THE UNIVERSITY *of* EDINBURGH

CENTRAL MANAGEMENT GROUP
Raeburn Room, Old College
29 August 2017, 10 am

AGENDA

1   **Minute**   **A**
To *approve* the minute of the previous meeting held on 20 June 2017.

2   **Matters Arising**   **Verbal**
To *raise* any matters arising.

3   **Principal's Communications**   **Verbal**
To *receive* an update by the Senior Vice-Principal.

SUBSTANTIVE ITEMS

4   **NSS results**   **B**
To *consider* a report by the Senior Vice-Principal.

5   **Service Excellence Programme**   **C**
To *note* an update by the Director of Student Systems and
Administration.

6   **Course Enhancement Questionnaire Policy**   **D**
To *approve* an update by the Director of Student Systems and
Administration.

7   **Bulk Email**   **E**
To *note* a paper by the Director of Student Systems and
Administration.

8   **Supporting Personal, Professional and Career Development for
Graduates**   **F**
To *consider* the paper by the Director for Careers and Employability.

9   **Managing Capability Policy**   **G**
To *consider* a paper by the Director of Human Resources.

10   **Update on the City Deal**   **H**
To *consider* an update by the Senior Vice-Principal.

11   **Finance Director's Report**   **I**
To *consider and comment* on updates by the Director of Finance.

12   **Expenses Policy**   **J**
To *consider and endorse* the policy by the Director of Finance.

13	**Value for Money Report 2016/17**	**K**
	To _consider and endorse_ the report by the Director of Finance.	

14	**Integrated Transport Plan 2017 – 2021**	**L**
	To _consider_ the paper by the Director of Corporate Services	

15	**Drinking Water Policy Review**	**M**
	To _consider_ the paper by the Assistant Director of Estates & Head of Estates Operations	

16	**Assistance Animals Policy**	**N**
	To _consider and approve_ the paper by the Deputy Secretary, Student Experience	

17	**Data Steward Role**	**O**
	To _consider and approve_ the paper by the Chief Information Security Officer	

18	**Renaming of George Square Lecture Theatre**	**P**
	To _recommend for approval_ the paper by Head of College of Arts, Humanities & Social Science	

19	**Any Other Business**	**Verbal**
	To _consider_ any other matters by CMG members.	

ITEMS FOR NOTING OR FORMAL APPROVAL

20	**Fee Strategy Group**	**Q**
	To _approve_.	

21	**Research Policy Group**	**R**
	To note.	

22	**Principal's Strategy Group**	**S**
	To _note._	

23	**Date of next meeting**	
	26 September 2017 at 10 am in the Raeburn Room, Old College	

24	**CMG Communications**	**Verbal**
	To note the key messages to be communicated.	

THE UNIVERSITY *of* EDINBURGH

CENTRAL MANAGEMENT GROUP

20 June 2017

[Draft] Minute

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

In attendance: Ms Kirstie Graham, Deputy Head of Court Services

Apologies:
The Principal
Vice-Principal Professor Sir John Savill
Vice-Principal Professor Lesley Yellowlees
Vice-Principal Professor Jonathan Seckl
Dr Ian Conn, Director of Communications and Marketing

1   Minute   **Paper A**

The Minute of the meeting held on 30 May 2017 was approved.

2   Principal's Communications

The Senior Vice-Principal, on behalf of the Principal, reported on the following: reassurances about fire safety across the University estate and student residential accommodation in the wake of the Grenfell Tower tragedy; incentives to recruit to online distance learning programmes; clarification on misleading media reports about the number of EU academics leaving UK universities, with our EU staff numbers increasing

each year as new recruits significantly outweigh departures; the outcome of the UK general election which resulted in a potentially unstable political landscape.

SUBSTANTIVE ITEMS

3	**Expenses Policy**	**Paper B**

Following an Internal Audit Report, which highlighted a number of issues with staff expenses, and as part of a broader review of internal controls, a new Expenses Policy was being developed. CMG noted the key issue of personal accountability, with both the claimant and approver responsible for compliance with the Policy, which was shorter, provided greater clarity of language and would be reviewed annually. CMG was supportive of this direction of travel, recognising the reputational implications and the importance of a culture of compliance, to prevent misuse of funds, both intentional and non-intentional, and address public perception. A number of detailed points were made, to be considered before the new Policy was approved, including how this should be best communicated.

4	**Revised Contextualised Admissions Policy**	**Paper C**

CMG approved the revised Contextualised Admissions Policy, which refined the contextualised admissions system from three to two levels, which would make it easier to communicate our approach to learners and which reflected the Scottish Government's focus on students from SIMD20 areas by guaranteeing an offer at the minimum level for these students.

5	**Search Engine for Fundraising**	**Paper D**

CMG approved the continuing use of charity search engines on machines in the University's Open Access Labs and also approved Trees for Life as the EUSA nominated charity for 12 months commencing August 2017.

6	**People Report**	**Paper E**

CMG noted the quarterly update, including the revised 'Managing Capability Policy' and that the proposed roll-out from August would be preceded by dedicated workshops, facilitated by Pinsent Masons, to support evenness of interpretation and consistent implementation across the University.

7	**Health and Safety Quarter 3 Report**	**Paper F**

CMG noted the summary of health and safety related incidents and relevant health and safety issues and developments that took place during the period 1 March 2017 to 31 May 2017.

**8	Recruitment Update**	**Paper G**

The initial update on the recruitment cycle as of 1 June 2017 was noted.

**9	Fee Strategy Group**	**Paper G1**

CMG noted the report from the Fee Strategy Group meeting of 5 June 2017 and approved the tuition fee proposals and the revised terms of reference and remit of the Fee Strategy Group as set out in the paper.

ITEMS FOR NOTING OR FORMAL APPROVAL

**10	Principal's Strategy Group**	**Paper H**

The report was noted.

**11	Date of next meeting**

Tuesday, 29 August 2017 at 10.00am in the Raeburn Room, Old College.

**12	CMG Communications**

The key messages arising from the meeting to be communicated more broadly were noted.

CENTRAL MANAGEMENT GROUP

29 August 2017

National Student Survey 2017
Initial Analysis and Suggested Follow-Up Actions

Description of paper
1.   This paper presents an analysis of the results of the 2017 National Student Survey (NSS) and recommends a number of measures aimed at improving the University's position in the Survey.

Action requested/Recommendation
2.   CMG is asked to note the initial analysis below of the 2017 NSS results, and to advise on the range of follow-up actions suggested. Building on CMG advice, a revised version of this paper will be developed for presentation to Court on 25 September. The Court paper will also include insights from the NSS free-text comments (yet to be analysed systematically, results of the Course Enhancement Questionnaire (EvaSys) from Semester 2 2016-17, and the benchmarked results from the Postgraduate Taught Experience Survey, which will be available from 25 August.

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

Equality & Diversity
24. Where the University changes its practices or processes in order to take forward the agenda set out in this paper, it will take account of the equality and diversity implications.

Paragraph 22 has been removed as exempt from release due to FOI.

Consultation
26. The Principal's Strategy Group has had input to this paper.

Further information
27. *Author and Presenter*
        Senior Vice-Principal Professor Charlie Jeffery
        22 August 2017

Freedom of Information
28. This paper is closed.

THE UNIVERSITY of EDINBURGH

CENTRAL MANAGEMENT GROUP

28 August 2017

Service Excellence Programme

Description of paper
1. This paper provides Central Management Group with an update on the Service Excellence Programme.

Action requested
2. Central Management Group is asked to **note** the update paper.

Background and context
3. The Service Excellence Programme is a review of key professional services functions within the University. The programme was set up to ensure the University has high quality, efficient services and processes that are needed to sustain and enhance the university's ability to deliver its strategy.

4. The programme has been developed and is to be steered by colleagues in Colleges, Schools and the Support Groups, chaired by the University Secretary. It is a joint approach. This joint approach is fundamental to ensuring we realise the benefits we are looking for.

5. The SEP Board have been clear that we are weighting improving the quality of services to users (staff and students) as highly as improving their efficiency. As we work through the process, a balanced portfolio of projects is emerging.

6. Four programmes were established: Student Administration & Support; Human Resources Transformation; Student Recruitment & Admissions and Finance Transformation. In April 2017 a fifth programme, the Core Systems Programme, was added.

7. The analysis reports from the first four programmes identified a number of consistent themes which cause significant challenges to the services delivered to users and the efficiency and effectiveness of our professional services, including:

- Manual processing & duplication of effort;
- Unclear processes and guidelines;
- Historic structure & governance arrangements and the impact this has on the way that we work;
- Deficiencies in core systems;
- Poor data quality;
- Identification of a number of key business risks.

8. The programmes then went through a further phase of work to identify how we can enhance what we do to deliver significant benefits to our applicants, students, academic and administrative colleagues who engage with or help to deliver these key professional services. These benefits can be delivered through:

- The modernisation and simplification of policies, procedures, structures and business processes;
- The delivery of significantly better services, information and advice;
- Significant opportunity to release thousands of hours of professional service staff time per annum across the University. Through the four Current State Assessment reports the equivalent staff time of between £5-£6m per year of recurrent waste in these professional services have been identified;
- Opportunity to mediate significant risk associated with increasingly competitive student recruitment market and increased applicant expectations;
- Opportunity to ensure the administrative platforms on which the student experience is reliant are more robust, effective and designed from the student perspective;
- Opportunity to further strengthen our position in our management of business risks;
- Opportunity to deliver better use of digital technology to provide us with the data, reporting, user experience, flexibility and efficiency we need.
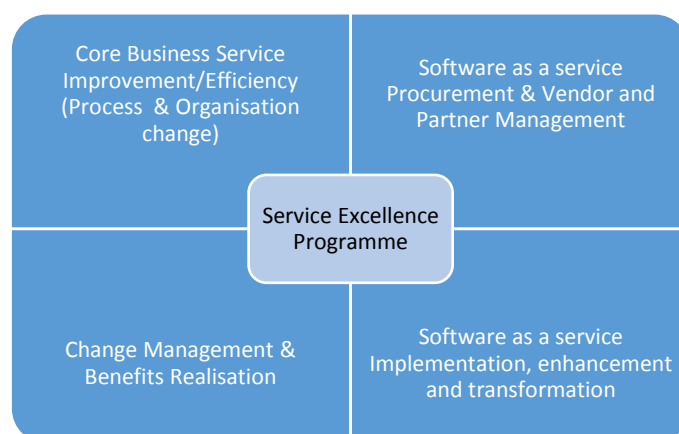
9. In April 2017 the Board welcomed the impressive progress to date across all 4 programmes. It had a detailed and open discussion of the options, supported by a number of worked scenarios. It was clear that there were strong arguments for pressing on immediately with each of the 4 programmes – which all showed strong potential to deliver on the overall SEP programme objectives and the University's strategy. Following discussion, the Board concluded that we should ask for the development of a 5 year plan which gave initial priority to HR Transformation and the Student Administration & Support Programmes; followed by the Finance Transformation Programme. The Student Recruitment & Admissions Programme will continue work outside the formal Service Excellence Programme.

10. The Programme website contains more information: http://www.ed.ac.uk/university-secretary-group/service-excellence-programme

Service Excellence Plan
11. The diagram provides an overview of the Service Excellence Plan and the four areas of activity we will focus on.

5 Year programme: transformation core professional services with a balance between effectiveness and efficiency, underpinned by core systems and digital transformation	Delivered through four programmes with initial prioritisation given to Student Administration & Support and HR Transformation followed by Finance Transformation Programme with Core Systems Programme underpinning the HR and Finance Programme.
Design and implementation of new operating/organisational model, service delivery model, policies and processes for HR, Finance, and Student Administration & Support	Deliver organisation, policy and process changes in advance of system implementation.
Support colleagues through changes through effective engagement, co-creation, training support and communication. Benefits delivered, measures and reported.	Maximised coherence – particularly between HR, Finance and Core Programmes – to ensure we have foundations in place for any new core systems, to maximise business support and engagement in procurement process and to help the programme realise some early benefits.
Procurement then implementation of software as a service for HR, Finance Payroll and Procurement in line with Core Systems Strategy.	Student Recruitment & Admissions, formally sit outside of SEP, deliver a number of priorities as business as usual and continue to benefits from support from SEP PMO and alignment with Student Administration.

Service Excellence – Current Activity

12. In line with the above, each of the programmes are undertaking various activity which can best be split into three categories: foundation work often in advance of core system changes in HR and Finance; policy, process and system enhancement projects; and detailed analysis/design activity.

13. As you would expect, each of the projects have a detailed project plan, timelines and particular sets of colleagues it is essential they engage with. The tables below merely provides a summary of the project areas.

Foundation work

Programme	Project Titles
Finance	Financial Foundations – chart of accounts
Human Resources	File Digitisation HR systems information gathering
Core Systems	Pre-procurement activity.
Cross - SEP	Organisational Hierarchy

Policy, process and system enhancement projects

Programme	Project Titles
Finance	Policy, scheduled and guidance Delegated Authority Scheme Finance – 1st line support and system administration
Student Administration & Support	Student-centred portal pilot Exam Timetables for students Special circumstances, extension and concessions Working & Study Away Tier 4 processes and systems Policy project

Detailed analysis/design activity

Programme	Project Titles
Human Resources	Detailed analysis and design workshop of 14 key processes/activities covering processes. Completed by Christmas. Detailed analysis and design workshops of the organisational structure that delivers these processes. Completed by Christmas.
Student Administration & Support	Comprehensive Timetabling analysis. Detailed analysis and design workshops of the proposed organisational structure.
Core Systems	Procurement process for new HR, Finance, Payroll, Procurement system.
UniForum	Explore use of UniForum data to support work of programme.

14. In addition work has been undertaken to improve the communications from the programme and this will focus on a few key areas initially:

- Roadshows: next set will be delivered on 7 September (King's Buildings); 8 September (George Square); and 14 September (Easter Bush). Demand is high and more will be scheduled.
- Newsletter: monthly SEP newsletter issued by 28 of each month starting in August;
- Manager brief: month brief for managers issued by 28 of each month starting in August
- Programme wiki: one resource for colleagues to find out more detail about the programmes.

15. Colleagues have been/will be asked to participate in workshops, project activity and provide expertise at various points throughout the programme of work.

16. We have a seconded team working on each of the programmes and resources have been identified to deliver the projects.

17. We are conscious that we also need colleagues to give some of their time to the various activities in the programme and we will endeavour to provide as much notice as we can for this participation. We are grateful for the time people commit as ultimately it will provide the University with a better outcome.

Resource Implications
18. Resource implications are being managed through the Service Excellence Programme Board.

Risk Management
19. A detailed Programme risk, issues and dependency register has been established and is being managed on an ongoing basis and reviewed at least weekly.

Further Information
20. Please contact Barry Neilson, Director of Student Systems and Administration & Service Excellence Programme Lead (barry.neilson@ed.ac.uk) and further information is available at the website: http://www.ed.ac.uk/university-secretary-group/service-excellence-programme

21. _Author and Presenter_
     Barry Neilson
     Director of Student Systems and Administration & Service Excellence Lead
     28 August 2017

Freedom of Information
22. This paper is open.

THE UNIVERSITY *of* EDINBURGH

CENTRAL MANAGEMENT GROUP

29 August 2017

Course Enhancement Questionnaire Policy

Description of paper
1.   This paper provides Central Management Group with an update on the Course Enhancement Questionnaire Policy.

2.   CMG received a paper in April 2017 which outlined the steps that had been taken during the 2016/17 academic year to both roll out the course enhancement questionnaire to all Schools and to deal with a number of issues raised. This paper does not re-state these actions and issues.

Action requested
3.   Central Management Group is asked to **approve** the recommended changes to the policy.

Background and context – Course Enhancement
4.   The primary purpose of Course Enhancement Questionnaires (CEQ) is to enhance student learning. CEQs provide staff with information that they can use in conjunction with other data sources to guide and evaluate changes in course content and teaching, and to enhance learning and support for learning across course and programmes.

5.   CEQs are central to the University's commitment to student engagement, quality assurance and quality enhancement. Taken alongside other sources of data, such as external examiner reports, staff judgement, and University level surveys, CEQs provide a rich source of information on the student experience at course, programme and School level.

6.   The Course Enhancement Questionnaire Policy was approved by CMG in August 2016 and a review date was set for August 2017. It applies to all taught, credit bearing courses (UG and PG) that have students enrolled on them and are delivered by the University of Edinburgh.

7.   A short life working group, chaired by Vice Principal Professor Jane Norman, has been established. A summary of the remit is outlined below and the membership and remit papers are attached as an appendix:

- To review the practical implementation of the Course Enhancement Questionnaire Policy and make any proposals for modest changes for approval by Central Management Group.
- To review the Equality Impact Assessment, considering if the agreed actions have been completed and the implications of any proposed changes to the Policy.
- To consider the value of reinstating the staff free-text question for academic session 2017/18 in the context of other feedback channels (such as mid-

course feedback) and the feedback gathered through the key stakeholder survey in order to make a recommendation to Central Management Group.

- To consider the proposal to introduce a student engagement question to the core question set for academic session 2017/18 in the context of the feedback gathered from the key stakeholder survey and students in order to make a recommendation to the Quality Assurance Committee.

8. To help the working group operate over the summer period the work of the group has been split into two: firstly the policy and EqIA; secondly the two points in relation to the question set.

9. A further paper providing a recommendation on whether to reinstate the staff free text question into the course enhancement survey will come from the group to the next CMG meeting. A verbal update on consultation to date can be provided at the meeting.

Recommendations – Course Enhancement Questionnaire Policy and EqIA
10. An updated version of the policy is attached. Minor changes are recommended as set out below. The tracked changes version can be seen at
https://www.wiki.ed.ac.uk/display/UCC/Central+Management+Group

11. The Scope box on the cover sheet has been updated to clarify that SLICCs, placement courses and dissertations will use the standard core question set in 2017/18. The reference to study abroad has been removed. Paragraph 7 in the policy document has been updated to reflect this.

12. Paragraph 5 has been updated to provide the link to the student guidance that has been developed and published on the website (http://www.ed.ac.uk/students/academic-life/quality-assurance/course-enhancement-questionnaires) Paragraph 22 has been inserted to provide the link to the staff guidance on the use of staff enhancement questionnaire data that is available (http://www.ed.ac.uk/staff/data-matters)

13. The group considered two other points which constituted important guidance to colleagues rather than policy.

- Student Survey Unit will work with colleagues to develop a specific bank of core question sets for SLICCs, placements and dissertations in advance of the 2018/19 academic year. Recommendation passed to the Quality Assurance Group that further work undertaken in relation to study abroad courses and course enhancement questionnaires.
- Guidance will be produced for courses which have a large number of teaching staff involved in the delivery of the course. Based on the data in the Course Enhancement system 97% of courses have 10 or less staff attached to them and 95% have 5 or less.
- It is recommended that this guidance states: *in relation to individual teaching staff questions, all members of teaching staff involved in the delivery of the course will be included in the survey. If there are more than 10 members of teaching staff involved in the delivery of the course, it is*

advised that the Head of School or their delegate agrees how this will be managed across the School.

14. This guidance will be placed on the data matters website.

15. The revised EqIA has been published:
http://www.docs.csg.ed.ac.uk/EqualityDiversity/EIA/Course_Enhancement_Questionnaires_Aug17%20(Student%20Systems).pdf

Resource Implications
16. No resource implication for approval of policy and some existing resources will be allocated to tasks highlighted in paper.

Risk Management
17. The review of the policy is one of a number of activities to address issues and manage risks in relation to course enhancement questionnaires.

Next steps
18. A further paper providing a recommendation on whether to reinstate the staff free text question into the course enhancement survey will come from the group to the next CMG meeting.

Consultation
19. Short life working group developed to review policy and report to CMG.

Further Information
20. Please contact Barry Neilson, Director of Student Systems & Administration. (barry.neilson@ed.ac.uk)

21. <u>Author & Presenter</u>
    Barry Neilson
    Director of Student Systems & Administration
    Service Excellence Programme Lead
    29 August 2017

Freedom of Information
22. Open.

COURSE ENHANCEMENT QUESTIONNAIRE POLICY REVIEW TASK GROUP

Membership
- **Professor Jane Norman (Chair)**, Vice-Principal People and Culture
- **Dr Paul Norris,** Director of UG School and Lecturer in Social Policy, Social and Political Science
- **Dr Lisa Kendall**, Head of Academic and Student Administration, College of Arts, Humanities and Social Sciences
- **Dr Claire Phillips,** Senior Lecturer and School Director of Quality, The Royal (Dick) School of Veterinary Studies, College of Medicine and Veterinary Medicine
- **Nicola Crowley,** Head of Medical Teaching Organisation Administration, College of Medicine and Veterinary Medicine
- **Dr Philip Bailey**, Director of Learning & Teaching and Senior Lecturer, School of Chemistry, College of Science and Engineering
- **Sarah McAllister**, Head of Student Services, School of GeoSciences, College of Science and Engineering
- **Linda Criggie**, Deputy Director, Human Resources representative
- **Dr Shereen Benjamin,** Senior Lecturer in Primary Education, Moray House (union representative)
- **Juliet Duncan,** Veterinary Clinical Lecturer, The Royal (Dick) School of Veterinary Studies, College of Medicine and Veterinary Medicine, Athena SWAN Network representative
- **Esther Dominy,** Vice-President Welfare, Edinburgh University Students' Association representative
- Student Systems and Academic Services representation

Task Group Remit
- To review the practical implementation of the Course Enhancement Questionnaire Policy and make any proposals for modest changes for approval by Central Management Group (owners of the Policy). Considerations will focus around the following aspects which have been identified throughout academic session 2016/17:
  - Capturing meaningful data when large numbers of staff are teaching on a course.
  - Agreement of alternate question sets for exception courses (Student-led Individually-Created Courses (SLICCs), study abroad or placement courses, and dissertations).
  - Recommendation from the Staff Guidance Group: *Whilst recognising the research into gender bias in student questionnaires, the Group noted the importance of the exercise carried out to look at our own data and **recommended** that it is continued to be analysed in the same way at appropriate intervals (to be determined through the Policy review).* The Task Group will recommend to Student Systems the frequency that analysis of the impact of gender of the member of staff should be undertaken. The Task Group can also recommend to Student Systems any other potential biases that could be explored through the analysis of anonymised data (additional analysis would be undertaken subject to available resources).

The Group will also consider feedback received through the key stakeholder survey. Survey questions will focus on the remit of the Task Group and the opportunity will also be taken to gather feedback on operational matters.

- To review the Equality Impact Assessment, considering if the agreed actions have been completed and the implications of any proposed changes to the Policy.

- To consider the value of reinstating the staff free-text question for academic session 2017/18 in the context of other feedback channels (such as mid-course feedback) and the feedback

gathered through the key stakeholder survey in order to make a recommendation to Central Management Group.

- To consider the proposal to introduce a student engagement question to the core question set for academic session 2017/18 in the context of the feedback gathered from the key stakeholder survey and students in order to make a recommendation to the Quality Assurance Committee.

Out of Scope
The following are not in the scope of this review, and will not be discussed as part of this review: the requirement to undertake Course Enhancement Questionnaires for all taught courses; the question sets structure (core course and staff questions and a set of optional questions for Schools); access to information and the use of data as defined in the Course Enhancement Questionnaire Policy and accompanying guidance.

Course Enhancement Questionnaire Policy

Purpose of Policy

Course Enhancement Questionnaires are central to the University's commitment to student engagement and to its quality assurance and quality enhancement agenda.

Overview

This policy provides an overview of the purposes of Course Enhancement Questionnaires, sets out the structure of the Course Enhancement Questionnaires, and the reporting on and access to Course Enhancement data, data protection and freedom of information, along with obligations of students completing the questionnaires.

Scope: Mandatory Policy

All taught, credit bearing courses (UG and PG) that have students enrolled on them and are delivered by the University of Edinburgh, including the taught portion of research courses, should be surveyed using the University's standard survey tool and question sets. This includes Student-led Individually-Created Courses (SLICCs), placement courses, and dissertations. The standard core question set will be used in 2017/18 for these types of courses.

Contact Officer	Sarah-Jane Brown	Student Surveys Operational Lead	Sarah.J.Brown@ed.ac.uk

Dates	Approved: 30.08.2016	Starts: 19.09.2016	Equality impact assessment:11.08.2017	Amendments: 29.08.2017	Next Review: August 2018

Approving authority	Central Management Group
Consultation undertaken	Key contacts in Schools and Colleges, College committees, Learning & Teaching Committee, Edinburgh University Students' Association, People Committee, Combined Joint Consultation and Negotiation Committee
Section responsible for policy maintenance & review	Student Systems & Administration
Related policies, procedures, guidelines & regulations	
UK Quality Code	UK Quality Code, Chapter B5: Student Engagement
Policies superseded by this policy	N/A
Alternative format	If you require this document in an alternative format please email Student.Surveys@ed.ac.uk or telephone 0131 651 5519.
Keywords	EvaSys course evaluation survey

Purposes of Course Enhancement Questionnaires

1. Course Enhancement Questionnaires are central to the University's commitment to student engagement and to its quality assurance and quality enhancement agenda.

Course Enhancement
Questionnaire Policy

2. Standardised Course Enhancement Questionnaires provide a rich source of information on the experience of students within individual courses and across programmes and Schools. Alongside other sources of information, such as external examiner reports, staff judgement, and University level surveys, course evaluation surveys provide insights that can be used to better understand and hence enhance learning, teaching and assessment.

3. The principal purpose of Course Enhancement Questionnaires is to enhance student learning, to provide staff with information that they can use to guide and evaluate changes in course content and teaching, and to enhance learning and support for learning across programmes and the broader university.

4. Results of Course Enhancement Questionnaires may be used by academic staff in building their evidence of excellence in teaching for promotion applications or annual review[1]. Line managers may choose to discuss results with academic staff, for example, in the context of learning and teaching quality assurance, personal development or performance management.

Student Obligations

5. As engaged learners, students have responsibility for providing constructive feedback on their courses using Course Enhancement Questionnaires. Whilst students may provide critical feedback, they should ensure that it does not breach the University's Dignity and Respect Policy[2]. Student guidance on Course Enhancement Questionnaires is available at: http://www.ed.ac.uk/students/academic-life/quality-assurance/course-enhancement-questionnaires

Structure of the course evaluation data

6. The data covered in this policy has been collected before in different ways, some paper based, some digital, and these data have used for the purposes set out in this policy.

7. All taught, credit bearing courses (UG and PG) that have students enrolled on them and are delivered by the University of Edinburgh, including the taught portion of research courses, should be surveyed using the University's standard survey tool and question sets. This includes Student-led Individually-Created Courses (SLICCs), placement courses, and dissertations. The standard core question set will be used in 2017/18 for these types of courses.

8. It is not necessary to use the University's standard survey tool and question sets to survey a course delivered by a partner body, as long as the partner body runs a course survey using a broadly equivalent question set.

9. Each Course Enhancement Questionnaire will include core questions, and core questions regarding individual teaching staff. Schools will have the option of adding some School-specific questions relating to areas not covered by the core questions. The

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[1] http://www.ed.ac.uk/human-resources/learning-development/annual-review
[2] http://www.ed.ac.uk/schools-departments/equality-diversity/innovation-development/dignity-respect

Course Enhancement Questionnaire Policy

Senate Quality Assurance Committee is responsible for agreeing the core and staff questions. See appendix 2 for details of structure.

Reporting on and access to course evaluation results

10. The Student Survey Unit will make the data gathered through the Course Enhancement Questionnaire process available via the University's corporate reporting tools.

11. Routine access rights to the data will be coordinated by the Student Surveys Unit, with reporting distribution being supported by Student Systems. Access rights are detailed in appendix 1. Points 12 to 23 highlight key principles for handling this data.

12. Schools are responsible for making the quantitative data from course evaluations available to students in line with appendix 1.

13. Free text comments are to be made available for students at the discretion of the School. If a School decide to make free text comments available to students, then the School will be responsible for moderating comments on the courses they own in order to ensure comments are fit for publication. The Student Surveys Unit will support the moderation process by either amending or removing comments unfit for publication at the request of the School.

14. Staff data (as defined by point 17) collected through Course Enhancement Questionnaires is for use by the member of teaching staff named in the report, their line manager (or their peer reviewer for their annual review, if different to their line manager), the Course Organiser, and the Head of School and/or nominee. Course organisers will only see Staff data as it is presented in the Course Organiser report. Data will not routinely be made available more widely, although it may be used in other standard HR processes where appropriate.

15. This does not prevent colleagues from sharing their data with colleagues or with students should they chose to do so.

16. Where programmes incorporate courses from more than one School, the Programme Director or equivalent can ask the relevant School(s) for the quantitative data from core questions and any School-specific questions for the relevant courses.

Data Protection and Freedom of Information

17. Staff data is defined as any quantitative or qualitative data gathered by the course evaluation process through answers to the staff question set.

18. In line with data protection legislation, staff data gathered through the course evaluation process will be made available only to those staff who need to see it and will be used in line with existing HR process guidelines concerning Personal Data[3]. "Personal data" means data about a living, identifiable individual.

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[3] http://www.ed.ac.uk/records-management/data-protection/guidance-policies/staff-information

Course Enhancement Questionnaire Policy

19. In the event of requests for access to staff data gathered through the course evaluation process, the request will be dealt with in accordance with the requirements of the Freedom of Information (Scotland) Act 2002 (FOISA).

20. Data collected for Course Enhancement Questionnaire purposes remains the property of the University whether or not third party systems are used to support the evaluation process. Private companies holding and/or processing University data contractually will be subject to an appropriate data sharing agreement which will require the data to be handled in a secure and confidential manner.

21. The data generated by Course Enhancement Questionnaires will not be routinely made available to audiences outside of the University, other than to bodies that require access to the relevant data as part of collaboration with the University (e.g. NHS, SRUC). Schools should not share the data generated by Course Enhancement Questionnaires outside of the University without seeking approval from Student Systems prior to doing so.

22. Staff guidance on the use of Course Enhancement Questionnaire data is available at: http://www.ed.ac.uk/staff/data-matters

Anonymity of student responses

23. Results of Course Enhancement Questionnaires will never be analysed in a way that seeks to identify individual students from their responses. Therefore, should students wish to remain anonymous in their responses, they should make no attempt to identify themselves in their answers to the survey questionnaire.

Course Enhancement Questionnaire Policy

Appendix 1 – Data Availability

Staff Availability

Data	Availability	Delivery
Core Questions – Quantitative	All data available to staff	Reports at course and aggregate levels. Dashboard for Staff
Core Questions – Qualitative	All data available to staff	Routinely delivered through course reports but can be aggregated at subject and school level
School Questions – Quantitative	All data available to staff	Routinely delivered through course reports but can be aggregated at subject and school level
Staff Question – Quantitative and Qualitative	Available to individual members of staff	Delivered to individual.
	Available to course organiser	Delivered as part of course report.
	Available to Head of School and/or Line Manager or nominee	Delivered to Head of School.
Aggregate staff data - Quantitative	All data available to staff	Not routinely delivered but available at course (where more than one colleague teaches on course); subject level; School level and College level

Colleagues working in Student Systems (Survey administration) will require authorisation to access all data as part of the system administration and support role they play.
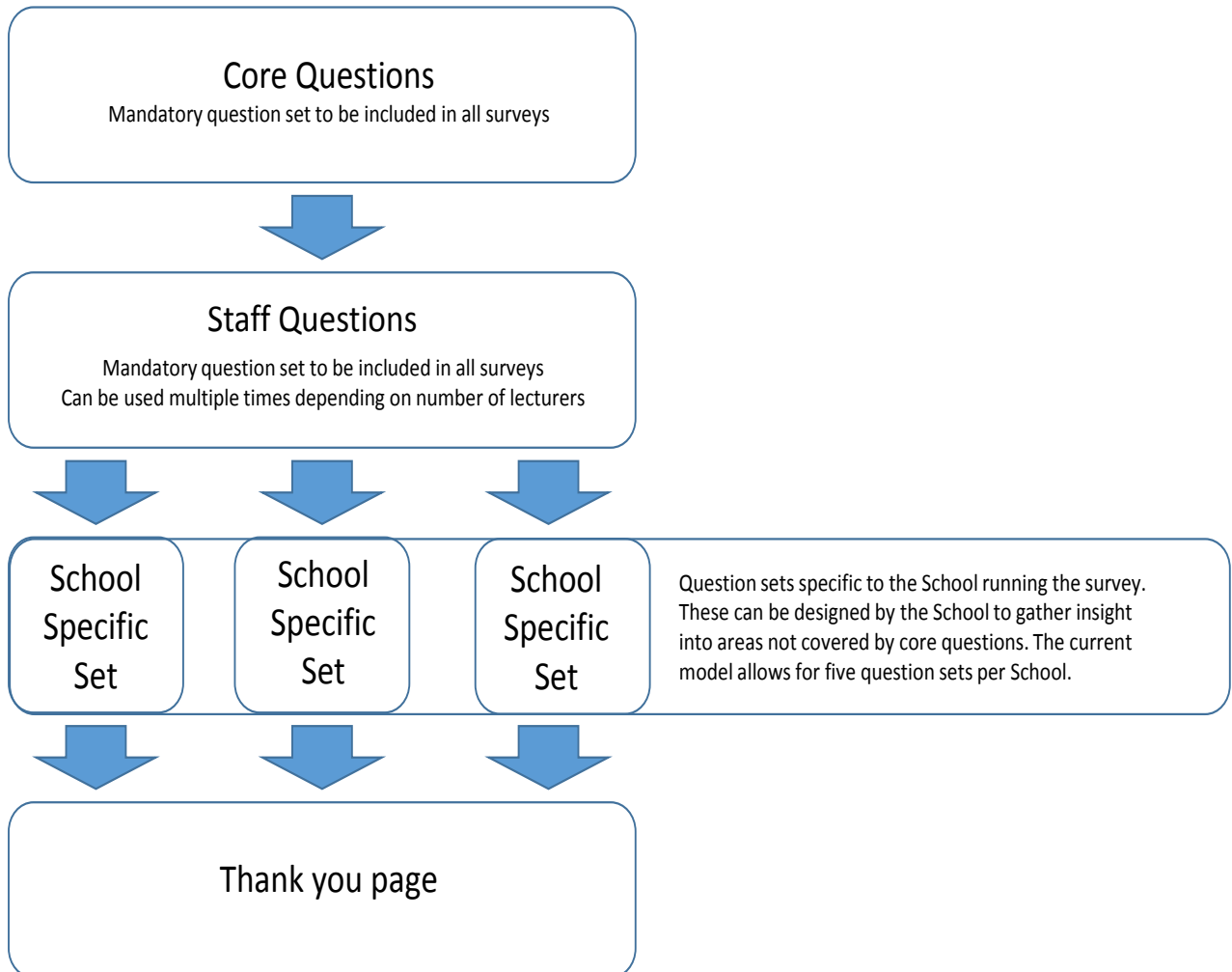
Student Availability

Grouping	Availability	Delivery
Students	Availability of core and school quantitative data.	Schools are responsible for making quantitative data from course evaluation available to students.
	Core qualitative data and aggregate staff quantitative data.	At discretion of School.

Course Enhancement Questionnaire Policy

Appendix 2 – Questionnaire structure

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┌─────────────────────────────────────────────┐
│              Core Questions                  │
│   Mandatory question set to be included in   │
│              all surveys                     │
└─────────────────────────────────────────────┘
                      ↓
┌─────────────────────────────────────────────┐
│              Staff Questions                 │
│   Mandatory question set to be included in   │
│              all surveys                     │
│   Can be used multiple times depending on    │
│           number of lecturers                │
└─────────────────────────────────────────────┘
         ↓           ↓           ↓
┌──────────┐ ┌──────────┐ ┌──────────┐   Question sets specific to the School running the survey.
│  School  │ │  School  │ │  School  │   These can be designed by the School to gather insight
│ Specific │ │ Specific │ │ Specific │   into areas not covered by core questions. The current
│   Set    │ │   Set    │ │   Set    │   model allows for five question sets per School.
└──────────┘ └──────────┘ └──────────┘
         ↓           ↓           ↓
┌─────────────────────────────────────────────┐
│              Thank you page                  │
└─────────────────────────────────────────────┘
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THE UNIVERSITY of EDINBURGH

CENTRAL MANAGEMENT GROUP

29 August 2017

Bulk Email

Description of paper
1. This paper provides Central Management Group with an update on the report on the investigation into graduation email error and the follow up work planned and underway.

Action requested
2. Central Management Group is asked to **note** the report, findings and follow up work.

Paragraphs 3 - 16 have been removed as exempt from release due to FOI.

Risk Management
17. This paper sets out the steps being taken to reduce the risk of a similar accident happening in the future.

Next steps
18. Delivery of project plan as outlined in the paper and follow up meeting with colleagues in ISG.

Resources
19. The project plan outlined for EUCLID emails will be managed within existing resources within Student Systems & Administration.

Further Information
20. Please contact Barry Neilson, Director of Student Systems & Administration. (barry.neilson@ed.ac.uk)

21. *Author & Presenter*
    Barry Neilson
    Director of Student Systems & Administration
    Service Excellence Programme Lead
    29 August 2017

Freedom of Information
22. Closed.

THE UNIVERSITY of EDINBURGH

CENTRAL MANAGEMENT GROUP

29 August 2017

Supporting Personal, Professional and Career Development for Graduates

1. **Description of paper**
Following a briefing paper to 31 May 2017 meeting of CMG, this paper indicates high level actions proposed to support enhanced personal professional and career development and positive destinations outcomes for our graduates.

2. **Action requested/Recommendation**
Central Management Group is asked to comment on the draft and provide clear direction to the key stakeholders identified to fully engage in the further development and implementation of the action plan.

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

Risk Management
14. Since the CMG meeting in May, the most recent destination figures have indicated many of our competitors are overtaking us in terms of graduate first destinations. The activity and approach outlined is intended to reduce the risk to the University of our students not fulfilling their potential and making successful transitions beyond study.

Equality & Diversity
15. Equity of access to and support for employability, personal, professional and career development is vital for all student cohorts. Ensuring effective mainstream support and avoiding an overreliance on co- and extra-curricular activities through effective curriculum design in part responds to this. However particular student cohorts, such as disabled students, those from other widening participation backgrounds and international students may require specific or additional support.

Next steps/implications
16. Consultation with College, Schools and Support Groups to refine and implement the action plan

Author	**Presenter**
17. Shelagh Green	Shelagh Green
Director for Careers and Employability	

Freedom of Information
18. This paper contains commercially sensitive data and is not included in open business.

CENTRAL MANAGEMENT GROUP

29 August 2017

Managing Capability Policy

Description of paper
1.   This paper introduces the University's revised policy for the management of underperformance, entitled 'managing capability', which will take effect from 1 September 2017. It also describes the management training which will support its implementation.

Action requested/Recommendation
2.   Central Management Group members are asked to a) note the policy revisions described in Paragraphs 7 to 9 below and b) actively support the roll-out of the policy by promoting the use of the policy and engaging with the training outlined in Paragraphs 10 to 14.

Background
3.   In June 2016, in support of the University's unambiguous priority of improving its learning and teaching performance, University HR Services prioritised the review and rewrite of the 'Capability' policy.

Discussion
Policy review - process
4.   To help inform this work, a workshop was held with Heads of School (and some Directors of Professional Services) to share experience and highlight issues with the existing policy and supporting procedure.

5.   Best practice advice was obtained from the legal firm Pinsent Masons, who advocate a 'bolder and better'[1] approach to managing conduct, capability and grievance cases.

6.   The consultation process is summarised in Paragraph 24.

Policy review – key changes
7.   The resultant procedural changes are as follows:
   · Simplified informal stage
   · Reduced number of formal meetings (from six to three) (see Appendix I)
   · Reduced number of performance improvement plans (PIP) (from three to two)
   · Warnings issued at same time as PIP put in place
   · Line manager (as opposed to independent panel) accountable for PIPs and warnings
   · Emphasis in PIP on achieving/reaching key milestones (critical to overall improvement)

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[1] i.e. a more robust approach to commercial/operational objectives rather than legal compliance at all costs, with a focus, i.e. a less risk averse approach to decision taking which add unnecessary process, cause delay and eat into management time.

- Underlying factors taken into account in setting PIP milestones, review dates etc (i.e. PIP still put in place and warning issued)
- Flexibility and ability to 'fast-track' (e.g. direct to formal action, issue of final warning at first stage if circumstances warrant, escalation to next stage if a key milestone is not reached)
- Ability to 'pick up where left off' should underperformance re-occur post achievement of PIP or expiry of warning period.

8.   The overall objective being to make the procedure a) easier for managers to use (and employees to understand) and b) less protracted, so making the process less stressful for both manager and employee and quicker to achieve improvement, or, conversely, reach a decision to dismiss.

9.   The policy (see Appendix II) is the first to be re-written in a simpler, plain English style.

Policy implementation

10. Training of HR advisory staff, led by Pinsent Masons has commenced and will be completed by the end of August 2017. The key aim of this training being to "empower HR teams to influence and coach managers on how they approach under-performance". [2]

11. Similar, tailored training, also led by Pinsent Masons will be rolled-out to Heads of School, Deans, Centre Heads and Support Group Functional Heads in October/November.   The key aim being to "empower line managers to adopt a regular, systematic and proactive approach to performance issues in their teams".[2]

12. Both HR and manager sessions focus on a) process and b) the softer skills associated with tackling performance, the latter delivered by actors from Talking Shop[3], using forum theatre techniques to demonstrate how difficult conversations can be better managed.

13. In addition, a selected number of Heads of School etc will be asked to take on the role of 'buddying' managers who are less experienced/lacking in confidence in tackling underperformance. Separate training, led by UHRS will be put in place for these buddies once they have attended the Pinsent Mason training.

14. Devolved HR teams will take responsibility for the roll-out of the policy to other managers and for embedding the key principles of the Pinsent Mason training in their locally run training on HR policies and procedures.

15. The policy will be launched through a communication from Senior Vice- Principal, Charlie Jeffery and Vice-Principal, People and Culture, Professor Jane Norman in early September.

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[2] Pinsent Masons
[3] http://www.effectivespeaking.com/?page_id=556

16. Staff will be alerted to the new policy through Staff News.

Resource implications

17. The roll-out of the policy will require the release of Heads of School, Deans, Centre Heads, and Support Group Functional Heads to attend the one-day training session described in Paragraphs 12-14 and to attend the half-day 'buddy' training described in Paragraph 13.

18. Local HR teams will require time to develop and roll-out training below Head of School/Support Group.

Risk Management

19. Whilst the revised policy is 'bolder' than the current policy, it is also better, being fully compliant with the ACAS Code of Practice in that it advocates a proactive and supportive approach to capability issues and mirrors the Code's recommended procedural steps. Used well, it should mitigate the risk of successful unfair dismissal claims, and potentially of such claims being lodged at all. (Note: this is particularly important in light of the Supreme Court's recent ruling on the unlawful nature of tribunal fees which may provoke an increase in claims.)

20. The revised policy is one ingredient for the successful management and improvement in individual and organisational performance. The risks associated with underperformance are best mitigated through good induction, the setting of clear performance standards and objectives, training and development and early intervention when performance concerns arise. With these key ingredients in place, use of the capability policy, particularly the formal process should be a case of 'last resort'.

Equality and Diversity

21. An Equality Impact Assessment has been undertaken. The revised policy emphasises the need to identify underlying factors which may be contributing to an employee's underperformance. This is particularly key should the factor be related to a disclosed disability, which requires reasonable adjustments to be put in place to enable the employee to meet the required standards.

Next steps and Communication

22. The revised policy will be implemented as described in Paragraphs 10 -16 above.

23. The guidelines for managing probation are currently being revised to ensure new staff are 'set up to succeed' i.e. are supported to perform well and managers are clear on their responsibilities and the importance of good induction, clear objective setting and feedback and effective general performance management from the outset of an employee's career with the University.

Consultation

24. The revised policy has been informed by issues raised by Heads of School, HR Advisers and other users regarding the current policy. College/Support Group HR invited feedback from their business areas during the initial drafting of the new policy and provided feedback on iterative versions, which also took into account initial dialogue with the trade unions. Formal union consultation took place through the HR

Policy Development Group. Following input from UCU's Regional Office, agreement was reached at the June 2017 meeting of the CJCNC.

Further information	*Presenter*
25. *Author*	Zoe Lewandowski
Linda Criggie	Director of HR
Deputy Director of HR (ER,	
Employment Policy, Equality &	
Diversity)	
11 August 2017	

Freedom of Information
26. This paper is open.

Comparison of Current and New Stages within Formal Procedure

The table below describes the escalation steps through the formal procedure, i.e. when an employee fails to achieve a key milestone which will enable them to achieve the overall performance improvement objectives.

Formal stage	Current	New
1	Meeting 1 - manager meets with employee and creates a Stage 1 Performance Improvement Plan (PIP)	Meeting 1 - manager meets with employee, creates PIP and issues formal written warning
	Meeting 2 – Capability Hearing – manager reviews PIP and issues written warning	
2	Meeting 3 - manager meets with employee and develops a Stage 2 PIP	Meeting 2 - manager meets with employee, updates PIP and issues final written warning
	Meeting 4 - Capability Hearing – manager's manager chairs the hearing along with an independent manager. Panel issues a final written warning.	NB this assumes the employee has not met the interim milestones or the overall objective of PIP.
3	Meeting 5 - manager meets with employee and develops a Stage 3 PIP	Meeting 3 - Performance Hearing, chaired (normally) by manager's line manager.
	Meeting 6 - Capability Hearing – Head of School or Support Department chairs the hearing along with a further panel member. Options are further time to improve or dismissal.	Options are to return to Stage 2 or to dismiss

Managing Capability Policy

1.   Policy Statement

The University is committed to a culture of high performance and to supporting employees to do their jobs well and to meet the standards expected of them. This policy aims to support employees who are not managing to meet these standards. It ensures employees are treated fairly and consistently and given timely and appropriate support to help them achieve these standards.

2.   Scope

This policy and procedure applies to all employees, except those who are on probation[1]. It will be used when an employee's performance is falling short of the standards expected of them and the underperformance is related to capability, i.e. to the skills, knowledge, physical or mental abilities they need to do their job.

The disciplinary procedure should be used when an employee's underperformance is related to their conduct i.e. to their behaviour or to breaches of University policy, e.g. health and safety. The absence management policy should be used to address concerns which relate to an employee's ability to attend work.

In some cases, it may be more appropriate for issues to be dealt with using a combination of policies. Managers should seek early advice from their local College/Support Group HR Advisor to determine which policy should be used.

3.   Principles

The University recognises that the management of underperformance can be a stressful process for all concerned so the attached procedure is based on the following principles:

3.1   Everyone involved will be treated with dignity and respect

3.2   Managers will be offered guidance and support to enable them to manage capability issues fairly and effectively

3.3   There will be due respect for the privacy of everyone involved and all information will be shared on a confidential, need to know basis

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[1] Please refer to the Interim Guidance for Managing Probation

3.4   Employees will be made aware of acceptable standards of performance and will be given regular feedback

3.5   Employees will be given support and guidance to help them achieve and maintain the standards of performance expected of them

3.6   Employees will be made aware of any concerns about their performance as and when issues arise and will be given time to address these before any formal action is taken

3.7   Employees will be given appropriate, additional support should underlying personal or work-related factors be contributing to their underperformance

3.8   Employees have the right to be accompanied to formal meetings by a trade union representative or workplace colleague.

4.   Procedure – high level summary

4.1   Informal action

Managers must deal with performance issues as and when they arise. In most cases, informal discussion between a manager and an employee should be all that is required to resolve matters.

Note: Managers may, after seeking advice from their College/Support Group HR Advisor, initiate the formal procedure if they consider the employee to be performing significantly below the standards expected of them, or if the employee's actions could have, or have damaged the University's operations and/or reputation.

4.2   Formal action

Managers must contact their local College/Support Group HR Advisor for advice before taking any formal action.   The formal procedure has three stages:

−   **Stage 1 Meeting** between the employee and their manager; this could result in the employee being placed on a formal Performance Improvement Plan (PIP) and issued with a formal written warning. If performance does not improve to the standard(s) required, this will lead to:

−   **Stage 2 Meeting** between the employee and their manager; this could result in the PIP being extended and the employee being issued with a final written warning. If performance does not improve to the standard(s) required, this will lead to:

−   **Stage 3 Performance Hearing**, chaired by a more senior manager, in most cases the manager's line manager; this could result in the employee being dismissed.

4.3   Timescales for improvement

The duration of each PIP will be case specific and will be determined by the manager. The timescales set for an employee to improve their performance will take into account the nature, impact and extent of their underperformance. They will also reflect the type and complexity of the employee's role.

Note: The above is a simple, high level summary and managers must familiarise themselves with the full procedure as detailed below and in the accompanying process flow at Appendix I.

5.   Pay Progression and Promotion

Employees with an active formal Performance Improvement Plan in place will not be eligible for an incremental increase in pay or considered for promotion.

6.   Policy History and Review

Approval Date: 19 June 2017   Approved By: CJCNC

Review Date: December 2019

Managing Capability Procedure

1.   Informal Action to Manage Underperformance

1.1   Raising awareness of issues and providing the opportunity to improve

Before taking formal action, the employee's manager[2] must normally ensure that they have met with the employee and made them aware that their performance is falling short of the standards expected of them.

Note: The manager may, after seeking advice from their College/Support Group HR Advisor, initiate Stage 1 of the formal procedure if they consider the employee to be performing significantly below the standards expected of them, or if the employee's actions could have, or have damaged the University's operations and/or reputation. The HR Advisor will inform the trade unions of any case which is escalated to Stage 1 of the formal procedure.

During informal discussion(s), the manager must:

- provide clear examples of the employee's underperformance
- sensitively explore any possible underlying reasons for the employee's poor performance
- explore what, if any, additional training and/or other support could be put in place to help the employee improve their performance
- clearly establish what the employee needs to do to improve their performance.

The manager must also:

– allow the employee a reasonable, specified amount of time to improve and to benefit from any training and/or support which may be put in place
– review the action(s) taken by the employee, and the impact of any training/support put in place
– provide feedback to the employee on their progress.

If progress is slow or limited, the manager must make it clear to the employee that they may take formal action if the employee's performance does not improve to the standard(s) required.

1.2   Keeping and sharing notes

The manager must note the outcomes of these discussions and share these with the employee in good time so the employee is clear what they need to do, by when, to improve their performance. Where

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[2] For the purposes of this process the term 'manager' will be defined so as to include the nominated or line manager or another designated person of suitable seniority and responsibility within the relevant work unit or group

appropriate, the notes should also make clear the consequences for the employee if their performance does not improve.

1.3   Disclosure of underlying, contributory factors

Other factors can contribute to an employee's underperformance. These may be personal in nature, e.g. disability, health or personal circumstances/difficulties. Or, they may be work-related, e.g. working relationships, nature and/or volume of work.

Managers must seek early advice from their local College/Support Group HR Advisor should an employee disclose a disability, or raise a health issue which could be affecting their performance.

2.   Formal Procedure: Stage 1

Managers must contact their local College/Support Group HR Advisor for advice before taking any formal action. Managers should also seek advice from their local College/Support Group HR Advisor on what, if any, alternative action could be taken, for example the potential to redeploy/demote the employee to a role more suitable to their knowledge, skills and abilities.

2.1   Written Notice of Stage 1 Meeting

The manager will write to the employee asking them to attend a meeting with the manager to formally discuss concerns relating to their performance. Any documents to be discussed at the meeting, e.g. evidence of the employee's continuing underperformance, notes of informal discussions, must be included with the letter. To allow the employee to prepare for the meeting, at least one calendar week's notice of the meeting will normally be provided.

The letter will also make it clear that:
- an HR Advisor will be present at the meeting to provide advice and guidance on process
- the employee has the right to be accompanied to the meeting by a trade union representative or workplace colleague
- any documents which the employee wishes to use to support their case should be provided to the manager at least 2 working days in advance of the meeting; and
- the meeting could result in formal action being taken.

2.2 Stage 1 Meeting between Manager and Employee

During the meeting, the manager will:

- reconfirm the standards of performance expected of the employee

- explain, using examples, where and how the employee continues to underperform

- allow the employee to respond to the manager's concerns and issues raised

- seek to establish if there are any other factors which are contributing to the employee's performance, e.g. an underlying health/personal or work related factor; and

- explore what can be done by both the employee and manager to help the employee improve their performance.

The meeting will be adjourned to allow the manager time to consider the employee's responses, take advice from the HR Advisor and decide on appropriate action.

The meeting will then resume, where possible on the same or following working day, and the manager will inform the employee of the outcome of the Stage 1 Meeting.

Should the employee have disclosed an underlying factor, e.g. a health or personal matter, or work-related issue, the manager will inform the employee of the actions to be taken to explore these issues further. (See Section 7, Support for Employees: Underlying Issues)

2.3 Outcome from Stage 1 Meeting

The Stage 1 Meeting will result in one of the following outcomes:

a) **No formal action**: the manager will continue to review the employee's performance on an informal basis

b) **Formal Action**: the manager will formally manage the employee's performance through putting in place a Performance Improvement Plan (PIP) (see Section 2.3.1) and will issue a formal written warning (see Section 2.3.2).

2.3.1 Performance Improvement Plan

The Performance Improvement Plan (PIP) must clearly set out:

- the individual actions the employee needs to take to improve to the required standard, including milestones which must be reached if the employee is to achieve the overall PIP objective(s)

- timescales for improvement (see Note, below)

- what success looks like

- what training, support or development will be put in place, by whom, and when

- the duration of the PIP, and progress review dates.

Note: Timescales for improving performance will reflect the nature, impact and extent of the employee's underperformance, and the type and complexity of their role.

A template PIP form (see Appendix II) is available at [insert link once on website]. Where the PIP requires the support of other people (e.g. a more senior manager) to help the employee succeed, the manager must ensure that these people are appropriately briefed and engaged.

2.3.2   Formal Written Warning

When putting in place a formal PIP, the manager will also issue the employee with a formal written warning. The manager may decide to issue a final written warning if they consider the employee to be performing significantly below the standards expected of them, or if the employee's actions have had, or could have had, serious consequences, e.g. damaged the University's operations and/or reputation. The HR Advisor will inform the trade unions of any final written warning issued at Stage 1.

2.4   Communication

The manager will write to the employee within one calendar week of the Stage 1 meeting to confirm the outcome of the meeting. If formal action is taken, the letter will confirm the process for developing the PIP, the issue of the formal warning, and the employee's right to appeal the formal warning. It will also make clear the potential consequences should the employee fail to meet the PIP objectives and timescales.

3.   Review of Progress

The PIP will detail the individual actions the employee needs to take to improve their performance. These will include the milestones which must be reached if the overall PIP objectives are to be met by the employee.

The PIP must include review meeting dates, which will help the manager and employee to discuss and assess the employee's progress, and a PIP end date.

3.1   PIP objective(s) met by PIP end date

Should the employee achieve the PIP objective(s) before or by the PIP end date, this should be confirmed to them in person, normally during a PIP progress review meeting, and in writing. The manager must:

-   acknowledge the improvement in performance and the effort made by the employee

-   confirm the component parts of the PIP and overall objective(s) have been met and that the PIP is no longer in place

-   discuss what the employee should do to sustain the improvement they have made

-   remind the employee of the duration of their formal warning (See Section 9), and

-   make it clear to the employee what will happen if their performance starts to fall below the standard(s) required (see Section 11).

3.2   Failure to achieve a component part of the PIP or to reach key milestones

Should the employee fail to achieve a component part of the PIP/to reach a key milestone, and so be unable to achieve the overall PIP objective(s), the manager should normally proceed to Stage 2 of the formal process before the PIP end date. The employee must be forewarned of this, normally during a PIP progress review meeting.

If the employee was issued with a final warning at Stage 1, the manager should proceed to Stage 3 of the procedure – a Performance Hearing (See Section 6) - before the PIP end date.

3.3   Unforeseen circumstances

Should the employee be unable to achieve a component part of the PIP/reach a key milestone due to unforeseen circumstances when the PIP was put in place, the manager should extend the PIP and set a new end date. This will normally take place during a PIP progress review meeting and must be confirmed in writing.

Unforeseen circumstances could include an employee's long-term absence from work; the absence/turnover in key staff involved in providing support; delayed/cancelled training.

3.4   Deterioration in performance once PIP in place

Should the employee's performance deteriorate further, the manager should proceed to Stage 2 of the formal process before the PIP end date. The employee must be forewarned of this, normally during a PIP progress review meeting.

If the employee was issued with a final warning at Stage 1, the manager should proceed to Stage 3 of the procedure – a Performance Hearing (See Section 6) - before the PIP end date.

3.5   PIP objectives not met by PIP end date

Should an employee fail to meet the PIP objective(s) by the PIP end date, the manager should progress to the next stage of the formal process. The employee must be forewarned of this at their final PIP progress review meeting.

If the employee was issued with a final warning at Stage 1, the manager should proceed to Stage 3 of the procedure – a Performance Hearing (See Section 6) - before the PIP end date.

4   Formal Procedure: Stage 2

4.1   Written Notice of Stage 2 Meeting

Following PIP Review Meeting(s), if underperformance continues, the manager will write to the employee asking them to attend a meeting with the manager to formally review how they have performed against the Performance Improvement Plan (PIP). To allow the employee to prepare, at least one calendar week's notice of the meeting will normally be provided.

Any documents to be discussed at the Stage 2 meeting will be sent with the letter.

The letter will also make it clear that:
–   an HR Advisor will be present at the meeting to provide advice and guidance on process
–   the employee has the right to be accompanied to the meeting by a trade union representative or workplace colleague
–   any documents which the employee wishes to use to support their case should be provided to the manager at least 2 working days in advance of the meeting.

The letter will make it clear that the meeting could result in further formal action being taken.

4.2   Stage 2 Meeting between Manager and Employee

During the meeting, the manager will review the progress made by the employee against each part of the PIP, and the employee will be given the opportunity to respond.

The meeting will be adjourned to allow the manager to consider the employee's response, take advice from the HR Advisor, and decide on appropriate action. The meeting will then resume, where possible on the same or following working day, and the manager will inform the employee of the outcome of the Stage 2 meeting.

4.3   Outcome from Stage 2 Meeting

The Stage 2 Meeting will result in the one of the following outcomes:

a) **No further formal action**: the employee has sufficiently improved their performance and is consistently performing to the standards expected of them; the manager will continue to review the employee's performance on an informal basis

b) **Revision of PIP and issue of final written warning:** there has been insufficient, or no improvement in the employee's performance. The PIP will be updated, with new progress review dates and PIP end date. The manager will also issue a final written warning.

4.4   Communication

The manager will write to the employee within one calendar week of the Stage 2 Meeting to confirm the outcome of the meeting and next steps.

No further formal action - the letter will confirm the PIP is no longer in place, remind the employee of the remaining duration of the formal warning (see Section 9) and make clear what will happen if their performance starts to fall below the standard(s) required (see Section 11).

Revision of PIP and issue of final written warning - the letter will confirm the revisions to the PIP, its revised duration and make clear the potential consequences should the employee fail to meet the objectives and timescales of the updated PIP.

The letter will also advise the employee of their right to appeal the final written warning.

5   Review of Progress – Revised PIP

The revised PIP will detail the individual actions the employee needs to take to improve their performance. These will include the revised milestones which must be reached if the overall PIP objectives are to be met by the employee.

The revised PIP must include review meeting dates, which will help the manager and employee to discuss and assess the employee's progress, and a new PIP end date.

5.1   PIP objective(s) met by revised PIP end date

Should the employee achieve all of the PIP objective(s) before or by the revised PIP end date, this should be confirmed to them in person, normally during a PIP progress review meeting, and in writing. The manager must:

- acknowledge the improvement in performance and the effort made by the employee
- confirm the component parts of the PIP and overall PIP objectives have been met and that the PIP is no longer in place
- discuss what the employee should do to sustain the improvement they have made
- remind the employee of the duration of their final written warning (see Section 8), and
- make it clear to the employee what will happen if their performance starts to fall below the standard(s) required (see Section 11).

5.2   Failure to achieve a component part of the revised PIP or to reach key milestones

Should the employee fail to achieve a component part of the PIP, or reach a key milestone, and so be unable to achieve the overall PIP objective(s), the manager should normally proceed to Stage 3 – Performance Hearing before the PIP end date. The employee must be forewarned of this, normally during a PIP progress review meeting.

5.3   Unforeseen circumstances

Should the employee be unable to achieve a component part of the PIP/reach a key milestone due to new, unforeseen circumstances when the PIP was revised, the manager should extend the PIP and set a new end date. This will normally take place during a PIP progress review meeting and must be confirmed in writing.

Unforeseen circumstances could include an employee's long-term absence from work; the absence/turnover in key staff involved in providing support; delayed/cancelled training.

5.4   Deterioration in performance once revised PIP updated

Should the employee's performance deteriorate further, the manager should proceed to Stage 3 – Performance Hearing before the PIP end date. The employee must be forewarned of this, normally during a PIP progress review meeting.

5.5   PIP objectives not met by revised PIP end date

Should an employee fail to meet the PIP objective(s) by the new PIP end date, the manager should progress to Stage 3 – Performance Hearing. The employee must be forewarned of this at their final PIP progress review meeting.

6   Formal Procedure – Stage 3 - Performance Hearing

6.1   Hearing Chair

The College/Support Group Head of HR will appoint a Chair to hear the case. The Chair will be at a grade equal to, or more senior than the manager who recommended progressing to a Hearing. In most cases, the manager's line manager will chair the Hearing.

6.2   Panel membership and Preparation

The Chair will appoint one or two other members of staff to hear and decide on the case. These staff members will have had no prior involvement in the case and will ideally have relevant knowledge of the work the employee is employed to do.

At least one Panel member must be from the same job category as the employee. For example, where the employee is an Academic[3,] at least one Panel member (who may be the Chair) must be an Academic; where the employee holds a non-academic role[4], at least one Panel member (who may be the Chair) must be a non-academic.

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[3] An 'Academic' for the purposes of this policy, is defined as a Professor, Reader, Senior Lecturer, Senior Teaching Fellow or Lecturer and any other person engaged in teaching, the provision of learning or research
[4] E.g. from professional services, technical or administrative support within the Colleges or Support Groups

The manager who recommended progressing to a Performance Hearing will prepare a short report for the Panel. The report will describe the performance issues and the actions taken to help the employee improve.

6.3   Written Notice of Performance Hearing

The Chair will write to the employee asking them to attend a Hearing. To help the employee to prepare, at least one calendar week's notice of the meeting will normally be provided. The manager's report will be sent with the letter.

The letter will explain the make-up of the Panel and also make it clear that:
– an HR Advisor will be present at the meeting to provide advice and guidance on the process; this will usually be the same HR Advisor who attended the Formal Stage 1/Stage 2 Meeting.
– the employee has the right to be accompanied to the Hearing by a trade union representative or workplace colleague
– any documents which the employee wishes to use to support their case should be provided to the Chair at least 2 working days in advance of the Hearing
– the Hearing could result in the employee being dismissed.

6.4   Performance Hearing

The manager will attend the Hearing to present their report and explain their concerns about the employee's performance.

The employee will have the opportunity to respond to these concerns, to generally state their case and will be asked questions by Panel members.

The Hearing will be adjourned to allow the Panel to consider the case, take advice from the HR Advisor and decide on appropriate action.

6.5   Outcome of Performance Hearing

The Panel may decide to:
a) ask the manager to return to Stage 2 of the formal procedure, with a further period of review, and to take on board any recommendations made by the Panel, or
b) dismiss the employee.

**6.6	Communication**

The Panel's decision will be verbally communicated to the employee, wherever possible on the same or following day, and will be confirmed in writing within one calendar week of the Hearing. Should the Panel decide to dismiss the employee, the employee will be advised of their right to appeal against their dismissal. The employee will be dismissed with immediate effect, and will be paid in lieu of their contractual notice along with any outstanding contractual entitlements.

**7	Support for Employees: Underlying Issues**

**7.1	Disability**

If an employee has, or discloses a disability which is contributing to their underperformance, the development of the PIP, its duration and the timing of PIP progress review meetings will allow:

-	the manager time to seek and consider relevant, specialist advice

-	the manager and the employee an opportunity to discuss any reasonable adjustments; and

-	reasonable time for any such adjustments to be put in place and to take effect before the employee's performance is formally reviewed.

**7.2	Underlying health condition(s)**

If an employee's health is considered to be affecting their performance, the development of the PIP, its duration and the timing of PIP progress review meetings will allow:

-	the manager time to refer the employee to Occupational Health (OH), and consider the report from OH

-	the manager and the employee an opportunity to discuss the OH report and consider any additional support recommended by OH which might help the employee to improve their performance; and

-	reasonable time for appropriate additional support to be put in place and take effect before the employee's performance is formally reviewed.

**7.3	Personal difficulties**

Managers will be supportive of any employee who discloses that they are coping with significant difficulties in their personal life, for example, a close family illness, bereavement or a relationship breakdown. The duration of the PIP and timing of PIP progress review meetings will take into account these difficulties.

7.4   Workplace factors

If workplace factors are considered to be affecting the employee's performance, for example working relationships, nature and volume of work, the development of the PIP will allow the manager time to investigate the issues raised and, if appropriate, to take alternative action.

8   Right to be accompanied

Employees have the right to be accompanied to formal meetings[5] by a trade union representative or workplace colleague. The employee is responsible for informing their chosen companion of the arrangements for the meeting. The employee must also notify the manager (or Performance Hearing Chair) in advance of the meeting if they will be accompanied and the name of their companion.

The employee's companion can address the meeting and confer with the employee during the meeting, but cannot answer questions on behalf of the employee.

9   Warning periods

A formal written warning will remain current for 12 months. A final written warning will remain current for 24 months.

After the warning period has expired, a note of the warning's existence will remain on the employee's record. However, this will not be used towards the escalation of warnings but may be used to provide context where relevant. This expired warning will be kept in accordance with the University Data Retention Schedule for HR Records.

10   Appeals

Employees have the right to appeal the issue of any formal warning and the termination of their employment. The appeal processes are outlined in the 'Employment Related Appeals Procedures'.

11   Recurring underperformance

Following successful completion of a PIP, an employee's performance will be managed in the normal way.

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[5] Formal meetings within this procedure are: Stage 1 Meeting, Stage 2 Meeting, and Performance Hearing.

Formal action will resume should an employee's performance once again fall short of the standard(s) expected of them.

Should this happen while a warning is current (see Section 9), the manager will progress to the next stage of the procedure. For example, should the employee have received a written warning and then successfully completed their PIP at Stage 1, the manager should alert the employee to the deterioration in their performance and restart formal action at Stage 2.

If the warning is no longer current, the manager will normally restart formal action at Stage 1.

Managers should seek early advice from their College/Support Group HR Adviser before re-instigating the formal procedure.

12   Records

College/Support Group HR will record the number of cases being managed through the formal Capability procedure, including the stage reached in the process. The number of cases by stage will be made available to the University's Joint Unions Liaison Committee (JULC). All records will be held in accordance with the University's records management policy framework.

Attachments:

Appendix I – Managing Capability Flow Chart

Appendix II – Template Formal Performance Improvement Plan

CENTRAL MANAGEMENT GROUP

29 August 2017

Update on the City Deal

Description of paper
1. This paper provides an update on recent developments in the City Deal negotiations, focused on relationships with UK and Scottish Governments and local/regional partners.

Action requested/Recommendation
2. Central Management Group is asked to note and discuss issues arising from recent developments.

Paragraphs 3 - 22 have been removed as exempt from release due to FOI.

Risk Management
23. The city deal project has a comprehensive risk register which is reviewed on a regular basis.

Equality & Diversity
24. No impacts are anticipated at this stage.

Paragraphs 25 - 26 have been removed as exempt from release due to FOI.

Consultation
27. The new City Deal Executive Governance Group is the locus of consultation.

Further information
28. *Author and Presenter*
    Senior Vice-Principal Professor Charlie Jeffery

Freedom of Information
29. This paper is closed - its disclosure would substantially prejudice the commercial interests of the organisation.

![The University of Edinburgh logo]

CENTRAL MANAGEMENT GROUP

29 August 2017

Finance Director's Report

Description of paper
1.   The paper summarises the finance aspects of recent activities on significant projects and initiatives updating on progress as appropriate.

Action requested/Recommendation
2.   Central Management Group is asked to comment on the latest update and can use this report to brief their teams on Finance matters. There are no other specific actions or recommendations.

Background and context
3.   The paper provides a monthly update on finance related issues for the Central Management Group.

Paragraphs 4 - 16 have been removed as exempt from release due to FOI.

Risk Management
17. The University continues to proactively manage its financial risk by not breaching the following minimum criterion - unrestricted surplus of 2% of gross income. While we await the final outcome of 16/17 performance we do not expect this indicator to be breached.

Equality & Diversity
18. 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 & Communication
19. We would welcome feedback as outlined in the discussion above.

Consultation
20. The paper has been reviewed by Phil McNaull, Director of Finance.

Further information
21. *Author*   *Presenter*
     Lorna McLoughlin   Phil McNaull
     Head of the First Team   Finance Director
     17 August 2017

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

THE UNIVERSITY *of* EDINBURGH

CENTRAL MANAGEMENT GROUP

29 August 2017

Project Eagle: New Expenses Policy

Description of paper
1.   This paper presents an update of the draft Expenses Policy presented to Central Management Group (CMG) on 20 June 2017. This paper gives an overview of the feedback received from CMG on the draft Expenses Policy and details how these key themes have been responded to and included in the latest draft of the Policy. The rationale for updating the current Expenses Policy was presented to CMG on 30 May 2017.

Action requested/Recommendation
2.   CMG is asked to note the main themes of and responses to the feedback received   (Appendix A). The appendix demonstrates how the feedback has been included in the latest draft of the Expenses Policy (Appendix B).

3.   CMG is asked to approve the draft Expenses Policy (Appendix B).

4.   Following agreement by CMG, the revised policy will be shared with the trade unions with a view to securing agreement by the end of September and formal CJCNC sign-off by correspondence. The expected implementation date for the revised Policy is 1 December 2017.

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

Risk Management
14. There are reputational and financial risks associated with an Expenses Policy that is out-of-date. There are potential financial costs, penalties and reputational risks associated with an Expenses Policy that is not compliant with tax legislation.

Equality & Diversity
15. There are no equality and diversity issues associated with this paper.

Next steps & Communication
16. In advance of the new Expenses Policy being published on the Finance website, Finance will communicate the new policy and key changes to staff, including more detailed guidance for staff based overseas long-term or staff with home-working contracts. This will be part of a structured communications plan and not simply a matter of publishing a policy. (For any clarification or editorial changes please contact Julia Miflin (julia.miflin@ed.ac.uk) or Jess Wright (jess.wright@ed.ac.uk) in the first instance.) The new Expenses Policy will be reviewed on an annual basis by the Finance Department.

Consultation
17. The paper has been reviewed by Phil McNaull, Director of Finance, Lee Hamill, Deputy Director of Finance and Tracey Slaven, Deputy Secretary and has not been presented to any other committee. The revised policy will be shared with the trade unions after this meeting.

Further information

18. *Author*   *Presenter*
    Julia Miflin   Phil McNaull
    Management Accountant   Director of Finance
    Strategic Projects
    Jess Wright
    Financial Accountant
    10 August 2017

Freedom of Information

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

THE UNIVERSITY of EDINBURGH

CENTRAL MANAGEMENT GROUP

29 August 2017

Value for Money Report 2016/17

Description of paper

1.   This paper reports on Value for Money (VFM) activity for 2016/17, covering both initiatives pursued through CMG, and more locally focused work. It is due to be submitted to the Audit and Risk Committee at its next meeting on 19 September 2017.

Action requested/Recommendation

2.   Members of CMG are asked to consider whether the content of this paper meets their needs in satisfying themselves that sound arrangements are in place to promote economy, efficiency and effectiveness in the University. CMG is asked to endorse this report for forwarding to Court via Audit & Risk Committee as part of the Committee's Annual Report.

Background and context

3.   In January 2006 a Value for Money Policy was agreed by the Audit Committee. On 14 October 2008, the Scottish Funding Council introduced its new mandatory requirements, as set out in paragraph 16 of the Financial Memorandum. These oblige institutions to (a) have a strategy for systematically reviewing management's arrangements for securing value for money, and (b) obtain, through their internal audit arrangements, a comprehensive appraisal of management's arrangements for achieving value for money.

4.   Audit and Risk Committee require that the executive responsibility for monitoring this area rests with the Central Management Group. This paper reports on VFM activity for 2016/17, covering both initiatives pursued through CMG and more locally focused work over the last year, so that consideration can be given as to whether sound arrangements are in place to promote economy, efficiency and effectiveness and appropriate activity. As in previous years, the paper is compiled from submissions made in response to a request to all Colleges and Support Groups.

5.   Last year's Audit Scotland Report, 'Audit of Higher Education in Scottish Universities' highlighted the continued need for Universities to secure significant efficiency savings in their everyday activities. The report noted that the sector has experienced a 6% cut, in real terms, in public funding over the three years to 2014/15, meaning that "achieving high-quality learning and teaching is increasingly dependent on universities' ability to make efficiency savings." [1] In the two years since the report was published universities have experienced a further 6% real terms public funding cut, making a total of 12% over the five years to 2016/17.[2] In the new financial year, University of Edinburgh's Research Excellence Grant funding was cut

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[1] Audit Scotland Report 'Audit of Higher Education in Scottish Universities'. July 2016
http://www.audit-scotland.gov.uk/uploads/docs/report/2016/nr_160707_higher_education.pdf
[2] Universities Scotland Press Release. 1st December 2016
http://www.universities-scotland.ac.uk/news/scale-funding-challenge-facing-universities-set-holyrood-committee/

by a further £3m, which equates to 19% of the Value for Money savings identified in this report.

Discussion

6. In this year's report, we have identified some key initiatives that promote efficiency, economy and effectiveness at the University and have been valued at £15.8 million. These initiatives are detailed in Appendix 1 under the following headings:

- major University-wide initiatives;
- major investments to deliver long-term business enhancement and cost savings;
- estates and utilities efficiencies; and
- initiatives to improve teaching, research and support service delivery.

7. The value of efficiencies identified via the initiatives is summarised in the table below.

Value for Money Initiatives 2016/17	£m
Procurement contracting and tendering activity	13.7
Major investments to deliver long-term enhancement and cost savings	1.1
Estates and utilities efficiencies	0.6
Initiatives to improve teaching, research and support service delivery	0.4
Total efficiencies identified in 2016/17	**15.8**

8. Please note that these initiatives are not intended to be a comprehensive inventory of all VFM activity. There are examples here of both large and small initiatives and this report is intended to demonstrate the range and depth of the VFM activities that take place across the University. Some of these initiatives have not been quantified but have been included to show the breadth of examples in place across the institution at all levels. The report will therefore give the Central Management Group confidence that this is a 'comprehensive appraisal' as required by the Financial Memorandum.

9. The University invests in specific university-wide Procurement led initiatives, which resulted in VFM savings of approximately £13.7 million during 2016/17, mainly from the higher value competitive tenders.[3] Other savings are achieved through access to 177 collaborative contracts with APUC, other institutions and sectors. The professional teams worked on 267 projects this year. Some key examples of savings through Procurement initiatives are listed in Appendix 1.

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[3] This is an interim figure, Procurement are calculating final figures for the year. The methodology used to calculate Procurement savings is supplied in the 'Procurement Benefits Reporting Guidance' Version 1.2, January 2015, at the following link:
www.gov.scot/Topics/Government/Procurement/about/Review/PRDG/BenefitsGuidance/Bensreporting

10. Departments across the University continue to seek innovative ways of improving efficiency whilst also enhancing service delivery. Appendix 1 includes details of spend to save projects in the Colleges and Support Groups.

Resource implications
11. The paper reports on some very significant benefits secured from approved budgets, including specific examples, amounting to almost £16m. To put this in context, this amount exceeds our planned budgeted operating surplus for 2017/18, of £11m.

Risk Management
12. In describing VFM initiatives over the last year, no matters requiring specific attention in this connection have been raised.

Equality & Diversity
13. In describing VFM initiatives over the last year, no matters have been identified that require specific attention.

Next steps/implications
14. With CMG's endorsement, the paper will be submitted to Audit & Risk Committee for their meeting on 19 September 2017.

15. In line with the SFC's Financial Memorandum obligations, Internal Audit consider VFM issues in all of their audits. The Internal Audit strategy and five-year plan specifically highlights this obligation. In addition the University is committed to significant investment to generate future efficiencies detailed below.

16. Last year we reported on the University setting up the Service Excellence Programme (SEP) to review and promote service excellence across professional services in the University. It has a particular focus on ensuring that we are getting the best from the sum of the parts when colleagues in the Centre, Colleges and Schools are all playing a part in providing a service. The Programme is looking to capture efficiencies and it is also about ensuring that we are providing high quality services to the end user which are simple, consistent and fit for the future. This programme has Value for Money at the heart of its direction. The Programme started in 2015 and we plan to progress this Programme over five years with benefits increasing over this period.

17. The University has set up a Sustainable Campus Fund of £2.75m over three years commencing in 2016/17 and year one budget of £750k. The first year of the Fund has seen a strong performance in line with original expectations. 23 projects have been approved and £821k has been allocated so far. Projects approved are estimated to bring annual savings of approximately £250k per year along with over 1,000 tCO2e savings per year.

Consultation
18. The paper has been prepared on the basis of inputs from across colleges and support groups. It has been approved by the Director of Finance.

Further information

19. *Author*   *Presenter*

      Stuart Graham   Phil McNaull

      Management Accountant   Director of Finance

      17 August 2017

Freedom of Information

20. The paper may be included in Open Business.

CENTRAL MANAGEMENT GROUP

29 August 2017

Integrated Transport Plan 2017 - 2021

Description of paper
1. This paper presents the University of Edinburgh Integrated Travel and Transport Plan 2017 – 2021.

Action requested/Recommendation
2. Central Management Group is asked to note the Integrated Transport Plan 2017 – 2021 in the attached Appendix. This plan has been endorsed by Estates Committee

Background and context
3. The Integrated Transport Plan 2017 – 2021 sets strategic targets and actions for the various methods of travel to and between our campuses. The Plan supports the University's strategic objective of leadership in learning through facilitating equitable access to a variety of affordable transport options designed to enhance the student and staff experience. It supports our Equality and Diversity Strategy by committing to the delivery of actions that will improve access for all. It supports our Estates Vision and recognises that our dispersed teaching and research estate, together with the likelihood that new student residences will be more geographically spread across the city as the University grows, will present significant transportation challenges for our students and staff. It also directly supports the Climate Change Strategy, recognising that transport makes a significant contribution to our carbon footprint and local air quality.

Discussion
4. The plan sets out actions that will address the fundamental inequalities in the current provision of transport options for students and staff at the University.

5. Consultations with students and EUSA have consistently demonstrated a strong sense of inequality in the provision of access to bus services, particularly affecting students at Easter Bush, and a desire for more affordable, flexible public transport ticketing options. In partnership with Lothian Buses, the Plan seeks to introduce ticketing products that provide the flexibility students require, at a cost to the student that offers value for money. To support Widening Participation we will endeavour to find appropriate means to introduce accessible ticketing for students from financially disadvantaged backgrounds and students experiencing financial difficulties. These products and initiatives would be available for all undergraduate and postgraduate students, regardless of their study location. Success in this regard would reduce the public transport costs for all students regardless of where they live and study, rather than the current focus of subsidising all free travel between King's Buildings and the Central Area.

6. The actions seek to reduce the reliance on the existing King's Buildings free shuttle bus service whilst accepting that students value it as an important link to support their back-to-back study needs at King's Buildings and in the Central Area.

7. Other actions in the plan seek to encourage staff and students to walk and cycle to and between our campuses through improvements in facilities as part of the capital development plan, improvements in routes, access to bike hire and bike storage schemes. All of these will help play a part in working towards the commitments in our Zero by 2040 Plan.

8. The plan further seeks to support staff and students to move away from car travel to and between our campuses, or to switch to low carbon vehicles, through the introduction of initiatives to support this change in behaviour, thereby further reducing the carbon emissions from transport in support of local and national policy targets.

Resource implications

9. There are no immediate resource implications; however, additional funding from Estates budgets for transport initiatives outlined in the plan may need to be allocated.

Risk Management

10. The Integrated Transport Plan identifies actions to address issues which are currently having a negative impact on the Student Experience of travel at the University. Failure to address these issues carries the risk of exacerbating the inequalities in the provision of transport across our campuses. The Plan commits to ongoing consultation with the student body to ensure that actions are shaped and implemented to enhance the Student Experience.

Equality & Diversity

11. The Plan supports the Equality and Diversity Strategy and clearly identifies actions where additional consultation with students and staff disability representatives will be required.

Next steps & Communication

12. The Plan will then be published on the University's website and an action plan for implementation will be led and delivered by the Estates Department.

Consultation

13. In the development of this paper and the Plan, consultations have taken place with EUSA Sabbatical Officers, Students, Staff, College Registrars, the Deputy Secretary, the Director of Corporate Services, the Director of Social Responsibility and Sustainability, and the Director of Estates.

Further information

14. *Author*   *Presenter*
    David Brook,   Hugh Edmiston
    Head of Support Services   Director of Corporate Services
    Emma Crowther
    Transport and Travel Manager
    18 August 2017

Freedom of Information

15. This paper is open.

University of Edinburgh Integrated Transport Plan 2017 - 2021

This Plan sets out how The University of Edinburgh will achieve its vision that by 2021 our students, staff and visitors will be able to access our Estate by the mode of transport best suited to their needs.

The Plan supports the University's strategic objective of leadership in learning through facilitating equitable access to a variety of affordable transport options designed to enhance the student and staff experience. It supports our Equality and Diversity Strategy by committing to the delivery of actions that will improve access for all. It supports our Estates Vision and recognises that our dispersed teaching and research estate, together with the likelihood that new student residences will be more geographically spread across the city as the University grows, will present significant transportation challenges for our students and staff. The University also recognises that transport makes a significant contribution to our carbon footprint and local air quality. The University Climate Change Strategy 2016 - 2026 lays out a comprehensive whole institution approach to climate change mitigation and adaptation in order to achieve its ambitious target of net zero carbon by 2040. Reducing carbon emissions from commuting and business travel will make an important contribution to this target. Since 2000, we have successfully reduced the proportion of staff who travel by car from 40% to 27%, and students from 9% to 6%. The majority of our students and staff choose to walk, cycle or use public transport and actions within this plan will support growth in travel by these methods. Student feedback is clear that the University must do more to improve the accessibility of the estate by all modes of transport, but with a particular emphasis on public transport. It is acknowledged that for some individuals, such as disabled people, accessing our Estate by car or wheelchair is the only available option. To achieve the targets below engagement with Lothian Buses, EAUC[1], EUSA, Sustrans, SEStrans[2], staff and students will be essential.

Targets to be achieved by 2021

1. Increase the proportion of staff travelling on foot to University to 30% (25% in 2016) and students to 60% (57% in 2016). *(New Target)*
2. Increase the proportion of students and staff cycling to University to 15% (from 13% in 2016) *(to match Edinburgh Council Local Transport Strategy Target.)*
3. Through negotiation with Lothian Buses, seek to introduce a number of student ticketing options better suited and priced to the needs of our students.
4. Public transport provision to and between University sites regarded as good to excellent by 75% of our student and staff users as measured in our bi-annual travel survey. *(new target)*
5. Reduce car driving to 29% or less at each University campus. (excluding Easter Bush) *(to match Edinburgh Council Local Transport Strategy Target)*
6. Increase the proportion of parking permit holders using an electric vehicle from 0.4% in 2016-17 to 2%. *(new target)*
7. Increase the proportion of electric vehicles in the University fleet from 4% in 2016-17 to 30%. *(new target)*

The background and context for the Plan, including the City of Edinburgh Council Local Transport Strategy targets, is provided in Appendix 1A.

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[1] Environmental Association of Universities and Colleges
[2] South East Scotland Transport Partnership

Access for disabled students, staff and visitors
This Plan has been developed to ensure that the Estate is welcoming and accessible for disabled people using their preferred means of transport. Where appropriate, actions set out in this Plan will be developed and implemented in consultation with the Student Disability Service and disabled students and staff to ensure that they improve access for disabled users.

Site Travel Plans
Travel Plans are an essential component of planning, developing and managing our Estate, as well as a requirement of planning consent. We have Travel Plans for bioQuarter, Central Area, Easter Bush, King's Buildings and the Western General. Each Travel Plan assesses the travel characteristics of each site and identifies a package of actions that will encourage more sustainable travel behaviour. New Travel Plans will be prepared for each site that would support the delivery of the following actions:

On foot (including jogging and mobility scooter)
Walking, jogging or using a mobility scooter is the most popular mode of transport to commute to the University. The 2016 travel survey recorded 48% of students and staff travel on foot or by mobility scooter each day. Analysis of where our students and staff live in relation to where they study or work shows there is potential to increase the proportion of students and staff who travel on foot or by mobility scooter.

Target	By 2021, increase the proportion of staff travelling on foot to University to 30% (25% in 2016) and students to 60% (57% in 2016).

On foot		
Actions		
F1	**Provide and maintain safe accessible routes to and within University sites**	We will review our existing pedestrian infrastructure identifying and taking action to create safe routes, accessible for disabled students, staff and visitors. Careful consideration will be given to: the inter-relationship of cyclists and pedestrians to ensure the appropriate use of shared and segregated paths and; the type of surfacing used to ensure it is accessible for users with a disability.
F2	**Implement a pedestrian signage strategy**	We will liaise with the City of Edinburgh Council to develop and implement a clear and fully accessible pedestrian signage strategy to connect our main sites.
F3	**Provision of information to support and encourage walking**	We will design accessible communications and initiatives that raise the profile of walking as a means of commuting and travelling between sites, which highlight the signposted routes and the personal benefits of walking. These actions will be developed in conjunction with The Healthy University Project.

Cycling

Cycling is the regular method of travel for 13% of our students and staff to commute to University. This is a community of at least 6,500 regular cyclists making an important contribution to reducing carbon emissions, air pollutants and traffic congestion.

Target	By 2021, 15% of staff and students will be cycling to work and study (up from 13% in 2016).

Cycling		
Actions		
CY1	**Improve cycle routes to, between and within our sites**	We will work with our local authorities to identify where cycle routes need to be invested in to support access to and between our sites.
CY2	**Increase cycle parking as well as shower and changing provision**	We will ensure that the Capital Development Programme (CDP) incorporates high quality cycle parking, shower and changing facilities to support the target of 15% of staff and students cycling to the University by 2021. Where possible these facilities will be combined to create cycle hubs for one or multiple buildings. More cycle parking, shower, locker and changing facilities will be delivered and investment will be guided by the University's 2014 cycle infrastructure audit.
CY3	**Provide vacation time cycle storage**	We will develop a solution to the lack of cycle storage provision during vacation periods, for students unable to take their bikes home with them. The current lack of provision is a disincentive to cycling at the University.
CY4	**Relaunch the Cycle to Work salary sacrifice scheme for staff**	We will relaunch the existing scheme that has seen 1375 bikes purchased by staff since 2008. The scheme provides an important financial incentive for staff to commute to work by bike.
CY5	**Continue to provide affordable access to bikes**	We will, following a careful evaluation of the impact and cost of providing the eCycle (electric bikes) and UniCycle (student bike rental scheme), further develop these and actively pursue an alternative model cycle hire scheme.
CY6	**Provide more opportunities for cycle training**	We will provide guidance, advice and training on cycling safely and promote cyclist awareness amongst vehicle drivers. We will promote equality and diversity in cycling by encouraging and supporting participation in training from minority groups.
CY7	**Work with the Healthy University Project**	We will work with the Healthy University Project to broaden participation in cycling amongst students and staff as a means to increasing activity levels.

Public Transport

We have approximately 12,000 regular bus users and 2,500 regular rail users amongst our students and staff. As well as the journey to work and study, our students and staff also need to travel between our sites to meet their academic timetable or business responsibilities.

Buses

Edinburgh has an excellent public bus network, operated by Lothian Buses, and supplemented by other operators. As we continue to invest in the Estate, we will work with public bus operators to serve increasing student and staff passenger numbers and demand for services late into the evening and at weekends. To date the University's approach to addressing the access requirements of students and staff has been on a site-specific basis which has introduced inequalities in the level of support offered. At King's Buildings a dependency on the free shuttle bus service (paid for by the University) has evolved. This shuttle bus service remains the only free shuttle bus service provided between University campuses. Demand for this shuttle has grown massively from the initial intention of providing rapid inter-campus travel for a small group of students to meet their academic timetable needs. It is now used for commuting at key points of the day for a small proportion of the 50,000 students and staff who live close enough to the central area pick up point. Transferring demand from this service to other methods of travel will improve the fairness of the transport offering to all students, an issue consistently highlighted by students. At Easter Bush, Western General, and the bioQuarter we will work with our partners and local organisations to improve the range, frequency, capacity and affordability of public bus services connecting to and between the sites.

Our students tell us that they would be more inclined to use public transport on a regular basis if discounted fares were offered (Figure 1, Appendix 1A). We will work with Lothian Buses to secure more financially attractive public transport fares for students.

Rail

Rail use is comparatively low, with just 5% of students and staff travelling by rail as their usual means of commuting. This reflects the fact that Edinburgh has a very limited local rail network and that the majority of our students and staff live within Edinburgh. Students and staff travelling by rail are commuting from Fife, the Lothians and Glasgow.

Target	**Public transport provision to and between University sites regarded as good to excellent by 75% of our student and staff users as measured in our bi-annual travel survey. Increase percentage of staff and students using public transport from 29% to 32% in line with CEC target.**

Public transport		
Actions		
PT1	**Aim to secure a financially attractive student public bus ticketing product**	In partnership with Lothian Buses, we will seek to introduce ticketing products that provide the flexibility students require, at a cost to the student that offers value for money. To support Widening Participation we will endeavour to find appropriate means to introduce accessible ticketing for students from financially disadvantaged backgrounds and students experiencing financial difficulties. These products and initiatives will be available for all undergraduate and postgraduate students, regardless of their study location.
PT2	**Review the capacity problems on the KB Shuttle Service from 2017-18**	We will address the issue of the lack of capacity on the KB Shuttle Service to meet the current level. Any solution will continue the principal of providing free travel between our two

		main campuses for those with an academic need for urgent inter-campus travel.
PT3	**Work with public bus operators to agree bus service enhancements**	We will work with bus providers to enhance services to all University sites to better meet the commuting and inter-site travel needs of our staff and students.
PT4	**Ensure academic timetabling considers public transport accessibility**	We will work with the Timetabling Unit to ensure that the constraints of public transport connections between all University sites and the timetabling of the KB shuttle are considered and prioritised when developing the academic timetables of students.
PT5	**Improve public transport information provision**	We will improve public transport information provision acknowledging the diverse expectations and requirements of different user groups, including disabled users.
PT6	**Engage with the development of the tram network**	We will continue to engage with the City Council's ongoing plans to develop the Edinburgh Tram network.
PT7	**Engage with rail operators**	We will engage with rail operators to improve commuter services and ticketing options, and aim to develop schemes to attract more staff to switch from road to rail.

Reducing car travel

Over the last 15 years the University has successfully reduced the proportion of staff and students who commute by car, by supporting and encouraging a shift towards walking, cycling and public transport use. The proportion of students and staff travelling by car is now very low at 9% and well within the City of Edinburgh Council Local Transport Strategy target of 29%, though this varies between our sites (Table 2)

Table 2: Proportion of car journeys to work or study at the main University sites (2016 travel survey)

Site	Car mode share
Central Area	7%
Pollock Halls of Residence	47%
King's Buildings/Royal Observatory	15%
RIE/QMRI, BioQuarter	22%
Western General Hospital	21%
Easter Bush Campus	50%

Target	Reduce car driving to 29% or less at each University site by 2021 (excluding Easter Bush)

Car travel		
Actions		
C1	**Evaluate and adapt the University's Parking Management System**	We will continue to evaluate and adapt the Parking Management System on a site by site basis to manage a decreasing provision of car parking in a manner that best supports the business continuity of the University.
C2	**Ensure the provision of accessible disabled parking bays**	In line with the Estates Accessibility Policy, we will ensure all new and existing buildings include a proportionate allocation of disabled parking spaces (where planning legislation requires), accompanied by accessible and clearly signposted routes to our buildings.
C3	**Review parking permit charges**	We will review the levels of car parking charges at each campus on an annual basis.
C4	**Review of business travel by private car**	We will conduct a review of business travel by private car to understand the health and safety issues the University may need to address, and the environmental and financial impacts of the use of private vehicles to conduct University business.
C5	**Promote short term vehicle hire**	We will continue to work with Enterprise Car Club to consider opportunities to host more Car Club vehicles on University sites and work to increase staff membership of the scheme.
C6	**Increase membership of the Tripshare scheme**	We will prepare annual communication plans to promote Tripshare and increase membership of the scheme.

Low Carbon Vehicles

The University has publicly declared its intention to address the challenges of climate change and reduce its carbon footprint by signing the Universities & Colleges Climate Commitment for Scotland. In Scotland the transport sector contributes 20% of the nation's total carbon footprint, and therefore has an important role to play in contributing to carbon reduction.

The Scottish Government has committed to the phasing out all petrol and diesel fuelled vehicles in our urban environments by 2050. This ambition aligns with the emissions target set in The Climate Change (Scotland) Act 2009 of achieving at least an 80% reduction in greenhouse gas emissions by 2050. The University has acted in support of this through its ambitious Zero by 2040 target.

Targets	**2% of University parking permit holders will drive an electric vehicle by 2021** (from a baseline of 0.4%, and actual numbers of 10 vehicles in 2017 to 50 vehicles in 2021)
	30% of the University fleet will be electric by 2021 (from a baseline of 4% in 2017)

Low carbon vehicles		
Actions		
LCV1	**Increase the provision of electric vehicle chargers across the Estate**	We will install an additional 50 charge points to supplement the current 21 within University car parks across the estate for students and staff who commute by electric vehicle. We will install a sufficient number of charge points to support the target growth in the number of electric vehicles within the University fleet. These infrastructure improvements will be funded through existing government grant schemes.
LCV2	**Commitment to providing free access to charge points**	We will ensure that staff and student car park permit holders using electric vehicles will be provided with free access to charge points until 2021.
LCV3	**Commitment to provide free parking permits for electric vehicle drivers**	We will encourage staff and students to purchase electric vehicles by maintaining the free electric vehicle parking permit until 2021, subject to meeting parking permit eligibility requirements.
LCV4	**Counteract misconceptions about electric vehicles**	We will prepare a communication plan targeting parking permit holders and Vehicle Coordinators that aims to provide the facts about the benefits of owning or leasing an electric vehicle. We will organise events to provide students, staff and Vehicle Coordinators the opportunity to try vehicles and speak to manufacturers.
LCV5	**Undertake a fleet review**	We will undertake a fleet review to identify opportunities to reduce the size of the fleet, improve the fuel efficiency of the fleet and switch to lower and zero carbon vehicles.
LCV5	**Provide access to electric vehicle driver training**	We will ensure all drivers of University electric vehicles undergo electric vehicle driver training, and provide opportunities for students and staff to access this training.
LCV6	**Increase the use of electric and low carbon vehicles in vehicle hire**	We will work with our vehicle hire suppliers and the Enterprise Car Club to provide opportunities for staff hiring vehicles for business journeys to use electric and low carbon vehicles.
LCV7	**Carry out a feasibility study for a salary sacrifice scheme**	We will investigate opportunities to offer a salary sacrifice scheme for staff to purchase electric and low carbon vehicles.

LCV8	**Provide access to fuel efficient driver training**	We will provide all authorised drivers of diesel/petrol University vehicles with Fuel Efficient Driver Training.
LCV9	**Introduce fuel efficient technologies to the fleet**	We will implement fuel efficiency technologies into the fleet as deemed appropriate by the Fleet Review.

Monitoring and Review

We will review progress toward our planned targets utilising the following data collection exercises and we will prepare an annual action plan to work towards achieving all the targets within this plan by 2021.

Student and Staff Travel Surveys

We will continue to monitor how our students and staff commute to study and work through bi-annual University-wide travel surveys. The survey will continue to collect data that will allow us to assess our progress towards the 2021 targets. The survey will continue to collect data to enable the calculation of an estimate of the University's Commuter Travel Carbon Footprint. This information will be used to contribute to the monitoring and evaluation of the University's Climate Change Strategy 2016-2026.

Car parking permit review

Progress towards increasing the proportion of electric vehicles used by student and staff car parking permit holders will be monitored on an annual basis through an analysis of parking permit applications to identify the number of electric vehicle parking permit holders.

Fleet Review

Progress towards increasing the proportion of electric and low carbon vehicles in the University fleet will be monitored on an annual basis.

Context and Background Information

The University of Edinburgh has 36,500 students and 13,500 academic and support staff (9,500 FTE) working and studying across five main campuses. With our sites dispersed across the city and into Midlothian, and a teaching timetable that requires students and staff to move between sites during the course of the day, we collectively place significant demands upon the City of Edinburgh and south east Scotland's transport infrastructure. These travel demands make a contribution to traffic congestion, air and noise pollution as well as carbon emissions. The quality and provision of transport infrastructure directly impacts on the student experience and operation of the University. Student, staff and the Student Disability Service feedback is clear that the University must do more to improve the accessibility of the Estate by all methods of transport, but with a particular emphasis on public transport.

Travel policy at The University of Edinburgh

The University has had a sustainable travel policy in place since 2000, which was updated and adopted by Court in 2010 as the Transport and Travel Planning Policy[3]. The policy plays a vital role in supporting capital development planning applications. A key target for the University has been to "*exceed travel to work mode share targets, set out in the City of Edinburgh Council's Local Transport Strategy, that are relevant to specific University sites.*"

This Integrated Transport Plan 2017-21 has been developed to contribute to the objectives of key University strategies and policies. The University of Edinburgh Strategic Plan 2016 sets out our vision to be a truly global university, rooted in Scotland's capital city, making a significant, sustainable and socially responsible contribution to the world. The Strategic Plan commits to improving the local environment, ensuring sustainability and accessibility are built in to our estates, energy and transport policies and practices.

The University's Estate Strategy sets priorities for the estate that take seriously our social and environmental responsibilities. It specifically recognises the significant contribution that student and staff travel makes to the University Carbon Footprint, and commits to extending the range of measures already in place to encourage and facilitate sustainable travel.

The Integrated Transport Plan will contribute to the University's Zero by 2040 Climate Strategy. The actions to reduce car use, and promote active travel for the journey to work / study, inter-site travel and local business journeys will contribute to the ambitious carbon reduction target.

The Plan also supports our Equality and Diversity Strategy by committing to the delivery of actions that will improve access for all.

Understanding how we travel

The Integrated Transport Plan 2017-21 was prepared following a review of existing travel behaviour and the travel policies and measures the University has implemented.

Travel Surveys

To monitor the effect of the travel policy and progress towards targets the University has undertaken travel surveys since 2004. Since 2007 the travel survey has collected data to provide an estimate of the overall carbon footprint for commuter travel at the University.
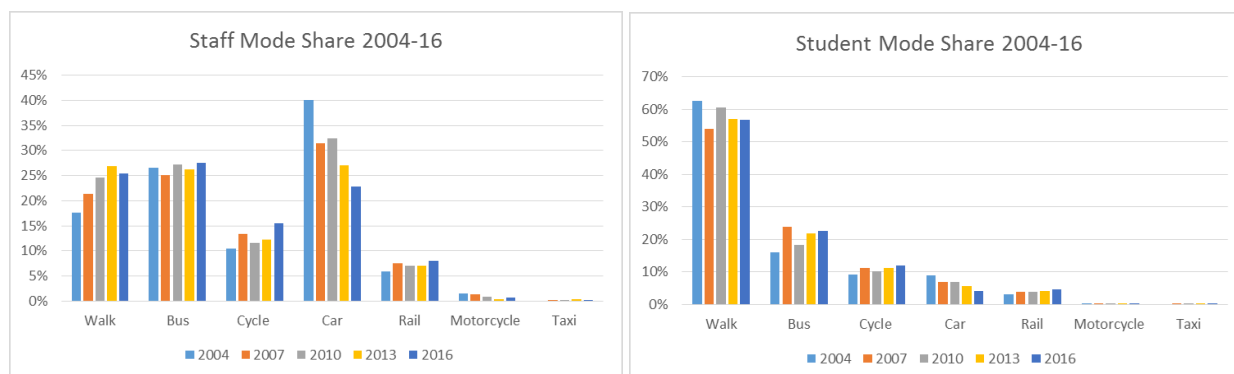
Travel behaviour change

Since 2004 the proportion of staff using a car to commute to work has decreased from 40% to 23%. A greater proportion of staff now walk, cycle or travel by rail. In 2004 just 9% of students

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[3] University of Edinburgh Transport and Travel Planning Policy (2010):
http://www.docs.csg.ed.ac.uk/EstatesBuildings/Transport/Policies/Transport%20and%20Travel%20Policy%202010.pdf

travelled by car, and by 2016 this had reduced to 5%. Over this time period the proportion of students using public transport, shuttle buses and cycling that has experienced growth.

Collectively the travel behaviour of our students and staff provides an overall mode share to compare against our target to exceed the City of Edinburgh Council's Local Transport Strategy (LTS) Mode Share Targets for 2020 (Table 1). The Council's targets are to increase walking, cycling and public transport and to reduce car use. The proportion of students and staff walking to University is far in excess of that of the Council's targets for 2020, and we have a significantly lower mode share for car use than has been set for the city. The only mode falling short of the target overall is cycling.

Table 1: City of Edinburgh Local Transport Strategy (LTS) transport method targets compared to University actual transport method share

Mode	City of Edinburgh Council - Travel to work mode share target 2020	University of Edinburgh Mode share 2016 (student & staff)
Walk	21%	48%
Cycle	15%	13%
Public Transport	32%	29%
Car	29%	9%
Other	2%	1%

On foot (including jogging and mobility scooter)
Walking, jogging or using a mobility scooter is the most popular mode of transport to commute to the University. The 2016 travel survey recorded 57% of students and 25% of staff travel on foot to University each day.

We encourage students and staff to travel on foot for the following benefits:
- Improved health and wellbeing
- Zero carbon emissions and other air and noise pollutants

Every student, member of staff, and visitor to the University accesses our estate on foot, whether that be for the whole journey, or from the bike parking space, the bus stop, rail station or car parking space. It is therefore critical that our buildings are easily and safely accessible on foot and by disabled people. The University will continue to develop an estate with clearly defined and signposted pedestrian access routes within a high quality public realm.

We will meet our 2021 target to increase the proportion of students and staff travelling on foot by implementing actions under the following themes:

Accessible routes

We will review pedestrian infrastructure within our Estate to identify and take action to ensure we have safe, accessible and legible routes. This will include the implementation of a signage strategy. We will work with the local authorities to ensure our pedestrian infrastructure connects with the local network, and identify where improvement is needed.

Support and encouragement

We will support and encourage students, staff and visitors to walk to the University through the development of communications and initiatives that raise the profile of walking as a healthy, enjoyable, zero carbon, zero cost way to travel to and between our sites.

Cycling

The popularity of cycling as a means of commuting to the University and across the city in general is experiencing growth, and this is attributable to a range of factors. The 2016 Travel Survey recorded that 13% of students and staff cycle to University. We have an excellent track record of providing infrastructure to support cycling, together with initiatives to encourage cycling including bike hire schemes, free bike maintenance and a cycle to work scheme for staff.

We will meet our 2021 target to increase the proportion of students and staff cycling by implementing a series of actions under the following themes:

Quality Infrastructure

Quality cycling infrastructure is fundamental to supporting and encouraging more people to cycle. This means convenient and accessible routes that feel safe and enjoyable to use, combined with the right facilities at the end of the journey to securely store a bike and the opportunity to shower and change. We will work with the local authorities to improve cycle routes to our sites, and incorporate the provision of quality cycle routes through our estate as part of the delivery of public realm master planning. The University's Capital Development Programme (CDP) will incorporate the provision of cycle hubs (high quality cycle parking, shower and changing facilities). In addition there will be a 4 year investment of c. £350k (funding already agreed) to increase provision for the wider estate. We will also ensure that the provision of infrastructure is effectively communicated through the development and provision of signage and route maps.

Affordable access to a bike

To encourage more students and staff to cycle they need easy and affordable access to a bicycle. Opportunities to try cycling before making the financial commitment of ownership can help individuals experience cycling and make an informed choice. Over the last 2-3 years the University has introduced a student bike hire scheme called UniCycles, and an electric bike pool scheme for staff called eCycle. We will evaluate both schemes and determine the longer term viability of further developing and operating bike hire schemes for the University. We are aware that the local authorities and transport operators are actively considering options to provide a bike hire scheme for the city. It is likely that there will be opportunities for the University to be closely involved both in terms of hosting hire facilities and utilising the scheme.

Training

Our students and staff tell us that one of the barriers to taking up cycling is a lack of skills and confidence cycling in traffic. We will continue to provide opportunities for students and staff to receive cycle training, working with the Healthy University project to increase participation. In encouraging our students and staff to cycle we also have a moral obligation to ensure they are informed and educated about how to do so safely and with regard to the safety of other road users. The University has a duty to ensure that staff driving on University business are doing so

with consideration to cyclists and that they directly contribute to making on-road cycling feel safer.

Community

The importance of peer to peer support and encouragement should not be underestimated in widening participation, particularly given the size and structure of the University. Our four existing Bicycle User Groups (BUGs) offer an opportunity to work with a community of cyclists to nurture a culture of participation. The Healthy University Project is aiming to encourage physical activity amongst our students and staff.

Through the project we have an opportunity to widen the support we provide to encourage our students and staff to cycle both as a means of commuting and increasing their physical activity levels.

Public Transport

Our 2016 Travel Survey shows that public transport use (including free shuttle bus services) is 4 percentage points below the City of Edinburgh Council LTS target of 32% for 2020. This is because the majority of students and staff walk or cycle, and we have a very low proportion of car users at just 12%.

The 2016 Travel Survey asked students and staff who do not currently use public transport (excluding walkers and cyclists), what would encourage them to use it on a regular basis (Figure 1&2). The most popular measure selected by 21% of students was "discounted travel", whereas for staff the most popular measure was "reduced journey time" (21%).

Figure 1: Results from the 2016 University of Edinburgh Student Travel Survey (3500 responses)
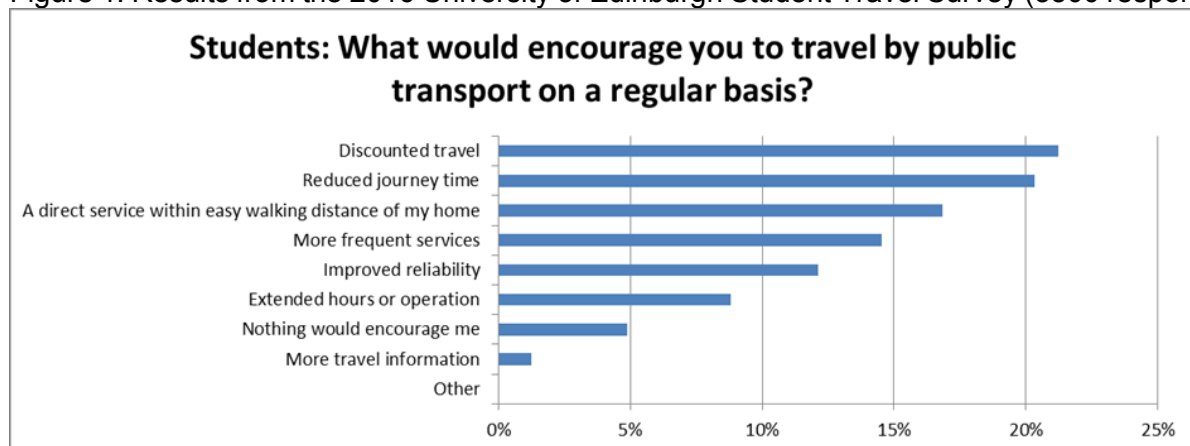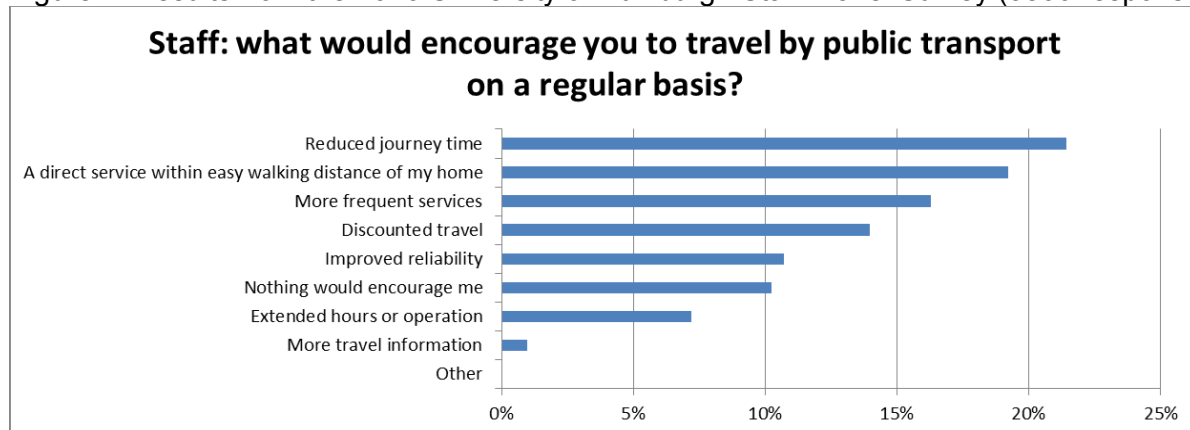

Figure 2: Results from the 2016 University of Edinburgh Staff Travel Survey (3800 responses)

The growing opinion amongst students is that public bus fares are too expensive, and that there should be both a cheaper student single bus fare, and cheaper season tickets.

To date the University has taken a non-strategic, site specific approach to the provision of public transport that has produced large inconsistencies across the University. The existing approach is inequitable because some students and staff benefit from access to free bus transport, but others have to pay. The free shuttle service connecting Central Area and King's Buildings has grown well beyond its original remit to provide inter-site travel to support the academic timetable of a small group of students and staff. The capacity and operation of the service has grown to such an extent that it is now relied upon for commuting journeys from home to place of work or study. This is primarily because users are attracted by the free fare - alternative public transport is available.

Elsewhere in the estate the University has worked with Lothian Buses to provide adequate public bus transport to enable the vast majority of students and staff to commute to their place of work / study, by paying the normal public bus fares. The only exception being that Undergraduate students of the Vet School receive a subsidy for their bus transport costs reflecting the greater distance they must travel to Easter Bush compared to other University sites. The University also provides a subsidy to Lothian Buses to support the continued operation of the Service 67 which serves Easter Bush, without which Lothian Buses would withdraw the service due to it being financially unsustainable.

As the University Estate continues to develop and expand we will place an increasing demand upon the public transport network. It is also increasingly likely that new student residences will be more geographically spread across the city, which will mean that more students will require access to quality, affordable public transport.

It is imperative that the University adopts a strategic approach to the provision of public transport that addresses the inequality of the provision of free or subsidised travel, secures cheaper public bus fares for students, improves access to bus services, and considers the longer term development of the Estate. Extensive consultation regarding bus service access was undertaken across the University during 2015 to support the development of the public bus actions contained in this plan, which will be implemented under the following themes:

Providing attractive student public bus ticket products
Supporting and encouraging our students and staff to use public transport for commuting and inter-site travel offers a sustainable strategy to support our growing University. To support Widening Participation we will endeavour to find appropriate means to introduce accessible ticketing for students from financially disadvantaged backgrounds and students experiencing financial difficulties. These products and initiatives will be available for all undergraduate and postgraduate students, regardless of their study location. The University will work with the higher and further education sector in Edinburgh and the Lothians to convince Transport for Edinburgh and Lothian Buses to offer lower-priced, affordable student ticket products. Following student feedback that pay as you go options are favoured over pre-paid season tickets, there will be a particular emphasis on securing a cheaper single fare for students.

Reduce dependency on the free King's Buildings Shuttle Bus Service
The free King's Buildings Shuttle Service has outgrown the original remit to provide inter-site travel for a small, defined group of students and staff with an urgent requirement to travel between sites to meet their academic timetable. It is now also being used as a free commuter service and for non-urgent inter-site travel, and is unable to provide for the demand being placed on it.

The King's Buildings Masterplan aims to consolidate College of Science and Engineering teaching to the King's Buildings site by 2030. This would dramatically reduce the number of

students and staff requiring to travel between Central Area and King's Buildings, and therefore the dependency on the Shuttle Bus Service for inter-site travel. Analysis undertaken by Timetabling Services indicates that based on the 2016-17 academic timetable this would remove 1,200 instances per day of students requiring to travel between Central Area and King's Buildings. The timeline for the implementation of the specific elements of Masterplan is to be determined, and it is therefore not possible at this time to determine exactly when consolidation of teaching will be delivered. The operation of the Shuttle Bus Service will be reviewed alongside the delivery of the masterplan, with the expectation that it will be gradually scaled back as inter-site demand reduces. Equally, the operation of the service during peak commuting times (pre-10am, post 4pm) will also be reviewed alongside the introduction of cheaper student bus fares, with the ultimate aim of students utilising more accessible public bus services to commute to King's Buildings.

In the short term, there is a requirement to resolve the capacity issues on the Shuttle Bus Service, to ensure that students and staff can travel between their academic and business commitments across King's Buildings and Central Area. Additional capacity was provided through allowing staff and students free use of the pre-existing public bus Service 41 for a trial period during Semester 2, 2016-17. Evaluation of this trial has shown that the costs associated were 350% higher than those of simply increasing shuttle bus capacity for the same period. Data from the trial also showed that the use of the 41 caused a further increase in demand rather than just providing additional capacity to the shuttle service, and resulted in capacity problems on the service 41.

Improving public bus services
The growing number of students and staff will place an increased requirement for additional capacity and potentially new routes on the public transport network.. We will maintain and develop our positive working relationship with Lothian Buses to plan public transport routes and enhancements alongside the implementation of the Estate Strategy.

Considering public transport access when developing the academic timetable
The University supports students who wish to pursue cross-curricular studies, but this does increase the likelihood that students have to travel between University sites to attend courses being delivered by different schools. Unfortunately, the dispersed nature of the Estate means that it can be physically impossible to attend consecutive lectures or tutorials without having to leave early or arrive late. The Personalised Timetable Service launched in 2016-17 will eventually offer students the ability to select optional modules and we will seek to ensure that travel implications and recommendations are included as part of this service.

Improving public transport information
The needs and expectations of our students and staff are diverse, and the provision of information on bus travel should reflect this. We will work with bus operators and transport authorities to improve access to public transport information, and consider how our own communication channels can be utilised.

Tram
Alongside actions to improve public bus provision we will continue to engage with the City Council's ongoing plans to develop the Edinburgh Tram network.

Rail
The highest rail transport share amongst students and staff is within the Central Area, which is within walking distance of Waverley Train Station. In the Central Area 28% of staff and 12% of students live outwith the city boundary, yet just 10% of staff and 5% of students commute by rail. There is an opportunity in the Central Area to grow the proportion of students and staff commuting by rail, however commuter rail travel is considered to be expensive, often overcrowded and unreliable.

As a major employer in the region we will convey the concerns of our students and staff to rail operators and seek to secure better services, more attractive season ticket deals and better information provision. We have already initiated discussions with Scotrail to introduce an incentive scheme to attract more staff onto rail for business travel purposes, and we intend to work with the other major rail operators to develop similar schemes both for business and commuting.

Reducing car travel

As the University Estate continues to grow, new buildings will be delivered across all of the main sites, accompanied by limited or zero provision of car parking (reflecting local and national government planning policy). The ratio of car parking spaces per student/staff will reduce to reflect this.

The strategies to encourage walking, cycling and public transport use are essential to support our students and staff to switch from car use.

Providing quality alternatives to the car does not necessarily address all of the reasons why people come to rely on the car as their main mode of transport. Other factors such as the overall cost of car travel versus public transport, the need to travel by car during the working day for business reasons, or to care for dependents must also be considered.

We will implement actions to reduce dependency on car use, with a particular focus on sites that are not yet within the City of Edinburgh Council Local Transport Strategy target of 29%. This target will not apply to Easter Bush Campus, which is outside the City of Edinburgh Council area and does not benefit from the same levels of walking, cycling and public transport access.

The University will continue to reduce and manage car dependency under the following themes:

Parking management

Parking management plays a critical role in encouraging a switch to sustainable methods of travel. The University's Parking Management System assigns parking permits based on the individual applicant's need to drive to work or study. It has been used successfully to manage the reduction in parking spaces in the Central Area, ensuring only those who can demonstrate a need to drive may park in University car parks. The parking management system will continue to support the development of the estate. In line with the Estates Accessibility Strategy, we will ensure all new and existing buildings include a proportionate allocation of disabled parking spaces (where planning legislation requires), accompanied by accessible routes to our buildings.

Use of personal vehicles for business travel

Just under 60% of University staff permit holders state they require to bring their car to work for business travel purposes for more than 5 days per month. If the business need for a car can be reduced or eliminated then so can the need to commute by car. The use of personal vehicles for business use is commonly referred to as the "Grey Fleet".

Actions set out in the public transport, walking and cycling plans will serve to support and encourage staff to utilise these alternative modes for business travel. Such alternative modes are not always appropriate, and in some instances the car offers the most practical method of transport. For staff with a daily requirement to use a car for business, their own vehicle offers the most practical solution. It is also the duty of the University to ensure that work related journeys are safe, staff are fit and are competent to drive safely and the vehicles used are fit for purpose and in a safe condition.

Staff with a less frequent need could instead use Enterprise Car Club or short term car rentals, which may work out cheaper per mile than grey fleet mileage, and produce lower CO2e emissions as the average age of hire vehicles is lower than that of privately owned vehicles.

Low Carbon Vehicles

The decarbonisation of road transport in Scotland is to be achieved in part through the mass adoption of plug-in electric vehicles, powered by renewable energy. The Scottish Government is also supporting the adoption of emerging low or zero carbon technologies including hydrogen fuel cell vehicles.

The Scottish Government is working with public and private sector organisations to provide the financial incentives and support to switch to low or zero carbon vehicles. From 2015-20 the Government will be focusing on: creating a public network of charge points; supporting the uptake of home recharging facilities; and providing charge points in the workplace.

To date the University has accessed Scottish Government funding to install twelve public electric vehicle charging points. These are located in the Central Area, King's Buildings and Pollock Halls. The charging points form part of a Scotland-wide network of public charging points.

The targets will be delivered by actions under the following themes:

Commuting

There are approximately 2,600 University parking permit holders using combustion engine cars (with the exception of 10 electric car drivers). The 2016 Travel Survey report estimates that just over 7,000 tonnes of CO_2e are emitted annually by the vehicles used by students and staff who travel to work and study by car.

As an incentive to use an electric vehicle, students and staff who are eligible for a parking permit and have an electric vehicle do not pay to park at the University, nor are they charged a fee to charge their vehicle using one of the University charge points. There are currently 10 electric vehicle permit holders. The existing provision of charging points is adequately serving these permit holders who require the certainty of being able to charge their car at their workplace.

In order to support the target to grow the number of electric vehicle permit holders to 50 by 2021, the University will need to provide a similar number of charging points across the estate. The University will continue to apply for government funding to provide more electric vehicle charging points and continue to work in partnership with the City of Edinburgh Council and large employers to contribute to the development of a strategic network of charging points in the city.

The 2016 Travel Survey asked car drivers why they have not yet switched to an electric vehicle. Almost half of the respondents said that it is because the upfront costs of purchasing an electric vehicle are too high. Promoting an awareness of the cost savings from switching to an electric vehicle will help to increase their uptake. We will commit to the provision of free parking permits for electric vehicles, and access to free charging points until 2021 for our staff and students. This will provide a degree of financial certainty when considering an electric vehicle. There will be an annual review of electricity consumption and cost and the two initiatives will be reviewed in 2020. We will also investigate the feasibility of offering a salary sacrifice scheme for staff to purchase electric and low carbon vehicles, which could offer a further 30-40% saving on the cost of purchase.

University Fleet

The University has a fleet of 143 vehicles, of varying type and fuel used, which emitted 436 tonnes of CO2e in 2015/16 (latest data available).

Large and small diesel vans make up the largest component of the fleet at 43%. Over the last 5 years low or zero carbon vehicles have successfully entered the fleet to replace traditional diesel or petrol vehicles. These vehicles are based in the Estates Department and include 6 small electric vans, 4 petrol hybrid cars and a diesel hybrid transit van.

The Transport Office will work with University Fleet Vehicle Coordinators to undertake a review of the fleet to identify where electric or low carbon vehicles can replace petrol/diesel engine vehicles. Events will be arranged for Vehicle Coordinators to be updated on low carbon and electric vehicles, including opportunities to meet with manufacturers and test-drive vehicles.

In addition to pure electric vehicles there are a variety of low carbon vehicle technologies which may be more appropriate for some parts of the University fleet, and for staff and students. These include petrol and diesel hybrid technology, hydrogen fuel cells and Biofuels.

A substantial increase in the provision of charging points will be necessary to support the fleet. This will be addressed by continuing to secure Government funding for charge point infrastructure (in tandem with providing for University car parking permit holders).

Business travel
During 2015-16, University staff travelled 700,000km in hired vehicles for University business, emitting 130 tonnes CO_2e. We have an opportunity to work with our vehicle hire suppliers and the Enterprise Car Club to provide opportunities for staff hiring vehicles for business journeys to use electric and low carbon vehicles.

References

University of Edinburgh Strategies and Policies:

- Strategic Plan 2016
- Equality and Diversity Strategy
- Zero by 2040, Climate Strategy 2016-2026
- Estates Department Accessibility Policy 2017-19

Other:

- Local Transport Strategy 2014 – 2019, City of Edinburgh Council
- Switched On Scotland: A Roadmap to Widespread Adoption of Plug-in Vehicles, Transport Scotland

CENTRAL MANAGEMENT GROUP

29 August 2017

Drinking Water Policy Review

Description of paper

1.   The purpose of this paper is to _update_ CMG on a review of drinking water around campus and the University Drinking Water Policy and to provide an opportunity to comment on next steps proposed.

Action requested

2.   CMG is requested to _note_ the progress and proposed policy updates and invited to provide any comments.

Background and context

3.   As a socially responsible institution, the University of Edinburgh aims to benefit society as a whole. Drinking water is an issue that concerns students and staff and connects to health and well-being, economics, and environmental sustainability. Research has linked improved hydration to better concentration and learning outcomes[1].

4.   The University of Edinburgh has a policy on Drinking Water (2009) which sets out our commitments and expectations in this area. The University's Good Food Policy (2016) (sec 2.2.e) commits us to "provide free tap water in all the catering outlets and buildings and encourage staff and students to use tap water in preference to bottled water".

5.   In a 2016 survey of students and staff (with approx. 4000 respondents) across a variety of social responsibility and sustainability (SRS) topics, one of the top five issues raised was access to free drinking water on University premises. This was discussed at an autumn meeting of the SRS Committee with questions around whether this was a communications gap or an infrastructure gap.

6.   In order to address this issue, a project was commissioned by Estates together with the Students' Association and the Department for SRS. An intern was recruited for the project and situated within the Estates Building Services team to carry out the gap analysis and provide recommendations for next steps.

Discussion

7.   Research was conducted to create an inventory of existing drinking water points and to understand the perception of drinking water provision amongst the University community[2]. A specific water related survey was completed by 467 respondents over 10 days[3]. Interviews were conducted with key stakeholders (Estates, Students Association, ACE and SRS). Practices of other organisations were reviewed along

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[1] For example: Edmonds CJ, Crombie R, Gardner MR. Subjective thirst moderates changes in speed of responding associated with water consumption. Frontiers in Human Neuroscience. 2013 Summarised on http://www.medicaldaily.com/stay-hydrated-stay-smart-quenching-thirst-water-boosts-brain-power-247723

[2] In order for the project to be manageable within a short time period, it focussed on Central and Kings Buildings.

[3] 69 percent of respondents were undergraduate. 19 percent postgraduate. 11 percent staff. 1 percent visitor. 19 percent outside of the EU (international). 35 percent Scottish. 23 percent rest of UK. 23 percent elsewhere in EU.

with regulatory requirements. The impact of the existing Drinking Water Policy 2009[4] was reviewed with reference to the current provision on University premises.

Key findings:

8.   The review demonstrated that there are improvements that can be made both in terms of our <u>provision of water</u> and in terms of <u>how we communicate</u> water availability.

Provision:

9.   Approximately 60 percent of survey respondents felt there was an insufficient provision of drinking water points on the premises[5]. When asked why they purchase bottled water, the majority noted that they could not find water stations / fountains OR that there were not enough fountains. Respondents also raised concerns over pressure/flow rate and water temperatures.

10. An inventory of drinking water points also took place, including fountains, kitchenettes, tea points and water coolers (bottled or mains-fed) to understand specific location issues.

Attitudes to bottled water:

11. The majority of respondents (54%) noted tap water as their preference with others noting coolers/dispensers (23%); filtered water (11%). The survey found only few respondents (7%) actually preferred bottled water. The purchase of bottled water is therefore mostly the "last option" where the supply and access to drinking water does not match the demand. There were also suggestions to build on successful campaigns at Roslin and at the Business School on promoting reusable water bottles.

Quality:

12. As part of the review, a sampling of drinking water points was carried out for six critical buildings to check the wholesomeness of water and support the establishment of a rolling testing programme for the University premises, by the Water Control Officer. All the samples were tested and complied for potability by an independent accredited laboratory[6].

Cost (financial and environmental):

13. Drinking from single use plastic bottles not only means water for students is more expensive (as students have to pay for water each time) but it also has costs for the University financially and in terms of environmental impacts.

14. Based on Waste and Recycling 2015 audit data and other assumptions[7], it is estimated that one-fifth of the waste and recycling uplifted is comprised of plastic bottles from water and other drinks. The plastic from Kings Buildings Library and Central Library combined could be in the range of 2.8 tonnes of plastic from bottled

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[4] http://www.docs.csg.ed.ac.uk/estatesbuildings/policies/Drinkingwaterpolicy.pdf
[5] Survey focussed on Central and KB
[6] DWRS National regulations set the limit values of the parameters for the water to be considered wholesome. There is no regulated value for the Total Viable Count, the University of Edinburgh set its own thresholds.
[7] based on WRAP data on Plastic flow and Plastic Packaging Composition
http://www.wrap.org.uk/sites/files/wrap/Plastics_Market_Situation_Report.pdf

water alone every year. 1 tonne is roughly equivalent to 25,000 plastic bottles[8]. Reduction of waste will save the University money and have environmental benefits.

15. Students would also save money by having improved access to free drinking water which will likely have an impact on overall student satisfaction.

Other approaches:
16. A review of other organisational practices has also taken place. Universities such as Leeds have had plastic water bottle bans in place for many years. Similar approaches can be found at many Asian, US and Canadian universities. At City University London, branded water bottles can be purchased at various outlets across the campus and all water provided for in-house hospitality is filtered and bottled on site into reusable glass bottles. No plastic bottles are provided. At Oxford Brooks, all new developments and major refurbishments will provide filtered and chilled mains water.

Policy Review and Recommendations
17. The current Drinking Water Policy (2009) has key areas relating to infrastructure, catering, and testing. The main findings from the research are summarised in the following table in relation to each of the policy strands.

Table 1: Policy Findings and Recommendations

Current Policy 2009	Key Findings 2017 Review	Proposed new Policy 2017
Free-standing Bottled Water Coolers should not be located on University premises. Existing units should be removed.	*The majority of stand-alone Bottled Water Coolers have been removed from the University premises, but there is still a small number remaining, as evidenced by a buildings survey.*	Free-standing Bottled Water Coolers should not be located on University premises. Existing units should be removed. (same as 2009 policy)
Staff should draw off water for drinking from identified Drinking Water Taps. If chilled water is required refillable bottles of tap water should be placed in a fridge to cool.	*New policy needs to relate to students, staff and visitors.*	Students, staff and visitors should have access to drinking water from drinking water stations distributed across University Campuses. Students, staff and visitors should be discouraged from accessing drinking water from outlets located in workshops, toilets, laboratories and areas under construction in the interest of hygiene and safety.
Drinking water points should be provided in convenient locations and clearly identified.	*A consistent approach to appropriate signage that identifies potable drinking water points is missing in the majority of buildings. The community is generally aware that drinking from labs and workshops is not advised, however, a minority of the University community still refill water bottles in sinks located within toilets, despite the*	Drinking water stations shall be provided in convenient locations, they should be adequate in number and clearly identified. The design standards for new buildings and major refurbishments should make a suitable and sufficient provision for drinking water stations.

	hygiene risks. There is a gap in provision of drinking water points.	
Caterers serving University premises should no longer provide bought-in bottled water. Drinking water for meetings and events should be provided in jugs or in bottles filled from the tap. These may be cooled in a fridge beforehand if the weather is very hot.	*Caterers have continued to provide bottled water as part of the service offering and at events. A lack of suitable drinking water points adjacent to where events or meetings are being held is a contributing factor towards this part of the original policy being implemented.*	Catering servicing University events shall provide drinking water from taps wherever possible.
Only in exceptional circumstances should Plumbed-in Water Coolers be installed. Only approved units must be installed and under supervision of Estates & Buildings with installation and running cost paid by requesting School or admin unit.	*All the Plumbed-in Water coolers are now responsibility of single departments or business Units.*	Only in exceptional circumstances should Plumbed-in Water Coolers be installed, which must be subject to written approval by Estates and the installation and running cost are to be paid by the requester.
A rolling programme of testing of potability of water from drinking water taps to be undertaken	*Water tanks are tested quarterly for water temperature to ensure compliance with Health and Safety regulations and in addition buildings are regularly checked for Legionella, however, a rolling programme to specifically test potability of water has not been undertaken.*	A rolling programme of testing of potability of water from drinking water stations is to be undertaken and managed by Estates.
	Recommendation to improve communications and promote reusable bottles on campus.	Education/outreach activities will be supported which promotes access to free drinking water, together with seeking to reduce plastic.

Proposed Actions

18. An action plan has been developed to address the gaps. The project would first focus on improving provision in areas with the least availability of water, and then roll out across the University. It is proposed to phase this across 8 years to limit the year on year capital request and to spread the cost but it could be compressed to a shorter time period pending resources.

- **Phase I**: 215 new water installations, 68 stations upgraded, signage across 283 points, online app and water bottle promotion with ACE and student engagement (design competition) with Students' Association. Water testing all campuses.
- **Phase II:** 50 new water installations with signage. Continued communications campaign and water testing across all campuses.

		17/18		18/19		19/20		20/21		21/22		...	...	...
Policy Review	▓													
Proposal Development	▓													
Confirm Investment		▓												
Infrastructure														
Phase I			▓	▓	▓	▓	▓	▓	▓					
Replace and Install			▓	▓	▓	▓	▓	▓	▓					
Phase II									▓	▓	▓	▓	▓	▓
Replace and Install									▓	▓	▓	▓	▓	▓
Testing			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Communications & Engagement														
Student Engagement - Water Bottle Design / Competition			▓											
Water Point App			▓	▓										
Signage			▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓
Promotion and wider campaign			▓		▓		▓		▓		▓		▓	▓

19. *Infrastructure*

- New installations and upgrades are proposed and others would be upgraded. This would address gaps where water provision is insufficient and upgrade existing water fountains to water stations (subject to adequate water pressure being available).
- (A capital budget request to Estates Committee is being proposed. Based on a provisional rule of thumb of 1 per 1000 m^2 for all buildings over 1000 m^2 with high footfall. This would exclude some buildings with extensive research laboratories and research facilities[9].)
- Establish a rolling water testing programme of potable water, to provide evidence and reassurance, in regard to the safety and quality of drinking water available on University Premises, evaluating compliance to the Scottish Water and University parameters (*Coliform*, *E. coli, TVC*).
- Ensure provision as part of new developments / capital projects.

20. *Communications and Awareness Raising*

- Proposed installation of suitable and sufficient signage to ensure health and safety of the University Community (see Appendix 2 for examples). Capital budget requested.
- Development of a Water Point App to improve communications of location and access to drinking water stations across the University Campuses. Switching to GIS software will facilitate asset management and decision making.
- Educational initiatives and outreach, together with communications to promote access to drinking water stations within University Premises, together with involvement with the student community, including water bottle development and roll out.

21. *Policy Updates*

- Update the Water Policy to reflect the requirements of the University Community. Suggestions are noted in Table 1 and Appendix 1 provides proposed updates[10].

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[9] There is no standard, at least European, establishing how many drinking water fountains it's fair to install according to the size of a building and number of people. After consultation and discussion with the staff of the Estates Department and considering the size of the Estate itself, we decided to adopt this as best practice. However, in the budget draft, this rule is explained to be sometimes flexible: some buildings do not need of a fountain every 1000 m2 (such as research facilities) while others instead may need more than 1 every 1000 m2 ("high-traffic" area).

[10] Reviewed already by Estates, SRS, ACE, Students' Association. Needs H&S review as well.

- Estates, Students Association, ACE and the Department for SRS will monitor the impact of the policy and communicate on progress.

Resource implications
22. Following further review by Estates and by others in CMG a proposal and business case to Estates Committee would be planned for the September 2017 meeting.

23. A phased approach to investment is proposed aimed at minimising year on year capital investment requirements. This could be compressed pending resources and feedback.

	PHASE 1				
	Y1	**Y2**	**Y3**	**Y4**	**TOT**
Total Capital Investment	£ 130,000.00	£ 55,000.00	£ 65,000.00	£ 65,000.00	£ 315,000.00
Total Revenue Costs	£ 24,000.00	£ 28,000.00	£ 35,000.00	£ 44,000.00	£ 131,000.00
	PHASE 2				
	Y5	**Y6**	**Y7**	**Y8**	**TOT**
Total Capital Investment	£ 50,000.00	£ 25,000.00	£ 12,500.00	£ 12,500.00	£ 100,000.00
Total Revenue Costs	£ 45,000.00	£ 47,000.00	£ 50,000.00	£ 50,000.00	£ 192,000.00

24. The estimated investment required to meet a high standard of water provision across all University properties is £415,000 (capital) over 8 years with revenue costs of £24,000 in Year 1 and growing due to increased availability of drinking water points. This amount includes costs related to new installations, general improvement of the current facilities, signage and water testing programme. A detailed budget is in Appendix 3.

Risk Management
25. A risk assessment has been carried out looking at the potential risks, likelihood, impact and management mitigation strategies including reputation, student satisfaction, health and safety, environment, and financial risks.
- The proposed changes would help to contribute to reputational risk management.
- There is potential for sales of bottled water at University shops and cafes to decrease.
- Improving access to free drinking water will have multiple benefits across the University. Implementation of the action plan would need a coordinated approach between Estates, ACE, SRS and the Student's association to avoid a risk of launching a new policy before infrastructure is in place.

Equality & Diversity
26. Equality and Diversity considerations are implicitly included in the Drinking Water Policy. Providing access to free drinking water, which is recognised as a basic and universal human right and removes background differences in the University community. Drinking stations identified and costed for installation would be wheelchair accessible.

Next Steps

27. Following feedback by CMG, further develop business case and proposal for Estates Committee. Seek confirmation of investment and roll out infrastructure improvements and awareness raising campaign.

Consultation

28. The paper has been prepared by the Estates Department, SRS and the Edinburgh University Students' Association. Reviewed by Director of SRS, Director of Estates, and Assistant Director Estates Operations. Staff and students were surveyed as input to the project.

Further information

29. Prepared by: Jenna Kelly, Past, EUSA Vice President; Vincenza Verdicchio, Drinking Water Project Coordinator; Sheila Scott, Building Services Manager; Michelle Brown, Head of SRS Programmes; Joseph Farthing, Communications Manager of SRS Department.

30. Presented by: Grant Ferguson, Assistant Director of Estates & Head of Estates Operations

Freedom of Information

31. This paper is open

Drinking Water Policy (2017)

THE UNIVERSITY *of* EDINBURGH

Draft

1. Purpose

The University's Strategic Plan 2016 states that "as a truly global university, rooted in Scotland's capital city, we make a significant, sustainable and socially responsible contribution to the world". As part of our strategic objectives we have committed to supporting the resources and facilities needed for students' mental and physical well-being. Our strategy also commits us to ensuring sustainability and accessibility are built into our estates.

This policy is a key element of this vision. Drinking water is an issue that concerns students and staff and connects to health and well-being, economics, and environmental sustainability.

This is a proposed update to our current policy: available at
http://www.docs.csg.ed.ac.uk/estatesbuildings/policies/Drinkingwaterpolicy.pdf

2. *Expectations and Commitments*

1. Free-standing Bottled Water Coolers should not be located on University premises. Existing units should be removed.

2. Students, staff and visitors should have access to drinking water from drinking water stations distributed across University Campuses.

3. Students, staff and visitors should be discouraged from accessing drinking water from outlets located in workshops, toilets, laboratories and areas under construction in the interest of hygiene and safety.

4. Drinking water stations shall be provided in convenient locations, they should be adequate in number and clearly identified.

5. The design standards for new buildings and major refurbishments must make a suitable and sufficient provision for drinking water stations.

6. Catering servicing University events shall provide drinking water from taps wherever possible.

7. Only in exceptional circumstances should Plumbed-in Water Coolers be installed, which must be subject to written approval by Estates and the installation and running cost are to be paid by the requester.

8. A rolling programme of testing of potability of water from drinking water stations is to be undertaken and managed by Estates.

9. Education/outreach activities will be supported which promotes access to free drinking water, together with seeking to reduce plastic.

3. Responsibility and scope

This policy has been developed by the Estates Department, the Department for Social Responsibility and Sustainability (SRS), the Department for Accommodation, Catering and Events (ACE) and the Students' Association.

4. Implementation and review

This policy will be prominently displayed for visitors at events venues and on our website. Estates and SRS will coordinate a policy review every 3 years to respond to new developments and meet evolving best practice in the sector.

5. Equality and diversity

Due consideration of equalities duties has been included with the policy review.

6. Support

SRS can provide contacts and advice regarding this policy for staff or students. Press or media enquiries should be directed to the Press Office.

7. Approval and review

Consultations held	The policy was originally developed in 2009 and reviewed and updated in 2012. A review was carried out in 2017 with further updates made. Input was gathered through a variety of channels in 2016 and 2017.
Final approval by *Cross check with H&S*	Gary Jebb (Director of Estates) Dave Gorman (Director of Social Responsibility & Sustainability) – XX Ian Macaulay (Assistant Director Catering) – XX Alastair Reid (Director of Health & Safety) - XX
Date policy approved	June 2017 (tbc)
Date of commencement of policy	Immediate
Dates for next review of policy	May 2020

8. Contact

For further information, or if this policy is required in an alternative format, please contact Jane Rooney at jane.rooney@ed.ac.uk.

Appendix 2: Examples of Proposed Signage

Appendix 3: Budget

PHASE 1	PROPOSAL NUMBER	TOTAL INSTALLATION COST (incl. trade services, plumbing works and VAT)	ITEM COST (incl. VAT)	TOTAL COST
CAPITAL NEW DRINKING WATER INSTALLATIONS	218	£ 960.00	-	£ 210,000.00
UPGRADE OF CURRENT DRINKING WATER STATIONS	37	£ 660.00	-	£ 25,000.00
COLD WATER SERVICES INFRASTRUCTURE (PROVISIONAL SUM)	-	-	-	£ 75,000.00
SIGNAGE	-	-	£ 10.00	£ 5,000.00
TOTAL CAPITAL COSTS				£ 315,000.00
REVENUE STAFF INTERNSHIP MAP APP	-	-	-	£ 4,000.00
MAINTENANCE	255	-	£ 72.00	£ 120,000.00
WATER TESTING	200	-	£ 35.00	£ 7,000.00
TOTAL REVENUE COSTS				£ 131,000.00

Phase 2	PROPOSAL NUMBER	TOTAL INSTALLATION COST (incl. trade services, plumbing works and VAT)	ITEM COST (incl. VAT)	TOTAL COST
CAPITAL NEW DRINKING WATER INSTALLATIONS	51	£ 960.00	-	£ 49,000.00
UPGRADE OF CURRENT DRINKING WATER STATIONS	37	£ 660.00	-	£ 25,000.00
COLD WATER SERVICES INFRASTRUCTURE (PROVISIONAL SUM)	-	-	-	£ 25,000.00
SIGNAGE	-	-	£ 10.00	£ 1,000.00
TOTAL CAPITAL COSTS				£ 100,000.00
REVENUE Maintenance	50	-	£ 72.00	£ 190,000.00
WATER TESTING	50	-	£ 35.00	£ 2,000.00
TOTAL REVENUE COSTS				£ 192,000.00

CENTRAL MANAGEMENT GROUP

29 August 2017

Assistance Animals Policy

Description of paper

1.   The purpose of the policy is to provide clear guidance on dealing the issues and potential challenges presented by the presence of Assistance Animals on University premises. It also aims to clarify the University's legal duty as a public authority in relation to the Equality Act (2010).

Action requested/Recommendation

2.   The Central Management Group is asked to approve this policy

Background and context

3.   The policy has been produced to clarify the University's legal duty and position regarding Assistance Animals and to differentiate between these and animals used for therapeutic purposes (eg animals which act as a means of keeping individuals calm).

4.   The need for policy was specifically prompted by challenges faced by Accommodation Services due to the growing number of requests from students to bring animals into University accommodation.

5.   The policy clarifies our legal duty in relation to disabled people and the Equality Act 2010.

Discussion

6.   The policy has been produced to ensure that the University does not discriminate against disabled people who utilise the support of Assistance Animals, usually dogs.

7.   Some Assistance Dog users have raised concerns regarding the University's effectiveness in responding and providing necessary facilities for assistance animals and also the inconsistency of approach and response throughout the organisation.

8.   It is hope that by providing policy and accompanying guidance, a consistent and non-discriminatory position can be adopted and maintained.

9.   It is also intended to highlight the responsibilities of Assistance Animals' owners and/or handlers when bringing the animal onto a University campus or premises.

Resource implications

10. There are no resource implications related to the adoption and communication of the guidance.

Risk Management

11. There is a potential risk of disability discrimination taking place if the policy is not implemented.

Equality & Diversity

12. The policy is specifically aimed at minimising the possibility of disability discrimination. An Equality Impact Assessment has been completed and can be made available.

Next steps & Communication
13. Schools have recently been asked to identify a senior nominated point of contact for ensuring that disabled student adjustments are met. This policy will be sent to these nominated individuals, plus other key managers in support groups and Colleges, for cascading as appropriate

Consultation
14. The draft paper has been seen and commented on by the Student Disability Committee, the Vet School, Accommodation Services, an Assistance Dog user and a trainer, the Assistance Dogs UK organisation and the University of Edinburgh Legal Department.

Further information
15. Further information available from:

16. *Author*   *Presenter*
     Sheila Williams   Gavin Douglas
     Director, Student Disability Service   Deputy Secretary, Student Experience

Freedom of Information
17. Open.

University of Edinburgh Policy on Assistance Animals (Dogs)

1.   Introduction

The University of Edinburgh generally prohibits individuals from bringing animals inside any University owned, leased or controlled buildings, vehicles or structures.

However, the University recognises that a dog kept and used by a disabled person (as defined by the Equality Act 2010) wholly or mainly for the purpose of assisting that person to carry out day to day activities (an "**Assistance Dog**"), will require access to the University's estate, relevant buildings and University-owned student accommodation.

2.   Assistance Dogs

Assistance Dogs are trained by members of Assistance Dogs (UK) (http://www.assistancedogs.org.uk/) or by an equivalent organisation in another country.

Assistance Dogs (UK) is a coalition of Assistance Dog organisations, individual members of which are listed below, and the Assistance Dogs are required to have:

> • a formal identification in the form of branded jackets or lead slips.
> • a yellow ID booklet from the Assistance Dogs (UK) member organisation. This ID book contains information about the Assistance Dog and its owner, and details of the training organisation who trained the Assistance Dog.

Assistance Dog owners should therefore be in a position to evidence that their dogs are certificated Assistance Dogs – and NOT pets with a therapeutic purpose. See section 5.

There are eight registered charities that form Assistance Dogs (UK). These are:
1. Canine Partners
2. Dog A.I.D. (Assistance in Disability)
3. Dogs for Good
4. The Guide Dogs for the Blind Association
5. The Seeing Dogs Alliance
6. Hearing Dogs for Deaf People
7. Medical Detection Dogs
8. Support Dogs

Assistance Dogs have formal identification and are permitted to accompany their owners at all times and in all places within the United Kingdom (unless there is a genuine health and safety risk).

Please note that Assistance Dogs are highly trained working dogs, performing tasks to assist disabled persons.

Members of the University community should not:
- touch or feed an Assistance Dog, unless invited to do so by their owner;

- deliberately distract or startle an Assistance Dog; or
- separate or attempt to separate an Assistance Dog from the person using the Assistance Dog's service.

3. Assistance Dogs on University premises

Assistance Dogs are permitted to access all University premises under the control of their handlers (or where necessary in order to control the Assistance Dog for a short period of time, someone other than the handler), who may be students, staff members or visitors to the University.

When Assistance Dogs are in University properties, their owners must comply with the following guidelines:

A. Information
Assistance Dog owners shall provide information about the animal and its tasks/duties, if reasonably requested by University staff.

B. Identification
Assistance Dog owners must ensure that their Assistance Dogs are clearly identifiable by the use of special collars, harnesses and/or ID tags when on duty.

C. Insurance
Assistance dog owners are responsible for ensuring that their assistance dogs are covered by full liability insurance.

D. Access restrictions
Assistance dog owners must respect access restrictions established by the University on grounds of health and safety. Assistance dog owners must ensure that Assistance Dogs do not enter staff and students' privately assigned spaces, such as bedrooms and flats within residences, without permission.

E. Animal misbehaviour
Preventing and correcting Assistance Dogs' misbehaviour is the owner's responsibility. Assistance Dog owners must make sure that their Assistance Dogs do not cause harm or injury to others and damage to University property.

F. Cleanliness
Registered blind people are not required to clean up after their Assistance Dogs but they are expected to have received the appropriate training to avoid dog waste on campus. Assistance Dog owners must take responsibility for the clean-up of the animal's waste, consistent with reasonable capacity. Assistance Dog owners shall use reasonable endeavours to use the designated spending (toileting) areas identified by the University.

In the unlikely event that the Assistance Dog does spend outside of these designated areas, the Assistance Dog owner must report this to **the Estates Helpdesk** (estates.helpdesk@ed.ac.uk or 0131 650 2494 x 502494) who will make arrangements for the area to be cleaned and sanitised.

G. Animal care and supervision

Animal care is the Assistance Dog owner's responsibility. The owner ensures regular health checks, vaccination and an adequate standard of grooming of the Assistance Dog. Assistance Dog owners must ensure the Assistance Dog has its requirements in relation to feeding, watering and toileting fully met. Owners must ensure that Assistance Dogs are kept on a lead at all times when walking around the University's estate or are safely restrained when unsupervised for short periods of time.

H. Animal training

Assistance Dog owners are responsible for any additional training needs for their assistance dogs and for the correct and safe performance of their duties.

4. Assistance Dogs from other countries

There may be occasions where students, staff members or visitors to the University from other countries request that their Assistance Dog accompanies them. As long as the dog is trained by an organisation equivalent to one of the member organisations of Assistance Dogs (UK), this is acceptable.

5. Therapy and Support Animals

Therapy and support animals are different to Assistance Dogs and will only be permitted in University premises on a case-by-case basis, with the prior written agreement of the University.

6. Pets

This policy deals explicitly with Assistance Dogs, and not pets. A student shall only be permitted to bring his/her pet to University premises if separate policy (specific to such premises) allows this.

7. Conflict Situations

Removal of Assistance Dog

The University reserves the right to remove or bar entry to an Assistance Dog when it poses a direct threat to the health & safety of others. Unresolved animal misbehaviour may also provide grounds for removal, after all reasonable measures have been taken to address this.

Damage

Assistance Dog owners are responsible for any damage to persons or University property.

Restricted access

The University may restrict access of Assistance Dogs to certain areas for health and safety reasons. Restricted areas may include research laboratories, medical facilities, areas where protective clothing is required, boiler rooms, etc. Applications for exceptions will be reviewed on a case-by-case basis.

Conflicting disabilities

Where an Assistance Dog poses adverse health risk to an/other student/s, the University will seek medical documentation from the affected party/parties to determine suitable alternative and equitable arrangements for either or both parties.

Religious or cultural conflicts

Religious or cultural beliefs cannot be used to prohibit access to Assistance Dogs and their owners.

Complaints

Any issues in relation to assistance dogs on University premises that cannot be resolved informally should be raised in accordance with the University's complaints handling procedure.

July 2017

THE UNIVERSITY of EDINBURGH

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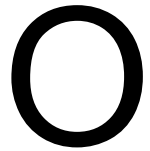
CENTRAL MANAGEMENT GROUP

29 August 2017

Data Steward Role

Description of paper
1.   Following CMG's agreement in January 2017 to formalise the role of Data Steward, this paper addresses the actions from that meeting and the next steps for implementation of the role across the University.

Action requested
2.   CMG is asked to approve:
   a. the catalogue of golden copy data sources, including data steward appointments for the core golden copy data sources (Appendix A);
   b. the formal definition of the data steward role (Appendix B);
   c. the proposal that Heads of Colleges and Support Groups should be accountable for appointing Data Stewards in their organisations, in line with their overall accountability for information security (see paragraph 13).

Background and context
3.   Data is a core asset of the University as the effective operation of the University is dependent upon accurate, up-to-date data to inform decision-making. It follows that providing and controlling access to these data sets is a core University function.

4.   The proposed Data Steward role will be responsible for ensuring the security, access, documentation and quality of a particular "golden copy" data set.

5.   In January 2017, CMG approved the proposal to establish Data Stewards across all of the University's core business datasets, and asked the Enterprise Architect to take forward the following tasks:
   a. Create a catalogue of golden copy data sources.
   b. Create the formal definition of the data steward role.
   c. Create a list of data stewards for the first tranche of core golden copy data sources.
   d. Seek formal approval of a, b, and c above at a subsequent CMG meeting.
   e. Following CMG approval, roll out the new role as a formal project including developing procedures to support data stewards in this role, communications, and to develop a community for data stewards to share experience and support.

Progress report
6.   The heads of each relevant Level 4 Business Unit were asked to appoint a Data Steward for each golden copy data set managed within their business unit. The following business units have appointed or agreed to appoint Data Stewards:
   a. CSG:
      i.   Estates
      ii.   Finance
      iii.   Procurement
      iv.   Accommodation, Catering & Events

b. USG:
    i.   Student Systems
    ii.   Human Resources
    iii.   Development & Alumni
    iv.   Strategic Planning
    v.   Careers
c. ISG:
    i.   Learning Teaching and Web
    ii.   Library and User Collections
    iii.   Applications

The following units have yet to respond:
a. CSG:
    i.   Health and Safety

7.   Business units are taking different approaches to the appointment of data stewards. Whilst accountability remains with the Head of Support Group or College, some have chosen to keep the core responsibility at a senior level and delegate the detailed administration to the service managers; others have chosen to delegate the responsibility to their service managers. Both approaches are acceptable.

8.   Appendix A sets out the first release of the golden copy data catalogue, along with the recommended data stewards for each data set.

9.   The response to this initiative has been positive. Feedback has been constructive and has helped to clarify the definition of the Data Steward role.

10. The formal definition of the Data Steward role is detailed in Appendix B. Under this definition, Data Stewards will be responsible for ensuring that appropriate procedures are in place to support the following aspects of data governance for their data sets:
a. Security
b. Access
c. Documentation
d. Quality Assurance

11. The key responsibilities of the role are set out below. Data Stewards must:
a. satisfy themselves that adequate security measures are in place for the data;
b. classify data items into the levels of confidentiality described in the Information Security Policy;
c. approve the release of data to any third party;
d. review, at least annually, the list of staff and systems who have access to the data;
e. ensure the data under their stewardship is documented to an agreed standard;
f. define acceptable levels of quality to ensure that the data under their stewardship is accurate, consistent and up to date;
g. ensure that checks are carried out to measure data quality.

12. Data Stewards will be supported in their work by other groups, including the Data Governance Group, the Information Security Division, and the Enterprise Architecture Section.

13. It is proposed that Heads of Support Groups and Colleges are accountable for ensuring that Data Stewards are appointed for each major data set within their areas of responsibility. This is aligned with the refreshed Information Security Policy, which will recommend that Heads of Colleges and Support Groups are accountable for information security within their areas of responsibility. It is anticipated that a refreshed University Data Protection policy will make a similar recommendation. CMG is requested to approve this decision regarding the appointment of Data Stewards.

Resource implications
14. The Data Steward role formalises existing activities and clarifies responsibilities. As such, there will be no requirement for additional resource as the duties will be carried out by existing staff.

Risk Management
15. The establishment of the Data Steward role, along with accompanying guidance and support, will help mitigate the University's exposure to reputational and compliance risk. Additionally, the Chief Information Security Officer has confirmed that the implementation of this proposal will improve the information security posture of the University.

Equality & Diversity
16. An Equality Impact Assessment has been created for the role, with the assistance of the ISG Disability Information Officer.

Next steps/implications
17. Following approval from CMG, we will develop further the Data Steward role with the data stewards and identify deputies.

18. From the feedback received from the consultations, it is clear that the Data Stewards will need supporting material and guidance. It is proposed that the Data Governance Group oversee the production of a Data Steward toolkit, containing guidance relating to each of the four aspects listed above. This toolkit to include:
    a. Guidance on managing the security of data
    b. Guidance about classifying the confidential of data
    c. Legal and compliance requirements for personal data (including the GDPR[1])
    d. A standard process for requesting access to data
    e. Guidance on creating data definitions that are meaningful, understandable and available to all users
    f. Advice on the design of processes for measuring and managing data quality

19. The Data Governance Group has recommended the establishment of a Data Steward community of practice. An initial workshop for data stewards has been held as the first step in this process.

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[1] The General Data Protection Regulation

20. The University's Enterprise Architect and Data Protection Officer have identified the following two areas of possible synergy:

   a. The DPO has a legislative requirement to create and maintain the University's Data Processing Register. There is some overlap between this and the Golden Copy Data Catalogue, for personal data that is maintained in golden copy online data sources. We are investigating the possibility of a common repository of relevant information, from which the Data Processing Register and the Golden Copy Data Catalogue will be particular views on the underlying records.

   b. The current University Data Protection policy specifies that accountability for compliance with the Data Protection Act lies with Heads of School and managers of administrative and support services. Given the role of the Data Steward in managing data, options will be explored to include privacy as a responsibility, where applicable.

21. Technical development underway as part of the Digital Transformation programme will aid Data Stewards in managing secure access to their data. In particular, the ongoing development of APIs[2] will help control the flow of data between systems and will be a key tool for the control, management and oversight of data. Additionally, the Enterprise Data Warehouse will provide a central source of BI/MI information, supporting cross-domain reporting and reporting of trends. These initiatives will be useful material for future data steward workshops.

Consultation

22. The following stakeholders have been consulted:
   - BI/MI Governance Board (including representatives from colleges and support groups)
   - Data Governance Group (including representatives from colleges and support groups)
   - Chief Information Officer
   - Head of Knowledge Management
   - Chief Information Security Officer
   - Data Protection Officer
   - Directors of the Level 4 Business Units listed in paragraph 6.
   - Director, Digital Curation Centre
   - The proposed Data Stewards for Student Systems, HR, Development & Alumni, Research Management, Applications Division, Library & University Collections, Digital Learning & Media, Finance, Procurement, Estates, Strategic Planning, Careers, Accommodation, Catering & Events

23. The Data Governance Group reviewed and endorsed this work at their meeting on 1 June 2017.

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[2] Application Programming Interfaces. An API allows two IT systems to communicate with each other. Many of the APIs being developed as part of the Digital Transformation programme are designed to manage the flow of data between systems.

Further information

24. _Author_   _Presenter_
     Dave Berry   Alistair Fenemore
     Enterprise Architect   Chief Information Security Officer

Freedom of Information

25. This paper is open.

Appendix A: Golden copy data catalogue

Latest update: 28th June 2017

This is a catalogue of major University "golden copy" data sets[1] and data stewards. The idea is that the catalogue will form an easy reference for people who are requesting access to data. Each entry identifies whom to contact regarding access for use in another system and information about security and data protection relevant to the data.

The information recorded is as follows:

- **Data set**: The name of the data set
- **Security**: A classification of the default confidentiality level for this data set
- **Personal**: Whether the data set holds personal information (i.e. whether data protection legislation applies).
- **Source unit**: The originating organisational unit
- **Source systems**: The IT applications holding the data
- **Data steward**: The person responsible for maintaining the data set and who has administrative control over granting access to the data set.
- **Dependencies**: Other datasets on which this dataset depends. Requests for access must be made to any of these datasets if their data is included in the data to be accessed.

The three security levels divide data into (i) information that can be public, (ii) information subject to standard security control, and (iii) information subject to enhanced security controls. The level listed is the default level that applies; it does not necessarily apply to every attribute, and there may be particular items that require different levels of control.

The intention is to agree a single process across the University for requesting access to core data sets.

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[1] In this context, a "data set" is a collection of related data, such as curriculum data, student data, etc.

Data set	Security	Personal	Source unit	Source systems	Data steward	Dependencies
Curriculum	Unrestricted		Student Systems	EUCLID	Barry Neilson	None
Applicants, Student	Restricted and Confidential	Personal	Student Systems	EUCLID, STUDMI, ADMISMI, DIRECTMI	Barry Neilson	None
Summative Assessments	Restricted?		Student Systems	EUCLID	Barry Neilson	Student
Student Surveys (PRES, PTES, NSS, Course Enhancement)	Unrestricted and Restricted		Student Systems	Bristol Online Surveys, Local files, Evasys	Barry Neilson	
Disability	Confidential	Personal	Disability Office	Kelso and Radium (moving to EUCLID)	Barry Neilson	Student
Teaching Events	Unrestricted		Timetabling Unit	Syllabus Plus	Barry Neilson	Student, Curriculum, Staff, Organisational Hierarchy
Staff	Restricted and Confidential	Personal	Human Resources	Oracle HR, eRecruitment	Martyn Peggie	Organisational Hierarchy
Identity (inc Email addresses)	Restricted	Personal	Service Management	IDM	Alex Carter	Student, Staff, Visitor
Visitors	Restricted	Personal	Service Management	VRS	Alex Carter	
Events	Unrestricted		Service Management	Event Booking	Alex Carter	
Events bookings	Restricted	Personal	Service Management	Event Booking	Alex Carter	
IS Service Alerts	Unrestricted		Service Management	IS Service Alerts	Alex Carter	
Voting Results	Unrestricted		Service Management	EVES	Alex Carter	
Open Educational Resources	Unrestricted		Various	Various	Various	None
VLE content	Restricted		DLAM	Learn, Moodle	Anne-Marie Scott	Student, Staff
Feedback and Provisional Assessments	Restricted		DLAM	Learn, Moodle, Turnitin, Pebblepad, QMP	Anne-Marie Scott	Student, Staff

Data set	Security	Personal	Source unit	Source systems	Data steward	Dependencies
Feedback and Provisional Assessments	Restricted		Schools	School Systems		Student
Learning Activity data	Restricted	Personal	DLAM	Learn, Moodle, MOOCs, Lynda.com, MediaHopper	Anne-Marie Scott	Student
Video and audio	Unrestricted and restricted		DLAM	MediaHopper	Anne-Marie Scott	None
Buildings	Unrestricted		Estates	Archibus	Kristina Brown	None
Energy	Unrestricted		Estates	Various	Kristina Brown	None
Finance: General Ledger, Payroll, Pensions, Suppliers, Accounts receivable (inc students), Research grants, Endowments, (colleges also have their own endowments), Investments	Restricted	Personal and non-Personal	Finance	eFinancials	Garry Robertson	Student, Staff, Curriculum, Accommodation
Supplier product catalogues, requisitions, orders and receipts	Restricted		Procurement	SciQuest, PECOS	Craig Henderson	
Chemical inventory	Restricted		Procurement	Enterprise Reagent Manager	Craig Henderson	
Procurement projects & contracts	Restricted		Procurement	Hunter, Buy@Ed	Craig Henderson	
Tenders	Restricted		Procurement	PCS-T, Qinetiq Award	Craig Henderson	
Print specifications, costing and orders	Restricted		Procurement	Printing Services Online, Prism Enterprise 32	Craig Henderson	
Alumni	Restricted	Personal	Development & Alumni	ThankQ	Grant Spence	Student
University Supporters	Restricted	Personal	Development & Alumni	ThankQ	Grant Spence	
Accommodation	Restricted	Personal	Accommodation Catering & Events	Kx	Claire Barnish	Student

Data set	Security	Personal	Source unit	Source systems	Data steward	Dependencies
Commercial Events	Restricted		Accommodation Catering & Events	Kx	Claire Barnish	
Careers	Restricted	Personal	Careers Services	MyCareerHub	Steve Norman	Student
Hazardous Material	Restricted		Health and Safety	RETAIN		Staff, Organisational Hierarchy
Accidents	Restricted		Health and Safety	AIR		Staff, Organisational Hierarchy
Support calls	Restricted		USD	Unidesk	??	Staff, Student
CMDB	Restricted?		Production Management	Unidesk CMDB	Stefan Kaempf	
Research Management	Restricted		Library Research Support	Pure, Worktribe	Dominic Tate	Staff, Finance, Organisational Hierarchy
Library Resources	Unrestricted		Library and Collections	Alma	Kirsty Lingstadt	
Reading Lists	Unrestricted		Library and Collections	Leganto	Kirsty Lingstadt	
Organisational Hierarchy	Unrestricted		Governance & Strategic Planning	OrgHier	Peter Phillips	

Appendix B: The Data Steward role

2nd August 2017

Purpose

The Central Management Group has approved a recommendation to formally define a Data Steward role and to assign Data Stewards across all the University's core data sets. A Data Steward is responsible for ensuring the security, access, documentation and quality of a particular "golden copy" data set. This document describes the "Data Steward" role in the University of Edinburgh.

Audience

Data Stewards, their managers, people who request or manage data on behalf of the university.

Introduction

1. Data are core assets upon which the operation of the University depends. The provision of accurate and up-to-date data informs the key decision making processes and allows the normal business of the University to function.

2. Providing and controlling access to the University's data sets is a core responsibility. It is a central principle of the University's data management that all operational data held in enterprise systems have a "golden copy". A golden copy provides definitive information of that data to other systems and to users, and is the central point from where the data is drawn and updated. This principle is long established in most institutions and companies as best practice.

3. The term "Data Steward" is used widely in the data management field to denote the person responsible for managing a data set. The Data Steward, or their designated deputy, will have responsibility for information security reviews for their data sets; confidentiality of their data; and will authorise access to their data set. They will ensure the right balance between information security (confidentiality, integrity and availability) and compliance vs ease of access, leveraging and exploiting the University's data.

4. The Data Steward is not, in general, responsible for entering and updating the data items in the data set. Data may be updated by administrative staff, by user self-service, by feeds of data from other systems, or other appropriate means. The Data Steward is responsible for overseeing the processes and controls which allow data to be accessed and updated.

Appointing the Data Steward

5. The Head of each Support Group or College is accountable for all data sets within their business unit or school and must appoint a Data Steward for each golden copy data set managed within their business unit or school. They may take on this role themselves, if they wish. They must ensure that the Data Stewards have sufficient time, resources and training to carry out the responsibilities of the role.

6. The Data Steward accepts the responsibilities set out in this document. They may delegate any or all the tasks involved in managing these responsibilities to deputies, but the Data Steward remains responsible for ensuring those tasks are carried out. The Data Steward must give regular reports to the manager who appointed them.

7. The Data Steward is a role, not a job description. The role is often part of managing a service and in many cases people may already fulfil the responsibilities of the role, without any formal description of their role and with limited support. The aim of this document is to formalise the responsibilities and to highlight the support required for Data Stewards across the University.

Data Steward: Key responsibilities

8. The Data Steward is responsible for maintaining the security of their dataset; setting access requirements for the data; documenting the data made available to other services, and establishing processes to ensure the quality of the data. They have a duty to ensure that restricted and confidential data is managed securely and appropriately, that the data is made available only to those people and systems that need access, and that access is provided in keeping with legislation and the University's internal policies. If the data includes any personal data, they are also responsible for completing a Data Protection Impact Assessment.

Key Responsibilities: Security

9. The Data Steward must satisfy themselves that adequate security measures are in place for the data.

10. Data must be protected from unauthorized use, alteration or disclosure. Sharing of information and the release of information must be balanced against the need to restrict the availability of classified, proprietary, personal, and other sensitive information. University policies, such as Information Security, Data Protection, together with any applicable legislation, such as Freedom of Information and Data Protection must be enforced at all times.

11. The Data Steward must classify data items into the levels of confidentiality described in the Information Classification Standard, which is developed and maintained by the Information Security Division. The Data Governance Group will publish guidance to aid the Data Steward in this task.

12. The Data Steward must report suspected loss, unauthorized access, or exposure of the data from their data set, and work with the system providers to rectify such problems that arise.

13. The Chief Information Security Officer (CISO) will support the Data Steward by publishing policies and guidance about information security measures. The CISO will define an Incident Response Standard as part of the Information Security Governance Framework that will define reporting and escalation requirements in the event of a security incident impacting any specific data set. It should be noted that any suspected compromise of personal data must be reported without delay to the University DPO.

14. The Data Protection Officer will support the Data Steward by publishing guidance about the steps necessary to comply with Data Protection Legislation.

Key Responsibilities: Access

15. Data must be available to authorised people or systems when they need it.

16. The Data Steward must approve the release of their data before anyone else may use it. They are responsible for assessing requests to provide data access, for ensuring that the people using the data understand the meaning of the data, and ensuring that the data is available when authorised people or systems need it. They must be satisfied that the IT services that underpin this function are delivering a satisfactory level of service.

17. If data are released to external parties, Data Stewards must also ensure that appropriate data sharing agreements are in place before the data are shared. For statutory returns and similar data collection exercises, Data Stewards must ensure that the data are provided in the appropriate format.

18. If the data contains personal data, Data Stewards must also ensure that the University has approval for any new purpose for which the data will be used, and that the recipient has adequate controls in place to protect that data.

19. The Data Steward must maintain a record of other systems that have access to the data and what the data are being used for.

20. For restricted and confidential data, the Data Steward must regularly, and at least annually, review the list of staff and systems who have access to the data and ensure that the continued use remains justified and proportionate.

21. The Data Governance Group will support the Data Steward by publishing and maintaining standard procedures for managing requests to access data.

Key Responsibilities: Documentation
22. The Data Steward is responsible for ensuring the data under their stewardship are adequately documented. For data that are made available to other systems on a regular basis, this documentation must be in a form that meets the needs of those users.

23. The Enterprise Architecture section will support the Data Steward in creating data definitions that are meaningful, understandable and available to all users. They will encourage the adoption of standard data definitions across the University.

Key Responsibilities: Quality
24. The Data Steward must define acceptable levels of quality to ensure that the data under their stewardship is accurate, consistent and up to date. They are also responsible for ensuring that effective and sustainable processes exist to ensure that the data meets these levels of acceptance.

25. The Data Steward must ensure that checks are carried out to measure data quality.

26. The Data Steward is responsible for ensuring that any errors reported are corrected in a timely manner, consistent with a published service level.

27. The Data Governance Group will provide advice to the Data Steward on the design of processes for measuring and managing data quality.

28. It is recognised that data may be updated by many different users and that complete correctness is unobtainable. A Data Steward cannot be held responsible for any individual error in the data.

Data Steward: Relationships

29. The Data Steward will interact with several other roles in the discharge of their responsibilities.

Deputy Data Stewards
30. The Data Steward may nominate deputies to perform certain aspects of the role, and/or to take on the role when the Data Steward is unavailable, however, the Data Steward remains the person accountable for ensuring these responsibilities are carried out.

31. Deputy Data Stewards may, for example, take on the tasks of documenting the data, assigning levels of confidentiality, designing and implementing quality assurance procedures, and similar operational tasks.

Data Governance Group

32. The Data Governance Group aims to ensure that the University adopts a consistent approach to the governance of the data it creates and uses. It includes representatives from each college and support group.

33. The Data Governance Group supports Data Stewards by:
    a. Providing guidance regarding the classification of data items into the three levels of confidentiality.
    b. Publishing and maintaining a standard process for requesting access to data
    c. Providing advice on the design of processes for measuring and managing data quality.
    d. Reviewing the high-level data definitions created by the Enterprise Architecture section.

Chief Information Security Officer

34. The Chief Information Security Officer (CISO) is responsible for defining information security policy for the University, and for overseeing the standards that support that policy.

35. The CISO supports Data Stewards by publishing policies and guidance about information security measures. The CISO will also define a central reporting process for Data Stewards to report security incidents.

Data Protection Officer

36. The University's Data Protection Officer is responsible for overseeing the Data Protection Policy and ensuring the University complies with data protection legislation.

37. The Data Protection Officer supports Data Stewards by publishing guidance about the steps necessary to comply with Data Protection Legislation.

Enterprise Architect

38. The University's Enterprise Architect leads and co-ordinates the creation, maintenance and exploitation of shared data definitions, data models, and other architectural items in order to increase the flexibility and efficiency of the University's IT systems and business processes.

39. The Enterprise Architect will support Data Stewards in creating data definitions that are meaningful, understandable and available to all users, providing advice and working with them on certain projects.

System managers

40. System managers have operational responsibility for the administration of the University systems that store, process, transmit, or provide access to the data. For the University's enterprise data systems, the system manager service will typically be provided by IS Production Management.

41. System managers are responsible for maintaining system and data security control appropriate to the classification level of the institutional data in their custody. They must provision, de-provision, and administer data user access as specified by the Data Steward, in line with the University Information Security Policy and the Data Protection Policy.

42. System managers must report any suspected loss, unauthorized access or integrity issues to the Data Steward.

Other Service Owners and Data Stewards

43. In many cases, data are supplied from a golden copy system to other systems that use the data. The Service Owners and Data Stewards for those downstream systems must follow the published procedures for requesting access to data. They must enforce any controls needed to protect the confidentiality, integrity and availability of the data and only provide access to data users who have a defined business need and are appropriately authorized. They are responsible for ensuring that they understand how the data are structured and what information the data convey. They may also have responsibility for maintaining certain data up to date in the golden copy data set.

44. Service Owners and Data Stewards of downstream systems must report any suspected loss, unauthorized access or integrity issues to the Data Steward.

Data Users

45. Data users must respect the confidentiality of the data and only use the data for the intended purposes. They may have responsibility for maintaining certain data up to date in the golden copy data set.

46. Data users must report any suspected loss, unauthorized access or integrity issues to the Data Steward.

Procurement Projects

47. If an existing service procures a new system, the Data stewards of the data sets affected are responsible for satisfying themselves that the security, access, documentation, and quality aspects of those data sets have been addressed during the procurement process.

48. When a new service is created, the procurement project must identify a Data Steward as part of the procurement process. The project team must work with the Data Steward to ensure that the new service is in a fit state to hand over to normal operation. The Data Steward must be included in the stakeholders who sign off the acceptance of the new service.

CENTRAL MANAGEMENT GROUP

29 August 2017

Renaming of George Square Lecture Theatre

Description of paper
1.   This paper seeks the approval of Central Management Group to rename the George Square Lecture Theatre the Gordon Aikman Lecture Theatre, in honour of the Motor Neurone Disease (MND) campaigner, University of Edinburgh graduate and former Edinburgh University Students' Association (EUSA) sabbatical.

Action requested/Recommendation
2.   Central Management Group is invited to recommend approval of the renaming of the George Square Lecture Theatre.

Paragraphs 3 - 8 have been removed as exempt from release due to FOI.

Risk Management
9.   There are no anticipated risks associated with this proposal.

Equality & Diversity
10.   There are no equality and diversity issues.

Next steps & Communication
11. If approved by CMG, the proposal will then be submitted to the Estates Committee and Policy and Resources Committee for approval. An official naming reception will then be arranged if approved by these committees.

Consultation
12. Vice-Principal and Head of College of Arts, Humanities & Social Sciences, Dean of Business School, College Registrar, College of Medicine & Veterinary Medicine, Head of External Engagement & Communications, College of Medicine & Veterinary Medicine, EUSA President

Further information
13. *Author & Presenter*
     Professor Dorothy Miell
     Head of College of Arts, Humanities & Social Sciences
     August 2017

Freedom of Information
14. This paper should remain closed until an official opening and naming ceremony is held.

CENTRAL MANAGEMENT GROUP

29 August 2017

Chair's Action on Fees

Description of paper
1. Fee proposals approved by CMG Chair's Action.

Action requested
2.   CMG is asked to note and endorse the Chair's Actions, as previously endorsed by FSG by Chair's action.

Recommendation
3.   Governance and Strategic Planning recommend that CMG endorse the fee approvals.

Paragraphs 4 - 7 have been removed as exempt from release due to FOI.

Risk Management
8. Due consideration has been taken reviewing the financial risk in these proposals.

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

Next steps/implications
10. For endorsing only.

Consultation
11. The above fees have been proposed by the Schools, reviewed by College and GaSP and approved by Fee Strategy Group Chair's Action by Professor Jonathan Seckl.

Further information
12. *Author*   *Presenter*
     Peter Phillips   Tracey Slaven
     Governance and Strategic Planning   Deputy Secretary
     22 August 2017   Strategic Planning

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

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CENTRAL MANAGEMENT GROUP

28 August 2017

Research Policy Group

Research Policy Group
1. This note reflects the gist of the discussions and outcomes of the most recent meeting of RPG in June 2017 and subsequent activities over the summer.

Action Required
2. CMG is asked to note the key research policy developments

Paragraphs 3 - 11 have been removed as exempt from release due to FOI.

Full minute
4.   Confirmed minutes of RPG meetings are available at :
https://www.ed.ac.uk/governance-strategic-planning/research/rpg

Equality & Diversity
5.   No specific equality and diversity issues are raised in respect of the points above, except in relation to REF preparations. GaSP are working with the HR and the UCU to ensure that REF2021 preparations take full account of the Equalities Act 2010.

Further information
6. *Authors*   *Presenter*
    Jonathan Seckl / Susan Cooper   Tracey Slaven
    17 August 2017

Freedom of Information
7*.* This paper is closed, because disclosure could prejudice substantially the commercial interests of the University, under Section 33 of the Freedom of Information Act (Scotland) 2002.

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CENTRAL MANAGEMENT GROUP

29 August 2017

Principal's Strategy Group

Committee Name
1*.* Principal's Strategy Group (PSG).

Date of Meeting
2*.* 12 June 2017.

Action Required
3*.* Provided for information.

Key points
4. Among the items discussed were:

a) Student Experience

PSG discussed a high level framework to guide feedback to Court on activity and progress relating to the student experience. The Group were supportive in principle and offered comment to the Senior Vice-Principal.

b) ERI

Director of Edinburgh Research and Innovation, Mr George Baxter joined PSG to discuss progress to date and future priorities for ERI. PSG were positive about recent progress at ERI and endorsed the proposed re-branding.

c) Leadership and Talent Development

Director of Human Resources, Ms Zoe Lewandowski, updated PSG on current and planned activities in this area. PSG were positive about the recent work undertaken and offered detailed comment to Zoe.

d) Recruitment Numbers

PSG discussed the current picture with regard to admissions in general and online distance learning (ODL) in particular.
As part of the discussion PSG proposed a new incentive model to encourage further take up of ODL by Schools in the short term. This will be via an additional NPRAS incentive for Distance Learning programmes.

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
     16 August 2017

Freedom of Information

8. Open Paper