to the Committee in February 2016.

Consultation

23. No other Committees have reviewed this report.

Further information

24. Author and Presenter

Jon Idle

Acting Chief Internal Auditor

7 January 2016

Freedom of Information

25. This paper is closed.



CENTRAL MANAGEMENT GROUP

19 January 2016

Undergraduate bursaries review

Description of paper

1. The University of Edinburgh and Scotland Accommodation bursary schemes were evaluated in 2015. This paper presents the findings of the evaluation and recommends that the bursaries are not changed for 2017-18. It also recommends that more be done to publicise the bursaries and their impacts, and to make the overall package of support and opportunities for students more visible.

Recommendation

2. Members are asked to agree that the University of Edinburgh and Scotland Accommodation bursary schemes are effective and should not be substantially changed, but that more work should be done to ensure that the full support available for students is more visible.

Paragraphs 3 – 29 have been removed as exempt from release due to FOI.

Risk Management

30. Reducing the level of the bursary awards would risk an external perception that the university is not fully committed to recruiting and supporting students from low income and widening access backgrounds. This is particularly acute in light of UK Government decisions on the transfer of maintenance grants into loans. The decision to maintain the bursaries at the current level mitigates this risk.

Equality & Diversity

31. The bursary review focussed on whether the hoped-for impact on low-income groups was being achieved. In carrying out the survey, students were asked for limited information on age, sex, and whether they were the first in their family to go to university. 92% of UoE bursary recipients surveyed were aged between 18 and 21, compared with 79% of SAB recipients – with a further 7% of SAB recipients aged 17. A relatively small number of respondents are mature entrants. More SAB bursary recipients than UoE reported that they were the first in their family to go to university (52% vs 39%).

Paragraphs 32 – 33 have been removed as exempt from release due to FOI.

Consultation

34. The review was carried out by a team from Governance and Strategic Planning, Student Administration, Student Recruitment and Admissions and Communications and Marketing. EUSA were aware of the review and consulted on possible outcomes. Principal's Strategy Group considered these issues on 14 December and recommended that no changes be made to the bursaries. The International Office and Careers Service have since been involved in discussions with Governance and Strategic Planning, Student Administration, Student Recruitment and Admissions

and Communications and Marketing on enhanced marketing of the bursaries and other support.

Further information

35. Author

Pauline Jones

Governance and Strategic Planning

Presenter

Tracey Slaven

Deputy Secretary, Strategic Planning

Freedom of Information

36. This paper is closed.



CENTRAL MANAGEMENT GROUP

19 January 2016

Health and Safety Quarterly Report: Quarter 1: Sept – Nov 2015

Description of paper

1. This paper provides a summary of health and safety incidents that took place during the period 1 September 2015 to 30 November 2015, as well as a summary of relevant health and safety issues and developments, to provide information and assurance to the Central Management Group (CMG) on the management of health and safety matters. Appendix Four is the Report to CMG from the October 2015 meeting of the Health and Safety Committee.

Action requested / Recommendation

2. CMG is asked to note the contents of the report including the statistics in the Appendices as illustrative of the University's accident and incident experience, and notes the significant issues and developments outlined on page 2 of the report.

Paragraphs 3 – 6 have been removed as exempt from release due to FOI.

Risk Management

7. The University has a low risk appetite for both compliance risks and for people risks. Monitoring of health and safety accidents, diseases and incidents ensures that risks to health are being managed and provides an early warning of more serious issues

Equality & Diversity

8. This report raises no major equality and diversity implications.

Next steps/implications

9. Quarterly Health and Safety Reports have now reverted to the more familiar reporting periods, as follows: Q1: Sep-Nov; Q2: Dec-Feb; Q3: Mar-May; Q4: Jun-Aug

Consultation

10. This paper will also be presented to the next meeting of the Audit and Risk Committee.

Further information

11. Author

Alastair Reid
Director of Health and Safety
22 December 2015

Presenter

Hugh Edmiston
Director of Corporate Services

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

19 January 2016

Office of Lifelong Learning (CHSS): proposal to change name

Description of paper

1. The OLL Executive Board seek approval to change the name of the Office of Lifelong Learning to the Centre for Open Learning.

Action requested/Recommendation

2. CMG is asked to approve the proposed change of name which would come into effect from 1 April 2016. This date has been chosen to allow publicity material for courses commencing in summer 2016 to reflect the revised departmental name, although it is recognised that changes to the Organisational Hierarchy codes in corporate systems may not be implemented until 1 August 2016.

Paragraphs 3 – 5 have been removed as exempt from release due to FOI.

Risk Management

6. None.

Equality & Diversity

7. None.

Consultation

8. A consultation exercise was undertaken, encompassing OLL staff and the University's Communications and Marketing team. At its meeting on 16 November 2015, the College Planning and Resources Committee gave its support to the proposed name change.

Further information

9. Author

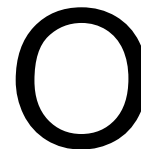
Professor D Finkelstein
Head of OLL
N Davidson
Director of Professional Services
10 November 2015

Presenter

Vice Principal Professor Dorothy Miell
Head of College, Humanities and Social
Science

Freedom of Information

10. Until approved, this paper should be treated as 'closed' as its disclosure could substantially prejudice the commercial interests of any person or organisation.



CENTRAL MANAGEMENT GROUP

19 January 2016

Fee proposal

Description of paper

1. Fee proposal from the College of Humanities and Social Science.

Action requested/Recommendation

2. Governance and Strategic Planning (GaSP) recommended that CMG approve the fee proposal for academic year 2016/17.

Paragraphs 3 – 4 have been removed as exempt from release due to FOI.

Risk Management

5. Due consideration has been taken reviewing the financial risk in these proposals.

Equality & Diversity

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

Next steps/implications

7. Once approval has been granted the programme the 2016/17 fees will be advertised on the University's website and published via online prospectus.

Consultation

8. The above fees have been proposed by the Schools, reviewed by College and GaSP.

Further information

| | | |
|----|--|---|
| 9. | <u>Author</u> Peter Phillips Governance and Strategic Planning 2 October 2015 | <u>Presenter</u> Vice-Principal Seckl Vice-Principal Planning, Resources and Research Policy |
|----|--|---|

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

19 January 2016

Proposal to establish The Chair of Cultural Relations and Director of the Centre for Cultural Relations

Description of paper

1. The paper outlines the case for the establishment of a Chair of Cultural Relations and Director of the Centre for Cultural Relations in the College of Humanities and Social Sciences.

Action requested/Recommendation

2. Central Management Group is asked to approve the establishment of the Chair and Directorship.

Background and context

3. The College of Humanities and Social Science would like to establish the Chair and Directorship in order to capitalise on and enhance the current infrastructure of Centre of Cultural Relations.

4. The Centre for Cultural Relations (CCR) was established in 2013 as an interdisciplinary research centre which brings together expertise in the fields of culture and sport, international relations and the social sciences, and digital media in order to provide interdisciplinary research and education programmes that meet the highest academic standards and influence the world of practice.

5. The CCR has established a solid foundation on which to build. The Director will take it to the next level, translating strategic ideas into practice and shaping the development of the Centre for the years to come.

6. The University's proud history of academic discovery draws its strength from our inter-disciplinarity and ambition, and these are the watchwords of the Centre's work. Our ambition is for the CCR to lead the way, nationally and internationally, in the study and teaching of culture across borders. We believe that the Chair and Directorship position will enable the CCR to carve out a reputation for itself that is distinctive and pioneering - to be respected by academics for the outstanding quality of its scholarship and listened to by practitioners for the relevance of its expertise.

7. It is envisaged that the Chair and Directorship will sit within the School which is most relevant to the speciality of the successful candidate, within one of three Schools: SPS; ECA and LLC.

8. It is intended that for the purposes of recruitment and selection to the post, the Head of School, SPS will take the lead Head of School role.

Discussion

9. We submit this request to create a substantive chair for consideration by CMG. It is suggested that the position be available from September 2016.

Resource implications

10. The Chair and Directorship will be funded by core funds, as budgeted and agreed in the College Plan.

Risk Management

11. There are no significant risks involved from approving the request.

Equality & Diversity

12. Due consideration has been given to equality and diversity. There are no direct implications on equality and diversity.

Next steps/implications

13. CMG is invited to recommend to Court and Senate the adoption of the appropriate Resolution.

Consultation

14. The paper has been reviewed and approved by the Head of School, SPS.

Further information

15. Author

Ellie Dora
Secretary, Committee for the
Selection of Chairs, CHSS
9 December 2015

Presenter

Vice-Principal Dorothy Miell
Head of the College of Humanities and Social
Science

Freedom of Information

16. The paper can be included in open business.



19 January 2016



Proposal to establish a new Chair in the Edinburgh Medical School: Molecular, Genetic and Population Health Sciences

Description of paper

1. The Edinburgh Medical School: Molecular Genetic and Population Health Sciences within the College of Medicine and Veterinary Medicine wishes to establish a Chair of Medical Bioinformatics.

Action requested/ Recommendation

2. Central Management Group is asked to approve the establishment of the Chair of Medical Bioinformatics.

Background and context

3. The Edinburgh Medical School: Molecular, Genetic and Population Health Sciences seeks approval to establish a Chair of Medical Bioinformatics, which will present a unique opportunity to develop internationally leading work in the analysis of large biomedical datasets (e.g. human genome sequences) linked to disease risk and human health. The Chair will be located in the MRC Human Genetics Unit within the Institute of Genetics & Molecular Medicine, and with close links to the Usher Institute. The chair will synergise with the School of Informatics, contributing to the University's strategic goals of Excellence in Research and pioneering cross-disciplinary research in an important emerging area.

Discussion

4. The advent of large-scale human genome sequencing and other large medical datasets presents an enormous opportunity to capitalise on 'big-data' to enhance human health and to lead medical practice toward Precision Medicine. However, the expert computational skills required to understand and interrogate these data are rare and, moreover, there is a need to enhance the teaching and training of medical students, clinicians and biomedical scientists in this burgeoning area.

5. The investments by the University of Edinburgh in the Scottish Genomes Partnership, the Usher Institute and in world-leading high compute capacity, present an exciting opportunity to position the University of Edinburgh at the international forefront of this fast moving area of biomedical, computational and clinical science and to engage with the wider societal and ethical issues surrounding personalised medicine.

6. Through undertaking programmes of collaborative research at an international standard in the University's Interdisciplinary Research Centres and Institutes, the proposed Chair will develop the field of research in biomedical informatics, particularly related to the 'big data' that is being collected from large human population and disease cohorts. They will also play a major role in developing training in this area to equip the next generation of scientists and clinicians with the biological computational and statistical skills required to apply this new knowledge for the advancement of human health.

7. The post will be based at the MRC Human Genetics Unit within the Institute of Genetics & Molecular Medicine at the Western General Hospital campus, but with strong links to the physical, mathematical and computational sciences across the University.

8. A candidate with an exceptionally high international reputation, and an excellent track-record of both original research and training will be required.

Resource implications

9. Funding for the salary of Chair will be met by the Edinburgh Medical School: Molecular, Genetic and Population Health Sciences' core budget and it is included in the current budget. The MRC Human Genetics Unit core budget will provide support for the chair's research group.

Risk Management

10. There are no significant risks associated with the establishment of this Chair.

Equality & Diversity

11. Good practice in respect of equality and diversity issues will be followed in taking forward an appointment to this Chair.

Next steps/implications

12. If this proposal is approved a Resolution will be drafted to formally establish the Chair and recruitment progressed.

Consultation

13. Professor Sir John Savill, Vice Principal and Head of College of Medicine and Veterinary Medicine is content with this paper.

Further information

14. Further information can be supplied by Professor Sarah Cunningham Burley, Dean of Molecular, Genetic and Population Health Sciences.

15. Author

Vivien M Smith
Head of Deanery Administration

Presenter

Professor Sir John Savill
Vice Principal and Head of College of
Medicine and Veterinary Medicine

10 December 15

Freedom of Information

16. This paper can be included in open business.



CENTRAL MANAGEMENT GROUP

19 January 2016

Proposal to establish new Chair in the School of Mathematics

Description of paper

1. The School of Mathematics within the College of Science and Engineering wishes to establish a new Chair of Statistics.

Action requested/ Recommendation

2. Central Management Group is asked to approve the establishment of the new Chair of Statistics.

Background and context

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

Discussion

4. Until relatively recently our Statistics Group included only one professorial member of staff (the Professor of Forensic Statistics). Following an external review of our Statistics Group we recruited to a second Chair in this area, The Thomas Bayes Chair of Statistics. The current Professor of Forensic Statistics will retire at the end of this academic year and the establishment of the new Chair will ensure that we do not lose recent growth in this critical area.

5. The Chair of Statistics will provide leadership in research in Statistics and will contribute to the teaching of Statistics within the School, and potentially more broadly within the University.

The specific case for hiring a Chair in Statistics is three-fold:

- Maintaining the new visibility the group has nationally and maintaining leadership at a period of significant change. We have at last a national profile in statistics. The Alan Turing Institute (TATI) has substantially increased our prominence, as has the Thomas Bayes' Chair hire. We aim in short order to become the northern hub for Statistics in the UK. We are however, around half the size of all statistics groups in nearby mathematics departments (Glasgow, St Andrews, Newcastle, Lancaster).
- Introducing an MSc in Statistics with Data Science, including online material, will broaden our portfolio of statistics courses and provide a strong new source of income. It will also be an important component of our systematic involvement in PG training for students in TATI, leading to increased PGR numbers and greater access to the wide variety of opportunities within the Institute.
- Increasing grant income. In Statistics, EPSRC has a "grow" and Horizon 2020 presents strong opportunities given the proximity between Statistics and industry. Any hire would necessarily have to demonstrate a strong track-record of winning research funding and we would expect to see postdocs and PhD students arriving as a result.

Resource implications

6. Funding for the Chair will be met by the core budget of the School of Mathematics. Approval to recruit to such a post, which included consideration of the financial implications, has been given by PAG.

Risk Management

7. There are no significant risks associated with the establishment of this Chair.

Equality & Diversity

8. Good practice in respect of equality and diversity will be followed in taking forward an appointment to this Chair.

Next steps/implications

9. If this proposal is approved, Resolutions will be drafted to formally establish the Chair and recruitment progressed.

Consultation

10. Vice Principal Professor Lesley Yellowlees is content with the paper.

Further information

11. Author

Professor Iain Gordon
School of Mathematics
3 December 2015

Presenter

Vice-Principal Lesley Yellowlees
College of Science & Engineering

Freedom of Information

12. This paper can be included in open business.



CENTRAL MANAGEMENT GROUP

19 January 2016

EDMARC staff and student reports 2015

Description of paper

1. The paper presents the seventh Equality, Diversity Monitoring and Research Group (EDMARC) reports on staff and students data for the University of Edinburgh.

Action requested/Recommendation

2. CMG is asked to note the paper.

Background and context

3. This report focusses on staff and student data for 2014/15 and looks at the equality dimensions of gender, age, disability and ethnicity for undergraduate, taught postgraduate and research postgraduate students and for academic, research-only and professional services staff.

Discussion

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

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

Resource implications

5. None

Risk Management

6. None

Equality & Diversity

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

Next steps/implications

8. The EDMARC report will be presented to the People Committee and then to Court for formal approval. Information contained in the report will inform the Athena Swan working group and Race Charter working group.

Consultation

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

Further information

10. Further information can be obtained, if required, from Peter Phillips in Governance and Strategic Planning.

11. Authors

Professor Jane Norman, Chair of EDMARC
Vice Principal People & Culture
Kevin Harkin, Management Information Analyst,
Governance and Strategic Planning

Presenter

Professor Jane Norman

Freedom of Information

11. This paper is open.



THE UNIVERSITY *of* EDINBURGH

EQUALITY AND DIVERSITY MONITORING AND RESEARCH COMMITTEE (EDMARC)

SEVENTH REPORT EXECUTIVE SUMMARY

1. Introduction

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

This summary identifies the main points from the staff and student reports. The full reports can be obtained from the following weblink, <https://www.wiki.ed.ac.uk/display/UCC/Central+Management+Group> or by contacting Kevin Harkin in Governance and Strategic Planning, telephone: 0131 651 4578 or email: Kevin.Harkin@ed.ac.uk.

The University successfully achieved an institutional Athena Swan Silver Award in 2015, an award held by only six other HE institutions and two research institutes. The University also submitted an application for the Equalities Challenge Unit (ECU) Race Charter Award, which may be re-evaluated by ECU in the spring of 2016. These activities concentrate on gender and race issues respectively in more detail than the EDMARC report does, and the findings and action plans will be published on the Equality and Diversity website in due course.

2. Students

2.1 Undergraduate

Intakes of female students remain consistent across the period, 62.8% of undergraduate (UG) entrants were female in 2014/15. There remains gender differences between colleges (linked to subject differences) with both the College of Humanities and Social Sciences and the College of Medicine and Veterinary Medicine consistently having between 63% and 68% proportion of female UG entrants and the College of Science and Engineering having between 39% and 46% female entrants over the last 10 years. The large majority (81%) of our entrants continue to be 21 or under on entry, with the relative decrease seen from a peak of 89% in 2008/09 maintained in 2014/15. The proportion of undergraduate students with a registered disability continues to rise and is 10.3% in 2014/15.

At 8.3%, the overall proportion of UK-domiciled ethnic minority undergraduate entrants is the highest level recorded by EDMARC. Analysis of ethnicity data from peer groups shows that the University of Edinburgh has a similar proportion of BME entrants in comparison to other

institutions in Scotland although is some way off the proportion of BME entrants to Russell Group institutions (17.6%).

For the analysis of undergraduate outcomes, we use the proportion of entrants who exit with an award as the measure. Overall, and consistently over the last ten years male students are more likely to withdraw from their programme of study and overall females are more likely to achieve a first class or upper second class degree than males, although this pattern is not seen in all schools, with some showing a broadly even level of attainment between genders and in some schools in some years this is reversed, with males doing better than females.

For the current year the outcomes of entrants who register a disability the proportion that achieved a 1st or 2.1 honours degree was lower (5.9%-points) than the group with no declared disability. There is a slight divergence of achievement for UK-domiciled ethnic minority students where the proportion of students achieving a 1st or 2.1 honours degree has been lower than white students for the last four years (range 5.0%-points to 7.7%-points). EDMARC will continue to monitor this data for any emerging trends in conjunction within the work plan that has emerged from the Race Charter submission.

2.2 Postgraduate Taught

The overall proportion of female entrants in 2014/15 was 61.7%. Subject differences remain at postgraduate taught level, with the College of Humanities and Social Science attracting the highest proportion of female entrants. Since 2006/07 the proportion of PGT entrants with a registered disability has increased from a low of 3.5% in 2006/07 to 5.1% in 2014/15. The proportion of UK-domiciled entrants from an ethnic minority background has increased from 5.5% in 2002/03 to 10.9% in 2014/15. Outcomes of PGT entrants show that female students are slightly more likely to have a successful outcome from their programme of study than male students, as are non-disabled than disabled students.

2.3 Postgraduate Research

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

2.4 Comparison data

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

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

3. Staff

3.1 Academic Staff

Staff data is a snapshot of the staff database, as at 31 July 2015. There remains an under-representation of women in senior academic posts. For academic staff in grade UE09, 35% are women and 23% of grade UE10 staff are women. For staff on fixed-term contracts, there is very little gender difference for research-only staff although for the total academic staff population, female staff are more likely to be employed on a fixed-term contract. This pattern has not changed significantly over the last six years.

The proportion of UK-nationality staff from an ethnic minority background is 6.3% and for those staff from outside the UK it is 25.3%, both of which show a general upward trend since 2008/09. The University of Edinburgh has a higher proportion of UK-nationality staff from ethnic minorities than the average for other institutions in Scotland. UK and non-UK BME staff are each more likely to be on a fixed term contract than their white counterparts. This pattern has not changed significantly over the last six years for academic staff overall, although the gap has narrowed for research staff.

3.2 Professional Services Staff

For Professional Services Staff there remains a lower representation of women in higher grades UE08 to UE10 with 38% of posts at grade UE10 occupied by women (increased from 31% in 2013/14). When compared to the proportion of women in academic posts, women are better represented in the higher grades for professional support staff; in grade UE10 only 23% of academic posts are women compared with 38% for professional support staff. At UE09 women are better represented in professional support posts with 47% female compared with 35% for academic staff.

The proportion of UK nationality ethnic minority professional support staff is 2.8%, with a general upward trend observed since 2008/09. For non-UK nationality staff the proportion of professional support staff from an ethnic minority background was 24.2% in 2014/15. Comparison with other institutions shows that the University of Edinburgh has the same proportion of ethnic minority professional support staff as other Scottish institutions in 2014/15, although it had a slightly higher proportion in the previous four years.

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

3.3 Disability

Staff declaring a disability are presented here separately and at an aggregated University level as the figures are too small to be split by staff type and college and support group. The overall headcount of staff, including Guaranteed Hours staff, declaring a disability has risen from 210 in 2009/10 to 397 in 2014/15. To ensure that provision of support meets the need, the University works with the Disabled Staff Network to encourage staff to declare disabilities when each staff survey is issued.

3.4 Specific Duties from the Equality Act

To meet the Specific Duties for public bodies in Scotland, figures on sexual orientation and religion are included in the EDMARC report. In 2014/15 the number of staff declaring their religion or belief was 4,034 and 8,939 were unknown. Of those declared 58% were of no religion. The number of staff declaring their sexual orientation was 4,034 and 8,939 were unknown. 86% of those declared were heterosexual. Full breakdowns of the figures are available in the EDMARC report.

4. EDMARC actions

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

Professor Jane Norman, Chair of EDMARC and Vice Principal People & Culture
Kevin Harkin, Governance and Strategic Planning
January 2016



CENTRAL MANAGEMENT GROUP

19 January 2016

Principal's Strategy Group

Committee Name

1. Principal's Strategy Group (PSG).

Date of Meetings

2. 30 October 2015, 30 November 2015 and 14 December 2015.

Action Required

3. Provided for information.

Key points

4. Among the items discussed were:

a) Retreat Outcomes

The outcomes from the senior team retreat in October were discussed and finalised noting that the points raised would be taken forward via the new strategic plan, existing work streams or at future PSG meetings.

b) PGR Support

PSG discussed the current range of support offered to PGR students across the University and agreed that our aim should be to offer a competitive and straightforward package of support options for PGR students in a planned and efficient way. Work on this is being led by Senior Vice-Principal Professor Jeffery.

c) Posts Approval Group (PAG)

PSG discussed the operation and impact of PAG and agreed that once targets for a reduction in staff costs, relative to growing income, had been agreed across the University PAG would stand down.

d) Digital Transformation

PSG noted and discussed the plans for the digital transformation of the University presented by the Chief Information Officer and Librarian to the University Mr Gavin McLachlan.

e) Undergraduate Bursaries Evaluation

PSG discussed the analysis of the Scotland Accommodation and RUK bursaries noting the effectiveness of the bursaries and expressed the view that the bursaries should remain in place.

f) Strategic Plan

The emerging thoughts around the next Strategic Plan were discussed and PSG offered advice on the initial thinking.

Equality & Diversity

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

Further information

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

7. Author

Ms F Boyd

Principal's Office

6 January 2016

Freedom of Information

8. Open Paper