

**THE UNIVERSITY OF EDINBURGH**

**BUSINESS FOR MEETING OF THE UNIVERSITY COURT  
to be held in the Mary Kinross Room, QMRI, Little France  
on Monday 21 June 2010 at 2.00 p.m.**

A buffet lunch will be available in the Drum, QMRI, Little France  
from 1 p.m.

This meeting of Court will be preceded by a presentation by Vice-Principal Professor Sir John Savill and Professor Edwin van Beek, entitled 'Clinical Research Imaging'.

**A FORMAL BUSINESS**

1. Minute of the meeting held on 24 May 2010 **A1**

**B PRINCIPAL'S BUSINESS**

1. Principal's Communications **B1**

**C SUBSTANTIVE ITEMS**

1. Report of the Finance and General Purposes Committee  
.1 Comments on the Report of the Central Management Group **C1.1**  
.2 Report on Other Items **C1.2**
2. Estate Strategy 2010-2020 **C2**
3. Report from Court Effectiveness Review Group **C3**
4. Commissioners' Ordinance **C4**
5. Report from Pensions' Working Party **C5**
6. Report from Estates Committee **C6**
7. Report from Audit Committee **C7**
8. Report from Nominations Committee **C8**
9. Knowledge Strategy Committee – Terms of Reference **C9**
10. University Risk Register **C10**
11. Academic & Financial Planning Issues for the School of Education **C11**
12. Edinburgh College of Art **C12**
13. Revised Delegated Authorisation Schedule **C13**

**D ITEMS FOR FORMAL APPROVAL OR NOTE**

1. Academic Report **D1**
2. Resolutions **D2**
3. Use of the Seal
4. *In accordance with normal practice Court is invited to appoint a Vacation Court, comprising the Rector failing whom the Vice-Convener of Court, the Principal and the University Secretary, to deal with urgent formal business.*

**MINUTE OF A MEETING** of the University Court of the University of Edinburgh held in the Raeburn Room, Old College on Monday, 24 May 2010.

**Present:** Dr J Markland, Vice-Convener (in chair)  
The Principal  
The Rt Hon Lord Cameron of Lochbroom  
Mr D A Connell  
Professor A M Smyth  
Mrs M Tait  
Dr M Aliotta  
Professor J Ansell  
Professor L Yellowlees  
Mr P Budd  
Professor S Monro  
Mr M Murray  
Ms A Richards  
Ms G Stewart  
Mr D Brook  
Mr T Graham, President Students' Representative Council  
Mr E Beswick, Vice-President Students' Representative Council

**In attendance:** Ms S Beattie-Smith, Rector's Assessor  
Vice-Principal Professor N Brown  
Vice-Principal Professor J Haywood  
Vice-Principal Professor A McMahon  
Vice-Principal Professor Miell  
Mr M D Cornish, University Secretary  
Mr N Paul, Director of Corporate Services  
Mr I Conn, Director of Communications and Marketing  
Dr A Cornish, Deputy University Secretary and Director of Planning  
Mr A Currie, Director of Estates and Buildings  
Mr J Gorringe, Director of Finance  
Ms S Gupta, Director of HR  
Ms F Boyd, Principal's Policy and Executive Officer  
Ms L Rawlings, EUSA President elect  
Ms S Wise, EUSA VP President Academic Affairs elect  
Dr K J Novosel, Head of Court Services

**Apologies:** The Rector  
Professor D Finnegan  
The Rt Hon G Grubb, Lord Provost of the City of Edinburgh  
Professor J Barbour  
Mr D Workman

The Court received a presentation from Mr Hamish McKay, Chief Internal Auditor on the work of the Internal Audit Service.

**A FORMAL BUSINESS**

**1 MINUTE OF THE MEETING HELD ON 15 FEBRUARY 2010**

**Paper A1**

The Minute of the meeting held on the 15 February 2010 was approved as a correct record.

Court welcomed Ms Liz Rawlings, EUSA President elect and Ms Stevie Wise, EUSA Vice-President Academic Affairs elect who were in attendance at this meeting. Court further welcomed Vice-Principal Professor Dorothy Miell, Head of the College of Humanities and Social Science to her first Court meeting.

Court noted that this would be the last meeting to be attended by Mr Thomas Graham and Mr Evan Beswick and Court warmly thanked them for their commitment and service to the University and wished them well for the future.

On behalf of Court, Dr Markland congratulated the Principal, Professor Sir Timothy O'Shea on receiving the 2009 Council for Advancement and Support of Education (CASE) Europe Leadership Award at a ceremony held in London on the 26 May 2010.

**2 COURT SEMINAR – 22 MARCH 2010**

**Paper A2**

Court approved the informal notes of its seminar held on the 22 March 2010.

**B PRINCIPAL'S BUSINESS**

**1 PRINCIPAL'S COMMUNICATIONS**

**Paper B1**

Court noted the items within the Principal's report and the additional information on: EUSA's teaching excellence awards; the current position in respect of discussions with eca; the recent media article on the research work being undertaken by Professor Sir Ian Wilmut and his team on stem cells as applied to treatment on MN disease; congratulations to Professor Stuart Monro on being elected a Fellow of the Royal Society of Edinburgh and to Mr David Somervell on being included in the Scottish Green List 2010 which names the top 20 individuals steering the country to greater sustainability; the visit by the new Chairmen of RBS to the Imaging Centre; the short listing for this year's James Tait Black book awards; the impact of the election of the new UK government; and Lord Browne's Review of Higher Education Funding and Student Finance.

Court further noted that although there was currently an agreed process to take forward proposals for naming buildings there was not a comparable process for the naming of Schools and Court agreed therefore that the Central Management Group should consider any such proposal and make recommendations to Court.

**2 UNIVERSITY SECRETARY**

**Paper B2**

The robust process undertaken to recruit a new University Secretary was noted and Court approved the proposal to appoint Dr Kim Waldron currently Secretary of Colgate University, New York to the position of University Secretary.

**3 HONORARY ASSISTANT PRINCIPAL**

**Paper B3**

Court approved the proposal to designate Professor Dorothy Crawford Honorary Assistant Principal upon her retiral until the 30 September 2011.

## **C SUBSTANTIVE ITEMS**

### **1 REPORT OF THE FINANCE AND GENERAL PURPOSES COMMITTEE**

Dr Markland presented the papers previously circulated.

#### Report from Central Management Group meetings of 17 March and 21 April 2010

**Paper C1.1**

Court noted the position regarding the academic and financial planning issues for the School of Education and that although there had been substantial progress until all the required savings had been secured the Court appointed Redundancy Committee in respect of academic staff would require to remain in place. The School was now entering a period of restructuring with a number of issues being identified and the position in respect of support staff was such as to warrant the commencement of a new separate consultation period to seek to avoid the need for compulsory redundancy. The University was committed to an open transparent approach in providing information to staff and students on the position with the School of Education and would to continue to work to achieve the required savings by voluntary means including redeployment.

The progress in taking forward the Internationalisation Strategy was welcomed and the support for international students particularly from the International Office was noted. Court further noted the Equality and Diversity Monitoring and Research Committee Report (EDMARC) and the work underway to further understand the background to the proportion of female academics in senior posts.

Court further approved the Computer Regulations as set out in appendix 4, the Climate Action Plan 2010 as set out in appendix 5, the Museum and Galleries Collections Policies Document 2010/2015 as set out in appendix 9 and the revisions to the Laigh Year Regulations.

#### Report on Other Items

**Paper C1.2**

The improving position in respect of the report on research and commercialisation was welcomed and the progress in taking forward the EUCLID project. Court noted the information regarding the Edinburgh College of Art and that further information would be available at the next Court meeting; it was noted that a further report from the Pensions' Working Party would also be presented to the next meeting. Court further fully supported the allocation of resources for 2010/2011 and commended the report and the executive summaries of the annual plans of Colleges and Support Groups.

Court approved: the revisions to the Treasury Management Policy; the granting of a standard security over the following four assets as set out in appendix 10 of the report: Medical School, Teviot Place; Appleton Tower, 11 Crichton Street; Patersons Land, Holyrood Road; and Robson Building, 15 George Square and that these be assigned to the SBS Trustees as contingent assets of the fund; the adoption of the Heads of Agreement document in respect of taking forward issues on the potential merger arrangements to form one governance structure for the Institute of Molecular Medicine; and the funding arrangements for the Business School.

### **2 DRAFT ESTATE STRATEGY 2010-2020**

**Paper C2**

Court noted that this current draft Strategy reflected discussions at the Court seminar held on 22 March 2010 and that there was further on-going revision to the chapter on financial issues. Any further comments would be welcomed and it was the intention to present the final Estate Strategy to the next meeting of Court for formal approval.

- 3 COMMISSIONERS' ORDINANCE** **Paper C3**
- It was noted that since this paper had been prepared there had been further discussion with the unions and a revised Ordinance No 210 was tabled.
- Court considered the process to date in respect of Ordinance 209 and tabled Ordinance 210. Court approved Ordinance 209 for onward consideration and approval by the Privy Council and agreed that it would be appropriate to consider Ordinance 210 at its next meeting following further discussion with the unions. Drafting suggestions were intimated in respect of Ordinance 210 which would be incorporated prior to further dissemination. Court also confirmed commitment to adopting, at a later stage, employment procedures and regulations including specific arrangements for appeals as set out in the paper following discussions with the unions.
- Post Meeting Note :The Privy Council has asked for the Ordinances to be renumbered, Ordinance 209 is now Ordinance 207 and Ordinance 210 is now Ordinance 208.*
- 4 INTERIM REPORT FROM COURT EFFECTIVENESS REVIEW GROUP** **Paper C4**
- Court welcomed this brief paper on the process undertaken to date by the Group tasked by Court to review its effectiveness and that of its Committees. The proposed approach was approved by Court, noting that a final Report with recommendations would be presented for consideration at its next meeting. Court further approved the increase in the number of Court meeting from the present five to six to commence at the start of the academic year 2010/2011 and approved the dates of meetings, seminars and events as set out in the paper for 2010/2011.
- 5 CORPORATE PERFORMANCE MEASUREMENT: PROPOSAL** **Paper C5**
- The proposed introduction of a single report to monitor corporate performance, combining information on progress against targets in the Strategic Plan and Balanced Scorecard with reference to Scottish Government National Outcomes and items in the University's Risk Register was welcomed by Court. Court further supported the proposal to reduce the current 32 indicators in the Balanced Scorecard to 12 high level indicators.
- 6 REPORT OF THE STEERING GROUP FOR THE REVIEW OF SUPPORT ACTIVITIES** **Paper C6**
- Court noted that it had previous approved the principles for a review of support activities particularly those undertaken both centrally and at devolved levels within the University. The interim Report of the Steering Group including the appendices on current progress and the way forward in the eight identified areas was welcomed by Court. It was noted that the Report had been drafted within the context of the current financial position and the desire to reduce duplication of effort, increase efficiency and to consider issues of capacity. The approach proposed was approved noting that a further Report would be available in due course.
- 7 REPORT FROM ESTATES COMMITTEE** **Paper C7**
- The current position in respect of taking forward the estate capital project programme was noted including the project approval process and the colour coding being adopted to signify project status. Court further approved all the recommendations as set out in the cover sheet.
- 8 REPORT OF THE COMMITTEE ON UNIVERSITY BENEFACTORS** **Paper C8**
- 9 EDINBURGH UNIVERSITY STUDENTS' ASSOCIATION CONSTITUTION** **Paper C9**

The revised EUSA Constitution was approved by Court, noting that it was the intention of EUSA to undertake a more rigorous revision and a further document would be presented to Court for approval in due course.

## **D ITEMS FOR FORMAL APPROVAL OR NOTE**

- 1 ACADEMIC REPORT Paper D1**

Court noted the report from the Senatus Academicus of its meeting held on 17 February 2010 and electronic Senate conducted from 11-19 May 2010. Court further welcomed the re-election as Senate Assessors on Court of Professor David Finnegan and Professor Lesley Yellowlees both for a further four years until 31 July 2014.
- 2 URGENT RESOLUTION Paper D2**

Court unanimously approved the urgent Resolution:

Resolution No. 54/2010: Amendment of Examination and Assessment Regulations and Regulations for the Award of Degrees
- 3 RESOLUTIONS Paper D3**

Court approved the following Resolutions:

Resolution No. 9/2010: Foundation of a Chair of Oncology  
Resolution No. 10/2010: Foundation of a Chair of Power Plant Engineering and Carbon Capture  
Resolution No. 11/2010: Alteration of the title of the Chair of Respiratory Medicine  
Resolution No. 12/2010: Alteration of the title of the Personal Chair of Cardiology  
Resolution No. 13/2010: Alteration of the Code of Student Discipline  
Resolution No. 14/2010: Foundation of a Personal Chair of Social and Environmental Justice  
Resolution No. 15/2010: Foundation of a Personal Chair of Modern German Studies  
Resolution No. 16/2010: Foundation of a Chair of Critical Care  
Resolution No. 17/2010: Alteration of the Chair of Anaesthesia, Critical Care and Pain Medicine
- 4 DRAFT RESOLUTIONS Paper D4**

Court approved the following draft Resolutions:

Draft Resolution No. 18/2010: Degree of Master of Mathematics  
Draft Resolution No. 51/2010: Degree of Doctor of Psychotherapy and Counselling  
Draft Resolution No. 52/2010: Postgraduate Degree Programme Regulations  
Draft Resolution No. 53/2010: Undergraduate Degree Programme Regulations

and requested their transmission to the General Council and Senatus Academicus for observations.
- 5 APPOINTMENT OF SUB-COMMITTEE FOR LADY HARTWELL FUND Paper D5**

Court approved the proposed membership of a Sub-Committee for the Lady Hartwell Fund as set out in the paper including the Chairmanship of this Sub-Committee.
- 6 CONTRACT FOR WATER SERVICES Paper D6**

Court approved expenditure as set out in the paper and authorised the signing of the contract for water services.

**7 DONATIONS AND LEGACIES**

**Paper D7**

Court was pleased to note the donations and legacies to be notified received by the University of Edinburgh Development Trust between 1 February and 30 April 2010.

**8 INVESTMENT COMMITTEE REPORT: PURCHASE OF STUDENT ACCOMMODATION FOR THE ENDOWMENT FUND** **Paper D8**

Court noted that the normal process would have been for such matters to have first been considered by the Finance and General Purposes Committee, however because of potential urgency this paper had been transmitted directly to Court. In the event, Court noted that the bid submitted by the University in respect of the identified property had been unsuccessful.

Court considered and approved the proposed changes to the remit of the Investment Committee within the Committee's terms of reference as set out in the paper.

**9 USE OF THE SEAL**

A record was made available of all the documents executed on behalf of the Court since its last meeting and sealed with its common seal.

## The University of Edinburgh

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### **Principal's Report**

These communications are grouped into international, UK and Scottish developments, followed by details of University news and events:-

#### **International**

##### **League of European Research Universities (LERU)**

Professor Andrew Scott the Dean International - Europe attended the LERU Rectors Meeting in Zurich on 8-9 May 2010. The LERU strategy is to enhance our involvement in the LERU network of 22 of Europe's leading research Universities through a more focused internal coordination of our activities (including defining our strategic objectives from membership) and a more visible presence at key LERU meetings. LERU is rapidly emerging as an important pressure group seeking to influence European Commission policy across a range of research issues, including EU funding programmes of considerable importance to the University.

##### **Tsukuba University**

A Memorandum of Understanding was signed with Tsukuba University, Japan, to collaborate in research and student/staff exchange in computational science, informatics, geosciences and medicine.

##### **Global Health Academy Event**

Lord Nigel Crisp, former Chief Executive of the NHS, gave an Enlightenment Lecture entitled "Turning the World Upside Down: The Search for Global Health in the 21st Century" on 25 May which examined new approaches to worldwide health systems.

##### **Visits**

During May there were several high level visits to the University:

- The National Museum of Ethnology, Japan (Minpaku) and on 17 May VP International signed a Framework Agreement between Minpaku and the University of Edinburgh.
- Delegation of Rectors and Vice Rectors of Russian Universities, 17 May 2010.
- The Italian Ambassador to the UK, His Excellency Alain Economides, 17 May 2010.
- Delegation of Danish University Directors, 18 May 2010.
- Association of Indian Universities, 21 May 2010.

##### **Recent International Travel**

At the end of May, I attended the 2nd International Universia Conference of Vice-Chancellors in Guadalajara, Mexico. The Universia is the largest network of Spanish and Portuguese speaking Universities created in 2000 and sponsored by Santander.

While in Mexico I took part in a round table event on 'Internationalisation of Higher Education' at Tec De Monterey, the leading private Higher Education Institute in Mexico. The event involved a number of UK Vice Chancellors and Martin Davidson the CEO of the British Council acted as Chair.



I joined both General Council and academic colleagues at a range of events in Hong Kong which ran from 11-13 June. Activities included a half day conference on the subject of "Climate Change Finance and Investment", events for Edinburgh alumni including the General Council Half – Yearly Meeting, reception and dinner and Honorary Degree ceremonies. Degrees were conferred to Madam Xu Lin, Director-General, Hanban. Professor Lap-Chee Tsui the fourteenth Vice-Chancellor of the University of Hong Kong and Dr Ann Matheson of the General Council.

In early June I chaired a visit to Heidelberg University as part of my participation in the German Initiative for Excellence "Excellenzinitiative".

## **UK**

### **Higher Education in England**

As part of the £6 billion reduction in public spending announced by the Treasury in late May the Department for Business, Innovation and Skills has announced a package of £836 million efficiency savings with £200 million of this coming from the Higher Education budget for England.

£82m will come from savings to be found by universities this financial year, and £118m from a fund set up to provide extra places, under the previous government. This will result in only 10,000 additional university places being provided this year a 10,000 reduction from the 20,000 places promised by the previous administration.

Subsequently Universities and Science Minister David Willetts delivered a speech at Oxford Brookes University where he outlined his view of the future challenges and opportunities facing the higher education sector in England.

His priorities for the sector include:

- That students enjoy a high-quality university experience, particularly through a greater focus on teaching.
- That universities have more robust funding arrangements.
- That the UK has, in fiscal terms, a sustainable HE system.
- Widening participation and social mobility.

Both of these developments have added fuel to the fees debate which is likely to continue in the run up to the publication of Lord Browne's Review which is expected in the next few months.

## **Scotland**

### **New Secretary of State for Scotland**

With the promotion of Danny Alexander to the position of Chief Secretary to the Treasury a new Secretary of State for Scotland was appointed on the 29 May, Michael Moore who was a graduate of Politics and Modern History at the University in 1987.

#### **eca**

Discussions continue with Edinburgh College of Art and the Scottish Funding Council over the possible merger of the two organisations.

### **Related meetings**

The University hosted a very positive meeting to discuss opportunities relating to the establishment of the Edinburgh Centre on Climate Change on 24 May. John Swinney MSP & Cabinet Secretary for Finance and Growth represented the Scottish Government at the meeting with Mark Batho (SFC) and David Wilson (Scottish Government) and Paul Lewis (SE) also attending.

## University News

**The *Assessing Dyslexia* website** was launched on 1 June 2010 by Sir Jackie Stewart, President of Dyslexia Scotland and the Scottish Cabinet Secretary for Education and Lifelong Learning, Michael Russell. Designed by educational technologists at Moray House School of Education the website will help teachers support pupils with dyslexia.

**The Sports Hall of Fame** - Olympic clay shooting gold medallist Bob Braithwaite, five-times Commonwealth diving gold medallist Peter Heatly, world champion orienteer Jonathon Duncan and European breaststroke champion Ian Edmond were inducted into the University's Sports Hall of Fame at an event's ceremony held on Wednesday 2 June 2010.

**A Wildlife Emergency Clinic** has been set up at the Royal (Dick) School of Veterinary Studies, the first of its kind in the UK, to provide emergency help for injured wild animals in need of treatment.

### **Research in the news:**

- Forest wildfires that took place in Greenland millions of years ago are helping scientists to predict the effects of climate change more accurately. The study of 200 million-year-old fossils is helping to broaden the understanding of past Earth climate changes and improve modelling of possible effects of future climate change.
- Researchers at the Medical Research Council Centre for Regenerative Medicine have shown that embryonic stem cells are not a single cell type but consist of a mixture of different cell types that switch back and forth between precursors of different cell types. Improved understanding of how embryonic stem cells change will enable scientists to create an environment to encourage growth of specific cells.
- Researchers have voiced concerns that brain scans – already used in some death row trials in the US – could be used by British police to determine whether a suspect is lying, or has planned a crime they have yet to commit. The topic was discussed during a two-day event hosted and funded by the Institute for Advanced Studies organised by the Scottish Imaging Network (SINAPSE), the Scottish Futures Forum, the Institute for Advanced Studies, Strathclyde and the University of Edinburgh.
- Researchers led by Dr Cousin, Centre for Integrated Physiology, School of Biomedical Sciences have discovered that a key enzyme (GSK3) that controls brain activity may offer hope of new drug treatments for Alzheimer's disease and epilepsy.
- Work on the virus that causes chickenpox and shingles could lead to improved vaccines and diagnostic tests. Researchers have been able to determine which proteins in the virus trigger a reaction in the body's immune system thus providing information about how best to design a vaccine or blood test.
- New discoveries about the parasite that causes sleeping sickness could lead to new avenues of research into treatments for the disease. Sleeping sickness is a potentially fatal condition which affects up to 70,000 people in sub-Saharan Africa, and millions more are at risk from the disease.

### **External Recognition:**

- Congratulations to the following staff who have been recognised in the 2010 Queen's Honours List: CBE: Professor Veronica van Heyningen (genetics); OBE: Mr Utheshtra

Chetty (surgeon) and Mrs Rosalind Newlands (tourism); MBE: Mr James Aitken (sport and exercise); and Mr Donald Blue (health and safety).

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**Report of the Finance and General Purposes Committee  
(Comments on the Report of the Central Management Group's meeting of  
19 May 2010)**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper comprises the Report to the Finance and General Purposes Committee at its meeting on 7 June 2010 from the Central Management Group of its meeting of 19 May 2010. Comments made by the F&GP Committee are incorporated in boxes within the report at relevant points.

Action requested

The Court is invited to note the report with comments as it considers appropriate. Separate papers on the Court agenda provide updated information on the School of Education and the terms of reference for the Knowledge Strategy Committee.

Resource implications

As outlined in the paper.

Risk Assessment

As outlined in the paper.

Equality and Diversity

As outlined where appropriate in the paper.

Freedom of information

Can this paper be included in open business? Yes except for those items marked closed.

Originators of the paper

Dr Alexis Cornish  
Dr Katherine Novosel  
14 June 2010

## Central Management Group meeting

19 May 2010

**1 UPDATE ON ACADEMIC & FINANCIAL PLANNING ISSUES FOR THE SCHOOL OF EDUCATION (CLOSED)**

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**2 KNOWLEDGE STRATEGY COMMITTEE (Appendix 1)**

CMG endorsed the proposal to formalise arrangements for a University level IT Committee to be called the Knowledge Strategy Committee reporting to the Court. Detailed terms of reference for the new Committee would now be prepared with the intention of seeking Court approval at its meeting on the 21 June 2010. It would be recommended that a Court member should be appointed to join the new Committee.

The proposal to formalise the Knowledge Strategy Committee as a Court Committee was welcomed including membership arrangements and the improved reporting framework.
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**3 REVISED UNIVERSITY CONSULTANCY PROCEDURES**

It was noted that the current procedure was out of date, being last revised in 1997. The updated document reflected current practice and in particular the procedure now applied to service work as well as consultancy activities and defined internal and external activities. CMG approved the revised Staff Administration Manual Chapter 5:6 (SAM5:6) on Procedures for Consultancies and Service Work.

## **Knowledge Strategy Committee**

*'The University is no longer a quiet place to teach and do scholarly work at a measured pace and contemplate the universe as in centuries past. It is a big, complex, demanding, competitive business..' (OECD, 2007)*

In July 2004, the first meeting of the University of Edinburgh's Knowledge Management Committee took place. Over the next 18 months, the first knowledge management strategy was developed. This changed the focus of the University, no longer seeing libraries, IT, AV and e-learning as separate entities but recognising their integral nature in the day to day operation of the University's business. As a result of the consultations associated with introducing knowledge management two major projects, *EUCLID* and the *University Website Redevelopment Project*, were proposed.

Today, Knowledge Strategy Committee (KSC) has oversight of those committees associated with libraries, e-learning, and IT. It also has oversight of major IT-related University projects and, in 2009, introduced a Project Framework to improve overall governance in this area. The three major projects which are currently active are *Student and Course Administration (EUCLID)*, *University Website Redevelopment Project* and *Shared Academic Timetabling*.

The Steering Group for the Review of Support Activities recognised the similarity between KSC and Estates Committee, expressing

*'..strong support for the possibility of developing the existing Knowledge Strategy Committee to include external Court members and focus on funding and prioritisation of projects, as has been the case with the Estates Committee;'*

### **Draft Report of the Steering Group for the Review of Support Activities, May 2010**

At present, Knowledge Strategy Committee reports to CMG via the Vice Principal for Knowledge Management. Library Committee and UCAC are Court Committees but report to KSC. The activities covered by KSC are fundamental to the University's academic and administrative functions. There is an element of disjoint whereby library activities are covered by a Court Committee whilst IT-based activities (of similar importance to a University of world class standing) are not.

In order to bring some coherence to this situation and to ensure that Court has equal sight of both library and IT matters, it is proposed that Knowledge Strategy Committee should be adopted as a committee of the University Court. Library Committee and UCAC, along with e-learning Committee and IT Committee, would report through KSC to Court. It is not intended that we change the current status of Library Committee or UCAC, simply that we revise their reporting route.

As a Court Committee, KSC would revise its membership to include a member of Court. This will give Court direct input to the strategic deliberations of KSC and to the governance of major IT projects overseen by the committee.

If CMG agrees the change to the status of Knowledge Strategy Committee, Terms of Reference will be drawn up before it is progressed to Court for its next meeting.

**Action:** CMG is invited to comment on the proposal that Knowledge Strategy Committee is recognised formally as Court committee associated with the primary functions of e-learning, libraries, and IT; furthermore, that the reporting route for Library Committee and the University Collections Advisory Group, whilst remaining Court committees, should be through KSC.

Vice Principal Jeff Haywood  
7<sup>th</sup> May 2010

# C1.2

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## **Report of the Finance and General Purposes Committee (Report on Other Items)**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper reports on the meeting of the Finance and General Purposes Committee held on 7 June 2010 covering items other than the CMG report. Detailed papers not included in the appendices are available from Dr Novosel.

### Action requested

The Court is invited to approve the Strategic Plan Forecasts 2009-2010 to 2012-2013 at item 7, to homologate the decision of the Finance and General Purposes Committee at item 9, and note the remaining items with comments as it considers appropriate.

### Resource implications

If applicable, as noted in the report.

### Risk Assessment

Where applicable, risk is covered in the report.

### Equality and Diversity

No implications.

### Freedom of Information

Can this paper be included in open business? Yes

Except for items 3 - 9

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

### Originator of the paper

Dr Katherine Novosel  
15 June 2010



**University Court, Meeting on 21 June 2010**

**Report of the Finance and General Purposes Committee  
7 June 2010**

**(Report on Other Items)**

**1 SUMMARY RESEARCH AND COMMERCIALISATION REPORT FOR Q3 Appendix 1**

The challenging position in respect of the number and value of applications and the number and value of awards secured was noted; it was becoming increasingly difficult to identify funders and ERI continued to support academics from across all the Colleges to seek new opportunities from within EU and further afield. PSG was closely monitoring the situation and the Committee was assured that the same challenges were affecting others within the Russell Group.

**2 EUCLID – PROGRESS REPORT**

The Committee welcomed the good progress in taking forward the EUCLID project since its last meeting and noted that although there were a significant number of items still to be addressed these were being resolved in prioritised order and it was planned that all critical items would be dealt with before the end of June 2010.

## 1. RESEARCH APPLICATIONS AND AWARDS

### 1.1 Introduction

The figures for the 3<sup>rd</sup> quarter require some careful reading, particularly those relating to the award values. This time last year we were seeing some outstanding award totals for the Royal (Dick) School of Veterinary Studies (R(D)SVS) as a consequence of not only the University acquiring a number of operational research projects which the old Roslin Institute had secured prior to the merger, but also a one-off large award from BBSRC. Collectively these awards skewed very significantly the College of Medicine and Veterinary Medicine (CMVM)'s figures, making last year a very challenging act to follow. A year ago, we were also reporting a significant reduction in awards secured by the College of Humanities and Social Science (CHSS), as a consequence of funding being re-routed to protect the STEM (Science, Technology, Engineering and Mathematics) subjects; a year on, CHSS's award figures (compared to last year) are looking abnormally good, but it must be remembered that the impact of the Recession began almost a year earlier for the humanities and social sciences community, and a fairer benchmark might be a comparison with 2007/08 figures.

Taking into account the inescapable fact that there are fewer opportunities open to academic colleagues this year, with some funder types such as government contracts almost non-existent in some sectors and less opportunity for some of the more specialist disciplines, it would be optimistic to expect application growth. The University's goal must, though, be to maintain activity levels and at -9%, we are slightly behind where we would hope to be. The number of awards received so far this year is not far off where it should be, but what is missing this year is *value*; fewer high-value awards are around and we have evidence of a number of sponsors cash-limiting projects where they have not done so formerly.

Edinburgh Research and Innovation (ERI)'s Research Support and Development group plays a key role, not only working in partnership with academic colleagues to facilitate the highest quality research proposals but also to identify relevant sources of funding, in particular from EU and overseas, whilst ensuring that the main UK funders are not neglected. Further information on ERI's activity this past quarter can be found in Section 2 of this report.

### 1.2 Applications

#### 1.2.1 Number

In January, we advised that the University as a whole was reporting applications 5% behind the same period last year. This position has very slightly deteriorated to 9% behind at the end of April, although this did improve to -7% at the March month-end. This manifests itself as 169 applications fewer than as at 30 April 2009. By the end of April 2010, the University had submitted 1,814 applications (c.f. same period 2008/09: 1,983)

Once again CMVM reports year-on-year growth in its application activity, some 7%, or 39 applications, *ahead* of the same period last year, although the momentum does appear to be showing signs of slowing. Biomedical Sciences remains particularly strong, recording 46% more applications than at Q3 2008/09. R(D)SVS, however, shows a negative variance of 12% for April, although this should be borne in the context of positive variances for the two preceding months.

CHSS has seen its position improve since the Q2 report, moving from -17% to -12%, or 72 fewer applications than as at April 2009. Arts, Culture and Environment (ACE), Health in

Social Science (HiSS), Literatures, Languages and Cultures (LLC) and Social and Political Science (SPS) are all showing application activity *ahead* of the same period last year, with History, Classics and Archaeology (HCA) (-48%) and Philosophy, Psychology and Language Studies (PPLS) (-33%) continuing to struggle to achieve 2008/09 levels.

While the College of Science and Engineering (CS&E) has seen a slight reduction in application activity since our Q2 report, activity has been fairly stable over the past 3 months, ending the quarter at 16% (or 134 applications) behind. With the exception of Physics, all Schools in CS&E are showing negative variances although with Informatics and Biological Sciences these are single-digit and therefore relatively insignificant. Mathematics (-37%), Geosciences (-29%), Chemistry (-28%) and Engineering (-24%) show the largest falls.

## 1.2.2 Value

The total value of applications submitted by the end of April was £668,503k, or 9% behind the same period last year, showing a rather different picture from our Q2 report where application value was 4% up. Interestingly CHSS is bucking the downward trend, actually showing double-digit *growth* in application value compared to the same period last year.

Strong performance in March and April saw CHSS's application value rise to £76,952k, some 10% ahead of the same period last year. Indeed this College has already achieved nearly 92% of its total application value for the whole of last academic year, reflecting a pattern of fewer, higher-value applications being submitted. Of particular note is LLC which has submitted applications worth £9,037k, some £5,136k more than the value of applications submitted for the whole of last year, and significantly more than the previous two years' whole-year figures also. This is a similar story for ACE, SPS, Divinity and HiSS, all of which at the end of Q3 have submitted proposals valued in excess of the whole of last year's application values for their respective Schools. HCA, Law, PPLS and Moray House all continue to show reduced application values, the most concerning being the latter two, which both experienced a reduction in application value last year as well.

During the course of this quarter, we have seen a slow but steady month-on-month reduction in application value for CS&E, moving from a position of +7% at the end of Q2 to -4% at the end of April, compared to their respective periods last year. The College has applied for some £361,916k of applications for the year to date, £13,659k less than the same period last year. This total conceals some strong performances, though, from Geosciences, up 56% and Biological Sciences, up 33%. Indeed, Biological Sciences has already exceeded the value of applications for the whole of last year by some £1,987k, and Geosciences is under 1% away from its total year 'target'. Mathematics is showing the largest negative variance (-71%), with Chemistry some 34% behind. Engineering and Physics too are seeing reduced application value this year, although the measure is less.

Despite a good number of applications for the past quarter, there is less value to be seen in CMVM proposals at the end of April, some 16% down on the same period last year and a fall from the +1% variance seen at the end of Q1. £229,143k of proposals have been submitted compared to £291,365k for the same period last year. The main reason for this is a significant 71% (£83,165k) reduction in R(D)SVS application value this year; this was predicted this time last year as the consequence of the merger with the Roslin Institute and the 'spike' caused by the University's acquisition of Roslin's existing applications and awards. The other three Schools show good performance, especially Biomedical Sciences, which is 38% ahead and Clinical Sciences and Community Health (CSCH) (+12%). Indeed, Biomedical Sciences has now exceeded the value of applications for the whole of last year by nearly £2M.

## **1.3 Awards**

### **1.3.1 Number**

After a disappointing first six months of the academic year, where awards received by the University were some 9-10% behind the same period last year, Q3 shows an improved position, with the negative variance reducing to just 3% behind the same period last year. The University has secured 709 awards for the year to date, just 19 behind the same period last year, and therefore statistically fairly insignificant. Interestingly, CMVM and CS&E are exactly neck and neck at 281 awards each, an identical situation to this time last year where they held 287 awards apiece! This quarter saw CS&E finally dip into negative variance after a prolonged period of year on year growth. We predicted that CS&E would be the last College to experience a downturn, given the Government's desire to 'protect' STEM (Science, Technology, Engineering and Mathematics) areas.

In CS&E excellent award results (ahead of the same period last year) in Engineering (+29%), Geosciences (+36%) and Physics (+5%) have compensated for negative variances in Chemistry (-33%), Biological Sciences (-18%) and Informatics (-8%). At -54%, Mathematics shows the largest negative variance with 6 awards secured so far this year but this should be borne in the context of last year's 'spike' of 18 awards compared to the previous two years of 11 and 10 respectively.

In CMVM, CSCH saw an 18% increase in number of awards compared to Q3 last year, with the negative variances for Biomedical Sciences and Molecular and Clinical Medicine (MCM) too statistically insignificant to give cause for concern. We continue to see the other side of the Roslin 'spike', with 15 fewer awards reported for R(D)SVS than the same period last year, although it should be noted that the award numbers for this School are still significantly greater than before the merger,

At just 6% behind the same period last year, manifesting itself as a mere 9 awards, CHSS appears to be showing reasonable performance although it must be remembered that this time last year we were reporting a 14% (24 awards) drop in award number from the previous year, so the cumulative effect of the current year and that of last amounts to 19% down on the year 2007/08. Despite this gloomy picture, ACE, Business School, and HiSS have all shown modest growth in award numbers compared with last year, with SPS, Law and LLC showing strong growth to help offset the continuing disappointing results seen by HCA, Moray House and PPLS.

### **1.3.2 Value**

The third quarter sees the return of the negative variance of -23% reported in our Q1 report showing a deterioration from the -17% position reported in our Q2 report. This does, though, represent an improved position from the March month-end, where we saw the year-on-year variance drop to -29%. The award total for the year to date is currently £138,313k (c.f. YTD last year: £180,009k).

Simply comparing the year to date with the same period last year shows CHSS running at just 1%, or £157k behind, with projects totalling £11,985k awarded. This time last year, however, the total awards secured were some 38% (or £7,550k in cash terms) lower than for Q3 2007/08, so the cumulative effect of the year to date plus last year is some 39% lower than for 2007/08. The trend of the smaller Schools faring better than the larger ones in CHSS, in terms of awards values, has continued with Business School, ACE, Divinity and HiSS all showing

significant growth compared to the same period last year; indeed the latter three have already convincingly exceeded their 2008/09 whole-year award values. Of the larger Schools, SPS is the exception, mainly as a result of the renewed Genomics Forum grant as reported in Q2, worth £2.6M. As a consequence, SPS is within 1% of attaining its 2008/09 whole-year award value. Of the other Schools, PPLS in particular continues to give cause for concern, its award values being down by 75% (£3,896k in cash terms) compared to the same period last year, which itself saw a reduction on the previous year.

CMVM reports a year to date negative variance of -39%, although for rather different reasons. This represents a significant drop from the -12% position reported at the end of January and in cash terms, shows £34,673k less of awards than Q3 2008/09. Most of this gap can be put down to the large £33,600k one-off award made to the Roslin Institute by BBSRC last March, which was on top of a number of existing old Roslin Institute grants which the University acquired, valued at several £million. An interesting comparison might be the year to date 2007/08 (i.e. the year before the Roslin merger) where the total award value for Q3 was £59,249k (cf YTD 2009/10: £55,110k). Putting R(D)SVS aside, MCM has secured awards of £19,523k, some 41% up on the same period last year and already exceeding the total award value for the whole of last year by £769k. The total award values for CSCH and Biomedical Sciences are down on the past year, respectively of 17% and 37%.

CSE has seen its Q2 position of -16% for the year to date improve to -13%. The College has now secured awards to the value of £67,578k (cf 2008/09 £77,266k). Engineering and Geosciences continue to report awards significantly in excess of last year's equivalents. Engineering is some 122% ahead for the year to date and is just £32k away from matching the total value of last year's awards, Geosciences is reporting awards up 88% over the same period last year. For Mathematics, last year's £6,101k of awards is now looking like an abnormal 'spike' as the School has only managed to land £97k so far this year. Biological Sciences (-30%) and Informatics (-35%), while continuing to show negative variances, have improved their position since our Q2 report

#### **1.4 Sponsor type profile**

For awards, sponsor type profiles are plotted for the University as a whole and for each College in Appendix 1. These depict awards by sector type, comparing the Q3 award values with last year's total year figures. Assuming 2008/09's total year figures as this year's rudimentary 'targets', the tables show the percentage of 'target' achieved in each sector. The pie charts show the percentage share by value for each sponsor type proportionate to the whole, comparing Q3 2009/10 with full year 2008/09.

For the University as a whole, we are experiencing quite a reduction in Research Council award value (38% down) although this still remains our majority funder type, particularly in Science and Engineering. Charity funding too is down (by 22%) as, not surprisingly, is industry. EU funding, on the other hand, is on the increase, particularly in Science and Engineering, and could potentially take the place of the charities as our second largest funder type. EU funding is a strategic priority for ERI's Research Support and Development group, and Section 2 of this report gives further information on how we are profiling this key funder. Government contracts (including Health Authorities) remain strong in some sectors, although in certain areas such as education, they are now thin on the ground.

The pie chart for the year to date for the University as a whole continues to show little variance from that of last year. Since the last quarter, however, EU and Government shares have grown at the expense of Research Councils and Charities.

In CS&E, since the last quarter, the Government share has decreased to make way for increases in the EU (from 16% to 20%), industry and charities shares.

In CMVM, since last quarter, Charity and EU have decreased to allow for larger shares of Research Council and Government funding. Compared to last year, however, EU and Government currently enjoy a higher profile in the funder mix.

In CHSS, the pie chart has changed markedly from that featured in the Q2 Report where there was a heavy 71% Research Council presence and very little Government and EU representation; the revised chart now bears a strong resemblance to last year's composition and perhaps a healthier balance given the current climate.

## **1.5 Country Analysis**

Appendix 2 plots award value by sponsor country, comparing the year to date with the previous year's total year figures. Rather than list every sponsor country, which would make for a somewhat confusing chart, we have selected the 4 largest sponsor countries – UK (excluding Scottish funders), 'EU', Scotland and USA. All other countries have been grouped together as 'others' but collectively they represent a very small percentage as the charts show. As part of our strategy to increase awards from overseas sponsors, linked in to the University's internationalisation strategy, we would, over time, hope to be able to introduce more countries to this chart, thereby making it a rather more useful tool.

The pie chart for the University as a whole has changed from the one featured in the Q2 report to show less reliance on UK sponsors, and slightly more US, Scottish and EU presence. In CS&E, one-fifth of funding for the year to date is from the EU, with 17% of HSS funding from that source, both increased percentages from the Q2 report. CMVM and CHSS have seen a decreased reliance on UK sources since the Q2 Report and an increased percentage of Scottish funders.

## **2. RESEARCH DEVELOPMENT ACTIVITIES**

### **Introduction**

This section summarises key activities undertaken by ERI's Research Support & Development team since the previous Q2 report of January 2010.

### **Events**

To raise awareness and to highlight the importance of EU research funding, 'EU Week', supported by Professor Andrew Scott, Dean International for Europe, was held at the beginning of May. A total of 10 events, featuring speakers from Scotland Europa, the Research Councils' UK Research Office and the Commission itself, were held, allowing the 240 UoE researchers and research administrators attending to find out more about Framework 7, as well as to hear of calls in several key thematic areas due to be published later this summer. ERI sees EU funding as an important complement to UK Research Council funding, given that its budgets are set to the end of 2013.

A programme of events to run during the course of 2010, highlighting postdoctoral funding opportunities, was launched in January. A total of five events took place in the last quarter, attracting 54 participants from several schools.

Other special events included a learning lunch for CHSS on 'Impact and the Application review', attracting 35 researchers. A European Research Council briefing for applicants was also held, providing hints and tips on proposal writing, with practical advice from a previously successful applicant.

### **International Activities**

The Research Development team remains very active in supporting the University's Internationalisation Strategy, by attending Regional Focus Group meetings and working more directly with the Global Health Academy to advise on possible streams of funding to support their activities. We intend to allocate more time to facilitating international research activity, as part of our business objective to identify diversified funding streams.

### **Communication strategy**

The project to deliver a more comprehensive Research Support & Development website for University staff was completed in April. The site more prominently highlights international funding opportunities, as well as providing an improved Dossier of Successful Applications. The Dossier gives examples of successful applications for those who have not applied to a particular funder before, and is one of our most consulted documents.

A marketing campaign was launched to raise awareness, and increased usage of, *Research Professional*. This web-based product allows researchers to run personalised funder searches based on their area of expertise or interests, sending email bulletins to their desktop as new opportunities arise. With support from Corporate Services Group, we upgraded our subscription in the New Year to include UK, European and international research news, providing our academic colleagues with more, up-front, funder intelligence.

### **Activities going forward for Q4**

- A rolling programme of UK funder workshops is currently under development, to start in the autumn. Visits are now scheduled for The Leverhulme Trust, The Royal Society of Edinburgh, The British Academy, and The Wellcome Trust.
- We are currently putting in place a relationship management programme with our main UK funders utilising our Inteum contact management software, which will enable us to have a planned and managed ongoing dialogue with key personnel in these organisations, enabling us to pass on the latest funder intelligence to our academic colleagues.
- This summer, we will move our newly developed Research Support and Development website over to Polypoly, the University's new website platform, which will give the site a more professional look, with increased functionality.
- An international visit to key US funders is currently being planned, building on Carolyn Brock's visit that took place in summer 2009.
- Hamish Macandrew now attends in an informal, six-monthly meeting of the 'Big 6' Russell Group Research Directors on behalf of the University, the next meeting

taking place in Cambridge this autumn. This is a useful forum for discussing key issues affecting the sector.

### **3. UNIVERSITY RESEARCH INCOME**

The year to date research income for the University (including Support Services) stands at £130,186k, an increase of 9% on the same period last year.

Income for CMVM is up 13% for the year to date, amounting to £58,919k. CS&E now stands at £56,780k or 6% up on the same period last year. CHSS research income now totals £12,935k, 3% up on the same period last year. For completeness, Support Services have received income of £1,552k for the year to date, an increase of 11% on the previous year.

### **4. INVENTION DISCLOSURES**

In the 9 months to 30 April 2010, 98 disclosures were made compared to 158 for the same period last year.

### **5. PATENT FILINGS**

In the 9 months to 30 April 2010, 72 patents were filed on technologies compared to 58 for the same period last year.

### **6. LICENCES**

In the 9 months to 30 April 2010, 59 licence deals were signed compared to 27 for the same period last year.

### **7. COMPANY FORMATION**

In the 9 months to 30 April 2010, 5 spin-out (py 0) and 25 start-up (py 10) companies have been recorded.

### **8. CONSULTANCY**

In the 9 months to 30 April 2010, consultancy income processed through ERI was £3.7m compared to £3.3m for the same period last year, a rise of 13%.

### **9. TECHNOPOLE SCIENCE PARK**

Little activity to report, although H2ology has now leased some space previously vacated by the departure of Texonet.

Hamish Macandrew, Carolyn Brock, Ian Lamb, ERI, 14 May 2010

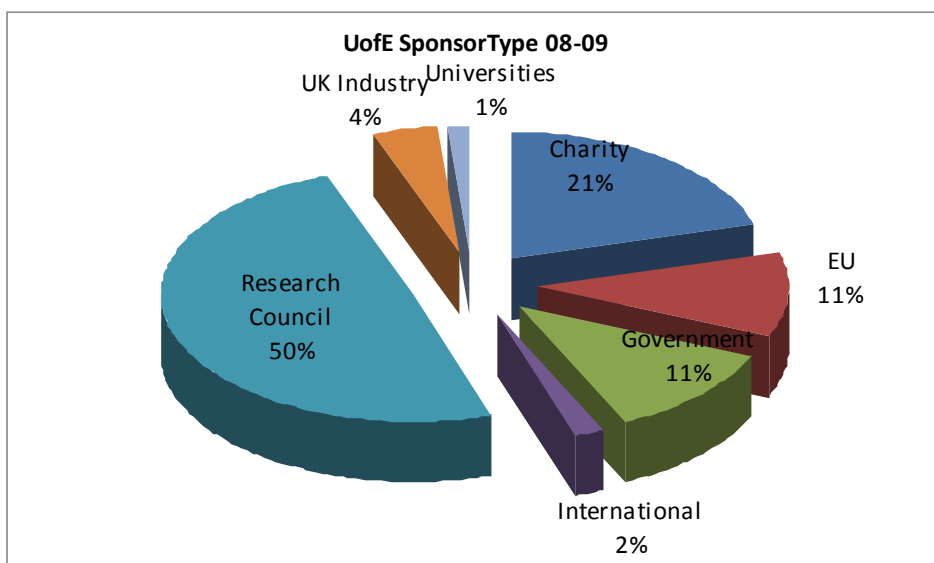
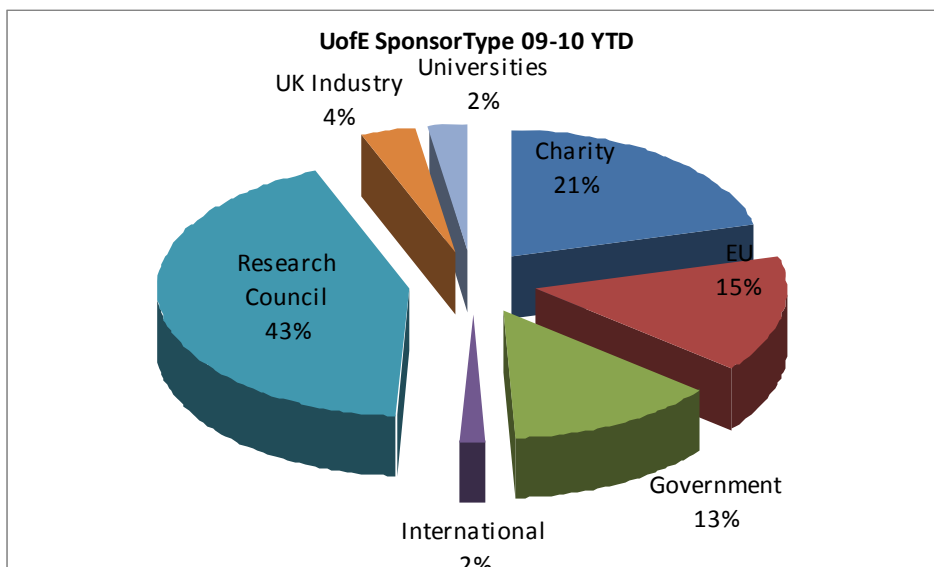


## Appendix 1

### Analysis of Awards by Sponsor Type, comparing Q3 2009/10 with full year 2008/09

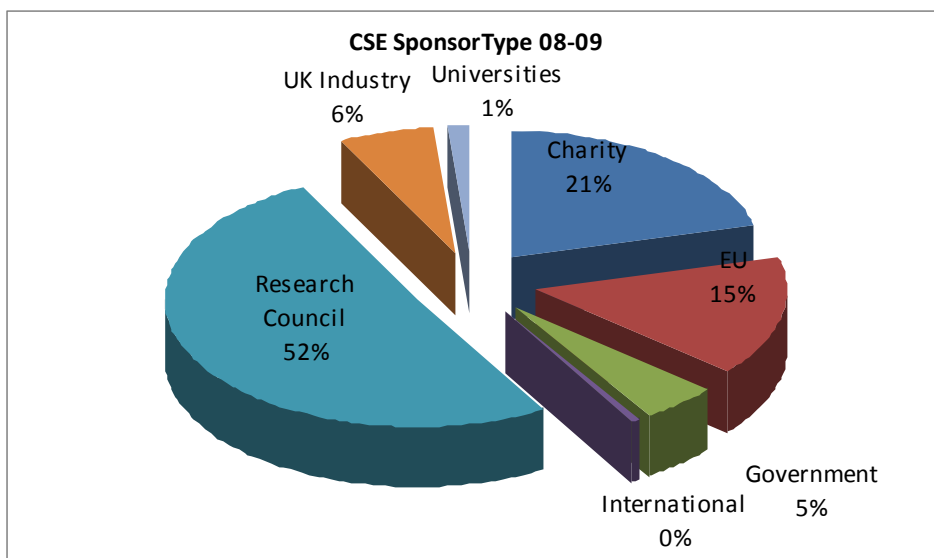
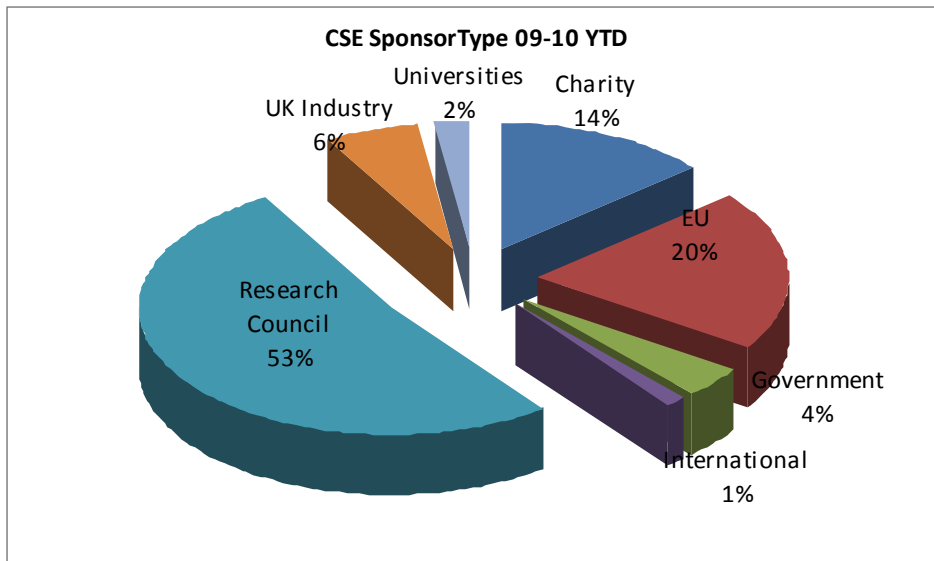
#### University of Edinburgh

	YTD	2008/2009	% of Target
Charity	£28,703,676	£51,426,942	56%
EU	£20,967,877	£26,997,829	78%
Government	£18,523,522	£28,543,618	65%
International	£2,273,984	£4,768,057	48%
Research Council	£59,422,705	£123,492,343	48%
UK Industry	£5,068,675	£10,574,113	48%
Universities	£3,352,752	£3,134,896	107%



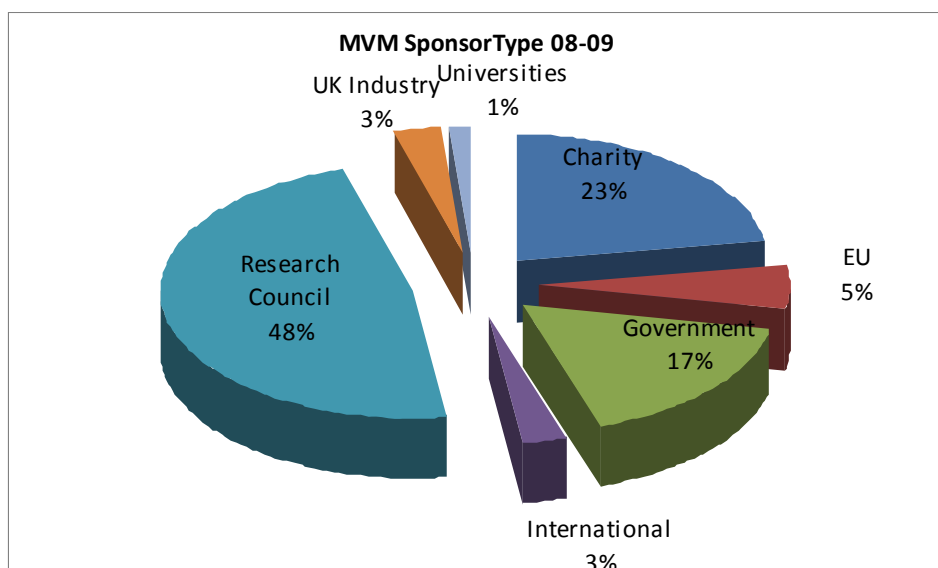
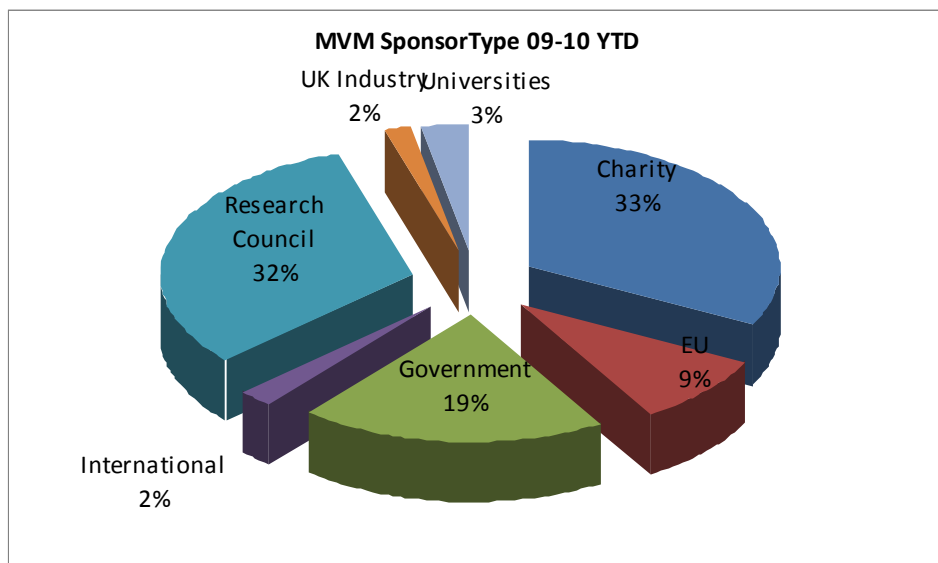
## College of Science and Engineering

	YTD	2008/2009	% of Target
Charity	£9,397,254	£21,859,906	43%
EU	£13,694,531	£15,958,449	86%
Government	£2,801,531	£5,336,916	52%
International	£880,683	£505,239	174%
Research Council	£35,135,592	£53,532,002	66%
UK Industry	£4,121,384	£6,596,635	62%
Universities	£1,546,965	£1,331,036	116%



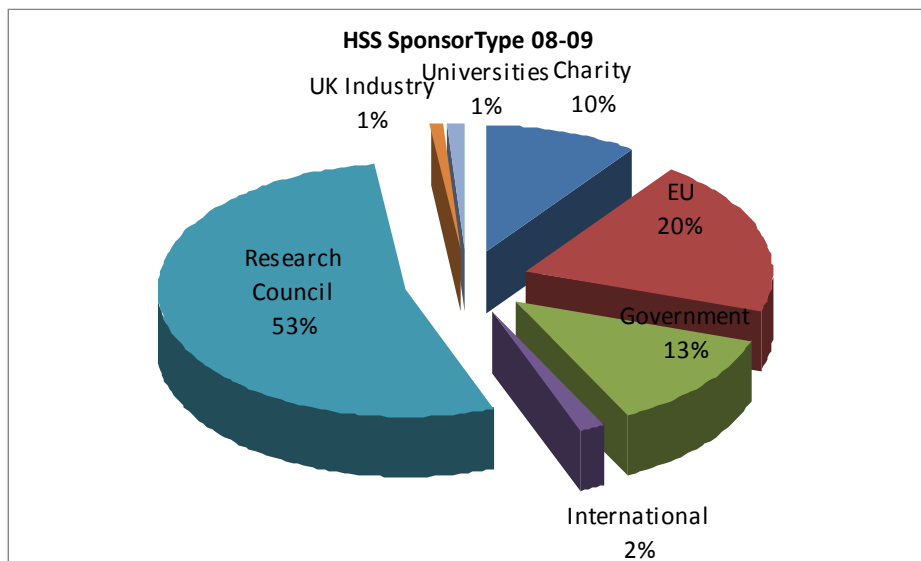
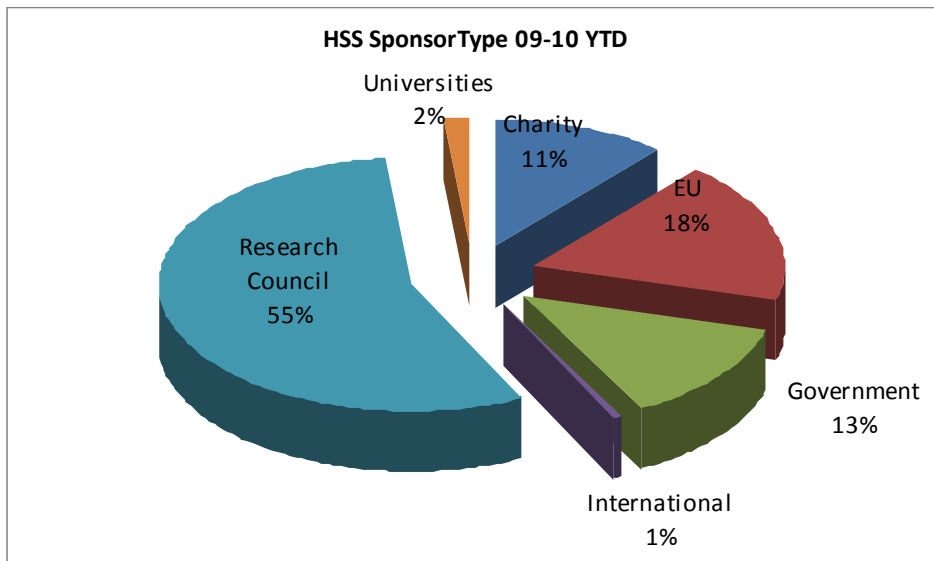
## College of Medicine and Veterinary Medicine

	YTD	2008/2009	% of Target
Charity	£17,928,002	£27,275,251	66%
EU	£4,946,602	£6,591,827	75%
Government	£10,736,287	£20,459,006	52%
International	£1,329,069	£3,244,422	41%
Research Council	£17,616,081	£57,838,580	30%
UK Industry	£944,507	£3,778,702	25%
Universities	£1,609,122	£1,569,662	103%



## College of Humanities and Social Science

	YTD	2008/2009	% of Target
Charity	£1,318,420	£2,133,052	62%
EU	£2,181,531	£4,264,114	51%
Government	£1,568,330	£2,698,533	58%
International	£64,232	£331,481	19%
Research Council	£6,653,237	£11,535,499	58%
Universities	£196,665	£211,688	93%

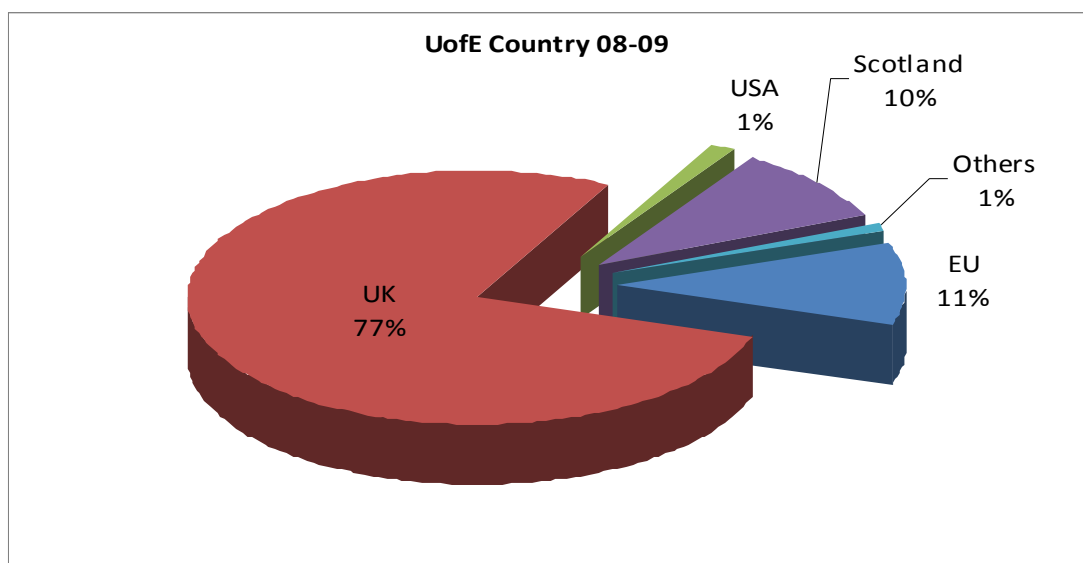
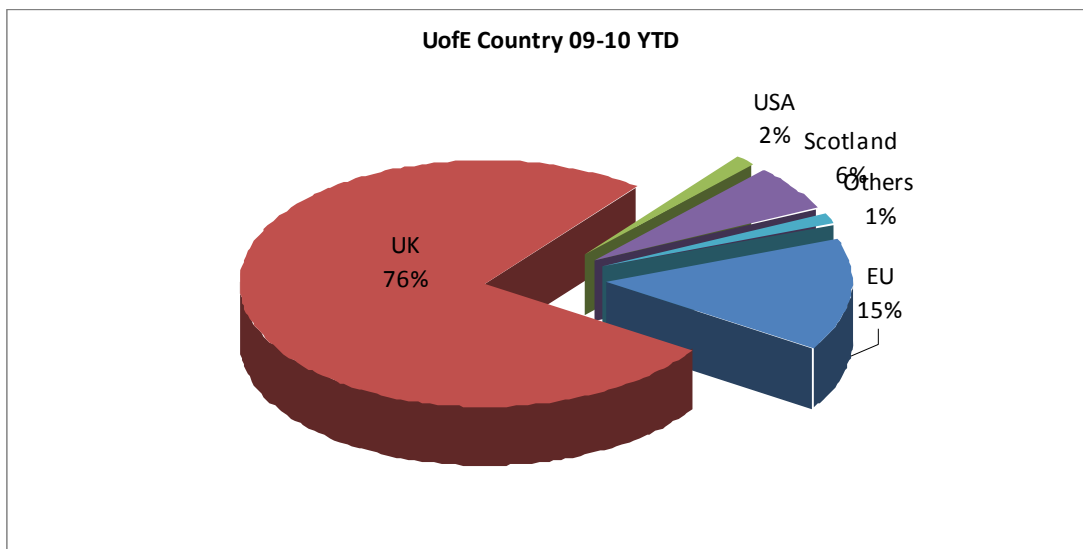


## Appendix 2

### Analysis of Awards by Country, comparing Q1 2009/10 with full year 2008/09

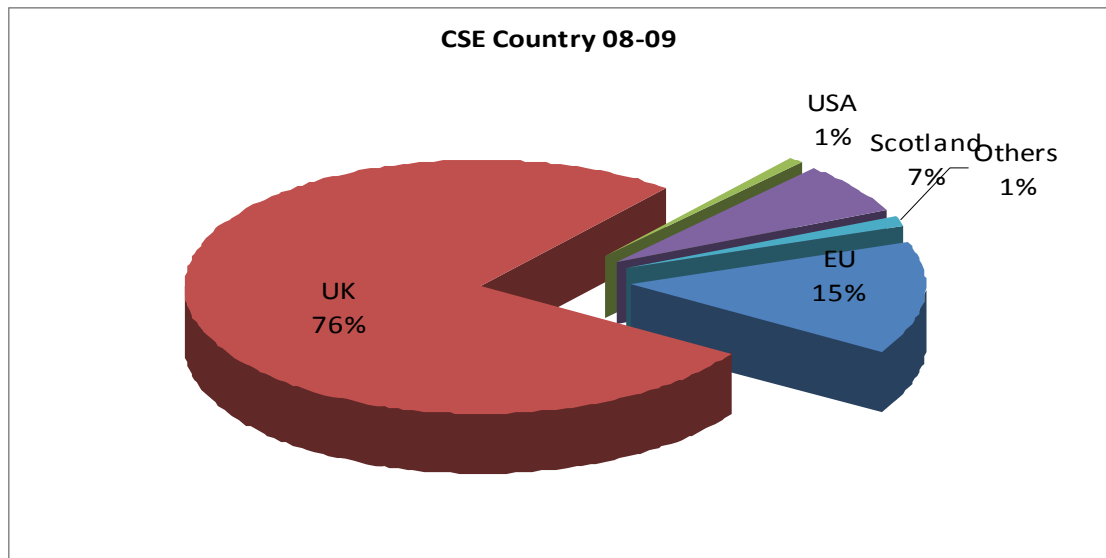
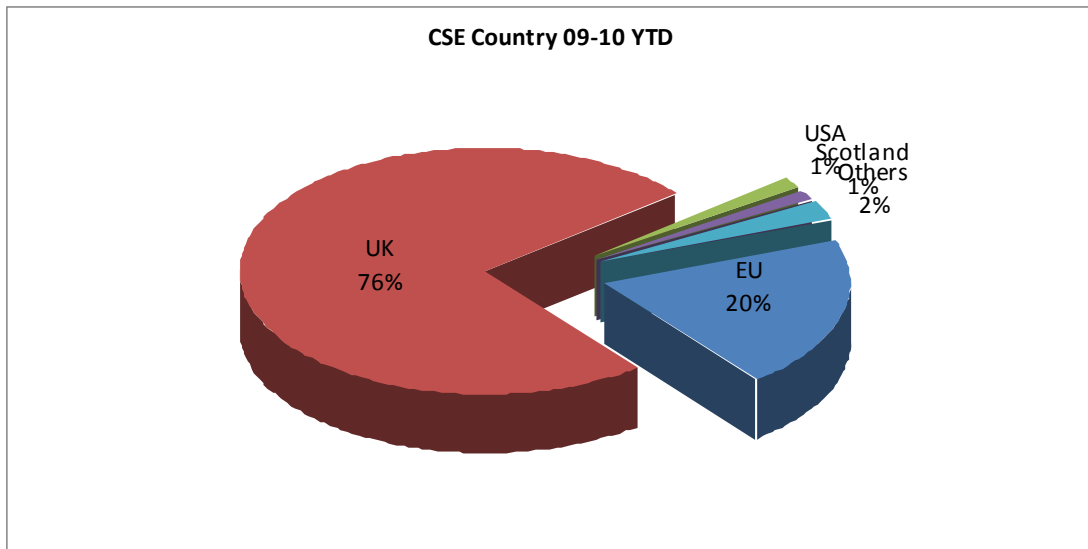
#### University of Edinburgh

	YTD	2008/2009	% of Target
EU	£20,478,704	£26,498,886	77%
UK	£105,354,996	£192,853,837	55%
USA	£2,225,983	£3,010,039	74%
Scotland	£8,251,106	£24,222,670	34%
Others	£2,002,402.00	£2,344,677	85%



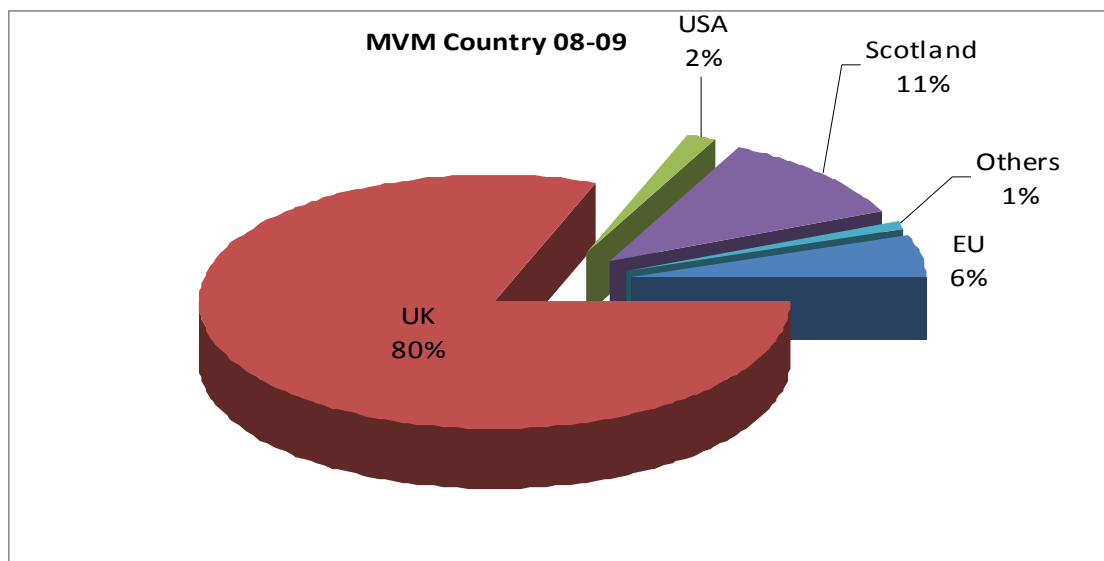
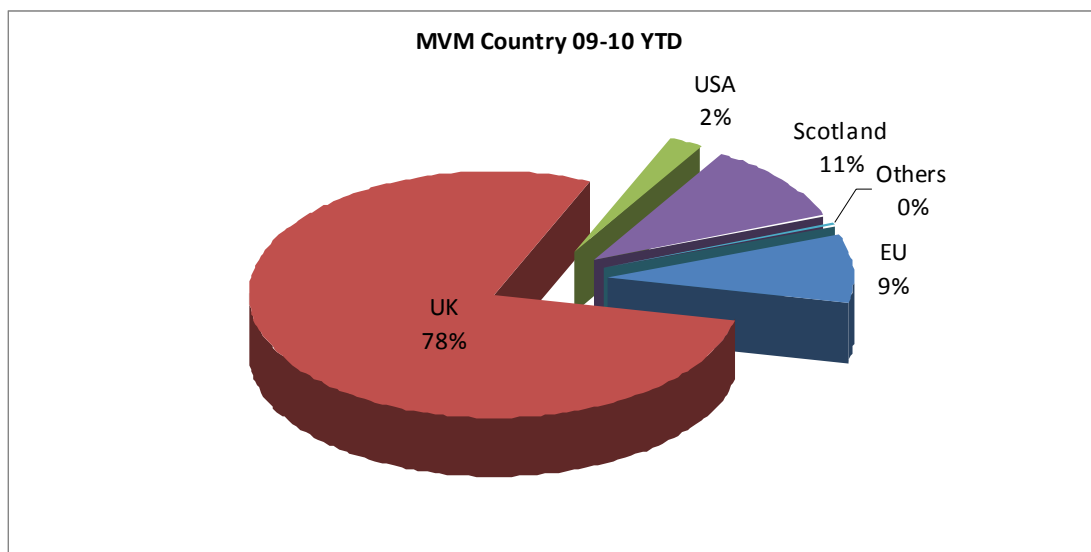
## College of Science and Engineering

	YTD	2008/2009	% of Target
EU	£13,490,419	£15,355,662	88%
UK	£50,613,035	£81,299,808	62%
USA	£932,280	£1,030,300	90%
Scotland	£946,075	£7,027,932	13%
Others	£1,596,131.00	£1,090,837	146%



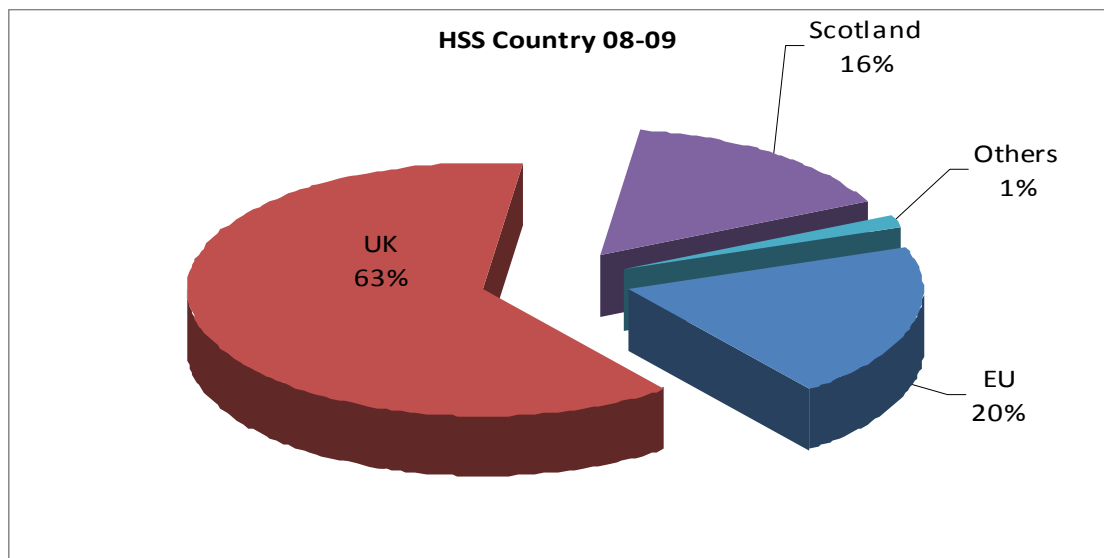
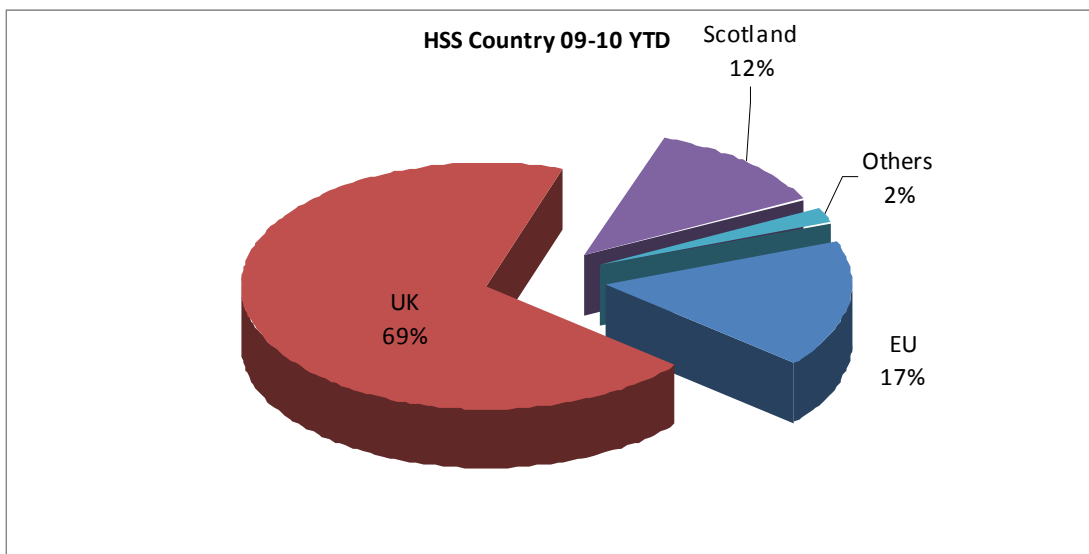
## College of Medicine and Veterinary Medicine

	YTD	2008/2009	% of Target
EU	£4,848,723	£6,695,671	72%
UK	£42,996,369	£97,321,494	44%
USA	£1,261,702	£1,974,611	64%
Scotland	£5,828,715	£13,805,869	42%
Others	£174,161.00	£901,905	19%



### College of Humanities and Social Science

	YTD	2008/2009	% of Target
EU	£1,994,349	£4,264,114	47%
UK	£8,250,423	£13,438,377	61%
USA	£32,001	£5,128	624%
Scotland	£1,476,316	£3,366,359	44%
Others	£232,110.00	£294,035	79%





21 June 2010

**University's Estate Strategy 2010-2020**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

Attached is a final draft of the Estate Strategy which has received approval from the University's Estates Committee (EC) on 2 June, F&GPC on 7 June and CMG on 16 June. EC discussed the funding scenarios in Chapter 6 and, in terms of the realistic funding scenario, approved, in principle, the priority projects identified by Colleges and Support Groups. EC endorsed for inclusion in the final version of Chapter 6, the funding scenarios now modelled and presented in the paper and these were further approved by F&GPC and CMG.

Action requested

University Court is invited to approve the **final** version of the Strategy attached. Court should note that the document will be prepared in a format similar to other corporate documents including the Strategic Plan, and this will be circulated to Court members in due course. The Scottish Funding Council will also receive copies.

Resource implications

Does the paper have resource implications? Yes, these are described in Chapter 6, Finance.

Risk assessment

Does the paper include a risk analysis? No, although the Strategy identifies 3 different funding scenarios in chapter 6.

Equality and diversity

Does the paper have equality and diversity implications? The Strategy makes reference to Equality and diversity as one of its key themes.

Freedom of information

Can this paper be included in open business? No. Its disclosure would substantially prejudice the commercial interests of any person or organisation. The paper can be set to 'open' once the Estate Strategy is published.

Any other relevant information

None

Originator of the paper

Maureen Masson, Business Manager, Estates and Buildings

To be presented by

Vice-Principal McMahon, Vice-Principal Planning, Resources and Research Policy

The University of Edinburgh

The University Court

21 June 2010

## **Report from Court Effectiveness Review Group**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The attached document is the final Report from the Group established by Court to undertake a review of the effectiveness of Court and its Committees. The Report sets out 18 specific recommendations and a further four suggestions.

### Action requested

Court is asked to consider the Report and comment on the proposed recommendations and suggestions.

### Resource implications

Any resources implications required to implement any of the recommendations or suggestions will be met from within existing budgets.

### Risk assessment

There is potential reputation and compliance risks if Court and its Committees were not operating effectively.

### Equality and diversity

There are equality and diversity issues associated with the appointment of Court and Committee members which will be addressed through HR good practice arrangements.

### Freedom of information

Can this paper be included in open business? Yes

### Originator of the paper

Ms G Stewart, Convener, Court Effectiveness Review Group  
Dr Katherine Novosel, Head of Court Services

### To be presented by

Ms G Stewart, Convener, Court Effectiveness Review Group

## **Court Effectiveness Review - Report to Court**

### **Preamble**

In December 2009 Court approved the establishment of a Group to undertake a review of its effectiveness in accordance with the CUC Guide for Members of Governing Bodies and the previous decision by Court that such a review should be undertaken every four years; the previous review had been undertaken in 2005/2006. The membership of the Group was approved by Court at its meeting on 15 February 2010:

Ms Gill Stewart (Convener)

The Principal

Dr Aliotta

Professor Barbour

Dr Markland

Professor Smyth

University Secretary

Mrs Travers (external member - former Chancellor's Assessor and Convener of Court at the University of Glasgow)

In the event, Professor Barbour was unable to join the Group due to previous commitments and Professor Monro kindly agreed to become a member in his place.

Court asked the Group to take forward matters which had arisen during discussions between the Vice-Convener, the University Secretary and individual members of Court as part of the agreed process regarding 'appraisal' of Court members as set out in paper C9.1 of 14 December 2009 and to undertake the following tasks:

- Determining the extent to which and how well Court fulfils its remit as set out in the Universities (Scotland) Acts and in the Statement of Primary Responsibilities
- Review of Court's operation and the conduct of its business
- Review of Court's Committee structure

The Group met on 4 occasions. In order to fulfil its remit the Group considered a number of documents, including the CUC Guide for Members of Higher Education Governing Bodies in the UK, the approved terms of reference and reporting structures of the current major Committees of Court and the approved Statement of Court's Primary Responsibilities. It also reviewed the items routinely presented to Court and Finance and General Purposes Committee, considered the Committee structure of comparable institutions within and outwith the sector, received information on the relationship between Senate and Court and undertook an exercise using a framework developed by the Leadership Foundation to assist the sector in reviewing the effectiveness of their governing bodies. The framework provided further assurances on the effectiveness of Court's current operating procedures and that it was undertaking all its required tasks. The Group has been greatly assisted in its deliberations by the experiences of its external member who has provided much valued advice.

The Group decided at an early stage not to prepare a questionnaire but the Convener of the Group invited Court members and attendees to submit further comments on issues already raised at Court or to submit new issues which the Group should debate.

### **Context**

The Group's starting point was that although Court members felt that Court and its Committees worked reasonably well, the current stringent financial climate was not likely to

change for the foreseeable future and would require a governance framework which was as visible, fleet of foot, strong, effective and informed as possible. Thoughts on good governance generally were likely to develop and Court must be responsive to this. The question for the Group was therefore: how could the current governance arrangement be strengthened, taking account of comments already raised by Court members and attendees? It was acknowledged that each and every member of Court, however appointed, shared equal responsibility for decisions taken by Court. It was therefore imperative that each Court member was able to participate and contribute as fully as possible, not only at Court meetings, seminars and away days but also as Committee members.

## **Work plan**

After initial discussion to scope the exercise, 5 main areas of work were identified, with individual Group members asked to lead on each:

- the role and remit of Court
- Court structure and composition
- Committee structure
- conduct of Court business
- induction/mentoring/support and appraisal of Court members

Account was also taken of additional points made to the Group's Convener.

The remainder of this report sets out the conclusions and recommendations of the Group under each of the headings above: there are 18 recommendations and four further suggestions for action. There were some issues where it was felt current arrangements were not entirely satisfactory but where it was considered that changing practice would be controversial and consume a great deal of time and energy. This could distract attention from the governance task at this critical time for the University. However, these issues are unlikely to go away and may become more pressing at some future stage.

## **Role and Remit of Court**

The Group reviewed the approved Statement of Court's Primary Responsibilities and compared it with information currently presented to Court and the statements of some other comparable Scottish universities. It was felt that although Court was adequately discharging its responsibilities and the Statement covered most of the necessary issues, there were some omissions and that it could be ordered in a way which gave it a sharper strategic focus. A revised Statement is attached at appendix A. Proposed changes and additions are highlighted. In particular, the Group suggests a greater emphasis on people issues (both staff and students) on fundraising and a strengthening of the reporting links with Senate. The Group **recommends** that this revised Statement be adopted by Court and brought to the attention of students and staff through its publication on the University's web site and the proposed bulletin discussed below.

The Group also agreed that ad hoc meetings with Senate on topics of mutual interest could be useful and that Court members should be encouraged to attend Senate meetings.

The Group considered the lack of visibility and understanding of Court's role within the University – as one commentator put it “What is Court for?” This is not a trivial point as it is inextricably linked with the important concept of accountability and visible accountability at that. The Group considers that preparation of a short bulletin, primarily aimed at staff and students, could help improve both visibility and accountability. The bulletin could be circulated through publication on the University's public web site after Court meetings describing, in an interesting way, the main items of business discussed and decisions taken.

This could probably best be undertaken by Communications and Marketing and the Group so **recommends**.

### **Court structure and composition**

Court comprises 22 members, the Rector's Assessor and 7 senior staff invitees. Other senior staff, for example the Deputy Secretary and Director of Planning, the Director of Finance, the HR Director and the Director of Estates and Buildings, also attend on a regular basis. At any meeting there will be well in excess of 30 people. This is not ideal, particularly for a decision-making body, and the mixture of members and attendees risks a blurring of accountability. On the other hand, it does help to ensure informed discussion of often complex items and it is important that senior staff have first hand experience of what goes on at Court. The size of the group presents challenges, however, both in terms of conducting meaningful discussion and of how to accommodate so many people appropriately in one room.

Other complicating factors are that some members are co-opted whilst others are nominated or elected, terms of appointment are not uniform and the Court is chaired by an independent person (the Rector) who is elected by staff and students. To revise the composition of the Court would require amendment by Ordinance and would undoubtedly be a lengthy and contentious process. The Group would not suggest this at this time, although it may well need to be re-visited as corporate governance develops and moves on.

Instead, the Group has sought to find ways of strengthening the current structure. The Group **recommends** that the University moves towards a common approach for all appointments, with individuals being selected on a skills basis, which should be reviewed and agreed by Court on the advice of Nominations Committee on a regular basis, and with similar terms of appointment. Appointments should be renewable once, provided performance and attendance are satisfactory, but only in very exceptional circumstances should someone serve more than two terms. This has particular implications for General Council, Senate and staff appointees and will need to be explored further with them. It will also require greater clarification, understanding and dissemination of the duties and responsibilities of Court members, the requisite generic and particular skills sets and the time commitment involved in serving on Court and its Committees. It may be helpful to offer a meeting with the University Secretary and the Vice-Convener of Court prior to an individual putting their name forward for appointment or election so that they had a clearer understanding of the roles and responsibilities of becoming a Court member. Further recommendations are set out below on the conduct of Court business, which are designed to strengthen Court's effectiveness and strategic role and the contribution of all Court members.

Despite the issue of numbers, the Group **recommends** that senior staff continue to attend and participate in Court meetings for the reasons set out above. It is already open to Court to hold closed sessions without officials present, if it so wishes and individuals can be excluded where there are potential conflicts of interest. Further, the Group **recommends** that, so far as possible, meetings are held in light, airy rooms with good sightlines and acoustics and which are large enough to accommodate everyone reasonably comfortably. The Group believes this will facilitate and encourage discussion and an open exchange of views. The Raeburn Room, Old College is not ideal for this purpose.

The Group gave particular consideration to the role of Rector and the related role of Vice-Convener of Court. Although the current and recent Rectors have discharged their role professionally and well, there is no guarantee that this will always be the case. In addition, if the Rector is unable, for whatever reason, to discharge his or her responsibilities for a period of time, a disproportionate and added burden tends to fall on the Vice-Convener of Court. The Group considered that the election of an inappropriate Rector posed a risk to the

University's reputation and standards of governance. It did not have time to consider this issue in detail but deems it important enough to merit further consideration with a view to mitigating the risk. The Group therefore **recommends** that this issue be remitted for further consideration to a group comprising the Rector and staff and student representatives of the Court. It is suggested that their consideration should also take into account arrangements adopted in other similar universities.

### **Committee structure**

The Group reviewed the current Committee structure and looked at structures in other universities. The Group also looked at the remits of the various Committees and agendas for meetings and was satisfied that remits were being discharged appropriately. The current Committee structure seems acceptable with no obvious omissions, although the Group notes with interest the new proposal for a Knowledge Strategy Committee and awaits sight of the terms of reference, including in particular the proposed membership, reporting and other arrangements for the new Committee.

The Group considers that there would be some merit in Conveners of Committees meeting from time to time to discuss matters of common interest. Also, given the risk of an undue burden falling on the Vice-Convenor of Court, the Group **recommends** that the Nominations Committee considers whether some of the Committees currently convened by the Vice-Convenor of Court could or should be convened by another Court member and to make recommendations in due course to Court on this matter.

The main problem identified – which had already been highlighted in the earlier discussions with Court members - is the dominant role played by the Finance and General Purposes Committee. This is likely to increase if the recommendations that greater emphasis be given to people issues, fundraising and links with Senate are accepted. The Group considered whether there was any sensible way of splitting the current remit of the F&GPC but decided there was not, since it was the one place – other than Court itself - where related important strategic issues concerning finance, people and estates could be considered together.

The Group has no recommendations to make concerning the composition of the Finance and General Purposes Committee but **recommends** that consideration be given by the Nominations Committee to more frequent rotation of members of F&GPC and, indeed, of Committees generally, and that the remit of the Nominations Committee be reviewed and strengthened to include a role in reviewing the skills required of new Court members and to consider succession planning. The Group also **recommends** that major items of business being considered by F&GPC be 'unpacked' and presented as discrete issues for discussion at Court – as is the case now for estates issues - rather than being presented as part of a usually lengthy report from the Committee.

Finally, the Group **recommends** that, following this review and in the light of the decisions taken on the recommendations, that each Committee should review its remit, membership, agenda setting and effectiveness and report back to Court within 6 months and thereafter to encourage Committees to undertake regular reviews. Such reviews to be in line with the timeframe of future Court reviews (see recommendation below). This would not preclude Committees undertaking additional reviews and recommending amendments to their terms of reference should circumstances or good practice require it.

### **Conduct of Court business**

For the most part, the Group considers that Court business is well managed and papers and issues are well presented. The Group has already recommended an increase in the frequency

of Court meetings from 5 to 6 per year to ensure a more even flow of business and this has been accepted by Court and will be implemented in the next academic year.

The report referred above to the desirability of unpacking major items of business from F&GPC reports. This will require careful planning of agendas for Court meetings to ensure that each meeting can focus on a manageable number of key issues and that all major issues are considered at an early enough stage to allow meaningful Court input. The Group would also like to see more papers presenting a range of evaluated options rather than one recommended course of action and so **recommend**.

In addition, the Group **recommends** there should be regular short (one page) reports to Court from all major Committees and on all major business areas and activities, including the Colleges and Support Groups, teaching, new academic programmes, staff and student issues and fundraising reports. In particular it is **recommended** with the agreement of Senate that there should be a review of the format of reports between Court and Senate and specifically that there should be two annual reports on quality issues presented as separate items on Court agendas. The first should cover the Annual Subject Review Statement to the Scottish Funding Council and the second activities on quality enhancement undertaken during the year. Some of these reports could form part of an away day or seminar.

The practice of pre-Court presentations works well and the range of topics covered is helpful and appreciated. From time to time it may be sensible to link the presentation to an agenda item.

Finally, the Group thinks there would be merit in occasional overnight 'away days' with senior staff as the Group believes this would improve communications and foster better team working. The Group **recommends** that options for this be explored.

### **Induction/mentoring/support/appraisal**

The University already has some induction arrangements in place for new members and external members of Committees and there is now agreement to schedule a half day induction event every academic year. The Group also **recommends** the introduction of a mentoring scheme for linking new members with a more experienced Court member. This arrangement need not be too formal and could best be implemented as a two-way process, perhaps in advance of each Court meeting, with the mentee being able to discuss and communicate their concerns, needs or questions and the mentor giving guidance, information and feedback.

The University has already agreed an assessment/appraisal process with the discussions between individual Court members and the Vice-Convener of Court and the University Secretary taking place at agreed intervals or on request. The Group **recommends** that this should continue and that there should be an initial discussion after the first year of appointment and another towards the end of each individual's term of appointment. A simple pro-forma could be helpful in focussing discussions for both parties and the Group **recommends** that this be drafted by the Court Secretariat for consideration by the Nominations Committee and then approved by Court.

### **Looking ahead**

The challenges facing Court are likely to be fast-moving in the period ahead and what constitutes best practice in governance does not stand still. What is appropriate now may not best address the future needs of the University. With that in mind, the Group **recommends** that future reviews of Court's effectiveness take place at regular intervals but probably not less frequently than every 4 years. That would mean that the next review would take place in 2014.

## Conclusion

Court is invited to consider and comment on this report and to reach a view on the recommendations and suggestions made, which are summarised below:

- Revised Statement of Court's Primary Responsibilities to be adopted (appendix A)
- Short bulletin to be prepared and publicly circulated after each Court meeting
- Seek to adopt a common approach to the appointment of Court members with individuals being selected on a skills basis and normally for not more than two terms
- Senior Officers of the University should continue to be invited to attend and participate in Court meetings
- Specific consideration should be given to the venue of Court meetings: the Raeburn Room, Old College is not considered an ideal location
- A Group, comprising the Rector and staff and student representatives of the Court, be established to consider possible solutions to mitigating the risk of the election of an inappropriate Rector, taking account of practice elsewhere in the sector
- Nominations Committee on behalf of Court to undertake a review of the ex officio appointment of the Vice-Convener of Court as Convener of Court Committees
- In making recommendations to Court on the appointment of members of Committees, the Nominations Committee should ensure that there is a rotation of members, particularly in respect of membership of the Finance and General Purposes Committee, should review the skills required of new Court members and should consider succession planning
- Major items considered by the Finance and General Purposes Committee should be separate items on the Court agenda and not included within the report from the Finance and General Purposes Committee to Court
- Each Court Committee to be invited to undertake a review of its own effectiveness and to review its current terms of reference and to report back to Court within six months
- Court papers should where ever possible present a range of evaluated options rather than one recommended course of action
- There should be regular reports to Court from all major Committees and on all major business areas and activities, including the Colleges and Support Groups, teaching, new academic programmes, staff and student issues and fundraising
- A review of the format of reports between Court and Senate and specifically two annual reports on quality issues should be presented
- The option of an overnight event be further explored
- Introduction of an informal mentoring system
- Continuation of current appraisal process
- Simple appraisal pro-forma to be drafted to assist in focussed discussion
- Further reviews of Court's effectiveness should take place every 4 years

In addition the Group suggests that:

- Ad hoc meetings between Court and Senate and occasional attendance at Senate by Court members could be useful
- A meeting with the University Secretary and Vice-Convener of Court may be helpful to those considering putting their names forward for appointment or election as a member of Court
- Conveners of Committees should meet from time to time to discuss matters of common interest
- Pre-Court presentations should, where appropriate, be linked to major agenda items



## Statement of Court's Primary Responsibilities

The authority and responsibilities of the University Court are derived largely from the statutes contained in the Universities (Scotland) Acts from 1858 to 1966 and in the Ordinances and Resolutions made there under. In addition the University Court has responsibilities within the terms and condition of the Financial Memorandum agreed with the Scottish Funding Council.

The list of primary responsibilities given here derives from these sources and has been prepared with reference to the statements of the other ancient Scottish Universities.

Broadly the roles and responsibilities of Court are focused on strategy, taking the final decisions on matters of fundamental concern to the University and governance. More specifically:

### The Court's primary responsibilities are:

#### I. Strategic Direction

1. To **determine** the mission and vision of the University and its major priorities as expressed in strategic plans, long term academic and business plans.
2. To ensure that the mission and strategic vision of the University takes proper account of the interests of stakeholders, including students, staff, alumni, the wider community and funding bodies.
3. To approve financial, estates, and human resources strategies in support of institutional objectives and priorities.
4. **To ensure strategies are in place to enhance the student experience.**
5. To ensure processes are in place to monitor and evaluate the performance and effectiveness of the University against the plans and approved key performance indicators, which should where possible be benchmarked against other comparable Universities.
6. To promote and safeguard the reputation and values of the University.

#### II. Governance: responsibilities in relation to Management and Senate

1. To appoint the Principal as chief executive, including the terms and conditions of such an appointment, and to put in place suitable arrangements for monitoring his/her performance.
2. To delegate authority to the Principal {as chief executive} for the academic, corporate, financial, estate and HR Management of the University subject to reserving such matters to itself as the Court thinks appropriate.
3. To establish and keep under regular review the policies, procedures and limits within which such management functions shall be undertaken by and under the authority of the Principal.
4. To appoint a Secretary to the Court and to ensure that if the person appointed has managerial responsibilities in the University, there is an appropriate separation in the lines of accountability.

5. To review decisions made by the Senate as prescribed in statute.
6. To ensure that the Senate has processes in place for monitoring and reporting the quality of education provision and to monitor quality enhancement arrangements.

### **III. Governance: Exercise of Controls**

1. To ensure the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment, arrangements for internal and external audit and regularly reviewed schedules of delegated authority.
2. To be the principal financial and business authority of the University, to ensure that proper books of account are kept, to approve the annual budget and financial statements and to have overall responsibility for the University's assets, property and estates.
3. To ensure that appropriate arrangements are in place for the management of health, safety and security in respect of students, staff and other persons affected by the University's operations.
4. To ensure that appropriate arrangements are in place for promoting equality of opportunity in respect of students, staff and other persons making use of University services or facilities.

### **IV. Governance: Corporate responsibilities**

1. To be the University's legal authority and as such, to ensure that systems are in place for meeting all the University's legal obligations, including those arising from contracts and other legal commitments made in the University's name.
2. To be the employing authority for all staff in the University and to ensure that obligations thereto are met including with regard to the welfare, development and reward of employees.
3. To put in place appropriate arrangements for determining and regular review of the performance, remuneration and conditions of service of senior staff.
4. To make provision for the general welfare of students, in consultation with the Senate and EUSA.
5. To act as trustee for, or make appropriate alternative arrangements for the trusteeship of, any property, legacy, endowment, bequest or gift in support of the work and welfare of the University.
6. To make appropriate arrangements compliant with relevant legislation for the trusteeship of any pensions scheme established by the Court for University employees and to employ the employer-nominated trustees.
7. To ensure that at all times it operates within the terms of the Universities (Scotland) Acts 1858-1966, Ordinances and Resolutions made under those

Acts and any other relevant legislation; and that appropriate advice is available to enable this to happen.

8. To ensure that the University acts ethically, responsibly and with respect for society at large and the sustainability of the environment.

**V. Effectiveness and transparency**

1. To conduct its business in accordance with best practice in higher education corporate governance and with the principles of public life drawn up by the Committee on Standards in Public Life.
2. To ensure that procedures are in place in the University for handling internal grievances, conflicts of interest and public interest disclosure.
3. To put in place arrangements for the appointment of co-opted members of the Court so as to maintain a broad balance of expertise taking account of the principles of equal opportunity.
4. To establish processes to monitor and evaluate the performance and effectiveness of the Court itself and that of its committees.

**June 2010**

The University of Edinburgh

University Court

21 June 2010

## **Repeal and replacement of the Commissioners' Ordinance**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper updates Court on further progress with consultations on the Ordinance intended to replace the Commissioners' Ordinance.

### Action requested

Court is recommended

**1. To approve Ordinance 210 for submission to the Privy Council**

**2. To adopt the attached draft Resolution relating to appeals, and to initiate the consultation process leading to its formal adoption at a subsequent meeting.**

### Resource implications

Does the paper have resource implications? No.

### Risk assessment

Does the paper include a risk assessment? No

### Equality and diversity

Does the paper have equality and diversity implications? No, beyond seeking to embed employment procedures and processes which are open and fair.

### Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the effective conduct of public affairs

For how long must the paper be withheld? Until the new Ordinances have been approved.

### Originators of the paper

Melvyn Cornish, University Secretary: Sheila Gupta, Director of HR  
June 2010

The University of Edinburgh

The University Court

21 June 2010

## **Final Report from the Pensions' Working Party**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper makes the final recommendation from the Pensions' Working Party to Court on the proposed changes to the Staff Benefit Scheme.

### Action requested

Members of Court are asked to approve the recommendations.

### Risk assessment

Does the paper include a risk assessment? No

### Equality and diversity

Does the paper have equality and diversity implications? No

### Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the effective conduct of public affairs

### Originators of the paper

Elizabeth Welch

Assistant Director of Finance, on behalf of the Pensions Working Party

Dr John Markland

Chair of Finance and General Purposes Committee

The University of Edinburgh

The University Court

21 June 2010

## **Report from Estates Committee held on 2 June 2010**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper reports on key discussions and recommendations made at the meeting of EC, held on 2 June 2010

The Court is reminded to note that copies of the EC papers and the minutes of the meeting are available to Court members on request from Angela Lewthwaite (Tel: 651 4384, email: [angela.lewthwaite@ed.ac.uk](mailto:angela.lewthwaite@ed.ac.uk)) or online via the EC web-site at <http://www.ec.estates.ed.ac.uk/index.cfm>

### Action requested

The Court is invited to note and approve the recommendations contained in items 1, 2, 3, 4, 5, 6, 7, 9, 11, 12 and 15.

### Resource implications

Does the paper have resource implications? **Yes, detailed throughout the paper.**

### Risk Assessment

Does the paper include a risk analysis? It should be noted that EC papers contain, where applicable, separate risk assessments.

### **General:**

Legislation Non-Compliance/Business Continuity – mitigated by regular assessment and update of priorities, risk register and implementation of annual major replacements/compliance programme

Capital Commitments (CAC) – mitigated by tracking via the Capital Projections Plan and regular updating in consultation with Finance and reporting to EC, CMG and F&GPC, through to Court.

Project Management – mitigated by on going monitoring of Design Team, Contractor, Risk Register and meetings of Strategic Project Boards who in turn report significant programme/cost issues to EC etc.

### Equality and Diversity

Does the paper have equality and diversity implications? No

None of the proposals in this paper raise issues beyond those that are routinely handled in all Estates Developments. It should be noted that EC papers contain, where applicable, separate E&D assessments.

### Any other relevant information

The Vice-Principal Planning and Resources will present the paper.

Copies of the EC papers and the minutes of the meeting are available to Court members on request from Angela Lewthwaite (Tel: 651 4384; Email: [Angela.Lewthwaite@ed.ac.uk](mailto:Angela.Lewthwaite@ed.ac.uk)), or alternatively can be found at <http://www.ec.estates.ed.ac.uk/index.cfm>

Freedom of information

Can this paper be included in open business? The paper is **closed**.  
Its disclosure would substantially prejudice the commercial interests of any person or organisation

All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Paul Cruickshank - Estates Programme Administrator  
Angela Lewthwaite - Secretary to EC  
15 June 2010

The University of Edinburgh

University Court

21 June 2010

## **Audit Committee Report**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

Attached is the draft Minute of the Audit Committee meeting held on 3 June 2010. The papers on items of particular significant and requiring consideration by Court are attached as appendices.

### Action requested

The Court is invited to:

- note the content of the draft Minute;
- approve the Strategic and Annual Internal Audit Plans on the recommendation of the Audit Committee as set out at 3 and attached as Appendix 1; and
- approve the External Audit fees for the 2009/2010 audit in respect of the University and its subsidiary companies as set out at 4 and attached as Appendix 2.

### Resource implications

The resource implications are detailed in the paper.

### Risk assessment

The Internal Audit Plans attached were prepared using a risk based approach.

### Equality and diversity issues

There are none.

### Freedom of Information

Can the paper be included in open business? Yes.

### Originator of the paper

Dr Katherine Novosel  
15 June 2010



**Minute of the Meeting of the Audit Committee  
held at 5.30 pm on 3 June 2010  
in the Lord Provost Elder Room, Old College**

**Present:** Ms G Stewart (Convener)  
Mr D Bentley  
Professor S Monro  
Mr M Sinclair  
Professor A Smyth

**Apologies:** Ms A Richards  
Mr S Reid, KPMG, Director

**In attendance:** Mr M D Cornish, The University Secretary  
Mr N Paul, Director of Corporate Services  
Mr J Gorringe, Director of Finance  
Mr H McKay, Chief Internal Auditor  
Mr M Rowley, KPMG, External Auditor Director  
Ms K Crichton, Internal Audit  
Dr K Novosel, Head of Court Services

**1 MINUTE OF THE MEETING HELD ON 4 MARCH 2010**

The Minute of the meeting held on 4 March 2010 having previously been circulated, was approved as a correct record.

It was noted that this would be last meeting attended by Professor Stuart Monro and the Committee wished to record its thanks for all his work on the Audit Committee.

The Committee further noted that this was likely to be last meeting of the Committee that the University Secretary would attend and members wished to take this opportunity to warmly thank Mr Melvyn Cornish for his commitment and service to the Audit Committee over many years and to wish him a long and happy retirement.

**2 MATTERS ARISING**

**2.1 Membership of Committee**

It was noted that the Nominations Committee had considered membership of the Audit Committee at its last meeting. Recommendations would be presented to the Court meeting on 21 June 2010 for a replacement for Professor Monro and the process to identify a new external Committee member to replace Mr Bentley whose term of office ceases at the end of December 2010; Mr Bentley would have then served two consecutive terms of office on the Audit Committee.

**2.2 Finance Follow-Up of External Audit Report**

It was noted that the majority of the items identified in the 2008/2009 management letter action plan had now been addressed as agreed. In respect of the remaining items, actions were either underway or as in the case of item 5, it was now no longer considered further action was required. External Audit confirmed it was content with the outcomes and that no further follow up monitoring was required.

## **FOR DISCUSSION**

### **3 INTERNAL AUDIT PLANS**

**Appendix 1**

The Committee reviewed the Strategic Internal Audit Plan 2010/2013, the annual Internal Audit Plan 2010/2011 and considered the Internal Audit planning methodology. It was noted that as in previous years the Internal Audit Service's assessment of the University's risk maturity remained as 'risk defined' and this categorisation was used to determine the approach adopted in developing the internal audit plans. A robust process had been undertaken to identify potential audit assignments following consideration of issues raised within Colleges and Support Groups, by senior colleagues, as identified from the University's Risk Register and by internal audit from previous work. Cognisance had also been taken of the University's Strategic Plan and there had been discussion with the Convener of the Audit Committee and the Principal.

The Audit Committee was satisfied with the approach and the assurances that the presented plans covered all critically identified areas. It was confirmed that there had been liaison with External Audit on the proposed coverage. The process, in addition to the work of Internal Audit, to monitor value for money activities within the University was also noted as satisfactory. There had been previous discussion on the resources available to Internal Audit and it was confirmed that these remained adequate. It was further confirmed that if resources remained available towards the end of the year, assignments from the prioritised reserve list could be taken forward.

The Audit Committee endorsed the Strategic Internal Audit Plan 2010/2013, the annual Internal Audit Plan 2010/2011 and the internal audit planning methodology and recommended approval to Court.

### **4 EXTERNAL AUDITOR'S FEES**

**Appendix 2**

It was noted that the proposed external audit fees were in accordance with the approved 2008 tender and reflected an uplift of 2.4% in line with the increase in the Retail Price Index as at 1 April 2010.

The Committee endorsed the proposed fees and recommended approval to Court noting that the fee to undertake the audit of SSTRIC Limited was yet to be determined.

### **5 EXTERNAL AUDIT – PERFORMANCE REVIEW**

In accordance with the methodology previously agreed, the Committee considered the draft report prepared by the Director of Finance and the Chief Internal Auditor. The Committee fully supported the opinions on the performance of External Audit as set out in the paper. External Audit confirmed the intention to address the outstanding item regarding KPMG seeking feedback on the quality of its service in 2011, following completion of the 2009/2010 audit process; the Committee was content with this proposal.

### **6 UNIVERSITY'S RISK REGISTER**

The revisions to the University's Risk Register following the annual review by the Risk Management Committee were noted, in particular the inclusion of a new risk on the 2011 Enhancement Led Institutional Review (ELIR) and deletion of the previous risk on health and safety matters which was now included in the Corporate Services Risk Register as an operational risk.

The Audit Committee was assured of the procedures undertaken by the Risk Management Committee to identify and capture new emerging risks from across the University including issues arising as part of the planning process and from the annual review of College and Support Group Risk Registers. The mechanisms to raise awareness of the requirements to adopt a risk management approach to projects and other activities within the University were also noted.

The Committee endorsed the revised University Risk Register and commended its approval to Court.

## **EXTERNAL AUDIT**

### **7 EXTERNAL AUDIT PLANNING MEMORANDUM**

The Committee noted and commended the revised format of the Audit Plan Overview for the year ended 31 July 2010. The scope of the External Audit, the eight areas of audit emphasis and the proposed approach for the 2009/2010 External Audit were approved by the Committee. It was noted that as there were no significant accounting changes to the treatment of pensions this topic was not included as an area of audit emphasis. Brief reference was made to the review of the SBS and USS Pension schemes.

### **8 INTERIM MANAGEMENT REPORT**

The scope of the Interim report was noted and the outcomes of the planning and control evaluation stages of the 2009/2010 External Audit as set out in the Report. The Audit Committee noted in particular the 2009/2010 action plan and that none of eight identified issues had been categorised as significant; the management responses were also noted. A follow up report would be provided in due course to confirm progress on addressing outstanding issues in the action plan.

## **INTERNAL AUDIT**

### **9 INTERNAL AUDIT REPORTS**

The Audit Committee considered the 9 internal audit assignments completed since its last meeting and noted the involvement of Internal Audit in taking forward the revision of the Delegated Authorisation Schedule.

#### Funding from Development and Alumni to support capital projects

It was noted that this assignment had been carried forward from the previous year's plan. The introduction of the new gateway process and the improved monitoring mechanisms on the funding of capital projects were noted. The recommendations had been agreed and all remedial action had either been completed or would be actioned by the end of June 2010.

#### Financial Forecasting and Reporting

A number of recommendations had been made and in particular the Committee noted and welcomed the agreement to prepare a set of Financial Regulations for approval by Court by the end of this calendar year and a commitment to review the Finance Manual within the same timeframe. It was also noted that the Director of Finance would be in further discussion with ISG in respect of providing professional financial support to help achieve consistent financial forecasting; this was strongly endorsed by the Audit Committee.

#### Asbestos Policy

The Committee noted that the planned baseline asbestos survey of all University buildings had not been completed by the appointed contractors and that other processes were now in

place to mitigate the risks associated with staff and contractors working on University buildings. The recommendations within the action plan were all being taken forward.

#### Software updates

It was noted that there had been previous discussion regarding the potential risks around software updates arising from an earlier audit assignment. The Committee noted the intention to introduce arrangements for the monitoring of software updates in January 2011 and asked for a paper to be prepared for its next meeting by ISG setting out further information on this matter, particularly on any perceived risks associated with the delay in taking forward the audit assignment recommendation.

#### Corporate Governance

The Committee noted the outcome of the audit and the further assurances it provided to the current review of the effectiveness of Court and its Committees.

The Audit Committee noted the remaining reports.

### **10 INTERNAL AUDIT FOLLOW UP REVIEWS**

The satisfactory progress was noted.

### **11 INTERNAL AUDIT PROGRESS REPORT**

The Committee noted progress in taking forward the agreed internal audit plans and welcomed the presentation, delivered by the Chief Internal Auditor, at the last Court meeting on the activities of the Internal Audit Service which had been well received.

#### **FOR INFORMATION/FORMAL APPROVAL**

**External Audit did not take part in discussion on item 12 detailed below.**

### **12 BRITISH UNIVERSITIES DIRECTORS' GROUP (BUFDG) 2010 AUDIT SURVEY**

The Committee noted that the survey confirmed the strong position of KPMG as a provider of external audit services within the sector and the value for money of the University's Internal Audit Service.

### **13 DATE OF NEXT MEETING**

The next meeting will be held on Wednesday, 29 September 2010 at 5.30 pm in the Lord Provost Elder Room, Old College.

## Internal Audit Plans 2010-2013

### Introduction

- 1 The Internal Audit Service exists to provide a service to the whole of the University of Edinburgh, primarily by providing independent assessments of policies and procedures in specific areas, and ensuring that, overall, risks are managed properly. In this way, Internal Audit plays a vital part in governance arrangements, so that internal and external stakeholders (including the University Court and the Principal) can have confidence in the agreed policies and procedures and gain an understanding of how well they have been implemented. Moreover, they will also have confidence that the University is responding appropriately to new challenges, for example provided by the integration of new institutions into the University or raised by measures to comply with new legislation. Where potential improvements are identified, timetables are agreed with management to take action as appropriate. This service is particularly important in such a complex and diverse organisation as the University of Edinburgh.
- 2 The university's Internal Audit Service has been provided by an "in-house" team since 1999 and has been providing further audit services to external "clients" since 2003. Such contracts are important as they help validate the quality of our service and provide income to fund the employment of outside specialist contract resources to augment the internal audit personnel. This achieves an overall richer skill mix. As a service, we work hard to maintain a professional, high quality Internal Audit service, and to ensure that we are accessible and responsive. We request feedback from management after every review and this feedback is monitored and reported each year.
- 3 The purpose of this paper is to outline the detailed audit plan for the next financial year as well as the strategic plan for the next three years, and also to provide an overview of our methodology.

### Overview of Internal Audit Approach

- 4 The approach to Internal Audit planning adopted by the University of Edinburgh Internal Audit Service is fully consistent with best practice (notably SFC advice, HEFCE guidance, and the approach to Risk Based Internal Auditing recommended by the Institute of Internal Auditors (IIA)). To comply with recognised professional internal auditing standards, we also invited (for the last 3 academic years) external peer review quality assurance assessments of our service, which concluded that our audit planning operates in accordance with best practice. The Internal Audit planning process also takes account of the guidance in the Committee of University Chairmen Handbook for Members of Audit Committees in Higher Education Institutions endorsed by SFC in 2008.
- 5 The SFC's Financial Memorandum requires that the Internal Audit service must extend its review over all the financial and other management control systems identified by the audit needs assessment process. It must cover all activities in which the University has a financial interest, including those not funded by the SFC. In accordance with the Terms of Reference approved by Court on 20 October 2008, the Audit Committee shall receive these Internal Audit Plans and make recommendations to Court concerning their approval.

### Strategic Audit Plan for 2010 to 2013

- 6 The Strategic Audit Plan summarises projections of how audit coverage will be profiled across different themes within the University over the course of the next three years. These themes range from Schools/Departments to cross-cutting reviews of support services and associated entities. Eleven such strategic planning themes (plus follow-up activity and provision for ad hoc flexible responses) were identified and are listed in Appendix A1. These represent an appraisal of the current and developing issues where there are high costs/potential risks upon which the Audit Committee may wish to seek assurance over the short to medium term.
- 7 A summary profile of the Strategic Internal Audit Plan (showing past and projected future Internal Audit coverage of the strategic planning themes) has been updated and is shown in Appendix A2. The continued emphasis on the management and control of costs is evident and this is clearly appropriate given the ever tightening financial climate. We also envisage continuing emphasis on the student systems developed under the overall EUCLID programme.
- 8 The SFC's Financial Memorandum also requires the University to have a strategy for systematically reviewing management's arrangements for securing value for money (VFM). As part of its internal audit arrangements, the University must obtain a comprehensive appraisal of management's arrangements for achieving VFM. In accordance with the University's VFM Strategy, the Internal Audit Service will examine and evaluate existing VFM arrangements and potential future opportunities to improve VFM during scheduled audits. We will provide an opinion on this in the annual report to the Audit Committee.

### Internal Audit Plan for 2010/11

- 9 Appendix B represents the proposed Internal Audit Plan for 2010-11, given the expected staff resources available, and the order of priority suggested by the scoring exercise (see Annex B to Appendix C). It includes a reserve list of topics that would be undertaken if resources permit or if there was a need to alter the plan during the year. As is recommended good practice, the plan includes time set aside to provide a flexible response capability to allow us to react to new situations during the year without disrupting the approved plan, or ultimately pick up items from the reserve list. The Principal has endorsed the Internal Audit Plan, particularly the intended coverage of student systems, UKBA legislation and the Bioquarter.

### Methodology

- 10 The Internal Audit Planning Methodology is set out in full in Appendix C and may be summarised as follows:  
*Risk classification and maturity*
- 11 Risk maturity refers to the degree to which risk management principles are embedded in an organisation. Our assessment of the University's risk maturity (as described in the IIA guidance) remains that the University is classified as *risk defined* (see Annex A to Appendix C). For organisations classified as being *risk defined* Internal Audit is not able to provide assurance solely based on the risk management processes, although it may be able to identify risk management policies or pockets of risk management excellence and provide assurance on these elements.
- 12 As the University's risk maturity is not currently at a stage where it can support a fully risk-based approach to internal auditing, the 2010-11 Internal Audit Plan (see Appendix B) therefore consists as before of a *blend* of assignments, drawn partly from the University's risk management process and partly from our ongoing periodic review of

core operating processes and systems as well as the University's annual planning submissions. For the ongoing review, we select topics from the strategic planning themes, and continue to provide routine audit coverage of the University's operational units.

*Selection of planned audit reviews*

- 13 The audit planning model uses a risk driven methodology, consistent with current best practice and is based upon a recognised scoring process (see Annex B to Appendix C). We have taken into account the corporate University Risk Register, and also those from Colleges and Support Groups. This allows us to focus our resources on key areas of risk in the University and to identify areas which would benefit from an audit review.
- 14 A list of potential audits was collated based on:
- evaluation and identification of potential audits from Colleges' and Support Groups' annual planning submissions;
  - input from College Management Teams and numerous other senior managers;
  - potential assignments drawn from the Risk Registers; and
  - risks and issues identified during previous audit assignments.
- 15 From this list of potential audit topics, potential assignments were identified, scored and ranked from highest to lowest. The resources required to tackle these assignments was then determined by the professional judgement of the Chief Internal Auditor who identified the input required in terms of audit days and skills required to perform the top-scoring reviews. This was compared against the projected profile of anticipated coverage for the coming year in the Strategic Audit Plan to determine whether the spread of audit resources was in line with the Plan. As necessary, we altered the priority ranking of assignments to achieve a closer match with the Strategic Audit Plan.
- 16 To ensure further synergy between the resultant Internal Audit Plan and the University, College and Support Group Risk Registers, the Audit Plan was mapped against the key risks identified by the University risk management process. The summary below illustrates the extent to which our 2010-11 Internal Audit Plan covers all the risks on the formal risk registers<sup>1</sup>. Each of the 19 planned system/process-based audits shown in Appendix B addresses one or more of the 108 risks currently on Registers with 74% of the identified risks being addressed to some extent by the planned audits.

	UoE	CMVM	CSCE	CHSS	CSG	IS	SASG	Total
<b>Total risks on register</b>	14	20	12	12	16	18	16	<b>108</b>
<b>Risks addressed to some extent by 2010-11 Internal Audit Plan</b>	13	17	8	11	10	10	11	<b>80</b>
<b>As percentage</b>	93	85	67	92	63	56	69	<b>74</b>

Staff Resources

- 17 We anticipate 654 staff days being available to deliver the University's Internal Audit Plan for 2010-11. This is slightly less than the resources available in the current year's plan, reflecting an increase in annual leave allowance and anticipated paternity leave of absence, offset by reduced professional training. As in previous years, allowance has been made for annual leave, public holidays, sick leave contingency, professional update

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<sup>1</sup> At the time of writing, the University top level risk register is under review. We have profiled the plan against the forward-looking register which we know to be still in draft.

training and general administration. It does not cover any gap period that may arise from staff turnover.

- 18 Internal Audit provides services under contract to outside bodies (a national heritage body and a local further education college) on a commercial basis. The income arising funds specialist audit staff resources, giving a net benefit of a wider skill mix and improved resource flexibility at no additional cost.

### Conclusion

- 19 This Internal Audit Planning Methodology is consistent with the Risk Based Internal Auditing approach recommended by the Institute of Internal Auditors (and other appropriate guidance) and is aligned to the level of maturity of the University's risk management environment. It provides a broad based Internal Audit assurance strategy that covers risk management and the system of internal control.
- 20 We have again classified the University as *risk defined* meaning that we are not in a position to support a fully risk based approach to Internal Auditing. The implication of this is that, as with the prior year, the 2010-11 Internal Audit Plan consists of a *blend* of assignments, drawn partly from the University's risk management process and partly from our ongoing periodic review of core operating processes.
- 21 We consider this planning methodology to be robust and appropriate. We consider the attached provisional audit plan fits well with the risk maturity and risk universe of the University.
- 22 We are also satisfied that the present level of resource will allow us sufficient coverage to provide an annual statement of assurance on the control environment.

Hamish McKay  
Chief Internal Auditor



## Strategic Audit Plan 2010-13

### Audit Planning System/Activity

#### **1. Control Environment and Corporate Planning**

We need reasonable assurance that the overall control environment in the University is adequate. We will assess evidence that controls and procedures are functioning and will also periodically assess corporate planning arrangements.

In 2010 we intend to focus on controls which help assure the quality of our HESA data and the authorisation levels of IT financial systems within the University,

#### **2. Risk Management, Governance and Accountability**

In line with our assessment of the University as '*risk defined*', we aim to provide assurance to the Court /Audit Committee that risk management processes are managing risks effectively, in relation to the risk appetite. Internal Audit attends Risk Management committees and maintains an ongoing assessment of the risk management process.

Legislative compliance issues in 2010-11 include immigration controls, affecting both staff and students, and the new Climate Change Act.

#### **3. IS / IT**

We will appraise the IS/IT infrastructure which supports University activities. We intend to focus on the introduction of the new student administration systems developed from the EUCLID programme, and the replacement of the Identity Management System which is the central component for accessing University systems.

#### **4. Capital Programme and Estates Management**

While the capital programme has reduced in scale, the building programme continues, and we will review the new developments in Bioquarter and the Sick Children's Hospital redevelopment. Both projects introduce the added complications of shared funding, planning and subsequent operation.

#### **5. Procurement**

The University plays a significant and multi-level role in Advanced Procurement for Universities and Colleges (APUC) Ltd, following the McClelland Report developments. In 2010-11, as well as routinely evaluating the procurement process as part of location audits, we will look at procurement as a major element in research costing.

#### **6. Financial Management and Infrastructure**

As the financial climate in Higher Education continues to tighten, financial management subsequently assumes ever increasing importance. Finance underpins all activities of the University and requires Internal Audit focus.

We will concentrate on the costs of carrying out research, and the process of allocating and recovering these costs. We will also look at processes surrounding credit card payments, as well as looking at financial practices locally, via location audits.

#### **7. Staffing and Payroll**

Salary payments depend upon accurate instruction. We will review the process leading to staff being paid the correct salary, and will investigate the circumstances by which additional payments are made via Accounts Payable. We will also review the standard and inherent risks in the pension process, and controls to ensure that accurate payments are made to valid

recipients. In our regular review of severance packages we will review adherence to University and SFC guidance.

**8. Student and Academic Systems**

The challenges facing Student and Academic systems in coming years include making a smooth transition to the new Student and Course Administration System (developed as a product of EUCLID), and maintaining the quality of record keeping to support an accurate HESA return. Immigration controls continue to provide a challenge to University recruitment. These three issues, as well as our routine work in location audits will form the basis of audit work in 2010-11.

**9. College / School / Departmental Audits**

We will maintain a programme of College, School and Departmental oriented assignments. Risk management is not fully embedded in the University and it is therefore important to retain a cyclical programme of audit assignments with more of an internal controls emphasis. Given the financial climate, additional emphasis will also be given to checking on the governance arrangements, accountability and financial control in a selection of Schools and Departments.

**10. Subsidiaries, Associates and Collaborations**

While these are not necessarily high risk or financially material areas, we aim to include some aspect of subsidiary activities in each year's annual internal audit plan. This contributes to a rolling programme of assurance over subsidiaries (such as ERI) and associated / collaborative ventures (such as the Student Association), as well as offering some assurance to each entity's own governing body.

In view of the changing legislative demands arising from the Climate Change Act, and the rising costs of energy, UoE Utilities Supply Company Ltd is the chosen subsidiary for 2010-11 coverage.

**11. Income Raising Activities**

Student deposits and fees are a core source of income, and we intend to review the new facility introduced to support "event management" for commercial customers. Supplementary funding contributed by income generating activities is increasingly important to the University and this will be the main focus of our review of the General Practice Section.

**12. Follow up Reviews**

It is important to verify that agreed improvements have actually been implemented and a selection of audits will be routinely followed up.

**13. Flexible response capability / Ad hoc**

Provision is made for resources to be assigned to short notice assignments where risks arise in the year. This arrangement also minimises the risk of disrupting the agreed audit programme.

**STRATEGIC AUDIT PLAN - 2010 – 2013**

**PROFILE OF AUDIT COVERAGE**

This table shows breakdown of audits and audit days against the Strategic Audit Plan themes.

	<u>2005/06</u>	<u>2006/07</u>	<u>2007/08</u>	<u>2008/09</u>	<u>2009/10</u>		Projected
	Actual	Actual	Actual	Actual	(Actual or forecast)	<u>2010/11</u>	<u>2011/13</u>
	%	%	%	%	%	(Planned) %	(Planned) %
<b><u>Audit Planning System/Activity</u></b>							
1 <b>Control Environment and Corporate Planning</b>	7	9	10	13	12	<b>10</b>	8
2 <b>Risk Management, Governance and Accountability</b>	7	9	11	12	9	<b>9</b>	8
3 <b>IS/IT</b>	8	14	6	7	8	<b>7</b>	8
4 <b>Capital Programme and Estates Management</b>	2	8	13	10	10	<b>6</b>	11
5 <b>Procurement</b>	4	8	5	2	2	<b>3</b>	4
6 <b>Financial Management and Infrastructure</b>	11	18	9	10	16	<b>14</b>	13
7 <b>Staffing and Payroll</b>	8	6	10	7	8	<b>10</b>	9
8 <b>Student and Academic Systems</b>	16	3	3	2	9	<b>6</b>	8
9 <b>College/School/Departmental Audits</b>	17	14	19	17	17	<b>15</b>	14
10 <b>Subsidiaries, Associates and Collaborations</b>	8	4	7	11	3	<b>5</b>	4
11 <b>Income Raising Activities</b>	9	4	4	7	3	<b>6</b>	4
12 <b>Follow up Reviews (selection of recent audits)</b>	3	3	3	2	3	<b>3</b>	3
13 <b>Flexible response capability / Ad hoc</b>	0 <sup>2</sup>	0 <sup>2</sup>	0 <sup>2</sup>	0 <sup>2</sup>	0 <sup>2</sup>	<b>6</b>	6
						<b>(yet to allocate)</b>	(yet to allocate)
	100	100	100	100	100	<b>100</b>	100

<sup>2</sup> For previous years, the Flexible response / Ad Hoc allowance has been distributed across the remaining 12 audit activities as appropriate for each year.

## Annual Audit Plan 2010-11

<u>Ref</u>	<u>System / Area</u>	<u>Commentary</u>
<b>A</b>	<b><u>System / Process Audits</u></b>	
1	<b>Student &amp; Course Administration System</b>	The new Student & Course Administration System is being developed as a product of the EUCLID project. We will review the service management and change control regimes; consider its capacity planning; performance monitoring and review mechanisms; what metrics are being gathered to support information management; and assess how they are reported.
2	<b>HESA Data</b>	Detailed HESA guidelines involving complex processing of large amounts of data. There have been some high profile cases of penalties incurred as a result of inaccurate data elsewhere in the sector. There are few staff who know the details of what is required, therefore there is an exposure to risk. There are considerable changes to the processing of the data as a consequence of the introduction of the new Student Care & Administration System, so we will assess the accuracy of data input, processing and output reporting. There are reputational and financial risks if data is deemed inaccurate.
3	<b>UKBA legislation</b>	Relatively new legislation and subject to change. New systems have been introduced and are integrated with EUCLID processes. Financial risk if unable to recruit non EEA students. Considerable reputational risk if UK Borders Agency deems UoE as not complying with the legislation. Perform further testing to assess whether recently augmented systems and procedures are being applied across the UoE.
4	<b>Bioquarter</b>	Funding secured from Scottish Government for life science real estate developments for biomedical commercialisation. Various stakeholders including University, NHS, Scottish Development International and Alexandra Real Estate Equities plc. Range of facilities being shared between commercial, academic and health service related research organisations with aim of promoting interdisciplinary research. Broad programme of commercialisation activities and adjacent clinical trial facilities. Commercialisation Director and team appointed in 2010. Assess how arrangements are intended to maximise benefit and limit exposure to the University.
5	<b>Carbon reduction strategy</b>	Carbon reduction commitment - the Climate Change Act introduces penalties and rewards from 2010. £0.5M has been lodged and represents an incentive for the UoE to recoup it upon evidence of achieving reduced carbon emissions. UoE will have to report progress towards achieving this. Assess whether we have policy / strategy / action plans; what data do we have and how accurate is it? Also consider the impact on the data return from energy users that UoE can't influence e.g. rented accommodation, start up companies and incubators. Are our policies in alignment with the Act? We will also aim to provide assurance over the robustness of the data used.
6	<b>Payroll instructions</b>	Recurring payments made via the main payroll include studentships and salary payments to staff on fixed term and open-ended contracts. Recurring payments are initiated from information coded in the HR database. Any errors could potentially be repeated month on month. We will seek to ensure that entering or changing staff or salary details follows consistent practice across the University and to ensure that all payments are for the correct amount, for the correct length of time, and are charged to the correct funding source(s).

- 7 **Sick Children's Hospital redevelopment** Tripartite funding arrangement with UoE contributing a third. To be led by the NHS. Are the UoE's interests fully protected? Is there a 'Heads of Agreement' document? Have funding sources been secured? As the junior partner, will the UoE have sufficient influence during the project? Has shared space and running costs been agreed? Is the assignment of risk clear? Who carries the risk from project delays or overruns?
- 8 **Identity Management Service (IDMS)** Following the introduction of the replacement IDMS system, to look at the controls and governance of the service. Also, to consider the perspective of both the suppliers of "Golden Copy" data and the downstream service providers who use the identity data.
- 9 **Non-salary payments to staff** Staff remuneration should normally be in the form of salary, paid via payroll. This reduces the risk of being out of line with employment and tax legislation. There are also circumstances when staff will be paid on the basis of an invoice. We will seek to identify and validate the appropriateness of payments to staff not processed through the payroll (excluding personal expenses).
- 10 **Pensions** Review the controls around the pension process. For example, ensure that records of years of service are accurate, pensions are paid only to valid recipients and that legal requirements are met. We will also review the management of specific risks, for example, around calculations and validity of severance packages which are increasingly common. Also, for the University managed pension scheme (SBS), we will confirm that actuarial input is being received and acted on (for example, so that management decisions are based on accurate information to determine contribution levels).
- 11 **Processing credit card payments and the holding of personal data** The Payment Card Industry Data Security Standard (PCI DSS) is a security standard delivered by both Visa and MasterCard for the protection and securing of card payment data. Merchants that capture or store card payment information are responsible for the protection and storage of this information. For merchants who choose not to comply there could be severe reputational consequences. Are we compliant?
- 12 **Research grant cost recovery** An increasing imperative within UoE is to optimise the recovery of eligible costs on research grants. Different research agencies accept differing levels of recovery. The UoE has protocols and procedures in place to deter the submission of grant applications that do not include optimum recovery of eligible costs. Small Research Facilities in the UoE are increasing and still bedding down. Their costs can be reclaimable. We will assess the effectiveness of the controls and other measures in place to optimise cost recovery.
- 13 **Application of internal University IT Codes of Practice across the University** To review existing UoE internal Codes of Practice with respect to the University's recently approved Information Security Policy and whether they are in line with the guidelines established by the IT Security Working Group.
- 14 **Financial control processes for estates payments** Estates-related invoices and credits are normally processed in an accounting module attached to the Estates database (EBIS). Accounting details are then relayed to the main finance ledger. We will assess the payment authorisation controls supporting payments processed through EBIS. An electronic interface is scheduled that shall reduce the need for data reconciliation between the two systems. We will evaluate the effectiveness of the planned reconciliation procedures and assess the appropriateness of estates related payments not processed through EBIS.

- 15 **Accommodation Services – event management** Accommodation Services has introduced an ‘event management’ facility for commercial customers. This involves on-line registration, payment and billing. We will assess the inherent risks involved and the adequacy of the contractual arrangements in order to transfer, or at least mitigate, any risk to UoE, e.g. following cancellations and billing disputes. We will also consider segregation of duties, invoicing, collection, banking, accounting for income, cash desk controls and any issues around holding of event-specific funds.

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**B Location based audits**

- 16 **School of Education** School audit.
- 17 **Community Health Sciences - General Practice** School type audit. Are all monies etc being claimed from the NHS (Additional Cost of Teaching etc)?
- 18 **School of Biological Sciences** School audit.
- 19 **School of Geosciences** School audit.
- 20 **CMVM - Medical Teaching Organisations** School type audit.
- 21 **School of Economics** School audit.
- 22 **Energy and Supplies Co.** UoE Subsidiary.

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**C Standing & other items for Internal Audit Plan**

- i. Follow up programme Annually
- ii. TRAC - Transparency Review Annual Return Assurances on the processes for the Principal and the Funding Council & RCUK.
- iii. VFM arrangements statement Annually
- iv. Severance Annual Return Annually
- v. Risk Management Attend, and contribute to, the Risk Management Committee and provide an annual opinion.
- vi. Planning, Management & Liaison Internal Audit Planning and Annual Report
- vii. Audit Committee Support Ongoing
- viii. *Contingency Allowance yet to allocate* *Unallocated time to cater for issues arising during the year.*
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- ix. Commercial Contracts  
*(additional resources funded from the income generated)* National Trust for Scotland; Newbattle Abbey College

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**D Reserve List**

- 23 **Procurement - tendering controls** Tendering is a mechanism, widely used across the University, which should support fair competition between suppliers leading to best value for the UoE. To operate effectively, tendering must follow due process. For example, we will seek to confirm that best practice is followed such that bids are secure and confidential until the deadline; evaluation panels have sufficient expertise, observe a quorum, are asked to declare interests, and follow transparent processes.
- 24 **Expenses** Adverse publicity was recently received by some universities due to a lax approach to personal expenses (in particular, reimbursement of inappropriate expenses incurred by senior staff members). The objective of this review is to identify high-risk claims and assess the adequacy of the supporting documentation and authorisation process to ensure that University policy is applied and that claims are unlikely to attract adverse publicity if details become public. For example, following a Freedom of Information Act data request.
- 25 **Estates Procurement** All estates-type procurement should normally be through Estates & Buildings. This helps to ensure that correct tendering procedures have been applied and that approved suppliers are used. We will use specialist audit interrogation software to identify estates type expenditure that has not been processed and paid through the estates database finance module (EBIS).
- 26 **Measures to maximise utilisation of fixed assets** Significant University funds are tied up in fixed assets. Good management information (MI) enables the University to know what assets it has, where they are, when they are due for maintenance or renewal, what income they can generate, what security is appropriate. Poor MI can lead to loss or opportunity for fraud. We will evaluate the measures to maximise the benefits from, and utilisation of, fixed assets.
- 27 **UoE funds leaving the country on overseas collaborations** The University has many overseas dealings. These can range from establishing a presence in the country by opening an office, to co-funding projects, to setting up academic collaborations. We will assess controls in place to ensure that benefits to the UoE are clearly identified and are being realised in practice.
- 28 **Space Management** Space is a valuable and finite commodity. We will look at practice and processes to maximise use of space which is shared by a number of Schools and planning units. We will assess procedures for allocating space, releasing and re-assigning space and taking ownership for space in terms of TRAC.
- 29 **IT environmental efficiency** Climate Change Act will bring new legal responsibilities. We will assess the extent to which we can monitor and demonstrate the environmental efficiency of our IT equipment. We will assess mitigating activities such as buying less equipment, sharing more, using server virtualisation, disposing of equipment responsibly, recycling safely, turning off and power saving. We will assess the quality and availability of management information.
- Reserve location based**
- 30 **School of Philosophy, Psychology and Language Sciences (PPLS)** School audit.

## **Internal Audit Planning Methodology**

### **Background**

1. This appendix provides an overview of the University of Edinburgh Internal Audit planning methodology. The methodology is compliant with the appropriate required guidance (outlined below) and is founded on Risk Based Internal Auditing (RBIA). The guidance and the methodology are reviewed and updated year on year, so that the University of Edinburgh continues to be aligned with best perceived practice.
2. The concept of risk maturity is introduced and an explanation is provided to support our continued classification of the University of Edinburgh as being *risk defined*. The impact of this classification on audit planning is that the audit reviews performed are a *blend of assignments drawn from both the risk management process, and our ongoing periodic review of core operating processes and systems*.
3. The steps involved in drafting the Internal Audit Plan, in particular the identification and then selection of potential reviews, are also outlined.

### **Required Guidance and Scope**

4. The methodology was originally developed in line with the SHEFC Code of Audit Practice (1999) however the Scottish Funding Council (SFC) has now withdrawn the Code and has included their audit requirements in their Financial Memorandum (2008).
5. The mandatory requirements section suggests institutions will find it useful to take account of good practice in the relevant parts of IIA (2009)<sup>3</sup> CUC (2008 and 2009) documents. We therefore continue to review and revise our planning methodology in line with current guidance from IIA, HEFCE, CIPFA, CUC and with reference to the Smith Report, and in the context of the University's risk management infrastructure.
6. In terms of scope, the mandatory requirements of the Financial Memorandum require that the internal audit service must extend its review over all the financial and other management control systems identified by the audit needs assessment process. It must cover all activities in which the University has a financial interest, including those not funded by the SFC. It should include review of controls, including investment procedures, that protect the institution in its dealings with organisations such as subsidiaries or associated companies, students' unions and collaborative ventures or joint ventures with third parties.

### **Perceived Best Practice: Risk Based Internal Auditing (RBIA)**

*Institute of Internal Auditors (IIA) Professional Guidance - An Approach to implementing Risk Based Internal Auditing (2005)*

7. The IIA continues to regard Risk Based Internal Auditing (RBIA) as best practice and defines the concept as a methodology that links Internal Auditing to an organisation's overall risk management framework. RBIA allows Internal Audit to provide assurance to the Court / Audit Committee that risk management processes are managing risks

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<sup>3</sup> IIA is updating the professional standards. The update has not been published, but the University's Internal Audit Service has reviewed the draft document on behalf of CHEIA (Council of Higher Education Internal Auditors).



effectively, in relation to the risk appetite. This approach is endorsed in the 2009 IIA Professional Standards.

8. There are varying degrees of *risk maturity* that organisations can achieve (see Annex A). The approach to implementing RBIA is based on an assessment of the University's risk maturity. The conclusion of this assessment governs the extent to which Internal Audit planning can be driven from the University's risk register(s) and the kind of assurance strategy that can be undertaken by Internal Audit. The IIA Position Statement on Risk Based Internal Auditing (2003) states that "Internal Audit needs to adopt a risk based approach compatible with that adopted by their organisation."

*Implication for the Audit Plan of the University of Edinburgh*

9. Our view of the University's risk maturity is that the University can be classified as **risk defined** as described in the IIA guidance (see Annex A). This was our assessment when we first applied the IIA guidance in 2005-06 and we continue to hold this view following subsequent re-assessments.
10. An organisation classified as being **risk defined** is not in a position to support a fully risk based approach to Internal Auditing. Internal Audit is not able to provide its assurance strategy solely based on the risk management processes, management of key risks and reporting of risks; although it may be able to identify risk management policies or pockets of risk management excellence and plan to provide assurance on these elements. Additionally, Internal Audit should plan to provide assurance that control processes are working according to the objectives or standards that have previously been set.
11. Therefore, the Internal Audit Plan consists of a **blend** of assignments drawn from the risk management process, and assignments that relate to our ongoing periodic review of core operating processes and systems.

*HEFCE – A Guide to Risk-Based Internal Audit in Higher Education (2004)*

12. HEFCE commissioned guidance to assist institutions in applying the IIA Standards in a higher education environment. It is not intended to be prescriptive but to outline a generic application of a risk-based audit methodology. The term risk-based applies both to the development and maintenance of the overall audit plan, and to the approach for individual audit assignments.
13. The guidance provides a number of useful insights into developing the audit planning process. Some relevant excerpts are listed below:

- a. Audit Plans need to be dynamic to reflect the fast-changing nature of most organisations. It is best to think in terms of planning no more than one year ahead. Even with this short horizon, it will be necessary to review the plan to consider the inclusion of emerging business issues and to drop audits that have reduced in priority. Changing levels of priority may be driven by:
  - The HEI's risk management process
  - The outcomes of other audits completed during the period
  - General discussions between the auditors, management and the audit committee.

- b. Where the HEI has a comprehensive risk register, and where these risks clearly link to business objectives, that register may serve as the audit universe, although the auditor always retains a professional duty to satisfy him or her self that the list is comprehensive. Many HEIs limit their risk register to their top 10 or 20 significant risks and as such operational areas such as payments and receivables might never be audited. In such cases, the auditor may wish to compile their own audit universe.
- c. Where the auditor has compiled the list of auditable entities, it will need to be annotated to highlight links with key institutional risks identified by the risk management process. Annotating the document to show previous and potential future coverage may also assist the auditor, management and the audit committee to maintain a long-term view of audit coverage within the organisation: although this will need to stop short of evolving into a long-term Audit Plan.
- d. In practice, many of the areas listed will never be audited as they are not considered material in the level of risk that they pose to the University or because assurance can be drawn from other sources. For example, academic audit, health and safety processes.
- e. Basing the audits around processes or risks will help ensure the audit takes a holistic view of how the institution manages its risks. Departmental audits are most likely to be useful for subsidiaries or other autonomous units that follow their own local procedures.
- f. The institution's risk management process will be a key driver for the proposed audit programme and will have particular credibility where the risks identified link demonstrably to key business objectives.
- g. The key risks identified by management may include some topics that Internal Audit can usefully explore in further detail. Equally, there may well be some risks that do not lend themselves to audit.
- h. The draft Audit Plan will probably be a blend of assignments drawn from the risk management process, and assignments that relate to the ongoing periodic review of core operating processes and systems – such as student registration/records, payroll, debtors, creditors and so on. Risks exist at strategic and operational levels, and Internal Audit has a role to play in offering assurance at both levels. The balance of effort between strategic and operating risk is a matter for the internal auditor's professional judgement, combined with the expectations of internal and external stakeholders.
- i. The auditor may consider investing resource into the audit of new system projects. Auditing new applications (and proposed surrounding processes) at the design stage can help line managers to design-in good control (and avoid the cost of over control). This can save both management and auditors' time and cost in the long run, and ensure systems do not have a period when control is poor.

**CUC - Handbook for Members of Audit Committees in Higher Education Institutions (2008)**

14. This handbook provides (non-prescriptive) guidance to help audit committees and stresses that “practices that work best for one organisation may not be ideal for another”. It states that: “Internal auditors should adopt a risk based approach when planning their audit work” and “if they are confident about risk management and if the risk management arrangements effectively mitigate a risk, then that risk should not merit additional audit attention.”

## **Internal Audit Quality Assessment**

15. The IIA standards suggest that the effectiveness of an Internal Audit Service should be assessed at least every five years. Accordingly, in 2007 we engaged with the Universities of Durham and Newcastle in a reciprocal peer review under which our entire methodology, including planning, was scrutinised. We repeated this review in 2008 and included the University of Strathclyde, and again in 2009 as a 5-way peer review including the University of West of Scotland. Each year the review has concluded that the University of Edinburgh's internal audit planning methodology achieved 'best practice'. The latest IIA professional standards (2009) continue to require an external assessment at least every 5 years, and present practice more than achieves those standards.
16. In 2009 a selection of the University's senior managers undertook an appraisal of Internal Audit. Their findings were generally very positive, and were presented to the Audit Committee.

## **Elements of the annual Internal Audit Plan**

17. A strategic audit plan for the forthcoming three years is maintained and updated annually. The plan seeks to achieve a balance of emphasis over the longer (3 year) term delivering appropriate focus for each year in light of anticipated developments.
18. The University's annual planning submissions are reviewed and items or topics are selected for inclusion in the Internal Audit Plan. The aim is to ensure that the annual Internal Audit Plan is in harmony with the business objectives of the University for the year.
19. The latest University, College and Support Group risk registers are examined and relevant senior managers consulted to identify any new or significant risks and particular areas of concern. Issues raised by them can be added as potential items to the annual Internal Audit Plan. Often, however, the issues raised do not add an entirely new risk, system or activity to the Internal Audit Plan; rather, they provide a relevant fresh perspective to existing risks, systems or activities.
20. Internal auditors, in the course of their year's work, encounter situations which could merit audit attention. They also become aware of potential audit topics, for example from reading guidance from professional bodies, from networking with Internal Audit peers in other HEIs, and from scrutinising relevant press coverage. Our staff maintain a record throughout the year of all such items, which then feed into the annual audit planning process.
21. In order to appraise the University's risk management process itself, the annual Internal Audit Plan may include a review of how selected documented risks are being managed. Otherwise, we review the risk registers, attend the Risk Management Committee and ensure that the Internal Audit Plan addresses a selection of acknowledged risks.

## **Determination of the annual Internal Audit Plan**

22. The combination of elements listed above produces a list of potential audit assignments. We use a recognised scoring methodology (see Annex B) and each member of the audit team applies professional judgement and local knowledge to score items in terms of importance, sensitivity, inherent risk and known control weaknesses. This results in a prioritised list of the potential audit assignments.

23. Professional judgement by the Chief Internal Auditor is applied to determine the resources needed in terms of audit days and skills to tackle the top-scoring assignments. Income generated from selling our services to outside clients allows us to buy-in specialist expertise to undertake high scoring specialist assignments.
24. The first version of the draft annual Internal Audit Plan then consists of as many of the highest scoring assignments as can be accommodated within Internal Audit's annual resources. This version of the annual Internal Audit Plan is then compared against the projected profile of coverage for the coming year in the Strategic Audit Plan to determine whether the spread of audit resources is in line with that suggested in the Strategic Audit Plan. If necessary, the priority ranking of assignments lower in the list may be elevated to achieve a closer match with the profile of the Strategic Audit Plan.
25. The resulting Internal Audit Plan is presented to the Audit Committee for endorsement, along with the top-scoring 'reserve' assignments. Consistent with recognised good practice, the Internal Audit Plan includes an element of flexible capacity which allows us to respond to unforeseeable situations arising during the year without disrupting the approved plan. Any unallocated resource remaining unused is applied to picking up reserve items towards the end of the year.
26. A diagram illustrating the various sources of assurance to the Audit Committee and University Court, including Internal Audit, is provided in Annex C.

**Assessing the University's risk maturity**

This assessment was made by considering the University's practices, processes and relevant supporting documentation such as the risk management strategy, policy and risk registers. The Chief Internal Auditor attends the Risk Management Committee. Cognisance was also made of earlier Internal Audit work (such as the risk management checklist and risk assessment management assignments). While we have updated our own comments, we have not altered any  from last year's assessment.

<b>The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity</b>						
<b>Risk Maturity</b>	<b>Risk naive</b>	<b>Risk aware</b>	<b>Risk defined</b>	<b>Risk managed</b>	<b>Risk enabled</b>	<b>Sample audit test</b>
<b>Key characteristics.</b>	No formal approach developed for risk management .	Scattered silo based approach to risk management.	Strategy and policies in place and communicated. Risk appetite defined. <input checked="" type="checkbox"/>	Enterprise approach to risk management developed and communicated.	Risk management and internal controls fully embedded into the operations.	
<b>Process</b>						
<b>The organisation's objectives are defined.</b>	Possibly.	Yes but may be no consistent approach.	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the organisation's objectives are determined by the board and have been communicated to all staff. Check other objectives and targets are consistent with the organisation's objectives.
<b>Management have been trained to understand what risks are, and their responsibility for them.</b>	No	Some limited training. <input checked="" type="checkbox"/>	Yes	Yes	Yes	Interview managers to confirm their understanding of risk and the extent to which they manage it.
<b>A scoring system for assessing risks has been defined.</b>	No	Unlikely, with no consistent approach defined.	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the scoring system has been approved communicated and is used.
<b>The risk appetite of the organisation has been defined in terms of the scoring system.</b>	No	No	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the document on which the controlling body has approved the risk appetite. Ensure it is consistent with the scoring system and has been communicated.

<b>UoE Internal Audit Comment</b>

University Strategic Plan 2008-2012 is in place. Progress against the plan is regularly monitored and documented.
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Not <u>all</u> managers have received training.
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In place.
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The University states its approach to risk in the Risk Management Strategy. Risk review process challenges whether the level of residual risk is acceptable.
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<b>The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity</b>						
<b>Risk Maturity</b>	<b>Risk naive</b>	<b>Risk aware</b>	<b>Risk defined</b>	<b>Risk managed</b>	<b>Risk enabled</b>	<b>Sample audit test</b>
<b>Processes have been defined to determine risks, and these have been followed.</b>	No	Unlikely	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	Examine the processes to ensure they are sufficient to ensure identification of all risks. Check they are in use, by examining the output from any workshops.
<b>All risks have been collected into one list. Risks have been allocated to specific job titles.</b>	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	Examine the Risk Register. Ensure it is complete, regularly reviewed, assessed and used to manage risks. Risks are allocated to managers.
<b>All risks have been assessed in accordance with the defined scoring system.</b>	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	Check the scoring applied to a selection of risks is consistent with the policy. Look for consistency (that is similar risks have similar scores).
<b>Responses to the risks have been selected and implemented.</b>	No	Some responses identified.	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	Examine the Risk Register to ensure appropriate responses have been identified.
<b>Management have set up methods to monitor the proper operation of key processes, responses and action plans (monitoring controls).</b>	No	Some monitoring controls.	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	For a selection of responses, processes and actions, examine the monitoring control(s) and ensure management would know if the responses or processes were not working or if the actions were not implemented.
<b>Risks are regularly reviewed by the organisation.</b>	No	Some risks are reviewed, but infrequently.	Regular reviews, probably annually. <input checked="" type="checkbox"/>	Regular reviews, probably quarterly.	Regular reviews, probably quarterly.	Check for evidence that a thorough review process is regularly carried out.
<b>Management report risks to directors where responses have not managed the risks to a level acceptable to the board.</b>	No	No	Yes, but may be no formal process.	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	For risks above the risk appetite, check that the board has been formally informed of their existence.

<b>UoE Internal Audit Comment</b>
Risk Management Guidance Manual.
All corporate and College & Support Group risks have been collated. A series of risk registers for the top risks exists.
In place for University, College, Support Groups, subsidiaries and many operational areas and projects.
Yes, but may not apply to the whole organisation. Not always clear what work has been carried out between reviews.
Risk indicators are being developed for some risks. RMC oversee the review of all top level risks.
RMC review process.
A formal risk review process is in place overseen by the RMC. RMC reports to Audit Committee and CMG.

<b>The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity</b>						
<b>Risk Maturity</b>	<b>Risk naive</b>	<b>Risk aware</b>	<b>Risk defined</b>	<b>Risk managed</b>	<b>Risk enabled</b>	<b>Sample audit test</b>
<b>All significant new projects are routinely assessed for risk.</b>	No	No	Most projects. <input checked="" type="checkbox"/>	All projects	All projects	Examine project proposals for an analysis of the risks which might threaten them.
<b>Responsibility for the determination, assessment, and management of risks is included in job descriptions.</b>	No	No	Limited <input checked="" type="checkbox"/>	Most job descriptions.	Yes	Examine job descriptions. Check the instructions for setting up job descriptions.
<b>Managers provide assurance on the effectiveness of their risk management.</b>	No	No	No	Some managers <input checked="" type="checkbox"/>	Yes	Examine the assurance provided. For key risks, check that controls and the management system of monitoring, are operating.
<b>Managers are assessed on their risk management performance.</b>	No	No	No	Some managers <input checked="" type="checkbox"/>	Yes	Examine a sample of appraisals for evidence that risks management was properly assessed for performance.
<b>Internal Audit approach</b>	Promote risk management and rely on alternative Audit Planning method	Promote enterprise-wide approach to risk management and rely on alternative Audit Planning method.	Facilitate risk management / liaise with risk management and use management assessment of risk where appropriate. <input checked="" type="checkbox"/>	Audit risk management processes and use management assessment of risk as appropriate. <input checked="" type="checkbox"/>	Audit risk management processes and use management assessment of risk as appropriate. <input checked="" type="checkbox"/>	

<b>UoE Internal Audit Comment</b>
Estates Development project procedures routinely include risk assessment, as do IT projects. All Committee papers are prompted for evidence of risk assessment.
Will be for some defined roles such as project directors / managers.
Some managers.
Some may be informally assessed.
There is a programme of reviews of recognised risks. This provides the Court, through the Risk Management Committee, assurance that each risk is being adequately managed. Internal Audit is able to assess the effectiveness of the mitigating controls identified in these reviews.

## Scoring model for use with audit assignments and themes

1. Our risk scoring model recognises four elements:

- Importance
- Sensitivity
- Inherent Risk
- Control Risk

2. Importance

This reflects the effect that failure of the system or activity would have on management's ability to achieve their objectives. It also includes consideration of the financial exposure (e.g. expenditure as % of total University expenditure) of the activity. An activity scores high if it is either (a) critical to the functioning of the University, or (b) an area in which income or expenditure is high proportionate to other activities.

3. Sensitivity

This reflects the sensitivity or confidentiality of the data held or processed, or service delivered by, the system/area. It also covers the sensitivity or confidentiality of decisions influenced by the system / area, and any legal or regulatory compliance requirements.

An activity scores high if (a) it holds or processes sensitive or confidential data, (b) it influences the outcome of sensitive or confidential decisions, (c) it is subject to specific legislative or regulatory compliance regulations, or (d) it is the subject of internal political sensitivities.

4. Inherent Risk

This reflects the level of risk that is inherent in the system / area by virtue of its nature. Specific considerations include (a) complexity, (b) pace of change, and (c) dominant external influences. The 'inherent risk' involved in any system can only be mitigated by the presence of adequate and effective internal controls.

Activities that score highly will be activities that are complex, subject to regular or sudden changes, or sensitive to external influences.

5. Control Risk

This reflects past results of Internal Audits of the area under review. It also takes into account the operating history and condition of systems and processes, and knowledge of existing management controls. Information fed into the process from senior management assists in the assessment of control risk.

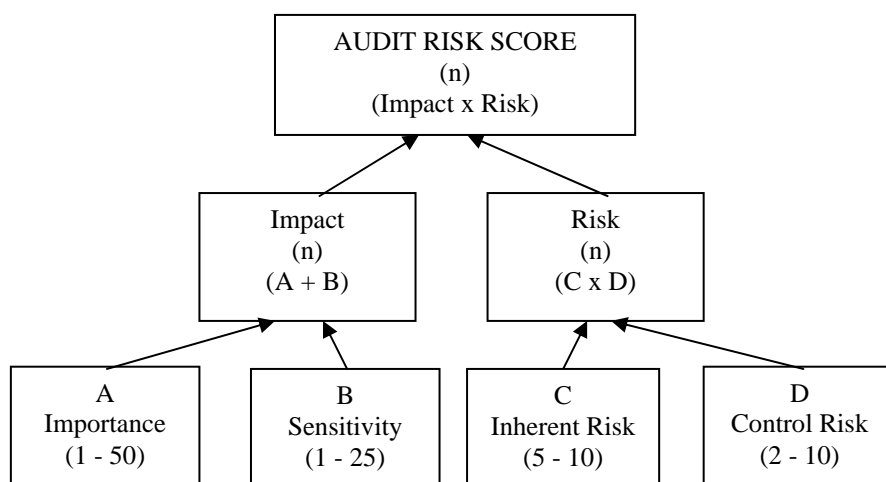
Areas which score high will be areas where known control weaknesses exist, where the system has a known poor operating history, where systems used are known to be in poor condition, or where management controls are known (or suspected) to be inadequate or ineffective.

6. Audit Risk Score

The total audit score for the system, activity, or process is then calculated according to the following index:

**Figure 1 – Audit Score Calculation**

Source: Adapted from NHS Executive



Criteria A and B are set at 1-50 and 1-25 respectively (1 representing low importance or sensitivity, and 50/25 as high). Inherent risk is assessed on a scale of 5-10 to reflect 'imperfect knowledge' in assessing this risk. Control risk is assessed on a scale of 2-10, and is assessed on the basis of existing audit knowledge and input from senior management.



# University of Edinburgh Assurance Model

Figure 1: Structure

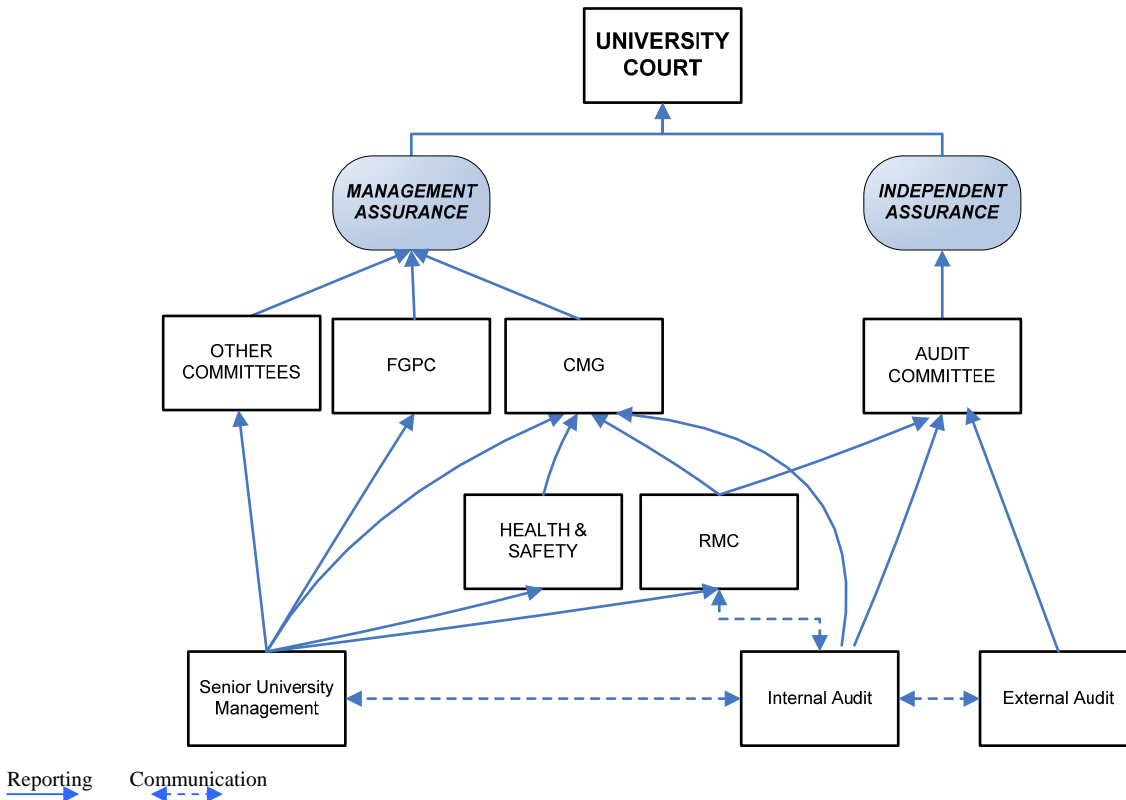
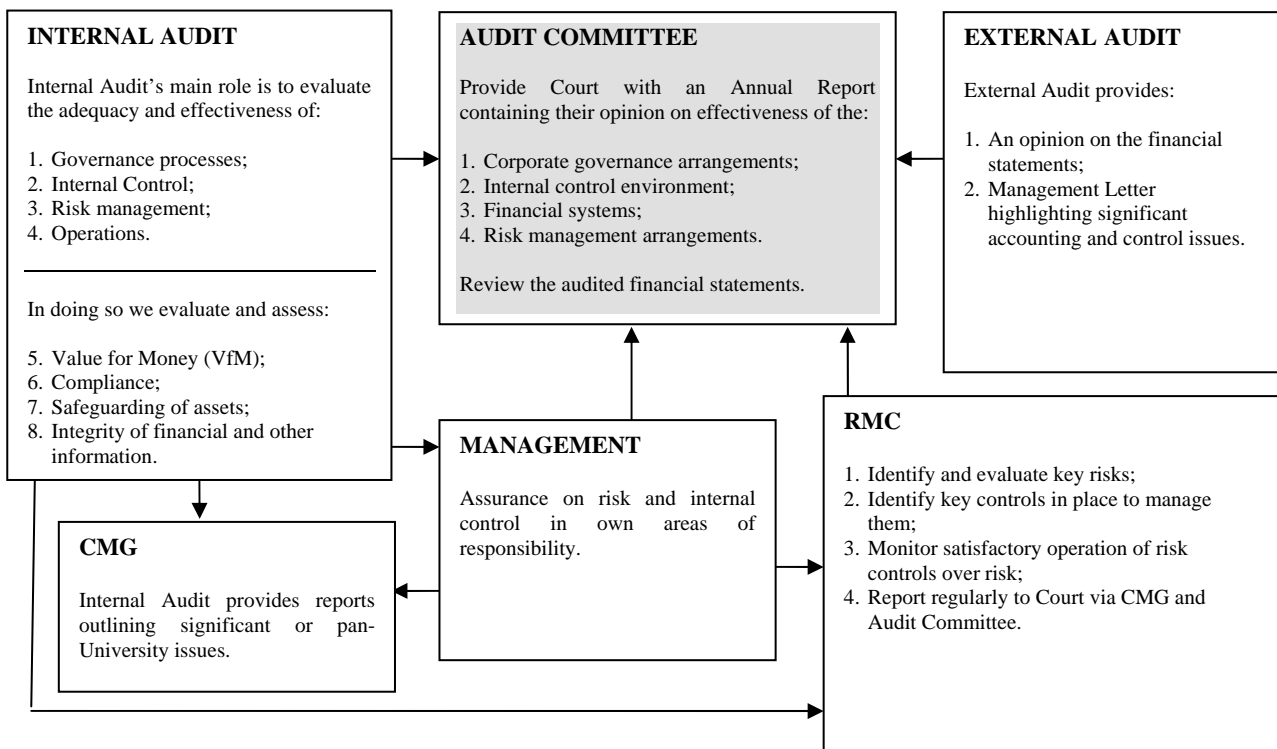


Figure 2: Interdependencies



**Bibliography**

The following best practice guidance was consulted when designing the University Internal Audit Planning Methodology:

<b>AUTHOR</b>	<b>TITLE</b>
Bayer (1999)	Risk-Based Auditing – a new approach
CIPFA (1997)	It's a Risky Business: The Auditor's Role in Risk Assessment and Control
CIPFA (2001)	Risk Management in the Public Services
CIPFA (2004)	The Risk Management Journey – How far down the road are you? A self-assessment and audit checklist.
CUC (2008)	Handbook for Members of Audit Committees in Higher Education Institutions
CUC (2009)	Guide for Members of Higher Education Governing Bodies in the UK
HEFCE (01/28)	Risk Management: A guide to good practice for HE Institutions
HEFCE (2002)	Audit Code of Practice
HEFCE (2003)	Institutional Audit and Accountability, Consultation Draft
HEFCE (2004)	Risk-based Internal Audit in Higher Education
HEFCE (2005)	Accountability and Audit: HEFCE Code of Practice
HM Treasury (2001)	Government Internal Audit Standards
HM Treasury (2001)	Management of Risk: A Strategic Overview (Orange Book)
HM Treasury (2002)	Government Internal Audit Standards: Good Practice Guide Audit Strategy
ICEAW (2000)	Risk Management and the value added by Internal Audit
IIA (2002)	Position Statement: The role of Internal Audit in Risk Management
IIA (2003)	Position Statement: Risk Based Internal Auditing
IIA (2004)	Position Statement: The role of Internal Audit in Enterprise-wide Risk Management
IIA (2005)	Professional Guidance: An approach to implementing Risk Based Internal Auditing
IIA (2009)	Definition of Internal Auditing, Code of Ethics, International Standards for the Professional Practice of Internal Auditing
ISACA (2001)	Use of Risk Assessment in Audit Planning
Mc <sup>2</sup> Consulting	Changing the Paradigm (research on behalf of the IIA)
NHS Executive (1998)	Internal Audit Practitioners Group Technical Paper, Audit Risk Assessment
SHEFC (1999)	Code of Audit Practice
SFC (2008)	Mandatory requirements of the Financial Memorandum at <a href="http://www.sfc.ac.uk/effective_institutions/financialmemorandum/mandatory_requirements.aspx">http://www.sfc.ac.uk/effective_institutions/financialmemorandum/mandatory_requirements.aspx</a>

### External Auditor's Fees

The Audit Committee is asked to approve the audit fee proposed by KPMG for the 2010 audit. The fees proposal is in line with the KPMG response to the 2008 tender exercise following which KPMG was appointed as external auditors to the University.

	Actual* 2008-09 fee £	Proposed 2009-10 fee £
University of Edinburgh*	49,000	50,150
No. 3 Trust	1,750	NIL
The University of Edinburgh Development Trust	5,200	5,300
UoE Utilities Supply Company Limited	2,100	2,150
UoE HPCX Limited	2,100	2,150
Edinburgh Research and Innovation Limited	6,800	6,950
UoE Accommodation Limited	3,700	3,800
Edinburgh University Press Limited	7,500	7,700
Edinburgh Technology Fund Limited	2,100	2,150
Edinburgh Technology Transfer Centre Limited	2,100	2,150
SSTRIC Limited	-	**
<b>Total</b>	<b>82,350</b>	<b>82,500</b>

\*This was based on the fee quoted in the 2008 tender which amounted to £78,500 which together with £1,750 payable for the No.3 Trust and £2,100 for the Edinburgh Technology Transfer Centre Limited gave the overall 2008-09 fee of £82,350. The No.3 Trust was wound up on 31 July 2009.

**The proposed fee for 2010 audit is £82,500 exclusive of VAT.**

This reflects an annual increase of 2.4% in the fee for each entity in line with the increase in the Retail Price Index on 1 April which is applied in each subsequent year covered by the tender period.

\*\* Scottish Enterprise terminated their membership of SSTRIC Limited on 1 April 2009 and the University became the sole member of this company. A resolution to appoint KPMG as auditors for the 16 Month period to 31 July 2010 was proposed at a Board meeting on 4<sup>th</sup> May 2010. The fee will be agreed separately.

The University of Edinburgh

The University Court

21 June 2010

**Report of the Nominations Committee**

The Nominations Committee at its meeting on the 25 May 2010 considered a number of matters and wishes to make recommendations for approval to Court as detailed below:

**Membership of Court**

The Nominations Committee, in accordance the previously agreed procedures, recommends to Court the initiation of a recruitment process to identify two new co-opted members of Court whose terms of office will commence at the start of the 2011/2012 academic session. The recruitment process to commence prior to the end of this calendar year following consideration at the next meeting of the Nominations Committee of recruitment documentation including the advert and a statement on the role of Court members.

**Membership of Committees**

Audit Committee

Mr Peter Budd to be appointed from the start of the 2010/2011 academic session for an initial period of two years.

A recruitment process to be initiated in respect of the appointment of a new external member of the Committee: a similar approach to be adopted as that to identify two new co-opted members of Court.

Committee on University Benefactors

Professor Ansell to be appointed from the start of the 2010/2011 academic session for two years.

Finance and General Purposes Committee

Dr Aliotta to be appointed from the start of the 2010/2011 academic session for two years.

Nominations Committee

Professor Yellowlees to be re-appointed for a further three years until the end of the 2012/2013 academic session.

Staff Committee

Professor Yellowlees to be re-appointed for a further three years until the end of the 2012/2013 academic session.

A recruitment process to be initiated in respect of the appointment of two new external members of the Committee: a similar approach to be adopted as that to identify two new co-opted members of Court.

Library Committee

Professor Finnegan to be re-appointed for a further three years until the end of the 2012/2013 academic session.

16 June 2010

Dr Katherine Novosel

The University of Edinburgh

The University Court

21 June 2010

## **Knowledge Strategy Committee**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper sets out the reasons for adding Knowledge Strategy Committee to the current Court Committees, and as a consequence adding a Court member to KSC from the start of AY2010-11. The two sub-committees of KSC (Library Committee, and University Collections Advisory Committee) will remain Court Committees, but report to Court through KSC.

The paper also sets out the redrafted Terms of Reference for the Committee.

### Action requested

Court is invited to agree the proposal that the Knowledge Strategy Committee become a cCommittee of The University Court; and to approve the Terms of Reference. Court is also asked to confirm that the reporting route for Library Committee and University Collections Advisory Committee will be via the Knowledge Strategy Committee.

### Resource implications

Does the paper have resource implications? No

### Risk assessment

Does the paper include a risk assessment? No

### Equality and diversity

Does the paper have equality and diversity implications? No

### Freedom of information

Can this paper be included in open business? Yes

### Originator of the paper

Jeff Haywood  
Vice Principal Knowledge Management

14 June 2010

## Knowledge Strategy Committee

*'The University is no longer a quiet place to teach and do scholarly work at a measured pace and contemplate the universe as in centuries past. It is a big, complex, demanding, competitive business..'* (OECD, 2007)

In July 2004, the first meeting of the University of Edinburgh's Knowledge Management Committee took place. Over the next 18 months, the first knowledge management strategy was developed. This changed the focus of the University, no longer seeing libraries, IT, AV and e-learning as separate entities but recognising their integral nature in the day to day operation of the University's business. As a result of the consultations associated with introducing knowledge management two major projects, *EUCLID* and the *University Website Redevelopment Project*, were proposed.

Today, Knowledge Strategy Committee (KSC) has oversight of those committees associated with libraries, e-learning, and IT. It also has oversight of major IT-related University projects and, in 2009, introduced a Project Framework to improve overall governance in this area. The three major projects which are currently active are *Student and Course Administration (EUCLID)*, *University Website Redevelopment Project* and *Shared Academic Timetabling*.

The Steering Group for the Review of Support Activities recognised the similarity between KSC and Estates Committee, expressing

*'..strong support for the possibility of developing the existing Knowledge Strategy Committee to include external Court members and focus on funding and prioritisation of projects, as has been the case with the Estates Committee;'*

### **Draft Report of the Steering Group for the Review of Support Activities, May 2010**

At present, Knowledge Strategy Committee reports to CMG via the Vice Principal for Knowledge Management. Library Committee and UCAC are Court Committees but report to KSC. The activities covered by KSC are fundamental to the University's academic and administrative functions. There is an element of disjoint whereby library activities are covered by a Court Committee whilst IT-based activities (of similar importance to a University of world class standing) are not.

In order to bring some coherence to this situation and to ensure that Court has equal sight of both library and IT matters, it is proposed that Knowledge Strategy Committee should be adopted as a committee of the University Court. Library Committee and UCAC, along with e-learning Committee and IT Committee, would report through KSC to Court. It is not intended that we change the current status of Library Committee or UCAC, simply that we revise their reporting route.

As a Court Committee, KSC would revise its membership to include a member of Court. This will give Court direct input to the strategic deliberations of KSC and to the governance of major IT projects overseen by the committee.

**Action:** Court is invited to agree the proposal that Knowledge Strategy Committee become a committee of The University Court; and to approve the Terms of Reference. Court is also asked to confirm that the reporting route for Library Committee and University Collections Advisory Committee will be via the Knowledge Strategy Committee.

## **Knowledge Strategy Committee – Terms of Reference**

### **1. Purpose**

To oversee the University's knowledge management activities in the areas of Library, Information Technology, e-Learning, Management Information and e-Administration (hereafter described as the University's 'Information Space') on behalf of Court; and to give initial consideration to and advise on any other Court business in respect of the University's knowledge management activities.

### **2. Composition**

2.1 The Committee shall consist of ten members.

2.2 The Vice-Principal Knowledge Management, the Director of Corporate Services and the Head of Knowledge Management and IS Planning shall be ex officio members of the Committee.

2.3 The Students' Association shall appoint, on an annual basis, a representative to be a member of the Committee. This will normally be the Vice President Academic Affairs of the Students' Association who will remain a member of the Committee for the length of their term of office.

2.4 The other members of the Committee shall consist of: two lay members of Court, one member from the College of Humanities and Social Science, one member from the College of Medicine and Veterinary Medicine, one member from the College of Science and Engineering, and one member from the Student and Academic Services Group.

2.5 Court shall appoint members of the Knowledge Strategy Committee on the recommendation of the Nominations Committee.

2.6 The Nominations Committee shall take cognisance of ex officio members of the Committee in submitting its recommendation to Court.

2.7 The term of office of Court lay members will be no longer than their membership of Court unless otherwise determined by Court and shall normally be for a maximum of three years.

2.8 Previous members are eligible for re-appointment up to a normal maximum of two consecutive terms of office.

2.9 The Vice-Principal Knowledge Management shall be appointed ex officio Convener of the Committee.

2.10 All members of the Knowledge Strategy Committee are expected to comply with the University's Code of Conduct as set out in the University's Handbook and declare any interests which may conflict with their responsibilities as members of the Knowledge Strategy Committee.

2.11 Senior Responsible Officers for major non-estate projects that involve IT and/or business process change may be in attendance at the Committee; other Senior Officers of the University may also be in attendance.

2.12 Other individuals from within or outwith the University may also be invited to attend meetings from time to time to provide the Committee with information on specific items on the agenda.

### **3. Meetings**

3.1 The Committee will meet as required to fulfil its remit and will meet at least once in each academic session.

3.2 Meetings will be timetabled on an annual basis and will take account of the schedule for Court meetings to ensure appropriate reporting.

3.3 In order to action urgent business or during the summer vacation the Committee may take forward business by electronic or physical correspondence with a report being presented to the next scheduled meeting of the Committee to formally confirm any actions agreed.

3.4 Minutes, agendas and papers will normally be circulated to members of the Committee at least five days in advance of the meeting. Late papers may be circulated up to two days

before the meeting. Only in the case of extreme urgency and with the agreement of the Convener will papers be tabled at meetings of the Committee.

3.5 Non-contentious or urgent matters not on the agenda may be considered at a meeting subject to the agreement of the Convener of the meeting and the majority of members present.

3.6 Minutes, agendas and papers will also be circulated to those in attendance at meetings at least four days in advance of the meeting unless the originator of the paper otherwise determines. Any other person in attendance at the meeting will be issued with papers appropriate to their reason for attendance.

3.7 Papers will indicate the originator/s and purpose of the paper, the matter/s which the Committee is being asked to consider and any action/s required and confirm the status of the paper in respect of freedom of information legislation.

3.8 Four members of the Committee shall be a quorum. This number must include a representative from one of the three Colleges and a lay member of Court, one of whom shall be appointed Convener by the majority of members present for the duration of the meeting should the Convener not be present.

3.9 A formal minute will be kept of proceedings and submitted for approval at the next meeting of the Committee. The draft minute will be agreed with the Convener of the Committee prior to circulation and in the case of the absence of the Convener at a meeting the Committee member appointed to act as Convener for the duration of that specific meeting.

#### **4. Remit**

4.1 To oversee, on behalf of the Court, the University's knowledge management activities as they apply to the Information Space In particular:

4.1.1 To oversee the University's major IT-based projects; and advise the Court and the Central Management Group on the proper control and management thereof;

4.1.2 To advise the Court and the Central Management Group (CMG) on any related factors, whether internal or external to the University, which might have a significant effect on the University's information space; and to report to the Court as appropriate.

4.2 To advise on the strategic direction for the University's Information Space, bringing together academic, physical, and financial aspects; further to ensure that priorities are clearly aligned to the University's Strategic Plan and will support the delivery of the core strategic goals; and to monitor progress against agreed targets and in particular:

4.2.1 To advise the Court, as necessary, on the strategic direction for the University's Information Space;

4.2.2 To monitor the performance and activities of the Library Committee, Information Technology Committee, e-Learning Committee and University Collections Advisory Committee, and report thereon to Court.

4.3 To undertake such other responsibilities as the Court may determine.

#### **5. Other**

5.1 The Committee will from time to time undertake a review of its own performance and effectiveness as part of the overall review of Court and its Committees and report thereon to Court.

5.2 In order to fulfil its remit the Committee may obtain external professional advice or training as necessary.

5.3 Reports on the main points discussed at each meeting will be provided to the subsequent meeting of Court, for information or for ratification as appropriate. The Committee will, when appropriate, also report on its deliberations to the CMG for information.

5.4 Agenda, papers and approved minutes will be published on the University's internet in accordance with the University's agreed publication scheme and status of the above listed in respect of freedom of information legislation. This will include details on the membership of the Committee.



5.5 An annual meeting may be held between the Knowledge Strategy Committee and the Central Management Group to discuss issues of mutual concern and agree on any significant areas of work for the coming year if this is considered to be appropriate.

The University of Edinburgh

University Court

21 June 2010

## **Update of University Risk Register**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper presents the 2009/10 update of the University Risk Register (Appendix 1), having been approved by CMG at its meeting on 19 May, subject to the amendment to the likelihood rating of a new risk, and endorsed by Audit Committee of 3 June and F&GPC meeting of 7 June.

The major changes to the risks in the register are:

- The removal of risk 10 of a major/exceptional health and safety incident occurring – the Corporate Services Group Risk register incorporates the operational health and safety risk;
- The addition of a new risk 14 on the Enhancement Led Institutional Review;
- The removal of two major projects: risk 8.2 full economic costing and administration, and risk 8.3 web project;
- The addition of two further major projects: the development and implementation of merger proposals with ECA and HGU respectively;
- A re-focussing of risk 2 on staff dissatisfaction and possible disruption to business continuity.

No changes have been made to the assessment of risk impacts or likelihoods.

### Action requested

Court is invited to comment on, and approve the University Risk Register.

### Resource implications

Does the paper have resource implications? No.

### Risk Assessment

Does the paper include a risk analysis?

The Risk Register is one of the key elements of the risk management process within the University.

### Equality and Diversity

Does the paper have equality and diversity implications? No.

### Freedom of Information

Can the paper be included in open business? No, its disclosure would substantially prejudice the effective conduct of public affairs. It will be closed until approved by Court.

### Originator of the paper

Nigel A.L. Paul, Convener of the Risk Management Committee  
Helen Stocks, Secretary to the Risk Management Committee  
9 June 2010

The University of Edinburgh

The University Court

21 June 2010

# C11

## **Update on Academic and Financial Planning Issues for the School of Education**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper updates Court members on progress in dealing with the redundancy situation in the School of Education.

### Action requested

Court members are asked to note the progress and the recommendations set out in the paper.

### Resource implications

Does the paper have resource implications? Yes

As detailed in paper.

### Risk assessment

Does the paper include a risk assessment? No

### Freedom of information

Can this paper be included in open business? No

### Originator of the paper

Frank Gribben  
for and on behalf of CMG and the ITE Planning Group  
16 June 2010

The University of Edinburgh

The University Court

21 June 2010

**Edinburgh College of Art**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper provides Court with information on the present position in respect of discussions with Edinburgh College of Art (eca).

Action requested

The Court is invited to note the report and comment on the present position.

Resource implications

As detailed in paper.

Risk Assessment

As detailed in paper.

Equality and Diversity

As detailed in paper.

Freedom of information

Can this paper be included in open business? No

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

Originators of the paper

Vice-Principal Professor Fergusson  
15 June 2010

The University of Edinburgh

The University Court

21 June 2010

## **Revised Delegated Authorisation Schedule**

### Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The attached draft Delegated Authorisation Schedule has been prepared by a small group tasked to take forward a review of the current Schedule following recommendations to the Audit Committee and reported to Court on the requirement for such a review.

The review has been fairly light touch with the same headings adopted as in the current Schedule with the proposed changes reflecting the current Committee structure and taking account of pay modernisation and other changes in practice. In order to provide clarity the revised Schedule sets out the delegated authority which in most cases is a constituted Court Committee and the individual/s able to sign on behalf of the authorised body (except where it is proposed that authorisation is delegated to an individual). The Schedule also includes a suggested template to enable the production of written sub-delegation schemes. The Schedule and sub-delegation schemes will be regularly reviewed to ensure they remain fit for purpose. CMG and Finance and General Purposes Committee reviewed the document at their meetings on 19 May and 7 June 2010 respectively and comments have been appropriately incorporated as well as those received as part of the wider consultation process. Court is asked to formally approve the revised Delegated Authorisation Schedule to come into effect on 1 October 2010 and to replace the current Schedule on that date. This implementation date will enable initial sub-delegation schemes to be developed. Court should note that authorities not delegated under this Schedule remain with the University Court and powers previously delegated to the Principal remain in place.

### Action requested

Court is asked to formally approve the revised Delegated Authorisation Schedule.

### Resource implications

No

### Risk assessment

The Delegated Authorisation Schedule is an important part of the governance arrangements of the University to assist in minimising financial and other risks.

### Equality and diversity

No

### Freedom of information

Can this paper be included in open business? Yes

### Originator of the paper

DAS Working Group

### To be presented by

University Secretary

## THE UNIVERSITY OF EDINBURGH

### DELEGATED AUTHORISATION SCHEDULE

**This Schedule lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement** (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student). The people or bodies are shown under the heading “Delegated Authority”. If the Delegated Authority is a body comprising two or more people the person authorised to sign documents giving effect to the arrangement is shown under the heading “Signatory”. The University Court may continue to exercise all authorities available to it whether or not they have been delegated. Authorities not delegated under this Schedule remain with the University Court.

Notes applicable to this Schedule are set out in Appendix A. Where a Note is applicable to a particular arrangement, it is referred to in the column headed “Notes”.

**The Delegated Authority is responsible for sub-delegating authorities granted and for adding an additional signatory or otherwise changing the Signatory.** This is done by means of a written scheme. Delegated Authorities may use the suggested template for a written scheme attached as Appendix B. The Delegated Authority may continue to exercise all authorities granted to it whether or not they have been sub-delegated.

Both Appendices form part of this Schedule.

This Schedule applies in addition to the **Delegation of Powers granted by the University Court to the Principal** on 10 June 2002 noting that the Principal's authority extends to commitments to transactions with a value of up to £500,000.

Categories of contractual or quasi-contractual arrangements	Delegated Authority	Signatory	Notes
<b>1. Properties Transactions</b>			
1.1 Acquisition and disposal of the ownership interest in land and buildings:			
a) with a value of £500K or less;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of more than £500K and less than £3 million.	b) Estates Committee	b) Convener of Estates Committee	
<i>[over £3 million – authority remains with Court]</i>			
1.2 Acquisition and disposal of the leasehold interest in land and buildings:			
a) with a value of £500K or less and a lease duration of less than ten years;	a) Estates Committee	a) Director of Estates & Buildings	
b) with a value of £500K or less and a lease duration of ten years or more;	b) Estates Committee	b) Convener of Estates Committee	
c) with a value of more than £500K and less than £3 million and a lease duration of less than thirty years;	c) Estates Committee	c) Convener of Estates Committee	
<i>[with a value of over £3 million and for a duration of 30 years or more – authority remains with Court]</i>			
<b>2. Goods, Services and Works</b>			
2.1 Acquiring or providing goods, services and/or works not dealt with elsewhere in this Schedule:			a, b, c, d, e
a) with a value up to and including £200K;	a) Head of College/Support Group		

	b) with a value of more than £200K but up to and including £500K.	b) Principal	
	<i>[with a value over £500K – authority remains with Court]</i>		
2.2	Acquiring or providing goods, services and/or works for Estates and Buildings (including utilities and estates consumables) other than Estates-related projects – see Section 5.		a, b, c, d, e
	a) transactions up to and including £200K	a) Director of Estates & Buildings	
	b) transactions over £200K and up to and including £500K	b) Director of Corporate Services	
	<i>[transactions over £500K – authority remains with Court]</i>		
2.3	Framework Agreements	Director of Procurement	e, f
<b>3.</b>	<b>Staff</b>		
3.1	Offers of employment and contracts of employment	Head of College/Support Group	
3.2	Appointment to personal chairs	Central Academic Promotion Committee	Convener of Central Academic Promotion Committee
3.3	Promotions to readerships	Head of College	
3.4	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff below grade UoE 10	Head of College/Support Group	g
3.5	Promotions or offers to increase salary or make other payments to staff over and above their contracted salary entitlement for staff on grade UoE 10 and equivalent staff	Remuneration Committee	Convener of Remuneration Committee h, i
3.6	Voluntary severance		h, j
	a) Senior staff	a) Remuneration Committee	a) Convener of Remuneration Committee



	b)All other staff	b) Head of College/Support Group	
3.7	Other severance including dismissal, redundancy and medical incapacity for:		
	a) Academic and former 'Academic-related' staff	a) As set out in the Commissioners' Ordinance (S1 1992 No. 2700)	
	b) Other staff	b) Head of College/Support Group	
3.8	Implementation of nationally negotiated annual pay awards	Principal	k
3.9	Staff expenses	Head of College/Support Group	l
3.10	Agreements to second staff from the University to third parties and vice versa	Head of College/Support Group	
3.11	Arrangements for individuals visiting the University to do research and/or teaching	Head of College	
<b>4.</b>	<b>Student Admissions</b>		
4.1	Undergraduate student admissions	Head of College	m
4.2	Visiting undergraduate student admissions	Head of College	m
4.3	Taught postgraduate student admissions	Head of College	m
4.4	Research postgraduate student admissions	Head of College	m
4.5	Visiting postgraduate students	Head of College	m
4.6	Agreements and arrangements relating to the education and learning of undergraduate, postgraduate taught or postgraduate research students other than those covered in section 15	Principal	

**5. Estate related Projects**

5.1	Award of and payments for all goods, services and/or works contracts for estates-related projects			n,e
	a) transactions up to and including £500K	a) Estates Committee	a) Director of Estates & Buildings	
	b) transactions over £500K and up to and including £10 million	b) Estates Committee	b) Convener of Estates Committee	
	<i>[transactions over £10 million – authority remains with Court]</i>			

**6. Financial Transactions, Borrowing, Lending and Investment**

6.1	Long term borrowing (over 12 months) of up to £5 million	Finance and General Purposes Committee	Principal	o
6.2	Short-term borrowing (12 months or less) of up to £5 million	Finance and General Purposes Committee	Director of Finance	p,o
6.3	Secured loans to third parties			o
	Under £5 million	Finance and General Purposes Committee	Director of Finance	
6.4	Unsecured loans to third parties			o
	Under £1 million	Finance and General Purposes Committee	Director of Finance	
6.5	Authorisation of cash transfers and borrowings pursuant to arrangements already approved in accordance with this Schedule	Director of Finance		o
6.6	Authorisation of release of moneys for investment other than endowment investments referred to at section 13	Director of Finance		o
6.7	Changing signatories on bank accounts	Director of Finance		o

6.8	Foreign exchange dealings up to £20 million	Director of Finance		o
6.9	Settlement of tax matters with tax authorities	Director of Finance		o
6.10	Incorporation and winding up of subsidiary, quasi-sub subsidiary and associated undertakings; dealings with the University's interest in such undertakings including representing the University at meetings and appointing a proxy (this section 6.10 does not apply to spin-out companies referred to at section 6.12)	Finance and General Purposes Committee	Director of Corporate Services	
6.11	Arrangements between the University and the undertakings defined in 6.10, e.g. memoranda of understanding, member or shareholder agreements	Finance and General Purposes Committee	Director of Corporate Services	
6.12	Incorporation and winding up of companies formed to exploit the intellectual property and/or know-how of the University ("spin-out companies"); dealings with the University's interest in spin-out companies including representing the University at meetings and appointing a proxy	Director of Corporate Services		
6.13	Arrangements between the University and the spin-out companies defined at section 6.12, e.g. shareholder agreement	Director of Corporate Services		
6.14	Write-off or write-down of moneys due to the University	Director of Finance		o
	<i>[Authority for opening of bank accounts in the University's name and the associated mandates is reserved to Court]</i>			
	<i>[Authority for borrowing, loans and foreign exchange dealings in excess of the upper limits specified in section 6.1 to 6.4 and 6.8 are reserved to Court]</i>			
<b>7.</b>	<b>Funding Bids</b>			
7.1	Funding Bids in response to Scottish Funding Council (SFC) and other external agencies' initiatives (other than	Principal		

as covered by Section 8) and including joint bids with other institutions

7.2	Agreements with institutions or other parties regarding sharing of moneys or other resources provided by SFC or other external agencies for infrastructure for research or education	Head of College/Support Group or the Principal if the moneys or resources are provided for more than one College/Support Group
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**8. Research grants, contracts and ancillary transactions falling within the remit of Edinburgh Research & Innovation Ltd (“ERI”)**

8.1	Applications for research grants	Director of Research Services	q
8.2	Acceptance of research grants	Director of Research Services	q
8.3	Tenders for research grants	Director of Research Services	q
8.4	Contracts which are ancillary to research grants (including collaborative arrangements and sub-awards and intellectual property agreements)	Director of Research Services	
8.5	Contracts for the provision of research	Director of Research Services	q
8.6	Confidentiality agreements	Director of Research Services	
8.7	Contracts for the provision of goods, materials, software, data or other resources to or from the University for no consideration ancillary to research	Director of Research Services	
8.8	Contracts relating to clinical research e.g. clinical trial agreements, site agreements, drug supply agreements, clinical study sponsorship agreements	Director of Research Services	q
8.9	Contracts for students to do research if there is funding from a third party	Director of Research Services	q
8.10	Granting or receiving an assignation or licence of intellectual property to facilitate research	Director of Research Services	

**9. Consultancy and Service Contracts falling within the remit of ERI**

9.1 Contracts for the provision by the University of consultancy services Director of Research Services

r

9.2 Contracts for the provision by the University of goods and services; access to equipment and facilities Director of Research Services

**10. Technology Transfer Agreements**

10.1 Registration and all subsequent dealings with patents, design rights, trademarks and all other intellectual property rights, including licensing and outright transfer of such rights Director of Research Services

10.2 Dealings with copyright, know-how and all other unregistered intellectual property rights (including in relation to software and teaching materials), and licensing and outright transfer of such rights Director of Research Services

10.3 Dealings with goods and materials embodying intellectual property rights including licensing and outright transfer of such items Director of Research Services

**11. University Accommodation**

11.1 Allocation of student residential accommodation Director of Accommodation Services

11.2 Allocation of student residential accommodation for commercial purposes Director of Accommodation Services

11.3 Room hire: (leases, sublets, conferences, group bookings, concerts etc) Director of Corporate Services

## 12. Donations

12.1	Acceptance and utilisation of donations to the Development Trust	Development Trust	As specified by the Development Trust	s
12.2	Acceptance of donations to the University	Vice-Principal for Development/Head of College/Head of Support Group		s,t
12.3	Use of donations to the University – for restricted purposes	.		s
	a) Donations with a value of less than £500K	a) Head of College/Support Group		
	b) Donations with a value of £500K or more	b) Principal		
12.4	Use of donations to the University – for unrestricted purposes	.		s
	a) Donations with a value of less than £100K	a) Head of College/Support Group		
	b) Donations with a value of £100K or more but less than £500K	b) Principal		
	<i>[over £500K authority remains with Court]</i>			

## 13. Endowment Investments

13.1	Release of moneys to fund managers for investment	Investment Committee	Convener of Investment Committee	
13.2	Instruction to fund managers to release income for use by the University	Director of Finance		
13.3	Release of income to beneficiary as a budget for the specified purposes	Director of Finance		

13.4	Specific decisions on application of endowment funding within the specified purposes	Head of College/Support Group or Principal for pan-University endowments	
13.5	Investment management services including appointment of investment managers	Investment Committee	Convener of Investment Committee
<b>14.</b>	<b>Agreements with NHS Authorities</b>		
14.1	Collaborative agreements with the NHS and other agencies for medical, teaching and research purposes. Leases and licensing agreements for land and property are covered under Section 1 above.	Head of College of Medicine and Veterinary Medicine	u,v,w
14.2	Additional cost of teaching ('ACT') - agreeing the allocation and use of funds provided by the NHS to meet the additional costs of teaching medical students.	Head of College of Medicine and Veterinary Medicine	
14.3	Provision of laboratory services.	Head of College of Medicine and Veterinary Medicine	v,w
14.4	Medical library, archiving, information technology and networking services.	Head of Information Services Group	
<b>15.</b>	<b>International Agreements</b>		
15.1	Agreements involving agencies and equivalent bodies for the recruitment of international students	Vice-Principal International acting jointly with Head of College	
15.2	European Union schemes for student exchanges and similar	Head of College	
15.3	Agreements and arrangements relating to the education and learning of undergraduate, postgraduate taught or postgraduate research students having an international character	Principal	

**16. Library**

16.1 Access to the Library/library facilities by non-members of the University. Director of Library Services

**17. Disputes**

17.1 Documents relating to the settlement of court actions or other disputes not falling within the ambit of other parts of this Schedule University Secretary



**THIS IS APPENDIX A OF THE DELEGATED AUTHORISATION SCHEDULE ADOPTED BY THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH ON [ ] JUNE 2010**

**NOTES**

**Applicability of Notes**

The Delegated Authorisation Schedule ("DAS") to which these Notes are attached lists those people or bodies to whom authority has been delegated by the University Court to commit the University to a contractual or quasi-contractual arrangement (i.e. normally with an external body or person, such as the award of capital contracts or the offer of a place to an individual student).

General notes apply to all arrangements in the DAS.

Particular Notes apply to a particular arrangement if this is indicated in the column headed "Notes" in the DAS.

**General Notes**

- 1) This Schedule applies in addition to the Delegation of Powers granted by the University Court to the Principal on 10<sup>th</sup> June 2002, in terms of which the Principal received delegated authority to act on behalf of the University Court in all matters other than the areas which the Court reserved to itself and subject to certain principles (all as published on the University website) and to commit expenditure of up to £500,000.
- 2) The University Court has delegated various authorities to "Head of College/Support Group". In these cases it is the Head of College or Head of Support Group where the arrangement is taking place who has the authority. On occasion arrangements can involve more than one College and/or more than one Support Group. In these situations, unless the University Court has directed otherwise, the various individuals with authority should agree amongst themselves regarding which one of them will accept the authority (and responsibility) for the arrangement concerned. Generally speaking, authority (and responsibility) should be accepted by the individual whose College or Support Group has the budget (or the majority of the budget) for the arrangement concerned.

**Particular Notes**

- a. Goods means corporeal movable items irrespective of how they are treated in the University's accounts
- b. Section 2 does not apply to the acquisition and provision of goods, services and works dealt with elsewhere in the DAS. For example goods, services and works may be provided as part of the arrangements described in sections 5, 6, 8 to 11, 13.5 and 14 and, if so, these sections apply.
- c. Examples of goods, services or works covered by section 2 are computing equipment; software; books, journals and other written or electronic material; professional services such as solicitors, accountants, architects, surveyors and the like. These examples are without prejudice to the generality of section 2.
- d. Section 2 applies irrespective of whether the goods, services and/or works are purchased or obtained on hire-purchase, lease or other financial arrangement.
- e. The acquisition of goods, services and works by the University is subject to statutory requirements and internal University procedures approved most recently at the meeting of the University Court on 19<sup>th</sup> October 2009. University procedures regarding procurement may be amended or replaced in the future and if so it is the amended or replacement procedures which apply. Delegated Authorities are responsible for ensuring such requirements and procedures are complied with and should consult the University's Director of Procurement for assistance with these matters.
- f. Framework Agreements have particular relevance in the area of procurement and are defined in procurement legislation as *"agreements with suppliers, the purpose of which is to establish the terms governing contracts to be awarded during a given period, in particular regard to price and quantity"*.

- g. There are also appeals mechanisms which can be invoked by staff: appeals panels are empowered to take final decisions.
- h. In cases where the arrangement concerned relates to the Principal, the Principal shall withdraw from the Remuneration Committee and take no part in the discussions or any decisions. Any severance package for the Principal would require formal approval of the Court.
- i. Court reserves to itself (or to its Remuneration Committee) decisions on salaries for certain senior staff.
- j. The Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current provisions are set out in the Guidance on Severance Arrangements approved by the University Court in October 2008. This Guidance defines senior staff and sets out specific rules for certain arrangements described in the guidance. The Guidance may be amended or replaced in the future. If so it is the amended or replacement guidance which applies.
- k. Although this authority is delegated to the Principal, the Principal is expected to consult the University Court before committing to the implementation of nationally negotiated annual pay awards.
- l. Staff expenses of Vice-Principals, Heads of College or Support Groups shall be authorised by the University Secretary and staff expenses of the Principal shall be authorised by the Vice-Convenor of the University Court.
- m. Finance and General Purposes Committee monitors numbers of students admitted to the University.
- n. Delegated Authorities and Signatories are required to act in accordance with the University Court's approved policies and procedures. The current *System of Organisation and Control for The University Court of the University of Edinburgh Major/Strategic Building Projects* was approved by the Court on 5 June 2000. This System also specifies who should sign tender documents. This System may be amended or replaced in the future. If so it is the amended or replacement system which applies.
- o. All borrowing, lending and investment transactions are subject to the Treasury Management Policy approved by Financial and General Purposes Committee on 5 March 2001. This Policy may be amended or replaced in the future. If so it is the amended or replacement policy which applies.
- p. The Director of Finance can authorise borrowing within existing facilities approved by the Court.
- q. If the arrangement relates to the funding of research and the grant or other sums payable are insufficient to the extent that the University will itself require to pay moneys to an external third party, then the Delegated Authority shall obtain the consent of the Head of College prior to making the commitment.
- r. As set out in SAM 5.6 which specifies the nature of External and Internal Consultancies. It also defines Private Consultancies which fall outwith the scope of DAS. SAM 5.6 may be amended or replaced in the future. If so, it is the amended or replacement arrangements which apply.
- s. The distinction between funds donated to the University and to the Development Trust is important. Most philanthropic donations are received by the Development Trust rather than by the University. The Trust agrees the way in which they are used, in keeping with any restrictions placed on use by the donor.
- t. The Vice-Principal for Development will consult with the relevant Head of College or Support Group depending on which College or Support Group is to receive a donation with particular regard to terms which a donor may wish to attach to a donation. Acceptance of any donation with restricted academic purposes must be approved by the relevant Head of College or Support Group. If the donation involves land and buildings, acceptance must be approved by the Director of Estates and Buildings in addition to the Head of College or Support Group.

- u. Leasing and licensing agreements for the use of NHS or University land and property by the other party is covered under Section 1 of the DAS and includes the proper application of the 'Pater formula' to deal with the shared running costs of capital developments including those that occurred in the past where agreements in regard to estates cost-sharing were put in place.
- v. Subject to consulting the Director of Estates and Buildings in regard to estates implications.
- w. Subject to expenditure limitations set out in section 2.1

**THIS IS APPENDIX B OF THE DELEGATED AUTHORISATION SCHEDULE ADOPTED BY THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH ON [ ] JUNE 2010**

**THE UNIVERSITY COURT OF THE UNIVERSITY OF EDINBURGH**

**DELEGATED AUTHORISATION SCHEDULE**

**FORMAL SCHEME OF SUB-DELEGATION BY [INSERT NAME OF DELEGATED AUTHORITY]**

**Introduction**

This Formal Scheme of Sub-delegation is intended to authorise [INSERT NAME OF DELEGATED AUTHORITY] to commit the University to certain contractual or quasi-contractual arrangements and to sign documents giving effect to such arrangements, on behalf of The University Court of the University of Edinburgh.

**Background – Delegation of Powers by the University Court to [INSERT NAME OF DELEGATED AUTHORITY]**

At its meeting on [ ] June 2010 the University Court of the University of Edinburgh approved a Delegated Authorisation Schedule in terms of which people or bodies holding specified positions in the University (referred to as the "Delegated Authority") were authorised to commit the University to contractual or quasi-contractual arrangements. The University also authorised the Delegated Authorities to approve formal schemes of sub-delegation whereby the authority granted to the Delegated Authority could be sub-delegated and/or the signature arrangements changed. This document is such a Formal Scheme of Sub-delegation by [[INSERT NAME OF DELEGATED AUTHORITY] ].

A copy of the Delegated Authorisation Schedule (including the Notes to the Schedule) is attached to this Formal Scheme.

**Sub-delegation to [INSERT NAME OF DELEGATEE ]**

[INSERT NAME OF DELEGATED AUTHORITY] hereby sub-delegates authority to the individual named below to commit to contractual or quasi-contractual arrangements and/or to sign documents to give effect to such arrangements on behalf of The University Court of the University of Edinburgh.

**Extent of Formal Scheme**

This Formal Scheme applies to all/some of arrangements and documents giving effect to these which [INSERT NAME OF DELEGATED AUTHORITY] is entitled to commit to under the Delegated Authorisation Schedule being those described in the following sections in the Delegated Authorisation Schedule:

[E.G. SECTION 1. PROPERTIES TRANSACTIONS]

Position and Name of Individual	Specimen Signature of Individual

Signed .....  
[INSERT NAME OF DELEGATED AUTHORITY]

Date .....

The University of Edinburgh

The University Court

21 June 2010

**Academic Report**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper is the Academic Report to Court from the Senatus meeting held on 16 June 2010.

A copy of the full minute of the Senatus meeting, together with related papers, will be available shortly from the Senatus webpages at

<http://www.acaffairs.ed.ac.uk/Committees/Senate/MeetingDates.htm>

Action requested

The paper is largely for information.

Item 2: Court is asked to note Senate's observations on the Proposed Merger with Edinburgh College of Art (eca)

Item 7: Court is asked to note that Senate has approved the draft resolutions.

Resource implications

Does the paper have resource implications? There are obvious resource implications in relation to the proposed merger for eca. However these are under consideration by the appropriate University committees and are not for consideration by the Senate.

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Jane McCloskey  
Senate Secretariat  
17 June 2010

## **Senate Meeting of 16 June 2010**

### **Presentation & Discussion:**

#### **1. Employability & Graduate Attributes**

The strategic theme for the summer Senate meeting was the *Employability and Graduate Attributes*. This was discussed in the context of the University's strategic plan target to ensure that all teaching programmes, undergraduate and postgraduate, incorporate comprehensive development of the skills and attributes that graduates need.

Ms Shelagh Green, Director of the Careers Service, and Dr Gavin McCabe, University Employability Consultant, provided a very helpful introduction to the topic which explained the concepts, looked at why they are important and discussed how work in this area is being forward within the University.

This was followed by presentations from each of the three Colleges, highlighting examples of related initiatives underway in their respective areas. Senate noted the significant challenge involved in properly embedding and delivering employability across the very diverse range of subject areas and across all study levels within the University. It also noted the important role, in certain areas, of the overarching professional bodies in supporting the employability agenda.

The EUSA Vice President Academic Affairs provided a helpful insight into student expectations and aspirations in this area, highlighting some of the relevant comments received as a result of the nomination process for this year's EUSA teaching award scheme.

Assistant Principal Rigby updated Senate on the introduction of the Higher Education Achieve Record (HEAR) and on the need for the University to take preparatory action.

The discussion section concluded with a useful presentation from the Director of Academic Standards and Quality Assurance which looked at the work already underway to ensure that employability is at the heart of learning and teaching across the University and considered the challenges ahead.

### **Formal Business:**

#### **2. Proposed Merger with Edinburgh College of Art**

Senate expressed broad enthusiastic support for the possible opportunities for new joint initiatives presented by the proposed merger. Concern was expressed about the tight timescale for the submission of the proposal to the Scottish Government, however it was recognised that the timescale had been drawn up on the advice of senior government officials and that any significant delay would be likely to impact adversely on the likelihood of securing the financial support necessary for the merger to proceed.

Senate made the following further observations on the academic vision for the proposed merger:

- Senate noted that currently the focus was on agreeing the high level academic governance arrangements. It was concerned to ensure that it would be given the opportunity to see and to approve the detailed arrangements in due course.

- It highlighted the importance of having in place academic governance arrangements which supported the current and possible future academic synergies.
- Senate noted that although arrangements are already in place for oversight and accreditation of eca programmes by the University (in light of its role as the degree awarding body), internal eca internal quality assurance arrangements differ from those in place at the University and it will be important to ensure that these are aligned.
- Senate recognised that, should the merger proceed, it was the case in the short term that there would be greater opportunity for eca students to benefit from the programmes provided by the University, rather than vice versa. This was in light of the nature of the programmes currently on offer at eca.

Senate endorsed the academic case for merger and the academic vision set out in the paper presented. It noted that there is significant further work to be done in finalising the academic vision and in developing the high level academic governance arrangements and agreed that this would be taken forward by the relevant Working Groups and on the authority of the Principal.

### **3. Innovative Learning Week**

Senate considered and approved a revised proposal put forward by Assistant Principal Rigby to dedicate a specific teaching week during Semester 2 for non-standard teaching to allow students and staff to engage in a variety of innovative learning activities. The first Innovative Learning Week will take place in 2011/12.

### **4. Academic and Pastoral Support: Standards and Guiding Principles**

Senate welcomed the setting out of agreed standards required of the provision of academic and pastoral support of the University of Edinburgh and approved their introduction from the beginning of the next academic year.

### **5. Feedback: Standards and Guiding Principles**

Senate also welcomed the setting out of agreed standards required in relation to the provision of feedback at the University and approved their implementation from the beginning of the next academic year.

### **6. Annual Report of the Senate Committees**

Senate welcomed the update from the four Senate committees on activities over the last academic year. It approved the strategic priorities set out for the next academic year, as well as some minor changes to the terms of reference for each.

### **7. Communications from the University Court**

Senate noted the content of the report from Court of its meeting on 24 May.

A particular issue was raised in relation to 10.6 of the Draft Undergraduate Degree Programme Regulations. However it was agreed that this should be considered as part of a planned review of the assessment regulations and did not necessitate an amendment to the draft resolution at this stage.

There were no further observations on the draft resolutions.

21 June 2010

**Resolutions**

No observations having been received from the General Council, the Senatus Academicus or any other body or person having an interest and in accordance with the agreed arrangements for the creation and renaming of Chairs, the Court is invited to approve the following Resolutions:

Resolution No. 18/2010:	Degree of Master of Mathematics
Resolution No. 19/2010:	Foundation of a Personal Chair of Mammalian Molecular Genetics
Resolution No. 20/2010:	Foundation of a Personal Chair of Molecular Parasitology
Resolution No. 21/2010:	Foundation of a Personal Chair of Theoretical Physics
Resolution No. 22/2010:	Foundation of a Personal Chair of Pluripotent Stem Cell Biology
Resolution No. 23/2010:	Foundation of a Personal Chair of Neuronal Cell Biology
Resolution No. 24/2010:	Foundation of a Personal Chair of Theoretical High-Energy Physics
Resolution No. 25/2010:	Foundation of a Personal Chair of Skeletal Biology
Resolution No. 26/2010:	Foundation of a Personal Chair of Mobile Communications
Resolution No. 27/2010:	Foundation of a Personal Chair of Molecular Neurobiology
Resolution No. 28/2010:	Foundation of a Personal Chair of History of Science
Resolution No. 29/2010:	Foundation of a Personal Chair of Baroque Art
Resolution No. 30/2010:	Foundation of a Personal Chair of Speech Processing
Resolution No. 31/2010:	Foundation of a Personal Chair of Semantics
Resolution No. 32/2010:	Foundation of a Personal Chair of Digital Media
Resolution No. 33/2010:	Foundation of a Personal Chair of Organisational Behaviour
Resolution No. 34/2010:	Foundation of a Personal Chair of Quantitative Criminology
Resolution No. 35/2010:	Foundation of a Personal Chair of Ecosystem Science
Resolution No. 36/2010:	Foundation of a Personal Chair of European Union Law
Resolution No. 37/2010:	Foundation of a Personal Chair of Surgical Sciences
Resolution No. 38/2010:	Foundation of a Personal Chair of Molecular Evolution
Resolution No. 39/2010:	Foundation of a Personal Chair of Proteomics
Resolution No. 40/2010:	Foundation of a Personal Chair of Farm Animal Practice
Resolution No. 41/2010:	Foundation of a Personal Chair of Computational Legal Theory
Resolution No. 42/2010:	Foundation of a Personal Chair of Foundations of Computer Science
Resolution No. 43/2010:	Foundation of a Personal Chair of African and Development Studies
Resolution No. 44/2010:	Foundation of a Personal Chair of Comparative Genetics
Resolution No. 45/2010:	Foundation of a Personal Chair of Forensic Psychiatry
Resolution No. 46/2010:	Foundation of a Personal Chair of Robotics
Resolution No. 47/2010:	Foundation of a Personal Chair of Biorobotics
Resolution No. 48/2010:	Foundation of a Personal Chair of Animal Biotechnology
Resolution No. 49/2010:	Foundation of a Personal Chair of Contemporary Visual Cultures
Resolution No. 50/2010:	Foundation of a Personal Chair of Global Change Ecology
Resolution No. 51/2010:	Degree of Doctor of Psychotherapy and Counselling
Resolution No. 52/2010:	Postgraduate Degree Programme Regulations
Resolution No. 53/2010:	Undergraduate Degree Programme Regulations



**UNIVERSITY OF EDINBURGH**

**Resolution of the University Court No. 18/2010**

**Degree of Master of Mathematics**

At Edinburgh, the Twenty-First day of June, Two thousand and ten.

WHEREAS the University Court deems it expedient to institute the Degree of Master of Mathematics (MMath):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:-

1. The Degree of Master of Mathematics may be conferred by the University of Edinburgh as a Degree with Honours.
2. Unless granted a concession or exemption, every candidate for the Degree of Master of Mathematics must attend courses of instruction in the subjects prescribed by regulations as agreed by Senatus Academicus and pass the Degree examinations similarly prescribed.
3. The Senatus Academicus, with the approval of the University Court, may from time to time make regulations determining the subjects of study, the courses of instruction, the degree examinations, the conditions under which candidates may be exempted either from attendance or from examination, or both, in respect of any course of instruction, and all other matters relating to the award of the Degree.
4. A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the Degree of Master of Mathematics.
5. This Degree shall not be conferred honoris causa.
6. This Resolution shall come in to force with effect from the 1 September 2010.

For and on behalf of the University Court

M D CORNISH

University Secretary

**UNIVERSITY OF EDINBURGH**

**Resolution of the University Court No. 19/2010**

**Foundation of a Personal Chair of Mammalian Molecular Genetics**

At Edinburgh, the Twenty-First day of June, Two thousand and ten.

WHEREAS the University Court deems it expedient to found a Personal Chair of Mammalian Molecular Genetics:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 5 of Part II of Schedule 2 to the Act, hereby resolves:

1. There shall be a Personal Chair of Mammalian Molecular Genetics in the University of Edinburgh, which shall be established solely for the period of tenure of the Professor appointed, and on the Professor ceasing to hold office, the provisions of this Resolution shall cease to have effect, and the said Personal Chair shall thereupon cease to exist.
2. The patronage of the Personal Chair shall be vested in and exercised by the University Court of the University of Edinburgh.
3. Notwithstanding the personal nature of this Chair, the terms and conditions of appointment and tenure which by Statute, Ordinance and otherwise apply to other Chairs in the University shall be deemed to apply in like manner to the Personal Chair of Mammalian Molecular Genetics together with all other rights, privileges and duties attaching to the office of Professor.
4. This Resolution shall come into force with effect from 1 August Two thousand and ten.

For and on behalf of the University Court

M D CORNISH

University Secretary

Resolutions 20/2010 – 50/2010 all follow the same format.

**UNIVERSITY OF EDINBURGH**

**Resolution of the University Court No. 51/2010**

**Degree of Doctor of Psychotherapy and Counselling**

At Edinburgh, the Twenty-First day of June, Two thousand and ten.

WHEREAS the University Court deems it expedient to institute a Degree of Doctor of Psychotherapy and Counselling:

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to the Act, HEREBY RESOLVES:

1. The University of Edinburgh may confer the Degree of Doctor of Psychotherapy and Counselling (DPsychotherapy) and those engaged in taught postgraduate doctorate studies in the University of Edinburgh shall include registered candidates for the Degree of Doctor of Psychotherapy and Counselling.
2. The Senatus Academicus has power to make Regulations under this Resolution governing the studies undertaken for the Degree of Doctor of Psychotherapy and Counselling, and in particular to register all candidates for the degree and ensure their satisfactory supervision and to discontinue the registration of unsatisfactory candidates.
3. The Degree is conferred in the College of Humanities and Social Science. Regulations governing the award of the Degree are made by Senatus.
4. The Degree may not be conferred *honoris causa*.
5. All candidates for the Degree must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.
6. This Resolution and the Regulations made hereunder shall come into force with effect from the 1 September 2010.

For and on behalf of the University Court

M D CORNISH

University Secretary

# UNIVERSITY OF EDINBURGH

## Resolution of the University Court No. 52/2010

### Postgraduate Degree Programme Regulations

At Edinburgh, the Twenty-First day of June, Two thousand and ten.

WHEREAS the University Court deems it desirable to produce one comprehensive set of General Postgraduate Degree Regulations, including Assessment Regulations (2010/2011) applicable to all postgraduate qualifications subject to additional specific College regulations;

AND WHEREAS the University Court considers it expedient to promulgate this Resolution to set out these Regulations in full to give effect to the essential elements contained within these Regulations including Assessment Regulations (2010/2011):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraphs 2 and 8 of Part II of Schedule 2 to that Act, hereby resolves:-

1. The General Postgraduate Degree Regulations are hereby set out:

#### Introduction

This programme contains the full Regulations for all categories of postgraduate study in the University of Edinburgh. Please consult the Table of Contents for details. Postgraduate students should read these regulations together with the approved Assessment Regulations for the current academic session (which form part of these Regulations) and either the Code of Practice for Supervisors and Research Students or the Code of Practice for Taught Postgraduate Programmes. In the case of any appeal, a student will be deemed to have read the Regulations and the relevant Code of Practice. These documents can be found at the following URL:

<http://www.acaffairs.ed.ac.uk/>

Acting under the delegated authority of the Senatus Academicus, Heads of Colleges have the authority to admit, examine and withdraw students and to grant permissions, concessions and exemptions. This authority is often delegated by the Heads of College to appropriate nominees or committees in the Colleges or Schools.

#### Powers of delegation

Acting under the delegated authority of the Senatus Academicus, Heads of Colleges have the authority to admit, examine and withdraw students and to grant permissions, concessions and exemptions. This authority is often delegated by the Heads of College to appropriate nominees or committees in the Colleges or Schools.

### **(For the MD and DDS, see Section E, Regulation 6, for the DVM&S, see Section E, Regulation 7)**

1. **General Regulations DD, DLitt, LLD, DSc, DMus**

- 1.1 Candidates for these higher degrees of the University must:
- (a) be graduates of The University of Edinburgh of not less than seven years standing, **or**
  - (b) be graduates of other approved Universities of not less than seven years standing who
  - (i) have served as members of staff (ordinary or honorary) of the University of Edinburgh for a continuous period of not less than four years, **or**
  - (ii) in the case of the DMus have been awarded the degree of MMus by The University of Edinburgh, **or**

(c) have been for four years Postdoctoral Fellows of the University.

- 1.2 Candidates must apply to the Higher Degrees Committee of the relevant College for approval of their candidature before submitting themselves to examination. The appropriate form of application for approval may be obtained from the Secretary to the relevant College Higher Degrees Committee.

- 1.3 Candidates, save those submitting compositions for the DMus, must submit published work in support of their candidature. Since the contents of a submission are liable to vary considerably, the format of submissions is not prescribed. Books should be submitted as published. Submissions comprising published papers and similar items should, as far as is practicable in the circumstances, be bound together in a manner that conforms to the Regulatory Standards for the Format and Binding of Theses and Portfolios of Musical Compositions (see the Research Degree Assessment Regulations). The submission must be accompanied by (a) a typed list of its contents, (b) the declaration required in Regulation 1.4 and (c) six copies of an abstract (see the Research Degree Assessment Regulations). The form for the abstract is obtainable from the College Office. The list of contents, declaration and text of the abstract must be incorporated at the beginning of each copy of a bound submission.

Candidates for the DMus may submit work as musicologists or composers. Compositions submitted for the DMus may be published or unpublished works. Unpublished compositions must conform to requirements as detailed in the Research Degree Assessment Regulations for Portfolios of Musical Compositions.

- 1.4 All works submitted must be accompanied by a statement, signed by the candidate:

- giving full details of any other degree or postgraduate diploma for which the works, in whole or in part, may have been submitted. Work submitted for another degree will not, in itself, contribute to the award. Earlier work may be submitted only when subsequent work develops from it, and assists the examiners in their overall assessment.
- certifying, for each piece of work submitted, either that the work is the candidate's own or, if he/she had been a member of a research group, the precise contribution made by the candidate to each of the works in terms of initiating or leading the research and in writing up the material.

- 1.5 Submissions (three copies) should normally be lodged 12 months before the expected announcement of the award and must be submitted within 12 months of the acceptance of candidature. Two copies of successful submissions will remain the property of the University and one will be returned to the candidate.

- 1.6 At the time of lodging a submission, the examination fee must be paid. Candidates must also matriculate, but no matriculation fee is charged. When they are not already graduates of the University of Edinburgh, they must also, before graduating, pay the Registration Fee for membership of the General Council.

- 1.7 The University shall, in the case of each submission, appoint one internal, and, with the

agreement of the University Court, two external examiners. Each external examiner should be of recognised eminence in the subject of the submission. For each submission there shall be at least three examiners of recognised eminence in the subject of the submission.

- 1.8 The degree shall be awarded only if the relevant committee of Senatus, on the recommendation of the examiners, is satisfied that the submission represents both an original and a substantial contribution to advancement of knowledge of the subject and that it constitutes work of high distinction in scholarship and/or research in respect of qualities such as erudition, insight, imagination, innovation and critical balance, such that it has established or confirmed the candidate as a recognised authority in the relevant field. In the case of candidates submitting compositions for the DMus, the degree shall be awarded only if the relevant committee of Senatus, on the recommendation of the examiners, is satisfied that the submission constitutes both an original and a substantial contribution of high distinction.
- 1.9 A candidate whose work has not been considered worthy of the degree may not again offer himself/herself for the degree within five years of his/her first candidature unless the period is specially reduced by the relevant committee of Senatus on the recommendation of the examiners.
- 1.10 Candidates for higher degrees may, at the discretion of the University, be permitted to graduate *in absentia*.

## Regulations: Postgraduate Degrees

### 2. Application and Registration of Postgraduate Students

- 2.1 Application may be made for registration in one of the following categories:

(a) as a candidate for the PhD, MPhil, DCLinPsychol, DPsychotherapy, EdD or EngD in SLI (see Regulation 2.2)

(b) as a candidate for a postgraduate masters degree (MArch, MArch (Studies), LL.M, LL.M by Research, MBA, MCouns, MEd, MMus, MSc, MSW, MTeach, MTh, Master of Chinese Studies, Master of Clinical Dentistry, MSc by Research, MTh by Research, MMedSci by Research or MVetSci by Research)

(c) as a candidate for a University postgraduate diploma

(d) as a candidate for a University postgraduate certificate

(e) as a visiting postgraduate student

(f) as a special course postgraduate student working for a period of at least three months attending a University course unrelated to a specific University qualification.

### 2.2 Registration

All candidates applying for registration for the PhD, MPhil, DCLinPsychol, DPsychotherapy, EdD or EngD in SLI will be registered for the degree of their choice.

Re-registration as a candidate for a particular degree will depend on satisfactory progress and on meeting any conditions specified at the time of admission or subsequently.

#### University Staff

Members of the University staff and candidates holding a research appointment under the auspices of the University may only be registered for part-time study.

- 2.3 Except in the case of registered special course postgraduate students (see Regs. 2.9 and 2.10), applications for registration as a postgraduate student must be made on a form approved by the University.
- 2.4 All applicants must be graduates of the University of Edinburgh or graduates of another

approved University, or must hold academic or professional qualifications, or their equivalent, accepted by the Senatus Academicus as equivalent.

- 2.5 **Conditions of Offer** The College may impose appropriate conditions before agreeing to register an applicant. These conditions may include, amongst others:

- (a) study of languages
- (b) study in any special field pertinent to the work that will be carried out
- (c) examinations, written, practical or oral
- (d) the preparation of a critical survey of relevant literature
- (e) the extension of the normal minimum period of study, and
- (f) restrictions on authorised leave of absence from Edinburgh (see Regulation 4).

In the case of candidates registered for part-time study, the College will normally impose such conditions as to ensure adequate academic contact between the student and the appropriate University School.

- 2.6 **Conflicting Studies**

With the exception of those to whom special permission has been granted by both the College and the relevant committee of Senatus to pursue studies with a view to obtaining a professional qualification, candidates must not, during the period of their registration, take courses or pursue studies in this or in any other institution with a view to obtaining any degree, diploma or professional qualification other than the one for which they are registered in this University.

Candidates who have been registered for a postgraduate degree immediately prior to their proposed period of study at the University of Edinburgh may be admitted on the assumption that all written work for that postgraduate degree will be submitted for examination before the start of Week 0 in the year of entry to the Edinburgh degree. Candidates admitted on this basis who do not provide evidence of such completion by the end of Week 4 of Semester 1 will be formally withdrawn from their studies at the University of Edinburgh.

- 2.7 No candidate may be awarded more than one qualification for the same work.

- 2.8 **Transfers in Candidature**

The College may permit the following transfers in candidature from MPhil to PhD or to a postgraduate degree, or from postgraduate diploma or postgraduate degree to MPhil, or from postgraduate diploma or postgraduate degree to PhD. When such permission is granted, the candidate shall, in addition to satisfying the requirements for the degree to which transfer is made, pursue such further course of study as the College may require. Candidates transferring from registration for a postgraduate diploma or postgraduate degree to MPhil or to PhD will be required to remain in Edinburgh for such further period of study as the College deems necessary. Save in exceptional circumstances, this further period of study shall be not less than 12 months for the MPhil and 24 months for the PhD.

- 2.9 Special course postgraduate students are admitted by the School or organisation responsible for running the special course concerned. It is the duty of the Head of School or director of the organisation to notify the appropriate College Postgraduate Studies Committee of the names of those who have been admitted.

- 2.10 The Head of School or director of the organisation concerned will ensure, on behalf of the College, that all special course postgraduate students satisfy Regulations 2.1-2.7 and 3-4.

### **3. Admission, Matriculation and Payment of Fees**

- 3.1 Students must matriculate at the beginning of their period of study and thereafter in September each year of their registration or until graduation and must on the occasion of each matriculation pay the fee due, at the date of payment, for the session concerned. If fees are not paid within one month of the effective date of admission or of the letter of admission, whichever shall be the later, and annually thereafter within one month of the due date, then registration will lapse. It will be restored if payment of a late fee is made within three months of the due date; thereafter it will be restored only with the express consent of the College.
- 3.2 Alteration in the effective date of admission may be made only with the permission of the College.

## 4. Residence Regulation

### Residence In Edinburgh

All candidates, with the exception of candidates registered for the Master of Chinese Studies or for recognised distance learning programmes, must remain in residence in Edinburgh throughout the period of study prescribed unless authorised leave of absence has been granted. Residence in Edinburgh is taken to mean (a) residence in, or in the immediate environs of, the city, or (b) a candidate's proximity to Edinburgh so as readily to allow face-to-face supervision and study as directed by the supervisor and approved by the College. Leave of absence is not normally permitted in the case of candidates for most postgraduate diplomas and taught masters degrees.

### Residence elsewhere

PhD and MPhil candidates, with the written approval of the Head of School, may be absent in order to carry out fieldwork and necessary academic research for periods not exceeding 15 months in total. Such periods of absence may not fall in the first three months of study, and all candidates must be resident in Edinburgh for at least nine months of their prescribed period of study distributed throughout the prescribed period as directed by the candidate's supervisor so that regular and frequent contact is maintained. Authorised leave of absence, for reasons other than carrying out fieldwork, in the first three months of study or for a longer period than 15 months may only be granted, in exceptional circumstances, by the College.

### Reduction In Residence Requirements

Part-time PhD and MPhil candidates who are not resident in or near Edinburgh may be registered on the basis that (a) they spend an initial period at the University of not less than three months; (b) they spend a total period of not less than nine months at the University over the period of study; (c) there is a maximum period of nine months between visits to the University for supervision; (d) there is demonstrable evidence of suitable facilities where they are normally resident and/or employed; and (e) there are appropriate reliable means of communication through which the candidate can maintain regular and frequent contact with his/her Edinburgh supervisor(s).

In exceptional circumstances, and when strongly supported by a particular School, the College may reduce the residence requirements for part-time candidates for the PhD degree to a total period of not less than two months, provided:

- (a) it is demonstrated that the subject of study fits particularly well with the research interests of the Edinburgh School and supervisor(s)
- (b) it is clearly demonstrated that a suitable research project has been devised without the need to spend several months residence in Edinburgh
- (c) there is demonstrable evidence of suitable research facilities where the candidate is normally resident and/or employed
- (d) there are appropriate and reliable means of communication through which the



candidate can maintain regular and frequent contact with the supervisor(s) in Edinburgh, and

(e) the candidate already meets any requirements for doctoral training normally required of a PhD candidate in that subject.

## Regulations: Degrees by Research

### 5. PhD and MPhil

5.1 All registered postgraduate students must satisfy the Regulations 2-4.

#### 5.2 Supervision

Each candidate will work under the guidance of at least one University supervisor appointed by the College. The University supervisor must be either (a) a salaried member of the academic staff of the University or (b) a member of staff employed by the University, not being one of the academic staff, who has appropriate expertise in research or (c) an honorary member of staff. The nomination of individuals in categories (b) or (c) to act as University supervisor for a stated period must be specifically approved by the College. In appropriate cases one or more other supervisor(s), who need not be members of the staff of the University, may be appointed by the College. For the PhD in Fine Art, additional supervision will be provided by Edinburgh College of Art.

Candidates, including those studying on a part-time basis and those registered as continuing students, must report in person to their supervisors as and when required and at least twice in each three month period; candidates who are absent from the University must report to their supervisors in writing.

#### 5.3 Annual Reports

The supervisors report to the College on the work of the candidate each academic year. For full-time students, the University supervisor in consultation with any other supervisor(s) makes a special report to the College not later than 9 months after the date of the candidate's registration. For part-time students, the report is submitted not less than 12 months and not more than 18 months after the initial registration. These reports are used as the basis, amongst other things, for:

(a) confirming that any conditions of registration (see Regulation 2.5) have been met

(b) confirming registration as a candidate for one particular degree or transferring registration as a candidate for a (different) degree

(c) discontinuing registration. When discontinuation is recommended by a supervisor, he/she must obtain the comments of the Head of School, who is responsible for notifying the candidate that discontinuation has been recommended. The candidate is then given an opportunity to submit his/her views to the College before it reaches a decision as to whether or not the candidate's studies should be discontinued.

(d) confirming or proposing the precise area in which a student's work is developing.

5.4 **The Prescribed Period of Study** The College shall prescribe the duration of each candidate's minimum period of full-time or part-time study at the time of the candidate's admission.

The period of study prescribed for full-time PhD candidates is 36 months.

The period of study prescribed for part-time PhD candidates is 72 months. **Members of the University staff** and candidates holding a research appointment under the auspices of the University may be registered for a minimum period of 36 months part-time. Members of staff of Associated Institutions who can devote the whole of their period of study to research and who have regular and adequate involvement in the work of the University School may also be registered for a minimum period of 36 months part-

time.

**Reductions to the prescribed period** In the case of a specific recommendation in the first-year report (Regulation 5.3), or subsequently, the College may reduce the prescribed period by up to 36 months for part-time PhD candidates. Reductions to the prescribed period are not available to those members of staff who are registered for the minimum period of 36 months.

The period of study prescribed for full-time MPhil candidates is 24 months

The period of study prescribed for part-time MPhil candidates is 48 months. **Members of the University staff** and candidates holding a research appointment under the auspices of the University may be registered for a minimum period of 24 months part-time. Members of staff of Associated Institutions who can devote the whole of their period of study to research and who have regular and adequate involvement in the work of the University School may also be registered for a minimum period of 24 months part-time.

**Reductions to the prescribed period** In the case of a specific recommendation in the first-year report (Regulation 5.3), or subsequently, the College may reduce the prescribed period by up to 24 months for part-time MPhil candidates. Reductions to the prescribed period are not available to those members of staff who are registered for the minimum period of 24 months.

**Transfers from another Institution** The research studies of candidates who apply to transfer from another institution in order to study for the PhD or MPhil degree of this University may be counted towards the prescribed period of study for the degree. In such cases the prescribed period of study at this University shall be not less than 12 months. Candidates whose prescribed period of study has concluded shall thereafter be registered as continuing students during the remainder of their permitted period of study.

- 5.5 **Authorised Interruption of Study** Registration may be interrupted by the College for a specified period, if good cause is shown. The total period of authorised interruption of study for any candidate may not exceed five years. No fees are payable during any full year in which authorised interruption of study has been continuous.
- 5.6 **Submission of Thesis** Candidates must submit their theses within 12 months of the completion of their prescribed period of study (excluding any periods of authorised interruption of study) unless, in exceptional circumstances, an extension is granted by the College.
- 5.7 **Failure to Submit a Thesis** Students who fail to submit a thesis or, in the case of candidates in Fine Art, a thesis and exhibit or, in the case of candidates in Musical Composition, a portfolio of compositions by the deadline specified in the Regulations will be deemed to have withdrawn and will have their registration recorded as lapsed. Prior to lapsing a student the College will write to the student to inform them of the proposed course of action and to invite them to provide any comment on the lapsing of their studies.

**Lapsed Registration** A student whose registration has lapsed in this way will be entitled to ask the College to reinstate his/her registration at a later date to permit examination of a completed thesis. A decision as to whether or not a candidate should be reinstated will be taken by the College, and factors such as the passage of time and its implications for the topic of study will be taken into account. If, exceptionally, reinstatement is approved, the candidate's thesis will be examined in the normal way, subject to payment of a reinstatement and examination fee.

During the period between lapse of registration as a student and reinstatement, the candidate ceases to be a student and is accordingly not entitled to any supervision or access to University facilities.

- 5.8 The **grounds for award of the degree of PhD by Research** are:
- (a) The candidate must have demonstrated by the presentation of a thesis and by performance at an oral examination (unless, due to exceptional circumstances, this is waived) that the candidate is capable of pursuing original research in the field of study, relating particular research projects to the general body of knowledge in the field, and presenting the results of the research in a critical and scholarly way.
- (b) The thesis must be an original work making a significant contribution to knowledge in or understanding of the field of study and containing material worthy of publication;

show adequate knowledge of the field of study and relevant literature; show the exercise of critical judgement with regard to both the candidate's work and that of other scholars in the same general field; contain material which presents a unified body of work such as could reasonably be achieved on the basis of three years postgraduate study and research; be satisfactory in its literary presentation; give full and adequate references and have a coherent structure understandable to a scholar in the same general field with regard to intentions, background, methods and conclusions.

**(c) Length of Thesis** Within the Colleges of Humanities and Social Science and Medicine and Veterinary Medicine, the PhD thesis must not exceed 100,000 words. The thesis for the PhD in Fine Art must not exceed 50,000 words. The thesis for the PhD in Design must not exceed 50,000 words. Within the College of Science and Engineering the PhD thesis must not exceed 70,000 words. In exceptional circumstances, on the recommendation of the supervisor, permission may be granted by the College to exceed the stated length on the ground that such extension is required for adequate treatment of the thesis topic.

**(d)** For the award of PhD in Fine Art, in addition to the above, the candidate will be required to submit an exhibit in accordance with the requirements laid down by the Edinburgh College of Art.

**(e)** For the award of PhD in Design, in addition to the above, the candidate will be required to submit a body of design work including studies, sketches and maquettes, which should be fully integrated with the text and presented in a coherent and archive-able format.

5.9 The **grounds for award of the degree of PhD for Musical Composition in Music** are:

**(a)** The candidate must have demonstrated by the presentation of a portfolio of compositions and by interview at an oral examination (unless, in exceptional circumstances, this is waived) that the candidate is capable of original composition to a high creative level.

**(b)** The portfolio of compositions must comprise original work suitable for professional performance and worthy of publication; must show competence in the ancillary technical skills appropriate to the chosen style; must contain material which presents a body of work such as could reasonably be achieved on the basis of three years postgraduate study; must be satisfactory in its presentation and intelligible to any musician who might have to use it.

**(c)** The portfolio of compositions should normally include at least one major and extended work. A shorter submission may be accepted in the case of electronic compositions.

**(d)** The portfolio of compositions should be the result of work done mainly while the candidate is registered for this degree. If a substantial part of the portfolio was completed before registration for the degree, the candidate should indicate this in the declaration (see the Research Degree Assessment Regulations) and identify the part of the portfolio so completed.

5.10 The **grounds for award of the degree of MPhil by research** are:

**(a)** The candidate must have demonstrated by the presentation of a thesis and by written and/or oral examination that the candidate has acquired an advanced level of knowledge and understanding in the field of study, is capable of relating knowledge of particular topics to the broader field of study involved and of presenting such knowledge in a critical and scholarly way.

**(b)** The thesis must be a significant work comprising a satisfactory record of research undertaken by the candidate, or a satisfactory critical survey of knowledge in the approved field of study; show competence in the appropriate method of research and/or an adequate knowledge of the field of study; exhibit independence of approach or presentation; be satisfactory in literary presentation and include adequate references.

**(c)** Within the Colleges of Humanities and Social Science and Medicine and Veterinary Medicine, the thesis must not exceed 60,000 words. Within the College of Science and Engineering the thesis must not exceed 50,000 words. In exceptional circumstances, on the recommendation of the supervisor, permission may be granted by the College to exceed the stated length on the ground that such extension is required for adequate

treatment of the thesis topic. The thesis for the MPhil in Fine Art must not exceed 30,000 words

(d) For the award of MPhil in Fine Art, in addition to the above, the candidate will be required to submit an exhibit in accordance with the requirements laid down by the Edinburgh College of Art.

5.11 The **grounds for award of the degree of MPhil for Musical Composition** in the School of Arts, Culture and the Environment are:

(a) The candidate must have demonstrated by the presentation of a portfolio of compositions and by oral examination that he or she is capable of original composition to a high level.

(b) The portfolio of compositions must comprise original work suitable for professional performance; must show competence in the ancillary technical skills appropriate to the chosen style; must be satisfactory and intelligible in its presentation.

(c) The portfolio of compositions should include at least one extended work. A shorter submission may be accepted in the case of electronic compositions.

## 6. PhD (by Research Publications)

6.1 Applicants who are graduates of the University of Edinburgh or who are current members of staff of the University of Edinburgh, or of one of the University's Associated Institutions, may, at the discretion of the College, be allowed to apply for the award of the degree of PhD (by Research Publications).

6.2 Applicants must be either graduates of the University of Edinburgh of at least five years' standing; or members of staff of the University of Edinburgh or of an Associated Institution of not less than three years' standing.

6.3 Applicants should have been active postgraduate researchers in their field of expertise for a minimum of five years before seeking permission to register for this degree, and they should not submit material published more than ten years prior to the date when they are given permission to register for the degree.

6.4 Permission to register will not normally be granted to applicants who are in a position to submit for the PhD by dissertation or who already possess a PhD.

6.5 Applicants must first apply to the appropriate College to seek approval for their candidature before they can submit their work for formal examination. At the same time as lodging their application, applicants will be expected to submit their published work and a 500-word synopsis outlining the extent, range, quality and coherence of their submission.

6.6 When an applicant has notified a College of a desire to register for this degree, it will appoint a suitably qualified member of staff to advise it on whether there is a prima facie case for registration to be approved.

6.7 On registration, an adviser will be appointed to advise the candidate on the selection, coherence and quality of the portfolio of research work to be submitted and on the nature of the accompanying abstract and critical review.

6.8 The grounds for the award of PhD (by Research Publications) are

(a) The submission of a portfolio of published work judged satisfactory by the examiners and a satisfactory performance at an oral examination.

(b) The submitted portfolio of published research must add up to a substantial and coherent body of work which would have taken a diligent student the equivalent of three years of full-time study to accomplish, which makes a significant contribution to knowledge in or understanding of the candidate's field of study, and which is of a scholarly standard normally expected of a candidate who submits a PhD dissertation.

(c) The portfolio of published work must consist of either one or two books or at least six refereed journal articles or research papers, which are already in the public domain. The total submission, including the critical review (see the Research Degree Assessment Regulations) should not normally exceed 100,000 words.

(d) Candidates must either be the sole author of the portfolio of published work or must be able to demonstrate in the critical review of the submitted work that they have made a major contribution to all of the work that has been produced by more than one author.

## Regulations: Postgraduate Degrees (involving Coursework and Thesis)

### 7 Taught Professional Doctorates

- 7.1 All registered candidates must satisfy Regulations 2.1-2.7 and 3-4, and 5.2-5.8
- 7.2 The College will impose such conditions on part-time candidates as to ensure regular and frequent academic contact between the candidate and his or her supervisor.
- 7.3 The University supervisor in consultation with other supervisor(s) must make annual reports in terms of Regulation 5.3.
- 7.4 The grounds for the award of degree are:
  - (a) The candidate must have demonstrated by the presentation of a thesis and by written and/or oral examination that the candidate has acquired an advanced level of knowledge and understanding in the field of study, is capable of relating knowledge of particular topics to the broader field of study involved and of presenting such knowledge in a critical and scholarly way;
  - (b) The thesis must be a significant work comprising a satisfactory record of original research undertaken by the candidate, or a satisfactory critical survey of knowledge in the approved field of study; show competence in the appropriate method of research and/or an adequate knowledge of the field of study; exhibit independence of approach or presentation; be satisfactory in literary presentation and include adequate references.
- 7.5 Additional entrance requirements, curriculum and examination arrangements will be held in relevant Degree Programme Tables and programme handbooks.

## Regulations: Postgraduate Masters Degrees

8. **One year full-time Postgraduate Degrees General Regulations MEd, MMus, MSc, MTh, LL.M, LL.M by Research, MBA by full-time study, MCouns, MSc by Research, MTeach, MTh by Research, MMedSci by Research and MVetSci by Research** (For MBA in International Business see Section C, Regulation 11, for MSc in System Level Integration see Section D, Regulation 16, for Master of Clinical Dentistry see Section E, Regulation 8, for Master of Teaching see Section C, Regulation 14, for Master in Counselling, see Section C, Regulation 17.)

*These regulations govern all one-year full-time (and equivalent part-time) postgraduate masters degrees. They may, however, be superseded by certain programme-specific regulations for degrees offered in collaboration with other institutions.*
- 8.1 **Part time study** Some postgraduate degree programmes may be pursued by part-time study on either a continuous or intermittent basis. Requirements for progression through individual programmes of study are shown in the relevant Degree Programme Table and/or programme handbook.
- 8.2 **Admission and Registration**
  - 8.2.1 All registered candidates for postgraduate degrees must satisfy Regulations 2.1-2.7 and 3-4.
  - 8.2.2 **Concurrent registration** Where a postgraduate degree, diploma and certificate have common coursework candidates may initially be registered concurrently for this shared postgraduate degree/diploma/ certificate programme . Candidates who after the common coursework examination are invited to submit the independent work will continue with concurrent registration until the assessment of the independent work. After this assessment the candidates will be registered either for the postgraduate degree or for the postgraduate diploma as appropriate. Candidates who after the common coursework examination proceed to graduate for the postgraduate diploma or who are invited to resit postgraduate diploma examinations will be registered for the postgraduate diploma.
  - 8.2.3 **Consecutive Registration** Masters by Research candidates may, on the recommendation of their School and at the point of offer of admission to the University and/or by the point of first matriculation on the Masters by Research, be registered (either full time or part time) for consecutive Masters by Research, followed by PhD, study within the same School. Progress is assessed by the end of semester two of the

Masters by Research and, depending on the outcome, the student will be invited to follow one of three routes: (a) submission of a dissertation for the Masters by Research at the end of the first year followed, if successful in the Masters by Research, by registration in the next academic session on the first year of the PhD programme; (b) no submission of a dissertation for the Masters by Research at the end of the first year but transfer of candidature to the PhD such that the next academic session will constitute the second year of the PhD programme; (c) submission of a dissertation for the Masters by Research at the end of the first year and permanent withdrawal.

Candidates following route (a) above, may, subject to exceptional academic performance, with the recommendation of the supervisor and the approval of the appropriate College Postgraduate Studies Committee, submit their PhD thesis up to 12 months before the end date of the PhD prescribed period of study. Any such candidate who is subsequently successful in the PhD examination and who is not in receipt of funding (including tuition fees) for the four years of study (including the Masters by Research year), is eligible for a tuition fee refund equivalent to one twelfth of the annual tuition fee for each whole calendar month between the date of thesis submission and the end date of the PhD prescribed period.

This fee concession cannot be applied retrospectively. Candidates who are not registered for consecutive Masters by Research/PhD study at the point of being made an offer of admission to the University and/or by the point of first matriculation on the Masters by Research, but who register solely for the Masters by Research, will not be eligible for this concession. Such students, if undertaking PhD study following their Masters by Research study, continue to be liable for the full 4 years of tuition fees. Given that candidates must be recommended for consecutive registration by their School, this option may not be available in all Schools.

- 8.2.4 The period of study is 12 months, full-time. This period may not be reduced, and may be extended only in exceptional circumstances. No candidate will be admitted to a postgraduate degree or diploma programme after the date of opening without the express permission of the relevant College Dean acting on the advice of the programme director.

The period of study for degrees studied on a part-time continuous basis should be 36 months. The College may reduce this period by up to 12 months. For those degrees available on a part-time intermittent basis, the maximum period of study is 72 months. Registration for part-time study will be permitted only to suitably qualified candidates who can show to the satisfaction of the College that they will be able to attend the prescribed courses, and devote adequate time to the necessary study. Registration will date from **14 September** (for 2009) except in the cases of the MBA part-time, where registration will start during late September, and specified MSc or MEd programmes by part-time intermittent study, where registration will date from the start date of the first course. Registration for masters by research programmes which consist primarily of a single dissertation or thesis may commence at any agreed time. No candidate will be admitted to a postgraduate degree, diploma or certificate programme after the date of opening without the express permission of the relevant College Dean acting on the advice of the programme director.

Candidates must work in a School of the University or in an institution in or near Edinburgh specifically approved by the College, unless granted leave of absence in terms of Regulation 4.

Candidates following degrees on a part-time basis must be resident in or near Edinburgh (see Regulation 4). Candidates following degrees which are available on a basis which does not require them to be at the University continuously throughout the period of study must be present in the University for the periods specified and according to the periodic basis specified.

- 8.3 **Authorised Leave of Absence, Authorised Interruption of Study or Discontinuation**

Authorised leave of absence is not normally permitted, but may be granted on special application to the College by the candidate's University supervisor (See Regulation 4). Registration may be interrupted by the College, if good cause is shown, for not more than 12 months. No fees are payable during any full year in which authorised interruption of study has been continuous.

On the recommendation of the supervisor and Head of School, and after seeking the views of the candidate, the College may discontinue a candidate's studies.

#### 8.4 **Examination**

##### 8.4.1 **All Masters Degrees**

Regulations relating to examination and assessment (including progression and awards) are detailed in the Postgraduate Assessment regulations which are available via:-

<http://www.acaffairs.ed.ac.uk/Regulations/index.htm>

Candidates will be formally examined on the course of study laid down (see relevant Degree Programme Table). An oral examination may be required. Candidates, in addition to being examined on coursework, will be required to submit their independent work for examination by a date to be announced. Submission dates for all assessed work, including the dissertation, will be specified in the relevant programme handbook. Extension will be granted by the College in exceptional circumstances only. The submission of independent work may consist of a dissertation or, alternatively, for the MMus, of compositions or a repertoire of works for performance. (Two typewritten copies of each dissertation must be submitted).

For those degrees studied on a part-time continuous basis, coursework should be completed within 24 months of first registration before progression to the dissertation. Registration may be interrupted by the College, if good cause is shown, for not more than 24 months. No fees are payable during any full year in which authorised interruption of study has been continuous.

The assignment of independent work will take place before 31 March in the year in which it is to be examined, except for those candidates studying on a part-time intermittent basis.

Candidates will pursue their dissertation studies under the direction of University supervisors nominated by the Head of School and appointed by the College. The College may appoint additional supervisors from outwith the University.

Candidates who are required to resubmit any components may exit, if successful, with a postgraduate diploma.

A candidate who fails to reach the standard required for the degree may be permitted, on the recommendation of the examiners, to transfer to antedated candidature for an appropriate postgraduate diploma or certificate, where one exists, in terms of the Regulations for that postgraduate diploma or certificate.

The General Postgraduate Certificate may be attained by students who do not fulfil the requirements for a specific diploma or certificate award but who have attained a minimum of 60 credit points gained from passes in University courses which count towards graduation. At least 40 of the credits attained must be at level 11.

The degrees may be awarded with distinction.

##### 8.4.2 **Masters by Research degrees only**

**In addition to any requirements as detailed in the relevant Degree Programme Table the following grounds for award will apply to all Masters by Research Degrees:-**

(a) The certified completion of research training plus other designated projects and/or assignments and/or course work, and the completion of a dissertation. The assessed work, including the dissertation, should be equivalent to but not exceeding 30,000 words. The dissertation, which may comprise the total of the assessed material, or a part only, in which case that part must be worth at least 60 points out of the total 180 points required for the award of the degree. Assessments of the various elements may be made separately or together at the end of the programme.

(b) The completion of any required research training and demonstration by the presentation of work specified above that he/she has acquired an advanced level of knowledge and understanding in the field of study and is capable of undertaking independent research.

(c) The portfolio of projects or dissertation submitted should comprise either a



satisfactory record of research undertaken by the candidate, or a satisfactory critical survey of knowledge in the field of study, or both combined with a satisfactory plan for a more advanced research project; and show competence in the appropriate method of research and an adequate knowledge of the field of study. The work must be satisfactory in its literary presentation and include adequate references.

8.5 **Recognition of Prior Learning (RPL)** (For specified MBA, MCouns, MSc and MEd programmes (see relevant Degree Programme Table/programme handbook))

The College shall have power to recognise attendance and examinations passed at other universities or institutions of comparable standing recognised for this purpose by the University Court.

All applications for RPL must be supported by evidence that the applicant's prior learning:

- is closely similar in content to the course(s) from which exemption is sought
- is at the same SCQF academic level as the course(s) from which exemption is sought
- is sufficiently recent that the student's knowledge remains active and up to date. Normally the time elapsed since completing the prior learning should not exceed five years.
- has been undertaken at other universities or institutions of comparable standing recognised for this purpose by the University Court.

For programmes owned by the College of Humanities and Social Science, the maximum number of credits for which RPL may be granted is one-third of the amount necessary to complete the programme applied for. Thus students applying for a certificate programme may apply for up to 20 credits' worth of recognition; for a diploma programme, 40 credits; for a master's programme, 60 credits. For programmes owned by the College of Science and Engineering, students applying for a master's programme may apply for up to 40 credits' worth of recognition; no RPL credits will be granted for programmes below master's level. For programmes within the College of Medicine and Veterinary Medicine, a maximum of 60 credits' worth of RPL may be granted.

Applications for RPL must conform to the guidelines above and must be approved by the relevant Programme Director and the convener of the relevant Board of Studies. Written confirmation of this support must accompany the application submitted by the School for approval at College level. College approval will normally be forthcoming on such applications.

## **9. Postgraduate Diploma and Certificate Regulations**

(For Postgraduate Diploma in System Level Integration see Section D, Regulation 16; for the Postgraduate Diploma in Educational Leadership and Management see Section C, Regulation 17)

9.1 These Regulations apply to postgraduate diplomas and certificates in all Colleges. Additional requirements and course descriptions are given in the relevant Degree Programme Table/programme handbook.

### **9.2 Admission and Registration**

Candidates must satisfy the Regulations for registration of postgraduate students, numbers 2.1-2.7 and 3-4.

Where a postgraduate diploma/certificate and a postgraduate degree have common coursework Regulation 8.2 will apply.

With the exception of the Diploma in Legal Practice, the minimum period of study for a diploma is one academic year full-time. No candidate may take longer than two academic years full-time to complete a postgraduate diploma. The period of study for postgraduate diplomas studied on a part-time continuous basis should be three years. The College may reduce this period by up to 12 months. For those postgraduate diplomas available on a part-time intermittent basis, the maximum period of registration is four years.

The minimum period of study for a certificate is one term full-time. Where part-time study



is available, the minimum period of study is one academic year. No full-time candidate may take longer than one year, or, in the case of a part-time candidate, three years to complete a certificate.

Any exceptions are given in the relevant Degree Programme Table/programme handbook.

9.3 **Curriculum** Candidates must satisfactorily fulfil the requirements of the curriculum for the postgraduate diploma or certificate as approved by the College.

9.4 **Authorised Interruption of Study or Discontinuation** On the recommendation of the supervisor and Head of School, and after seeking the views of the candidate, the College may interrupt or discontinue a candidate's studies.

#### **Examination**

Regulations relating to examination and assessment (including progression and awards) are detailed in the Postgraduate Assessment regulations which are available via:-

<http://www.acaffairs.ed.ac.uk/>

Candidates will be examined by written papers on the subjects in the curriculum and may be required to submit a dissertation. Oral and practical examinations may be required.

Candidates must satisfy the assessment requirements of each course. Candidates who fail a course will be permitted one further attempt to pass the assessment of that course within two months of the result being made known.

All postgraduate diplomas may be awarded with distinction with the exception of those in the School of Law.

## **10. Registration of Postdoctoral Fellows and Postgraduate Workers**

### **10.1 Registration of Postdoctoral Fellows**

Postdoctoral Fellows are graduates who already hold the PhD degree, or who have qualifications and experience accepted by the University as equivalent in seniority. Registered candidates and University diploma students are not eligible for registration in this way.

All Postdoctoral Fellows must be registered on the Visitor Registration System (<http://www.visitor-registration.ed.ac.uk/>).

### **10.2 Registration of Postgraduate Workers**

Postgraduate Workers are graduates or holders of approved professional qualifications, who do not hold the PhD degree and do not have qualifications and experience accepted by the University as equivalent in seniority to the PhD degree and are not either registered postgraduate students (see Regulation 2), or members of the University staff. These "workers" are normally in receipt of a stipend from elsewhere and care should be taken to establish whether or not they are receiving supervision at the University and if so, whether or not they should more properly be registered as visiting (non-graduating) students.

All Postdoctoral Fellows must be registered on the Visitor Registration System (<http://www.visitor-registration.ed.ac.uk/>).

2. These Regulations, including Assessment Regulation (2010/2011), shall apply to degrees as set out in appendix 1 of this Resolution.

3. This Resolution shall supersede those parts of all previous Resolutions and Ordinances dealing with postgraduate regulations for degrees set out in appendix 1 and specifically revokes Resolution 45/2009.

4. This Resolution shall come into effect on 1 September 2010.

For and on behalf of the University Court

M D CORNISH

University Secretary

## Appendix 1 to Resolution 52/2010

### **Degrees covered by these Regulations**

#### **Research Degrees**

Doctor of Philosophy (PhD)  
Doctor of Clinical Psychology (DClinPsychol)  
Master of Philosophy (MPhil)  
MSc by Research  
Master of Research (MRes)

#### College of Humanities and Social Science

Master of Letters (MLitt)  
Doctor of Education (EdD)  
Doctor of Psychotherapy and Counselling (DPsychotherapy)  
MTh by Research  
LLM by Research

#### College of Medicine and Veterinary Medicine

Master of Medical Sciences by Research (MMedSci by Research)  
Master of Veterinary Science by Research (MVetSci by Research)

#### College of Science and Engineering

Doctor of Engineering (EngD) in System Level Integration

#### **Higher Degrees**

Doctor of Science (DSc)

#### College of Humanities and Social Science

Doctor of Divinity (DD)  
Doctor of Laws (LLD)  
Doctor of Letters (DLitt)  
Doctor of Music (DMus)

#### **Higher Professional Degrees**

#### College of Medicine and Veterinary Medicine

Doctor of Medicine (MD)  
Doctor of Dental Surgery (DDS)  
Doctor of Veterinary Medicine and Surgery (DVM&S)

#### **Postgraduate degrees (by coursework)**

Master of Science (MSc)

#### College of Humanities and Social Science

Master of Architecture (MArch)  
Master of Architecture Studies (MArch(Studies))  
Master of Business Administration (MBA)  
Master of Counselling (MCouns)  
Master of Chinese Studies (MCS)  
Master of Education (MEd)

Master of Laws (LLM)  
Master of Music (MMus)  
Master of Social Work (MSW)  
Master of Teaching (MTeach)  
Master of Theology (MTh)

College of Medicine and Veterinary Medicine

Master of Clinical Dentistry (MCLinDent)

## **UNIVERSITY OF EDINBURGH**

### **Resolution of the University Court No. 53/2010**

### **Undergraduate Degree Programme Regulations**

At Edinburgh, the Twenty-First day of June, Two thousand and ten.

WHEREAS the University Court deems it desirable to produce one comprehensive set of General Undergraduate Degree Regulations, including Assessment Regulations (2010/2011), applicable to all undergraduate qualifications subject to additional specific College regulations;

AND WHEREAS the University Court considers it expedient to promulgate this Resolution to set out these Regulations in full to give effect to the essential elements contained within these Regulations including Assessment Regulations (2010/2011):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraphs 2 and 8 of Part II of Schedule 2 to that Act, hereby resolves:-

1. The General Undergraduate Degree Regulations are hereby set out:

These general regulations apply to all undergraduate qualifications within the University. Students must also refer to the specific College degree programme requirements, to the appropriate Degree Programme Table, and to the approved Undergraduate Assessment Regulations for the current academic session.

\* Throughout these regulations, the Head of College is referred to as having the authority to grant permissions, concessions and exemptions. This authority may in practice often be delegated by the Head of College to appropriate nominees in the College or Schools. It is vital that students consult their Director of Studies as to the appropriate point of contact, and do not approach the Head of College in the first instance.

A concession is required wherever a student's programme deviates from the prescribed norms. Minor concessions are indicated in the Regulations and may be approved by the Head of College\*. Where a concession is not allowed by these Regulations it must be approved by the College and the relevant committee of Senatus. A concession is the granting of explicit permission by the relevant University authority to permit the deviation of a student's programme of study from the prescribed norm.

## **Compliance**

1. Every student studying for qualifications in the University must comply with these regulations. In exceptional circumstances a concession to allow relaxation of a specific regulation may be granted by the appropriate Head of College\*.
2. The courses of instruction in each subject of study shall be as approved by

Senatus, on the recommendation of the appropriate Head of College\*.

3. Assessment is subject to the provisions of the University's Undergraduate Assessment Regulations for the current academic session.

## Degree Programme Curricula

4. Every student must, unless granted a concession in respect of them, comply with the detailed requirements with regard to the curriculum for the degree as set out in the appropriate Degree Programme Table (where compulsory courses are indicated in bold text), the courses of study, the order in which courses are attended and the assessment for the degree, which have been approved by the Senatus and published in the *University Degree Regulations and Programmes of Study*.
5. Except with the permission of the Head of College\* responsible for the course, when selecting courses, students must comply with the pre-requisite, co-requisite and prohibited combination requirements shown in the Schedules of Courses. A 'pre-requisite' to Course X is a course, or a category of courses or relevant experience, that must be successfully completed before the student can undertake Course X. A 'co-requisite' course must be undertaken in the same Academic Year as Course X. A 'prohibited combination' exists where the content of two courses overlaps substantially; students may be given credit for only one or other course from a prohibited combination during their programme of study. Students must also comply with any additional requirements specific to their degree programme as set out in the appropriate School Programme Guide. No student will be admitted to a course that is part of their degree programme more than two weeks after the start of the semester in which the course is taught without the permission of the Head of College\*.
6. **Courses and Credits**  
Each year of study of an undergraduate programme is composed of courses. Each course is a unit of teaching and learning formally offered within the University, and carrying credit expressed as a number of credit points in accordance with the Scottish Credit and Qualification Framework [<http://www.scqf.org.uk/>] (usually 10, 20 or 40 credit points) that may contribute towards a University award (Certificate, Diploma or Degree), such that a normal load for each year of full-time study is a set of courses that total 120 credit points. Credit points are awarded to students who satisfy the assessment criteria for a course. Credit loadings on certain programmes may be in excess of those stipulated above (e.g. MBChB). The Degree Programme Table for each degree programme sets out the credit points required.
7. **Credit Levels**  
Each course has a specified credit level. For full-time undergraduate programmes, normally, courses undertaken in years 1 and 2 have a SCQF credit level of 7 or 8; courses undertaken in year 3 have a SCQF credit level of 9 or 10; courses undertaken in year 4 have a SCQF credit level of 9, 10 or 11; and courses undertaken in year 5 have a SCQF credit level of 10 or 11. A minimum number of credit points at each level, within the total required for each year of study, is stipulated for each degree programme. To gain a specific degree award, students must achieve the credit point and levels requirements of the particular programme, as set out in the appropriate Degree Programme Table.
8. **Transitional arrangements**  
Where changes are being made to particular programmes of study, details of any transitional arrangements that apply can be found in the appropriate College section and School Programme Guide.

9. **Substitution of equivalent courses within one degree programme curriculum**

The Degree Programme Tables and School Schedules set out the regulations governing each degree programme and course. In a limited number of cases an alternative approved course equivalent in credit value, level and appropriateness of content may be acceptable within degree programmes or as pre-requisites for other courses. These courses may be substituted only with the permission of the Head of College\* owning the degree programme, or his/her nominee.

10. Permissible credit loads and progression

10.1 Students are normally expected to attain passes totalling 120 credit points in each year of study.

10.2 In the pre-Honours years a student may exceptionally take additional courses to a maximum of 160 credit points in total in a year of study, subject to the approval of the Director of Studies.

10.3 In the first Honours year and the final Ordinary/General year a student may, with the permission of the Director of Studies, take courses additional to the normal 120 credit point curriculum at level 7 and/or 8, and/or 9, to a maximum of 160 credit points in total in a year of study. \* Note: specific College regulations on courses taken in the Honours years apply in the College of Medicine and Veterinary Medicine and the College of Science and Engineering: see College regulations.

10.4 In years 4 and 5 of an Honours degree a student may take additional courses provided they are not required for the purpose of graduation, subject to the approval of the Director of Studies.

\* Note: specific College regulations on courses taken in the Honours years apply in the College of Medicine and Veterinary Medicine and the College of Science and Engineering: see College regulations.

10.5 The Undergraduate Assessment Regulations for the current academic session describe the detailed procedures for progression and final classification of degrees.

Note: Regulations 10.6 – 10.9 do not apply to students taking the MBChB or BVM&S, where the relevant College regulations apply.

10.6 In order to ensure continuation from one year of study to the next without the need for an extension to the total period of study, a full-time student must achieve a minimum of:

- 80 credit points by the end of Year 1
- 200 credit points by the end of Year 2
- 360 credit points by the end of Year 3
- 480 credit points by the end of Year 4

10.7 Where the required credit points have not been attained by the relevant stage, the student will have “failed to make adequate progress” and will be reported to the Head of College\* and may be required to suspend studies and to take resit exams or additional courses to make good the deficit. Illness or other extenuating circumstances will receive special consideration.

10.8 Part-time students must attain a minimum of 40 credit points in any two year period, or a minimum of a third of the total credit points for courses taken in any two year period, whichever is greater.

- 10.9 Credit points awarded for entry with advanced standing will not contribute to adequate progress status.

## **11. Recognition of prior learning**

- 11.1 The Head of College\* shall have power to recognise prior certificated learning and on this basis to admit a student to the second or later years of a programme of study. Such recognition shall be given only where the College is satisfied that the learning to be recognised provides an adequate basis for the programme or courses within the programme to be undertaken at the University of Edinburgh, as set out in the appropriate Degree Programme Table and Schedule of Courses.
- 11.2 For a student admitted with recognition of prior learning, either (a) credit points will be transferred from prior certificated learning, or (b) 60 points will be credited for each semester of recognition of prior learning awarded, towards the requirement for a University of Edinburgh Degree.
- 11.3 A student admitted with recognition of prior learning will not be allowed to count in a qualifying curriculum any course passed at the University of Edinburgh that has a substantial curriculum overlap with any of the courses passed elsewhere that contributed to the admission with recognition of prior learning.

## **12. Normal minimum period of study for students transferring from another institution.**

For the award of a University of Edinburgh degree a student must study in Edinburgh for a minimum period of two years or the pro-rata equivalent in the case of part-time study. This regulation does not apply to intercalating medicine and veterinary medicine students.

13. Transfer to/from another University of Edinburgh programme
- 13.1 A student may be allowed to transfer to a different degree programme from another within the University by permission of the Head of the receiving College\*.
- 13.2 Unless granted a concession by the Head of the receiving College\* in respect of them, students must comply with the pre-requisite and co-requisite requirements of the new programme shown in the Schedules of Courses. The total credit points required for the award of the degree is that shown in the Degree Programme Table for the new programme.

## **14. Models for qualifications**

- 14.1 The University offers the following types of undergraduate degrees, with the credit points required as listed below. The credit levels required for each programme are specified within the appropriate Degree Programme Table:
- A. Single Honours in a named subject/discipline (480 credit points)
  - B. Single Honours with a subsidiary subject (480 credit points)
  - C. Combined Honours in two disciplines (480 credit points)
  - D. Group Honours, typically drawing on more than two disciplines (480 credit points)
  - E. Non-Honours degrees, awarded at the end of the third year of study (360 credit points)
  - F. General (360 credit points) and Ordinary (360 credit points)
  - G. Intercalated Honours degrees, see the appropriate Degree Programme Table for credit and level requirements
  - H. Integrated Masters with Honours in a discipline, Integrated Masters with a

subsidiary subject Integrated Masters with Combined Honours in two disciplines,  
Honours in Fine Art (600 credit points)  
I. MBChB (5-year programme: 720 credits, 6-year programme: 840 credit points)  
J. BVM&S (600 credit points)

- 14.2 Transitional arrangements are in place for certain degree programmes, or parts thereof, and students should refer to the appropriate College information in the DRPS for further details and to the relevant School Programme Guide(s).

## **Undergraduate Certificate and Diploma**

15. The Undergraduate Certificate or Undergraduate Diploma of Higher Education may be attained by students who leave the University without completing a degree programme, where the student meets the requirements of one of these qualifications as set out below.
16. Students for the Undergraduate Certificate of Higher Education must have attained a minimum of 120 credit points gained from passes in courses of this University which count towards graduation.
17. Students for the Undergraduate Diploma of Higher Education must have attained a minimum of 240 credit points. At least 120 credit points must be gained from passes in courses of this University counting towards graduation and at least 80 of the 120 credit points gained from courses passed at this University must be in courses at level 8 or above.

## **General/Ordinary Degree (Types E and F in Regulation 14 above)**

18. Students should refer to the appropriate College information.

## **MBChB and BVM&S (Types I and J in Regulation 14 above)**

19. Students should refer to the College of Medicine and Veterinary Medicine Degree Regulations and Degree Programme Tables for details of the credit points and levels to be attained for these programmes.

## **Degree with Honours (Types A, B, C, D, G and H in Regulation 14 above)**

20. Entry to Honours in any degree programme is by achievement of the requirements stipulated within the Degree Programme Table for that programme.
21. The award of Honours shall be based on the student's performance in assessment in the Honours year(s). For information on the award of Honours see the Undergraduate Assessment Regulations for the current academic session.
22. A student who satisfies the examiners in the Final Honours assessment shall be awarded Honours in one of three grades to be denominated respectively First Class, Second Class and Third Class, of which the Second Class shall be divided into Division I and Division II. The names of the students shall be arranged for publication in each class or division in alphabetic order.



23. A student who has been assessed, classed or failed for Honours may not present him/herself for re-assessment in the same programme, or assessment in a closely related programme as determined by the Head of College. Exceptionally, subsequent attempts to satisfy specific professional requirements may be permitted, see the Undergraduate Assessment Regulations for the current academic session.
24. During a single period of continuous enrolment, a student may be awarded only the qualification with the highest status for which he/she has qualified.
25. **Honours Degree after Graduation with Ordinary/General Degree**  
This Regulation applies only to degrees of types E (Non-honours) and F (General and Ordinary).
- 25.1 A candidate who already holds an Ordinary or General degree (Types E & F) may be permitted by the appropriate Head of College\* to present him/herself for the degree with Honours, provided that not more than 5 years have elapsed between his/her first graduation and his/her acceptance as a candidate for the subsequent degree with Honours. Such a candidate will normally be required to achieve a further 240 credit points, or credit points as deemed appropriate by the Head of the receiving College\*, at the levels stipulated in the appropriate Degree Programme Table.
- 25.2 In each case the Head of College\* shall decide what further courses, if any, the student shall be required to complete before entering Honours and shall determine the period within which the student must complete his/her curriculum and present him/herself for the final Honours assessment. A student is permitted to retain only the award with the highest status for which he/she has qualified.
26. Honours in a further subject/discipline
- 26.1 A student who already holds a University of Edinburgh degree with Honours in one subject may be permitted by the appropriate Head of College\* to present him/herself for a degree with Honours in a different subject. Such a student may be considered for accredited prior certificated learning (APCL) up to a maximum of 240 credit points at levels 7 and/or 8 in subjects which he/she has passed as part of his/her first Honours curriculum, provided that not more than 2 years have elapsed between his/her first graduation and his/her acceptance as a student for the degree in a second subject. Acceptance with APCL after a longer period will be at the discretion of the Head of College\*.
- 26.2 Such a student will be required to take the full Honours programme in the second subject/s as stipulated in the appropriate Degree Programme Table, involving a normal minimum of a further 240 credit points. Any Honours courses which he/she may have taken in his/her previous studies must be replaced by suitable courses of equivalent weight but significantly different content.
27. **Suspension from an Honours Course**  
For information on suspension from an Honours course see the Undergraduate Assessment Regulations for the current academic session.

## Duration of Study

28. **Normal length of study period**  
A full-time student must normally complete the requirements of the degree programme within the time period laid out in the Degree Programme Table.

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**29.1. Normal length of study period (longer study period)**

With the permission of the Head of College\*, a student may be permitted to undertake an Ordinary, General or Honours degree programme over a longer period, provided that a minimum of 40 credit points are undertaken in each year of study. The maximum period for completion of an Ordinary or General degree programme is 8 years. The maximum period for completion of an Honours degree programme is 10 years. Certain elements of a degree programme may require full-time attendance, and a student given permission to undertake study over an extended period must comply with any such requirements where specified for a particular degree programme. See also Regulation 30, Authorised Interruption of Study.

29.2 A full-time student is not normally allowed to change to part-time status after the end of the first week of Semester 2 in any year of study. A part-time student will be required to accept approved changes within a degree programme as it evolves during this period, or to transfer to another degree programme if the programme of study on which he/she originally enrolled is withdrawn.

29.3 Part-time study is not offered for the degrees of MBChB and BVM&S.

29.4 With the permission of the Head of College\*, a student undertaking an Ordinary, General or Honours degree programme over a longer period may be permitted to transfer to full-time status. A part-time student is not normally allowed to change to full-time status after the end of the second week of Semester 1.

**30. Authorised Interruption of Study**

A student may be allowed a period of Authorised Interruption of Study by the Head of College\* for good reason and may be re-admitted thereafter to complete the requirements for a degree. A period of Authorised Interruption of Study will not normally exceed one academic year, and the total period of Authorised Interruption of Study, which may be granted throughout the programme of study, will not normally exceed three academic years. A period of Authorised Interruption of Study does not automatically extend the maximum permitted duration of study as stipulated in Regulation 29.1. During Authorised Interruption of Study no fees are due to the University. Credit from any study undertaken at another institution during the period of Authorised Interruption of Study will not be credited to a student's programme of study at the University of Edinburgh. See also Undergraduate Assessment Regulations for the current academic session.

This regulation excludes students registered for the MBChB or BVM&S who may elect to take an intercalated Honours year, or undertake a PhD or other research programme during their period of enrolment.

**31. Contact with the University during absence**

During any period of absence from the University, it is a student's responsibility to provide a current postal contact address and to ensure that any legal requirements imposed by his/her funding or grant authority are met. Current students must check their University email account regularly for communications from the University.

**32. Vacation study**

Students on certain degree programmes may be required to undertake special reading or other work during the vacations. Students are referred to the appropriate College regulations /Degree Programme Table and School Programme Guide(s) for more information.

**33. Authorised Leave of Absence for Study Elsewhere**

Students attending another institution for not more than one academic year on a

recognised exchange scheme or other approved programme of study require the approval of the relevant Head of College\*. Students must obtain the approval of their School/s to ensure that they will satisfy any requirements relating to prerequisite courses for entry to the following year of study. Students seeking entry to a profession such as Law must satisfy the requirements of the appropriate professional body.

## **Assessment**

34. **Assessment Regulations**

The University's Undergraduate Assessment Regulations for the current academic session provide the regulatory context for assessment of undergraduate students.

35. **Common Marking Scheme**

For information on the University's Common Marking Scheme see the Undergraduate Assessment Regulations for the current academic session.

36. **Failure to complete degree assessment**

For information on failure to complete degree assessment see the Undergraduate Assessment Regulations for the current academic session.

37. **Withdrawal and exclusion from study**

The procedures covering all forms of withdrawal and exclusion from the University for academic reasons, together with procedures for appeal and for re-admission where this is allowed, should be consulted. These can be found on the University's website and should be read in conjunction with the University's Assessment Regulations for the current academic session.

2. These Regulations, including Assessment Regulations (2010/2011), shall apply to degrees as set out in appendix 1 of this Resolution.

3. This Resolution shall supersede those parts of all previous Resolutions and Ordinances dealing with undergraduate regulations and assessment regulations for degrees set out in appendix 1 and specifically revokes Resolution 46/2009.

4. This Resolution shall come into effect on 1 September 2010.

For and on behalf of the University Court

M D CORNISH

University Secretary

## Appendix 1 to Resolution 53/2010

### **Degrees covered by these Regulations**

#### **College of Humanities and Social Science**

General Degree of Master of Arts  
General Degree of Master of Arts with Honours  
Degrees of Master of Arts with Honours  
Bachelor of Arts in Humanities and Social Science  
Bachelor of Music  
Bachelor of Music with Honours  
Bachelor of Music Technology  
Bachelor of Music Technology Honours  
Bachelor of Science (Social Science)  
Bachelor of Arts (Architecture)  
Bachelor of Arts (Health Studies)  
Bachelor of Arts (Health Studies) with Honours  
Bachelor of Nursing with Honours  
Bachelor of Science (Nursing) General  
Bachelor of Science (Nursing) with Honours  
Bachelor of Science (Social Work)  
Bachelor of Science (Social Work) with Honours  
Master of Arts (Architecture) with Honours  
Master of Arts (Architecture in Creative and Cultural Environments) with Honours  
Master of Architecture (Design)  
Master of Architecture (Digital Media)  
Master of Architecture (Digital Media Studies)  
Master of Architecture (Studies)  
Bachelor of Divinity  
Bachelor of Divinity (Honours)  
Bachelor of Arts (Divinity)  
Master of Arts (Divinity) with Honours  
Bachelor of Arts Religious Studies  
Master of Arts Religious Studies with Honours  
Bachelor of Arts (Community Education)  
Bachelor of Arts (Community Education) with Honours  
Bachelor of Arts (Education Studies)  
Bachelor of Arts (Childhood Practice)  
Bachelor of Arts (Childhood Studies)  
Bachelor of Education (Design and Technology) with Honours  
Bachelor of Education (Physical Education) with Honours  
Bachelor of Education (Primary Education) with Honours  
Bachelor of Education (Teaching English to Speakers with Other Languages) with Honours  
Bachelor of Science (Applied Sport Science)  
Bachelor of Science (Applied Sport Science) with Honours  
Bachelor of Science (Environmental Archaeology) with Honours  
Bachelor of Science (Sport and Recreation Management)  
Bachelor of Science (Sport and Recreation Management) with Honours  
Bachelor of Science (Psychology)

Bachelor of Laws  
Bachelor of Laws with Honours  
Bachelor of Medical Sciences with Honours

### **College of Science and Engineering**

Bachelor of Science: General Degree, Ordinary degree in a designated discipline and Honours degree  
Bachelor of Engineering with Honours  
Degrees of Master of Arts with Honours  
Master of Chemistry with Honours  
Master of Chemical Physics with Honours  
Master of Earth Science with Honours  
Master of Engineering with Honours  
Master of Mathematics with Honours  
Master of Physics with Honours  
Master of Informatics with Honours  
Bachelor of Medical Sciences with Honours

### **College of Medicine and Veterinary Medicine**

Bachelor of Medicine and Bachelor of Surgery  
Bachelor of Veterinary Medicine and Surgery  
Bachelor of Science (Medical Sciences)  
Bachelor of Science (Medical Sciences) with Honours  
Bachelor of Science (Veterinary Science)  
Bachelor of Science (Veterinary Science) with Honours  
Bachelor of Medical Sciences  
Bachelor of Medical Sciences with Honours