



CENTRAL MANAGEMENT GROUP
Raeburn Room, Old College
8 November 2016, 10 am

AGENDA

- 1 Minute** **A**
To approve the minutes of the previous meeting held on 4 October 2016
- 2 Matters Arising** **Verbal**
To raise any matters arising.
- 3 Principal's Communications** **Verbal**
To receive an update by the Principal.

SUBSTANTIVE ITEMS

- 4 Finance Director's Report** **B**
To consider and comment on updates by Director of Finance.
- 5 Delegated Authority Schedule** **C**
To consider and approve a paper by the Deputy Secretary Strategic Planning.
- 6 Strategic Plan: Targets and KPIs Progress Report** **D**
To consider and comment on update by the Deputy Secretary Strategic Planning.
- 7 Research Strategy** **E**
To consider and comment on a paper by the Vice-Pincincipal Planning, Resources and Research Policy.
- 8 Modern Slavery Statement** **F**
To consider and approve a paper by the Head of SRS Programmes.
- 9 Space Strategy Group** **G**
To note and approve a paper by the Deputy Secretary Student Experience
- 10 Enlightenment Scholarships** **H**
To consider and approve a paper by the Deputy Secretary Strategic Planning.
- 11 Any Other Business** **Verbal**
To consider any other matters by CMG members.

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

- | | | |
|-----------|--|------------------------|
| 12 | Proposals for Chair Establishment and Changes
To <u>approve</u> . | I1
I2 |
| 13 | Fee Proposals
To <u>approve</u> . | J |
| 14 | Annual Report on Complaint Handling
To <u>note</u> . | K |
| 15 | Principal's Strategy Group
To <u>note</u> . | L |
| 16 | Date of next meeting
Tuesday, 17 January 2017 at 10.00 am in Raeburn Room, Old College | |



CENTRAL MANAGEMENT GROUP

4 October 2016

Draft Minute

Present:

The Principal (Convener)
Senior Vice-Principal Professor Charlie Jeffery
Vice-Principal Professor Dorothy Miell
Vice-Principal Mr Chris Cox
Ms Sarah Smith, University Secretary
Mr Hugh Edmiston, Director of Corporate Services
Mr Gavin McLachlan, Chief Information Officer
Ms Tracey Slaven, Deputy Secretary, Strategic Planning
Mr Gavin Douglas, Deputy Secretary, Student Experience
Mr Phil McNaull, Director of Finance
Mr Gary Jebb, Director of Estates
Ms Leigh Chalmers, Director of Legal Services
Professor David Argyle, Head of School of Veterinary Medicine
Professor Ewen Cameron, Head of School of History, Classics & Archaeology
Professor David Gray, Head of School of Biological Sciences
Professor Jeremy Robbins, Head of School of Literatures, Languages & Cultures
Professor Arthur Trew, on behalf of Vice-Principal Professor Yellowlees
Ms Linda Criggie, on behalf of Ms Zoe Lewandowski, Director of Human Resources

In attendance:

Mr Noel Lawlor, Chief Internal Auditor (for item 3)
Ms Karen Bowman, Director of Procurement (for item 4)
Mr Barry Neilson, Director of Student Systems (for items 5 & 6)
Ms Kirstie Graham, Deputy Head of Court Services

Apologies:

Vice-Principal Professor James Smith
Vice-Principal Professor Jonathan Seckl
Vice-Principal Professor Jane Norman
Ms Zoe Lewandowski, Director of Human Resources
Vice-Principal Professor Sir John Savill
Dr Ian Conn, Director of Communications and Marketing

1 Minute

Paper A

The Minute of the meeting held on 30 August 2016 was approved.

2 Principal's Communications

The Principal reported on the following: a celebration yesterday of the first five years of MOOCs, which had provided open online access to a wide range of subject areas, with more planned, and proved hugely

successful; the continued developments following the EU referendum; the ongoing HE Budget negotiations; the recent successful Open Day.

SUBSTANTIVE ITEMS

3 Internal Audit Status Report

Paper G

The Chief Internal Auditor outlined the most significant findings of recent audit engagements and there was a discussion of common themes emerging and actions to address these issues.

The main areas for discussion were around the appropriate use of expenses, following proper procurement protocol for small items, research grants and segregation of duties. Members agreed it was essential transactions were recorded transparently and consistently to prevent misinterpretation. In addition, Grant awarding bodies have expectations and following the agreed internal control processes protects from challenges from external funders.

Members considered that often the reason for not following process was misinterpretation of correct procedure. The language used in the Expenses Policy, as an example, was noted to be sufficiently broad that there could be a range of interpretation. Colleagues would benefit from clearer and more direct processes with less scope for differing interpretations across the University to facilitate compliance.

CMG agreed that there should be further work on exploring how to simplify and communicate the processes for local small level procurement and expenses claims and this should be at a corporate level to ensure consistency across the University. Segregation of duties would be an essential part of this.

It was noted that the Court Audit and Risk Committee provided oversight of management responses to audit issues and wish to be able to track when issues were actioned and closed off and it was requested that this was included in future reports, to assist with oversight of any outstanding issues.

4 Procurement Strategy

Paper B

CMG considered a University Procurement Strategy 2016, updated to comply with new legislative requirements. There was discussion of ethical procurement using local goods and suppliers, and it was noted this was addressed through SRS policies, including the recently adopted Good Food Policy. In line with previous discussion on the outcome of internal audits, members reiterated the importance of clarity of communication to colleagues on procurement processes.

CMG were content with the new Procurement Strategy, noting that it would also be considered by SRS Committee.

5 Home Office Immigration Requirements

Paper C

CMG considered an update on key Tier 4 attendance and engagement issues following a recent meeting of the Home Office Compliance Group. The importance of compliance with Home Office regulations was reiterated and that a whole University approach was essential to ensure this. It was agreed there required to be consistency of monitoring across the three Colleges with a simplified single system to record the minimum required compliance contacts, separately to any additional pastoral support contacts.

Members endorsed the direction of travel outlined in the paper, agreed the importance of an unambiguous, clear, University wide compliance procedure being implemented as a priority and requested a further progress update at a future meeting.

6 Service Excellence Programme

Paper D

CMG considered an update on the Service Excellence Programme and the four current programmes: Student Administration & Support; Human Resources Transformation; Student Recruitment & Admissions and Finance Transformation. It was noted that the project was identifying overly complex administrative processes, often due to poor system integration, duplication and inconsistencies across the University. Members discussed the need for effective communication and engagement across the University to embed changes that would benefit the staff experience and the service to students as well as freeing resource to support the University's growth agenda. The importance of digital transformation in underpinning process change was also noted.

7 Finance Director's Update including Analytic Review of 2015/16

Paper E

The Director of Finance took CMG through the new revenue statement under FRS102, the Comprehensive Statement of Income and Expenditure, outlining the implications of interpreting the year end surplus under the new standard and the importance of communicating that the 'Unrestricted Comprehensive Income for the Year' represented the year end bottom line figure.

8 People Report

Paper F

CMG considered the quarterly update on people related matters. Although pay negotiations for 2016/17 remained unresolved, UCEA had advised to implement the 1.1% pay uplift, backdated to 1 August 2016 and this would be implemented through the October payroll and a communication had gone to staff to this effect. Other activities included the development of a Youth and Student Employment Strategy; a recent well-attended workshop for Heads of School and

other senior people managers on managing performance and capability cases; and resubmission of the Race Charter with an enhanced action plan. CMG noted the advice and support provided to EU staff following the outcome of EU referendum, which had been welcomed.

9 Health and Safety Quarter 4 Report

Paper H

CMG noted a summary of health and safety related incidents that took place during the period 1 June 2016 – 31 August 2016, as well as relevant health and safety issues and developments.

ITEMS FOR NOTING OR FORMAL APPROVAL

10 Fees Strategy Group

**Paper I1
Paper 12**

CMG approved the fee proposals from the College of Arts, Humanities and Social Sciences and the College of Medicine and Veterinary Medicine as set out in the paper and endorsed the Chair's Action in relation to international tuition fees for the 6 year MBChB and the Alberta and IMU Clinical Closed loop programmes, subject to correction of a clerical typo.

11 Principal's Strategy Group

Paper J

The report was noted.

12 Date of next meetings

Tuesday, 8 November 2016 at 10.00 am in Raeburn Room, Old College.



CENTRAL MANAGEMENT GROUP

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

3. Colleagues can use this report to brief their teams on Finance matters.

Background and context

4. The paper provides a monthly update on finance related issues for the Central Management Group.

Paragraphs 5 - 12 have been removed as exempt from release due to FOI.

Resource implications / Risk Management

13. There are no specific requests for resource and the risks associated with Pensions is already on the University register. An updated risk register entry related to finance has been submitted to the Risk Management Group.

Equality & Diversity

14. 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

15. Requested feedback is outlined above.

Further information

16. Authors

Lee Hamill
Deputy Director of Finance

Presenter

Phil McNaull
Finance Director

Alison Lindsay
Management Accountant
19 October 2016

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

8 November 2016

Delegated Authority Schedule – Annual Review and Update

Description of paper

1. The paper contains the proposed updates to the Delegated Authority Schedule (DAS) to reflect the current structures and needs of the University. The current DAS was approved by Court in December 2015 and an annual review and update represents good practice.

Action requested/Recommendation

2. CMG is invited to consider whether the proposed DAS meets the needs of the University and is recommended to endorse the updates to Policy and Resources Committee and Court.

Paragraphs 3 - 7 have been removed as exempt from release due to FOI.

Risk Management

8. The DAS is a key financial, contractual and reputational control mechanism.

Equality & Diversity

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

Next steps/implications

10. The updated DAS will be implemented following approval by Court.

Consultation

11. Updates to the DAS reflect feedback to Court Services, Internal Audit and Legal Services over the course of the last year.

Further information

12. Author

Tracey Slaven
Deputy Secretary, Strategic Planning
28 October 2016

Presenter

Tracey Slaven

Freedom of Information

13. This paper is closed as it is a draft document which has not been approved by Court.



CENTRAL MANAGEMENT GROUP

8 November 2016

Strategic Plan 2012-16 KPIs and targets – draft progress report

Description of paper

1. This paper presents the annual report on progress against the targets and Key Performance Indicators within the University's Strategic Plan 2012-16.

Action requested / Recommendation

2. Central Management Group (CMG) are asked to review and comment on the paper.

3. We recommend that CMG agree that the University has broadly delivered, or made substantial progress against, the targets and key performance indicators set out in the 2012-16 Strategic Plan. CMG is also asked to agree that report should progress to Policy and Resources Committee and Court.

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

Risk Management

15. Inadequate monitoring of progress against the University's Strategic Plan targets and KPIs could result in the failure to meet these milestones and, ultimately, non-delivery of the University's objectives and strategies.

Equality & Diversity

16. The plan includes a Strategic Theme 'Equality and Widening Participation', with relevant targets and Key Performance Indicators. The paper contains details of progress made against this area.

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

Consultation

19. Colleagues from across the University have provided content for this paper, and in particular the detailed breakdown in the Appendix. Those consulted include: the International Office, Careers Service, Student Surveys, Student Recruitment and Admissions, Edinburgh Research and Innovation, Human Resources, Estates and Buildings, Finance, Student Systems, Development & Alumni, Centre for Sport and Exercise, Office of Lifelong Learning, Communications and Marketing and Information Systems.

Further information

20. Author

Jennifer McGregor
Governance and Strategic Planning
31 October 2016

Presenter

Tracey Slaven, Deputy Secretary
Governance and Strategic Planning

Freedom of Information

21. This paper is closed as the final version is intended for future publication after the December Court meeting.



CENTRAL MANAGEMENT GROUP

8 November 2016

New Research Strategy

Description of paper

1. To coincide with, and complement, the publication of the new University of Edinburgh Strategic Plan, Research Policy Group has developed the attached **Research Strategy** document.

Action requested/Recommendation

2. Central Management Group is asked to read over and approve the attached document.

Background and context

3. This is the University's first **Research Strategy** document and is designed to develop the *Leadership in Research* strand and pick up on the *Development themes* articulated in the new Strategic Plan. Most universities now have Research Strategies but care has been taken to make this document an inclusive one, embracing all disciplines of the University and reflecting on what makes Edinburgh an outstanding research environment.

Discussion

4. Central Management Group is invited to adopt and champion this document. While Research Policy Group have indicated their approval, constructive comments are warmly welcomed as it is important that this document is given profile within the University.

Resource implications

6. There are no resource implications associated with this paper.

Risk Management

7. No risks have been identified associated with this paper.

Equality & Diversity

8. There are no Equality and Diversity issues associated with this paper.

Next steps/implications

9. This document will be published on the University's website.

Consultation

10. The following have been involved in the production of this paper:

College Research Deans and other members of Research Policy Group;
Tracey Slaven, Pauline Jones and the Strategic Planning team in GaSP;
Prof James Smith, VP International;
Gary Jebb, Estates and Buildings;
Sarah Cunningham-Burley, AP for Research-led Teaching;
Kevin Collins, AP for Industry Engagement;

Gavin McLachlan, CIO;
Jon Turner, IAD;
Equality, Diversity & Inclusion people in HR.

Further information

11. Author

Dr Charlotte Brady
Projects and Policy Officer
For VP Jonathan Seckl
28 October 2016

Presenter

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

Freedom of Information

12. Open paper

Research Strategy: University of Edinburgh

Introduction

The University of Edinburgh is one of the world's leading research-intensive universities. Our researchers continuously challenge the boundaries of knowledge. We provide the highest quality learning opportunities for our students embellished by the new knowledge we discover. We have a glorious history of startling discovery and advancement of knowledge for public good. From our foundation in 1583, through our leadership of the intellectual and scientific advances in the 18th Century Enlightenment, to the present day, Edinburgh has been at the forefront of research and innovation. Twenty-one Nobel Laureates have trained or worked at the University of Edinburgh. The breadth and depth of our scholarship, learning and teaching, our open interdisciplinary approach and our entrepreneurial culture enable Edinburgh to make substantial positive differences to people's lives locally and globally.

We have a continuing track record of the highest levels of research excellence. Edinburgh is a global top 20 university in the authoritative QS World Rankings. We are 4th in the UK in research power in the Government's most recent research assessment, REF 2014. Our REF performance was strong across the board, with all 3 of our Colleges having disciplines placed first in the UK, and most subjects in the UK top 5.

Strategy

We aim to deliver the highest attainable excellence in research and innovation to transform understanding of humanity, the world we live in and the universe around us. We will discover new knowledge and develop solutions to address the great global challenges. Our exceptional research staff and our outstanding students will engage with the local community and global collaborators to deliver this strategy.

Our Values

Leadership in Research

The University of Edinburgh is driven by the pursuit of knowledge, a commitment to the highest attainable excellence in our research and to translating our discoveries into transformative social, cultural, health and wealth benefits for people everywhere.

We have a 430 year legacy of developing hugely influential thought leaders including David Hume, James Clerk Maxwell, Charles Darwin, Alexander Graham Bell, Robert Louis Stevenson and Sir Arthur Conan Doyle. We maintain this reputation by continuing to deliver exceptional discoveries. Recent extraordinary researchers who have worked here include 'physiology or medicine' Nobel laureates Sir Robert Edwards, Sir Paul Nurse and Professors May-Britt and Edvard Moser, physics Nobel laureates Professor Max Born and Professor Peter Higgs, chemistry Nobel laureate Sir Fraser Stoddart, economics Nobel laureate Professor James Mirrlees, physicist Christina Miller, chemist Charlotte Auerbach, and biologists Sir Kenneth and Lady Noreen Murray. Contemporary excellence is exemplified in the research of chemist Professor Lesley Yellowlees, epigenetic biologist Sir Adrian Bird (winner of both Canada Gairdner and Shaw prizes), cloning pioneer Sir Ian Wilmut (who created

Dolly the Sheep), Li-Fi inventor Professor Harald Haas and theologian Professor Mona Siddiqui.

Edinburgh has a talent to initiate new areas of enquiry. We started the study of Geology and English Literature and, recently, the new field of epigenetics.

Interdisciplinarity

Our ethos of *'research without boundaries'* ensures that interdisciplinary research is at our core. Our open structure, with cross-cutting research institutes and centres addressing major themes, facilitates interactions between colleagues and students from all disciplines. We incentivise our researchers to break down disciplinary preconceptions and expand knowledge horizons. Thus our outstanding science, arts, humanities, social sciences and clinical researchers readily work together to deliver solutions to the great global challenges of the 21st century.

Edinburgh has won many large, externally-funded centres for training doctoral students. These are typically multidisciplinary and are co-located in clusters across our campuses, further expanding the breadth of experience available to our exceptional postgraduate students. These prestigious centres are based on areas of outstanding research strength in the University and ensure we help to shape the next generation of interdisciplinary research leaders and practitioners.

Internationalisation

We are very international in our outlook. 43% of our students and 30% of our staff are non-UK nationals from over 140 countries. Our Massive Open On-line Courses (MOOCs) have reached 2.5million learners in over 200 countries in the last 3 years. More than 50% of our outputs are co-authored with colleagues from other countries. We encourage secondments, collaborations and deep partnerships globally.

The majority of our research outputs in the last decade are in collaboration with an international partner, 30% with European countries and 20% with the USA over the last decade. In every research field the University of Edinburgh's international co-publication has increased in the last 7 years. International collaboration adds visibility and citations to our research. These links are often supported by strategic alliances including our membership of the League of European Research Universities (LERU), Universitas 21 and other alliances of the world's top research-intensive institutions. Such links assist our staff and students to partner and gain skills and resources from the best research peers globally. We will continue to build our international collaborations at institutional and individual levels.

Inclusivity

The University of Edinburgh aims to attract the world's most talented students and remarkable staff. We continuously develop a nurturing environment where everyone can reach their full potential. Students will increasingly be enabled to gain world-class research experience. Indeed, we plan that all students, including undergraduates, will have the opportunity to become researchers and contribute to knowledge generation.

We continually promote equality and diversity among our students and staff. As an institution we

have attained Athena SWAN silver, as have many of our Schools individually, with the School of Chemistry attaining gold. This commitment to human values has a vital role to play in ensuring our success as a world-class research institution, proud of our staff and students and their fine achievements irrespective of their background, orientation or belief.

Given the key importance of talent and the high value we place on the people we employ, we are committed to providing excellent career support through protected research time, mentoring and removal of the disadvantages to progression that can arise from career breaks. We work with our staff to ensure they feel supported and that they can realise their potential, creating an excellent working environment.

Early Career Development

We are especially focused on early career colleagues, the ‘lifeblood’ of the academic profession. In the last 4 years we have recruited more than 250 outstanding early career researchers through our prestigious tenure-track *Chancellor’s Fellowship* scheme. This highly international cohort develops the best and brightest into the finest academics along a supported career path that will enable them to become the research leaders of the future. We will increasingly develop Chancellor’s Fellowships and related schemes, including those supporting links with industry, and establish coherent pathways for the academic professions, such as the outstanding *Edinburgh Clinical Academic Training* scheme.

Integrity

Our research is conducted at the highest levels of integrity. The University of Edinburgh is dedicated to promoting a culture of excellent research practice, ensuring that all research complies with the highest standards within the Universities UK *Concordat to Support Research Integrity*. Our *Institute of Academic Development* works with individual researchers from all disciplines to develop and promote a strong ethical framework of integrity and responsibility. As a major data intensive organisation we ensure high standards of data governance, trustworthiness and security.

Impact

We are the largest and most successful university in Scotland and one of the largest and most successful in Europe. We are an anchor of the Edinburgh economy and a major global economic force. With more than 35,000 students, 2.5 million learners online, 13,000 staff and a turnover of more than £900 million, the University of Edinburgh generates £2 billion for the Scottish economy, £4 billion to the global economy and supports 37,000 jobs outside direct employees. Our staff and students start 35-45 companies each year, with 63% still trading a decade later. We will continue to use the investments of our research funders productively, grow and increase our economic impact, and provide increasing benefits to society.

Partnerships

We recognise that strategic institutional partnerships benefit students, staff and the university as a

whole. Our highly successful REF2014 submission included units of assessment that were jointly submitted between ourselves and a partner institution, the greatest number of partnerships of all UK Universities. Deep partnerships are becoming increasingly more important for research, allowing access to and sharing of unique facilities and leveraging funding. We will therefore build a small number of further deep partnerships with key research-intensive organisations.

Our vision for the future

We will address and resolve the world’s greatest challenges through research of the highest quality. We will develop existing research themes and build on our distinguished tradition of starting new areas of enquiry. International challenge themes are key foci for Edinburgh researchers, including, but are not limited to:

<i>Global health and wellbeing</i>	<i>Ageing and regeneration</i>	<i>Food security</i>	<i>Climate change and its moderation</i>
<i>Robotics</i>	<i>Data science</i>	<i>Arts and design informatics</i>	<i>Global energy</i>
<i>Global Justice</i>	<i>City living and smart cities</i>	<i>Social impacts of globalisation</i>	<i>Changing cultures and demographics</i>

With our commitment to developing the next generation of research leaders we will continue to recruit and support the world’s most promising students and outstanding staff. We will have a culture of positive inclusivity for all, which encourages talent migration from across the world to join us in Edinburgh.

We will continue to invest substantially in our research and teaching estate. We will develop our campuses to be *ideal-for-purpose*, with the highest standards of researcher accommodation, equipment, data handling and storage facilities. We will develop open, interactive research spaces where disciplinary and interdisciplinary researchers can work shoulder-to-shoulder on the major challenges.

Our University open to the world: We will make our university increasingly more accessible to colleagues in other universities and in industry, facilitating free exchange of ideas, staff and sharing facilities. We will work ever more closely with such partners to co-create research and training for mutual benefit.

Delivering our vision

Influencing Globally and Contributing Locally

The University of Edinburgh is changing the world through the quality and power of our research. We make extraordinary impacts on societies, the economy and policy across the continents. We will address global challenges and commit to a culture of improving quality of life and sustainable

development. The globalisation of our research will continue, with our Research Support Office developing their offering to researchers to include international funds and resources. This will ensure that there are no geographical limitations on opportunities for our researchers. We will continue to work with global partners to further advance mutual research interests and collaborative funding.

Locally, the University is driving a major development of its estate where the staff and students can feel equally part of the university and part of the city. Our buildings will reflect the needs of the 21st century, with infrastructure and modern connectivity. We will be part of a regional endeavour to bring 'Internet of Things' to the local area. Our capital investment will revolutionise University space in the area and build a series of hubs for knowledge exchange. With campuses such as BioQuarter we will increasingly co-locate research with industry, public sector and other organisations to facilitate knowledge exchange, so that the innovative ideas of our staff and students can be developed and delivered to the people who will benefit.

We will work with our communities increasingly to embed the University into the cultural heart of the region. We have lasting partnerships with local authorities, the NHS, Scottish Enterprise, the National Galleries, the National Library, the National Museums of Scotland, The Royal Zoological Society of Scotland, the Royal Botanic Gardens and Edinburgh's famous International Festivals. Our research staff and students participate and volunteer in every festival hosted here, engaging with local residents and international visitors alike, embellishing our region and making our research public on the world's largest stage.

Partnering with Industry

Research is translational. We will embed knowledge exchange and knowledge transfer practices in our research from inception, part of a wider culture change to make the University a more open institution.

Universities are an ideal conduit for innovation, taking our research and teaching and delivering it to communities near and far. To do this we need increasingly to work with industry, public organisations and third sector bodies. Our philosophy is to have a university with doors open to all who wish to engage. Our industry engagement approaches are open, interdisciplinary and market-led, with arts, humanities and social sciences closely complementary to our science and medicine expertise.

Industry needs the skills that the University of Edinburgh produces. We will enhance industry-ready skills in our students and researchers. We will achieve this by encouraging more researcher and student placements, so they can gain deep experience outside traditional academic disciplines, and by co-creating courses with partners in industry and the public sector. We will increasingly make our institution 'porous' to industry-based colleagues to work collaboratively within our centres, institutes and schools, and share knowledge with our leading academics.

We will encourage academic careers involving periods in industry and support industry staff seeking to access and work within the University. We will also initiate industry-academic research fellowships at postgraduate and postdoctoral levels to ensure that our talented staff and students have the skills and experience to thrive in careers outside academia.

To support the openness of the university we will establish major interdisciplinary centres where researchers, students, industry and the public sector interact and derive knowledge and understanding by working together in a flexible and responsible manner. These will include the Bayes Centre for Data Science and Technology, and the Usher Institute of Population Health Sciences and Informatics.

Digital Transformation

Curating and manipulating vast data sets to generate new knowledge is the crucial next challenge in many areas of research. The University of Edinburgh will revolutionise our already strong digital practises in the next five years, providing a world-leading, trend-setting experience for staff and students. Our research data strategy ensures our capacity to handle in a trusted manner large data sets on a scale that was unheard of a few years ago. We already house the £100 million UK National Supercomputer and Research Data Facilities to enable this ambition. We will lead on data curation, maximising opportunity with the Digital Curation Centre, another national facility housed at the University. We will ensure that the digital research support available to our academic staff and research students is optimal at any scale of project.

We will lead in digital education, developing revolutionary online learning and Continuing Professional Development (CPD) for our research staff and students. The University is committed to CPD for all its staff. Data skills development is a critical part of that development and courses will be available to all research students and staff so that they have the skills needed to adapt and innovate in the data-driven world.

The breadth of our ambition is reflected in and embellishes our teaching portfolio: across all disciplines the University delivers foundational and advanced teaching programmes enlightened by our world-leading research. We will encourage disciplines to review their curricula to offer every student a research or professional practice experience using relevant digital resources. This will afford a research-driven learning experience unique to Edinburgh supporting the ambition of “every student a researcher”.

Participate, collaborate, contribute

We always welcome participants in our research. Data collectors are encouraged to engage in Citizen Science, as are students and colleagues who would like to become a researcher here at the university. We are eager to work with new people from around the world, learn from them, improve research and advance global understanding. If you are a company or private or public-sector organisation and would like to collaborate with a research group or centre at the University we would be delighted to engage with you. Be part of our vision by contributing either as a researcher, a participant, a funder or a donor to our unique interdisciplinary and open research facilities.

The University is creating a sense of place for its staff and students, based in our wonderful city but looking out globally. We are building communities of researchers who move freely between disciplines inside and outside the university, engage with new ideas and find innovative ways to improve the future. The University of Edinburgh is and will remain at the forefront of global thinking and research for the next century and beyond.



CENTRAL MANAGEMENT GROUP

8 November 2016

Modern Slavery Act 2015 and University of Edinburgh Statement

Description of paper

1. This paper presents a final draft of the University of Edinburgh's statement in relation to the Modern Slavery Act 2015¹.

Action requested/Recommendation

2. CMG is requested to review the statement and provide comments.

3. It is recommended that the CMG endorse the statement and that members consider further actions that they can take in their areas of influence.

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

Risk Management

10. The attached statement outlines the potential risks for the University of Edinburgh and the writers' understanding of the current mitigation taking place. It is deemed unlikely that we are at risk of modern slavery in our direct operations but there are risks in our supply chains and in relationships with contractors and potentially with our international activities.

Equality & Diversity

11. Due consideration has been given to equality and diversity as part of this review.

Paragraph 12 has been removed as exempt from release due to FOI.

Consultation

13. Drafted with input from Procurement, Legal Services, Court Services, Human Resources, International Office, Waste, and academic colleagues. Further email consultation took place with Accommodation, Catering and Events, Development and Alumni, Information Services Group and the Research Support Office. This work was coordinated by the Research & Policy Manager in the Department SRS. A draft was presented to SRS Committee in October 2016 and further edits have been made.

Further information

14. The statement was prepared through a collaborative effort involving staff from SRS, Procurement, Legal, Court Services, HR and others.

15. Author and Presenter

Michelle Brown
Head of SRS Programmes
October 2016

Freedom of Information

16. This is a closed paper until after the statement has been finalised and approval by Court.



CENTRAL MANAGEMENT GROUP

8 November 2016

Space Strategy Group

Description of paper

1. This paper reports on the main matters discussed at the first meeting of the Space Strategy Group (SSG) held on 29 August 2016.

Action requested/Recommendation

2. Central Management Group is asked to note the matters reported and endorse the proposed Terms of Reference (Appendix attached) for the Space Strategy Group.

Background and context

3. Following Central Management Group's steer on 1 March 2016 to mitigate the severe challenges experienced around the teaching estate provision during the 2015/16 academic year, it was agreed that the Space Enhancement and Management Group be refreshed with a revised Terms of Reference to incorporate both strategic and operational responsibility and focus on high level reporting/principles of management with reduced operational detail. The attached Appendix presents the proposed Terms of Reference for the newly established Space Strategy Group.

4. The Teaching Spaces Overview Group (TSOG) (a working group of the Space Strategy Group) was established in May 2016 to implement the recommendations contained in the Chief Information Officer's review to ensure delivery of the correct amount and configuration of teaching space to support 2016/17 core academic teaching requirements. TSOG co-ordinated a range of analysis and actions designed to facilitate a significant improvement to the experience of students when engaging with their taught timetable for 2016/2017, liaising closely with Schools throughout this process.

5. A programme of refurbishment has been undertaken funded by RDEC (£1.5m) and teaching room refurbishment programme (£0.25m) has enabled the University to deliver a higher quality and condition across a larger number of teaching spaces.

6. Although there is still a good deal of work required to ensure all core teaching is successfully and appropriately scheduled, the University sits in a much healthier position regarding its teaching space provision for the forthcoming academic year.

Discussion

7. Central Management Group is requested to endorse the proposed Terms of Reference of the new Group (Appendix).

TSOG Update

8. Emerging through the recommendations contained within the CIO's review of timetabling (published Jan 2016), TSOG has provided oversight for the teaching

space provision required to support 2016/17 core teaching, as well as defining robust business processes for both the management of short-term rooming issues, and for the planning of future teaching space provision.

9. The combination of estate development completion and the sourcing of additional contingency space has led to a net increase (19 rooms) in the level of general teaching space provision in both Central and KB teaching zones – as detailed in the table below:

Cap Range	Central Area		King's Buildings		Holyrood		New College		Lauriston	
	1516	1617	1516	1617	1516	1617	1516	1617	1516	1617
304+	2	2	2	2	1	0	0	0	0	0
195-303	8	8	4	4	0	1	0	0	1	1
101-194	8	7	5	4	2	2	1	1	0	0
50-100	20	20	17	18	10	10	1	1	4	4
21-49	48	51	19	20	26	26	2	3	2	2
1-20	89	102	3	6	31	31	3	2	3	3
TOTAL	175	190	50	54	70	70	7	7	10	10

10. This net increase in allocated teaching space has helped to deliver, for 2016/17:

- 1) An increase in School '1st preference' allocations to 91% - up from 77% in 2015/2016
- 2) The elimination of additional student travel time constraints, previously introduced through enforced allocation of Central area activities in Holyrood
- 3) As of 31/08/16 – only a very small handful of core teaching activities are still to be accommodated
- 4) The removal of any reliance on locally-managed School meeting space to provide additional contingency – although one CHSS meeting room and one IS Library training room have been included for use in 2016/2017

11. The current 2016/2017 space provision has produced the early utilisation figures detailed below. All will be subject to increase as we move through the semesters

Zone	Semester One			Semester Two		
	Frequency	Occupancy	Utilisation	Frequency	Occupancy	Utilisation
Central	63.47%	81.54%	52.05%	60.98%	82.20%	49.96%
Kings Buildings	50.85%	76.11%	38.43%	45.65%	72.73%	33.28%
Holyrood	38.31%	80.24%	30.86%	29.51%	84.35%	24.86%

Escalation of issues

12. TSOG has co-ordinated an update to the policy regarding the escalation of timetabling issues: ensuring clearly defined escalation points and named contacts, with the designated owner of teaching space identified as the final point of arbitration.

Ongoing provision of teaching space

13. TSOG has defined a new approach to the planning and provision of teaching space, designed to ensure the Estates Department has best available guidance and the most amount of lead time to ensure any required contingencies can be successfully delivered. Two modelling points have been identified across a timeline:

- 1) October – initial timetable modelling using current year timetable and emerging student growth prediction, matched against expected estate provision emerging through various strategies. This allows for early contingency planning in the event of any predicted shortfall
- 2) April – second round of timetable modelling to co-incide with more clearly defined student growth data, designed to identify any necessary scope for change to teaching space development plans

Future

14. TSOG will continue to report to SSG in the short-term, and may be subject to an extension of its lifespan. However, its core remit will continue under SSG governance.

Teaching Accommodation upgrades 2015-16

15. The majority of rooms refurbished under the Teaching accommodation upgrade programme for 2015/2016 were completed by 20th August: with the exception of the following:-

- a) AV upgrades to MVM estate - these rooms required no fabric or furniture upgrades, only AV, which should be completed by mid-September
- b) Paterson's Land, New College and Old Medical School, were used during the summer period by Festivals/Summer School. All Estates works to upgrade these areas were completed prior to the summer activities, with the exception of the new furniture and AV installations. Now that the rooms are vacated, Learning Spaces Technology and Estates can complete the required works, with the rooms available for use from week 1 of Semester 1.

16. The additional rooms added onto the refurbishment programme mid-year to provide contingency teaching spaces to accommodate the outstanding bookings for the 2016/2017 teaching load should be available for use from week 1, Semester 1.

17. Although the final accounts are not concluded, the 2015/2016 teaching programme is expected to be completed on budget of £1.75m: the final costs and the detail of the room upgrades, will be presented to the November SSG meeting.

Teaching Accommodation upgrades 2016-17

18. Paper L1 presents the draft programme and estimated costs for 2016/2017, with a request for funding from the RDEC monies.

Marginal Charges for Centrally Bookable Rooms – Rates for 2016-17

19. The Group noted the 8% increase in marginal rates for staffing and 3% for utilities for 2016-17. These are the rates that Estates Department charge for centrally bookable

rooms to Edinburgh First (for conferences) and to Schools for use of space beyond normal hours. This increase is in line with increases in staff salary which were forecast in the planning and budgeting round (8% in 2016-17 and 4% in 2017-18).

20. *NPRAS Rates for 2017-18*

The Group noted the revised NPRAS rates for use in the 2017-18 planning round. As per previous years, different rates are set for 'Moderately serviced' and 'Highly serviced' buildings – these categories make up the majority of the estate.

Resource implications

21. Colleagues time in developing and implementing policies to ensure the optimal use of all teaching and learning space in line with the Strategic Plan and other relevant plans, policies and strategies.

Risk Management

22. The main risk is future disruption to University Business continuity due to insufficient or inappropriate space.

Next steps/implications

23. Formulate an action plan to manage and implement the Space Strategy Group's Terms of Reference.

Consultation

24. Estates Committee endorsed the Space Strategy Group's Terms of Reference and membership.

Further information

25. Author

Assistant Principal Professor
Sarah Cunningham-Burley (Convener of SSG)
Angela Lewthwaite, Secretary to SEMG
12 October 2016

Presenter

Mr Gavin Douglas
Deputy Secretary, Student Experience

Freedom of Information

26. This is an open paper

Proposed - Space Strategy Group

Formerly Space Enhancement and Management Group

Terms of Reference [Draft: to be approved by Estates Committee and Central Management Group]

1. Purpose

The purpose of this Group is to optimise the use and quality of space across the Estate through joined up working across the University community and, more specifically, to provide clear governance and oversight of teaching and learning spaces.

2. Remit

- Be responsible for developing, implementing and reviewing policies to optimise the use of all space, and more specifically, to oversee learning and teaching space, in line with the Strategic Plan and other relevant plans, policies and strategies.
- Work collaboratively with the University community, through communication, innovation and consultation, to envision and convey the academic, environmental, sustainability and financial benefits that arise from a strategic approach to effective space management for the teaching and learning environment.
- Work closely with the student and staff community to develop a learning and teaching space strategy, influenced by the University's developing Learning and Teaching Strategy, and associated plan and agree appropriate mechanisms to oversee its delivery.
- Consider and recommend proposals and policies to Estates Committee, such as the annual teaching spaces refurbishment programme, ensuring that the University has the number of teaching spaces required on an annual basis.
- Promote 'best practice' in the learning and teaching spaces' environment to enhance the student and staff experience.
- Receive reports and establish KPIs on all types of space usage, quality and efficiency, for example carbon impact and accessibility, which allow benchmarking against the sector and drive improved performance and monitor and analyse requests for space.
- Consider and approve projects, and papers which will directly affect teaching, learning and exam spaces, including overseeing teaching spaces and escalation point for critical matters affecting learning and teaching spaces.
- Support the development of tools, including modelling and capacity planning tools, including the timetabling process, which can assist with optimising space, provide quality management information, and link to sector-wide developments and external reporting requirements.
- Set up (short term) working groups as required to deal with specific issues.

Cont'd ...

3. Composition

Assistant Principal Professor Sarah Cunningham-Burley (Convener)
Mr Graham Bell, Head of Estates Development & Depute Director
Mr Gavin Douglas, Deputy Secretary, Student Experience
Mr David Gorman, Director of Social Responsibility and Sustainability
Ms Melissa Highton, Director IS Learning, Teaching and Web
Mr Gary Jebb, Director of Estates (Deputy Convener)
Mr Gavin McLachlan, CIO and Librarian (Deputy Convener)
Mrs Gillian Nicoll Space Manager
Mr Scott Rosie, Head of Timetabling Service
Mr Jeremy Upton Director IS Library & University Collections Division or nominee [library spaces]
AV]
One senior academic representative from each College, Dean or equivalent
One senior professional service representative from each College (DOP or Estates Practitioner)
Student representatives (EUSA VPS)
Mrs Angela Lewthwaite, Secretary

Colleagues will be co-opted as and when necessary

4. Reporting

SSG will report to the Estates Committee and Central Management Group and business can be escalated via Estates Committee to Policy & Resources Committee and then to Court as required. In addition, papers can be submitted to Senate and its committees as appropriate, although in particular it is expected that the Group will report to Learning and Teaching Committee to ensure strong links with the University's Learning and Teaching Strategy.



CENTRAL MANAGEMENT GROUP

8 November 2016

Enlightenment Scholarships: a New Form of PhD Scholarship

Description of paper

1. Following discussions in Principal's Strategy Group, and consultations with Schools and Colleges, this paper presents a new style of PhD scholarship, with the working title "Enlightenment Scholarships." This paper describes the proposals in details and seeks formal approval of the scheme.

Action requested/Recommendation

2. CMG is asked to formally approve the proposals, so that recruitment for a prototype programme in the 2017-18 academic year may begin with advertisement of the new scholarships in early December 2016.

Paragraphs 3 - 23 have been removed as exempt from release due to FOI.

Risk Management

24. Not increasing our PhD student numbers to Russell group levels carries a significant risk for our performance in REF. Financial risks associated with the prototype implementation and small and would be time limited.

Equality & Diversity

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

Paragraphs 26 - 28 have been removed as exempt from release due to FOI.

Consultation

29. The paper was commissioned by Principal's Strategy Group. A draft paper has been discussed in consultations with the Schools and Colleges, and approved by Senate Researcher Experience Committee.

Further information

30. Further information is available from Assistant Principal Professor Jeremy Bradshaw.

31. Author

Assistant Principal Bradshaw
19 October 2016

Presenter

Deputy Secretary Slaven

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

8 November 2016

Proposal to establish new two Chairs in the School of Economics

Description of paper

1. The paper outlines the case for the creation of a new Chair of Economics who will undertake the role of Head of School for an initial five year term and a new Chair of Economics.

Action requested/Recommendation

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

Background and context

3. The College of Arts, Humanities and Social Sciences is confident that it can recruit to these posts successfully.

Discussion

Chair of Economics who will undertake the role of Head of School

4. The role will include the appointment as Head of School for a term of 5 years in the first instance. In addition to providing overall academic leadership both within the School and beyond, the Head of School will be expected to be involved in teaching and/or research as an integral part of their role. Applicants from all fields of Economics are welcome, and should have an outstanding record in research, teaching and student support.

5. The appointee will contribute to and develop the School's teaching at undergraduate and postgraduate level; contribute to the School's growing provision of post-MSc doctoral training; supervise PhD students; undertake research of the highest quality and engage fully with the intellectual life of the School.

6. The Head of School reports to the Head of College and is responsible for the provision of academic leadership, developing and delivering School objectives for, in particular, teaching, research and knowledge exchange, which are aligned with the University and College strategy. The Head of School is also responsible for the effective governance and management of the School and all of its resources.

7. Equally importantly, the role embodies a set of responsibilities to, and for, all staff and students in the School including ensuring that their 'voice' (or sometimes, voices) are heard and heeded in both College and University processes and that the development of the School, in human and academic terms, is fostered and supported.

Chair of Economics

8. The new, established Chair of Economics will considerably further the School's ambitions to expand on its current strengths, reinforcing the recent expansion in more applied areas such as macro and labour economics, strengthening both its teaching and research output. Furthermore, the Chair will further enable collaboration and engagement beyond the School and the University.

9. The appointee will contribute to and develop the School's teaching at undergraduate and postgraduate level; contribute to the School's growing provision of post-MSc doctoral training; supervise PhD students; undertake research of the highest quality and engage fully with the intellectual life of the School.

10. As the School is expanding both in numbers and in the range of activities that it undertakes, it is expected that the successful candidate will contribute to the management and leadership of the School, for example by supporting the School's efforts in the expansion and development of the PhD programme, and in particular by increasing grant raising activity.

Resource implications

11. Funding for the Chairs will be met by the School of Economics.

Risk Management

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

Equality & Diversity

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

Next steps/implications

14. The recruitment and selection process for the Chair of Economics who will undertake the role of Head of School to commence with a view to interviewing in February 2017 and a start date in August 2017. The recruitment and selection process for the Chair of Economics to commence with a view to interviewing in December 2016 and a start date in 2017.

Consultation

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

Further information

16. Author
Professor Simon Clark
Head of the School of
Economics
21 October 2016

Presenter
Vice-Principal Professor Dorothy Miell
Head of the College of Arts, Humanities and
Social Sciences.

Freedom of Information

17. This paper can be included in open business.



CENTRAL MANAGEMENT GROUP

8 November 2016

Proposal to establish new a Chair in the Business School

Description of paper

1. The paper outlines the case for the creation of a new Chair of Business who will undertake the role of Head of School for an initial five year term.

Action requested/Recommendation

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

Background and context

3. The College of Arts, Humanities and Social Sciences is confident that it can recruit to this post successfully.

Discussion

4. The Business School wish to establish a new Chair, the Chair of Business at the University of Edinburgh. The post holder will undertake the role of Head of School for an initial term of five years.

5. The appointee will be expected to demonstrate leadership of the highest calibre, strong research credibility and an excellent record of teaching and student support, with experience of operating within the context of a leading school of business and management. Candidates will be able to demonstrate excellent ambassadorial and interpersonal qualities and a record of developing and strengthening relationships with leading businesses, peer institutions and business schools, as well as leading the large team of academic and administrative colleagues.

6. The Head of the Business School will be accountable for the provision of academic leadership, developing and delivering the strategic aims of the School, particularly with regards to the research agenda, teaching and learning provision, student support and corporate engagement, in concert with the broader aims of the College and University.

Resource implications

7. Funding for the Chair will be met by the Business School.

Risk Management

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

Equality & Diversity

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

Next steps/implications

10. The recruitment and selection process for the Chair of Business who will undertake the role of Head of School to commence with a view to interviewing in February 2017 and a start date in September 2017.

Consultation

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

Further information12. Author

Professor Wendy Loretto
Acting Dean of the Business
School
21 October 2016

Presenter

Vice-Principal Professor Dorothy Miell
Head of the College of Arts, Humanities and
Social Sciences.

Freedom of Information

13. This paper can be included in open business.



CENTRAL MANAGEMENT GROUP

8 November 2016

Report from Fees Strategy Group

Description of paper

1. This paper sets out the recommendations for tuition fees from the Fees Strategy Group meeting of 31 October 2016 which CMG are invited to approve.

Action requested

2. For information and to approve the tuition fees and student rent proposals noted in the document.

Recommendation

3. We recommend that CMG approves the tuition fee proposals set out in the paper in paragraphs 7, 10, 12 and 17.

Paragraphs 3 - 18 have been removed as exempt from release due to FOI.

Risk Management

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

Equality & Diversity

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

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

Consultation

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

Further information

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

24. Author

Peter Phillips, Deputy Director of Planning
Governance and Strategic Planning

Presenter

Tracey Slaven, Deputy Secretary
Strategic Planning
Governance and Strategic Planning

1 November 2016

Freedom of Information

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



CENTRAL MANAGEMENT GROUP

8 November 2016

Annual report on complaint handling, 2015-16

Description of paper

1. In line with the requirements of the Scottish Public Services Ombudsman (SPSO) and the University's Complaint Handling Procedure (CHP), this paper reports on the handling of complaints to the University for the academic year 2015-16.

Action requested / Recommendation

2. The paper is for information, there are no recommendations at this stage.

Background and context

3. The CHP has two stages. Stage 1 Frontline Resolution should be used in the majority of cases, with likely outcomes being an on-the-spot apology, an explanation or other action to resolve the complaint very quickly (within five working days). Stage 2 Complaint Investigation is appropriate where attempts at Frontline Resolution have failed, or where the issue is sufficiently complex, serious or high risk from the outset that Frontline Resolution would not be appropriate. The CHP specifies that the following will be reported internally:

- i) 'performance statistics detailing complaint volumes, types and key performance information, for example on time taken and stage at which complaints were resolved'

- ii) 'the trends and outcomes of complaints and the actions taken in response including examples to demonstrate how complaints have helped improve services'

Discussion

4. For the purposes of complaint reporting, the University has around 50 'areas' – each of the Schools, College Offices, and designated support services. Areas report quarterly on complaints resolved at Frontline. All Stage 2 complaints are managed centrally by the Investigations Manager.

5. During the 12 month period 1 August 2015 – 31 July 2016, areas reported a preliminary total of 449 complaints (303 from students with the remainder from members of the public and a very small number from staff members). This is a decrease on the previous year's figure of 559 in returns received to date, however the final total figure for the AY is likely to be broadly in line with the previous year.

6. It is believed that the majority of Frontline cases were resolved within the five-day time limit, but data on this was not being recorded consistently by areas. We hope that this will be addressed for the current year by the introduction of a new logging tool for complaints which has now been rolled out.

7. In total, 291 'complaints' were raised through the central complaints@ed.ac.uk mailbox, up significantly from the previous 12-month figure of 205 and the 2013-14 figure of 156. Of these:

- 78 (64 in previous year) cases were referred to the appropriate areas for Frontline resolution and are thus also counted in the 449 total for the year.
- In 47 (59) cases, the 'complaint' was resolved through an explanation, advice, provision of information, or advice on where to take a problem which was not one for the University.
- 16 (17) complaints were not considered – 12 of these because of 'unacceptable behaviour' on the part of the complainants, 2 because they were time-barred and 2 because they were attempts to re-open complaints which had been completed through the University's procedures.
- The SPSO contacted the office regarding 22 cases, many of which were appeal cases rather than complaints. Of the complaints they reviewed, SPSO endorsed the University's handling in all cases.
- A few cases were referred for investigation under another procedure – student conduct (14), staff capability/disciplinary (3), research misconduct (3) or academic appeal (10).
- 28 cases were referred back to complainants for more information or for third party DPA clearance.

8. Several complaints were raised regarding the online activities of a student, and one student raised a very large number (approx. 40 over two years) complaints; other than this there were no discernible trends.

9. A welcome development this year has been the number of occasions on which staff members have consulted the Investigations Manager for advice on cases at an early stage, either to give a 'heads-up' on an imminent complaint, or to check that their proposed frontline approach to a complaint seems appropriate. These cases account for the majority of cases not specified above. A total of 18 requests for complaint-related information through FOI also involved work on the part of the Investigations Manager.

10. During the full academic year, a total of 8 (13) cases went to Stage 2 Complaint Investigation, meaning that 99% (98%) of complaints were resolved at Frontline. The 2013-14 figures were 20 cases or 95%, and so this year represents a further improvement on our already-high frontline resolution rate.

11. Investigations should be completed within a maximum of 20 working days, unless an extension is given for good reason. The breakdown of time taken over investigations is as follows:

- | | |
|---|-------|
| • Within 20 working days | 0 (4) |
| • Within 25 working days | 0 (0) |
| • Within a significantly longer period (max 5 months) | 6 (9) |
| • Withdrawn by complainant before completed | 0 (0) |
| • Still under consideration at time of report | 1(0) |
| • Resolved by other means after investigation | 1(0) |

12. In all the cases which took more than 20 days, the delay was largely due to the complainant – either due to absence or difficulty contacting the complainant, slowness of response from complainant, or because investigation was put on hold at some point at the request of the complainant. The case which is still under consideration is one such case.

13. The breakdown of Stage 2 investigation outcomes is as follows:

• Complaint fully upheld	1 (1)
• Complaint partially upheld*	1 (1)
• Complaint not upheld	4 (11)
• Complaint withdrawn	0 (0)
• Resolved by other means	1 (0)
• Still under consideration	1 (0)

*Many complaints cover several issues. Where any of these are upheld, the outcome for the investigation as a whole is recorded as ‘partially upheld’.

14. The two complaints which were fully or partially upheld both related to failure to make adjustments for disability. Information from these complaints has been provided to the review of the Student Disability Service.

15. Last year this report noted that ‘Whilst it is risky to draw conclusions from a single year’s data, the fact that none of the Stage 2 investigations upheld complaints which had previously been considered at Frontline might suggest that Frontline resolution is indeed finding appropriate solutions where those exist.’ With the exception of the two disability-related complaints, where general learning points will hopefully be addressed through the review of SDS, it would again appear that frontline resolution is working well in the majority of cases.

16. Improvements to services may arise even where a complaint is not upheld. Examples of such improvements in the past academic year include a commitment to revise the invoicing procedures for returning students, though this work is not scheduled immediately.

17. The SPSO now issues ‘annual letters’ to institutions, and it is clear from the data that the University of Edinburgh sees a significantly higher number of cases going on to the SPSO for review than does any other institution, even when adjustments are made for size of institution. Of cases referred to SPSO in 2015-16, 17 relate to unsuccessful academic appeals, 4 to complaints, and 1 to a conduct hearing. This higher referral rate may be as a result of better signposting to SPSO by UoE; some analysis of this data will be done shortly. The important point to note is that SPSO endorsed the University’s handling of all cases which were investigated by them last year.

Resource implications

18. There are no immediate resource implications.

Risk Management

19. There are no risks in the report *per se*, which is for information only. Risk management is a key element in the successful handling of all complaints, especially those which carry the potential for reputational damage to the University and/or claims for compensation.

Equality & Diversity

20. SPSO carried out an EIA before publishing the model CHP. This report covers complaints received, some of which relate to matters where equality and diversity is a consideration.

Next steps/implications

21. The Investigations Manager will be responsible for taking forward points relating to data collection and further analysis.

Consultation

22. Quality Assurance Committee will receive a longer version of this report, and quarterly statistical reports are submitted to QAC.

Further information

23. Author

Jean Grier
Investigations Manager
24 October 2016

Presenter

Gavin Douglas
Deputy Secretary Student Experience

Freedom of Information

24. This paper is open; data from it will be published on the University's complaint handling web pages.



CENTRAL MANAGEMENT GROUP

8 November 2016

Principal's Strategy Group

Committee Name

1. Principal's Strategy Group (PSG).

Date of Meeting

2. 3 October 2016.

Action Required

3. Provided for information.

Key points

4. Among the items discussed were:

a) Industry Engagement Strategy

PSG gave their endorsement to the proposed Industry Engagement Strategy led by Director of Corporate Services, Mr Hugh Edmiston.

b) Quatermile Update

PSG discussed the latest position with regard to the plans for the former Royal Infirmary site.

c) Undergraduate Intake Strategy 2017-18

PSG agreed with the proposed approach, to both intake targets and clearing, for the 2017-18 cycle.

The Group clarified that they did not wish to see any delay in the process for dealing with those who do not meet our criteria, particularly as such progress has been made with this aspect of the cycle in recent years.

d) Posts Approval Group (PAG)

PSG were supportive of the proposal to move the management of the PAG process back to the Colleges/Support Group level. The proposed approach will be monitored and PSG noted the need to take broad account of the impact of the Service Excellence Programme and the wider issue of Guaranteed Hours.

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

11 October 2016

Freedom of Information

8. Open Paper