THE UNIVERSITY OF EDINBURGH

BUSINESS FOR MEETING OF THE UNIVERSITY COURT
to be held in the Board Room, Chancellor's Building, Little France
on Monday 24 June 2013 at 2.00 p.m.

A buffet lunch will be available in the large Seminar Room, SCRM
from 1.00 p.m.

This meeting of Court will be preceded by a presentation on Strategic Equality Impact Assessment delivered by Vice-Principal Professor Lorraine Waterhouse and Ms Jill Bell, Director Discrimination Law Service.

A   FORMAL BUSINESS

1.	Minute of the meeting held on 13 May 2013	**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.	EUSA President's Communications	**C2**
3.	Strategic Plan – Reporting Framework	**C3**
4.	Widening Participation	**C4**
5.	Student Experience	**C5**
6.	University's Risk Register	**C6**
7.	Risk Appetite	**C7**
8.	Report from Audit Committee	**C8**
9.	Report from Estates Committee	**C9**
10.	Report from Nominations Committee	**C10**
11.	Report from Committee on University Benefactors	**C11**

D   ITEMS FOR FORMAL APPROVAL OR NOTE

1.	Academic Report	**D1**
2.	Senate Committees' Annual Report	**D2**
3.	Draft Resolution	**D3**
4.	Resolutions	**D4**
5.	Update from SBS Sub-Group	**D5**
6.	Fair Trade - Update	**D6**
7.	Donations and Legacies	**D7**
8.	Use of the Seal	

UNIVERSITY OF EDINBURGH

MINUTE OF A MEETING *of the University Court of the University of Edinburgh held in the Raeburn Room, Old College, on Monday 13 May 2013.*

Present:	Rector (in chair)
	The Principal
	Sheriff Principal E Bowen
	Mr A Johnston
	Professor A M Smyth
	Mrs M Tait
	Dr M Aliotta
	Professor J Ansell
	Professor D Finnegan
	Professor A Harmar
	Professor S Monro, Vice-Convener
	Mr D Bentley
	Dr R Black
	Mr P Budd
	Mr L Matheson
	Mrs E Noad
	Ms A Richards
	Mr J McAsh, President Students' Representative Council
	Mr A Burnie, Vice-President Students' Representative Council
In attendance:	Vice-Principal Professor J Haywood
	Vice-Principal Professor C Jeffery
	Vice-Principal Dr S Rigby
	Vice-Principal Professor J Seckl
	Vice-Principal Professor L Yellowlees
	University Secretary, Ms S Smith
	Vice-Principal Mr N Paul, Director of Corporate Services
	Dr I Conn, Director Communications and Marketing
	Mr A Currie, Director of Estates and Buildings
	Ms S Gupta, Director of Human Resources
	Mr P McNaull, Director of Finance
	Mrs T Slaven, Deputy Secretary Strategic Planning
	Mr H Murdoch, President elect Students' Representative Council
	Ms K Haigh, Vice-President elect Students' Representative Council
	Ms F Boyd, Head of Stakeholder Relations and Senior Executive Officer
	Dr K J Novosel, Head of Court Services
Apologies:	The Rt Hon D Wilson, Lord Provost of the City of Edinburgh
	Dr C Masters
	Mr D Brook
	Ms S Beattie-Smith, Rector's Assessor

Court received a presentation from Vice-Principal Professor Jeff Haywood on Massive Open Online Courses (MOOCs).

A FORMAL BUSINESS

1   **MINUTE OF THE MEETING HELD ON 18 FEBRUARY 2013**   **Paper A1**

The Minute of the meeting held on 18 February 2013 was approved as a correct record.

Court noted that this was the last meeting to be attended by Mr James McAsh, President Students' Representative Council and Mr Andrew Burnie, Vice-President Students' Representative Council. Members thanked them warmly for their commitment to the University and wished them well for the future.

Court welcomed the new University Secretary Ms Sarah Smith and the new Deputy Secretary Mrs Tracey Slaven. Court further welcomed Mr Hugh Murdoch President elect Students' Representative Council and Ms Kirsty Haigh, Vice-President Services elect Students' Representative Council who were in attendance at this meeting.

B   PRINCIPAL'S BUSINESS

1   PRINCIPAL'S COMMUNICATIONS   **Paper B1**

Court noted the items within the Principal's report and the additional information on: the benefits of MOOCs and future developments; the successful outcomes of the Principal's period of study leave in Latin America and at Stanford University; partnership working with the University of Delhi; progress in taking forward the Internationalisation Strategy with the three International Offices performing exceptionally well and the University attracting high calibre international students; and the excellent EUSA teaching awards initiative.

On behalf of Court, the Vice-Convener congratulated the Principal on being awarded an honorary degree from Saint-Petersburg University of Humanities and Social Sciences.

2   DESIGNATION OF VICE-PRINCIPALS AND ASSISTANT PRINCIPALS   Paper B2

On the recommendations of the Principal, Court approved the following:

Dr Sue Rigby's role as Vice-Principal Learning and Teaching to be extended to fulltime from 1 August 2013.

Professor Mary Bownes's role as Senior Vice-Principal, External Engagement to be extended by one year until 30 September 2014.

Professor Lorraine Waterhouse's role as Vice-Principal, Equality and Diversity to be extended by six months until 31 December 2013.

Dr Tina Harrison's role as Assistant Principal, Academic Standards & Quality Assurance to be extended by two years until 31 July 2015.

Professor Ian Pirie's role as Assistant Principal, Learning Developments to be extended by two years until 31 July 2015.

Professor Andrew Calder's role as Honorary Assistant Principal, Reproductive Health to be extended by two years until 31 July 2015.

Professor John Smyth's role as Honorary Assistant Principal, Cancer Research Development to be extended by two years until 31 July 2015.

Professor Christine Bell to be appointed Assistant Principal, Global Justice with immediate effect until 31 July 2016.

C   SUBSTANTIVE ITEMS

1   REPORT OF THE FINANCE AND GENERAL PURPOSES COMMITTEE

Report of the Central Management Group meetings of 6 March and 17 April 2013   **Paper C1.1**

The new Complaints Procedure was welcomed and the establishment of an Ethical Fundraising Advisory Group and an Equality Management Group; amendments were suggested to the membership of the Ethical Fundraising Group. Court approved the Equality Outcomes, noted the report from the Equality and Diversity Monitoring Research Committee (EDMARC), noted the various actions being taken and recognised the challenges in this area. There was also discussion on tuition fees and satisfactory information was provided and accepted by Court on the level of increases approved for certain programmes. Court further noted the outcome of a staff appeal against dismissal and the other items in the Staff Committee report and Court further endorsed the benefits of taking forward appraisal processes for all staff.

Report on Other Items   **Paper C1.2**

Court noted the current satisfactory position in respect of research and commercialisation activities and approved the amendment to the 2013/2014 Outcome Agreement with the SFC subject to funding confirmation.   The current financial position was also noted and the trend in the forecasted surplus. Court welcomed the Russell group comparative financial information and the progress on various matters as set out in the Finance Director's report particularly the six major projects forming the finance transformation programme.

2   EUSA PRESIDENT'S COMMUNICATIONS   **Paper C2**

Court noted the items within the EUSA President's report and the additional information on: the EUSA President and the EUSA Vice-President Services being the Students' Representative Council's nominations on Court for 2013/2014 onwards as the responsibilities of the Vice-President Services were considered more relevant to Court business than those of the Vice-President Academic Affairs; the recruitment arrangements for a new Chief Executive; engagement with the University Secretary, Director of Finance and other senior officers particularly in developing a sustainable financial position; external recognition for EUSA activities; and the excellent Teaching awards, therapets, TedX and other initiatives being led by EUSA.

3   PROPOSALS FOR ALLOCATION OF RESOURCES 2013/2014   **Paper C3**

The new approach to the planning process was endorsed by Court with Colleges and Support Groups being asked to draft plans covering three years with the intention to undertake lighter touch annual reviews. Court noted the executive planning summaries 2013-2016 and welcomed the various activities being taken forward.

Court further noted that this planning approach was being mirrored in the allocation process with budgets set for 2013/2014 and indicative budgets for the following two academic years. Court welcomed the intention to move towards a budgeted surplus of 5% of turnover and that work was on-going to develop a new allocation model which would provide greater transparency, more confidence in forecasting based on a rolling three year planning process and negate the generation of underspent resources at year-end. It was noted that this would enable robust information to be produced to assist in identifying revenue and capital spend available for investment opportunities across the University.

Court approved the allocation of resources as set out in the paper for 2013/2014 and indicative levels for the following two academic years.

4   **SCOTTISH CODE OF HE GOVERNANCE**   **Paper C4**

Court noted the publication of the draft Scottish Code of Good HE Governance and that further changes were anticipated prior to the Code being finalised. The Steering Group charged with overseeing the preparation of the Code had undertaken an extensive consultation process and had ensured transparency in its approach: a helpful website provided detailed information. The Court noted that the draft Code was the subject of an eight week consultation with any new evidence to be submitted by 11 June 2013. In the light of anticipated revisions, Court agreed it would be helpful to iterate the evidence previously provided on the roles and operations of the Rector and Vice-Convener of Court: a statement would be circulated to members prior to submission.

The final Code would be with effect from 1 August 2013 and would be published after the Steering Group's last meeting in June 2013. Court approved the establishment of a Sub-Group to consider the implications of the final Code within the University's legal framework and how best to take forward its implementation on a comply or explain basis with the aspiration to continue to initiate improvements to the governance arrangements. Court agreed that Professor Monro, Ms Richards, Dr Black, Professor Smyth, Professor Ansell, Mr Murdoch and University Secretary should be members of this Group.

5   **WIDENING PARTICIPATION - UPDATE**   **Paper C5**

The actions being taken in respect of the widening participation agenda were welcomed and Court noted the applications received and offers made to individuals within the target areas for the academic year 2013/2014: Court noted the significant challenges around expanding the current engagement with Schools and Colleges outwith Edinburgh and the Lothians, and there were uncertainties around the conversion rates. It was noted that further information on the uptake position of the various University bursary schemes would be available early in the next academic year.

6   **STUDENT EXPERIENCE - UPDATE**   **Paper C6**

Court welcomed this very helpful paper which analysed the University's 2012 NSS scores against peer institutions and provided information on the internal student surveys undertaken by the University and of the interviews and focus groups conducted by the external consultant. As a result of the analysis of this data there were a number of themes emerging and five core challenges had been identified. Some of the remedial actions could be achieved in a short timescale while those requiring cultural change would take longer to fully implement.

There was detailed discussion on the core challenges and the proposed remedial actions were approved. Court was supportive of the way forward and of the new costs in 2013/2014 as set out in the main paper and the appendix to the paper in respect of feedback and assessment. It was noted that work would be initiated through Senate to take forward as quickly as possible the development of firm instructions on assessment and feedback timeframes and the implementation of any structural changes to enable commencement of the new practices in 2013/2014; programme approval would require confirmation of the ability to comply with the new instructions. The specific challenges around cultural change in relation to learning and teaching were also discussed and acknowledged by Court and that excellence in teaching should be recognised and rewarded. The need to ensure a sense of community was also noted including the impact of the physical environment in improving student and staff engagement.

| 7 | **REPORT FROM AUDIT COMMITTEE** | **Paper C7** |

The draft Minute of the last meeting of the Audit Committee was noted in particular the discussions around IT security. Court welcomed the initiative to hold a second joint meeting with the Risk Management Committee and to invite the Court representatives on the Knowledge Strategy Committee as the focus of the event would be around IT assurance issues.

Court further noted the robust tendering exercise undertaken to identify the future provider of External Audit services. On the recommendation of the Audit Committee, Court approved the appointment of PwC as External Auditor from the 2013/2014 audit for a period of three years with the option to extend by a further two audit years: the fee rates were comparable to the current expenditure.

| 8 | **REPORT FROM ESTATES COMMITTEE** | **Paper C8** |

| 9 | **REPORT FROM NOMINATIONS COMMITTEE** | **Paper C9** |

On the recommendations of the Nominations Committee the following were approved:

Membership of Committees

Audit Committee
Mr Alan Trotter's term of office to be extended until 31 December 2016.

Committee on University Benefactors
Ms Doreen Davidson, General Council Assessor, to be appointed from 1 August 2013 until 31 July 2016.

Development Trust

Mr Malcolm Thoms's term of office to be extended until 31 July 2016.
Mrs Jann Brown to be appointed with immediate effect until 31 July 2016.

| 10 | **ETHICAL STANDARDS** | |

There was discussion on media articles regarding a resuscitation project involving the Scottish Ambulance Service and the University's Resuscitation Research Group particularly around patient consent. Assurances were provided on the detailed and robust ethical considerations of the project prior to its approval via the appropriate clinical research procedures and on the safeguards in place regarding the data obtained from this audit of resuscitation practice.

D ITEMS FOR FORMAL APPROVAL OR NOTE

| 1 | **DRAFT RESOLUTIONS** | **Paper D1** |

Court approved the following draft Resolutions:

Draft Resolution No. 26/2013:   Institution of new postgraduate Degree: European Masters in Landscape Architecture (EMLA)

Draft Resolution No. 27/2013:   Institution of new postgraduate Degree: Master

of Nursing (MN)

Draft Resolution No. 28/2013:	Degree of Master of Surgery (Vascular and Endovascular)
Draft Resolution No. 33/2013:	Undergraduate Degree Programme Regulations
Draft Resolution No. 34/2013:	Postgraduate Degree Programme Regulations

and requested their transmission to the General Council and Senatus Academicus for observations.

2 RESOLUTIONS   Paper D2

Court approved the following Resolutions:

Resolution No. 17/2013:	Alteration of the title of the Regius Chair of Forensic Medicine
Resolution No. 18/2013:	Foundation of a Chair of Tomographic Imaging
Resolution No. 19/2013:	Foundation of a Chair of Synthetic Biology
Resolution No. 20/2013:	Foundation of a Chair of Design Informatics

3 UPDATE FROM SBS SUB-GROUP   Paper D3

Court noted the activities of the Court Sub-Group established to assess the request of the SBS Trustees for a cash contribution to the Scheme by the University. The conclusion of the Sub-Group not to support this request was endorsed by Court noting the three main reasons for this decision. A formal response was awaited from the SBS Trustees.

4 DONATIONS AND LEGACIES   Paper D4

Court was pleased to note the donations and legacies to be notified received by the University of Edinburgh, Development Trust between 1 February and 26 April 2013, in particular the £2m in support of access bursaries.

5 COURT MEETINGS 2013/2014   Paper D5

Court noted the venues for agreed Court meetings in 2013/2014.

6 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

The University Court

24 June 2013

Principal's Report

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

International

Global Academies

Sir John Beddington was inaugurated as Convener of the Global Academies' External Advisory Board on 4 June 2013. The purpose of the External Advisory Board is to provide external oversight and endorsement of the Global Academies' future work.

United Arab Emirates

Vice Principal International, supported by Mr Alan Mackay, Director of the International Office visited the British University in Dubai (BUiD), 18-20 May 2013, to interact with colleagues regarding Edinburgh's involvement with the institution via the School of Informatics. The visit also sought to review Edinburgh's participation in BUiD as the next contract cycle is due from 2014-2018. The programme for the visit included attending the tenth anniversary BUiD Council meeting and meetings with programme staff from across the institution.

Qatar

Vice Principal International joined a City of Edinburgh Council-led delegation of the 4 universities in Edinburgh to Qatar, 11-12 June. The Council has identified Doha as one of six global cities that have the potential to partner with Edinburgh towards mutually beneficial cultural, economic and educational ends. Meetings took place in Doha with universities and government bodies to explore new partnering opportunities. The group also visited the UK Ambassador in Doha.

India

Vice Principal Professor Savill, Head of the College of Medicine & Veterinary Medicine, represented both the University of Edinburgh and Medical Research Council when he visited Bangalore (NCBS/inStem), Christian Medical College Vellore and New Delhi (Government meetings).

China

An agreement has been signed to establish a Chevening Scholarship Training Program with the China Ministry of Commerce and the Foreign & Commonwealth Office allowing Ministry of Commerce employees to study at the University of Edinburgh for 6 month attachments.

Africa

Vice Principal International has accepted an invitation to represent the University of Edinburgh at the 50th Anniversary Celebration of the founding of the Institute of African Studies at the University of Ghana this October. The University of Ghana is the oldest and largest Ghanaian universities and represents a potentially important strategic partner for Edinburgh.

Visits to Edinburgh

International high level delegations were received from:

- Rolls Royce Brazil
- Chinese Ministry of Commerce
- The Shanghai Yan Bao Hang Foundation for Public Interests
- Texas Christian University College of Education
- BG Group, Brazil
- Gottingen University, Germany
- EU Commissioner for Climate Action
- Jiaxing City (PR China) Government Trade Mission to UK
- Hong Kong Science & Technology Park
- Russian Presidential Academy of National Economy and Public Administration
- Qatari Cultural Attache
- Bavarian State Chancellery

Related meetings

I was very pleased to officially mark the end of the year of study of Princess Mako, granddaughter of Japanese Emperor Akihito and Empress Michiko, at the University last month.

I participated in the annual Organisation for Economic Cooperation Forum in Paris towards the end of May and welcomed Dr Faisal Abaalkhail, Cultural Attaché Saudi Arabia and colleagues to the University.

UK

Pay negotiations 2013/14

Following the final pay offer from the employers of 1% for the 2013-14 pay round Unite and GMB have now confirmed that they also wish to invoke the new JNCHES dispute resolution procedure. The dispute meetings will therefore be attended by four trade unions: UCU, UNISON, Unite and GMB. EIS may attend the meetings as observers.

UCEA has organised two dispute resolution meetings in accordance with the new JNCHES agreement which are scheduled for Tuesday 25 June and Monday 1 July.

Student Visa policy

Lobbying continues on the issue of the UKBA student visa policy which was debated on 6 June in both the House of Commons and the House of Lords. The debates were extremely encouraging with widespread, cross-party support for the view that the visa policy was damaging the interests of both universities and the wider economy. Responding to the debate in the Commons, the Immigration Minister, Mark Harper MP, committed the government to working with universities to "increase the number of international students who come here from around the world". This is the first time that the government has made such an explicit commitment to growth in numbers, and, with the government due to publish its industrial strategy for education in the summer, is an encouraging sign.

Scotland

Edinburgh Festival Fringe

The Fringe Programme for 2013 launched very successfully at the end of May with a record 2871 shows in the programme this year. Among the major new venues will be the University's Paterson's Land which will form a hub with Scottish Opera, the National Theatre of Scotland, Glasgow's Tron Theatre Company and the Royal Conservatoire of Scotland among those staging productions.

Global Excellence Initiative

As Court is aware Cabinet Secretary for Education and Lifelong Learning, Mr Michael Russell MSP launched the Scottish Governments Global Excellence Initiative at the University in late May. This new initiative gives the university an additional £5 million per annum for the next 3 years and will be matched with University funds to enable the recruitment of early career international researchers.

Anne Rowling Regenerative Neurology Clinic

A gala dinner was held by the University to mark the launch of the Anne Rowling Regenerative Neurology Clinic. The dinner was attended by Ms JK Rowling, the First Minister and the Cabinet Secretary for Finance, Employment and Sustainable Growth, Mr John Swinney. Discussions at the event have led to a number of exciting new initiatives being taken forward.

Visit by Robert Madelin

Robert Madelin the European Union Director-General of Communication Networks, Content & Technology spent a morning at the University in a very informative and stimulating visit. The session was hosted by Informatics but brought together key interested parties from across the University. The connections made during the discussions will be tremendously valuable and will have done much to raise the University's profile in the European arena.

Graduations

We are looking forward to our summer graduation ceremonies with almost 3,000 students graduating this year and honorary graduates including musician and singer Eddi Reader and the Chief Scientific Advisor to the European Commission, Anne Glover.

Related meetings

I welcomed Sir John Parker and Scottish Fellows from the Royal Academy of Engineering to the University in May and attended a dinner with the Lord High Commissioner to the General Assembly of the Church of Scotland at Holyrood Palace and the Moderator's Reception.

I was very pleased to attend the RNIB Royal Gala Dinner in the presence of Her Majesty the Queen as a guest of Dr Haruhisa Handa at St James Palace in early June.

I was a guest of Heriot-Watt University at a ceremony to mark the installation of their new Chancellor Dr Robert M Buchan earlier this month.

Last week I participated in the National Economic Forum with the First Minister and Cabinet Secretary Russell and, at the invitation of the Scottish Council for Development and Industry, I attended a roundtable discussion with the Rt Hon William Hague MP, Secretary of State for Foreign and Commonwealth Affairs.

I was also a guest of the Royal Bank of Scotland last Friday at the Scottish Business Insider dinner where former President Bill Clinton gave the keynote address.

University News

Edinburgh University student rowers beat rivals Glasgow University in their 136th annual boat race. Olympic rowing champion Katherine Grainger, who has previously competed in the event, started the 1st VIII male and female races - which were both won by Edinburgh. At the other end of the M8 on the same day our Women's Hockey Team also played in the Scottish Hockey Cup Final and were narrowly beaten.

Professor Peter Higgs delivered a sell-out lecture "An Audience with Peter Higgs" at the McEwan Hall and then attended a private dinner in his honour with key colleagues.

Edinburgh College of Art Degree Show proved to be an incredible success again this year and our fashion students surpassed themselves at London Graduate Fashion Week with Lauren Smith picking up the George Gold Award for best collection. ECA also won the Menswear Award as fashion student Shauni Douglas and jewellery student Olivia Creber triumphed with their collaborative collection.

The Friends of the Talbot Rice Gallery hosted the Cabinet Secretary for Culture and External Affairs, **Fiona Hyslop MSP**, at the David Talbot Rice Memorial Lecture earlier this month on the subject 'Our past, present and our future: culture heritage in Scotland'.

Professor Steven Pinker one of the world's most renowned psychologists delivered the Gifford Lecture on "The Better Angels of Our Nature: A History of Violence and Humanity" to a sold-out audience at the University's McEwan Hall.

As part of a series of events under the title "Scotland's Referendum: Informing the Debate", Deputy First Minister **Nicola Sturgeon MSP** delivered a lecture on "Independence: a renewed partnership of the Isles".

Research in the News:

- Scientists at the University have made fresh discoveries about the cause of a rare but devastating neurological disorder. Researchers from Edinburgh working with a team from Harvard University have uncovered a key detail about the gene responsible for Rett syndrome. This incurable condition affects mainly girls, with profound consequences for mental development. Scientists studying the MeCP2 gene have previously identified an area of the protein formed by this gene where mutations, or flaws, can occur, giving rise to Rett syndrome.

- Health problems linked to obesity, like heart disease and diabetes, could skip an entire generation, a study suggests. Researchers have found that the offspring of obese mothers may be spared health problems linked to obesity, while their own children then inherit them. The University study has shown that moderately obese mothers can make an impact on the birth weight and diabetes risk of grandchildren, in the apparent absence of effects in their own children.

- Exposing skin to sunlight may help to reduce blood pressure, cut the risk of heart attack and stroke, a study suggests. University researchers have shown that when our skin is exposed to the sun's rays, a compound is released in our blood vessels that helps lower blood pressure. The findings suggest that exposure to sunlight improves health overall, because the benefits of reducing blood pressure far outweigh the risk of developing skin cancer.

- People giving online reviews exaggerate their scores in surveys where many others have already contributed. They do so to try to increase the impact of their response, researchers found. As a result, online surveys that have received many scores are more likely to be affected by extremely good or bad ratings, distorting results for consumers, according to University economics researchers.

<u>External Recognition:</u>

- Dr Christopher Harding has been named as one of ten New Generation Thinkers for 2013 after a nationwide search between BBC Radio 3 and the Arts & Humanities Research Council. Dr Harding researches the modern West's cultural dialogue with Japan and India. He looks in particular at how religion, psychology, and psychiatry have become increasingly intertwined, changing the way we think about spiritual versus mental and emotional health.

- The new chapel at St Albert's Catholic Chaplaincy in George Square has won many recent architecture accolades. The building, which was completed in late 2012, came top in two categories in the 2013 Edinburgh Architectural Association Awards. Designed by Edinburgh alumnus Stuart Allan, of Simpson & Brown architects, the new house of worship won awards for best new building and best use of wood in a building. The chapel has also received praise from the Scottish Civic Trust's My Place Awards and has also been shortlisted for the 2013 The Royal Incorporation of Architects in Scotland (RIAS) Awards. The 12 buildings will now compete for the Andrew Doolan Best Building in Scotland Award. It is one of 43 buildings in the UK to receive an award for architectural excellence from the Royal Institute of British Architects (Riba). It will now go forward for Riba's top award, the Stirling Prize. This year's winner will be announced on 26 September in London.

The University of Edinburgh

The University Court

24 June 2013

**Report of the Finance and General Purposes Committee
(Comments on the Report from the Central Management Group meeting of 22 May 2013)**

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 10 June 2013 from the Central Management Group of its meeting of 22 May 2013. Comments made by the FGP Committee are incorporated in boxes within the report at relevant points.

Action requested

The Court is invited to note the items with comments as it considers appropriate.

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.

Originator of the paper

Dr Katherine Novosel
June 2013

Central Management Group

22 May 2013

1   MAINSTREAMING THE EQUALITY DUTY REPORT (Appendix 1)

It was noted that the University was required to publish a report on progress on mainstreaming the equality duty in terms of the Equality Act 2010 and that this baseline report had been published in accordance with the required date of 30 April 2013. CMG congratulated those involved in the systematic approach taken to implementing the requirements of the Act and it was noted that such reports would be published every two years.

The Committee welcomed the information on main streaming of the equality duty and the establishment of an Equality Management Group. It was agreed given the remit of the Equality Management Group included both staff and student issues that it was appropriate to include in the membership a representative of EUSA; this would be taken forward and the Vice-President Services invited to become a member of the Group.

2   REPORT FROM THE STANDING CONSULTATIVE COMMITTEE FOR REDUNDANCY AVOIDANCE (SCCRA) (CLOSED) (Appendix 2)

3   EDINBURGH GLOBAL REVIEW AND IMPACT PLAN

CMG welcomed the publication of the Edinburgh Global Review and Impact Plan which set out achievements over the last four years based around four themes and the way forward. The document was being widely circulated and can be accessed at the following URL: http://www.ed.ac.uk/polopoly_fs/1.110545!/fileManager/Global%20Review.pdf.

The Impact Plan 2012-2016 which set out actions around five main themes to contribute to the delivery of international aspects within the University's Strategic Plan was endorsed by CMG. The success of the global academies was noted and the challenges and remedial actions identified to encourage our students to gain an international experience as part of studying for their Edinburgh degree.

4   PROCUREMENT STRATEGY (Appendix 3)

The work of APUC to take forward sustainable procurement practice within the sector was noted. CMG endorsed the updated Procurement Strategy and approved the statement to be circulated to all staff dealing with procurement.

The Committee welcomed and endorsed the updated Procurement Strategy.

5   CHANCELLOR'S FELLOWS

The proposal to appoint two Chancellor's Fellows in leadership and research analysis of distance education, specifically to take forward and develop academic study and understanding of on-line learning approaches and opportunities, was endorsed by CMG.

THE UNIVERSITY of EDINBURGH

Mainstreaming the Equality Duty

Introduction

1. Through this report, the University is delighted to describe the progress it has made to make the general equality duty integral to the exercise of its functions, so as to better perform that duty.

2. The report outlines the strategic context and how equality is mainstreamed into the University's strategic plans. It gives highlights of the University's progress in embedding the equality duty and provides links to further information. It also provides links to the University's employee and student equality data and sets out progress and plans relating to gathering and using further information.

Strategic approach

3. Equality is increasingly part of the structures, behaviours and culture of the University. Equality and Diversity (E&D) is integrated into our Strategic Plan 2012-16[1], and articulated at the highest level.

4. The University's over-riding vision is:

   To recruit and develop the world's most promising students and most outstanding staff and be a truly global University benefitting society as a whole.

5. In the introduction to the Strategic Plan, the Principal and Vice-Chancellor states:

   Edinburgh is a truly international university firmly rooted in Scotland and an overarching theme for this plan is increasing our global impact and our contribution to society. Our Global Academies are key for developing innovative solutions to the world's most challenging problems. Our priorities for delivery over the next four

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[1] Hereafter, referred to as "the Strategic Plan".

years are set out against this background and are shaped by our commitments to social and environmental responsibility, equality and inclusion, widening participation and good governance.

6. The Strategic Plan highlights that the University aims to push boundaries, embrace opportunities and meet the needs of the ever increasing diversity of our population of staff and students.

7. E&D has a significant part to play in fulfilling our vision and is mainstreamed into the Strategic Plan's objectives, strategies and targets. The University's [Equality Outcomes](#) are aligned with our strategic priorities and the most relevant aspects of the Strategic Plan are set out for each Outcome.

8. These priorities are reflected throughout the planning process, and all Colleges and Support Groups include equality in their planning submissions. This, in turn, is reflected in School and Support Service plans.

Governance

9. The University is committed to continuous improvement of its performance, and is mainstreaming E&D considerations into that process through the implementation of an Equality Impact Assessment Policy Statement and the requirement to consider equality impact in relation to all papers to formal University committees.

10. In order to further mainstreaming, approval has been given to the establishment of an Equality Management Group (EqMG) whose purpose is, on behalf of the Central Management Group, to exercise strategic and management oversight of E&D for staff and students in the University and to ensure E&D policies and practices are being managed and implemented effectively at all levels of the University. The proposal to establish this group, and its remit, were developed by a University of Edinburgh team – including a Court member and senior managers from across the University - through participation in an Equality Challenge Unit programme: Mainstreaming through governance and management, during 2012/13. The Terms of Reference for the EqMG are at Appendix 1.

11. The University approved a new [E&D Strategy and Action plan](#) in 2011, which has mainstreaming at its heart. Its fundamental vision is to ensure that the University has a positive culture, where all staff and students are able to develop to their full potential. The Action Plan includes a wide range of commitments which help the University to fulfil its general equality duty, many of which have the purpose of further integrating E&D into the exercise of the University's functions.

12. We have taken a similar approach to the development of the University's Equality Outcomes and Actions 2013-17, aiming to mainstream E&D into policy practice and services to embed good practice as standard. The process for developing the Equality Outcomes and Actions, including the involvement of stakeholders, and the alignment with strategic priorities is described in the Equality Outcomes document along with the details of the Outcomes and associated Actions. The new EqMG is responsible for monitoring progress with the Equality Outcomes and Actions, ensuring integration into the University's governance and management structures.

Management Information on Equality

13. The University has a long-standing practice of gathering, reporting on and publishing equality information on staff and students, predominantly through the annual E&D Monitoring and Research Committee (EDMARC) report. The EDMARC report includes data on the composition of the University's employees in relation to most protected characteristics. This includes information about vertical and horizontal occupational segregation, through analysis by grade and job type respectively.

14. Equal Pay Audits are carried out and published regularly, which incorporate the University's equal pay statement and include information on the gender pay gap.

15. The University has begun to gather information on the religion and belief, sexual orientation and gender identity of staff for the first time during 2012/13, and a summary of those data is included as an addendum to the 2012 EDMARC report.

16. These reports, along with information on staff development and recruitment are published on the University's E&D website at www.ed.ac.uk/schools-departments/equality-diversity/monitoring-statistics.

17. This information is used to inform the University's E&D Strategy, Equality Outcomes and Actions. The EDMARC report is considered by CMG, Finance and General Purposes and Court annually. The Remuneration Committee considers Equal Pay Audit and gender pay gap information as a standard part of its business, and also commissions an annual equality report by an external observer based on that information.

18. Other than for age and sex, the information held on the protected characteristics of staff is incomplete. The University takes steps to improve this situation. A questionnaire is issued to staff periodically, to encourage more staff to provide information for equality

monitoring and support purposes.   It is also anticipated that the data levels will improve for new staff following the implementation of a new eRecruitment system in October 2012.

Mainstreaming Equality Highlights

19. Equality Impact Assessment (EqIA) has a central role in integrating the general equality duty into the exercise of the University's functions. An EqIA Policy Statement was approved in January 2013 and new web pages have been developed, drawing together and publishing policy, guidance and support on EqIA. These include an EqIA template and guidance, links to on-line E&D and EqIA training, policy, legislation and resources. The EqIA Policy Statement was launched through strategic briefings for senior decision-makers, and masterclasses have also been held for staff regularly involved in EqIA.

20. EqIA is being built into the standard processes for Estates and Buildings projects and for procurement. EqIA has been carried out on some key University processes, such as the implementation of a new timetabling system and plans for enhancing student support, as well as on new HR and academic policies.

21. Staff Development: the range and take-up of learning and development opportunities relating to E&D have been extended considerably in the last two years. eDiversity in the Workplace, Annual Review and Recruitment and Selection and the Law on-line courses have been introduced and workshops on Developing an Understanding of E&D and Internationalisation are run regularly. In addition, E&D training has been undertaken for all those involved in selection for REF[2] 2014 – including all senior academic managers.

22. Advancing Gender Equality and Athena SWAN: over the last eight years, engagement with the Athena SWAN Charter to advance the careers of women in STEMM[3] has grown from an initiative in one school, to the active application of the Athena SWAN process in all STEMM schools and adoption of equivalent processes in all Humanities and Social Sciences schools. The University now has six awards: the School of Chemistry has a Gold award; the Schools of Biomedical Sciences and Biological Sciences have Silver; and the Roslin Institute, the Royal (Dick) School of Veterinary Medicine and the University as a whole have Bronze. The associated action and positive impact for women – and in fact all staff – in the Colleges are summarised in the University's Athena SWAN Bronze award renewal application. In addition, a substantial programme of work has been developed to promote women's career progression in all parts of the University, and a pilot has begun on a mentoring framework particularly targeting women.

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[2] Research Excellence Framework
[3] Science, technology, engineering, maths and medicine.

23. Mainstreaming Disability Adjustments: Senate committees have approved plans to implement a range of student disability adjustments as standard practice in relation to teaching and learning and this is now part of the Equality Outcomes and Actions. The wide range of services, developments and action in relation to student disability is described in the Student Disability Service Annual Report 2011-12.

24. An LGBT[4] Staff Network was established in 2012, enabling the involvement of LGBT staff in the development of University policies and plans; bringing together staff with common research interests; and promoting a more inclusive working environment.

25. The Chaplaincy provides pastoral and spiritual support for students and staff of "all faiths and none" and plays an important role in promoting good relations between groups in the University community. It is particularly valued by post-graduate and international students and there has been increasing collaboration between the Chaplaincy and the International Office in recent years, to the benefit of international students and staff. The Chaplaincy has a valuable role in promoting equality more generally and has been involved in Black History Month and International Women's Day. Further information is available in the Chaplaincy Annual Report.

26. The E&D Action Plan agreed alongside the introduction of the University E&D Strategy set out the University's commitment to a wide range of action to advance equality. As noted above, the predominant approach to that action plan was to embed E&D into University policy and practice. Many of the actions have a clear mainstreaming purpose, and all aim to advance equality. Further information can be found in the Action Plan with Progress Update .

Reporting and Publication

27. This report will be published on the University's E&D website and included in the publication scheme. It will be considered by CMG and the University Court.

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[4] Lesbian, Gay, Bisexual, Transgender

Equality Management Group

Terms of Reference

Purpose

On behalf of the Central Management Group, to exercise strategic and management oversight of equality and diversity (E&D) for staff and students in the University and to ensure E&D policies and practices are being managed and implemented effectively at all levels of the University.

Remit

1. Ensure that the University meets its legal obligations in relation to equality, including reporting and publishing requirements, in particular under the Equality Act 2010 and the related Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012.

2. Oversee the on-going review and development of the University's E&D Strategy, including aspects of the University Strategic Plan relating to E&D in its broadest sense.

3. Mainstream equality into University structures, systems and processes.

4. Determine the University's E&D Action Plan, incorporating its Equality Outcomes[5], and monitor progress.

5. Stimulate and build good practice and innovation in E&D.

6. Lead the implementation of the University's E&D Strategy and Action Plan.

7. Identify an appropriate evidence base for E&D decision-making and monitoring.

8. Champion equality impact assessment.

9. Promote E&D and good practice through communication within the University, at all levels, and externally.

10. Review E&D governance arrangements and the Group's own performance and effectiveness.

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[5] As required by the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012

Reporting

The Management Group reports to Central Management Group and through CMG to Court.

The Management Group will also provide reports to Senatus and other relevant groups. Through its membership, the Group will also communicate with Colleges/Support Groups, other E&D committees/groups and wider stakeholders, as appropriate.

The Management Group's Terms of Reference and meeting notes will be published on the Equality and Diversity website.

Membership

> Convener: Vice-Principal Equality & Diversity
> All Heads of College or their nominated representatives
> All Heads of Support Group or their nominated representatives
> Representative of Senatus committees
> Convener of EDMARC
> A lay member of the University Court
> Director or Deputy Director of HR
> Representative of specialist services to students, nominated by the University Secretary

All management members of the Group have managerial responsibility for E&D action in their areas. Representatives are responsible for expressing views, taking decisions and implementing action for the areas/committees they represent.

All members of the Group shall comply with the University's Code of Conduct and are required to declare any interests which may conflict with their responsibilities as members.

Others may be invited to attend the Group, e.g. to provide expert advice, as required.

Meetings

The Group shall meet as required to fulfil its remit, which will be at least twice per year. The Group may consider some business through correspondence.

Updated Procurement Strategy - May 2013

> - *High-quality infrastructure is key to enabling us to achieve our strategic goals.*
> - *Delivery of all the University's aims and objectives is dependent on our overall financial strength.*
> - *Equip our graduates with the expertise and graduate attributes they need to achieve their full potential within the global community.*

We aim to offer procurement excellence to deliver the University Strategic Plan as a *'truly international university firmly rooted in Scotland'* and assist us *'to increase our global impact and our contribution to society'*.

(i) Background
Increasingly purchasing decisions have to take account of impacts from choices made acquiring goods, services or works eg legal risks, impact on local firms, opportunities for small and medium enterprises, any community benefits, our equalities duties, carbon reduction, fair trade and anti-bribery and corruption, as well as achieving the specified/required quality, price, delivery for value for money. We need only reflect on recent horsemeat in 'beef' products and the horrific loss of hundreds of lives and serious injuries in 'factories' in Asia, to see the damage from both inadequate social responsibility and unsustainable supply chains; we get reports via Workers Rights Consortium.

(ii) Priorities and student engagement

The priorities for procurement at the University over the next four years, should be planned against this background and shaped by our commitments to achieve the strategic aims of the University and apply good governance which enhances our global reputation for ethical procurement and retains our financial strength. The Director of Procurement, EUSA VPS (retiring) Max Crema and people & planet's Lewis White were leaders in influencing with peers from Aberdeen, the APUC sustainable supply chain policy. We have updated our procurement strategy accordingly and seek CMG support.

See http://www.docs.csg.ed.ac.uk/Procurement/policies_procedures/ProcurementStrategyMay2013.pdf

(iii) Supplier survey and engagement
We are shortly conducting a suppliers' survey on the above strategy including a comment as follows:

Our procurement staff and students help APUC ltd in developing a Scottish universities' and colleges' supply chain code of conduct, and the University of Edinburgh would also wish to consider our social responsibility, ethical, economic & environmental impact by encouraging companies to support this:

http://www.ed.ac.uk/schools-departments/procurement/policies-procedures/apuc-supply-chain-sustainability

> **ACTION - *CMG is invited to ENDORSE* the updated Procurement Strategy as at May 2013 and *NOTE* the engagement of students in the APUC code of conduct, and to *NOTE* suppliers' survey which will inform category strategies.**

Strategy is published at:

http://www.docs.csg.ed.ac.uk/Procurement/policies_procedures/ProcurementStrategyMay2013.pdf

(iv) Financial probity and obtaining approval for procurement plans

The Director of Finance has led on improved controls on capital and/or revenue acquisition plans and so this paper also commends reminding colleagues of the need for early procurement plans to be approved by Director of Procurement, before engaging suppliers or committing to purchase.

> **ACTION** *- CMG to NOTE or COMMENT* on the amended actions and policy and *ENCOURAGE* **heads of schools, research principal investigators, budget-holders to implement this.**

(v) Contracts and Contract Management

Contract terms (if not University *standard terms and conditions* **http://www.ed.ac.uk/schools-departments/procurement/supplying**) or call-off orders from University contracted suppliers http://www.ed.ac.uk/schools-departments/procurement/buying and any negotiation of contract amendments, such as agreeing to a change in contract period, change in prices, or scope changes, even simple extensions of existing contracts are all **procurement actions** which need appropriate approvals from the Director of Procurement **currently this applies in excess of £50k estimated total.**

We have in-house legal advice for procurement and research and innovation to provide guidance on appropriate terms & conditions for acquisitions that may need special terms outwith the standards.

Contract management, document and record keeping are the responsibility of the budget-holder. Contracts over £50k should have a signed copy lodged with our procurement lawyer for reference. Schools, units and research principal investigators should seek advice at the earliest opportunity. Contacts are at http://www.ed.ac.uk/schools-departments/procurement/about

We are yet to see the final Scottish Government *Procurement Reform Bill* and revised EU Public *Contracts* and the *Concessions Directives* which are to appear over the summer months. Meantime as we are preparing to spend budgets as we approach year-end and plan next financial year, Annex has a proposed amendment for **practical implementation of our current procurement policies**.

Schools and units should be encouraged to endorse this and apply it to any contracts or purchasing.

Karen Bowman, Director of Procurement, 14 May 2013

Annex - ACTION by ALL STAFF, promulgated by budgetholders, heads of schools/units, if buying goods, services, works <u>UPDATED University Procurement Policy</u>, agreed CMG wef 1 June 2013:

> **Three easy steps : use internal services – use framework agreements – or take advice.**

1. **<u>In-house services</u> can be used without procurement e.g. printing, catering, graphics, legal, HR, procurement, finance, security, estates & buildings, health & safety, internal audit, accommodation services. See Services Directory for fuller list**
   http://www.ed.ac.uk/polopoly_fs/1.85353!/fileManager/Services-Directory-2011.pdf

2. Framework agreements can only be entered into on behalf of the University by the Director of Procurement. These will be listed on the University Procurement Website and updated so please check regularly at http://www.ed.ac.uk/schools-departments/procurement/buying

3. **In procuring goods, services or works** for the University, a budget-holder has to comply with the *Public Contracts Scotland Regulations 2012* (SSI 2012 (88)) which came into force on 1st May 2012 (see http://www.legislation.gov.uk/ssi/2012/88/made) and any other associated laws such as arise from Bribery Act (see University's own policy on anti-Bribery and Corruption (http://www.docs.csg.ed.ac.uk/HumanResources/Policies/Bribery-Anti_Bribery_and_Corruption_Policy.pdf) and we have Equalities specific duties and laws relating to goods, services, works that are being acquired. This is can be subject to Freedom of Information, all audits or legal actions. **The law is now under review and further guidance will be issued from Procurement Office**.

4. **All contracts for the purchase of goods, services or works are to be signed** on behalf of the University Court of the University of Edinburgh by such an individual who has been provided with specific delegated authority under the **Delegated Authorisation Schedule. Contracts for which total value exceeds or may exceed £50k,** inclusive of four years recurring costs eg equipment & maintenance, software licences & support, or any kind of associated services, can only be entered into **after** guidance and advice has been sought **and obtained** from the University's Director of Procurement and **after** a procurement plan for expenditure agreed.

5. **The legal entity that contracts for goods, services or works** must be designated on documents as:
   The University Court of The University of Edinburgh, a charitable body registered in Scotland under registration number SC005336, incorporated under the Universities (Scotland) Acts, with its registered address at Old College, South Bridge, Edinburgh, EH8 9YL, UK.

notes

a) <u>Estates (EU Works) contracts are planned and approved</u> by the Estates Committee and major <u>IS/IT/software planning is approved</u> by the Knowledge Strategy committee. The relevant committee convenors or budget-holders are to ensure procurement governance; project boards should seek procurement specialist advice.

b) <u>Capital equipping and other capital funded acquisitions</u> over £50k need a procurement plan approved by Director of Procurement and Director of Finance to be informed, if in excess of £25k, once items purchased.

c) The University standard terms and conditions of supply are to apply, variations require University procurement or legal advice to ensure risks to the University are covered off appropriately.

Karen Bowman, Director of Procurement, 14 May 2013

Annex - Central Management Group effective date 1 June 2013:
Central Management Group recommends that all procurements are managed as follows:

a) Three/four year and annual Planning Rounds which will include equipment procurement plans, state capital, revenue, external (restricted) source of funding (either capital/revenue),

b) Projects or budgets delegated (including research grants) must include procurement plans, for equipment funds from UK Research Councils, will include equipment **over £10k** (total cost) per *Wakeham Report;* colleagues must allow enquiries to share equipment or services.

c) *Such equipment must be registered on the equipment asset list when it is received/delivered.*

d) Procurement plans must consider whole life cost ie cost in use, recurring costs, disposal etc.,

e) Procurement of equipment **over £25k** (total cost) must be registered on the equipment asset list on receipt. *Procurement of licences, subscriptions, user rights over £25k [tbc],*

f) Plans to acquire equipment, goods or services must be aggregated across the University and if the total is likely to **exceed £50k** over the whole life costing, the Director of Procurement must be asked to approve the procurement plan prior to engaging with suppliers/providers. *This applies to scope change on **existing contracts, major amendments** , or extensions as well.*

g) Plans to acquire equipment, goods or services which exceed the current **EU threshold**[i] will need to be managed with a procurement specialist and follow the legal timescales/process.

h) Procuring goods or services without calling for competition should only be considered by budget holders in **very exceptional** circumstances and within the exceptions **allowed by** Regulation 14 of the *Public Contracts Scotland Regulations 2012*. **All cases over £50K** must be reviewed by the Director of Procurement (or Assistant Director) **before taking action.**

i) Ordering goods / services not acquired legally, is considered **failure to perform** satisfactorily.

j) Staff should seek advice on procurement plans, funding bids or at the earliest possible stage, i.e. prior to meeting with potential suppliers/service provider as there may be an existing contract or framework agreement, internal service provider or opportunities to collaborate.

k) Contract management, document/record keeping are responsibilities of the budget-holder.

l) Contracts over £50k should have a signed copy sent to procurement lawyer [for reference].

m) Framework agreements can only be entered into on behalf of the University by the Director of Procurement. These will be listed on the University Procurement Website and updated so please check regularly at http://www.ed.ac.uk/schools-departments/procurement/buying

n) If buying goods, services or works from framework agreements no further quotes/tenders should be invited, **except** as are described in framework agreement terms eg mini-tender**.**

o) **In-house services can be used - without procurement - as these are internal costs** **http://www.ed.ac.uk/polopoly_fs/1.85353!/fileManager/Services-Directory-2011.pdf**

Schools and units or research principal investigators should be encouraged to endorse this and apply it to any contracts or purchasing with funds held by the University, whatever the source.

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[i] currently **£173,794** for goods, for services (over 48months) and **£4,348,350** for works, EU reviews **Jan 2014**.

[tbc] handling of licences re capital assets is to be confirmed by the Director of Finance prior to publication.

This policy will be updated from time to time, agreed by the Director of Procurement, CMG or changes in law.

Dated 14/05/2013
Approved 22/05/2013 CMG
Effective date 01/06/2013

Karen Bowman, Director of Procurement, 14 May 2013

The University Court

24 June 2013

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 10 June 2013 covering items other than the CMG report. Detailed papers not included in the appendices are available at:
https://www.wiki.ed.ac.uk/display/UCC/Finance+and+General+Purposes+Committee

Action requested

The Court is invited to approve the Strategic Plan Forecast 2013 at item 8 and the proposals to take forward the Holyrood Development at item 10 and to 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 4-12

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

Originator of the paper

Dr Katherine Novosel
June 2013

University Court, Meeting on 24 June 2013

Report of the Finance and General Purposes Committee
10 June 2013
(Report on Other Items)

|		
1	**SUMMARY RESEARCH AND COMMERCIALISATION REPORT FOR 9 MONTHS TO 30 APRIL 2013**	**Appendix 1**

The information on applications and awards by volume and value was noted and it was confirmed that the College of Science and Engineering was taking action to improve its position going forward. The Committee further noted the University's reliance on Research Councils' and it was confirmed that ERI had been asked to increase support to enable diversification of the current sponsor mix with an emphasis on identifying commercial sector sponsors and opportunities within the EU and taking a more strategic approach to engagement with the charity sector.

2	**STRATEGIC PLAN 2008-2012 TARGETS – UPDATE TO THE FINAL PROGRESS REPORT**	**Appendix 2**

It was noted that it had not been possible to confirm the final position in respect of three targets as data had not been available at the time of drafting the previous report. The Committee noted that two of the targets had been met and that the final target had been partially met. There had been significant developments in promoting equality, diversity, sustainability and social responsibility and that this challenging agenda would be taken forward by the new Strategic Plan.

3	**REVIEW OF FORMAT OF THE UNIVERSITY'S FINANCIAL STATEMENTS**	**Appendix 3**

The review of the format and content of the Annual Accounts was noted and the approach being taken forward by the working group was endorsed by the Committee including widening the current information on key corporate Committees.

University of Edinburgh

Research and Commercialisation KPI's
## 9 months to 30 April 2013
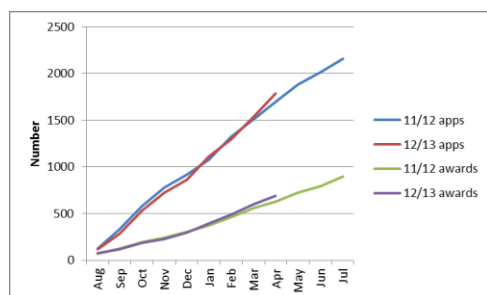
Applications and awards - volume
The number of applications to date is **5%** higher than at the same time last year at **1,787**.

The number of award letters received is **11%** higher than at the same time last year at **692**.
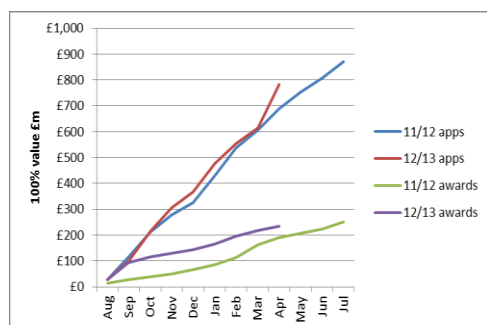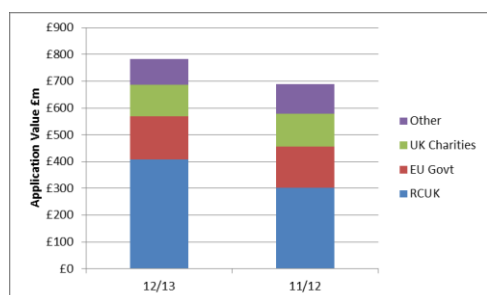

Applications and awards - value
The value of applications to date is **14%** higher than at the same time last year at **£784m**.

The 100% value of award received is **22%** higher than at the same time last year at **£233m.** These figures include a single award from the MRC in September 2012 of **£59.7m** for the Quinquennial review of the Human Genetics Unit (HGU).
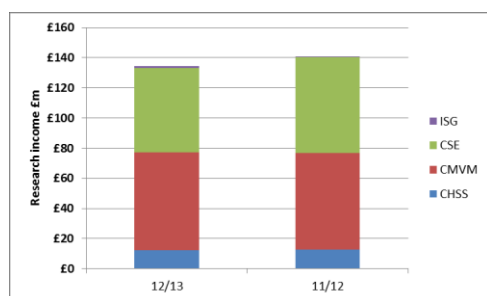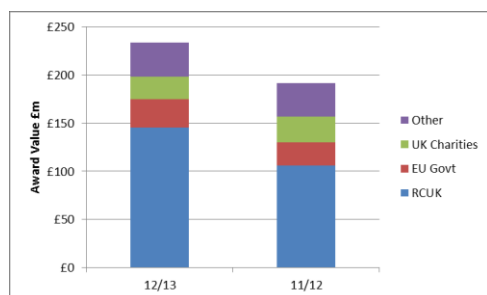

Research income
Research income for the year to date is £**134m**, down **5%** from the same period last year.

Sponsor mix - applications
Applications to RCUK and EU government are up by **35%** and **4%** respectively, compared to last year. Applications to UK Charities and other sources were down by **2%** and **13%** respectively.

Sponsor mix - awards
Awards from RCUK, EU government and other sources are up by **37%, 23%** and **1%** respectively, compared to last year. Awards from UK Charities were down by **13%**

	Apr 12	Apr 11	Apr 10
UOE	40%	36%	31%
CSE	43%	39%	34%
CMVM	42%	36%	28%
CHSS	33%	30%	29%

Application success rates
The average success rates of applications made over a twelve month period to 30 April 2012 for the University as a whole was **40%**.
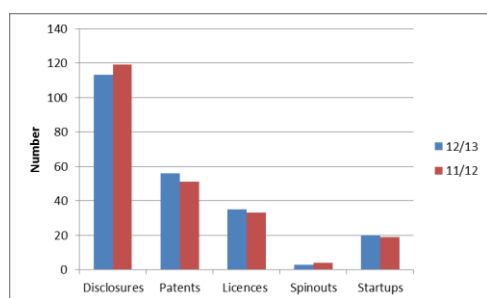
Commercialisation activity
Patents filed (**56**), revenue bearing licences signed (**35**), and total number of companies created (**23**) all show an increase compared to last year.
Disclosure interviews (**113**) are down by **5%** compared to last year.
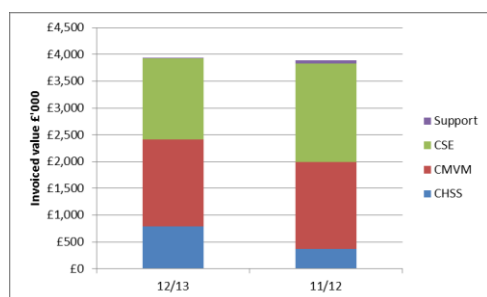
Consultancy (processed through ERI)
Consultancy processed though ERI is up by **1%** compared to this time last year at **£3.9m**. CHSS have increased their activity by **115%,** CMVM is at same level as last year, while activity in CSE and the Support services has fallen by **18%** and **85%** respectively.

Research review

This review is intended to complement the April edition of ERI's monthly Research and Commercialisation KPIs by providing further commentary, where required.

Applications and awards

On track to exceed last year's awards total of £250m

With a further 3 months to go, we are on track to comfortably exceed last year's awards total of £250m; the gap of £17.4m equates to around £3.5m *less* than last year's monthly average.

CHSS awards up by 36%

Particularly of note is activity within the College of Humanities and Social Science, recording application values 20% ahead of the same period last year and awards 36% up.

CSE awards down by 34% due to fewer large awards

Fewer very large awards have been received by the College of Science and Engineering so far this year resulting in a 34% decline on Q3 2011/12. Last year, Engineering secured £12.6m from EPSRC for the UK Carbon Capture and Storage Research Centre, with Physics securing no less than three awards of £6m plus, including one of £10m, again from EPSRC, for ARCHER (advanced computing facility).

Research income

Research income down by 5% - impact of lower awards in previous years

Despite excellent awards performance last year and for the year to date, research income is down 5%, a legacy from the financial crisis years of 2009/10 and 2010/11 which saw Edinburgh's awards plummet. This negative variance will gradually revert to positive over the course of the next few quarters.

Sponsor mix

Reliance on RCUK

With Research Council awards of £145m received so far this year, last year's whole-year figure has now been exceeded by over £10m. A very high 62% of Edinburgh's award value now comes from the seven research councils, significantly higher than the 52% 'share' of last year. It is recognised that, in preparation for a comprehensive spending review following the next General Election (where there is likely to be more pressure on the Science budget), Edinburgh needs to do more to broaden its funder portfolio.

We need to broaden the mix of our funder portfolio

EU activity starting to slow as Framework 7 calls closing

After Research Councils, the EU will be the second largest source of funds this year, some 23% up on the same period last year, but application activity is now starting to slow as all Calls for Framework 7 have now closed. Application activity for 2013/14 will be modest, as opportunities to bid for Horizon 2020 monies will not start to appear until well into Quarter 3.

Charities starting to recover

There are some signs that charity funding is starting to recover. In our Q2 report, charity awards were 26% down (by value) on the previous year; the position has now improved to -13%, with a challenging £10.7m still required to match last year's whole-year figure.

ERI is currently developing initiatives to raise the profile of both EU and Charity funders.

Success rates

UOE Application success rate now 40%

ERI's success rate tracking shows that the that the success rate for applications made over a twelve month period to 30 April 2012 was, for the University as a whole, 40%. We are able to point to evidence of success of the College of Humanities and Social Science's internal peer review policy, indicating an average 3% increase in success rate since the policy was introduced in December 2011.

Holding our place in the top 5

Recently received half-yearly data from the Brunswick Group shows that Edinburgh is continuing to hold its place inside the top 5 UK university recipients of research awards by value, possibly gaining ground on UCL.

Research development activities

Capacity Building

Building a Research Profile events

In association with the Institute for Academic Development, Edinburgh Research and Innovation (ERI) has substantially revamped its 2-day PG Certificate module, *Building a Research Profile*. Feedback from Day 1 has been excellent, with Day 2 taking place in June. The course covers all aspects of planning a research and Knowledge Exchange profile and fits well with ERI's core business activity.

Two further courses have been developed to complement *Building a Research Profile*, *Writing Project Proposals* and *Know Your Funder*. ERI has continued to be involved in the Chancellors Fellows programme and participated in a number of School events and initiatives.

Funder awareness

Leverhulme Trust awareness raising for CSE

As part of our programme to raise awareness of charity funding, we have carried out an analysis of the Leverhulme Trust's grant giving activity, comparing Edinburgh's performance with other Russell Group comparators. While Humanities and Social Science subject areas perform well, Science and Engineering is punching below its weight, resulting in an awareness raising exercise currently under way in the College.

Preparation for Horizon 2020 continues	There has been much preparatory activity surrounding the new EU Horizon 2020 programme, with Edinburgh taking a more prominent role leading discussions with the Scottish Government and Scottish Enterprise. Our Manager-Europe continues to be an active member of the League of European Research Universities (LERU) and a Board member of UKRO. Late summer will see the onset of a number of awareness-raising and networking events as more information from Brussels emerges.
Visits from Royal Society and ESRC	This quarter has seen visits from The Royal Society and ESRC. ESRC has been a priority funder for ERI this past year with a number of seminars and workshops taking place to raise awareness of specific programmes. A visit from Arthritis UK is being planned for the early autumn.
Enhanced Research Professional service	The University has now taken delivery of an enhanced version of its news and funder information service, *Research Professional* and ERI will be organising a summer promotional campaign highlighting its new functionality.

Project management

Co-ordinated Edinburgh proposal for Leverhulme Trust	In partnership with the College of Science and Engineering, ERI will be facilitating an initiative to identify and formulate an Edinburgh proposal for the Leverhulme Trust's 2013 Research Programme Grants call.

Hamish MacAndrew
Ian Lamb

Edinburgh Research and Innovation Limited
3 June 2013

EDINBURGH RESEARCH AND INNOVATION LIMITED
RESEARCH AND COMMERCIALISATION REPORT
FOR THE 9 MONTHS TO 30 APRIL 2013

TABLE 1
RESEARCH APPLICATIONS, AWARDS AND INCOME BY COLLEGE

RESEARCH ACTIVITY	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
All Research Applications - number							
CHSS	55	541	44	460	578	25%	18%
CMVM	94	634	82	625	814	15%	1%
CS&E	99	603	58	604	758	71%	(0%)
Support Services (ISG etc)	3	9	3	6	8	0%	50%
Total - number	**251**	**1,787**	**187**	**1,695**	**2,158**	**34%**	**5%**
All Research Applications - value - 100% PROJECT VALUE							
CHSS	11,561	113,780	7,873	94,467	121,134	47%	20%
CMVM	48,752	294,327	44,567	274,689	358,222	9%	7%
CS&E	109,308	373,668	28,572	316,697	388,840	283%	18%
Support Services (ISG etc)	96	1,965	170	2,301	2,356	(44%)	(15%)
Total - value £'000	**169,717**	**783,740**	**81,182**	**688,154**	**870,552**	**109%**	**14%**
All Research Awards - number							
(a) Number of awards/contracts received (Note 1)							
CHSS	17	171	20	139	204	(15%)	23%
CMVM	41	280	16	236	339	156%	19%
CS&E	30	232	30	247	349	0%	(6%)
Support Services (ISG etc)	2	9	-	3	5	-	200%
Total - number	**90**	**692**	**66**	**625**	**897**	**36%**	**11%**
(b) Awarded to Constituent parties (Note 2)							
CHSS	18	195	21	168	240	(14%)	16%
CMVM	46	325	71	370	494	(35%)	(12%)
CS&E	42	304	33	298	426	27%	2%
Support Services (ISG etc)	2	10	-	4	6	-	150%
Total - number	**108**	**834**	**125**	**840**	**1,166**	**(14%)**	**(1%)**
All Research Awards - value - 100% PROJECT VALUE							
CHSS	760	17,979	1,502	13,268	22,818	(49%)	36%
CMVM	8,015	142,219	8,383	71,623	93,249	(4%)	99%
CS&E	6,393	69,735	18,493	106,306	134,096	(65%)	(34%)
Support Services (ISG etc)	58	3,228	-	272	341	-	1087%
Total - value £'000	**15,226**	**233,161**	**28,378**	**191,469**	**250,504**	**(46%)**	**22%**
All Research Awards - value - SPONSOR CONTRIBUTION							
CHSS	756	15,222	1,477	11,861	20,848	(49%)	28%
CMVM	6,720	132,966	8,119	63,758	82,663	(17%)	109%
CS&E	5,689	59,269	17,035	93,503	117,957	(67%)	(37%)
Support Services (ISG etc)	58	2,726	-	270	339	-	910%
Total - value £'000	**13,223**	**210,183**	**26,631**	**169,392**	**221,807**	**(50%)**	**24%**
Research Income £'000							
CHSS	1,311	12,349	1,590	12,686	16,031	(18%)	(3%)
CMVM	8,110	64,977	6,806	64,170	90,823	19%	1%
CS&E	6,833	55,675	6,957	63,553	85,268	(2%)	(12%)
Support Services (ISG etc)	212	1,371	100	597	997	112%	130%
Total - value £'000	**16,466**	**134,372**	**15,453**	**141,006**	**193,119**	**7%**	**(5%)**

Note 1: denotes the number of research award letters/contracts received, where there is a one-to-one mapping of that award letter/contract to the original application submitted

Note 2: denotes the number of constituent parts of research awards/contracts received, where a constituent comprises a School or Research Centre share of the award budget. Some large projects, for example, may have a number of investigators, each with a share of the budget, in which case this dataset recognises, and therefore counts, each of these constituents as a separate item.

All data is presented with reference to the University Financial Year starting on 1 August.
"YTD" = Year to date

EDINBURGH RESEARCH AND INNOVATION LIMITED
RESEARCH AND COMMERCIALISATION REPORT
FOR THE 9 MONTHS TO 30 APRIL 2013

TABLE 2
RESEARCH APPLICATIONS AND AWARDS BY FUNDING SOURCE 100% PROJECT VALUE

APPLICATIONS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
EU - Government	20	12,353	237	159,809	17	11,833	181	153,670	208	163,683	31%	4%
EU - Industry	2	264	6	635	-	-	5	397	8	1,280	20%	60%
EU - Other	6	1,174	16	2,425	-	-	14	1,331	28	4,319	14%	82%
Overseas - Charities	1	31	24	4,558	5	1,249	22	3,016	27	4,328	9%	51%
Overseas - Government	2	408	12	3,121	-	-	20	2,235	22	2,558	(40%)	40%
Overseas - Industry	1	32	14	603	2	5	11	355	13	441	27%	70%
Overseas - Other	1	764	12	2,287	-	-	8	3,191	11	3,952	50%	(28%)
Overseas - Universities etc.	-	-	7	854	1	54	6	576	11	712	17%	48%
UK - Charity	49	9,451	540	119,014	37	8,231	484	121,580	615	160,479	12%	(2%)
UK - Government	42	6,622	136	41,063	55	7,376	241	45,692	291	66,316	(44%)	(10%)
UK - Health Authorities	5	903	22	9,364	6	3,085	26	30,082	35	34,265	(15%)	(69%)
UK - Industry	17	812	80	7,286	3	168	60	3,801	85	7,750	33%	92%
UK - Research Council	82	131,558	532	408,604	49	47,733	508	302,291	620	388,327	5%	35%
UK - Universities etc.	23	5,345	149	24,117	12	1,448	109	19,937	184	32,142	37%	21%
	251	**169,717**	**1,787**	**783,740**	**187**	**81,182**	**1,695**	**688,154**	**2,158**	**870,552**	**5%**	**14%**

AWARDS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
EU - Government	5	642	63	29,658	3	1,824	58	24,036	74	31,726	9%	23%
EU - Industry	-	2	2	507	-	-	5	357	7	874	(60%)	42%
EU - Other	2	197	7	376	-	-	2	83	4	449	250%	353%
Overseas - Charities	1	14	8	523	2	13	9	1,014	10	1,068	(11%)	(48%)
Overseas - Government	2	384	6	993	-	15	12	1,303	13	1,504	(50%)	(24%)
Overseas - Industry	-	-	9	405	2	5	10	483	12	612	(10%)	(16%)
Overseas - Other	1	764	3	1,155	-	-	7	567	10	1,046	(57%)	104%
Overseas - Universities etc.	1	12	6	577	-	-	5	433	9	496	20%	33%
UK - Charity	31	1,492	199	23,036	21	2,405	161	26,388	257	33,773	24%	(13%)
UK - Government	9	1,454	61	9,115	9	945	77	13,737	95	16,127	(21%)	(34%)
UK - Health Authorities	-	-	7	2,631	1	63	6	2,936	13	5,993	17%	(10%)
UK - Industry	9	546	71	5,331	2	247	56	5,598	77	6,437	27%	(5%)
UK - Research Council	15	6,958	174	145,183	18	19,761	155	106,091	215	135,045	12%	37%
UK - Universities etc.	14	2,761	76	13,671	8	3,100	62	8,443	101	15,354	23%	62%
	90	**15,226**	**692**	**233,161**	**66**	**28,378**	**625**	**191,469**	**897**	**250,504**	**11%**	**22%**

Note: The award numbers in this table now reflect our new dataset, the Number of Awards/contracts received (see Table 1, footnote 1).

TABLE 3
RESEARCH APPLICATIONS AND AWARDS BY SCHOOL (100% PROJECT VALUE)

APPLICATIONS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
Business School	1	7	25	2,298	2	3	15	1,537	20	6,816	67%	50%
College General	-	-	-	-	-	-	-	-	1	6		
Divinity	1	5	25	7,514	-	-	22	3,895	24	4,229	14%	93%
Economics	1	290	10	2,742	-	-	1	21	1	21	900%	12957%
Edinburgh College of Art	4	406	74	9,896	3	9	63	6,941	86	10,727	17%	43%
Health in Social Science	4	396	40	9,221	3	330	27	5,691	32	6,257	48%	62%
History, Classics And Archaeology	5	161	64	6,280	7	499	46	4,349	57	6,203	39%	44%
Law	3	154	28	5,928	-	-	31	15,368	42	16,809	(10%)	(61%)
Literatures, Languages and Cultures	4	150	55	12,106	7	2,093	50	7,197	57	7,951	10%	68%
Moray House School of Education	9	922	61	6,191	4	146	40	4,343	46	11,239	53%	43%
Philosophy, Psychology and Language Sciences	10	6,683	69	26,072	10	2,288	70	20,714	90	23,500	(1%)	26%
Social and Political Science	13	2,387	90	25,532	8	2,505	95	24,411	122	27,376	(5%)	5%
TOTAL CHSS	**55**	**11,561**	**541**	**113,780**	**44**	**7,873**	**460**	**94,467**	**578**	**121,134**	**18%**	**20%**
Biomedical Sciences	15	2,172	83	28,376	10	2,303	69	21,308	91	26,125	20%	33%
Clinical Sciences	35	16,051	254	124,968	38	21,278	279	130,440	381	174,778	(9%)	(4%)
College General	1		1	1	-	-	-	-				
Molecular, Genetic and Population Health Sciences	27	13,767	164	76,268	20	14,000	171	91,032	211	117,433	(4%)	(16%)
Royal (Dick) School of Veterinary Studies	16	16,761	132	64,714	14	6,986	106	31,909	131	39,886	25%	103%
TOTAL CMVM	**94**	**48,752**	**634**	**294,327**	**82**	**44,567**	**625**	**274,689**	**814**	**358,222**	**1%**	**7%**
Biological Sciences	16	8,128	147	87,934	15	4,056	139	81,985	165	89,642	6%	7%
Chemistry	19	19,921	78	57,393	4	3,884	51	26,669	67	31,426	53%	115%
College General	-	-	2	17,970	-	-	3	1,469	5	4,066	(33%)	1123%
Engineering	25	20,484	96	49,320	11	1,785	106	56,383	139	77,483	(9%)	(13%)
Geosciences	10	1,188	80	27,332	6	232	105	32,841	138	44,696	(24%)	(17%)
Informatics	17	42,100	92	76,300	15	6,760	87	38,060	111	56,286	6%	100%
Mathematics	2	4,969	18	11,436	2	232	25	10,764	29	11,522	(28%)	6%
Physics	10	12,518	90	45,983	5	11,623	88	68,526	104	73,719	2%	(33%)
TOTAL CSE	**99**	**109,308**	**603**	**373,668**	**58**	**28,572**	**604**	**316,697**	**758**	**388,840**	**(0%)**	**18%**
Support Services	**3**	**96**	**9**	**1,965**	**3**	**170**	**6**	**2,301**	**8**	**2,356**	**50%**	**(15%)**
Grand Total	**251**	**169,717**	**1,787**	**783,740**	**187**	**81,182**	**1,695**	**688,154**	**2,158**	**870,552**	**5%**	**14%**

AWARDS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
Business School	-	-	8	362	1	18	6	62	8	65	33%	484%
College General	-	-	-	-	-	-	-	-				
Divinity	1	50	5	249	1	22	2	72	6	402	150%	246%
Economics	-	-	3	885	-	-	1	70	1	70	200%	1164%
Edinburgh College of Art	1	6	29	998	4	16	33	3,684	45	5,336	(12%)	(73%)
Health in Social Science	1	2	10	413	-	-	7	499	10	1,048	43%	(17%)
History, Classics And Archaeology	1	19	18	1,311	3	1,098	21	2,542	24	2,643	(14%)	(48%)
Law	2	101	12	3,307	1	15	13	235	18	577	(8%)	1307%
Literatures, Languages and Cultures	1	5	20	494	2	10	14	1,529	21	1,732	43%	(68%)
Moray House School of Education	2	24	23	1,646	2	26	19	2,194	24	2,441	21%	(25%)
Philosophy, Psychology and Language Sciences	4	226	22	1,920	2	35	12	201	24	1,285	83%	855%
Social and Political Science	5	327	45	6,394	5	262	40	2,180	59	7,219	13%	193%
TOTAL CHSS	**18**	**760**	**195**	**17,979**	**21**	**1,502**	**168**	**13,268**	**240**	**22,818**	**16%**	**36%**
Biomedical Sciences	14	1,809	42	8,697	4	434	25	4,997	42	6,738	68%	74%
Clinical Sciences	12	3,885	129	38,347	6	1,114	122	31,009	171	37,075	6%	24%
College General												
Molecular, Genetic and Population Health Sciences	14	2,029	85	75,931	58	6,237	172	29,769	204	40,858	(51%)	155%
Royal (Dick) School of Veterinary Studies	6	292	69	19,244	3	598	51	5,848	77	8,578	35%	229%
TOTAL CMVM	**46**	**8,015**	**325**	**142,219**	**71**	**8,383**	**370**	**71,623**	**494**	**93,249**	**(12%)**	**99%**
Biological Sciences	11	2,062	54	17,040	8	1,679	66	22,095	97	27,958	(18%)	(23%)
Chemistry	1	15	29	4,370	3	258	18	1,731	29	3,057	61%	152%
College General	-	-	-	-	-	-	3	1,469	5	4,064	(100%)	(100%)
Engineering	5	602	50	11,412	7	4,207	54	24,752	72	28,006	(7%)	(54%)
Geosciences	11	908	62	10,390	6	330	63	10,299	95	14,056	(2%)	1%
Informatics	8	2,132	42	9,790	5	582	50	8,000	68	15,777	(16%)	22%
Mathematics	1	57	12	2,789	-	-	6	737	9	1,392	100%	278%
Physics	5	617	55	13,944	4	11,437	38	37,223	51	39,786	45%	(63%)
TOTAL CSE	**42**	**6,393**	**304**	**69,735**	**33**	**18,493**	**298**	**106,306**	**426**	**134,096**	**2%**	**(34%)**
Support Services	**2**	**58**	**10**	**3,228**			**4**	**272**	**6**	**341**	**150%**	**1087%**
Grand Total	**108**	**15,226**	**834**	**233,161**	**125**	**28,378**	**840**	**191,469**	**1,166**	**250,504**	**(1%)**	**22%**

Note: The award numbers in this table detail those awarded to constituent parties (see Table 1, footnote 2).

TABLE 4
COMMERCIALISATION ACTIVITY

	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
Disclosure Interviews							
CHSS	-	2	-	3	3	-	(33%)
CMVM	5	52	3	64	129	67%	(19%)
CS&E	27	59	14	52	67	93%	13%
Total - number	32	113	17	119	199	88%	(5%)
Patents filed on Technologies - by College							
CHSS	-	-	-	-	-	-	-
CMVM	2	22	3	19	26	(33%)	16%
CS&E	-	34	6	32	36	(100%)	6%
Total - number	2	56	9	51	62	(78%)	10%
Patents filed on Technologies - by Type of filing							
Priority Filings	-	24	3	16	19	(100%)	50%
PCT Filings	1	15	2	11	15	(50%)	36%
Other/National Filings	1	17	4	24	28	(75%)	(29%)
Total - number	2	56	9	51	62	(78%)	10%
Licences signed (excluding non revenue bearing licences)							
CHSS	-	3	-	4	5	-	(25%)
CMVM	1	15	-	14	20		7%
CS&E	1	17	2	15	26	(50%)	13%
Total - number	2	35	2	33	51	0%	6%
Spin-out companies created							
- Number	-	3	-	4	4	-	(25%)
Start-up companies created							
- Number	-	20	3	19	31	(100%)	5%

TABLE 5
CONSULTANCY

	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
By Business Type - Invoiced value £'000							
Scotland - Commerce	44	834	68	581	914	(35%)	44%
Scotland - Government	98	625	15	418	532	553%	50%
Rest of UK - Commerce	178	994	93	1,078	1,329	91%	(8%)
Rest of UK - Government	22	277	37	177	330	(41%)	56%
International - Commerce	83	1,084	181	1,449	1,794	(54%)	(25%)
International - Government	2	126	-	185	232	-	(32%)
Total - value £'000	427	3,940	394	3,888	5,131	8%	1%
By College - Invoiced value £'000							
CHSS	46	796	3	371	536	1433%	115%
CMVM	229	1,618	164	1,618	2,080	40%	0%
CS&E	151	1,518	227	1,845	2,455	(33%)	(18%)
Support Services (CSG, ISG etc)	1	8	-	54	60	-	(85%)
Total - value £'000	427	3,940	394	3,888	5,131	8%	1%

	-	-	-	-	-

SFC OUTCOME AGREEMENT 2012/13
OUTCOME 1 TARGETS

(1) Sign at least 65 licences in 2012/13
(2) Achieve at least 120 new companies over the period of the Strategic Plan 2012-2016
(3) Grow our consultancy income by 5% per annum

TABLE 6
CONSULTANCY INCOME BY SCHOOL

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	YTD	Month	YTD	Full Year	Variance
	Value £	Value £	Value £	Value £	Value £	%
Business School	14,534	218,040	(7,500)	36,100	114,108	504%
College General	-	25,370	-	-	6,390	-
Divinity	-	11,751	-	3,700	4,050	218%
Economics	-	-	-	7,250	7,250	(100%)
Edinburgh College of Art	6,250	42,551	-	20,339	32,590	109%
Health in Social Science	9,813	44,075	9,447	43,809	44,412	1%
History, Classics And Archaeology	-	-	-	300	300	(100%)
Law	6,000	29,610	-	18,626	19,113	59%
Literatures, Languages and Cultures	-	5,043	(900)	3,061	3,061	65%
Moray House School of Education	4,808	174,384	1,653	160,097	192,714	9%
Philosophy, Psychology and Language Sciences	-	17,232	-	12,872	21,710	34%
Social and Political Science	4,345	228,028	154	65,254	90,780	249%
TOTAL CHSS	**45,749**	**796,084**	**2,854**	**371,408**	**536,479**	**114%**
Biomedical Sciences	13,200	365,062	25,180	305,743	455,670	19%
Clinical Sciences	156,493	423,631	34,146	329,503	422,796	29%
Molecular, Genetic and Population Health Sciences	47,757	609,843	84,684	918,377	1,094,643	(34%)
Royal (Dick) School of Veterinary Studies	848	80,198	14,046	50,423	86,550	59%
College Central	11,817	139,463	5,500	14,400	19,900	868%
TOTAL CMVM	**230,115**	**1,618,197**	**163,556**	**1,618,445**	**2,079,559**	**(0%)**
Biological Sciences	3,280	109,825	6,000	292,094	372,841	(62%)
Chemistry	27,849	200,525	76,682	211,825	207,639	(5%)
Engineering	25,586	178,147	17,390	182,382	315,594	(2%)
Geosciences	54,924	624,719	45,598	493,497	762,562	27%
Informatics	36,530	189,482	81,395	454,002	530,225	(58%)
Mathematics	-	4,044	-	7,801	11,461	(48%)
Physics	2,850	155,383	-	202,184	214,804	(23%)
College Central	-	55,319	-	-	39,969	-
TOTAL CSE	**151,019**	**1,517,443**	**227,065**	**1,843,785**	**2,455,094**	**(18%)**
Support Services	500	8,285	-	54,172	60,321	**(85%)**
Grand Total	**427,384**	**3,940,009**	**393,475**	**3,887,810**	**5,131,453**	**1%**
	-	-	-	-	-	

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TABLE 7
DISCLOSURE INTERVIEWS BY SCHOOL

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	YTD	Month	YTD	Full Year	Variance
	No	No	No	No	No	%
Business School	-	-	-	-	-	-
College General	-	-	-	-	-	-
Divinity	-	-	-	-	-	-
Economics	-	-	-	-	-	-
Edinburgh College of Art	-	2	-	-	-	-
Health in Social Science	-	-	-	1	1	(100%)
History, Classics And Archaeology	-	-	-	-	-	-
Law	-	-	-	-	-	-
Literatures, Languages and Cultures	-	-	-	-	-	-
Moray House School of Education	-	-	-	1	1	(100%)
Philosophy, Psychology and Language Sciences	-	-	-	1	1	(100%)
Social and Political Science	-	-	-	-	-	-
TOTAL CHSS	**-**	**2**	**-**	**3**	**3**	**(33%)**
	-	-	-	-	-	
Biomedical Sciences		1	1	9	10	(89%)
Clinical Sciences	2	22		35	87	(37%)
Molecular, Genetic and Population Health Sciences	1	13	1	2	5	550%
Royal (Dick) School of Veterinary Studies	2	16	1	18	27	(11%)
College Central		-			-	
TOTAL CMVM	**5**	**52**	**3**	**64**	**129**	**(19%)**
	-	-	-	-	-	
Biological Sciences	2	11	1	11	15	0%
Chemistry	20	26	3	8	7	225%
Engineering	2	11	10	23	29	(52%)
Geosciences	3	9		2	7	350%
Informatics		1		8	8	(88%)
Mathematics		-		-	-	-
Physics		1		-	1	-
College Central		-		-	-	
TOTAL CSE	**27**	**59**	**14**	**52**	**67**	**13%**
	-	-	-	-	-	-
Support Services	-	-	-	-	-	-
Grand Total	**32**	**113**	**17**	**119**	**199**	**(5%)**
	-	-	-	-	-	

13/05/2013 10:40

EDINBURGH RESEARCH AND INNOVATION LIMITED
RESEARCH AND COMMERCIALISATION REPORT
FOR THE 9 MONTHS TO 30 APRIL 2013

TABLE 8
PATENT FILINGS BY SCHOOL

	CURRENT YEAR								PREVIOUS YEAR												YTD
	Month				YTD				Month				YTD				FULL YEAR				Variance
	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	%
Business School				-				-				-				-				-	-
Divinity				-				-				-				-				-	-
Economics				-				-				-				-				-	-
Edinburgh College of Art				-				-				-				-				-	-
Health in Social Science				-				-				-				-				-	-
History, Classics And Archaeology				-				-				-				-				-	-
Law				-				-				-				-				-	-
Literatures, Languages and Cultures				-				-				-				-				-	-
Moray House School of Education				-				-				-				-				-	-
Philosophy, Psychology and Language Sciences				-				-				-				-				-	-
Social and Political Science				-				-				-				-				-	-
TOTAL CHSS	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Biomedical Sciences				-	1		1	2			2	2	1	1	4	6	1	1	4	6	(67%)
Clinical Sciences	1			1	5	3	3	11					1	1	4	6	1	1	5	7	83%
Molecular, Genetic and Population Health Sciences			1	1			1	1							1	1			2	2	0%
Royal (Dick) School of Veterinary Studies				-	5	1	2	8			1	1	2	2	2	6	4	4	3	11	33%
TOTAL CMVM	-	1	1	2	11	4	7	22	-	-	3	3	4	4	11	19	6	6	14	26	16%
Biological Sciences				-		2	1	3					3	3	3	9	3	3	3	9	(67%)
Chemistry				-	2	5	1	8	1	1		2	5	1	5	11	6	3	5	14	(27%)
Engineering				-	9	3	6	18	2	1	1	4	4	3	3	10	4	3	4	11	80%
Geosciences				-			1	1							1	1			1	1	0%
Informatics				-	2	1	1	4								-				-	#DIV/0!
Mathematics				-				-								-				-	-
Physics				-				-						1		1			1	1	1
TOTAL CSE	-	-	-	-	13	11	10	34	3	2	1	6	12	7	13	32	13	9	14	36	6%
Support Services				-				-	-	-	-	-	-	-	-	-				-	-
Grand Total	-	1	1	2	24	15	17	56	3	2	4	9	16	11	24	51	19	15	28	62	10%

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TABLE 9
LICENCES SIGNED BY SCHOOL (excluding non revenue bearing licences)

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	**YTD**	**Month**	**YTD**	**Full Year**	**Variance**
	No	**No**	**No**	**No**	**No**	**%**
Business School						-
Divinity						-
Economics						-
Edinburgh College of Art						-
Health in Social Science				1	1	(100%)
History, Classics And Archaeology						-
Law						-
Literatures, Languages and Cultures				1	1	(100%)
Moray House School of Education		3		2	3	50%
Philosophy, Psychology and Language Sciences						-
Social and Political Science						-
TOTAL CHSS	**-**	**3**	**-**	**4**	**5**	**(25%)**
Biomedical Sciences				1	1	(100%)
Clinical Sciences		3		1	2	200%
Molecular, Genetic and Population Health Sciences		5		10	12	(50%)
Royal (Dick) School of Veterinary Studies	1	7		2	5	250%
TOTAL CMVM	**1**	**15**	**-**	**14**	**20**	**7%**
Biological Sciences		4	2	4	8	0%
Chemistry	1	4		4	7	0%
Engineering		3		5	6	(40%)
Geosciences		-			1	-
Informatics		5		2	4	150%
Mathematics						-
Physics		1				-
TOTAL CSE	**1**	**17**	**2**	**15**	**26**	**13%**
Support Services	-		-			-
Grand Total	**2**	**35**	**2**	**33**	**51**	**6%**
	-	-	-	-	-	

13/05/2013 10:40

THE UNIVERSITY *of* EDINBURGH

GOVERNANCE AND STRATEGIC PLANNING

Strategic Plan 2008-2012 Targets – Update to the Final Progress Report
May 2013

1. Summary

In October 2012 a final report on progress against the targets within the Strategic Plan was produced. Out of 33 targets, 27 targets were met, partially met or on track (as the data was not available). 5 targets were not met and for one target further work was required. This report provides an update on the three targets where data is now available for the final year of the Strategic Plan. This report identifies that these targets were either fully or partially achieved.

Target		Progress to date	Achievement Status
Excellence in research			
2.2	Increase our headcount of research postgraduate students at a greater rate than the Russell Group average	• Our headcount of research postgraduate students in 2011-12 was 3,155, which was 21.3% higher than the baseline year 2007/08. • In 2011/12 four new Universities joined the Russell Group. The average headcount of research postgraduate students for both new and old Russell Groups was 14.0% higher than in 2007/08. The University's rate of growth (21.3% from 2007/08) in postgraduate research students was therefore greater than the Russell Group's average rate.	MET
Advancing internationalisation			
8.3	increase the value of our research grant income from EU and other overseas sources so that we remain above the median of the Russell Group	• In 2011/12 the value of our research grant income from EU and other overseas sources was £25.4 million. This has grown over the Strategic Plan period and represents a 46% increase from 2007/08. • The value of the University's research grant income from EU and other overseas sources in 2011/12	MET

Target		Progress to date	Achievement Status
		exceeded the median of both the new Russell Group and the old Russell Group. In 2011/12 our EU & overseas research income was £6.9million above the new Russell Group median and £4.9million above the old Russell Group median.	
Promoting equality, diversity, sustainability and social responsibility			
10.1	converge on our participation benchmarks for under-represented groups	• For the proportion of young entrants domiciled in the UK from state schools or colleges, our performance in 2011-12 was 70.3% compared with the benchmark[1] of 77.9% , representing a difference between our performance and our sector benchmark of 7.6 percentage points. In comparison to the baseline of 2007/08 where the difference between our performance and the benchmark was 10.3 percentage points, the 2011/12 figures represent a convergence of 3.3 percentage points. During this period, our competitors' benchmark has generally decreased. • For the proportion of young, full-time first degree entrants from low social classes, our performance in 2011/12 was 16.5% compared with a benchmark of 20.7%, representing a difference of 4.2 percentage points. In comparison to the baseline of 2007/08 where the difference between our performance and the benchmark was 3.6 percentage points, the figures represent an increased divergence of 0.8 percentage points. During this period, our competitor's benchmark has generally decreased. In recognition of the need to continue to monitor performance in this area this target has been carried over into the 2012-2016 Strategic Plan.	PARTIALLY MET

Tracey Slaven/Deborah Cook
Governance and Strategic Planning
30 May 2013

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[1] The Higher Education Statistical Agency's benchmark details the values that might be expected for an institution's indicator, taking on board certain factors such as the range of subjects offered and entry qualifications of students.

"Cutting the Clutter" or improving the presentation of the University's Financial Statements

Background

The format and presentation of the financial statements is being reviewed with the aim of bettering the layout and content in order to improve readability and impact. The review will include online and print/PDF presentations.

The current format is a product of

- evolution over time;
- the Scottish Funding Council requirements which are articulated in the annual accounts direction and specific guidance e.g. Operating and Finance Review guidelines, Corporate Governance reporting;
- British University's Directors of Finance Group which offers guidance on financial reporting, produces model financial statements for the HE SORP and resources available to the University.

A small working group has been set up to review the presentation of the Financial Statements and includes external membership from ICAS and KPMG working with colleagues from the Finance Department, Communications and Marketing and Information Services. By way of background information Appendix A contains links to sector and best practice guidance and examples of good practice publications and websites.

What next?

The proposed format and content changes will be phased in over the next two financial reporting cycles. Appendix B outlines the tasks in more detail and key activities are noted below.

- Review the format with a view to developing a 'best practice' shell for the front half of the 2013 Annual Report considering both Higher Education and broader public and private sector best practice;
- Develop the online presentation of financial information
- Improve the style and layout of the printed/PDF presentation of the Financial Statements.
- Develop summary statement of activities for key committees for inclusion in the financial statements. The Remuneration Committee has asked that the 12/13 Financial Statements include a summary statement of activities undertaken during the year including strategy and policy development together with changes to the staff cost disclosures. This will be developed for other key university committees.

Action Requested

F&GPC is asked to agree the proposed approach and the inclusion of a summary statements from committees within the Financial Statements.

Bibliography.

This bibliography is only for those interested in reading further and that it is not essential reading to understand the paper.

- SFC Financial Memorandum
  http://www.sfc.ac.uk/guidance/GovernanceGuidance/FinancialMemorandum/mandatory_requirements.aspx
- SFC Accounts Direction Guidance
  http://www.sfc.ac.uk/guidance/GovernanceGuidance/FinancialSustainability/FinancialSustainabilityGuidance.aspx
- HEFCE Accounts Direction Guidance
  http://www.hefce.ac.uk/pubs/year/2012/cl212012/name,75024,en.html
- Financial Health in the HE Sector
  http://www.hefce.ac.uk/media/hefce/content/pubs/2011/201123/11_23.pdf
- Integrated Reporting Council http://www.theiirc.org/
- Sample of new style integrated reporting format
  http://examples.theiirc.org/organisation/77

Examples of publications

- University of Exeter
  http://www.exeter.ac.uk/media/universityofexeter/financeservices/pdfs/UoE_Financial_Statements_2011_12.pdf
- ITV financial statements
  http://ar2011.itvplc.com/financial-statements

Sample Website Designs

- UoE Development Trust
  http://www.edinburgh350.com/?phpMyAdmin=2b390ad025a5be0fbfc84e6d90d74299
- Annual Review ICAEW http://review.icaew.com/

"Cutting the Clutter"

Purpose

The purpose of this work is to review the format, presentation and content of the Financial Statements with a view to improving information for stakeholders (figure 2.) It is proposed to use the principles set out in the international integrated reporting initiative for guidance, these are:

- Connectivity of information
- Materiality and conciseness
- Reliability and completeness
- Consistency and comparability
- Strategic focus and future orientation
- Stakeholder responsiveness

Scope of work to include

- Improve content and presentation of the narrative elements of the financial statements in line with best practice guidance e.g. link to financial KPI's from strategic plan, use of graphics, summary financial data, focus on key messages (figure 1.)
- Identify gaps in content e.g. social responsibility
- Clearer presentation of notes to the accounts possibly with narrative descriptions of note purpose, and improved layout e.g. improve content of disclosures (Principals emoluments)
- Review the use of website links to hold detail note information rather the include in the Financial Statements e.g. pensions note could be trimmed
- Developing a web presence to deliver financial information to stakeholders
- Update layout and format of the formal Financial Statements print/PDF document
- Identify elements from integrated reporting framework to use and agree when to implement e.g. can we provide more data for donors on investment performance in the annual report which can be used by D&A
- Review links to annual report publications and other corporate reports to provide more integrated presentation of online information
- Review options for improving information provided on the Subsidiary Company Financial Statements e.g. segmented reporting or enhanced disclosures
- Consider including a brief annual report from key Committees as part or corporate governance reporting and link with the development "Good HE Governance" effective 1 August 2013. Court approval may need to be sought to agree which Committees require to be reported on and the Committees then notified. Currently only Audit and Risk Management Committees produce Annual Reports.

- Financial Summary
- Highlights
- KPIs

2 minute

- Balance Sheet
- Profit and Loss Account
- OFR
- Reserves
- Liabilities
- Commitments
- Cash Flow
- Investments

20 Minute

- Principals Report
- Corporate Governance Statement
- Notes to the accounts
- Membership of Committees
- Everything else

2 Hour

Figure 1 Target Reading

Financial Statement Stakeholders Figure 2

Customers, Trade Unions, Scottish Government, SFC, Staff, Research Sponsors, Lenders, Students, Other Universities, General Public, Donors, Charities, EU, UK Government, Parents, HMRC, Customs and Excise, NHS, Debtors, Suppliers, Edinburgh City Council, HESA, QAA

EUSA President's report

New sabbatical team

Kirsty and I are joining you on Court this meeting. Over the next year Alex will be heading up our work on academic issues as Vice President (Academic Affairs) and Nadia will be leading on welfare, societies and volunteering as Vice President (Societies and Activities). The roles we fill currently have gradually moved beyond the work that EUSA actually does and should be doing. As such we have been mandated by our Council to initiate a sabbatical roles review over the coming year to consider what the most effective set-up is going forward.

We're just getting our feet under our desks but for a flavour of what we've been doing so far: Nadia has established a liberation library in our Potterrow office which is offering a range of books relating to liberation issues that students can borrow and read; Kirsty has been working with students and the university on ethical investment; Alex has been engaging in the work that's being done on Student Experience; I've been starting work on what can be done to innovate around the University's Widening Participation agenda.

CEO recruitment

We were unsuccessful in recruiting a Chief Executive in this round of recruitment. Our brief asked for an outstanding candidate who was able to show their ability to push EUSA to be the best students' union in the country over the coming years – an objective we feel is recognisable considering the size of the organisation, its engagement with students and its relationship with a world-leading university. Unfortunately none of the candidates were able to demonstrate that at interview so we will be going out to recruit again after the summer.

Strategic plan

We have been without a strategic plan for our organisation for many years which has meant that we are constantly in a position of responding to problems as they occur rather than presenting a positive long-term vision for the students' association and what we want to see happening at the university. We have engaged the CEO of Leeds Students' Union on an interim basis to assist with the development of a strategic plan which we look forward to informing Court about in due course.

Financial Update

A deficit of about £300k by the end of this financial year is forecast. The new management team continues to work with the University (Finance Director & team, Internal Audit, Pensions & Estates) to ensure that information is shared and that best practice introduced. In parallel with this, a review of EUSA's commercial operations is underway, with the focus being to increase the net surplus from these activities. Attention has been focused on financial controls, processes and data structure to bolster integrity and improve reporting. A Financial Recovery Plan has been drawn up which looks over the next 3-5 years and includes six key areas to focus on in order to move to a position of positive net assets. Year one of this will be examined in detail in the 2013/14 EUSA budget, to be signed off by the end of July. Governance has been reviewed with a structure of trustee board, sub committees and a sabbatical executive committee being introduced.

Governance

Our Trustee Board have now approved a new subcommittee structure. Combined with Delegation of Authority proposals to be approved in July, this should facilitate more effective discussion and transmission of business, and a clearer distinction between management and governance. We will also be reviewing our governance against the new NUS Good Practice in Governance tool, which has

recently been developed based on third sector best practice. The management team and sabbaticals will also be developing a Staff-Student protocol.

Other updates

EUSA achieved Bronze in the national Best Bar None awards, which rewards excellence and recognises organisations providing a safe environment, reducing crime, and increasing standards in licensed premises. Further testament to the high standards in our facilities and services, and our approach to ensuring an excellent student experience was getting to the final three of the British Institute of Innkeepers Late Night Operators of the Year – an amazing achievement and recognition of all that goes into the running of our buildings and everything that happens in them, from Entertainments, Bars and Catering to the work done by our House, Premises and Estates teams.

The University Court

24 June 2013

Strategic Plan 2012-2016: Draft Reporting Framework

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

This paper presents the proposed reporting arrangements for monitoring progress against the targets and Key Performance Indicators in the University's Strategic Plan for 2012-2016.

Action requested

For comment and approval.

Resource implications

None.

Risk assessment

Inadequate monitoring of progress against the University's Strategic Plan targets could result in the non-delivery of the University's objectives and strategies and, ultimately, failure to meet targets. This paper details the proposed reporting arrangements to ensure there is adequate monitoring.

Equality and diversity

The 2012-2016 Strategic Planning contains a Strategic Theme 'Equality and Widening Participation', with relevant targets and Key Performance Indicators, the paper contains proposals to monitor performance of these targets and KPIs.

Freedom of information

This paper can be included in open business.

Originator of the paper

Deborah Cook, Senior Strategic Planner
Tracey Slaven, Deputy Secretary, Strategic Planning
Governance and Strategic Planning, 18 June 2013

STRATEGIC PLAN – REPORTING FRAMEWORK

Purpose

This paper sets out the proposed reporting arrangements for the Strategic Plan. The focus is on monitoring progress against the targets and Key Performance Indicators (KPIs) set out in the Plan, which link directly to the Strategic Plan's objectives.

The purpose of the reporting framework is to ensure that the University's Court and the supporting Committees have the necessary information to monitor and where appropriate, assess the delivery of the Strategic Plan. The framework should also provide clarity about what "good" performance looks like for targets and clarity on how information will be reported.

Proposal

The proposal is to continue with an annual performance monitoring report, to lead into the Planning round in October, to be discussed by CMG, FGPC and then Court in December. A mid-year actions report will be developed for any strategic plan targets where further work is required and any KPIs that Court feels needs further attention. This report will provide a visual summary of performance, with clearly defined performance categories together with further detail contextualising the figures, breaking these down to Colleges and benchmarking against Russell Group institutions where appropriate. The proposed framework has been developed with data owners and target/KPI owners.

Reporting against our Strategic Plan KPIs and targets will inform annual progress reports on our Outcome Agreements, as the two documents are aligned. The intention is to submit the reports to committees at the same time so that appropriate monitoring and if required, mitigation can be undertaken. In addition, the possibility of an operational dashboard, with relevant and monthly/quarterly performance metrics will be explored.

Benefits

The proposed approach will provide:

- an overview of university performance against the targets and KPIs
- comparisons between the University and other comparable Universities
- tracking of progress towards achieving the targets and KPIs in the strategic plan
- early warning about when performance is going in the wrong direction
- focus on where we need to concentrate efforts for remedial action
- opportunity to put progress back on track.

Performance categories for targets

For our targets, there is a clearly defined end point in terms of what we want to achieve by the end of this Strategic Plan in 2015-16. To monitor whether we are on track to achieve these targets, annual milestones for the intervening years have been developed. These milestones, where possible, have been based on an analysis of past performance or sector comparisons. The proposed trajectory for the targets is relatively evenly spread across the years, with one or two exceptions.

The following performance categories will be used for targets:

- Performance on track (exceeds or meets the milestone)
- Further work required (performance does not meet milestone)
- Performance data currently being collected (these will be exceptions).

An Amber or Green rating will be used to depict these performance categories. The baseline year is 2011-12 in all cases apart from 5.1, 10.1 and 12.2b, where the baseline year is 2010-11, 2007-08 and 2009-10 respectively.

Performance categories for Key Performance Indicators

KPIs are intended to allow longer-term monitoring of trends, and provide confidence that performance is improving or act as a first warning that something might need to be addressed. They largely do not have specifically identified targets, and as such different performance categories are required for KPIs. Performance will be compared to the previous year or an average of the previous 3 years to identify whether there has been an increase, decrease or no change. To provide more meaningful performance categories, a % tolerance has been developed for each KPI. This identifies the band within which an indicator is maintaining the same level of performance.

The following performance categories will be used for KPIs:

- Performance improving (exceeds or meets upper tolerance)
- Performance maintaining (within tolerance)
- Performance worsening (lower than tolerance)
- Performance data currently being collected (these will be exceptions).

Arrows will be used to indicate the direction of these performance categories. Performance in 2012-13 will be assessed against 2011-12 performance in all cases.

Conclusion

Court is invited to comment on and endorse the above proposal for reporting against the Strategic Plan targets and KPIs. Draft individual milestones and performance tolerances are set out in the Appendices for information.

Deborah Cook & Tracey Slaven
Governance and Strategic Planning
18 June 2013

Appendix 1: Strategic Plan Targets – milestones

This Appendix provides details of the draft milestones to assess performance for the Strategic Plan targets.

Excellence in Education

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
1.1 Increase student satisfaction with academic and pastoral support	% satisfied	70%	70.5%	71.0%	71.5%	**72.0%**
1.2 Increase student satisfaction with opportunities and support for developing graduate attributes and employability	% satisfied	73%	74.5%	76.0%	77.5%	**79.0%**

Excellence in Research

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
2.1 Increase average number of PhD students per member of academic staff to at least 2.5	PhD students per academic	1.4	1.6	1.9	2.2	2.5
2.2 Increase score (relative to the highest scoring institution) for the citations-based measure in the THE World University Rankings to at least 94/100	Score/100	90.8	91.6	92.4	93.2	94.0

Excellence in Innovation

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
3.1 Achieve at least 200 public policy impacts per annum	Number of impacts	255	200	200	200	200
3.2 Increase economic impact, measured by GVA, by at least 8%	% change in GVA	1178.90	-	4%	-	8%

Enablers – People

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
4.1 Achieve the institutional Athena SWAN Silver award	Award achieved (Schools/ UoE)	3 schools or more with an Athena SWAN or equivalent award. University Bronze award.	4 schools or more with an award; re-application for University Bronze award successful	6 schools or more with an Athena SWAN or equivalent award	7 schools or more with an Athena SWAN or equivalent award	Institution Award
4.2a Increase number of international applications for academic posts: number of applications.	Number of applications	8585	8700	8800	9000	9300
4.2b Increase number of international applications for academic posts: average no. applications per post advertised	Average non-UK applications per post advertised	15.8	16.1	16.3	16.6	16.8

Enablers – Infrastructure

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
5.1 Increase proportion of building condition at grades A and B on a year-on-year basis, aiming for at least 90% by 2020	% buildings	78% (2010-11)	79.5%	81%	82.5%	84%
5.2 Increase student satisfaction with learning resources (library, IT resources, study space and equipment) to at least 85%	% satisfied	79.8%	81.25%	82.5%	83.75%	85%

Enablers – Finance

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
6.1 Increase our total income per staff FTE, aiming for an increase of at least 10% in real terms	% change in £ per FTE	89047	2.5%	5.0%	7.5%	10% increase from 2011-12
6.2 Increase Return on Capital Employed (ROCE)	% ROCE	3.5%	4% (represents a 0.5 percentage point increase from 2011-12	4%	4%	4%

Outstanding Student Experience

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
7.1 Increase overall satisfaction in responses to NSS, PTES and PRES to at least 88%	% satisfied	85%	86.5%	87.0%	87.5%	88.0%
7.2 Increase number of our students who have achieved the Edinburgh Award to at least 500	Number Awards (cumulati-ve)	128	200	300	400	500
7.3 Create at least 800 new opportunities for our students to gain an international experience as part of their Edinburgh degree.	Number new opportuni-ties	2116	2216	2516	2716	2916

Global Impact

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
8.1 Increase headcount of non-EU international students by at least 2,000	Student headcount	6890	7390	7890	8390	8890
8.2 Increase research grant income from EU and other overseas sources so that we enter the Russell Group upper quartile	Russell Group position	25357	7th in Russell Group	7th in Russell Group	6th in Russell Group	> Russell Group upper quartile/6 th in Russell Group
8.3 Increase number of masters students on Global academies programmes by at least 500	Student headcount	144	244	344	494	644

Lifelong Community

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
9.1 Increase number of active alumni engagements with the University via the Alumni Services website, social media and e-newsletters	unique daily page views, Facebook engaged users per post, e-newsletter click-throughs (mean of the top 5)	3565.6	3610.2	3654.7	3699.3	5% increase (3743.9)

Strategic Plan 2012-16: Reporting Framework

Social Responsibility

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
10.1 Reduce absolute CO2 emissions by 29% by 2020, against a 2007 baseline (interim target of 20% savings by 2015)	Tonnes	78917 (2007-08)	78454	73347	68240	20% reduction (63,133)

Partnerships

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
11.1 Increase number of PhD students on programmes jointly awarded with international partners by at least 50%	Headcount of PhD students	21	24	27	30	32

Equality & Widening Participation

Target	Measure	Baseline	Year 1 Milestone	Year 2 Milestone	Year 3 Milestone	Target 2015-16
12.1a Converge on our participation benchmarks for under-represented groups State schools colleges: converge on participation benchmark	% difference between performance and benchmark	7.6%	6%*	5%*	3.5%*	2%*
12.1b Converge on our participation benchmarks for under-represented groups Low social classes: converge on participation benchmark	% difference between performance and benchmark	4.2%	4%*	3.5%*	3%*	2.5%*
12.2a Increase the proportion of female academic staff appointed and promoted to lecturer, senior lecturer, reader and professor levels	% female appointments/ promotions	35.8%	36.3%	36.8%	37.3%	37.8%
12.2b Reduce gender pay gap for University staff	% gap in pay (male - female)	22.7% (2010-09)	22.2%	21.7%	21.2%	20.7%

* This milestone has been selected to show delivery towards a target which would render the difference between the University's score and the benchmark score statistically insignificant according to HESA. This target is therefore 3 standard deviations from the benchmark score (which is based on a sample of peers) taken from the 2011-2012 results. We will review our milestones each year because the benchmark score, being based on the performance of others, may change each year as may the standard deviation.

Appendix 2: Strategic Plan Key Performance Indicators – Tolerances

This Appendix provides details of the draft tolerances to assess performance for the Strategic Plan KPIs.

Excellence in Education

Target	Measure	Baseline	Tolerance
1.0 Proportion of leavers achieving a successful outcome (degree, transfer or other award)	% successful	90.2%	1 percentage point (+/-) from an average of the three previous years

Excellence in Research

Target	Measure	Baseline	Tolerance
2.0 Russell Group market share of research income (spend)	% of Russell Group total	5.8%	0.1 percentage points (+/-) from previous year

Excellence in Innovation

Target	Measure	Baseline	Tolerance
3.0 Knowledge exchange metrics: number of disclosures, patents, licenses and new company formations	Number of disclosures, patents, licenses and new company formations	347	1% (+/-) from previous year

Enablers – People

Target	Measure	Baseline	Tolerance
4.0 Proportion of staff who have had an annual review within the previous year	% of staff	66%	1 percentage point (+/-) from previous year

Enablers – Infrastructure

Target	Measure	Baseline	Tolerance
5.0 Total income per square metre of gross internal area	£ income per m2	1,097	1% (+/-) from previous year

Enablers – Finance

Target	Measure	Baseline	Tolerance
6.0 Operating surplus as % of turnover (aim for 3%)	% (surplus/turnover)	5.8%	0.5 percentage points (-/+) from previous year

Outstanding Student Experience

Target	Measure	Baseline	Tolerance
7.0a Proportion of undergraduate students in graduate-level employment or further study	% in graduate employment/ further study	Available July 2013	2 percentage points (+/-) from previous year
7.0b Proportion of postgraduate taught students in graduate-level employment or further study	% in graduate employment/ further study	Available July 2013	2 percentage points (+/-) from previous year
7.0c Proportion of postgraduate research students in graduate-level employment or further study	% in graduate employment/ further study	Available July 2013	2 percentage points (+/-) from previous year

Global Impact

Target	Measure	Baseline	Tolerance
8.0 Proportion of international students from beyond our five most well-represented countries	% outwith top 5	40.9%	1 percentage point (+/-) from previous year

Lifelong Community

Target	Measure	Baseline	Tolerance
9.0 Physical and virtual footfall	Number	5,717,060	5% (-/+) from previous year

Social Responsibility

Target	Measure	Baseline	Tolerance
10.0 Carbon emissions per £ million turnover	tonnes CO2e per £M	120	3% (-/+) from previous year

Partnerships

Target	Measure	Baseline	Tolerance
11.0a Number of research publications which are internationally co-authored	Number	7260	1% (+/-) from previous year
11.0b Proportion of research publications which are internationally co-authored	%	54.7%	1 percentage point (+/-) from previous Year

Equality & Widening Participation

Target	Measure	Baseline	Tolerance
12.0a Undergraduate entrants from under-represented groups – widening participation	Number	874	1% (-/+) from previous year
12.0b Undergraduate entrants from under-represented groups – household income	Number	712	1% (-/+) from previous year
12.0c Undergraduate entrants from under-represented groups – ethnicity	%	6.2%	0.5 percentage points (-/+) from previous year
12.0d Undergraduate entrants from under-represented groups – disability	%	9.1%	0.5 percentage points (-/+) from previous year

The University of Edinburgh

The University Court

24 June 2013

Widening Participation - Update

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

Widening Participation is a high priority in the Strategic Plan and part of the Outcome Agreements.

Action requested

To note.

Resource implications

Does the paper have resource implications? Yes

Staff time.

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

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

Yes – We can't disadvantage people from low income families.

Freedom of information

Can this paper be included in open business? No

Originator of the paper

Professor Mary Bownes
Senior Vice Principal

Kathleen Hood
Head of Widening Participation

The University of Edinburgh

University Court

24 June 2013

NSS progress, May-September 2013

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

This paper briefly explains progress towards agreed NSS remediation strategies made between May 2013 and end June 2013. It sets out plans for the Summer, including plans for managing NSS results in August.

Action requested

For information and discussion.

Resource implications

Does the paper have resource implications? Yes

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

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

It applies equally to all students and meets equality impact criteria.

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? Five years.

Originator of the paper

Dr Sue Rigby, Vice Principal Learning and Teaching, 3rd June 2013.

To be presented by

Dr Sue Rigby, Vice Principal Learning and Teaching

The University of Edinburgh

University Court

24 June 2013

University Risk Register

C6

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

This paper presents the update of the University Risk Register for consideration by University Court, having been approved by CMG at its meeting in May, subject to some amendments, and subsequently endorsed by the Audit Committee and F&GPC meetings.

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

Has due consideration been given to the equality impact of this paper? Not applicable.

Freedom of information

Can this paper be included in open business? No – only the final version of the Risk Register should be made open

Originator of the paper

Vice-Principal Mr Nigel Paul, Director of Corporate Services
11 June 2013

The University of Edinburgh

The University Court

24 June 2013

Risk Appetite

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

The University developed its Risk Management policies and structures in 2002/3. Over the past 3-4 years, the practice of corporate risk management has moved forward, in particular the framing of risk appetite in the context of an organisation's strategy.

The paper provides
- an overview of developments in practice
- an overview of the contextual considerations relating to risk appetite
- possible approach to considering risk appetite in the University
- a proposed revised statement of the University's Risk Management Policy and Appetite which, when finalised, will be approved by Court.

The paper has been discussed at Risk Management Committee, Principal's Strategy Group, and Central Management Group, F&GPC and Audit Committee and comes to Court with their endorsement.

Action requested

Court is requested to consider and endorse the proposed statement of Risk Appetite.

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? The Risk Appetite statement is one of the key elements of the risk management process within the University.

Equality and Diversity

Has due consideration been given to the equality impact of this paper? Yes – there are no inherent equality implications related to the proposed Risk Appetite statement.

Freedom of Information

Can the paper be included in open business? No – only the final version of the Risk Appetite statement after incorporating input from key committees should be made open

Originator of the paper

Vice-Principal Mr Nigel A.L. Paul, Convener of the Risk Management Committee
6 May 2013

The University of Edinburgh

University Court

24 June 2013

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 30 May 2013. 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;
- note the satisfactory outcome of the external audit performance review as set out at item 8;
- approve the Internal Audit Plan 2013/2014 on the recommendation of the Audit Committee as set out at item 9 and attached as Appendix 1;
- approve Internal Audit Terms of Reference and Operating Framework as set out in item 14 and attached as Appendix 2; and
- approve the External Audit fees for the 2012/2013 audit in respect of the University and its subsidiary companies as set out at item 15 and attached as Appendix 3.

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
June 2013

**Minute of the Meeting of the Audit Committee
held at 5.00 pm on 30 May 2013
in the Lord Provost Elder Room, Old College**

Present: Ms A Richards (Convener)
                       Mr P Budd
                       Mr A Johnston
                       Mr M Sinclair
                       Mr A Trotter

In attendance: Mr P McNaull, Director of Finance
                       Vice-Principal Mr N Paul, Director of Corporate Services
                       University Secretary Ms S Smith
                       Mr H McKay, Chief Internal Auditor
                       Mr S Reid, KPMG
                       Ms E Welch, Assistant Director of Finance
                       Mr P Gough, Internal Auditor
                       Dr K Novosel, Head of Court Services

Apologies: Mrs E Noad
                       Mr M Rowley, KPMG, External Auditor

1	**MINUTE OF THE MEETING HELD ON 28 FEBRUARY 2013**	**Paper A**

The Minute of the meeting held on 28 February 2013 was approved as a correct record.

The Audit Committee welcomed the new University Secretary, Ms Sarah Smith to this her first meeting.

2	**NOTE OF THE MEETING OF THE SUB-GROUP HELD ON 14 MARCH 2013**	**Paper B**

The Audit Committee approved the note of the meeting of the Sub-Group subject to correction of typographical errors. It was noted that Court at its meeting on 13 May 2013 approved the appointment of PwC as the External Auditor from the 2013/2014 audit for a period of three years with the option to extend by a further two audit years.

3   MATTERS ARISING

3.1	**Woolf Report – update**	**Paper C**

The Committee welcomed the approval of the membership and terms of reference of the Ethical Fundraising Advisory Group and the procedure for ethical screening. It was suggested that it would be helpful to consider amending the definition of a donation as set out in the procedure to reflect the status of restricted donations. The Committee further suggested that it would be helpful to ascertain EUSA's approach to receipt of donations particularly by student societies.

3.2   **Finance update**   **Paper D**

The report on the current position on a number of financial matters previously raised was noted and the information on the possible requirement to make a provision for an insurance claim related to a previous claim.

3.3   **Verbal update on Internal Audit matters**

The Chief Internal Auditor confirmed that following the last meeting of the Audit Committee a report had been submitted to the CMG highlighting the concerns raised on the timeous implementation of agreed actions to recommendations contained within internal audit assignment reports. The Committee welcomed the support of CMG to ensure that these matters were actioned and that going forward it was the intention to report to CMG after each meeting of the Audit Committee.

It was further confirmed that appropriate actions had been taken to share the lessons learned from the internal audit assignment on the Postgraduate Research Student Progression Monitoring report with the other Colleges.

3.4   **Membership of Audit Committee**

The Committee welcomed Court's approval to extend the term of office of Mr Alan Trotter on the Audit Committee until 31 December 2016.

FOR DISCUSSION

4   **RISK APPETITE**   **Paper E**

The robust and systematic approach taken to the review of the risk management documentation was welcomed by the Committee. The proposed Risk Policy and Appetite Statement as set out in the paper was endorsed by the Committee and the format was considered particularly helpful. The underpinning importance of reputation and compliance was endorsed by the Committee. There was discussion on reporting arrangements and dissemination of the revised Statement following its consideration and approval by Court. The Committee was satisfied with the proposals noting the challenges on reporting qualitative elements and the representative membership of the Risk Management Committee was noted.

5   **UNIVERSITY'S RISK REGISTER**   **Paper F**

The Committee noted the revised University's Risk Register and welcomed the new format. There was detailed discussion on the significant changes and the movement of the various identified risks and the Committee endorsed the proposed changes.

6   **REVIEW OF HIGHER EDUCATION GOVERNANCE IN SCOTLAND – UPDATE**   **Paper G**

It was noted that the draft Code had now been published and was subject to an eight week consultation prior to the finalised Code being available towards the end of June 2013. The Committee noted the references to the Audit Committee within the current draft and welcomed the establishment of a Court Sub-Group to consider the finalised Code and to make recommendations thereafter to Court on the implementation of the Code. It was welcomed that the Convener of the Audit Committee was a member of the Sub-Group.

| 7 | **ANNUAL ACCOUNTS FORMAT** | **Paper H** |

The Committee was fully supportive of the process being taken to improve the presentation of the University's Financial Statements as set out in the paper.

| 8 | **EXTERNAL AUDIT – PERFORMANCE REVIEW** | **Paper I** |

The report on the performance of KPMG as prepared by the Director of Finance and the Chief Internal Auditor was endorsed by the Committee. The communications between the University and KPMG had been very positive and the Committee fully supported and the statement on the professionalism and integrity of KPMG.

INTERNAL AUDIT

| 9 | **INTERNAL AUDIT PLANS 2013-2014** | **Paper J** |

The Committee noted the methodology adopted in taking forward the Internal Audit Plan and that the University continues to be classified as 'risk defined'. There were a number of elements involved in determining this classification and going forward the revised Risk Policy and Appetite Statement once approved by Court would be reflected in future thinking. The other documents consulted as part of the exercise were noted and the list of assignments for 2013/2014 approved. There was discussion on the resources available to Internal Audit and the ability to undertake assignments on the reserve list. The Committee was satisfied with the assurances provided and it was agreed to obtain appropriate benchmarking information.

The Audit Committee endorsed the Internal Audit Plan 2013/2014 and recommended approval to Court.

| 10 | **INTERNAL AUDIT REPORTS** | **Paper K** |

The Audit Committee considered the nine Internal Audit assignments completed since its last meeting.

Institute of Genetics and Molecular Medicine
It was noted that the recommendations referred to operational matters, mainly around delegated authorisation issues, that were still to be clarified following the merger in 2011. All the agreed recommendations were being taken forward and actioned.

Space Management – Postgraduate Taught
The report detailed a number of recommendations which were being actioned. There was a significant emphasis across the University on improving the student experience with appropriate space management being one of the elements in respect of appropriate facilities.

School of Law
The particular issues identified in the area of the School located outwith Old College were noted and that all the agreed recommendations were being taken forward.

Research Council Awards
The appropriate actions being taken to mitigate risks were noted and that the recommendations were being actioned.

The remaining Internal Audit assignments were noted.

| 11 | **INTERNAL AUDIT FOLLOW UP REVIEWS** | **Paper L** |

The Committee noted with continuing concern the position since its last meeting. It was agreed that a report should routinely be presented to CMG following Audit Committee meetings to ensure that management was aware of progress on implementing agreed recommendations and to confirm that proposed responses were acceptable. There was discussion on the current escalation process and the Committee was content with this approach.

| 12 | **INTERNAL AUDIT PROGRESS REPORT** | **Paper M** |

It was noted that the 2011/2012 Audit Plan was now completed and that the 2012/2013 plan was 78% advanced after 42 weeks. The Committee was content with these satisfactory positions.

| 13 | **PROFESSIONAL GUIDANCE UPDATE** | **Paper N** |

The Committee welcomed the opportunity to discuss this very helpful document and suggested that it would be of assistance to the Sub-Group of Court in taking forward the Scottish Code of Good HE Governance. It was noted that overall the University was compliant with recommended practice and agreed that appropriate actions should be taken in the areas highlighted.

| 14 | **INTERNAL AUDIT TERMS OF REFERENCE AND OPERATING FRAMEWORK** | **Paper O** |

The Internal Audit Terms of Reference and Operating Framework as set out in the paper were endorsed and recommended to Court for approval. It was agreed that going forward both these documents would be reviewed annually in order to comply with best practice.

EXTERNAL AUDIT

| 15 | **EXTERNAL AUDITOR'S FEES** | **Paper P** |

The proposed fees for the 2012/2013 external audit were endorsed and the Committee recommended approval to Court.

| 16 | **EXTERNAL AUDIT PLAN OVERVIEW AND INTERIM MANAGEMENT REPORT** | **Paper Q** |

The Audit Committee approved the proposed approach to the 2012/2013 external audit, noting in particular the timetable and audit focus. The findings of the interim audit were noted and the Committee was satisfied with the action plan to address the eight recommendations identified as a result of this work.

| 17 | **HIGHER EDUCATION SECTOR UPDATE** | **Paper R** |

The five significant areas of change highlighted in the paper as impacting on the sector were noted in particular the revisions to the UK Corporate Governance and IFRS and the future of UK GAAP.

FOR INFORMATION/FORMAL APPROVAL

**18   BRITISH UNIVERSITY FINANCE DIRECTORS' GROUP (BUFDG) 2013   Paper S
        AUDIT SURVEY**

The content of the 2013 BUFDG audit survey, based on the financial accounts to
31 July 2012, was noted. The data showed that the University's Internal audit costs
and coverage were favourable when compared with others in the sector.

19   DATE OF NEXT MEETING

The next meeting of the Audit Committee will be held at 5.00pm on Thursday,
26 September 2013 in the Informatics Forum. This meeting will be preceded by a
joint meeting with Risk Management Committee and Court members on the
Knowledge Strategy Committee to look at issues of mutual interest including IT
security.

The University of Edinburgh

Audit Committee Meeting 30th May 2013

Internal Audit Plan 2013-14

Introduction

1   Internal Audit provide a service to the whole of the University of Edinburgh, primarily by providing independent assessments of controls 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 outcome agreements, advances in technology, student support arrangements or concerns 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. Since 2003, we have also provided audit services to external "clients"; currently we have one external client. Income earned, supplemented by additional resources allocated from 2012-13, funds the employment of outside specialist, contract resources to augment the internal audit personnel. This achieves flexibility and 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 and reported on each year. The Service achieved Investors in People (IIP) accreditation in 2010 and will seek to renew this is 2013-14.

3   The purpose of this paper is to outline the detailed Internal Audit Plan for the next financial year and 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 Scottish Funding Council (SFC) advice, Higher Education Funding Council for England (HEFCE) guidance, and the approach to Risk Based Internal Auditing (RBIA) recommended by the Institute of Internal Auditors (IIA)). 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   To comply with recognised professional internal auditing standards, we have participated in external peer review quality assurance assessments of our service in five of the past six academic years. These reviews concluded that our audit planning operates in accordance with best practice.

6   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 Council. In accordance with its Terms of Reference approved by Court in November 2010, the Audit Committee shall receive and make recommendations to the Court in respect of the Internal Audit Plan.

7   HEFCE commissioned guidance to assist institutions in applying the professional 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 Internal Audit Plan, and to the approach for individual audit assignments[1]. (See paragraph 15)

8   The HEFCE guidance provides a number of useful insights into developing the audit planning process. Concerning longer term planning, the guidance states that 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. Audit plans need to be dynamic to reflect the fast-changing nature of most organisations.

9   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. It should be noted that risks interact with each other and with strategic objectives, and therefore audits should not necessarily be directed at the most critical risk but rather at significant risks that threaten key business objectives.

Internal Audit Plan – Emerging Issues

10   The HEFCE guidance advocates that a long-term view of audit coverage within the organisation is maintained: although this needs to stop short of evolving into a long-term audit plan. Details of previous and potential future coverage may assist the auditor, management and the audit committee in this regard. Appendix A1 profiles past audit coverage against recognised audit planning systems and activities. Appendix A2 sets out some emerging issues, considered when developing the annual Internal Audit Plan.

Internal Audit Plan for 2013/14

11   Appendix B represents the proposed Internal Audit Plan for 2013-14, 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.

12   The Principal provided input to the Internal Audit Plan at the draft stage.

Methodology

13   The Internal Audit Planning Methodology is set out in full in Appendix C and may be summarised as follows:

Risk classification and maturity

14   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.

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[1] This risk-based approach is supported by a cyclical programme of location based audits for schools, subsidiary companies etc (see paragraph 0).

15   As the University's risk maturity is not currently at a stage where it can support a fully risk-based approach to internal auditing, Therefore, we continue to assess the University as *'risk-defined'* and the 2013-14 Internal Audit Plan (Appendix B) consists of a blend of assignments (see paragraph 17 below).

Selection of planned audit reviews

16   The audit planning model uses a risk-driven methodology, consistent with current best practice, and based upon a recognised scoring process (see Annex B to Appendix C).

17   A list of potential audits was collated based on:

- Input from senior managers;

- University Risk Registers (including College and Support Groups);

- Analysis of the University Strategic Plan;

- Risks and issues identified during previous audit assignments; and

- Evaluation and identification of potential audits from emerging risks identified in the Colleges' and Support Groups' annual planning submissions;

- Assessment of risks and issues affecting the HE sector from professional networking / associations, press etc

18   From this list, 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 list was then assessed against a) the emerging issues and additional risks which interact with the strategic themes set out in the University's Strategic Plan, which are likely to affect the University in the near future; and b) the historic profile of audit coverage over recognised audit planning systems and activities (see Appendix A1) to ensure that planned audit resources will be appropriately spread.

19   IIA standards (2013) state that Internal Audit plans should have alignment with risks in order to help the organisation achieve its strategic objectives. 20 of the 28 assignments proposed in the 2013-14 internal audit plan impact on the University Strategic Plan as indicated (√).

20   The summary below illustrates the extent to which the proposed 2013-14 Internal Audit Plan covers risks on the formal risk registers[2]. The 28 planned system/process-based and location-based audits shown in Appendix B together address 55 of the 113 risks (49%).

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[2] At the time of writing, the University risk registers were under review. We have profiled the plan against the registers which applied to 2012-13.

	UoE	CMVM	CSCE	CHSS	CSG	ISG	SASG	**Total**
Total risks on register	19	20	13	13	14	13	21	**113**
Risks addressed to some extent by 2013-14 Internal Audit Plan	13	6	5	5	6	6	14	**55**
As percentage	68	30	38	38	43	46	67	**49**

Staff Resources

21   We anticipate 806 staff and contractor days being available to deliver the University's Internal Audit Plan for 2013-14. As in previous years, allowance has been made for annual leave, public holidays, sick leave contingency, professional update training and general administration. It does not cover any gap period that may arise from staff turnover.

22   For over 9 years, Internal Audit has provided services under contract to outside bodies on a commercial basis (a national heritage body and a local further education college). The income arising has funded specialist audit staff resources, giving a net benefit of a wider skill mix and improved resource flexibility at no additional cost. However when our main commercial client indicated its intention to retender its internal audit service, we chose not to re-tender. From 2012-13 we secured an increase to our baseline operating budget to reflect the steady growth of the University and recent mergers. This allows us to still purchase specialist audit resources and maintain our wider skill mix. It also helps to provide flexibility to respond to in-year changes.

Conclusion

23   This Internal Audit Planning Methodology is consistent with the Risk Based Internal Audit (RBIA) approach recommended by the IIA (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 governance, risk management and the system of control.

24   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 2013-14 Internal Audit Plan consists of a *blend* of assignments. These assignments are developed from a variety of sources including identified risks in the risk registers (and the mitigating actions documented); areas of concern from senior management; emerging issues and additional risks which interact with the strategic themes set out in the University's Strategic Plan; and a selection of location-based audits undertaken on a cyclical basis

25   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.

26   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

Profile of Past Audit Coverage v Plan for 2013/14

This table shows breakdown of audits and audit days against recognised audit planning systems and activities.

	Audit Planning System/Activity	2007/08 Actual %	2008/09 Actual %	2009/10 Actual %	2010/11 Actual %	2011/12 Actual %	2012/13 Forecast %	2013/14 (Planned) %
1	Control Environment and Corporate Planning	10	13	12	8	10	17	4
2	Risk Management, Governance and Accountability	11	12	9	11	5	13	7
3	IS/IT	6	7	8	2	10	7	7
4	Capital Programme and Estates Management	13	10	10	4	5	3	3
5	Procurement[3]	5	2	3	3	0	4	4
6	Financial Management and Infrastructure	9	10	16	26[4]	16	12	17
7	Staffing and Payroll	10	7	8	11	4[3]	5	7
8	Student and Academic Systems	3	2	7	7	13	12	20
9	College/School/Departmental Audits	19	17	17	16	21	20	11
10	Subsidiaries, Associates and Collaborations	7	11	3	4	4	1	2
11	Income Raising Activities	4	7	3	6	8	3	8
12	Follow up Reviews (selection of recent audits)	3	2	4	2	4	3	5
13	Flexible response capability / Ad hoc	0	0	0	0	0	0	5
								(yet to allocate)
		100	100	100	100	100	100	100

[3] Procurement and HR processes are evaluated during location audits (college, school, department, subsidiaries etc).
[4] Increase from planned coverage due to financial management content of special investigations and audits added during the year.

Emerging Issues

1   The main issues identified by the audit planning process this year are summarised in the sections below. Assignments proposed in the Internal Audit Plan will, to varying degrees, focus on these issues and we have ensured that the planned coverage touches on a good range of risks identified in the University Risk Registers. At the time of planning these were being updated, however we did ensure that the proposed plan continued to align with the updated versions.

Student Support

2   An 'outstanding student experience' is identified in the University strategic plan as one of the themes contributing to the overall vision. Student experience is highlighted in the main University risk register and in all three College risk registers; it is therefore a key theme of the Internal Audit plan.

3   The plan encompasses work being done by the Student Support Implementation Group, and builds on our audit of the personal tutor system in 2012-13. We will also review processes for handling student complaints, seeking to ensure that lessons are learnt and improvements are made. We will review the way EUSA uses University funding to deliver services.

4   Our planned work on the new student accommodation is relevant to the student experience.

IT Security and Data Management

5   Data security is acknowledged by Information Services Group to be a key risk, arising from the ability to access IT systems and data on a wide range of devices, many of which are personally owned. A breach of data would be a failure of legislative compliance and ethical standards and is therefore a widely acknowledged risk.

6   One audit will focus on mobile data held on remote devices. Other audits will review arrangements for IT Contingency, replacement of main database servers and disposal of computer equipment, all of which have a data security component.

7   We will also continue our cycle of School based IT Security audits, focussing on selected Schools.

Financial Control

8   Current HEFCE guidance states that financial control should feature in Internal Audit risk assessment every year. In addition, our regular communication with senior management has highlighted financial control in the University as a key topic on which to focus. Financial controls features in every risk register within one of several topics: funding, investment, donors, resources, control, embezzlement and income.

9   Consequently, financial control features strongly in our 2013-14 plan. We will review financial control in the facilities management of the new student accommodation, in the management of the annual grant the University makes to EUSA, in the management of the loan from European Investment Bank, and in our control of suppliers and their bank detail information. We will review the income collection in Accommodation Services, and financial controls in a selected Support Group.

10   As always, our location-based audits, of which six are included in 2013-14 plan, will include substantial focus on the financial controls devolved to these areas.

Internal Audit Plan 2013-14

Ref	System / Area	Commentary

| A | **System / Process Audits** | |

1	**Student Support Services review/project on Enhancing Student Support**	Work is being driven by the Student Support Implementation Group. We addressed the personal tutor system last year; this year we will address complementary strands such as advice centres, pre-admission support etc. We will assess ability of project to ensure that the quality of the educational experience aligns with the University's standards. We will seek assurance that work underway will achieve maximum value for money.
2	**Mobile data**	The University offers great flexibility in delivering IT services across a range of media, so that staff are not constrained by University buildings, equipment or time zones. A consequent risk is security of data being held remotely and on personally owned devices. The audit will assess controls and strategies being used to secure access to data.
3	**Student attendance monitoring / notifications to Academic Registry and Home Office - visa and immigration service (ex UKBA) / VISA arrangements**	The University's sponsorship licence reporting duties include informing the Home Office (ex-UKBA) if sponsored students do not enrol for their course, do not maintain contact, if their circumstances change significantly or they withdraw / defer studies. University Student Attendance and Engagement Guidelines are being developed. We will check local compliance with record keeping and reporting requirements.
4	**IT contingency planning**	IT outages have an ever increasing impact upon the business of the University. This can include failure of storage devices, IT systems and the website. We will assess processes in place to provide contingency.
5	**Replacement of main database servers**	The business of the University increasingly depends upon database servers and their availability. There is now a need to replace these servers. We will assess arrangements for effective capacity planning, built-in resilience, and implementation of the new hardware.
6	**Research award IMPACT statements**	The University must include a statement describing the impact of research on the wider world. We will assess arrangements to build excellent impact statements post REF.
7	**New student accommodation - facilities management**	Check formal arrangements to operate new student accommodation. Do agreements include clear delegated authority arrangements for committing funds etc? If the building is to be leased to the University by the subsidiary/partner is the agreement clear regarding who provides and pays for all aspects of maintenance and facilities management, insurances etc?
8	**Hours to be Notified new system in HSS**	eTime is new system intended to replace paper based systems for submitting and approving timesheets for Hours to be Notified staff. It is also needed to help meet requirements for EU research grants. Phase 3 of system development is scheduled to run from March to November 2013. We will review current and planned processes and compliance with University and external requirements / legislation.

9	**Disposal of computer equipment**	The Information Commissioners Office (ICO) has the power to issue monetary penalty notices of up to £500,000 for serious breaches of the Data Protection Act and of the Privacy and Electronic Communications Regulations. Assess the arrangements in the University to ensure that computer equipment is disposed of in accordance with legal requirements.
10	**Student complaints**	New University Complaint Handling Procedure (CHP) introduced in March 2013 as required by the Scottish Public Services Ombudsman (SPSO). There are new requirements for collection of data and providing evidence of "learning from complaints". Assess how new procedures are bedding in. Also effectiveness of on-going training and awareness-raising for relevant staff.
11	**EUSA grant funding**	EUSA aims to contribute to the richness of the University of Edinburgh student experience. The University makes an annual grant for this purpose and EUSA faces the challenge of delivering to expectation using the grant available. We will seek assurance that EUSA is using funds effectively to deliver the services required.
12	**Outcome Agreement with SFC**	Payment of the University's main funding grant from Scottish Funding Council will depend on the achievement of the outcome agreement. We will assess arrangements for measuring and monitoring achievement of the outcome agreement.
13	**European Investment Bank (EIB) Loan**	The University has a £50m loan for part-funding capital programme projects (up to 50% of total cost). It is a condition of the loan that projects must be completed within a 5 year period from contract signing. We will check governance and project management arrangements are in place to ensure compliance with key loan conditions.
14	**Recruitment**	The Principal has highlighted the need for timely filling of academic vacancies. We will assess the arrangements in place and that the applicant experience matches the University's expectations.
15	**New supplier approval and change control**	We are aware of continual attempts to defraud universities. We will look at controls to set up new suppliers, amend bank account details for suppliers paid by BACS, and authorise repeat payments such as standing orders.
16	**Bribery Act compliance**	The University's Anti-Bribery and Corruption Policy was introduced in 2011. We will check progress of the implementation of the Policy, on-going staff training and awareness raising and the monitoring of its effectiveness. We will review compliance with University Policy requirements. Are any bribery and corruption concerns being reported and investigated in accordance with the Policy?
17	**Research grant funding calls**	We will review how funding calls for research grant applications are identified and communicated to the appropriate staff in a timely manner.

B	**Location based audits**	
18	**School based IT security**	IT security in a selected School within HSS.
19	**School based IT security**	IT security in a selected School within SCE.
20	**School of Informatics**	School audit
21	**School of Chemistry**	School audit
22	**CSE College office Undergraduate applications**	Location based audit
23	**School of Biomedical Sciences**	School audit
24	**Biomedical Research Resources (BRR)**	Location based audit
25	**School of Social & Political Sciences (SPSS)**	School audit
26	**School of Literature, Languages and Cultures (LLC)**	School audit
27	**Accommodation Services income collection**	Location based audit
28	**Financial controls in Support Groups**	Location based audit and a continuation of a current programme.

C	**Standing & other items for Internal Audit Plan**	
i.	Follow up programme	Annually
ii.	Risk Management	Annually
iii.	Planning, Management & Liaison	Attend and contribute to the Risk Management Committee, and provide an annual opinion.
iv.	Audit Committee Support	Ongoing
v.	*Contingency Allowance yet to allocate*	*Unallocated time to cater for issues arising during the year.*

D	Reserve List	
29	**Innovation Centres**	The University has been involved in developing bids for proposed Innovation Centres in support of the Scottish Government's economic strategy. The aim is to drive improved knowledge exchange and linkages between HEIs and industry in sectors of strategic importance to Scotland's economy. The University is involved in the first tranche of awards including a Digital Health Institute – a collaboration to be administered from the University campus. Review governance and financial arrangements and compliance.
30	**College of Science & Engineering Stores**	Assess the arrangements to ensure that the various stores in CSCE provide maximum benefit to the University. How good are audit trails if University is required to demonstrate to external parties how funds have been applied? How is it demonstrated that the resource used in managing and holding stock is justified by the benefits accruing to the University? Is this reviewed periodically?
31	**Old College Capital Strategic Investments - venture capital investments**	Old College Capital is 'a corporate sub group of the University tasked with making venture capital investments in early stage companies originating from the University'. An additional Scottish Limited Partnership has been established to act as the investor in a venture capital fund managed by Rock Spring Ventures. Fund to invest in spin-out and start-up companies from the University. We will review governance, reporting and monitoring arrangements from University perspective. Have risks been adequately identified and addressed?
32	**PRAM - Pilot Resource Allocation Model**	This is classed as a new Major Project in the Corporate Risk Register. We will assess the project management arrangements in place.
33	**Saffron**	Saffron is a catering software system which ranges from purchase ordering and stock control to menu labelling, or any subset of these functions. We will assess the way in which Saffron is used to support the business, and provide reliable management information to support decision-making.
	Reserve location based	
34	**School of Geosciences**	School audit
35	**School of History, Classics and Archaeology**	School audit
36	**Office of Lifelong Learning (OLL)**	School type audit.
37	**Institute for Academic Development (IAD)**	School type audit.
38	**The Roslin Institute**	School type audit.
39	**The Library**	Location based 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 perceived best 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 the risk management process, complemented by our ongoing cycle of location-based audits*.

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 Scottish Funding Council (SFC) audit requirements are included 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 (2011) 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, COSO, PSIAS, and with reference to the Smith Report (now updated by the Financial Reporting Council's revised Guidance on Audit Committees in December 2010), 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 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 support the effective management of risk, in relation to the risk appetite. An updated risk appetite is due to to be endorsed by Court soon. This approach is endorsed in the 2013 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 (2005) states that "Internal Audit needs to adopt a risk based approach compatible with that adopted by their organisation." The HM Treasury Good Practice guide states that the Head Internal Auditor is responsible for developing a risk-based plan, taking into account the organisations' risk management framework…"

Implication for the Internal Audit Plan of the University of Edinburgh

9. In view of the devolved nature of the University, we consider it unlikely that there will be a consistent pan-University approach to risk management in the foreseeable future. Our continued view of the University's risk maturity is that it can be classified as ***risk defined*** as described in the IIA guidance (see Annex A).

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. "The Chief Audit Executive takes into account the organisation's risk management framework, including using risk appetite levels set by management for the different activities or parts of the organisation. If a framework does not exist, the chief audit executive uses his/her own judgement of risks after consideration of input from senior management and the board. The chief audit executive must review and adjust the plan, as necessary, in response to change to the organisation's business, risks, operations, programs, systems and controls." (Public Sector Internal Audit Standards)

12. Therefore, the Internal Audit Plan consists of a ***blend*** of assignments drawn from the risk management process and our ongoing cycle of location-based audits.

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

13. 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.

14. The guidance provides a number of useful insights into developing the audit planning process. Some relevant excerpts are listed below:

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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.

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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 herself 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)

15. 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

16. The latest IIA professional standards (2013) continue to require an external assessment at least every 5 years. We have participated in external peer review quality assurance assessments of our service in five of the past six academic years. The Audit Committee has since agreed that the frequency of such a review can drop to at least once every four years. Each year the review has concluded that the University of Edinburgh's internal audit planning methodology achieved 'best practice'.

17. In the last four years 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 Internal Audit Plan

18. The University's annual planning submissions are reviewed and items or topics are selected for inclusion in the Internal Audit Plan. The Chief Internal Auditor attends the Risk Management Committee. 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, we review the risk registers, attend the Risk Management Committee and ensure that the Internal Audit Plan addresses a selection of acknowledged risks. Finally we consider emerging issues and additional risks which interact with the strategic themes set out in the University's Strategic Plan which therefore may justify internal audit coverage.

Determination of the 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 control risk. 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. In past years, income generated from selling our services to outside clients allowed us to buy-in specialist expertise to undertake high scoring specialist assignments. We have reduced our external clients but from 2012-13 an increase to our baseline operating budget has allowed us to continue buying in specialist audit expertise and maintains our broader skill set. This increase reflects the increased coverage necessary as the University has grown following mergers.

24. The first version of the draft Internal Audit Plan then consists of as many of the highest scoring assignments as can be accommodated within Internal Audit's annual resources.

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 Internal Audit 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. While we have made minor adjustments and updated our own comments, our overall assessment of the University's risk maturity is that it remains **Risk Defined**.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							**UoE Internal Audit Comment**
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
Key characteristics.	No formal approach developed for risk management.	Scattered silo based approach to risk management.	Strategy and policies in place and communicated. Risk appetite defined. ☑	Enterprise approach to risk management developed and communicated.	Risk management and internal controls fully embedded into the operations.		This is our overall assessment of the University's risk maturity based upon the assessment of the risk processes noted below.
Process							
The organisation's objectives are defined.	Possibly.	Yes but may be no consistent approach.	Yes ☑	Yes ☑	Yes ☑	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.	University Strategic Plan 2012-2016 is in place. Progress against the plan is regularly monitored and documented. The strategic risk register is mapped to the Strategic Plan.
Management have been trained to understand what risks are, and their responsibility for them.	No	Some limited training. ☑	Yes	Yes	Yes	Interview managers to confirm their understanding of risk and the extent to which they manage it.	Not all managers have received training.
A scoring system for assessing risks has been defined.	No	Unlikely, with no consistent approach defined.	Yes ☑	Yes ☑	Yes ☑	Check the scoring system has been approved communicated and is used.	In place.
The risk appetite of the organisation has been defined in terms of the scoring system.	No	No	Yes ☑	Yes ☑	Yes ☑	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.	Court is expected to endorse an updated risk appetite soon and it includes an empirical scoring system. Risk review process challenges whether the level of residual risk is acceptable.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							UoE Internal Audit Comment
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
Processes have been defined to determine risks, and these have been followed.	No	Unlikely	Yes, but may not apply to the whole organisation. ☑	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.	Risk Management Guidance Manual.
All risks have been collected into one list. Risks have been allocated to specific job titles.	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Examine the Risk Register. Ensure it is complete, regularly reviewed, assessed and used to manage risks. Risks are allocated to managers.	All corporate and College & Support Group risks have been collated. A series of risk registers for the top risks exists.
All risks have been assessed in accordance with the defined scoring system.	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. ☑	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).	In place for University, College, Support Groups, subsidiaries and many operational areas and projects.
Responses to the risks have been selected and implemented.	No	Some responses identified.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Examine the Risk Register to ensure appropriate responses have been identified.	Yes, but may not apply to the whole organisation. Not always clear what work has been carried out between reviews.
Management have set up methods to monitor the proper operation of key processes, responses and action plans (monitoring controls).	No	Some monitoring controls.	Yes, but may not apply to the whole organisation. ☑	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.	The normal internal audit process assists management in providing assurance that monitoring controls are adequate.
Risks are regularly reviewed by the organisation.	No	Some risks are reviewed, but infrequently.	Regular reviews, probably annually. ☑	Regular reviews, probably quarterly.	Regular reviews, probably quarterly.	Check for evidence that a thorough review process is regularly carried out.	RMC review process.
Management report risks to directors where responses have not managed the risks to a level acceptable to the board.	No	No	Yes, but may be no formal process.	Yes ☑	Yes ☑	For risks above the risk appetite, check that the board has been formally informed of their existence.	A formal risk review process is in place overseen by the RMC. RMC reports to Audit Committee and CMG and an annual report to Court.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							UoE Internal Audit Comment
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
All significant new projects are routinely assessed for risk.	No	No	Most projects. ☑	All projects	All projects	Examine project proposals for an analysis of the risks which might threaten them.	Estates Development project procedures routinely include risk assessment, as do IT projects. All Committee papers are prompted for evidence of risk assessment. A toolkit for the governance of major university projects was not initially deployed on the Shared Academic Timetabling or Personal Tutor System Major Projects.
Responsibility for the determination, assessment, and management of risks is included in job descriptions.	No	No	Limited ☑	Most job descriptions.	Yes	Examine job descriptions. Check the instructions for setting up job descriptions.	Will be for some defined roles such as project directors / managers.
Managers provide assurance on the effectiveness of their risk management.	No	No	No	Some managers ☑	Yes	Examine the assurance provided. For key risks, check that controls and the management system of monitoring, are operating.	Some managers.
Managers are assessed on their risk management performance.	No	No	No	Some managers ☑	Yes	Examine a sample of appraisals for evidence that risks management was properly assessed for performance.	Some may be informally assessed.
Internal Audit approach	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. ☑	Audit risk management processes and use management assessment of risk as appropriate.	Audit risk management processes and use management assessment of risk as appropriate.		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 seeks 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. <u>Importance</u>

   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. <u>Sensitivity</u>

   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. <u>Inherent Risk</u>

   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. <u>Control Risk</u>

   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. <u>Audit Risk Score</u>

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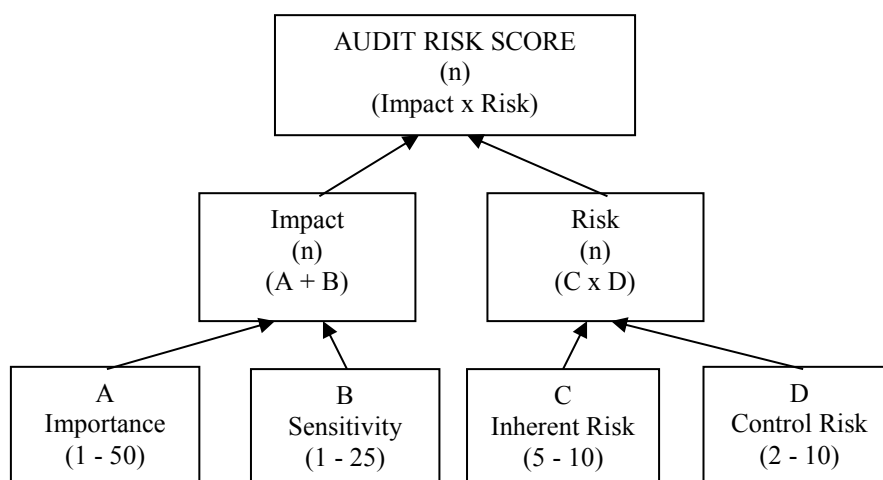
Criteria A and B are set at 1-50 and 1-25 respectively (1 representing low importance or sensitivity, and 50/25 as high). Inherent risk is assessed on a scale of 5-10 to reflect 'imperfect knowledge' in assessing this risk. Control risk is assessed on a scale of 2-10, and is assessed on the basis of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

University of Edinburgh Assurance Model

Figure 1: Structure

UNIVERSITY COURT

MANAGEMENT ASSURANCE

INDEPENDENT ASSURANCE

OTHER COMMITTEES

FGPC

CMG

AUDIT COMMITTEE

HEALTH& SAFETY

RMC

Senior University Management

Internal Audit

External Audit

Reporting   Communication
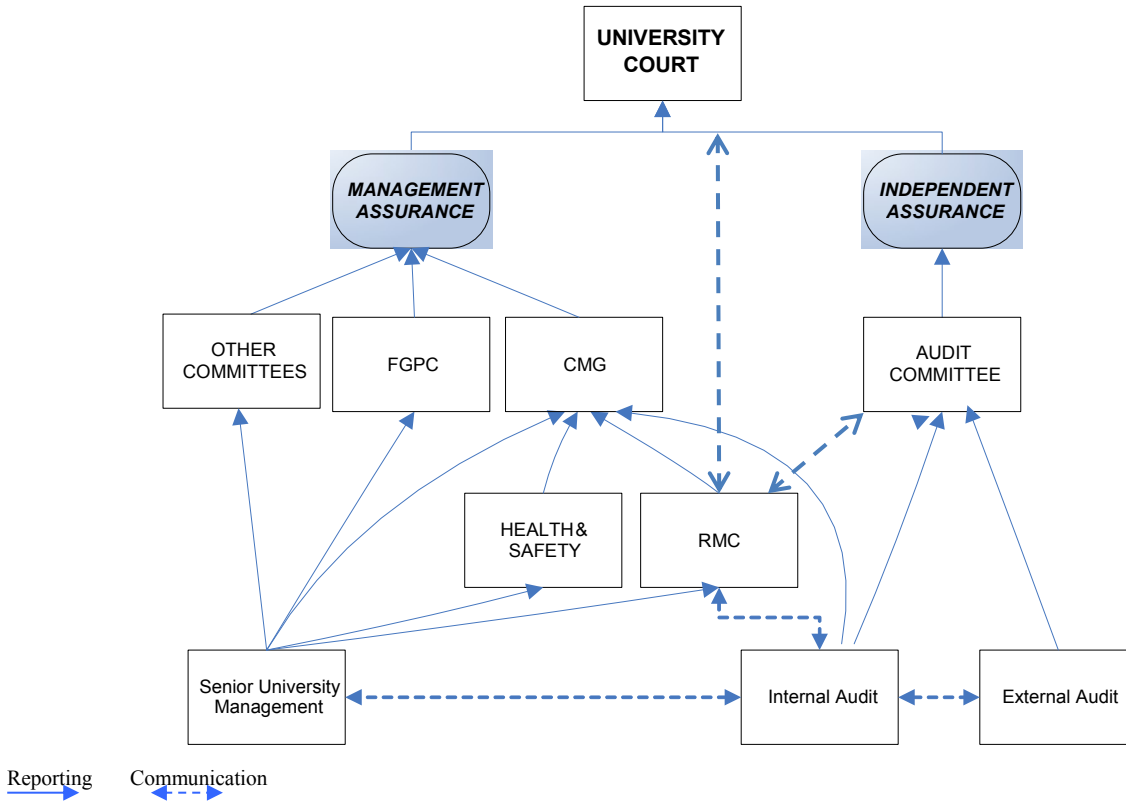
Figure 2: Interdependencies

INTERNAL AUDIT

Internal Audit's main role is to evaluate the adequacy and effectiveness of:

1. Governance processes;
2. Internal Control;
3. Risk management;
4. Operations.

In doing so we evaluate and assess:

5. Value for Money arrangements;
6. Compliance;
7. Safeguarding of assets;
8. Integrity of financial and other information.

AUDIT COMMITTEE

Provide Court with an Annual Report containing their opinion on effectiveness of the:

1. Corporate governance arrangements;
2. Internal control environment;
3. Financial systems;
4. Risk management arrangements.

Review the Annual Accounts and financial statements.

EXTERNAL AUDIT

External Audit provides:

1. An opinion on the financial statements;
2. Management Letter highlighting significant accounting and control issues.

MANAGEMENT

Assurance on risk and internal control in own areas of responsibility.

CMG

Internal Audit provides reports outlining significant or pan-University issues.

RMC

1. Identify and evaluate key risks;
2. Identify key controls in place to manage them;
3. Monitor satisfactory operation of controls over risk;
4. Report regularly to Court via CMG and Audit Committee.
5. Produce an annual Risk Assurances Map for the Corporate Risk Register showing evidence of how assurance has been provided.

Bibliography

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

AUTHOR	TITLE
COSO (2011)	Internal Control – Integrated Framework (draft version until 2013)
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 (2010)	Audit Code of Practice
HEFCE (2004)	Risk-based Internal Audit in Higher Education
HEFCE (2005)	Accountability and Audit: HEFCE Code of Practice
HM Treasury (2011)	Government Internal Audit Standards
HM Treasury (2004)	Management of Risk: Principles and Concepts (Orange Book)
HM Treasury (2010)	Government Internal Audit Standards: Good Practice Guide Audit Strategy
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 (2013)	Definition of Internal Auditing, Code of Ethics, International Standards for the Professional Practice of Internal Auditing
ISACA (2008)	Use of Risk Assessment in Audit Planning
SFC (2008)	Mandatory requirements of the Financial Memorandum at http://www.sfc.ac.uk/effective_institutions/financialmemorandum/mandatory_requirements.aspx
	Mention new Draft Corporate Governance Code?

University of Edinburgh

Internal Audit
Terms of Reference

Mission
To provide the Principal and the Court, normally through the Audit Committee, with an independent, objective assurance and consulting service designed to add value and improve the University's operations. To help the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes.

Authority
Internal Audit has the Court's authority to access all documents, records, personnel and physical properties which it considers relevant to audit assignments and necessary to fulfil its responsibilities. There is an obligation on all staff to provide all necessary assistance.

Scope of Work
The scope of Internal Audit covers all the financial and other management control systems, identified by the audit needs assessment process. It includes all the activities in which the University, and its subsidiaries, has a financial interest, including those not funded by Scottish Funding Council (SFC). This includes all the University's operations, resources, staff, services and responsibilities to other bodies although does not extend to the assessment of the academic process.

The scope includes 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.

Objectives
Internal Audit employs a risk-based systematic and disciplined approach to evaluating and improving the effectiveness of risk management, control and governance processes by assessing the:
- Alignment of organisational objectives with the University's mission;
- Identification, evaluation and management of business risks;
- soundness, adequacy and application of the internal control systems;
- reliability and integrity of financial and operational information;
- effectiveness and efficiency of operations;
- safeguarding of assets from fraud, irregularity or corruption, and
- compliance with laws, regulations, contracts and established policies, procedures and good practice.

Internal Audit is responsible for:

- agreeing a long term audit strategy with the Audit Committee, based upon an audit needs assessment of all University activities;
- agreeing a risk-based annual audit plan with the Audit Committee and communicating the agreed plan to senior management as appropriate;
- carrying out the agreed work in line with appropriate professional standards;
- providing assurances, opinions and making recommendations to improve processes and systems where appropriate;
- following up recommendations made to evaluate action taken;
- reporting to the Audit Committee and the Principal any significant business risks, serious control weaknesses, significant fraud or other major control breakdown;
- reporting to Audit Committee for resolution, any specific cases where Internal Audit believe senior management may have accepted a level of residual risk that may be unacceptable to the University;
- complying with requests for information from the Principal, Audit Committee, External Audit or SFC's Governance and Management: Appraisal and Policy Directorate;
- liaising with External Audit and the SFC;
- maintaining communication with senior figures in the University and outside bodies;
- offering consulting services of an advisory nature without assuming management responsibility or jeopardising achievement of the audit plan;
- developing and maintaining a quality assurance and improvement programme including internal and external assessments and providing performance measures to demonstrate effectiveness of the Internal Audit service;
- maintaining adequate & appropriate training and professional development;
- producing an annual report for the Audit Committee, giving an opinion of the University's arrangements for risk management, control and governance; and
- helping to keep the Audit Committee informed of perceived best practice.

Internal Audit may conduct any special reviews or consulting activities requested by the Court, the Audit Committee, the Principal, or to support the Fraud & Misappropriation policy, provided such work does not compromise its objectivity or independence.

Independence

Independence is the freedom from conditions that threaten the ability of Internal Audit to carry out their responsibilities in an unbiased manner.

To ensure independence and objectivity, Internal Audit will not assume any management responsibility for development, implementation or operation of systems, however can offer consulting services of an advisory nature.

Internal Audit will exercise professional judgement to determine the scope of its work and the communication of its findings.

The Chief Internal Auditor reports functionally to the Audit Committee, and has direct access to the Principal.

Accountability

The Chief Internal Auditor is accountable to the Principal and the Court through the Audit Committee for the performance of the Internal Audit service. For administrative and budgetary purposes, Internal Audit operates within Corporate Services Group.

The Chief Internal Auditor will report audit findings to the relevant managers, including the Principal, and draw the attention of the Audit Committee and management committees to key issues and recommendations.

Internal Audit will report the feedback of auditees' to the Audit Committee.

Professional Standards

Internal Audit's work is performed with due professional care and complies with the Mandatory Requirements[1] of the SFC's Financial Memorandum between the Council and Universities.

Internal Auditors follow professional standards set by the Institute of Internal Auditors as well as Codes of Professional Practice and Codes of Ethics as stipulated by their individual Professional Institutes.

Endorsed by the Audit Committee on the 1st October 2009
Approved by the Court at its meeting held on the 19th October 2009.

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[1] The Audit and Accounting Section of the SFC Mandatory Requirements became effective on 14 October 2008.

Approved by the Audit Committee on 29th September 2010

Internal Audit – Operating Framework

The purpose of this paper is to brief staff of the University of Edinburgh on how the Internal Audit function operates. It is the policy of the University of Edinburgh's Court and Audit Committee to support a quality internal audit function.

Internal Audit's Terms of Reference[2] were approved by Court on 19 October 2009 and are available via the Internal Audit website.

Role

Internal Audit is an independent appraisal function, which operates as a service to the University through the Audit Committee, Court and senior management. Its role, as part of the overall governance and control environment in the University of Edinburgh, is to provide an independent and objective assurance and consulting service; to evaluate the adequacy and effectiveness of the risk management, internal controls, operations and governance processes throughout the University. It must also provide an opinion on the institution's arrangements for economy, efficiency and effectiveness, i.e. value for money.

To fulfil this role, the Mandatory Requirements of the Scottish Funding Council's (SFC) Financial Memorandum 2008 requires the internal audit service to cover all the financial and other management control systems. It must cover all activities in which the institution has a financial interest, including those not funded by the Council, such as subsidiaries or associated companies, students' unions, and collaborative ventures or joint ventures with third parties.

Internal Audit operates in accordance with recognised professional standards.

Authority

Internal Audit operates with the direct authority of the Court and under the general supervision of the Audit Committee. The Audit Committee assists the Court in ensuring that the University's responsibilities for proper financial management and for the effectiveness of the internal control and management systems have been properly discharged.

Internal Audit is empowered to audit all systems and activities and has unrestricted access to all records, reports, personnel, IT systems and assets for audit purposes. This includes all subsidiary companies. It will consult with appropriate management to set mutually convenient dates for audit work to take place, but the timing of the audit is at the ultimate discretion of the Chief Internal Auditor.

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[2] http://www.ed.ac.uk/schools-departments/internal-audit/audit-process/audit-process

Responsibilities of Internal Audit

Internal Audit's objectives and responsibilities are set out in their Terms of Reference. Internal Audit discharges its responsibilities by identifying and reporting strengths and weaknesses in systems, processes and controls and making appropriate recommendations.

Internal Audit is responsible for ensuring the confidentiality and safekeeping of all records and information accessed in the course of its work.

The Chief Internal Auditor manages the Internal Audit service. The Chief Internal Auditor is responsible for the preparation of the annual Audit Plan and for agreeing it with the Audit Committee. Prior to drawing up the plan the Chief Internal Auditor will consult with senior management and will take account of any topics put forward by them. The Chief Internal Auditor will be responsible for the effective implementation of the Audit Plan.

Independence

In order to preserve its objectivity and independence, Internal Audit will not assume operating responsibilities for, and will remain independent of, the activities it audits. However, it may review systems under development and advise management on appropriate controls so long as it does not prejudice its ability to subsequently audit such systems.

The Chief Internal Auditor reports functionally to the Audit Committee, through the Convener, and has direct access to the Principal.

Audit Methodology and Reporting

In carrying out its duties, Internal Audit will work constructively with management and staff. During the course of an audit, management and staff will be required to co-operate fully with Auditors' requirements.

Internal Audit will normally notify appropriate management prior to the commencement of an audit. In the course of each audit the audit team will discuss its findings with the management concerned. Draft audit reports will subsequently be issued to appropriate senior management for response. A response will be expected from senior management within 4 weeks. Final reports, incorporating management's response, will be issued to the primary process owner and summarised findings will be presented to the Audit Committee. Summarised findings will also be presented to Central Management Group at least once a year. Where no response is received or Internal Audit and management fail to reach agreement on issues / recommendations considered by Internal Audit to be of material importance, the final audit report will reflect the positions of both and the issue(s) will be specifically drawn to the attention of the Audit Committee and the Court. The Chief Internal Auditor shall report regularly to the Audit Committee and will have direct access to the Principal and Convener of Audit Committee.

The Chief Internal Auditor may request periodic updates from management on the implementation of agreed audit recommendations, in order to evaluate progress thereon. The purpose of such "follow-up" audits is to confirm that management has taken appropriate action following reported audit findings and agreed recommendations. These will be carried out within a timescale to be determined by the Chief Internal Auditor. The Audit Committee and appropriate senior management will be informed of any instances where audit recommendations have not been implemented as originally

External Auditor's Fees

The Audit Committee is asked to approve the audit fees proposed by KPMG for the 2012/2013 audit.

	Actual 2011-12 fee £	Proposed* 2012-13 fee £
University of Edinburgh	54,500	56,135
The University of Edinburgh Development Trust	5,755	5,928
UoE Utilities Supply Company Limited	2,335	2,405
UoE HPCX Limited	2,335	2,405
Edinburgh Research and Innovation Limited	7,555	7,782
UoE Accommodation Limited	4,125	4,249
Edinburgh University Press Limited	8,370	8,621
Edinburgh Technology Fund Limited	2,335	2,405
Edinburgh Technology Transfer Centre Limited	2,335	2,405
SSTRIC Limited	2,335	2,405
Research into Results Limited	2,090	**2,153**
Flowave TT Limited	2,090	2,153
Andrew Grant Bequest	4,308	**4,437**
Old College Capital Limited	-	**
UoE Deaconess Limited	-	**
Total	**100,468**	**103,483**
US GAAP	**59,760**	**40,000**

The proposed fee for the 2012/13 audit is £103,483 exclusive of VAT.
*Fees for 2012/13 reflect an increase for each audit in line with the annual increase in the Consumer Price Index (CPI) as at April 2012 of 3.0% which was agreed as part of the two year extension to the external audit tender.

** New audit engagements are required for Old College Capital LLP and for UoE Deaconess Limited (acquired 30 January 2013).

The University of Edinburgh

The University Court

24 June 2013

Report from Estates Committee held on 29 May 2013

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 29 May 2013.

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) or online via the EC web-site at http://www.ec.estates.ed.ac.uk/index.cfm

Action requested

Court is invited to note that the EC report was presented to FGPC on 10 June, and endorsed. Court is invited to approve the recommendations contained in the report.

Resource implications

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

Risk assessment

Does the paper include a risk analysis? No. - It should be noted that EC papers contain, where applicable, separate risk assessments. Some of these may be contained within the reports to CMG, FGPC, and Court.

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

Financial Commitments – mitigated by tracking via the Group Estate Development Programme and regular updating in consultation with Finance and reporting to EC, CMG and FGPC, through to Court.

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

Equality and Diversity

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

Consideration of E&D is an integral part of the project management process. This is overseen by the Project Board and the Estates Committee.

The University of Edinburgh

The University Court

24 June 2013

Report of the Nominations Committee

The Nominations Committee wishes to make recommendations for approval to Court as detailed below:

Membership of Committees

Estates Committee
Amend the terms of reference to delete reference to the appointment of an external advisor at 2.5 and 2.6.

Investment Committee
Mr Richard Davidson to be appointed Convener with effect from 1 September 2013 until 31 July 2016 and his current term of office on the Investment Committee to be extended until 31 July 2016.
Dr Chris Masters to be appointed from 1 September 2013 until 31 July 2014.

Library Committee
Ms Helen Durndell to be appointed with effect from 1 August 2013 until 31 July 2016.

Equality Management Group
Professor Ann Smyth to be appointed with effect from 1 August 2013 until 31 July 2015.

SBS Trustees

The University Secretary, Ms Sarah Smith to be appointed a Trustee with immediate effect for an initial period of four years until 31 July 2017.

To seek to increase the number of Trustees in terms of section 5(c) of the Trust Deed which states: The Principal Employer may from time to time appoint such further persons as it may determine as Trustees. In increasing the number of Principal Employer nominated Trustees, the SBS Trustees would require to seek to put in place arrangements to increase the number of Member nominated Trustees such that at least one-third on the total number of SBS Trustees were Member nominated in order to comply with legislation.

To approve and recommend to the SBS Trustees that the SBS Trust Deed be amended to confirm that the Chair of the SBS Trustees shall be appointed by the Principal Employer (University Court).

Dr Katherine Novosel
June 2013

The University of Edinburgh

The University Court

24 June 2013

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 providing information on the discussion which took place at the most recent meeting of the University Senate on 5 June 2013 and of the business dealt with by the electronic Senate of 14 – 22 May 2013.

A copy of the full minute of the Senate meeting, together with related papers, can be found in due course at http://edin.ac/13pqU5E.

Copies of presentation slides are available upon request from the Senate Secretariat.

Action requested

No action is requested. The report is for information to update Court on Senate activities.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

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

Freedom of information

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

Originator of the paper

Anne Marie O'Mullane
Senate Secretariat
June 2013

Summary Report of the Senatus Meeting on 5 June 2013

The strategic theme for the meeting was *"Mainstreaming Distance Education".* There were presentations by Dr Sue Rigby on learning from distance education (including MOOCS) for the traditional curriculum; Professor Charles Cockell on MOOCS as a meaning of teaching; Professor Austin Tate on lessons learnt from MOOCs for rich, flexible and supportive blended learning; Dr Sian Bayne on what it means to be a student at Edinburgh University who is not *in* Edinburgh and insights for the distance learning agenda; Professor O James Garden on delivering a clinical subject by online methods, combining professional and academic excellence; and Dr Jo-Anne Murray on the use of a MOOC to promote postgraduate programmes in equine science.

The presentations and discussion gave Senate members space to engage in a valuable discussion on how the University can learn from distance education for mainstream learning and teaching (and *vice versa*). Senate members recognised the opportunities distance education, particularly MOOCs, gave for capitalising on research and development occurring in this sphere of learning and teaching. Outcomes from Senate discussions will feed into a joint meeting of Senate Learning and Teaching Committee, Knowledge Strategy Committee and Learning and Teaching Spaces Advisory Group, to plan policy and practice.

Details are given in the Senate minutes, which will be circulated to Senate and Court members and made available online in due course: http://edin.ac/13pqU5E

Formal Business

1.   Approval of E-Business conducted from 14 May-22 May 2013

Membership of Senate

The new professorial members of Senate were noted.

Conferment of the title of Emeritus Professor

The Senatus agreed to confer the title of Professor Emeritus on Professors K Donaldson and I Power, requesting that the relevant Heads of College prepare the necessary Special Minutes.

Amendment to Senate Committee's Terms of Reference

The Senatus approved the proposed amendments to the Terms of Reference for the Curriculum and Student Progression Committee (CSPC).

Special Minutes

The Senatus adopted the Special Minutes for the six Professors listed:

Professor D Hounsell	Emeritus Professor of Higher Education
Professor D Howarth	Emeritus Professor of Barque Art
Professor J McCulloch	Emeritus Professor of Neuropharmacology
Professor I Poxton	Emeritus Professor of Microbial Infection and Immunity

Professor N Osborne   Emeritus Professor of Music and Human Sciences

Report from the Discipline Committee Meeting of 28 November 2012

The Senatus noted the Report of the Discipline Committee from its meeting held on 28 November 2012.

Undergraduate and Postgraduate Degree Programme Regulations 2013/14 Update

The Senatus noted the update from the Curriculum and Student Progression Committee on Undergraduate and Postgraduate Degree Programme Regulations 2013/14.

Communications from the University Court

The Senatus noted the content of the report from the University Court on its meetings of 18 February and 13 May 2013. Senatus offered no observations on the draft Resolutions.

Report from the Central Academic Promotions Committee

The Senatus noted the report from the Central Academic Promotions Committee informing it of the awarding of a further six out of cycle Personal Chairs.

Resolutions – Chairs

The Senatus offered no observations on the draft Resolutions:

Draft Resolution No. 29/2013: Foundation of a Chair of Accounting, Governance and Social Innovation
Draft Resolution No. 30/2013: Foundation of a Chair of Entrepreneurship and Innovation
Draft Resolution No. 32/2013: Foundation of the Crawford Tercentenary Chair of Chemistry
Draft Resolution No. 38/2013: Foundation of a Chair of Leadership Development
Draft Resolution No. 39/2013: Foundation of a Chair of Strategy and Change
Draft Resolution No. 21/2013: Alteration of the title of the Personal Chair of Animal Biotechnology
Draft Resolution No. 22/2013: Alteration of the title of the Chair of Experimental Haematology
Draft Resolution No. 35/2013: Alteration of the title of the Chair of Fire Safety Engineering
Draft Resolution No. 23/2013: Foundation of a Personal Chair of Strategic Management
Draft Resolution No. 24/2013: Foundation of a Personal Chair of Cellular Neurobiology
Draft Resolution No. 25/2013: Foundation of a Personal Chair of Innovation and Social Informatics
Draft Resolution No. 31/2013: Foundation of a Personal Chair of Gaelic
Draft Resolution No. 36/2013: Foundation of a Personal Chair of Entrepreneurship and Enterprise Development
Draft Resolution No. 37/2013: Foundation of a Personal Chair of International Strategy

Senate Membership 2013/14

The Senatus noted the membership of Senate for 2013/14.

College Academic Management Structures 2013/14

The Senatus noted the College Academic Management Structures for 2013/14.

Meeting Dates for 2013/14

The Senatus noted the Senate meeting dates for 2013/14. [Note: These can now be accessed at http://www.ed.ac.uk/schools-departments/academic-services/committees/senate/dates]

Vacation Senate

Senate approved the appointment of a Vacation Senatus to deal with any urgent formal business.

2.   Annual Report of the Senate Committees

Senatus noted the Annual Report of the Senate Committees which updated Senate on the work of the four Senate Committees and approved the strategic issues proposed for the next academic year and beyond.

3.   Amendments to the Terms of Reference and Composition of Senate Committees

Senatus approved the proposed amendments to the terms of reference and composition for the Researcher Experience Committee and changes to the Quality Assurance Committee's composition.

4.   Review of the General Statement and Code of Student Discipline

Ms Sara Welham, Academic Services, spoke to the paper. The Senatus approved the New Code of Student Conduct in Appendix A, to come into effect on 1 January 2014 and asked the University Court to draft the necessary resolution. The Senatus approved a change to committee responsibilities for student discipline. The Senatus approved the memberships of the Standing Commission on Discipline and the Discipline Committee in Appendix B with immediate effect.

5.   Membership of the Academic Appeals Committee 2013/14

The Senatus approved the membership of the University Academic Appeals Committee 2013/14.

6.   Report from the Central Academic Promotions Committee

The Senatus noted the report from the Central Academic Promotions Committee informing of the approval of 32 nominations for award of academic title of Personal Chairs.

7.   Resolutions – Chairs

The Senatus made no observations on the draft resolutions.

The University of Edinburgh

The University Court

24 June 2013

Annual Report of the Senate Committees

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

This is the fourth annual report of the four Senate committees: Curriculum and Student Progression Committee; Learning & Teaching Committee; Quality Assurance Committee; and Researcher Experience Committee. It reports on activity of the Committees for 2012/13 and their strategic priorities for 2013/14 and beyond.

<u>Action requested</u>

Court is invited to note the major items of committee business from 2012/13 and to note the strategic priorities for 2013/14 and beyond.

<u>Resource implications</u>

Yes this paper will have resource implications. Some of the resource requirements will be met through existing resources or has agreed funding in place. Other activities will have funding cases considered through the annual planning round or on an individual basis through relevant channels. These will be taken forward by the relevant committee or functional area.

<u>Risk Assessment</u>

There are risks if certain projects, e.g. projects related to ELIR, are not completed due to sector compliance requirements.

<u>Equality and Diversity</u>

Has due consideration been given to the equality impact of this paper? Due consideration has been given by the Senate Committees to the equality impact of the paper. Equality impact assessments will be carried out for individual work packages completed next year.

<u>Freedom of Information</u>

Can this paper be included in open business? Yes

<u>Originator of the paper</u>

Anne Marie O'Mullane (Academic Services)
Ailsa Taylor (Academic Services)
Philippa Ward (Academic Services)
Dr Linda Bruce (Academic Services)
Susan Hunter (Academic Services)

Annual Report of the Senate Committees 2012/13

1.   Executive Summary

The Committees have achieved a great deal in this academic year and are in a good position to move forward with an ambitious agenda next year. They have developed expertise in operating within the increasingly complex external environment of learning and teaching in HE, and are reflective, strategic and effective. The Committees are tightly co-ordinated through communication at Conveners' Forum and are capable of joining forces to achieve results. Activity aligns with the strategic priorities contained in the University of Edinburgh Strategic Plan 2012-16, Enhancement Led Institutional Review implementation plan and the Learning and Teaching Strategic List. Senatus is invited to note the major items of Committee business from 2012/13 and to approve the strategic issues proposed by each of the four Committees for 2013/14 and beyond.

2.   Introduction

This is the fourth annual report of the four Senate Committees: Curriculum and Student Progression Committee, Learning & Teaching Committee, Quality Assurance Committee and Researcher Experience Committee. Each Committee outlines its achievements for the year 2012/13 and proposes strategic priorities and activities for 2013/14. These proposals arose in Committee discussions and at the April 2013 Senate Committees' Symposium.

3.   Key numbers

Committee/Sub-Committee/Task Group	Number of meetings
Quality Assurance Committee	5
QAC - Student Support Services Quality Assurance Framework Sub-Committee	2
QAC - Assuring the Quality of the Student Experience	9
Researcher Experience Committee	5
REC - Facilitating Interdisciplinary Research Task Group	4
REC - Career Development for Early Career Researchers Task Group	2
Curriculum and Student Progression Committee (CSPC)	6
CSPC Sub Group Concessions	1
CSPC - Task Group/Working Group: Assessment regulations/DRPS Review 2012-13	2
CSPC/LTC - Resits and Supplementary Assessment Working Group	3
CSPC - Special Circumstances Task Group	4
CSPC/QAC - Use of Student Data Working Group	3
Learning and Teaching Committee	5
LTC - Tutoring and Demonstrating	2
LTC - MOOCs Task Group	1

4.   Senate Committees' Symposium

The theme for the Senate Committees' Symposium which took place on 26 April 2013 was: *Ambitions for learning and teaching - the challenge of delivering excellence in a rapidly changing environment.* The Symposium gave the Senate Committees the opportunity to reflect and conduct a light touch review on the work undertaken during the academic year. It also provided an opportunity to plan activity for the forthcoming year in a coordinated manner.

The Symposium was well attended by Senate Committee members, participants from EUSA, Court and Senate, and staff invited from the Schools, Colleges and Student Services. The key themes arising from the event were:

Enhanced communication   between:

- the Senate Committees themselves
- Senate Committees and College Committees with parallel remits
- Senate Committees and those directly involved in implementing their policies and initiatives

Consolidated planning
- successful completion of activity carried over from academic year 2012/13
- recognising linkages between work streams; grouping where appropriate
- effective implementation of policies and initiatives introduced
- setting realistic time scales with recognition that not all activity can be completed within a single academic year

Budget allocation for Senate Committees for strategic initiatives
- allocation of budget for initiatives emerging during the academic year identified as being strategic enablers for learning and teaching

Presentations from the Senate Committee Symposium are available at: http://edin.ac/ZTHESk

5.   Curriculum and Student Progression Committee

5.1   Overview of outcomes from Symposium

The Curriculum and Student Progression Committee reviewed its operation over the academic year 2012/13 at the Senate Committees' Symposium. Completion of core business and the successful initiation of new strands of work was achieved and aligned to the plans agreed at the beginning of

the year. In addition and primarily as a result of cross-committee working, CSPC also led on a number of new initiatives.

The following areas will be focussed upon prior to and during session 2013/14;

Management of Academic Business

- During the planning phase estimated completion times need to recognise that some developments may take several academic cycles to initiate, implement and evaluate.
- One of the Senate committees needs to formally retain oversight of the successful embedding and implementation of new policies and approaches.

Communication

- The work-plan for the forthcoming year should be communicated to Colleges and Schools at the beginning of each academic session as an output from the planning phase of the committee.

Planning

- A key strand of work for CSPC in 2013/14 will be in developing the guiding principles and approvals processes for courses and programmes in response to the revised UK Quality Code, Chapter B1. The scoping for this work has already commenced as part of the PCIM project and is also informed by the development of our Key Information Sets (KIS).

5.2   Achievements 2012/13

Regulatory Framework

The Committee agreed a new set of set of Taught Assessment Regulations and Postgraduate Assessment Regulations for Research Degrees for implementation in the 2013/14 academic session.

The Committee revised the DRPS Degree Programme Regulations (Undergraduate and Postgraduate) for the 2013/14 academic session, including revision of the DRPS Glossary of Terms.

Assessment

A cross-committee working group was established in relation to Resits and Supplementary assessment and four work strands have been developed for implementation. Associated working group meetings have been held to take these proposals forward.

Use of Student Data

A cross-committee working group has been established in relation to the Use of Student Data, in order to review the University's analysis and use of student data. It is a Scottish Funding Council (SFC) requirement that there is institutional reporting on quality for the cycle 2012-16, with the inclusion of the key messages deriving from monitoring and analysis of performance indicators and other collected data, particularly those relating to retention, progression, completion, attainment and achievement, from analysis of feedback from students (including National Student Survey) and other key stakeholders, and actions taken as a result. This requirement took effect from September

2012 and the University will report to the SFC in September 2013 on how we use performance data and what actions have been taken as a result in academic year 2012/13. A number of associated working group meetings have been held in order to take this forward and develop a framework.

Curriculum Management

College reports: Doctor of Clinical Psychology, Weighting of Honours Years for BSc Degrees in Biological Sciences, European Masters in Landscape Architecture, Weighting of Honours Years for BSc programmes in the School of Chemistry, MSc in Global Challenges.

Scottish Credit and Qualifications Framework: Took steps to ensure that University awards and degree programmes continued to be consistent with the Scottish Curriculum and Qualifications Framework.

The Committee made a number of recommendations following report of MSc Progression Working Group regarding MSc progression and PG/Diploma/Certificate award.

School Learning and Teaching Enhancement Strategy Template development.

Key Information Sets (KIS)

KIS achievements include:

Successful submission of the first Institutional Key Information Set in summer 2012. In addition, EUCLID CCAM has been developed to hold all learning and teaching and assessment information at course level for all UGT courses and the majority of PGT courses offered within the University. This enhanced course information is available to all current students and personal tutors as well as being available on DRPS for prospective students from May 2013. Guidance documentation on the various assessment, learning and teaching categories has also been published online for students and staff to reference.

Degree Programme Specifications have been collected for all UGT degree programmes which provide more contextual information in support of the KIS datasets (as well as HEAR transcripts). DPSs have been centralised and golden copy is available on the DRPS and is also available via the UGT prospectus webpages. Work is on-going for the collection of DPSs for PGT degree programmes.

KIS went through an Internal Audit in February/March and a report will be presented to Internal Audit Committee on 30th May. Conclusions and recommendations are still being finalised but the KIS processes received very favourable response. The finalised recommendations will be considered by CSPC at a future meeting.

The KIS Framework is currently being reviewed by HESA/HEFCE and modifications to the summer 2013 return are currently being reviewed and managed. We are on target for delivering the KIS submission in the summer 2013.

Policy and Guidance Review

Policy Development: new Student Maternity and Family Leave Policy, and approval of Gaelic in Assessed Work Policy.

Guidance: Approved guidance for Colleges and Schools: *"Principles of Internal Moderation of Taught Assessment".*

The Committee established a Special Circumstances Task Group which has been working on the review of our policy and procedures in this area.

Members of CSPC have been contributing to the General Statement and Code of Student Discipline.

5.3 Planned Activity 2013/14

5.3.1 Carry Over Activity from 2013/14

(i) **Use of Student Data**
Use of Student Data Working Group
Compliance with sector requirement set by the SFC.

(ii) **Assessment**
Resits and Supplementary Assessment Working Group;
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(iii) **Policy and Guidance Review**
Special Circumstances Task Group and review of policy and guidance
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

5.3.2 Activity Planned at the Senate Committees' Symposium

(i) **Membership**
Membership of the Committee and task/working group membership review, pro-actively building capacity on the Committee and on task/working groups, to be considered further.
This aligns with the Strategic Plan goal "Excellence in education", and "Excellence in innovation".

(ii) **Planning**
3-5 year Committee planning cycle in addition to annual planning, and visual map planning documents - to be considered further.
This aligns with the Strategic Plan goal "Excellence in education".

(iii) **Funding**
Consideration of the funding model for Committees – proposal for Conveners' Forum to discuss further.
This aligns with the Strategic Plan goal "Excellence in education".

(i) **Regulatory Framework**

Taught Assessment Regulations and Postgraduate Research Assessment Regulations for 2014/15 and DRPS Degree Programme Regulations Review for 2014/15.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(ii) **Masters by Research**

Clarify requirements for Masters by Research degrees. Scoping project required to map out requirements for MRes, MBA, MBS and common patterns. This can be managed through Committee business and information gathering from the scoping project.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(iii) **Zero Credit Rated Courses**

Scoping project to map out current activity. This can be managed through Committee business and information gathering from the scoping project.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(iv) **Key Information Sets (KIS)**

Not an exhaustive list of work strands:
• Communication with Schools, modelling and analysis of data to ensure no anomalies, KIS Data finalisation, benchmarking exercise, Development of CCAM software which will hold the KIS T&L and assessment
• Collection of UGT and PGT Learning and Teaching and assessment data, enhancement of Accreditation Database (for KIS and SFC returns)
• Monitor and review the KIS data once finalised and published in September 2013.
This aligns with sector requirements, including SFC guidance and UK Quality Code.

(v) **Programme and Course Information Management Project (PCIM)**

The project aims to enhance the student experience by providing accurate, consistent and usable information to support academic choice. The project aims to support staff by delivering robust solutions to the management of information and to reduce duplication of effort. It aims to review information provided to students in course and programme handbooks to ensure consistent information is provided. Key activity required in the development of design principles and approval processes for programmes and courses in response to Chapter B1 of the UK Quality Code *"Programme Design and Approval"* –and the role, remit and responsibilities of Boards of Studies in this regard. The project is currently in the scoping

phase. The project vision and approach will be presented for approval to the Curriculum and Student Progression Committee on 20 September 2013 and the Learning and Teaching Committee on 25 September 2013. The project reports to CSPC and LTC.

This aligns with the Strategic Plan goal "Excellence in education", UK Quality Code Chapter C5: Information about Higher Education Provision; ELIR Theme "Institutional Oversight and Consistency", UK Quality Code B1: Programme Design and Approval.

6.   Learning and Teaching Committee

6.1   Achievements 2012/13

Learning and Teaching Committee has tackled a significant array of issues focussed on the implementation of the University Strategic Plan 2012-16 and the recommendations made in our ELIR 2012. Its work-rate has been high, and significant achievements can be mapped against the areas of work agreed at the beginning of the year:

(i)   National Student Survey (NSS) Returns and Feedback

Learning and Teaching Committee engaged in extensive discussion on NSS returns, strategies for remediation, assessment and feedback. NSS actions were considered by the Committee at its May meeting. Other relevant student surveys, including the Edinburgh Student Experience Survey, were reviewed and appropriate action taken.

(ii)   Enhancing Student Support Project

Learning and Teaching Committee oversaw the successful implementation of Phase 2 of the Project, including the introduction of Undergraduate Personal Tutors and planning for Postgraduate Taught Personal Tutors.

(iii) Flexible Pathways

Discussions relating to flexible entry and exit points for degrees, flexibility to study abroad, distance learning and part-time study were initiated by Learning and Teaching Committee, and will continue in the Academic Year 2013/14.

(iv)   Continuing Professional Development for Learning and Teaching

Learning and Teaching Committee approved an overarching framework for CPD developed by the Institute for Academic Development.

(v) Massive Open Online Courses (MOOCs) Task Group

Learning and Teaching Committee oversaw the establishment of the MOOCs Task Group, which will, in due course, bring approval and quality assurance mechanisms for MOOCs into line with standard University procedures, and ensure that pedagogical oversight is provided by Learning and Teaching Committee.

(vi) Resits

The Committee considered outline recommendations and related, proposed work streams aimed at reducing the number of resits for pre-honours courses. This work will continue in the Academic Year 2013/14, and potentially beyond.

(vii) Employability

The Committee oversaw the development of the Employability Strategy Group's agenda, and will continue to monitor progress in 2013/14. Notable this year was the significant up scaling of the Edinburgh Award, which was commended by the Committee.

(viii) Learning and Teaching Enhancement Strategy

Learning and Teaching Committee reviewed, updated and approved the University's Learning and Teaching Enhancement Strategy. Draft School Learning and Teaching Enhancement Strategy Templates were developed, and their suitability considered. Further work to harmonise University, College and School-level Strategies will be undertaken in 2013/14.

(ix) Accessible Learning

The University Policy for Accessible and Inclusive Learning, developed by a task and implementation group of the Quality Assurance Committee, was approved. The policy incorporates the mainstreaming of common disability adjustments, which will be implemented for the academic year 2013/14.

(x) Task Group on Tutoring and Demonstrating

Learning and Teaching Committee oversaw the work of the Task Group on Tutoring and Demonstrating, established in response to ELIR recommendations, and considered its final report. Three other, related University initiatives were identified: the development of the overarching framework for Continuing Professional Development; work being undertaken by the Careers Service to increase on-campus employment opportunities for postgraduate research students; and work on pay being undertaken by Human Resources. Learning and Teaching Committee agreed to assess the way in which the four projects intersected, and to take further action in relation to the Task Group's recommendations once the outcomes of this assessment were known.

(xi) External Developments

The Committee engaged with a number of external developments including Curriculum for Excellence, Enhancement Themes and Quality Code mapping.

6.2   Planned Activity 2013/14

6.2.1 Operational Enhancements

A number of operational enhancements were agreed for 2013/14:

- breadth of activity would be reduced, and depth increased;
- a 'top-down' and 'bottom-up' approach to the generation of business would be adopted;
- greater alignment between Senate Learning and Teaching and College Learning and Teaching Committees would be sought;
- the boundaries of Learning and Teaching Committee's responsibility within areas of activity would be more clearly defined, and where possible, Committee business would be clustered to bring greater clarity;
- and strategies to improve communication, including the production of a brief summary of Learning and Teaching Committee's activity after each meeting, would be employed.

6.2.2 Carry over activity from 2012/13

(i)   **NSS Remedation and Surveys**

NSS remediation will form a core part of Learning and Teaching Committee's business in 2013/14, and will incorporate work on assessment principles and ongoing efforts to raise the profile of teaching. The Committee will also continue its consideration of other relevant student surveys.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education", and the Learning and Teaching Strategic List 2012-15.

(ii)   **Enhancing Student Support Project (including Personal Tutors, the Student Experience Project and Peer Support)**

Learning and Teaching Committee will continue to have an oversight role. The Committee's area of responsibility will be more clearly defined.
This aligns with the Strategic Plan theme "Outstanding student experience", and is an ELIR requirement under the "Enhancing the Student Experience" theme.

(iii) **Flexible Pathways**

Discussions on flexible entry and exit points to degrees, flexibility to study abroad, distance learning and part-time study initiated in 2012/13 will be taken forward.
This aligns with the ELIR theme, "Enhancing the Student Experience".

(iv)   **MOOCs Task Group**

Learning and Teaching Committee will continue to oversee the activity of the MOOCs Task Group, which will consider how best to take MOOCs forward and normalize approval and quality assurance mechanisms.

(v) Resits

Work aimed at reducing the number of resits for pre-honours courses will continue. It is recognised that this area of activity may continue beyond 2013/14.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(vi) Employability

Learning and Teaching Committee will continue to map progress against the actions assigned to it in the Employability Implementation Plan.

(vii) Learning and Teaching Enhancement Strategy

Work to harmonise University, College and School-level learning and teaching enhancement strategies will continue in 2013/14.
This aligns with the Strategic Plan goal of "Excellence in education."

(viii) Accessible Learning

Work to ensure that this has been fully implemented, and to define Learning and Teaching Committee's role in the ongoing monitoring of accessible learning will be undertaken.
This aligns with Quality Code Chapter B4, the ELIR theme "Curriculum Development", and the Strategic Plan goal of "Excellence in education" and the Strategic Plan theme "Outstanding student experience."

(ix) Curriculum for Excellence

Work to ensure that the University is fully prepared for students entering in 2015 with qualifications obtained under Curriculum for Excellence will continue. Ensuring that first year course organisers are given the space to consider fully the implications of the new qualifications will be vital to these preparations.
This aligns with sectoral requirements, and with the Strategic Plan goal of "Excellence in education."

6.2.3 New Activity for 2013/14

(i) Programme and Course Information Management (PCIM) project

This project aims to enhance the student experience by providing accurate, consistent and usable information to support academic choice; to support staff by delivering robust solutions to the management of information; and to reduce duplication of effort. The project is currently in the scoping phase, and its vision and approach will be presented for approval to Learning and Teaching Committee and Curriculum and Student Progression Committee in September 2013. Learning and Teaching Committee will be asked to taken on an oversight role.
This aligns with the Strategic Plan goal of "Excellence in education", UK Quality Code Chapters B1 and C5, and the ELIR theme, "Institutional oversight and consistency".

(ii) Study Abroad Task Group

This Task Group will review the arrangements that are in place for study abroad, and propose changes to practice and regulation with the aim of achieving consistency in the University's approach to recognising grades and awarding academic credit for study abroad. Learning and Teaching Committee will be asked to oversee the work of this Group.
This aligns with UK Quality Code Chapter B10.

(iii) Learning and Teaching Spaces

Recognising the importance of learning and teaching spaces to the educational experience, a representative of the Learning and Teaching Spaces Advisory Group will be invited to attend a meeting of Learning and Teaching Committee.
This aligns with the Strategic Plan theme "Outstanding student experience" and the Strategic Plan goal "Excellence in education".

(iv) Annual Joint Meeting of Learning and Teaching Committee and Senate Quality Assurance Committee

In recognition of the overlap between Learning and Teaching Committee and Senate Quality Assurance Committee business, a joint, annual meeting of the two committees will be held.

(v) "Learning and Teaching Committee Challenge"

Learning and Teaching Committee will aim to introduce at least one initiative that reduces the burden on Schools in 2013/14.

7. Quality Assurance Committee

7.1 Achievements 2012/13

The Committee's activity combined on-going assurance of quality and standards with enhancements designed to contribute to improving the student experience. The Committee delivered a successful and demanding task group outcome in 2012/13, together with effective oversight of key elements of the quality assurance framework.

(i) Surveying the Student Experience

The activity of the Assuring the Quality of the Student Experience task group resulted in the successful launch of the first Edinburgh Student Experience Survey for all non-final year undergraduate students. The aim of the survey is to deliver a better understanding of a variety of key factors within the student experience, with a particular emphasis on understanding how students respond to the NSS and where actions can be targeted most effectively in remediation. In addition, the task group designed core questions for course monitoring surveys with the aim of improving identification of common themes across the University and actions that can be taken in response, and undertook an initial trial of these and potential software for more streamlined electronic and paper delivery in a small-scale

pilot with Schools. The task group has developed Principles and a Code of Practice for Learning From and Responding To the Student Voice, destined for implementation in academic year 2013/14.

(ii) ELIR Response

The University's response to the 2011 Enhancement-Led Institutional Review (ELIR) by the Quality Assurance Agency (Scotland) (QAA) was approved by Senate and Court and transmitted to the QAA and the Scottish Funding Council by the required deadlines. The response sets out actions taken to date to address the ELIR recommendations, together with an assessment of their effectiveness, or plans to evaluate the effectiveness.

(iii) Student Engagement in Quality

A joint EUSA-University statement on student engagement was launched: http://edin.ac/13AJAjA
In partnership with EUSA, work is well advanced on the development of Student Staff Liaison Committee Principles and guidance for Schools on consideration of themes from external examiner reports at Student Staff Liaison Committees. Proposals are expected to be considered at the Committee's first meeting of 2013/14, for implementation during that year. The formation of a Student Quality Innovation Forum in the College of Humanities and Social Sciences is providing the opportunity for further student engagement, and is being adopted in the College of Science and Engineering. The work aligns with the UK Quality Code Chapter B5, Student Engagement.

(iv) Accessible Learning

Following on from the Committee's task and implementation groups on Accessible Learning in 2010/11 and 2011/12, Senate Learning and Teaching Committee approved the University Policy for Accessible and Inclusive Learning. The policy incorporates the mainstreaming of common disability adjustments and will be implemented for academic year 2013/14.

(v) Internal Review

Internal subject review, Teaching Programme Review, was carried out in 7 areas: Childhood Practice, Classics, Earth Sciences, Engineering, Economics, History of Art and Philosophy. Postgraduate Programme Review was carried out in 4 areas: the College of Medicine and Veterinary Medicine, Edinburgh College of Art, GeoSciences and Languages, Literatures and Cultures. In all cases provision was confirmed was appropriate and meeting sector standards. The Committee has taken a more explicit role in oversight and approval of reports and responses from reviews with the aim of strengthening University oversight of review activity and actions and themes emerging from it. In order to disseminate good practice from reviews more effectively and build capacity, an event was held in conjunction with the Institute for Academic Development, based on the themes of graduate attributes and student engagement.   Representatives from the Higher Education Academy, the Enhancement

Themes and the Quality Assurance Agency attended the event, and staff from Academic Services provided advice on preparation for future internal subject review. It is intended that this event will take place annually or bi-annually.

The annual review was carried out of 11 student services which have a direct impact on the student experience. It was evident from the reviews and from high ratings in external benchmarking surveys that the student services are a major factor in overall student satisfaction. The support services view of the process was that it was a productive, collegial learning experience.

(vi) External Examiner Electronic Reporting

A successful bid was made to Information Services for a system for online submission and tracking of external examiner reports and outcomes. This is envisaged as one element of a larger vision for an online Quality Hub (see Planned Activity).

(vii) School Director of Quality Role

The first annual briefing was held for School Directors of Quality and School professional staff with a quality assurance remit. An outline for the role of School Director of Quality was developed and will be reviewed during 2013/14. An area to support School Directors of Quality is being developed on the Academic Services website.

7.2 Planned activity 2012/13

(i) Enhancing the Student Experience

It is proposed that an extended course monitoring survey pilot will be carried out in Semester 1 2013/14, involving a more extensive number of Schools. This will support both hard copy and electronic surveys. During the pilot it is expected that student support services will be able to utilise the survey tool for other surveys, subject to capacity of the software licence.

Assuming that the extended pilot continues to deliver positive results, it is proposed to initiate a procurement exercise in January 2014, subject to funding approval, leading to purchase in early 14/15, with a view to full roll out in December 2014/January 2015 of a common course monitoring survey with additional School question banks if sought.

Guidance will be developed by the Student Surveys Coordinator in conjunction with Academic Services of guidance for use of survey data in staff student liaison committees.

A student surveys advisory group will be formed to have strategic oversight of the management and development of the University's student surveying activity. The advisory group will report to Learning and Teaching Committee, which will set strategic directions based on intelligence from surveys, and will remit actions as appropriate.

A core part of the Committee's activity in 2013/14 will focus on enhancing the student experience. This aligns with the Strategic Plan Goal "Excellence in education" and the Strategic Theme of "Outstanding student experience". It aligns with the ELIR substantive theme of Enhancing the Student Experience, and with the UK Quality Code Chapter B8, 'Programme Monitoring and Review'.

(ii) ELIR Implementation and ELIR 2015 Planning

The Committee will continue to have oversight of progress with implementing ELIR recommendations from the 2011 review.   Planning will begin for the University's next ELIR, provisionally scheduled for 2015.

Activity in this area aligns with all ELIR substantive themes: Curriculum Development, Enhancing the Student Experience, Student Engagement in Quality, Collaborative Provision, Quality Assurance Framework, Continuing Professional Development and Institutional Oversight and Consistency.

(iii) Student Engagement in Quality

Work will continue in partnership with EUSA to ensure that the University complies with and potentially exceeds the UK Quality Code in this area.

Activity in this area aligns with the Strategic Plan Theme "Outstanding student experience," UK Quality Code Chapter B5, 'Student Engagement', and the ELIR substantive theme of Student Engagement in Quality.

(iv) Collaborative Provision

A task group of the Committee will respond to the ELIR recommendation that there would be benefit in the University introducing a consistent approach to the arrangements for recognising grades and awarding academic credit for study abroad opportunities.The Committee will monitor and evaluate the effectiveness of the implementation of revised Code of Practice for University of Edinburgh Students Studying Abroad.

QAC agreed at its meeting on 23 May to undertake a further package of work in 2013/14 on collaborative provision. This will include refreshing the outputs of the 2010/11 and 2011/12 task groups in the light of the recently revised UK Quality Code Chapter B10, 'Managing Higher Education Provision With Others', and clarifying responsibilities with the University for management of the collaborative provision framework.

The activity aligns with the Strategic Plan Goal "Excellence in education," the ELIR substantive theme of Collaborative Provision, and the UK Quality Code Chapter B10, 'Managing Higher Education Provision with Others'.

(v) Quality Assurance Framework

Phase One of the external examiner online reporting project will begin in August 2013 and forms the first part of a wider vision to develop a virtual Quality Hub. The intention is for a scheme of golden copy information about key quality indicators, including student survey and annual monitoring themes and student performance data to be available to School and College staff for interrogation, reflection and planning. Resource which is currently devoted to information gathering and lengthy reporting cycles would be channelled into identifying areas for action and planning accordingly.

The Committee will continue to monitor action taken following internal subject review and student support service review. In the latter, the first Periodic Enhanced Review will be carried out and will focus on Information Services with a particular emphasis on Library Services, Computing Services and e-learning.

In alignment with the Scottish Higher Education Complaints Handling Procedure, the Committee will begin to receive quarterly reports on student complaints with a view to identifying potential actions to enhance the student experience.

The activity aligns with the University Strategic Plan Goal " Excellence in education," The UK Quality Code Chapter B7, 'External Examining' and the UK Quality Code in general, and the ELIR substantive theme of Quality Assurance Framework.

7.3   Activity planned at the Symposium

The Committee's forward plan was largely established by the time of the Symposium. The Symposium therefore afforded the opportunity for the Committee to consider its planning in the context of effective governance.

Effective Governance

The Committee identified the need for actions to increase the effectiveness of governance within its own remit, and across the Senate committees more broadly. A key strand was that of engagement with committee constituencies, encouraging broader involvement and two-way communication, and thus developing the Senate committees as enablers. The need for clearer communication was identified as relating to all aspects of committee activity, including alignment and information-flow from and to College committees with parallel remits, the creation of 'committee champions' linked to the College committee structure, priority-setting, clarity of what was expected of committee members, and implementation of task group outputs.

The Committee identified that the effectiveness of the Senate committees would be enhanced further by strengthening mechanisms for evaluating the impact of their activity, and by having common baseline management information available simultaneously to all Senate committees. The latter might include themes emerging from the Enhancing Student Support project and the Edinburgh Student Experience Survey.

The Senate committees may wish to consider extending their mode of operation. This might include joint meetings with other Senate committees for themed meetings. In this respect the Committee identified the potential for periodic joint meetings with Senate Learning and Teaching Committee, a potential joint task group with other Senate committees on outcomes from evaluation of student performance data, and work with Senate Researcher Experience Committee in relation to the quality assurance, monitoring and evaluation of postgraduate research provision. In terms of increasing the value of task group activity, a core task group might engage in a structured way with a larger consultative group; it was agreed that this approach would be trialled with the Credit for Study Abroad task group in 2013/14.

The Committee noted that the Senate Committees are responsible for high volume activity driven by the requirement for cross-University impact, but do not have access to a dedicated budget to support their activity.

The activity aligns with the overarching ELIR theme of Institutional Oversight and Consistency.

8.   Researcher Experience Committee

8.1   Achievements 2012/13

REC set its agenda goals in September 2012 and achieved the following outputs. The Committee recognises that some of these outputs will carry forward to future strategic planning:

(i)   **3 Minute Thesis**

REC supported the development of the University 3 Minute Thesis competition and established participation in the international U21 competition.
This aligns with the Strategic Goal "Excellence in Research".

(ii)   **QAA Code of Practice Ch11 Research Degrees**

REC discussed and responded to consultation on the new QAA Code of Practice chapter on research degrees. This aligns with the Strategic Goal: Excellence in Research and the UK QA Code of Practice.

(iii)   **ELIR implementation**

Progress was made on recommendations from ELIR report and REC will continue to relate its business to the report as appropriate. *This aligns with the Strategic Goal: Excellence in Research.*

(iv)   Impact Training Working Group

A Working Group of REC met to discuss impact training and produced a report which was endorsed by the Committee and remitted to the Staff Committee where it was endorsed. *This aligns with the Strategic Goal: Excellence in Research.*

(v)   Facilitating Interdisciplinary Research

This Task Group met during the academic session and submitted its final report with recommendations to REC in May 2013. Work on prioritising and implementation of task group recommendations will continue as part of the Committee's strategic planning. *This aligns to the Strategic Goal: Excellence in Research.*

(vi)   Associated institutions

REC reviewed and updated the procedure for according associated institution status. One new associated institution status was also recommended for approval by Senior Management for Scottish Language Dictionaries Ltd. *This aligns with the Strategic Goal "Excellence in innovation" and the UK QA Code of Practice Chapter B10*

(vii)   Lab book ownership

REC facilitated discussion and supported Colleges in developing policy on lab book ownership. *This aligns with the Strategic Goal "Excellence in innovation".*

(viii) Associate Supervisor status

Progress in Colleges on recognition for postdocs supervising PhD students was supported by REC. *This aligns with the Strategic Enabler "People".*

(ix)   People Strategy

HR produced a draft strategy which REC was pleased to endorse.
This aligns with the Strategic Enabler "People".

(x)   Surveys 2013

Surveys strategies were agreed for the promotion and operation of the Postgraduate Research Experience Survey (PRES), Careers in Research Online Survey (CROS) and Principal Investigators and Research Leaders Survey (PIRLS). REC provided institutional questions to be added to PRES and had input on institutional questions for both CORS and PIRLS. The Committee will continue to monitor survey outcomes to identify areas for enhancement in its strategic planning.
This aligns with the Strategic Theme "Outstanding student experience "and Strategic Enabler "People"

(xi) Career Development for Early Career Researchers

This Task Group will continue its work into the next academic year, producing a report with recommendations by December 2013. REC will then review the report as part of its wider Task Group review (see carry over activity).
This aligns with the Strategic Enabler "People".

(xii) Non-traditional PhD

This REC Task Group surfaced issues particularly in relation to distance research students. REC will consider this in its future strategic planning in conjunction with Committee business related to Phase 3 of the Enhancing Student Support project.
This aligns to the Strategic Theme "Outstanding student experience".

(xiii) PGR Assessment Regulations

Input to the annual review of assessment regulations for postgraduate research degrees was delivered through committee discussion and feedback to the assessment regulations event in April 2013. *This relates to the Strategic Theme: Outstanding student experience.*

(xiv) Equality Outcomes & Mainstreaming

REC contributed to consultation on the Development of University Equality Outcomes paper by Committee discussion and feedback to HR. REC was asked to endorse the approach by HR to meeting the legal requirement on the University to report equality outcomes. *This relates to the Strategic theme: Equality and widening participation.*

(xv) Higher degrees

A review of the Higher Degree regulations was carried out by a sub-group of REC. Its report with recommendations was remitted to Senate.

(xvi) Payment of PGR external examiners

The Committee confirmed requirements for payment of external examiners. Further discussion on this topic will be included in future strategic planning.

8.2   Planned Activity

8.2.1 Carry over activity:

(i)   Task Groups

A review of REC task groups from previous years, considering what has worked well and lessons to be learned in membership, remit and implementation of recommendations will form a major part of business for the coming year. REC will determine measures of success and process for monitoring and evaluation of implementation and embedding task group recommendations. *This aligns with a variety of goals, enablers and themes in the Strategic Plan and UK QA Code of Practice.*

(ii)   REC Interaction & Membership

The Committee interacts across the University research community, including students, researchers and Senate members. Broadening REC's membership to include students and early career researchers as members will be investigated along with more avenues for student participation, increasing opportunities for stakeholders' input to REC's activities and steering its agenda of work. The Careers Services was identified as a key stakeholder in future strategic planning for REC. It is envisaged that this will aid upward and downward engagement and REC aims to be explicit about its role. Engagement with funders will also be explored to enhance the Committee external interaction.

8.2.2 Activity planned at Symposium:

The Committee also discussed new business for discussion in the next academic year. Known items are included in the forward strategic plan, with recognition that some agenda items will be delivered over more than one academic year.

(i)   Third phase of the Enhancing Student Support (ESS) project

Postgraduate research student support is a major item of work and will be a standing item on REC agendas. Phase 3 of the ESS project will be closely linked to REC business and is likely to include discussion on work coming out of REC task groups, for example Distance PhDs (although the Committee recognises that timing may not be right for this at present). The planned review of Code of Practice for Supervisors and Research Students will also closely link to ESS Phase 3.

This will be delivered over a three year period initially through Committee discussion and interaction with the project management board, SSIG.
The work aligns with the Strategic Plan goal "Excellence in education" and the Strategic Plan theme "Outstanding student experience "and the UK Quality Code.

(ii) Employability project

REC will look at Graduate Attributes from a postgraduate research perspective, liaising with the Careers Service and IAD. This is also linked to ESS Phase 3. The work will be delivered through Committee discussion and interaction with the Careers Service.
It aligns with the Strategic Plan goal "Excellence in education."

(iii) PhD supervisor award

Possibilities for an award for PhD supervisors, similar to EUSA teaching awards, will be explored with the Students' Association and Colleges. This will be delivered through Committee discussion and interaction with EUSA.
This aligns with the Strategic Plan goal "Excellence in research" and the Strategic Plan Enabler "People".

(iv) Principal's Career Development Scholarships (PCDS)

The Committee will review and evaluate PCDS, linked to the Employability project and the method of delivery will be discussed by the Committee.
This aligns with the Strategic Plan goals "Excellence in research" and "Excellence in education".

(v) Sharing Good Practice

REC will investigate methods of sharing developments from Colleges, to spread good practice and draw on recent Academic Registry work to plan for mapping the PGR lifecycle.
  Areas identified include learning from and Postgraduate Programme Reviews (PPRs) and investigating systematic follow-up of PPRs and learning from good practice on Chancellor's Fellows. The methods of delivery will be discussed by the Committee during the academic year 2013/14.
This aligns with the Strategic Plan goals "Excellence in research" and "Excellence in education" and the Strategic Plan theme "Outstanding student experience.

8.2.3 Other activity

The REC agenda for 2013/14 will also include these topics which were not discussed as part of the planning session at the Symposium:

(i) Surveys

REC will continue to engage with PRES, CROS, PIRLS and other relevant surveys to share best practice and identify areas for enhancement.
This aligns with the Strategic Plan goal "Excellence in research" and the Strategic Plan theme "Outstanding student experience.

(ii) Academic

REC will continue to engage with reviews of academic regulations (for example assessment regulations).
This aligns with the Strategic Plan goal "Excellence in research" and the Strategic Plan theme "Outstanding student experience.

(iii) Governance

REC will continue to engage with other Senatus and Court Committees and University Services as appropriate. In all its activities REC will look at enhancement benefits to guide its strategic direction.

Authors

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28 May 2013

Appendix   **Learning and Teaching Strategic list 2012-15**

To do list from the University's Strategic Plan 2012-16:
Learning and Teaching
- Develop the personal tutor scheme
- Generate more flexible degree pathways
- Facilitate study abroad and work based learning
- Engage students with research and knowledge exchange
- Involve employers in our thinking about degrees
- (Expand distance education provision)
- Widen use of new technologies

Outstanding student experience
- Train personal tutors and student support officers
- Raise awareness and opportunities within the co-curriculum
- Facilitate student peer support
- Develop Edinburgh Awards and HEAR
- (Develop learning and teaching spaces)
- (Provide facilities for student sports and societies)
- (Take action in response to student feedback)
- Embed graduate attributes further and more visibly
- Link schools and central support services
- (Engage students as alumni)

Other parts of the strategic plan
- Offer all students study opportunities in social responsibility and sustainability
- (Engaging successfully with widening participation agendas)

Learning and Teaching three year plan

2012/13	2013/14	2014/15
(Flexible degree pathways)…..	*Flexible degree pathways – (curriculum design)*	Curriculum design
(Programme and Course Information…………)	**Programme and Course Information…………**	**Programme and Course Information…………**
Accessibility…………………	*Accessibility*	
(Resits)………………………	**Resits and assessment**……	**Resits and assessment**…..
Personal tutors………………	**Personal tutors**………….	**(Personal tutors)**
(Peer support)……………….	**Peer support**…………….	Peer support……………….
	(could turn into Student Engagement)	(could be Student engagement)
Edinburgh Award …………..	*Edinburgh Award*	
HEAR………………………	*HEAR*	
NSS…………………………	**NSS**……………………	**NSS**…………………….
(Curriculum for excellence)..	Curriculum for excellence.	**Curriculum for excellence**
(HEA CPD)……………….	**HEA CPD**……………….	**HEA CPD**……………….
	(Study and work abroad)...	**Study and work abroad**
	(E-learning in the classroom, Virtual Erasmus, chatrooms, MOOC-type courses)…	E-learning in the classroom, Virtual Erasmus, chatrooms, MOOC-type courses
(MOOCs)…………………..	MOOCs…………………..	**MOOCs**…………………..
Employability………………	**Employability**……………	**Employability**…………….

Activities starting are in brackets. Activities finishing are in italics. In bold, activities highly visible to Schools

<u>The University of Edinburgh</u>

The University Court

24 June 2013

Draft Resolution

The Court is invited to approve the following draft Resolution and to refer it to the General Council and to the Senatus Academicus for observations:

Draft Resolution No. 73/2013:   Code of Student Conduct

Dr Katherine Novosel
June 2013

UNIVERSITY OF EDINBURGH

Draft Resolution of the University Court No. 73/2013

Code of Student Conduct

At Edinburgh, the Xxx day of Xxxx, and Two thousand and thirteen.

WHEREAS the University Court, on the recommendation of the Senatus Academicus, deems it expedient to amend the regulations governing student conduct:

THEREFORE the 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 4 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The attached Code of Student Conduct shall become operative in the University of Edinburgh.

2.   On the date on which this Resolution comes into force, Resolutions 48/1999, 33/2000, 37/2002, 3/2007, 3/2009 and 13/2010 shall be repealed.

3.   This Resolution shall come into force with effect from 1 January 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

THE UNIVERSITY OF EDINBURGH

POLICY

Code of Student Conduct

Scope

1   The Code of Student Conduct applies to all students of the University. It applies
     to

     a.   activities in which they engage in their capacity as students of the
     University; or

     b.   services or facilities they enjoy by virtue of being a student of the
     University; or

     c.   their presence in the vicinity of, or their access to, any premises owned,
     leased or managed by the University, the Edinburgh University Student
     Association (EUSA) or the Edinburgh University Sports Union (EUSU); or

     d.   any activity not covered by a), b) or c) above, which is considered to
     affect adversely the safety, interests or reputation of the University, its
     students, employees or authorised representatives, as outlined in this
     Code.

Basis of Jurisdiction

2   Under the Universities (Scotland) Acts all students of the University are subject
     to the jurisdiction of the Senate, for their studies and for their conduct. The
     Senate has primary responsibility for student discipline and recommends to the
     University Court the University's disciplinary procedure[1].

3   For students on programmes of study which are provided jointly between the
     University of Edinburgh and another institution, misconduct alleged to have
     been committed on the premises of either institution shall be dealt with under
     the relevant institution's discipline regulations. Which regulations take priority
     may be agreed in writing between the institutions. When the alleged
     misconduct is committed elsewhere, the University Secretary of the University
     and of the other institution, or their nominees, shall consult and decide whether
     the case shall proceed under the Code of Student Conduct of the University of
     Edinburgh or that of the other institution.

Student Conduct

4   The primary purposes of the University are the advancement and application of
     knowledge and the education of its members; its central activities are teaching,
     learning and research. These purposes can be achieved only if the members of
     the University community have mutual trust and confidence and can live and

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[1] http://www.legislation.gov.uk/ukpga/1966/13

work beside each other in conditions which permit freedom of thought and expression within a framework of respect for the rights of other persons.

5   All students of the University are required at all times to conduct themselves in an appropriate manner in their day to day activities, including in their dealings with other students, staff and external organisations. Students are required to comply with University policies and regulations.

6   By matriculating, or by enrolling on any University course, a student becomes a member of the University community and is subject to University discipline. The University may also take action under this Code when the individual concerned is no longer registered or enrolled at the University.

7   Students' behaviour may be affected by some health conditions or disabilities. However, the University has a duty to ensure that members of the University community are not subjected to unacceptable behaviour and any allegations of inappropriate behaviour will be investigated. Where health conditions or disabilities may be a contributing factor, reports or evidence of these will be taken into account. Where student conduct is found to be unacceptable as a result of a health condition or disability, the University will endeavour to offer appropriate support to assist the student but may take action under the Code of Student Conduct.

University responsibilities

8   The University aims to deal with all disciplinary issues in a fair and consistent manner. It recognises that, for the students and staff concerned, involvement in disciplinary procedures can be difficult and stressful. The University will therefore ensure that those involved are made aware of available guidance and support, and that disciplinary issues are dealt with as quickly as the specific circumstances allow.

9   Considering and using disciplinary action at an early stage can prevent more serious offences or issues arising. The University views the Code of Student Conduct and discipline procedures as a part of a welfare approach: misconduct may be the first indicator of underlying problems. The process can provide students with an opportunity for reflection and learning.

10   The University will:

     a.   Make this Code and associated guidance material available to all students and staff [include link to guidance when available]

     b.   Deal with student disciplinary issues in a proportionate and transparent way, as soon as issues become apparent

     c.   Respect the need for confidentiality in relation to disciplinary issues

     d.   Implement the Code of Student Conduct in line with all data protection legislation.

11   The Senate may devolve responsibility to relevant Senate committees, with appropriate student membership, for:

     a.   Keeping the Code of Student Conduct under review, and proposing any amendments to the Senate and the University Court;

b.   Discussing, reviewing and approving appropriate student disciplinary procedures and guidance;

c.   Proposing nominations for the Senate to appoint members of the Student Discipline Committee, and appointing Student Discipline Officers; and

d.   Considering an Annual Report about the number, types and outcomes of cases of misconduct found to have been committed.

Misconduct Offences

12   Examples of student misconduct are provided below. This list is not exhaustive. The University may choose to investigate and take action on misconduct offences whether they take place on University, EUSA or EUSU premises or elsewhere. Below, "Person", means any student of the University; any employee of the University; any visitor to the University; any subcontractor employed by the University or any other authorised representative of the University.

12.1 Disrupting, or interfering with any academic, administrative, sporting, social or other University activities;

12.2 Obstructing, or interfering with, the functions, duties or activities of any Person;

12.3 Violent, indecent, disorderly, threatening or offensive behaviour or language (whether expressed orally, in writing or electronically) including harassment of any Person whilst engaged in any University work, study or activity;

12.4 Conduct which unjustifiably infringes freedom of thought or expression whilst on University premises or engaged in University work, study or activity;

12.5 Fraud, deceit, falsification of documents, deception or dishonesty in relation to the University or its staff or in connection with holding any office in the University or in relation to being a student of the University;

12.6 Behaving in a way likely to cause injury to any Person or impair safety;

12.7 Discriminating against any Person on grounds of age, disability, race, ethnic or national origin, religion or beliefs, sex, sexual orientation, gender reassignment, pregnancy, maternity, marriage or civil partnership, colour or socio-economic background;

12.8 Failing to comply with any University rule, regulation or policy;

12.9 Assessment offences, including making use of unfair means in any University assessment or assisting a student to make use of such unfair means;

12.10 Misconduct in research;

12.11 Damaging, defacing, stealing or misappropriating University property or the property of any Person;

12.12 Misusing or making unauthorised use of University premises or items of property, including IT facilities or safety equipment;

12.13 Deliberately doing, or failing to do, anything which thereby causes the University to be in breach of a statutory obligation;

12.14 Behaving in a way which brings the University into disrepute (without prejudice to the right to fair and justified comment and criticism);

12.15 Making false, frivolous, malicious or vexatious complaints;

12.16 Failing, upon request, to disclose name and other relevant details to an officer or employee of the University in circumstances when it is reasonable to require that such information be given;

12.17 Failing to comply with a previously-imposed penalty under this Code;

12.18 Any misconduct prior to a student's enrolment at the University of Edinburgh, which was not previously known to the University, which raises questions about the fitness of the student to remain a member of the University community; poses a threat to any Person or the discipline and good order of the University; or raises questions about the student's fitness to be admitted to and to practise any particular profession to which the student's course leads directly.

13   Detailed regulations and policies are published separately about, for example, University examinations, libraries, the use of computing facilities, the use of automatically processed personal data (in connection with academic work), academic misconduct, fitness to practise in a particular profession and University managed accommodation. Breaches of any of these or other University regulations or policies which amount to misconduct as outlined above, may be dealt with under the Code of Student Conduct.

Misconduct and the Law

14   The University may report to the police any allegation that a criminal offence has been committed.

15   The University encourages any student who has been the victim of an alleged criminal offence to report this to the police, and, if relevant, to the University.

16   Where alleged misconduct constitutes a criminal offence, the University may investigate or take disciplinary action whether or not the matter has been referred to the police and whether or not criminal proceedings have begun or been completed.

17   The University may, at its discretion, suspend any internal investigation or disciplinary action on an alleged criminal misconduct to await the outcome of any criminal proceedings. The decision whether or not to suspend the University's disciplinary process is taken collectively by the University Secretary or a Deputy Secretary or their nominee taking action with a designated Vice-Principal. The Secretary of the Student Discipline Committee is informed.

18   The University may investigate and take disciplinary action on alleged misconduct whatever the outcome of any external proceedings about the same matter and irrespective of whether external proceedings have been concluded.

19   Where a student is convicted of or cautioned or warned for an offence, this may be relied upon as evidence in any University proceedings provided that the circumstances leading to that conviction are directly relevant to those proceedings.

20   Any sentence or order pronounced by a court may be taken into account in the imposition of any disciplinary penalty.

Staff involved in dealing with alleged misconduct cases

21   Staff involved in dealing with alleged misconduct cases are:

   a.   **Conduct Investigators**. Allegations of student misconduct are investigated by Conduct Investigators. Each School, Service, College and Support Group may have one or more Conduct Investigators.

   b.   **Student Discipline Officers** and **Student Discipline Committee.** University disciplinary action can be taken by Student Discipline Officers or by the Student Discipline Committee.

   c.   **Secretary of the Discipline Committee**. The Secretary of the Discipline Committee has responsibility for the student disciplinary process and supports the Student Discipline Committee.

   d.   **University Appeal Committee.** The University Appeal Committee deals with student appeals against a decision of a Student Discipline Officer or the Student Discipline Committee. The grounds for appeal are set out in paragraph 74 below.

22   The **Student Discipline Officers** are:

   a.   The Heads of the Colleges and Heads of Support Groups;

   b.   One or more members of the senior management in each College and Support Group, or their nominated representatives, to be appointed on behalf of the Senate.

   c.   The University Secretary, Deputy Secretaries and College Registrars, and any deputies they nominate to act on their behalf.

   d.   Designated Vice-Principals.

23   The **Student Discipline Committee** consists of at least six members of staff of the University and at least six matriculated students of the University, who are appointed to the committee by the Senate. At least four of the staff members must be academics. The sabbatical officers of Edinburgh University Students Association (EUSA) and current Student Discipline Officers are not eligible for membership of the Student Discipline Committee.

24   Student Discipline Committee members' period of office is three years, one-third of the members retiring each year. All members are eligible for re-appointment provided that no member serves for more than six years. The Senate appoints the Convener and Vice-Convener from the staff members.

25   Meetings of the Student Discipline Committee must consist of not less than six members. All meetings must be attended by the **Secretary of the Student Discipline Committee,** a member of administrative staff nominated by the University Secretary. The Convener, or in his or her absence the Vice-Convener, presides at all meetings, and has on all occasions both a deliberative and a casting vote.

26   If a member of the Committee has been involved in a case at an earlier stage, he or she will not serve on the Committee when it considers that case.

27   The Secretary of the Student Discipline Committee maintains lists of current Conduct Investigators, Student Discipline Officers and members of the Student Discipline Committee, which are published on the University website.

Reporting student misconduct allegations

28   Staff may report allegations of student misconduct to their Head of School or the Head of the relevant Service. The Head of School or Service will report the allegations to a relevant Conduct Investigator and ask them to investigate the case. Cases of academic misconduct are investigated using the academic misconduct procedures.
www.ed.ac.uk/schools-departments/academic-services/staff/discipline/academic-misconduct

29   A student or a member of the public who wishes to make a complaint about the conduct of a student must use the Complaint Handling Procedure:
www.ed.ac.uk/schools-departments/student-academic-services/student-complaint-procedure
If the complaint raises student misconduct issues then these will be taken forward by the University through the Code of Student Conduct. Staff with responsibility for the complaint and discipline procedures provide advice on which of the procedures should apply to relevant elements of the case.

Immediate suspension

30   Suspension pending a hearing is not used as a penalty. The power to suspend is to protect the members of the University community or a particular member or members, or members of the general public. The power shall be used only where it is urgent and necessary to take such action. Written reasons for the decision are recorded and sent to the student.

31   In urgent situations, the University Secretary or a Deputy Secretary or their nominee, taking action with a designated Vice-Principal, may decide to immediately suspend a student:

      a.   who is a danger to him or herself or others; or

      b.   who is the subject of a misconduct allegation; or

      c.   against whom a criminal charge is pending; or

d. who is the subject of a police investigation.

The decision can be made at any stage of the University's student disciplinary process under this Code. This suspension may be a total or a selective restriction on attending the University or accessing its facilities or participating in University activities. It may also include a requirement that the student should have no contact with named individuals.

32 Any student suspended under the provisions of this section must be given an opportunity within five working days to make representations in person and/or through a member of the University community, including a member of EUSA, to the relevant University Secretary or Deputy Secretary or their nominee and the designated Vice-Principal. Where it is not possible for the student to attend in person, he or she is entitled to make written representations.

33 Any decision to immediately suspend a student is subject to review every twenty working days. Such a review will not involve a hearing or submissions made in person, but the student is entitled to submit written representations. A record of the review outcome is made and sent to the student.

34 Any decision to permit the student to return to the University following a period of immediate suspension will be sent to the student in writing. A decision to permit the student's return may be made subject to conditions. The student will be provided with information to support his or her reintroduction and any conditions which he or she needs to meet.

Investigating student misconduct

35 The Conduct Investigator will investigate the alleged misconduct, in accordance with this Code. As soon as practicable the student will be informed in writing and will be provided with details of the alleged misconduct and, if appropriate, of the requirement to attend for interview. The student is given the opportunity to respond and is invited to admit or deny responsibility.

36 Investigation may also include interviews with the person who reported the alleged misconduct, members of staff and students of the University and, if necessary, members of the public. People may provide evidence to the Conduct Investigator in writing in addition to, or instead of, attending an interview.

37 The student under investigation has the right to be accompanied and/or represented at the interview by a member of the University community, including a member of EUSA. The Conduct Investigator has the right to question the student directly, where necessary. Those accompanying or representing the student will be given the opportunity to contribute at the Conduct Investigator's invitation. The Conduct Investigator may be assisted by a note-taker who will take a record of the meeting.

38 If the student does not appear on the date appointed and the Conduct Investigator is satisfied that he or she has received due notice to appear, the Investigator may deal with the alleged misconduct in the student's absence.

39 If the student admits responsibility or if the Conduct Investigator is satisfied that the allegations are well-founded then disciplinary action may be taken. The

Conduct Investigator invites the student, or any representative, to make a statement in explanation or extenuation of the misconduct or in mitigation of any possible penalty.

40   After investigation, the Conduct Investigator decides whether or not the misconduct has taken place. The Investigator may:

a.   Dismiss the allegation of misconduct; or

b.   Pass the case to a Student Discipline Officer for disciplinary action; or

c.   Pass the case to the Secretary to the Student Discipline Committee for Student Discipline Committee action.

Disciplinary action: Student Discipline Officers

41   Disciplinary action can be taken by Student Discipline Officers or by the Student Discipline Committee.

42   The Student Discipline Officer receives the case from the Conduct Investigator. The case is not re-investigated and the Student Discipline Officer may decide to take disciplinary action without meeting the student.

43   Alternatively, the Student Discipline Officer may require the student to attend a meeting. The student has the right to be accompanied and/or represented at the interview by a member of the University community, including a member of EUSA. The Student Discipline Officer has the right to question the student directly, where necessary. Those accompanying or representing the student will be given the opportunity to contribute at the Student Discipline Officer's invitation. The Student Discipline Officer will be assisted by a note-taker who will take a record of the meeting.

44   If the student has not already provided a statement (see paragraph 39), the Student Discipline Officer will invite the student, or any representative, to make a statement in explanation or extenuation of the misconduct or in mitigation of any possible penalty.

45   If the student does not appear on the date appointed and the Student Discipline Officer is satisfied that he or she has received due notice to appear, the Officer may deal with the alleged misconduct and impose a penalty in the student's absence.

46   The Student Discipline Officer may decide that due to the nature or gravity of the case it is more appropriate for the Student Discipline Committee to take disciplinary action. He or she will discuss this with the Secretary to the Discipline Committee and, if this is agreed, will refer the case to the Student Discipline Committee for a hearing and will inform the student. In this situation the Student Discipline Officer takes no disciplinary action.

47   Student Discipline Officers may impose penalties in line with those established by the relevant Senate committee. In deciding what penalties will apply, the Student Discipline Officer will consider the relevant student's disciplinary record. The penalties are some or all of:

a.   a fine;

b.   a reprimand;

c.   suspension of specified privileges for a specified period that does not exceed one semester (this may include suspension from the University Library, computing facilities, particular premises, placements);

d.   require the student to make good in whole or in part, the cost of any damage caused;

e.   rescind the result of an assessment or examination diet, for academic misconduct offences;

f.   impose an academic penalty in the case of an academic offence;

g.   terminate the occupancy of University managed accommodation by any resident on giving a month's notice in writing. In the case of gross misconduct or misdemeanour, the Student Discipline Officer may order the termination of occupancy within 24 hours;

h.   require the student to write an approved apology to any wronged party.

48   The Student Discipline Officer will inform the student of the penalty decision within three working days of the decision and will remind the student of his or her right of appeal (see paragraph 74).

49   The Student Discipline Officer will send a record of the offence and the penalty to the Secretary of the Student Discipline Committee. Any assessment penalty under paragraph 47 is reported to the relevant Boards of Examiners.

Disciplinary action: Student Discipline Committee

50   The Conduct Investigator may refer the case direct to the Student Discipline Committee due to the nature or gravity of the case. This referral must be agreed with the Secretary of the Student Discipline Committee.

51   The Student Discipline Committee receives cases from Conduct Investigators and Student Discipline Officers.

52   The Conduct Investigator provides the Student Discipline Committee with a written statement about the case and the alleged misconduct. This includes the names and addresses of witnesses who may be called in support of the alleged misconduct and copies of any documents referred to in or pertinent to the case.

53   The Secretary of the Student Discipline Committee writes to the student, providing at least seven days' notice, requiring the student to appear at a hearing before the Student Discipline Committee at a specified time and place. At the same time, the student is sent a copy of the Conduct Investigator's written statement about the case and the alleged misconduct. Contact details of witnesses are not sent to the student.

54   The student is encouraged to contact EUSA, his or her Personal Tutor, or the Secretary to the Student Discipline Committee for advice about the student discipline procedure.

55   The student may call witnesses to attend the hearing and, if intending to do so, must inform the Secretary of the Student Discipline Committee, at least 48 hours in advance of the time of hearing, of the names and addresses of his or her witnesses. Any documents which he or she desires to present to the Student Discipline Committee must be submitted no later than this time.

56   The Student Discipline Committee may extend the time for intimating names of witnesses or submitting documents, and may adjourn, continue, or postpone a hearing at its discretion.

57   The student may be accompanied by another member of the University, including a member of EUSA.

58   If the student wishes to admit the alleged misconduct, he or she may do so in writing to the Secretary of the Student Discipline Committee. He or she may then be required to appear before the Committee for the imposition of a penalty.

59   If the student wishes to challenge the relevancy or competency of the allegation of misconduct, he or she must do so in writing to the Secretary of the Student Discipline Committee at least 48 hours in advance of the time fixed for the hearing, and this shall be the first question to be decided by the Student Discipline Committee at that hearing. If the challenge is upheld then the misconduct allegation is dismissed. The Student Discipline Committee may refer the matter for action under other University regulations if this is appropriate.

60   If the student does not admit the alleged misconduct and any challenge to the relevancy or competency of the allegation is dismissed, the case against the student will be presented by the Conduct Investigator.

61   Any evidence provided by or on behalf of the student is then heard.

62   The members of the Student Discipline Committee and the student and/or his or her representative may examine, cross-examine, and re-examine witnesses.

63   The Conduct Investigator and the student or his or her representative may make a final address, the student or his or her representative having the last word.

64   Everyone except the Secretary of the Student Discipline Committee withdraws while the Committee considers its decision. The Secretary of the Student Discipline Committee records the Committee's decision and its reasons for reaching this decision.

65   If the Committee decides that the alleged misconduct is proved, the student, or any representative, is invited to make a statement in explanation or extenuation of the misconduct or in mitigation of any possible penalty, before a penalty is imposed.

66   If the student does not appear on the date appointed and the Student Discipline Committee is satisfied that he or she has received due notice to appear, the Committee may deal with the alleged misconduct and, if it is found to be proved, impose a penalty in the student's absence.

67   Student Discipline Committee may impose penalties in line with those established by the relevant Senate committee. In deciding what penalties will apply, the Student Discipline Committee will consider the relevant student's disciplinary record. The penalties are some or all of:

    a.   a fine;

    b.   a reprimand;

    c.   suspension of specified privileges for a specified period that does not exceed one year (this may include suspension from the University Library, computing facilities, particular premises, placements; a bar on registering, matriculating, or graduating);

    d.   require the student to make good in whole or in part, the cost of any damage caused;

    e.   rescind the result of an assessment or examination diet, for academic misconduct offences;

    f.   impose an academic penalty in the case of an academic offence;

    g.   terminate the occupancy of University managed accommodation by any resident on giving a month's notice in writing. In the case of gross misconduct or misdemeanour, the Student Discipline Committee may order the termination of occupancy within 24 hours;

    h.   require the student to write in apology to any wronged party;

    i.   in relation to research misconduct in a research degree, the student may be deemed to have failed the degree where the misconduct applies and/or will not be permitted to submit work for this or any other research degree of the University;

    j.   place the student "on probation" for a specified period with relevant stated conditions;

    k.   immediate permanent exclusion from the University with no eligibility for re-admittance to the University on any degree programme.

68   Any assessment penalty under paragraph 67 is reported to the relevant Boards of Examiners by the Secretary of the Student Discipline Committee.

69   In disciplining a student pursuing a course leading directly to a qualification which confers authorisation to practise a profession (such as in Medicine, Nursing, Teaching or Veterinary Medicine) the Student Discipline Committee may consider the relevance of the misconduct in relation to the student's fitness

to practise that profession. The Committee may remit the case to the relevant Fitness to Practise Committee for action or advice.

70   The Secretary of the Student Discipline Committee informs the student of the Committee's penalty decision, with a written statement of the reasons for the decision, within three working days of the decision and reminds the student of his or her right of appeal.

71   A summary of the offence, proceedings and the evidence heard and the penalty decision is kept by the Secretary of the Student Discipline Committee.

Standard of Proof
72   An allegation of misconduct can only be upheld if there is proof that the student has engaged in the misconduct specified in paragraph 12 above.

73   The standard of proof that shall be used in all discipline cases is the balance of probabilities, which is the standard of proof that is used in civil law. This means that an Conduct Investigator, Student Discipline Officer or Student Discipline Committee will be satisfied that an event occurred if they consider that, on the evidence available, the occurrence of the event was more likely than not.

Appeals
www.ed.ac.uk/schools-departments/academic-services/staff/appeals/overview

74   A student may submit an appeal on the decision of the Student Discipline Officer or the Student Discipline Committee within ten working days of the decision being issued. Appeals are submitted to the Secretary of the University's Appeal Committee. The grounds for appeal must be one or both of:

   a.   substantial information directly relevant to the investigation of a student discipline case which for good reason was not available to the Student Discipline Officer or Student Discipline Committee when their decision was taken;

   b.   alleged irregular procedure or improper conduct of an investigation and disciplinary action. This includes conduct of a meeting of the Student Discipline Committee.

75   The appeal is handled under the University's appeal procedures. In addition to the appeal submitted by the student, information may be requested from the Conduct Investigator, Student Discipline Officer, the Secretary of the Student Discipline Committee and/or others relevant to the appeal.

76   The decision of the Appeal Committee is final and there is no further opportunity for appeal against that decision within the University.

77   If an appeal is upheld then the Appeal Committee will refer the student discipline case to either the Student Discipline Officer or Student Discipline Committee to review their decision.

78   Any penalties imposed by the Student Discipline Officer or Student Discipline Committee remain in force until the outcome of any review of the decision.

Reporting and recording

79   The Secretary of the Student Discipline Committee keeps a record of student misconduct offences and penalties and informs the relevant Senate committee annually of all cases considered by Student Discipline Officers and the Student Discipline Committee.

80   Details of any discipline penalty imposed on a student are held on the relevant student's record.

Independent review

81   The Scottish Public Services Ombudsman (SPSO) has responsibility for investigating student appeals and complaints. Where a complaint is made, the SPSO will consider the case and make a decision on whether to investigate. The SPSO can investigate whether a student discipline appeal has been handled appropriately by the University. The SPSO can only consider cases when consideration is complete at University level. Information on how to complain to the SPSO and on how it handles complaints can be found at the SPSO website: Scottish Public Services Ombudsman.

The University of Edinburgh

The University Court

24 June 2013

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 except in respect to minor change to the name of the Chair in Resolution 63/2013, the Court is invited to approve the following Resolutions:

Resolution No. 21/2013:	Alteration of the title of the Personal Chair of Animal Biotechnology
Resolution No. 22/2013:	Alteration of the title of the Chair of Experimental Haematology
Resolution No. 23/2013:	Foundation of a Personal Chair of Strategic Management
Resolution No. 24/2013:	Foundation of a Personal Chair of Cellular Neurobiology
Resolution No. 25/2013:	Foundation of a Personal Chair of Innovation and Social Informatics
Resolution No. 26/2013:	Institution of new postgraduate Degree: European Masters in Landscape Architecture (EMLA)
Resolution No. 27/2013:	Institution of new postgraduate Degree: Master of Nursing (MN)
Resolution No. 28/2013:	Degree of Master of Surgery (Vascular and Endovascular)
Resolution No. 29/2013:	Foundation of a Chair of Accounting, Governance and Social Innovation
Resolution No. 30/2013:	Foundation of a Chair of Entrepreneurship and Innovation
Resolution No. 31/2013:	Foundation of a Personal Chair of Gaelic
Resolution No. 32/2013:	Foundation of the Crawford Tercentenary Chair of Chemistry
Resolution No. 33/2013:	Undergraduate Degree Programme Regulations
Resolution No. 34/2013:	Postgraduate Degree Programme Regulations
Resolution No. 35/2013:	Alteration of the title of the Chair of Fire Safety Engineering
Resolution No. 36/2013:	Foundation of a Personal Chair of Entrepreneurship and Enterprise Development
Resolution No. 37/2013:	Foundation of a Personal Chair of International Strategy
Resolution No. 38/2013:	Foundation of a Chair of Leadership Development
Resolution No. 39/2013:	Foundation of a Chair of Strategy and Change
Resolution No. 40/2013:	Foundation of a Personal Chair of Modern Spanish and Comparative Literature
Resolution No. 41/2013:	Foundation of a Personal Chair of Modern and Contemporary South Asian History
Resolution No. 42/2013:	Foundation of a Personal Chair of Neural Development and Regeneration
Resolution No. 43/2013:	Foundation of a Personal Chair of Electron Microscopy and Image Processing of Biological Assemblies
Resolution No. 44/2013:	Foundation of a Personal Chair of Environment and Philosophy
Resolution No. 45/2013:	Foundation of a Personal Chair of Cancer Therapeutics

Resolution No. 46/2013:	Foundation of a Personal Chair (Undergraduate) Medical Education
Resolution No. 47/2013:	Foundation of a Personal Chair of Economic History
Resolution No. 48/2013:	Foundation of a Personal Chair of Clinical Toxicology
Resolution No. 49/2013:	Foundation of a Personal Chair of Ecological Genetics
Resolution No. 50/2013:	Foundation of a Personal Chair of Observational Astrophysics
Resolution No. 51/2013:	Foundation of a Personal Chair of Nineteenth-Century Literature
Resolution No. 52/2013:	Foundation of a Personal Chair of Early Modern Religion
Resolution No. 53/2013:	Foundation of a Personal Chair of Molecular Genetics
Resolution No. 54/2013:	Foundation of a Personal Chair of The Law of Obligations
Resolution No. 55/2013:	Foundation of a Personal Chair of Molecular Photophysics
Resolution No. 56/2013:	Foundation of a Personal Chair of Mental Philosophy
Resolution No. 57/2013:	Foundation of a Personal Chair of Computational Cognitive Science
Resolution No. 58/2013:	Foundation of a Personal Chair of Science and Public Policy
Resolution No. 59/2013:	Foundation of a Personal Chair of The European Neolithic
Resolution No. 60/2013:	Foundation of a Personal Chair of Social History and Cultural History
Resolution No. 61/2013:	Foundation of a Personal Chair of High Performance Computing
Resolution No. 62/2013:	Foundation of a Personal Chair of Metabolic Medicine
Resolution No. 63/2013:	Foundation of a Personal Chair of Clinical Neurology
Resolution No. 64/2013:	Foundation of a Personal Chair of Surface Geodynamics
Resolution No. 65/2013:	Foundation of a Personal Chair of Atmospheric Chemistry Modelling
Resolution No. 66/2013:	Foundation of a Personal Chair of Neurology and Clinical Epidemiology
Resolution No. 67/2013:	Foundation of a Personal Chair of Drama and Performance Studies
Resolution No. 68/2013:	Foundation of a Personal Chair of Reproductive Biology
Resolution No. 69/2013:	Foundation of a Personal Chair of Hadron and Nuclear Physics
Resolution No. 70/2013:	Foundation of a Personal Chair of Dementia Practice and Partnership
Resolution No. 71/2013:	Foundation of a Personal Chair of Applied Earth Observation
Resolution No. 72/2013:	Foundation of a Chair of Strategy and Organisation

Dr Katherine Novosel
June 2013

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 21/2013

Alteration of the title of the Personal Chair of Animal Biotechnology

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to alter the title of the Personal Chair of Animal Biotechnology founded by Resolution 48/2010;

AND WHEREAS paragraph 5 of Part II of Schedule 2 to the Universities (Scotland) Act 1966, provides that the University Court may, after consultation with the Senatus Academicus and with the consent of the incumbent and patrons, if any, alter the title of existing professorships;

AND WHEREAS the Chair dealt with in this Resolution is in the patronage of the University Court itself:

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 that Act, hereby resolves:

1.   The Personal Chair of Animal Biotechnology shall hereafter be designated the Genus Personal Chair of Animal Biotechnology

2.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 22/2013

Alteration of the title of the Chair of Experimental Haematology

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to alter the title of the Chair of Experimental Haematology founded by Resolution 16/1995 as amended by Resolution 26/1997;

AND WHEREAS paragraph 5 of Part II of Schedule 2 to the Universities (Scotland) Act 1966, provides that the University Court may, after consultation with the Senatus Academicus and with the consent of the incumbent and patrons, if any, alter the title of existing professorships;

AND WHEREAS the Chair dealt with in this Resolution is in the patronage of the University Court itself:

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 that Act, hereby resolves:

1. The Chair of Experimental Haematology shall hereafter be designated the Chair of Haematological Regeneration.

2. This Resolution shall come into force with effect from 1 October Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 23/2013

Foundation of a Personal Chair of Strategic Management

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Strategic Management:

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 Strategic Management 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 Strategic Management 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 March Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 24/2013

Foundation of a Personal Chair of Cellular Neurobiology

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Cellular Neurobiology:

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 Cellular Neurobiology 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 Cellular Neurobiology 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 October Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 25/2013

Foundation of a Personal Chair of Innovation and Social Informatics

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Innovation and Social Informatics:

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 Innovation and Social Informatics 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 Innovation and Social Informatics 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 March Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 26/2013

Institution of new postgraduate Degree: European Masters in Landscape Architecture (EMLA)

At Edinburgh, Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of European Masters in Landscape Architecture (EMLA):

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 University of Edinburgh may confer the degree of European Masters in Landscape Architecture (EMLA) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of European Masters in Landscape Architecture (EMLA).

2.   The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of European Masters in Landscape Architecture (EMLA), and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3.   The degree of European Masters in Landscape Architecture (EMLA) shall not be conferred honoris causa.

4.   All candidates for the degree of European Masters in Landscape Architecture (EMLA) must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of European Masters in Landscape Architecture (EMLA).

6.   This Resolution shall come into force with effect from the commencement of the 2013/2014 academic session on 1 August 2013.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 27/2013

Institution of new postgraduate Degree: Master of Nursing (MN)

At Edinburgh, Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Nursing (MN):

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 University of Edinburgh may confer the degree of Master of Nursing (MN) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Nursing (MN).

2. The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Nursing (MN), and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3. The degree of Master of Nursing (MN) shall not be conferred honoris causa.

4. All candidates for the degree of Master of Nursing (MN) must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5. A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of Master of Nursing (MN).

6. This Resolution shall come into force with effect from the commencement of the 2013/2014 academic session on 1 August 2013.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 28/2013

Degree of Master of Surgery (Vascular and Endovascular)

At Edinburgh, Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)):

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 University of Edinburgh may confer the degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)).

2.	The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)) and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3.	The degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)) shall not be conferred honoris causa.

4.	All candidates for the degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)) must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5.	A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular)).

6.	This Resolution shall come into force with effect from the commencement of the 2013/2014 academic session on 1 August 2013.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 29/2013

Foundation of a Chair of Accounting, Governance and Social Innovation

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Chair of Accounting, Governance and Social Innovation:

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 that Act, hereby resolves:

1. There shall be a Chair of Accounting, Governance and Social Innovation in the University of Edinburgh.

2. The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3. This Resolution shall come into force with effect from 1 June Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 30/2013

Foundation of a Chair of Entrepreneurship and Innovation

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Chair of Entrepreneurship and Innovation:

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 that Act, hereby resolves:

1.	There shall be a Chair of Entrepreneurship and Innovation in the University of Edinburgh.

2.	The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.	This Resolution shall come into force with effect from 1 September Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 31/2013

Foundation of a Personal Chair of Gaelic

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Gaelic:

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 Gaelic 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 Gaelic together with all other rights, privileges and duties attaching to the office of Professor.

4.   This Resolution shall come into force with effect from 8 April Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 32/2013

Foundation of the Crawford Tercentenary Chair of Chemistry

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found the Crawford Tercentenary Chair of Chemistry:

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 that Act, hereby resolves:

1.   There shall be a Crawford Tercentenary Chair of Chemistry in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 33/2013

Undergraduate Degree Programme Regulations

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it desirable to produce one comprehensive set of Undergraduate Degree Regulations, including Assessment Regulations (2013/2014);

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 (2013/2014):

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 Undergraduate Degree Regulations are hereby set out:

COMPLIANCE

Compliance and concessions

1.   These regulations apply to all categories of undergraduate study at the University of Edinburgh, except for those qualified by a Senatus approved Memorandum of Agreement or Understanding for joint or collaborative awards. Every undergraduate student 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. Where the Head of College does not have authority to award a particular concession then the Curriculum and Student Progression Committee may award the concession.

Head of College authority for concessions

2.   Where the Head of College has the authority to grant permissions and concessions, this authority may be delegated to appropriate nominees in the College or Schools. Students must consult their Personal Tutor as to the appropriate point of contact, and must not approach the Head of College direct.

Compliance with requirements

3.   Students must comply with any requirements specific to their degree programme as set out in the Degree Programme Tables, the relevant College Regulations and the University's Taught Assessment Regulations for the current academic session: www.ed.ac.uk/schools-departments/academic-services/staff/assessment/assessment-regulations

Fitness to practise

4.   Where a student's degree programme is subject to Fitness to Practise requirements, the relevant College Committee must be satisfied at all times that in respect of health, conduct and any other matters which the Committee may reasonably deem relevant, whether such matters relate to the student's University programme or are unrelated to it, the student will not constitute a risk to the public, vulnerable children or adults or to patients and is a suitable person to become a registered member of the relevant professional body. Students are subject to the Fitness to Practise regulations both while actively studying and while on an interruption of study. Any student who fails to satisfy the relevant College Committee, irrespective of his/her performance in assessment, will be reported to the Head of College who has power to recommend exclusion from further studies and assessments or Professional Examinations, or to recommend the award of the degree be withheld. An appeal against this decision may be submitted to the University's Fitness to Practise Appeal Committee:
http://www.docs.sasg.ed.ac.uk/AcademicServices/Guidance/Fitness_to_Practise.pdf

Disclosure

5.   Students must comply with the University's Student Disclosure Assessment process to ensure that students do not pose a risk to those with whom they interact during their studies, in particular, vulnerable groups.
http://www.ed.ac.uk/polopoly_fs/1.7201!/fileManager/Code%2Bof%2BPractice%2Bfor%2BStudent%2BCriminal%2BConvictions%2Band%2BDisclosure%2BAssessment%2B2011%2B(3).pdf

Undergraduate degrees, diplomas and certificates

6.   The University awards the following types of undergraduate degrees, diplomas and certificates, with the credit points required as listed below. The University's undergraduate awards and degree programmes are consistent with the Scottish Credit and Qualifications Framework (SCQF, http://www.scqf.org.uk/) unless an exemption has been approved by the Curriculum and Student Progression Committee. The credit levels required for each programme are specified within the appropriate Degree Programme Table (DPT).

I	Undergraduate Certificate of Higher Education	120 credits
Ii	Undergraduate Diploma of Higher Education	240 credits
A.	Single Honours (in a named subject/discipline)	480 credits
B.	Single Honours (with a subsidiary subject)	480 credits
C.	Combined Honours (in two disciplines)	480 credits
D.	Group Honours (more than two disciplines)	480 credits
E.	Non-Honours Degrees	360 credits
F.	General and Ordinary	360 credits
G.	Intercalated Honours Degrees	See appropriate Degree Programme Table
H.	Integrated Masters with Honours (in named subject/discipline)	600 credits
	Integrated Masters (with a subsidiary subject)	600 credits
	Integrated Masters (with combined honours in two disciplines)	600 credits
I.	MBChB (5 year programme)	720 credits
	MBChB (6 year programme)	840 credits
J.	BVM&S Graduate Entry Programme	530 credits
	BVM&S 5 Year Programme	600 credits

Compliance with Degree Programme Tables

7.   Every student must comply with the detailed requirements of the curriculum for the degree as set out in the appropriate Degree Programme Table, the programme handbook, the courses of study, the order in which courses are attended and the assessment for the programme, which are published in the University Degree Regulations and Programmes of Study.

Pre-requisites, co-requisites and prohibited combinations

8.   When selecting courses, students must comply with the pre-requisite, co-requisite and prohibited combination requirements shown in the Degree Programme Table, unless a concession is approved by the relevant Head of College.

Timing of admittance onto degree programmes

9.   No student will be admitted to a degree programme or 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. A student who leaves a course after six weeks will be deemed to have withdrawn and the course enrolment remains on the student's record.

MODE OF STUDY

Full-time and part-time

10.   Programmes are offered on a full-time or part-time basis. Students' mode of study is defined when they are admitted to the degree programme.

Changing mode of study

11.   Only in exceptional circumstances, and with the permission of the Head of College, is a student allowed to change mode of study.

STUDY PERIOD

Compliance with time periods

12.   A student must complete the requirements of the degree programme within the period of study specified in the Degree Programme Table, unless given a concession with the approval of the Head of College.

Maximum degree completion periods

13.   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. This maximum period includes any concessions.

Minimum credit points taken in each year

14.   With the annual permission of the Head of College, a student may take longer than the study period specified in the Degree Programme Table to undertake an Ordinary, General or Honours degree programme, provided that a minimum of 40 credit points are undertaken in each year of study.

Credit points where a student needs to meet specific progression requirements

15.   Where a student needs to meet specific progression requirements, the Head of College may approve a student taking fewer than 40 credit points.

Elements requiring full-time attendance

16.   Certain elements of a degree programme may require full-time attendance. Students given permission to undertake study over an extended period must comply with any requirements specified for a particular degree programme.

Minimum period of study for a University of Edinburgh degree

17.   For the award of a University of Edinburgh degree a student must study University of Edinburgh courses for a minimum period of two years and obtain 240 credits or the pro-rata equivalent in the case of part-time study. This regulation does not apply to intercalating medicine and veterinary medicine students.

Study at Another Institution

18.   A student for an Honours degree is not allowed to substitute study at another institution for the final year of his/her Honours programme.

Interruptions of Study

19.   A student may apply for an interruption of study and it may be authorised by the Head of College if there is good reason for approving the interruption. Students must provide evidence to support their applications. Interruptions of study may not be applied retrospectively.   Any one period of authorised interruption of study will not exceed one academic year, and the total period of authorised interruption of study, which may be granted throughout the programme of study, will not exceed 100% of the prescribed period of study.

Credit from other institutions during interruption of study

20.   Study undertaken at another institution during a period of authorised interruption of study will not be credited to a student's programme of study at the University of Edinburgh.

Cases where interruption of study does not apply to BVM&S and MBChB

21.   Students registered for the MBChB or BVM&S may elect to take an intercalated Honours year, or undertake a PhD or other research programme during their period of enrolment. This is not categorised as interruption of study.

RECOGNITION OF PRIOR LEARNING (RPL)

Recognition of prior learning for admission

22.   The Head of College has the power to recognise up to 240 credits of prior learning and on this basis to admit a student to the second or later years of a programme of study. Before approval is granted the College must be satisfied that the learning to be recognised provides an adequate basis for the programme or courses as set out in the appropriate Degree Programme Table. See also, the University's Admissions Policy: http://www.ed.ac.uk/polopoly_fs/1.50158!/fileManager/UoE%20Admissions%20PolicyFINAL20120813.pdf

Overlapping curricula

23.   University of Edinburgh courses which have a substantial curriculum overlap with any of the courses that contributed to a student's admission on the basis of RPL will not count towards the student's degree programme.

ATTENDANCE AND PARTICIPATION

Students' responsibilities for attendance and participation

24.   Students must attend and participate as required in all aspects of their programme of study. This includes being available for assessment, meeting Personal Tutors and examination. The Degree Programme Table sets out programme requirements for on-campus study, placements and distance education. The Procedure for Withdrawal and Exclusion from Studies is available at:
http://www.docs.sasg.ed.ac.uk/AcademicServices/Policies/Withdrawal_Exclusion_from_Study.pdf

Student contact details

25.   During a period of study, including authorised interruptions of study and leave of absence, it is a student's responsibility to provide a current postal contact address and to ensure that any legal requirements, including those imposed by his or her funding or grant authority, are met. Current students must check their MyEd and University email account frequently for communications from the University and respond where appropriate.

Authorised leave of absence

26.   Students require the permission of the relevant Head of College to attend another academic institution on a recognised exchange scheme or other approved programme of study or to undertake an approved placement. This is categorised as a leave of absence.

PROGRESSION AND PERMISSIBLE CREDIT LOADS

Credit point and level requirements

27.   To gain a specific degree award, students must achieve the SCQF credit point and level requirements of the particular programme, as set out in the appropriate Degree Programme Table.

Full-time credit annual passes

28.   Full-time undergraduate study comprises 120 credit points in each year of study. Part-time study is defined on a pro-rata basis in the relevant Degree Programme Table.

Requirement to attain credits

29.   Where the required credit points have not been attained by the relevant stage, the student will be reported to the Head of College and may be required to take resit exams or additional courses to make good the deficit.

Exclusion for unsatisfactory academic progress

30.   Students who do not attain sufficient credits within the specified period may be excluded for unsatisfactory academic progress. The College will follow the procedure for

Withdrawal and Exclusion from Studies:
http://www.docs.sasg.ed.ac.uk/AcademicServices/Guidance/Withdrawal_Exclusion_from_Study.pdf

Minimum progression requirements

31.   In order to progress to the next stage of study, a full-time student must attain 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;
• 600 credit points by the end of Year 5 for Integrated Masters.

A part-time student must attain the pro-rata equivalent to the above. In addition, full-time and part-time students must meet any other requirements set out in their Degree Programme Table and their programme handbook.

Pre-honours: taking additional credits

32.   In pre-Honours years, a student may be allowed to take SCQF level 7 and 8 courses additional to the normal 120 credits, subject to the approval of the student's Personal Tutor.

Honours: taking additional credits

33.   Exceptionally, students in their honours years, with College approval, may take up to 40 credits of additional SCQF level 7 or 8 credit and, more rarely, up to 10 credits at levels 9-11 in the Honours years.

Limitations on courses taken in honours years

34.   Students may attend courses on a class-only basis (i.e. not for credit), with the agreement of the Course Organiser and the approval of the Personal Tutor. Decisions will be based on the overall load (credit and non-credit bearing) on the student, which must not exceed 160 credits.

Work may be submitted for credit for only one course

35.   A student who has previously submitted work for one course at the University must not submit the same work to attempt to achieve academic credit through another course.

Conflicting studies

36.   Students can only be registered for one full-time award at the University of Edinburgh.

TRANSFER TO DIFFERENT DEGREE PROGRAMME

Approval to transfer degree programme

37.   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.

Transferring students: compliance with Degree Programme Tables

38.   Unless granted a concession by the Head of the receiving College, students must comply with the pre-requisite and co-requisite requirements of the new programme shown in the Degree Programme Table.

AWARDS AND QUALIFICATIONS

Requirements for Undergraduate Certificate of Higher Education

39.   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.

Requirements for Undergraduate Diploma of Higher Education

40.   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 90 of the 120 credit points gained from courses passed at this University must be in courses at level 8 or above.

Requirements for General and Ordinary Degrees

41.   The attainment requirements for students for **General and Ordinary** degrees are specified in the relevant College regulations below.

Requirements for MBChB and BVM&S

42.   The attainment requirements for students for **MBChB and BVM&S** degrees are specified in the College of Medicine and Veterinary Medicine regulations below (Section C).

Award of Honours

43.   The award of **Honours** is based on the student's performance in assessment in the Honours year(s). For information on the award of Honours see the Taught Assessment Regulations for the current academic session: www.ed.ac.uk/schools-departments/academic-services/staff/assessment/assessment-regulations

Honours classifications

44.   A student who satisfies the examiners in the **Final Honours** assessment shall be awarded Honours in one of following classifications: First Class, Second Class Division I, Second Class Division II and Third Class.

Limits on Honours re-assessment

45.   A student who has been assessed, classed or failed for Honours may not present him or herself for **re-assessment** in the same programme, or assessment in a closely related programme. The Head of College determines whether a programme is closely related.

Award of the highest qualification attained

46.   During a single period of continuous registration, a student may be awarded only the qualification with the **highest status** for which he or she has attained the required credits.

Use of General or Ordinary degree to apply for Honours admission

47.   A candidate who already holds a **General or Ordinary degree** may be permitted by the appropriate Head of College to apply for the degree with Honours, provided that not more than five years have elapsed between his or her first graduation and 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.

Unclassified Honours

48.   In exceptional circumstances, notwithstanding any existing Resolutions to the contrary, the University may confer all existing Honours degrees with **unclassified Honours** if insufficient information is available to the relevant Board of Examiners to classify those degrees. Where a Board of Examiners has insufficient information to enable an unclassified Honours degree to be conferred on a candidate for Honours, a General or Ordinary degree may be awarded to that candidate where he or she is qualified for such a degree under the existing Regulations. Conferment of an unclassified Honours degree or General or Ordinary degree in these cases is an interim measure: final awards will be confirmed when sufficient information is available to the relevant Board of Examiners.

Posthumous awards

49.   Senatus may authorise the conferment of **posthumous degrees, diplomas and certificates** if proposed by the College and approved by the Curriculum and Student Progression Committee. A posthumous award is conferred where the student has significantly completed the relevant year of study at the time of death.

Aegrotat degrees

50.   In exceptional circumstances Senatus may authorise the conferment of **aegrotat degrees**, which are unclassified. Each such conferment requires a proposal from the College concerned to be approved by the Curriculum and Student Progression Committee. An *aegrotat* degree is conferred only where the student was nearly qualified to receive the degree and was unable to complete it due to circumstances beyond his or her control. Before any proposal is referred to Senatus, the College must check that the student is willing to receive the degree *aegrotat*.

B   College of Humanities and Social Sciences Undergraduate Degree Regulations: Degree Specific Regulations

College requirements

51.   These degree programme requirements relate to undergraduate programmes in the College of Humanities and Social Science. They are additional to, and should be read in conjunction with, the General Undergraduate Degree Regulations above, which apply to **all** undergraduate programmes, unless otherwise stated.

College Fitness to Practise Policy

52.   The College Fitness to Practise policy is available at: http://www.ed.ac.uk/schools-departments/humanities-soc-sci/undergraduate-academic-admin/student-conduct/fitness-

General Degrees

53.   For the award of the degree of BA (Humanities and Social Science) students must obtain 360 credit points. The 360 credit points must include at least:

- 240 credit points at SCQF level 8 or above.
- 140 credit points in a major subject of study (80 credit points at SCQF level 7 or 8, and 60 at SCQF level 9 or 10), taking courses in this subject each year.
- 200 credit points in College of Humanities and Social Science courses, or under Geography in Schedule N.
- 40 credit points from each of two other subjects of study as listed in Schedules A-Q,T and W. The subject areas must be chosen from two different Schedules.

General and ordinary: Merit and Distinction

54.   General and Ordinary degrees may be awarded with Merit or Distinction.

- For Merit a student must achieve grade B or above at first attempt, in courses totalling 180 credit points, of which at least 40 credits points must be at level 9 or 10, and at least 80 of the remaining credit points must be at level 8 or higher.

- For Distinction, a student must achieve grade A at first attempt, in courses totalling at least 160 credit points, of which at least 40 credit points must be at level 9 or 10, and at least 80 of the remaining credit points must be at level 8 or higher.

LLB Ordinary: Merit and Distinction

55.   The LLB Ordinary, Graduate Entry degree may be awarded with Merit or Distinction.

- For Merit a student must achieve grade B or above at first attempt, in courses totalling 120 credit points.

- For Distinction, a student must achieve grade A at first attempt, in courses totalling at least 100 credit points.

Distinction in Oral Language

56.   Students of the MA with Honours which includes an Honours oral examination in any one of the following languages will be awarded a Distinction in Oral Language if their performance at the oral examination is of first class standard: Arabic, Chinese, Danish, French, German, Italian, Japanese, Norwegian, Persian, Portuguese, Russian, Spanish and Swedish.

Bachelor of Medical Sciences and Bachelor of Science (Veterinary Sciences)

57.   The degree programme requirements of the Bachelor of Medical Sciences and

Bachelor of Science in Veterinary Science are in the College Undergraduate Degree Regulations of the College of Medicine and Veterinary Medicine (Section C).

C   College of Medicine and Veterinary Medicine Undergraduate Degree Regulations: Degree Specific Regulations

College requirements

58.   These degree programme requirements relate to undergraduate programmes in the College of Medicine and Veterinary Medicine. They are additional to, and should be read in conjunction with, the General Undergraduate Degree Regulations above, which apply to **all** undergraduate programmes, unless otherwise stated.

College Fitness to Practise Policy

59.   The College Fitness to Practise policy is available at http://docstore.mvm.ed.ac.uk/Committees/Fitness-to-Practise.pdf

MBChB

COMPLIANCE

60.   Students should refer to the appropriate Year Study Guides on the Edinburgh Electronic Medical Curriculum (EEMeC) on https://www.eemec.med.ed.ac.uk for detailed curriculum and assessment information.

61.   Students entering the first year MBChB programme are subject to a check, carried out by Disclosure Scotland, under the Protection of Vulnerable Groups legislation. Admission to the medical profession is excepted from the provisions of Section 4 (2) of the Rehabilitation of Offenders Act 1974 by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendments) Order 1986. Students on the MBChB programme are therefore not entitled to withhold information about any conviction on the grounds that it is, for other purposes, spent under the Act. Subject to the provisions of the Rehabilitation of Offenders Act 1974, failure to disclose a relevant conviction may result in the withdrawal of an offer of admission or exclusion from a programme of studies.

62.   Students are subject to blood borne virus checks as they are admitted to the MBChB programme. Failure to comply with this regulation may result in exclusion from a programme of studies.

ATTENDANCE AND PARTICIPATION

63.   Students in Years 3, 4 & 5 are required to undertake placements in hospitals outside Edinburgh

64.   Students enrolled for Years 3, 4 and 5 of the degrees of MBChB during the Academic Year 2013-2014 are required to attend for compulsory periods throughout the year. Students should consult the Edinburgh Electronic Medical Curriculum (EEMeC) on http://www.eemec.med.ed.ac.uk and relevant year study guides for detailed attendance

dates and timetable information.

65.   In special circumstances students may be permitted to interrupt studies or repeat a year of study because of ill-health, service or sporting commitments, or an episode of academic failure. Only in highly exceptional circumstances will students be permitted more than two such years of interrupted progress, whether taken consecutively or at intervals throughout the programme. Exceptions are very unlikely to be considered in the case of prolonged or repeated academic failure. Approved study for an intercalated degree does not constitute interrupted progress.

PROGRESSION

66.   A student who fails the Professional Examination in Year 4 may be required by the Boards of Examiners to use part or all of the free elective period to undertake one or more guided electives before being permitted to re-sit.

67.   A student whose progress in Year 5 is unsatisfactory will be required to undertake a period of remedial study before being permitted to re-sit.

68.   No student may proceed to the next year of study for the MBChB programme until he/she has passed all components of the previous year of the programme

AWARDS

Passes with Distinction

69.   Students who have attained a sufficiently high standard in any of the Professional Examinations will be recorded as having passed that examination 'with distinction'.

Honours at graduation

70.   Students who have displayed special merit in the Professional Examinations over the whole degree programme will be awarded MBChB with Honours at the time of graduation.

BVM&S

COMPLIANCE

71.   Students should refer to the appropriate Course Books on the Edinburgh Electronic Veterinary Curriculum (EEVeC) on https://www.eemec.med.ed.ac.uk for detailed curriculum and assessment information.

ATTENDANCE AND PARTICIPATION

72.   In special circumstances students may be permitted to interrupt studies or repeat a year of study because of ill-health, service or sporting commitments, or an episode of academic failure. Only in highly exceptional circumstances will students be permitted more than two such years of interrupted progress, whether taken consecutively or at intervals throughout the programme. Exceptions are very unlikely to be considered in the case of prolonged or repeated academic failure. Approved study for an intercalated degree does not constitute interrupted progress.

PROGRESSION

73.   Students for the Final Professional Examination must produce satisfactory evidence that they have, subsequent to commencing studies in the Third Year of the degree curriculum, received extra-mural clinical instruction for a total period of not less than 26 weeks, in accordance with arrangements approved by the College of Medicine & Veterinary Medicine. Students shall be required to produce records of extra-mural clinical teaching received, which have been attested by the extra mural teacher or teachers concerned.

74.   Before proceeding to the Third Year of the curriculum for the degree a student must normally present satisfactory evidence of having had at least 12 weeks extra-mural experience of livestock husbandry, in accordance with arrangements approved by the College of Medicine & Veterinary Medicine. This should normally be obtained during vacations subsequent to the commencement of the First Year of study, and be completed prior to sitting the Second Professional Examination.

75.   Where a student fails to meet this requirement by the end of the session in which they pass the Second Professional Examination, the College of Medicine & Veterinary Medicine will normally recommend to Senatus that they be excluded from further attendance at courses of instruction and examinations in the College of Medicine & Veterinary Medicine.

76.   No student may proceed to the next year of study for the BVM&S programme until he/she has passed all components of the previous year of the programme.

AWARDS

Passes with Distinction

77.   Students who have attained a sufficiently high standard in any of the Professional Examinations will be recorded as having passed that examination 'with distinction'.

Distinction at graduation

78.   Students who have displayed special merit in the Professional Examinations over the whole degree programme will be awarded BVM&S with Distinction at the time of graduation.

Bachelor of Medical Sciences

Honours degree

79.   Every student admitted for the degree must also be a student for the degree of MBChB. A student in another University studying for a recognised primary medical undergraduate qualification may be admitted as a student for the degree of Bachelor of Medical Sciences with Honours, subject to the approval of the College of Medicine and Veterinary Medicine.

80.   In addition, every student must pursue studies for at least one academic year in the University of Edinburgh in one of the Honours Degree Programmes available at http://www.ed.ac.uk/schools-departments/medicine-vet-medicine/undergraduate/medicine/mbchb/intercalated-honours

81.   The Bachelor of Medical Sciences degrees are intercalated after Year 2 of the MBChB programme.

82.   Limitation on Courses Taken in Honours Years: Students in all Honours years may take Honours curriculum courses to a maximum value of 120 credit points, all of which count in the final Honours award and classification.

Ordinary Degree

83.   No student shall be admitted to the degree, except on transfer from candidature for the degrees of MBChB.   Students are eligible to be considered for a BMedSci (Ordinary) degree if they have successfully achieved 240 credits from the First and Second Professional Examinations and , have attained at least 80 of the available 120 credits in the Third Year MBChB assessments.   The Ordinary Degree of Bachelor of Medical Sciences may not be conferred on any student who already holds or is eligible to receive the Degree of Bachelor of Medical Sciences with Honours.

84.   The compliance, attendance and participation, and progression requirements for the degrees of MBChB apply.

BSc in Veterinary Science

Honours Degree

85.   Every student admitted for the degree must also be a student for the degree of BVM&S, or have obtained the BVM&S degree not more than five years before the date of admission as a student for the Honours Degree. A student in another University studying for a recognised primary veterinary undergraduate qualification may be admitted as a student for the degree of BSc in Veterinary Science, subject to the approval of the College of Medicine & Veterinary Medicine.

86.   Every student for the degree must normally attend in the University of Edinburgh during not less than two academic years the courses of instruction in the classes of the first two years of the curriculum for the BVM&S degree and pass the assessments prescribed for these courses.

87.   In addition every student must pursue studies for at least one year in the University of Edinburgh in one of Honours Degree Programmes available at: https://www.eevec.vet.ed.ac.uk/secure/page.asp?ID=in0000id

88.   The year of study in the Honours Degree Programme may be intercalated not earlier than the end of the second year of study, provided that a student has successfully completed the appropriate assessments and satisfied such conditions as the Head of the School concerned may require, subject to the approval of the College of Medicine & Veterinary Medicine.

89.   Students in all Honours years may take Honours curriculum courses to a maximum value of 120 credit points, all of which count in the final Honours award and classification.

Ordinary Degree

90.   No student shall be admitted as a student for the degree, except on transfer from candidature for the degrees of BVM&S 5 year programme or BVM&S 4 year Graduate Entry Programme. Students on the 5 year programme are eligible to be considered for the

ordinary degree if they have successfully completed 240 credits from the First and Second Professional Examinations and, have shown sufficient attainment in the Third Year BVM&S assessments. Students on the graduate entry programme are awarded 120 credits of recognised prior learning. The Ordinary Degree of BSc (Veterinary Science) may not be conferred on any student who already holds, or is eligible to receive, the Degree of BSc in Veterinary Science with Honours.

BSc in Oral Health Sciences

COMPLIANCE

91.   Students should refer to the appropriate Year Study Guide for detailed curriculum and assessment information.

92.   Admission to the profession is excepted from the provisions of Section 4 (2) of the Rehabilitation of Offenders Act 1974 by virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) (Amendments) Order 1986. Students on the BSc in Oral Health Sciences programme are therefore not entitled to withhold information about a previous conviction on the grounds that it is, for other purposes, spent under the Act. Subject to the provisions of the Rehabilitation of Offenders Act 1974, failure to disclose a relevant conviction may result in the withdrawal of an offer of admission or exclusion from a programme of studies.

93.   Students are subject to a Hepatitis B, Hepatitis C and HIV status check prior to entering the BSc in Oral Health Sciences. Failure to comply with this regulation or a positive result will lead to admission being refused or to exclusion from studies.

ATTENDANCE AND PARTICIPATION

94.   Except in exceptional circumstances, the maximum period of enrolment on the BSc in Oral Health Sciences may not exceed five years, including any period of leave of absence.

PROGRESSION

95.   A student whose progress in any year is unsatisfactory may be required to undertake a period of remedial study before being permitted to re-sit.

96.   No student may proceed to the next year of study for the BSc programme in Oral Health Sciences until he/she has passed all components of the previous year of the programme.

Bachelor of Science

Honours Degree

97.   Limitation on Courses Taken in Honours Years: Students in all Honours years may take Honours curriculum courses to a maximum value of 120 credit points, all of which count in the final Honours assessment. Students may attend additional Honours courses on a class-only basis (i.e. not for credit), with the agreement of the Programme Organiser and the approval of the Personal Tutor.

   (a) Where a student takes level 9 courses in year 2, such courses should be regarded as part of the non-Honours curriculum and, if failed, may be repeated as a resit in Junior Honours. These courses will not be included in the degree classification.

(b) Students intending to graduate with an Ordinary degree may resit a failed level 9 course for the purposes of gaining the required number of credits, as specified in the Undergraduate Assessment Regulations.

(c) Students in Junior Honours are permitted also to take up to 40 credit points of level 7/8 courses, which do not count towards the Honours assessment, as specified in the Undergraduate Assessment Regulations.

(d) Students in Junior Honours must take 60 credit points of level 9/10 courses in semester 1 and 60 credit points of level 9/10 courses in semester 2.

Bachelor of Science General Degree

98.   To qualify for the award of the degree of BSc (General) students must have obtained 360 credit points from passes (or recognition of prior learning), normally at the rate of 120 credit points per year: 240 credit points in courses listed in Medicine and Veterinary Medicine Schedule T, Science and Engineering Schedules K-Q and from subject areas Language Sciences and Psychology in Schedule I; 200 credit points at SCQF level 8, 9 or 10; 80 credit points at SCQF level 8, 9, 10 in courses listed in Medicine and Veterinary Medicine Schedule T, Science and Engineering Schedules K-Q and from subject areas Language Sciences and Psychology in Schedule I; 60 credit points at SCQF level 9 or 10.

Bachelor of Science Ordinary Degree in a Designated Discipline

99.   To qualify for the award of the degree of BSc Ordinary Degree in a Designated Discipline students must have obtained 360 credit points from passes (or recognition of prior learning, acceptable under General Undergraduate Regulations). The overall curriculum (including any concessions) must have met the requirement for entry to Senior Honours in that Discipline as indicated in years 3 and 4 of the Honours Degree Programme Table, subject to further restrictions and recommendations that may appear in the appropriate School Programme Guide (excluding the requirement for the Honours courses to have been passed at the first sitting, and excluding any elevated hurdles or prerequisites for Honours).

100.   The BSc Ordinary Degree is awarded in designated disciplines corresponding to every BSc Honours degree and with the same titles, with the exception that the titles of the following Ordinary degrees in the designated disciplines are changed as indicated:

(a) subject specialisations for the BSc Biomedical Sciences, where the Designated Discipline will be Biomedical Sciences, i.e. without the subject specialisation;

D   College of Science and Engineering Undergraduate Degree Regulations: Degree Specific Regulations

College requirements

101.   These degree programme requirements relate to undergraduate programmes in the College of Science and Engineering. They are additional to, and should be read in conjunction with, the General Undergraduate Degree Regulations above, which apply to **all** undergraduate programmes, unless otherwise stated.

Qualifications

Bachelor of Sciences General Degree*

102.   For the award of the degree of BSc (General) students must have obtained 360 credit points including at least:

   (a) 180 credit points in courses listed in the School collections of Schools in the College of Science and Engineering.

   (b) 200 credit points at SCQF levels 8, 9 or 10;

   (c) 60 credit points at SCQF level 9 or 10;

   (d) 30 credit points at SCQF level 9 or 10 in courses listed in the School collections of Schools in the College of Science and Engineering.

*The Bachelor of Science: General Degree will not be available to students entering the University from 2012/13 onwards

Bachelor of Sciences Ordinary Degree in a Designated Discipline or Combined Disciplines

103.   To qualify for the award of the BSc Ordinary Degree in a Designated Discipline or Combined Disciplines students must have obtained 360 credit points (or recognition of prior learning, acceptable under General Undergraduate Regulations). The overall curriculum (including any concessions) must have met the requirement for entry to Senior Honours in that Discipline or Combined Disciplines as indicated in years 3 and 4 of the Honours Degree Programme Table, subject to further restrictions and recommendations that may appear in the appropriate School Programme Guide (excluding the requirement for the Honours courses to have been passed at the first sitting, and excluding any elevated hurdles or prerequisites for Honours.)

For those programmes where there is a Schedule of level 9 courses specifically for Ordinary Degrees then the level 9 course may be substituted for the related level 10 course in the DPT for the purpose of eligibility for the Ordinary Degree in a Designated Discipline.

104.   The BSc Ordinary Degree is awarded in designated disciplines corresponding to every BSc, BEng, MA, or Integrated Masters (e.g. MPhys, MInf) Honours degree and with the same titles, with the exception that the titles of the following Ordinary degrees in the designated disciplines are changed as indicated:

   (a) subject specialisations for the BSc Biological Sciences, where the Designated Discipline will be Biological Sciences, i.e. without the subject specialisation;
   (b) subject specialisations within the School of Chemistry, where the Designated Discipline will be either Chemical Sciences or Chemical Sciences with Industrial Experience. The latter may be awarded to students who successfully complete the industrial experience component of the corresponding MChem programme;
   (c) subject specialisations within the discipline of Ecological Science, where the Designated Discipline will be Ecological Science, i.e. without the subject specialisation.

105.   In the case of Combined Degree programmes, the Examiners will recommend the award of the BSc Ordinary Degree in single (see requirement 4 above) or combined disciplines in order to best reflect the achievements of the individual student.

Degree of Bachelor of Medical Sciences

106.   The Degree Programme Requirements of the Bachelor of Medical Sciences and Bachelor of Science (Veterinary Sciences) are in the College Undergraduate Regulations of the College of Medicine and Veterinary Medicine.

Professional requirements: School of Engineering

107.   An Honours student who is eligible for progression or for the award of an Honours degree by the University regulations but who fails an Honours course, for which a pass is required for reasons associated with breadth of professional knowledge and/or the stipulation(s) of one or more of the Professional Accreditation bodies, will be required to "resit for professional purposes" the examination and/or resubmit the course work in the August diet following. However, the first (fail) mark will be recorded for the Honours degree classification.

108.   Should the resit or resubmission still fail to achieve a pass, the student will not be eligible to progress or graduate with Honours. In such cases, the student will be required to interrupt for a year and take a further "resit for professional purposes". A final year student requiring "resit(s) for professional purposes" will be ineligible for the degree of Bachelor of Engineering with Honours / Master of Engineering with Honours until such time as the necessary passes at "resit for professional purposes" are achieved, but may be eligible for the award of the degree of Bachelor of Science (Ordinary) in a Designated Discipline. The maximum number of attempts will be the same as the number normally allowed by undergraduate assessment regulations.

109.   It will be for each Discipline within the School of Engineering to identify "courses for which a pass is required…". This may be done on the basis of individual courses, and/or on the basis of an aggregate. The requirements for each Discipline will be stated in the Degree Programme Handbook.

2.   These Regulations, including Assessment Regulations (2013/2014), 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 Resolutions 3/1986 and 20/2012.

4.   This Resolution shall come into force with effect from the commencement of the 2013/2014 academic session on 1 August 2013.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Degrees covered by these Regulations

College of Humanities and Social Science

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 Arts (Health Studies)
Bachelor of Arts (Health Studies) with Honours
Bachelor of Nursing with Honours
Bachelor of Science (Social Work)
Bachelor of Science (Social Work) with Honours
Bachelor of Arts
Bachelor of Arts with Honours
Bachelor of Architecture
Bachelor of Architecture with Honours
Master of Arts (Architecture) with Honours
Master of Arts (Architecture in Creative and Cultural Environments) with Honours
Bachelor of Divinity
Bachelor of Divinity with Honours
Master of Divinity with 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 Education (Design and Technology) with Honours
Bachelor of Education (Physical Education) with Honours
Bachelor of Education (Primary Education) 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) with Honours
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 (Biomedical Sciences)
Bachelor of Science (Biomedical Sciences) with Honours
Bachelor of Science (Oral Health Sciences)
Bachelor of Science (Oral Health 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

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 34/2013

Postgraduate Degree Programme Regulations

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it desirable to produce one comprehensive set of Postgraduate Degree Regulations, including Assessment Regulations (2013/2014);

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 (2013/2014):

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 Postgraduate Degree Regulations are hereby set out:

Compliance

1.   The degree programme regulations define the types of award, their key characteristics, and their grounds for award. These regulations apply to all categories of postgraduate study at the University of Edinburgh, except for those qualified by a Senatus approved Memorandum of Agreement or Understanding for joint or collaborative awards. Students must comply with any requirements specific to their degree programme as set out in the Degree Programme Tables, the relevant College Regulations and the University's Taught Assessment Regulations for the current academic session: www.ed.ac.uk/schools-departments/academic-services/staff/assessment/assessment-regulations

2.   Every student must comply with the detailed requirements of the curriculum for the degree as set out in the appropriate Degree Programme Table, the programme handbook, the courses of study, the order in which courses are attended and the assessment for the programme, which are published in the University Degree Regulations and Programmes of Study.

3.   When selecting courses, students must comply with the pre-requisite, co-requisite and prohibited combination requirements shown in the Degree Programme Table, unless a concession is approved by the relevant Head of College.

Codes of Practice

4.   The degree regulations are supported by the following Codes of Practice:
   - Code of Practice for Supervisors and Research Students
   - Code of Practice for Taught Postgraduate Programmes
   http://www.ed.ac.uk/schools-departments/academic-services/policies-regulations/codes

These Codes of Practice, although not regulatory, provide essential information for staff and students.

SCQF Consistency

5.   The University's postgraduate awards and degree programmes are consistent with the Scottish Credit and Qualifications Framework (SCQF, http://www.scqf.org.uk/) unless an exemption has been approved by the Curriculum and Student Progression Committee or the award is not included in the SCQF.

Authority Delegated to Colleges

6.   In exceptional circumstances a concession to allow relaxation of a specific regulation may be granted by the appropriate Head of College. Where the Head of College does not have authority to award a particular concession then the Curriculum and Student Progression Committee may award the concession. Where the Head of College has the authority to grant permissions and concessions, this authority may be delegated to appropriate nominees in the College or Schools. Students must consult their Schools as to the appropriate point of contact, and must not approach the Head of College direct.

Fitness to Practise

7.   The relevant College's Fitness to Practise Committee must be satisfied at all times that in respect of health, conduct and any other matters which the Committee may reasonably deem relevant, whether such matters relate to the student's University programme or are unrelated to it, the student will not constitute a risk to the public, vulnerable children or adults or to patients and is a suitable person to become a registered member of the relevant professional body. Students are subject to the Fitness to Practise regulations both while actively studying and while on an interruption of study. Any student who fails to satisfy the relevant College's Fitness to Practise Committee, irrespective of his/her performance in assessment, will be reported to the Head of College who has power to recommend exclusion from further studies and assessments or Professional Examinations, or to recommend the award of the degree be withheld. An appeal against this decision may be submitted to the University's Fitness to Practise Appeal Committee: http://www.docs.sasg.ed.ac.uk/AcademicServices/Guidance/Fitness_to_Practise.pdf

Disclosure

8.   Students must comply with the University's Student Disclosure Assessment process to ensure that students do not pose a risk to those with whom they interact during their students, in particular, vulnerable groups. http://www.ed.ac.uk/polopoly_fs/1.7201!/fileManager/Code%2Bof%2BPractice%2Bfor%2BStudent%2BCriminal%2BConvictions%2Band%2BDisclosure%2BAssessment%2B2011%2B(3).pdf

Postgraduate Awards and Degree Programmes

9.   The University awards the following types of postgraduate degrees, diplomas and certificates, with the credit points required as listed below. The University's postgraduate

awards and degree programmes are consistent with the Scottish Credit and Qualifications Framework (SCQF, http://www.scqf.org.uk/) unless an exemption has been approved by the Curriculum and Student Progression Committee. The credit levels required for each programme are specified within the appropriate Degree Programme Table.

General Postgraduate Certificate Postgraduate Certificate in a named subject discipline	60 credits
General Postgraduate Diploma Postgraduate Diploma in a named subject discipline	120 credits
Masters in a named subject discipline Master of a named discipline	180 credits
Masters in a named subject discipline Master of a named discipline	240 credits
Masters by research	180 credits
MPhil, MLitt, MMus, ChM	240 credits
Doctorate	540 credits
EngD	720 credits
MD,DDS,DVM&S* Doctor of a named discipline	*Note: these awards are not included in the SCQF therefore a credit value has not been included here

A   General Postgraduate Degree Regulations

Late Admission

10.   No student will be admitted to a postgraduate degree, diploma or certificate programme or a course that is part of their programme more than two weeks after their given start date without the permission of the Head of College. A student who leaves a course after six weeks will be deemed to have withdrawn and the course enrolment remains on the student's record.

Part-time Study

11.   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. For students registered for part-time study, the College will impose such conditions as it requires ensuring adequate academic contact between the student and the appropriate School within the University.

Registration for University Staff

12.   Members of the University staff may only be registered for part-time study.

Conflicting Studies

13.   Students at this University must not, except in exceptional cases and with the permission of the Head of College, undertake any concurrent credit bearing studies in this (or in any other) institution other than the one for which they are registered in this University.

Applicants Awaiting Results

14.   Applicants for postgraduate study may be studying at this or another institution just prior to the start of their postgraduate studies. Such applicants must have finished these studies before the start of the programme to which they have an offer.

15.   If successful completion of this prior study is a requirement of admission, applicants are expected to provide evidence of achievement before the start of the programme.

Consecutive Registration

16.   At the time of application, Masters by Research applicants may be invited to be registered for consecutive Masters by Research, followed by PhD study within the same School. This option may not be available in all Schools. Depending on the outcome of assessment the student will be invited to follow one of three routes:

(a) Start First Year of Doctoral Programme. If successful in the Masters by Research programme, the student graduates and also registers in the next academic session on the first year of the doctoral programme; or

(b) Start Second year of Doctoral Programme. Prior to the completion of the masters dissertation, the School is content that the quality of the student's work merits treating the masters year as the first year of doctoral study. No dissertation is submitted, no masters degree is awarded, and the student registers in the next academic session on the second year of the doctoral programme; or

(c) Graduate with Masters by Research Degree and Exit.   If successful in the Masters by Research programme, the student graduates and permanently withdraws.

Recognition of Prior Learning (RPL)

17.   The College has power to recognise a student's prior learning. Before approval is granted the College must be satisfied that the learning to be recognised provides an adequate basis for the programme or courses as set out in the appropriate Degree Programme Table. Colleges can approve RPL for research programmes up to a maximum of 360 credits. The maximum number of credits that the Colleges will grant RPL for taught programmes is:

- College of Humanities and Social Science: one-third of the total credits for the award for which the student is applying, i.e. 20 credits for a certificate; 40 credits for a diploma; and 60 credits for a masters;
- College of Medicine and Veterinary Medicine: one-third of the total credits for the award for which the student is applying, i.e. 20 credits for a certificate; 40 credits for a diploma; and 60 credits for a masters; and

- College of Science and Engineering: a maximum of 40 credits for a masters; no RPL credit are awarded for certificate or diplomas.

18.   Before approval is granted the College must be satisfied that the learning to be recognised provides an adequate basis for the programme or courses as set out in the appropriate Degree Programme Table. See also, the University's Admissions Policy: http://www.ed.ac.uk/polopoly_fs/1.50158!/fileManager/UoE%20Admissions%20PolicyFINAL20120813.pdf

19.   University of Edinburgh courses which have a substantial curriculum overlap with any of the courses that contributed to a student's admission on the basis of RPL will not count towards the student's degree programme.

Permissible Credit Loads

20.   Exceptionally, with College approval, students may take up to 20 credits of additional study at SCQF levels 7-11 during each year of study.

21.   Students may attend courses on a class-only basis (i.e. not for credit), with the approval of the Programme Director and, where relevant, the supervisor and/or Personal Tutor. Decisions will be based on the overall load (credit and non-credit bearing) on the student in the year. The additional credits must not be more than one-third of the scheduled number of credits for the year.

Credit Award

22.   A student who has previously submitted work for one course or programme at the University must not submit the same work to attempt to achieve academic credit through another course or programme.

23.   A student cannot, except under recognition of prior learning or application for associated postgraduate diploma or masters, achieve an award comprising academic credit that contributed (or will contribute) to another award.

Transfer to another Programme

24.   College may permit programme transfer in appropriate circumstances. When such permission is granted, the student shall, in addition to satisfying the requirements for the degree to which transfer is made, pursue such further courses of study as the College may require.

Attendance and Participation

25.   Students must attend and participate as required in all aspects of their programme of study. This includes being available for assessment, meeting programme directors and supervisors face-to-face, and examination. The Degree Programme Table sets out programme requirements for on-campus study, placements and distance learning.

26.   During a period of study, including authorised interruptions of study and leave of absence, it is a student's responsibility to provide a current postal contact address and to ensure that any legal requirements, including those imposed by his or her funding or grant

authority, are met. Current students must check their MyEd and University email account frequently for communications from the University.

The Prescribed Period of Study

27.   The University defines the prescribed period of study for each authorised programme. These are as follows, unless the Curriculum and Student Progression Committee (CSPC) has approved a different prescribed period of study for the programme. The prescribed period of study for each programme is recorded in the offer of admission.

- Postgraduate Certificate:
  - The period of study prescribed for **full-time** students is 4 months. This period may not be reduced.
  - The period of study prescribed for **part-time continuous** students is 12 months. The College may reduce this by up to 4 months.
  - The period of study prescribed for **part-time intermittent** students is 24 months. The College may reduce this by up to 8 months.
- Postgraduate Diploma:
  - The period of study prescribed for **full-time** students is 9 months. This period may not be reduced.
  - The period of study prescribed for **part-time continuous** students is 24 months. The College may reduce this by up to 8 months.
  - The period of study prescribed for **part-time intermittent** students 48 months. The College may reduce this by up to 16 months.
- Postgraduate Masters:
  - The period of study prescribed for **full-time** students is 12 months. This period may not be reduced.
  - The period of study prescribed for **part-time continuous** students is 36 months. The College may reduce this by up to 12 months.
  - The period of study prescribed for **part-time intermittent** students is 72 months. The College may reduce this by up to 24 months.
- Postgraduate Doctoral and MPhil:
  - The period of study prescribed for **full-time** PhD students is 36 months (MPhil 24 months).
  - The period of study prescribed for **part-time** PhD students is 72 months (MPhil 48 months).
  - Members of the University staff and students holding a PhD research appointment under the auspices of the University may be registered for a minimum period of 36 months part-time (MPhil 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 36 months part-time (MPhil 24 months part time).
  - For full-time students the College may reduce the prescribed period by up to three months (two months for MPhil). The College may reduce the prescribed period by up to 36 months for part-time PhD students (24 months for part-time MPhil). Reductions to the prescribed period are not available to those members of staff who are registered for the minimum period of 36 months (24 months part-time MPhil).

Request for Reinstatement

28.   A student who has been excluded for lapse of time may ask the College to reinstate his/her registration at a later date to permit examination of a completed thesis. The College will decide whether or not a student should be reinstated, and factors such as the passage of time and its implications for the topic of study will be taken into account. The student must provide good reason for the previous failure to complete. If, exceptionally, reinstatement is approved, the student's thesis will be examined in accordance with the Postgraduate Assessment Regulations for Research Degrees, subject to payment of a reinstatement and examination fee.

Leave of Absence

29.   For students not on distance learning programmes, leave of absence to undertake study away from Edinburgh requires College approval after consideration of an application by the student's supervisor or programme director. The College will define how all absences will be approved and recorded.

Interruptions of Study

30.   A student may apply for an Interruption of Study, and it may be authorised by the Head of College if there is a good reason. Students must provide evidence to support their applications. Interruptions of study may not be applied retrospectively. Any one period of authorised interruption of study will not exceed one year and the total period of authorised interruption of study will not exceed 100% of the prescribed period of study, unless authorised by the Head of College.

Extensions of Study

31.   A student must complete the requirements of the degree programme within the maximum period of study. In exceptional circumstances, a student may apply through the supervisor and school postgraduate director to the college for an extension and it may be authorised by the Head of College if there is good reason. The student must provide evidence to support their application. The College may extend a student's period of registration by up to two years. Extensions beyond this time are not permitted.

Withdrawal and Exclusion

32.   Any student may withdraw permanently from his/her programme of study at any point in the year. Students may be excluded for reasons outlined within the procedure for Withdrawal and Exclusion from Studies:
http://www.docs.sasg.ed.ac.uk/AcademicServices/Guidance/Withdrawal_Exclusion_from_St udy.pdf

ADDITIONAL REGULATIONS FOR DOCTORAL AND MPHIL DEGREES BY RESEARCH

Supervision

33   Each student will work under the guidance of at least two supervisors appointed by the College. There are two types of supervisory arrangement: Principal Supervisor plus Assistant Supervisor (or supervisors if more than one), and Co-Supervisors, one of whom is designated the Lead Supervisor.   The former option is the usual arrangement, but the latter

option may be chosen when it is clear that the student's work involves interdisciplinary research.

(a) At least one supervisor (the Principal/Lead Supervisor) must be appointed prior to registration, and the other should be appointed within two months of the programme start date.

(b) The Principal/Lead Supervisor is responsible to the School's Postgraduate Director for the duties set out in the Code of Practice for Supervisors and Research Students, and must be:
- a salaried member of the academic staff of the University; or
- a non-academic member of staff employed by the University who has appropriate expertise in research; or
- an honorary member of staff

The nomination of non-academic or honorary members of staff to act as Principal/Lead Supervisor for a stated period must be specifically approved by the College. In appropriate cases the other supervisor(s) may not need to be a member of the staff of the University, provided s/he assumes his/her supervisory duties in accordance with university regulations and requirements.

(c) Supervisors must maintain regular contact with their students who, in turn, have a responsibility to make themselves available at times agreed with their supervisors.

(d) In certain circumstances when the student is working full time in an Associated Institution the Principal/Lead Supervisor may, if the College Committee with responsibility for postgraduate research matters approves, be a full-time employee of the Associated Institution. In such a case the assistant supervisor(s) must be a University employee. A Principal/Lead Supervisor who is a member of an Associated Institution has exactly the same responsibilities as one working within the university.

(e) Students, including those on leave of absence, must maintain frequent contact with their supervisor as and when required and at least twice in each three month period.

Transfers from Another Institution

34.   The research studies of students who apply to transfer from another institution in order to study for the doctoral or MPhil degree of the University of Edinburgh may be counted towards the prescribed period of study for the degree. In such cases the prescribed period of study at the University of Edinburgh must be at least 12 months.

Collaborative Degrees

35.   The University of Edinburgh and one or more partner universities can collaboratively offer a research degree programme. This can be awarded jointly. The University maintains a repository of approved collaborative degrees.

GROUNDS FOR THE AWARD OF DOCTORAL AND MPHIL RESEARCH DEGREES

Demonstration by Thesis and Oral Exam for the Award of PhD

36.	The student must have demonstrated by the presentation of a thesis and/or portfolio and by performance at an oral examination that the student is capable of pursuing original research making a significant contribution to knowledge or understanding 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. Orals for re-submission may be waived by the Head of College.

Thesis Length – Word Count

37.	The thesis must not exceed a maximum word count. There is no minimum word count.

- The PhD thesis must not exceed 100,000 words in CHSS and CMVM.
- The PhD thesis must not exceed 70,000 words in SCE.

The word count of the thesis includes the main text, preface material, footnotes and references but does not include material in the appendices, bibliography, abstract or lay summary. 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.

Additional Thesis Considerations

38.	Taught professional doctorates will have additional entrance, curriculum and examination requirements. Information is provided in relevant Degree Programme Tables and programme handbooks. Students will be required to successfully complete the taught component, submit the thesis and/or portfolio and fulfil any placement requirements.

MPhil by Research

39.	The student must have demonstrated by the presentation of a thesis and/or portfolio and by performance at an oral examination (unless, due to exceptional circumstances, this is waived) that the student is capable of pursuing original research making a significant contribution to knowledge or understanding 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.

- The thesis must not exceed a maximum word count. There is no minimum word count.

- The thesis must not exceed 60,000 words in CHSS and CMVM. The thesis must not exceed 50,000 words in SCE.

- The word count of the thesis includes the main text, preface material, footnotes and references but does not include material in the appendices, bibliography, abstract or lay summary. 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.

PhD (by Research Publications)

40   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. Permission to register will not be granted to applicants who are in a position to submit for the PhD by dissertation or who already possess a PhD. Applicants must have been active postgraduate researchers in their field of expertise for a minimum of five years, and they must not submit material published more than ten years prior to the date of registration.

41.   The portfolio submitted for the PhD by Research Publications must demonstrate a substantial and coherent body of work which would have taken the equivalent of three years of full-time study to accomplish. The portfolio must demonstrate original research and make a significant contribution to knowledge or understanding in the field of study, and is presented in a critical and scholarly way.

42.   Applicants must apply to the relevant College for approval of their candidature. Applicants are required to submit their published work, together with a 500-word abstract, their CV and a general critical review of all their submitted work. If College approves registration, it will appoint an adviser to assist the applicant with the format of his/her submission and to guide him/her on the selection, coherence and quality of the portfolio of research work, the abstract and critical review.

43.   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 should not exceed 100,000 words.

- The critical review must summarise the aims, objectives, methodology, results and conclusions covered by the work submitted in the portfolio. It must also indicate how the publications form a coherent body of work, what contribution the student has made to this work, and how the work contributes significantly to the expansion of knowledge. The critical review must be at least 10,000 words, but not more than 25,000 words in length.

- Students 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.

ADDITIONAL REGULATIONS FOR POSTGRADUATE TAUGHT DEGREES AND MASTERS BY RESEARCH, POSTGRADUATE DIPLOMAS AND POSTGRADUATE CERTIFICATES

Programme-Specific Regulations

44.   These regulations may be supplemented by certain programme-specific regulations for degrees offered in collaboration with other institutions.

Prescribed Period of Study

45.   The prescribed period of study is defined in the Degree Programme Table. This period may not be reduced, and may be extended only in exceptional circumstances.

Assessment

46.   Students must comply with any assessment requirements specific to their degree programme and the University's taught or research (as appropriate) assessment regulations for the current academic session: http://www.ed.ac.uk/schools-departments/academic-services/staff/assessment/assessment-regulations

Masters by Research degrees only

47.   In addition to any requirements as detailed in the relevant Degree Programme Table, the student must have demonstrated by the presentation of a dissertation and/or portfolio that they are capable of pursuing research, or a critical survey of knowledge in the field of study, or both combined with a satisfactory plan for a more advanced research project. The research must demonstrate competence, knowledge and be presented in a critical and scholarly way. The assessed work, including the dissertation must not exceed 30,000 words. The dissertation must be at least 60 credits out of the total 180 SCQF level 11 credits required for the award of the degree.

Application for Associated Postgraduate Diploma or Masters

48.   A candidate who already holds a postgraduate certificate or diploma from the University of Edinburgh may be permitted by the appropriate Head of College to apply for the associated postgraduate diploma or masters degree, provided that not more than five years have elapsed between his or her first graduation and acceptance as a candidate for the subsequent award. Such a candidate will be required to achieve further credit points, as deemed appropriate by the Head of College.

POSTHUMOUS AWARDS

49.   Senatus may authorise the conferment of posthumous degrees, diplomas and certificates if proposed by the College and approved by the Curriculum and Student Progression Committee.   A posthumous award is conferred where the student has significantly completed the relevant year of study at the time of death.

AEGROTAT AWARDS

50.   In exceptional circumstances Senatus may authorise the conferment of *aegrotat* degrees to taught postgraduate students. Each such conferment requires a proposal from the relevant College to be approved by the Curriculum and Student Progression Committee. An *aegrotat* degree is conferred only where the student was nearly qualified to receive the degree and was unable to complete it due to circumstances beyond his or her control. Before any proposal is referred to Senatus, the College must check that the student is willing to receive the degree *aegrotat*.

B   College of Humanities and Social Science Postgraduate Degree Regulations: Degree Specific Regulations

Doctor of Clinical Psychology (DClinPsychol)

51.   The degree specific regulations are:

i. **Grounds for Award**. Awarded on successful completion of supervised clinical practice, written examination, assessed essay and research portfolio, including thesis, small-scale research projects and experimental case reports.

ii. **Mode of Study and Prescribed Period of Study**. The programme can be taken on a full-time or mixed full-time/part-time basis, but the first year is taken on a full-time basis only. The prescribed period of study is 36 months full-time, or between 48 and 60 months on a mixed full-time/part-time basis.

iii. **Thesis Length**. The thesis must not exceed 30,000 words unless, in exceptional cases, the college has given permission for a longer thesis.

Doctor of Psychotherapy (DPsychotherapy)

52.   The degree specific regulations are:

(a) **Placement.** Students will undertake a practice placement, consisting of 300 hours of supervised counselling practice and 60 hours of counselling supervision.

(b) **Thesis Length** The thesis will be between 35,000 and 45,000 words in length unless in exceptional cases the college has given permission for a longer thesis.

(c) **Resits.** A student who fails the practice placement may, on the recommendation of the Board of Examiners, be offered a second opportunity to undertake the placement if in the opinion of the Board the failure was attributable to illness, hardship or other relevant circumstances beyond the student's control. A repeat placement is to be completed within a further 24 months.

(d) **Recognition of Prior Learning (RPL).** In the case of formal, certificated study, up to 60 credits of prior learning at SCQF level 11 may be recognised. In the case of non-certificated study, up to 20 credits of prior learning may be recognised.

Doctor of Education (EdD)

53.   The degree specific regulations are:

(a) **Grounds for Award.** The degree of EdD may be awarded on the basis of successful completion of assessed essays, a research project and a thesis.

(b) **Prescribed Period of Study**. The prescribed period of study is 60 months part-time, but this may be increased to a maximum of 72 months.

(c) **Thesis Length**. The thesis length should be no more than 75,000 words.

PhD in Composition in Music

54.   **Grounds for Award**. The student must compose to a high creative level as demonstrated both by the student presenting a portfolio of compositions as well as attendance at an oral examination. The portfolio of compositions must comprise original work which:

(a) is suitable for professional performance and worthy of publication;

(b) shows competence in the ancillary technical skills appropriate to the chosen style;

(c) contains material which presents a body of work such as could reasonably be achieved on the basis of three years postgraduate study;

(d) is presentationally satisfactory & intelligible to any musician who might have to use it.

55.   The portfolio of compositions should include at least one major and extended work, except where a shorter submission may be accepted in the case of electronic compositions. If a substantial part of the portfolio was completed before registration for the degree, the student should indicate this and identify the part of the portfolio so completed.

PhD(eca) – submission by portfolio

56.   The degree specific regulations, when a student is submitting for award of PhD(eca) by means of a portfolio of artifacts, artworks and other practice-based outputs, are:

(a) The portfolio of artifacts or artworks must comprise original work of a high creative level which is worthy of public exhibition and also an integral part of the original contribution to knowledge made by the overall work of the candidate submitted in fulfillment of the requirements of the PhD. It must show competence in the appropriate ancillary technical skills; 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 and intelligible in its presentation. There should also be a permanent record of the work; and

(b) The portfolio of artifacts and artworks will be accompanied by a thesis of not more than 40,000 words (including bibliography and footnotes but excluding appendices).

MPhil(eca) – submission by portfolio

57.   The degree specific regulations, when a student is submitting for award of MPhil(eca) by means of a portfolio of artifacts, artworks and other practice-based outputs, are:

(a) The portfolio of artifacts or artworks must comprise original work of a high creative level worthy of public exhibition. It must show competence in the appropriate ancillary technical skills; must contain material which presents a body of work such as could reasonably be achieved on the basis of two years postgraduate study; must be satisfactory and intelligible in its presentation. There should also be a permanent record of the work; and

(b) The portfolio of artifacts or artworks should normally be accompanied by a thesis of not more than 20,000 words (including bibliography and footnotes but excluding appendices).

Master of Fine Art

58.   The Master of Fine Art is gained upon the successful completion of 240 Credits at SCQF Level 11. The degree specific regulations are:

(a) **Grounds for Award.** Students will be assessed by a combination of practical studio work with theoretical and written studies, including professional practice elements.

(b) **Prescribed Period of Study.** The period of study will be 21 months full-time.

Master of Social Work/Diploma in Social Work (MSW/DipSW)

59.   The degree specific regulations are:

(a) **Grounds for Award**. Students will undertake two practice placements

(b) **Prescribed Period of Study**. The period of study will be 21 months full-time.

(c) **Re-Sit Options.** A student who fails a unit of academic assessment other than the dissertation on the first occasion may be allowed one further attempt to complete the assessment requirements. A student who fails a practice placement may, on the recommendation of the Board of Examiners, be offered a second opportunity to undertake the placement.

Master of Chinese Studies (MCS)

60.   The degree specific regulations are:

(a) **Grounds for Award.** Students will be assessed by essays, examinations, a placement report and a dissertation. An oral examination will be required in the Chinese language and may be required for other courses. Provided that the dissertation reaches a postgraduate diploma standard, it may be revised in order to reach the masters level within a further maximum period of three months. Students must work in the University of Edinburgh and in a Chinese institution approved by the Programme Director.

(b) **Prescribed Period of Study**. The period of study will be between 24 and 36 months, full-time.

Master of Teaching

61.   The degree specific regulations are:

(a) **Mode of Study and Prescribed Period of Study**. The period of study is between 36 and 60 months part time.

(b) **Recognition of Prior Learning.** The total number of exemptions which may be granted for any student is 90 credits.

(c) **Grounds for Award**. Students will be assessed directly or synoptically on each course taken. In accordance with the national guidelines, courses are assessed on a pass/fail basis. Students who fail a course will be permitted a further attempt to pass the assessment of that course within three months of the result being made known to the student.

Diploma in Educational Leadership and Management/Scottish Qualification for Headship Programme

62.   The degree specific regulations are:

(a) **Grounds for Award**. Students will be assessed on each course through coursework (assignments, portfolios, reports and oral assessments) and through school visits by SQH field assessors in the case of course 5. In accordance with the national agreement all courses are assessed only on a pass/fail basis. Students who fail a course will be permitted one further attempt to pass the assessment of that course within six weeks of the result being made known to the student.

(b) **Mode of Study and Prescribed Period of Study**. The programme is available by part-time study only, and the period of study is between 27 and 60 months.

Master of Counselling/Diploma in Counselling (MCouns/DipCouns)

63.   The degree specific regulations are:

(a) **Grounds for Award**. Students will undertake a practice placement, consisting of at least 150 hours of supervised counselling practice and 30 hours of counselling supervision.

(b) **Mode of Study and Prescribed Period of Study**. The period of study will be 24 months full time or 48 months part-time. Each student must complete the requirements of the degree before the expiry of a further 12 months.

(c) **Re-Sits.** Students who fail a unit of academic assessment other than the dissertation on the first occasion may be allowed one further attempt to complete the assessment. A student who fails the practice placement may, on the recommendation of the Board of Examiners, be offered a second opportunity to undertake the placement. A repeat placement must be completed within a further 24 months.

MSc/Dip in Arab World Studies

64.   The degree specific regulations are:

(a) **Collaboration**. The 2-year programme is collaborative, between the universities of Edinburgh, Durham and Manchester, and is funded through the ESRC. The first year of study for all students is taken at Edinburgh. An intensive course is taken in an Arab country during the summer, followed by year two at the primary institution.

(b) **Progression**. Progression from Year 1 to Year 2 will be decided by the University of Edinburgh's Board of Examiners, after completion of the taught element, and before the students commence their summer placement in an Arab country. Decisions on progression to Year 2 will be conditional on each student's satisfactory completion of the period of residence abroad.

Postgraduate Certificate in Democracy and Public Policy (Edinburgh Hansard Research Scholars Programme)

65.   The degree specific regulations are:

  (a) **Mode of Study and Prescribed Period of Study.** The period of study is 13 weeks full time.

  (b) **Assessment Type.**   Students will be assessed on each unit through coursework, examination and a research project linked to a placement. All units are assessed only on a pass/fail basis. Students who fail a unit will be permitted one further attempt to pass the assessment of that unit within six weeks of the result being made known to the student.

MSc in Architectural Project Management

66.   **Mode of Study and Prescribed Period of Study.** The programme is delivered by distance learning over a period of 48 to 84 months. Each institution will provide 60 credits of teaching material in addition to a dissertation of 60 credits.

MSc in Advanced Sustainable Design (mixed mode)

67.   **Mode of Study and Prescribed Period of Study.** The programme is delivered on campus and by distance learning over a period of 24 months (mixed mode).

PhD in Creative Music Practice

68.   **Grounds for Award**. The degree is assessed on a single output that consists of two components:

  (a) A text of not more than 50,000 words; and

  (b) A portfolio, performance(s), recording(s), and/or other musical output containing original or interpreted pre-existing works such as composition, installation, sound design, interactive music software etc. Such work would be supported by documentation of the process (e.g. video, photographs, recordings, sketches, studies, web pages) by which it was made.

PhD in Trans-Disciplinary Documentary Film

69.   **Grounds for Award.** There are three possible variations for final submission, which combine the submission of audio-visual material and a thesis:
  (a) audio-visual material to a maximum of 1 hour documentary film or 100 photographs, plus an extended critical essay of 25,000 - 30,000 words; or
  (b) audio-visual material to a maximum of 40 minutes documentary film or 70 photographs, plus an extended critical essay of 45,000 - 50,000 words; or
  (c) audio-visual material to a maximum of 20 minutes documentary film or 40 photographs, plus an extended critical essay of 65,000 - 70,000 words.

PhD in Architecture by Design

70.   The thesis for the PhD in Architecture by Design must not exceed 50,000 words. In addition to the thesis the student will be required to submit a body of design work including studies, sketches and maquettes, which will be fully integrated with the text and presented in a format which can be archived.

Master of Architecture

71.   **Grounds for Award.** The programme will be delivered by a series of advanced level design exercises and projects, engaging with structural, environmental, cultural, theoretical and aesthetic questions. Students must pass the Academic Portfolio for exemption from ARB/RIBA Part 2.

Master of Public Policy (MPP/DipPP), PG Dip and PG Cert of Public Policy

72.   The degree specific regulations are:

(a) **Prescribed Period of Study - Masters.** The period of study is 15 months.

(b) **Prescribed Period of Study – PG Dip and PG Cert.** Students on the PG Certificate in Public Policy may complete this full-time over 4 months or part-time over a two year period. On successful completion of the PG Certificate, students may transfer to the PG Diploma in Public Policy (within a three year time period). Students on the PG Diploma in Public Policy may complete this full-time over 9 months or part-time over a four year period. On successful completion of the PG Diploma, students may transfer to the Master Public Policy programme (within a three year time period).

(c) **Grounds for Award.** Students will complete a compulsory programme of courses in the first and second semesters, comprising eight 15-credit courses, and a three-month placement in a policy organisation on which the Capstone Project/dissertation will be based. Students who decide not to complete the Capstone Project may, at the discretion of the College, be awarded a Postgraduate Diploma in Public Policy.

(d) **Resits.** Students who fail a unit of academic assessment other than the Capstone Project on the first occasion may be allowed one further attempt to complete the assessment.

(e) **Placement.** A student who fails the placement component of the Capstone Project may, on the recommendation of the Board of Examiners, be offered a second opportunity to undertake the placement. A repeat placement must be completed within a further 12 months.

Diploma in Professional Legal Practice

73.   The degree specific regulations are:

(a) **Grounds for Award.** Students must pass all of the core courses and three elective courses to be awarded the Diploma in Professional Legal Practice. Attaining a mark of 50% or more in the assignments, participation and attendance gives exemption

from sitting the examination in Company and Commercial, Financial Services and Related Skills and Professional Responsibility.

(b) **Assessment Type**. Students will be assessed in writing in each course of the curriculum. Students may only present themselves for examination in a course if they have been certified as having given regular attendance and having successfully completed the requisite work of the class in that course. Students may be permitted a single re-sit examination for each course of the curriculum in which they have failed.

C   College of Medicine and Veterinary Medicine Postgraduate Degree Regulations: Degree Specific Regulations

Professional Masters

Master of Clinical Dentistry (MClin Dent) (Orthodontics/ Paediatric Dentistry/ Prosthodontics/ Oral Surgery)

74.   Students will pursue an integrated programme of teaching and taught clinical practice. Work for an independent research dissertation will commence during the first year and will be spread over the duration of the programme. Students may be given the opportunity of one resit attempt for the theoretical and practical components. Students who, after resit examinations, have an aggregate mark of less than 40% for the first year will be excluded. The independent research component will be assessed by examination of the written dissertation and subsequent oral examination. The opportunity to resit does not apply to the dissertation.

Masters in Surgical Sciences (MSc)

75.   Students may be given the opportunity of one resit attempt for their final written examinations at the end of their year 1 and /or year 2, if they have failed their first attempt. If they pass the resit they will be awarded the Postgraduate Certificate (Year 1) or Postgraduate Diploma (Year 2); they will not progress into Year 3 (Masters Year)."

Master of Surgery (ChM)

76.   The ChM suite of programmes are two year SCQF level 12 programmes worth 120 credits. In order to be awarded the ChM students must:

   a) pass at least 60 credits at SCQF level 12 with a mark of at least 50% in each of the courses which make up these credits; and
   b) attain an average of at least 50% for the 120 credits of study;
   c) satisfy any other specific requirements for the ChM degree programme, that are clearly stated in respective handbooks.

If the student has achieved pass marks (40%) in at least 40 credits and has an overall average of 50% or more over the full 120 credits, then they will be awarded credits on aggregate for the failed courses, up to a maximum of 20 credits.

Masters in Transfusion, Transplantation and Tissue Banking (MSc)

77.   Students may be given the opportunity of one resit attempt for their final written examinations at the end of their year 2, if they have failed their first attempt.

Professional Higher Degrees

Doctor of Medicine (MD)

78.   An applicant for the degree of Doctor of Medicine (MD) must hold a qualification which is registrable with the General Medical Council and must have been engaged since graduation for at least one year either in scientific work bearing directly on the applicant's profession, or in the practice of Medicine or Surgery, and will perform their work in the South East of Scotland, either employed as a member of staff of the University of Edinburgh; or as an NHS employee or as a research worker employed or self-financed or grant-funded, in the University of Edinburgh or an Associated Institution or an NHS establishment.

79.   The grounds for the award of the degree of MD are:

(a) A student must have demonstrated by the presentation of a thesis and by performance in an oral examination (unless this is exceptionally waived by the College) that the student is capable of pursuing original research in the field of study, relating particular researches to the general body of knowledge in the field, and presenting the results of the researches in a critical and scholarly way.

(b) the thesis must deal with one or more of the subjects of study in the curriculum for the degrees of MB ChB of the University or with subjects arising directly from contemporary medical practice. It must be an original work making a significant contribution to knowledge in or understanding of the field of study; contain material worthy of publication; show a comprehensive knowledge and a critical appreciation of the field of study and related literature; show that the student's observations have been carefully made; show the exercise of independent critical judgment with regard to both the student's work and that of other scholars in the same general field; contain material which presents a unified body of work; be satisfactory in its literary and general 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. A concise and informative summary should be included with the thesis.

80.   To apply an applicant must complete an application form and submit it to the College. This will include:

(a) a suggested topic and description of the work on which the thesis will be based.

(b) agreement to undertake the responsibilities of primary and secondary supervisor from at least two supervisors who can demonstrate that they have received up-to-date training in postgraduate student supervision and who are either members of the academic staff of the University or honorary members of staff or employees of the University who have appropriate expertise in research. The supervisors also undertake that they will accommodate the candidate and the project within their research facilities, and obtain permission from line managers as required. Supervisors will be located in the University of Edinburgh or in NHS facilities within

the supervision of the NHS Education for Scotland South East Scotland postgraduate deanery.

(c) details of any bench fees to be charged to the student or their financial sponsor in support of the research.

(d) references and certificates as detailed in the postgraduate studies application form.

The College Postgraduate Researcher Experience Committee must approve the application before the applicant can be registered as a student. This process should be completed within one month. The applicant will then matriculate and pay tuition fees on commencement of the research project.

81.   Registration may be full-time or part-time.

(a) Full-time registration will apply to students who will spend >80% full-time equivalent devoted to research related to the MD project. They may be either not in employment for >20% full-time equivalent, or employed in a post in which at least 80% full time equivalent time is available for research related to their MD project rather than for clinical training or practice or other duties. Full time students have a prescribed period of two years in which they will conduct the research (during which annual tuition fees and bench fees, if applicable, are due), with up to two years to write up the thesis thereafter (during which matriculation fees only are due). Thesis submission is permitted at two years at the earliest and within four years.

(b) Part-time registration will apply to students who are in employment unrelated to their MD project for >20% full-time equivalent, or who elect not to devote as much as 80% of their time to the MD research project. Students may opt to study either at 40% full-time equivalent, for which they will have a prescribed period of research of four years, or at 60% equivalent, for which the prescribed period is 3 years. In either case, annual tuition fees will be charge at a rate reduced pro rata from the full-time fees, and students will have two years to write up the thesis at the end of the prescribed period. Thesis submission is permitted at the end of the prescribed period of study at the earliest.

82.   Progress will be monitored as follows:

(a) Students must be in regular contact with their supervisors. They should meet at least once a month to review progress, for example in research group meetings.

(b) A thesis panel will be convened comprising of the supervisors and at least one other member of academic staff with expertise in the research field but who is not involved directly with the research. The panel will be convened by the primary supervisor and meet within 3 months of the start of the project and at the end of the first year. It may meet during subsequent years if appropriate. On each occasion, a student will submit a written report of progress in the form of a scientific paper containing a future plan, and will give a 10 minute oral presentation. They will have the opportunity for private discussion with the non-supervising panel member. The panel will review not only progress in the research project, but also training received in transferable research skills. Students are expected to attend research training available as appropriate through the Transkills programme of the University, the education programme of the Wellcome Trust Clinical Research Facility and other

training opportunities. They should also document their participation in internal and external research seminars and meetings.

(c) A progress report will be prepared annually and submitted through the relevant local route to the College Postgraduate Researcher Experience Committee. Where significant difficulties are identified, the committee may consider alterations to the student's registration.

83.   A student who is registered for a MD may apply to the College Postgraduate Researcher Experience Committee for conversion to an alternative degree, including abbreviating the prescribed period to 1 year full time equivalent in order to complete a MSc by Research, completing a 2 year full time equivalent prescribed period to complete a MPhil, or extending the prescribed to 3 years full time equivalent in order to complete a PhD. Conversion can only be considered prospectively, in advance of completing the necessary prescribed period of research, and will incur tuition fees applicable for the new degree and any bench fees as agreed with the supervisors.

84.   A student must submit a thesis specially written for the degree concerned and must not have submitted it in candidature for any other degree, postgraduate diploma or professional qualification. Material to be included in a thesis may be published before the thesis is submitted. The thesis must record the fact of such publication. The thesis must conform to the Postgraduate Research Degree Assessment Regulations.

85.   A student must incorporate in the thesis a signed declaration:

(a) that the thesis has been composed by the student, and

(b) either that the work is the student's own or, if the student has been a member of a research group, that the student has made a substantial contribution to the work, such contribution being clearly indicated in the declaration, and

(c) that the student has not submitted the thesis in candidature for any other degree, postgraduate diploma or professional qualification .

86.   Two copies of the thesis, three if you are/have been a member of staff, must be submitted to the College Postgraduate Researcher Experience Committee for examination. Copies of the thesis shall remain the property of the University.

87.   While author's copyright subsists in the thesis and in the abstract of the thesis, each student will be asked to grant the University the right to publish the abstract of the thesis approved and/or to authorise its publication for any scholarly purpose with proper acknowledgement of authorship.

88.   The College will appoint one internal examiner, who shall not have been the student's supervisor, and one external examiner of the thesis. External examiners shall be a recognised authority in the subject matter of the thesis and their appointment shall be subject to the approval of the College. In special circumstances more than one internal or external examiner may be appointed.

89.   The examiners report to the College. They may judge a thesis satisfactory subject to specified modifications. In such circumstances the student will be permitted to graduate

only after the College has received a statement, signed by the internal examiner, that the modifications have been made.

90.   If in the opinion of the examiners the thesis is not of sufficient merit to justify the award of the degree, the student may be given the opportunity to resubmit the thesis provided that effect is given to any recommendation the examiners and the College may make regarding further studies or the format or content of the thesis.

91.   If the thesis is deemed to be sufficiently worthy the College may award the Degree of MD be conferred either with Distinction or with Distinction and the award of a Gold Medal.

(a) The award of Distinction indicates that the thesis contains original research which is of international significance in the field of study. This will usually be confirmed by publication in the leading international journals in the candidate's discipline. In addition, the presentation of the thesis and its defence at the oral examination will be of high quality, at least in the top decile of those submitting MD theses.

(b) The award of a Gold Medal indicates that the thesis contains original research which is of ground breaking significance in the field of study. This will usually be confirmed by publication in leading generalist international journals. In addition, the presentation of the thesis and its defence at the oral examination will be of high quality, at least in the top decile of those submitting MD theses.

Doctor of Dental Surgery (DDS)

92.   An applicant for the degree of Doctor of Dental Surgery (DDS) must:

(a) be a graduate in Dental Surgery (BDS) of the University of Edinburgh and must have been engaged since graduation for at least one year either in scientific work bearing directly on the student's profession, or in the practice of Dentistry, or

(b) hold a qualification which is registrable with the General Dental Council and must have been engaged since graduation for at least one year either in scientific work bearing directly on the student's profession, or in the practice of Dentistry, and will perform their work in the South East of Scotland, either employed as a member of staff of the University of Edinburgh; or as an NHS employee or as a research worker employed or self-financed or grant-funded, in the University of Edinburgh, or an Associated Institution or an NHS establishment.

93.   A thesis for the degree of DDS must deal with one or more subjects of study in the curriculum for the degree of BDS of the University or with subjects arising directly from contemporary dental practice.

94.   The grounds for the award of the DDS are:

(a) the student must have demonstrated by the presentation of a thesis and by performance in an oral examination (unless this is exceptionally waived by the College) that the student is capable of pursuing original research in the field of study, relating particular researches to the general body of knowledge in the field, and presenting the results of the researches in a critical and scholarly way. An oral

examination will be mandatory for students who do not hold the degree BDS, as appropriate, of the University of Edinburgh.

(b) the thesis must be an original work making a significant contribution to knowledge in or understanding of the field of study; contain material worthy of publication; show a comprehensive knowledge and a critical appreciation of the field of study and related literature; show that the student's observations have been carefully made; show the exercise of independent critical judgment with regard to both the student's work and that of other scholars in the same general field; contain material which presents a unified body of work; be satisfactory in its literary and general 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. A concise and informative summary should be included with the thesis.

95.   Thesis topic and description.

(a) An intending student shall submit to the College a suggested topic and description of the work on which the thesis will be based. Students who do not hold the degree BDS, from the University of Edinburgh should submit applications through their identified adviser(s), and receive the approval of the head of an appropriate University School. The College Postgraduate Researcher Experience Committee must approve the thesis proposal before the application is accepted. Where the research proposal involves work on human subjects or animals, proof must be submitted that study protocols have been approved by the appropriate ethical committee or regulatory body. Additionally, in the case of studies involving laboratory animals, the student should confirm that animal care, welfare and procedures will be conducted under an appropriate Home Office Licence. Students will become matriculated students. A fee to cover registration and matriculation is payable when the suggested topic and description of the work have been accepted by the College. A registration fee is paid upon initial registration, an annual advisory fee is paid at the beginning of each year of study (Including the first year) and an examination fee is paid at the time of thesis submission. An annual progress report will be submitted jointly by the adviser, the student and the Head of School or his/her nominee. After formal acceptance of the suggested topic and description normally a period of at least 18 months must elapse before a student may submit a thesis for the degree concerned. It is expected that the thesis would normally be submitted within a period of five years following registration. Late submissions will require approval from the College Postgraduate Researcher Experience Committee.

(b) A period of two years must have elapsed since obtaining the primary degrees or registrable qualifications referred to above before an intending student may submit a suggested topic and description.

96.   When the College accepts a student, an adviser, who will be a member of the academic staff of the University or an honorary member of staff, will normally be appointed from whom the prospective student should seek advice. Students performing work outwith the University would normally have project approval from and an additional adviser in the host institute. These appointments will be subject to ratification by the College Postgraduate Researcher Experience Committee.

97.   A student must submit a thesis specially written for the degree concerned and must not have submitted it in candidature for any other degree, postgraduate diploma or professional qualification. Material to be included in a thesis may be published before the thesis is submitted. The thesis must record the fact of such publication. The thesis must conform to the Postgraduate Research Degree Assessment Regulations.

98.   A student must incorporate in the thesis a signed declaration:

   (a) that the thesis has been composed by the student, and

   (b) either that the work is the student's own or, if the student has been a member of a research group, that the student has made a substantial contribution to the work, such contribution being clearly indicated in the declaration, and

   (c) that a student who does not hold the degree of BDS, as appropriate, from the University of Edinburgh has undertaken a substantial proportion of the work (greater than 75%) contributing to the thesis while in post in South-East Scotland *, and

   (d) that the student has not submitted the thesis in candidature for any other degree, postgraduate diploma or professional qualification .

For this purpose, South-East Scotland is the areas covered by the Borders, Fife and Lothian Health Boards.

99.   Two copies of the thesis, three if you are/have been a member of staff, must be submitted to the College Postgraduate Researcher Experience Committee for examination. Copies of the thesis shall remain the property of the University.

100.   While author's copyright subsists in the thesis and in the abstract of the thesis, each student will be asked to grant the University the right to publish the abstract of the thesis approved and/or to authorise its publication for any scholarly purpose with proper acknowledgement of authorship.

101.   The College shall appoint one internal examiner, who shall not have been the student's adviser, and one external examiner of the thesis. External examiners shall be of recognised eminence in the subject matter of the thesis and their appointment shall be subject to the approval of the College. In special circumstances more than one internal or external examiner may be appointed.

102.   The examiners report to the College. They may judge a thesis satisfactory subject to specified modifications. In such circumstances the student will be permitted to graduate only after the College has received a statement, signed by the internal examiner, that the modifications have been made.

103.   If in the opinion of the examiners the thesis is not of sufficient merit to justify the award of the degree, the student may be given the opportunity to resubmit the thesis provided that effect is given to any recommendation the examiners and the College may make regarding further studies or the format or content of the thesis.

104.   If the thesis is deemed to be sufficiently worthy the College may award the Degree of DDS be conferred either with Distinction or with Distinction and the award of a Gold Medal.

Doctor of Veterinary Medicine and Surgery (DVM&S)

105.   An applicant for the degree of Doctor of Veterinary Medicine and Surgery (DVM&S) must normally be:

(a) a graduate of the University of Edinburgh of at least two years' standing, or a graduate of another approved University of at least three years' standing who has served as a member of staff (ordinary or honorary) of the University of Edinburgh for a continuous period of not less than two years, and

(b) registered to practise Veterinary Medicine within the United Kingdom, and

(c) have been engaged since graduation for at least one year either in scientific work bearing directly upon the student's profession or in the practice of Veterinary Medicine and Surgery.

106.   A thesis for the degree of DVM&S must deal with one or more of the subjects of study in the curriculum for the degree of BVM&S of the University or with subjects arising directly from contemporary veterinary practice.

107.   The grounds for the award of the degree of DVM&S are:

(a) the student must have demonstrated by the presentation of a thesis and by performance in an oral examination (unless this is exceptionally waived by College) that the student is capable of pursuing original research in the field of study relating particular researches to the general body of knowledge in the field, and presenting the results of the researches 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; contain material worthy of publication; show a comprehensive knowledge and a critical appreciation of the field of study and related literature; show that the student's observations have been carefully made; show the exercise of independent critical judgement with regard to both the student's work and that of other scholars in the same general field; contain material which presents a unified body of work; be satisfactory in its literary and general 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.

108.   An intending student shall submit to the College a suggested topic and description of the work on which the thesis will be based. A registration fee is paid upon initial registration, an annual advisory fee is paid at the beginning of each year of study (Including the first year) and an examination fee is paid at the time of thesis submission. The student must also matriculate. After formal acceptance of the suggested topic and description, a period of normally at least 18 months must elapse before the thesis is submitted.

109.   When the College accepts a student, an adviser, who will be a member of the academic staff or an honorary member of staff, will normally be appointed from whom the prospective student should seek advice.

110.   A student must submit a thesis specially written for the degree and must not have submitted it in candidature for any other degree, postgraduate diploma or professional qualification. Material to be included in a thesis may be published before the thesis is submitted. The thesis must record the fact of such publication or take the form of bound publications with appropriate introduction and discussion. The thesis must conform to the Postgraduate Research Degree Assessment Regulations.

111.   A student must incorporate in the thesis a signed declaration:

(a) that the thesis has been composed by the student and

(b) either that the work is the student's own or, if the student has been a member of a research group, that the student has made a substantial contribution to the work, such contribution being clearly indicated in the declaration, and

(c) that the student has not submitted the thesis in candidature for any other degree, postgraduate diploma or professional qualification.

112.   Two copies of the thesis, three if you are/have been a member of staff, must be submitted to the College Postgraduate Researcher Experience Committee for examination. Copies of the thesis shall remain the property of the University. While author's copyright subsists in the thesis and in the abstract of the thesis, each student will be asked to grant the University the right to publish the abstract of the thesis approved and/or to authorise its publication for any scholarly purpose with proper acknowledgement of authorship.

113.   The College shall appoint one internal examiner, who shall not have been the student's adviser, and one external examiner of the thesis. External examiners shall be of recognised eminence in the subject matter of the thesis and their appointment shall be subject to the approval of the University Court. In special circumstances more than one internal or external examiner may be appointed.

114.   The examiners report to the College. They may judge a thesis satisfactory subject to specified modifications. In such circumstances the student will be permitted to graduate only after the College has received a statement, signed by the internal examiner, that the modifications have been made.

115.   If in the opinion of the examiners the thesis is not of sufficient merit to justify the award of the degree, the student may be given the opportunity to resubmit the thesis provided that effect is given to any recommendation the examiners and the College may make regarding further studies or the format or content of the thesis.

D   College of Science and Engineering Postgraduate Degree Regulations: Degree Specific Regulations

Doctor of Engineering (EngD)

116.   The EngD is a four-year doctoral level research and training programme worth 720 credits which leads to the award of an EngD degree. The EngD degree is equivalent in academic standing to a conventional PhD but is achieved through research which is much

more industrially focused and which is designed to produce graduates who have a sound understanding of the business implications of industrial research activity.

Doctor of Engineering (EngD) in System Level Integration

117.   The Doctor of Engineering (EngD) in System Level Integration is offered jointly by the University of Edinburgh, the University of Glasgow, Heriot-Watt University and the University of Strathclyde, and the awards are made jointly in the names of all four universities. The University of Glasgow is currently the Administering University and programme regulations will be found under the regulations of that University: http://www.gla.ac.uk/

Doctor of Engineering (EngD) in Offshore Renewable Engineering

118.   The Doctor of Engineering (EngD) in Offshore Renewable Engineering is offered jointly by the University of Edinburgh, the University of Strathclyde and the University of Exeter and the awards are made jointly in the names of all three universities. The University of Edinburgh is currently the Administering University and programme regulations and further information about the programme is available on the website of the Industrial Doctoral centre for Offshore Renewable Energy (IDCORE) http://www.idcore.ac.uk/

2.   These Regulations, including Assessment Regulation (2013/2014), 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 19/2012.

4.   This Resolution shall come into force with effect from the commencement of the 2013/2014 academic session on 1 August 2013.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Degrees covered by these Regulations

Research Degrees

Doctor of Philosophy (PhD)
Master of Philosophy (MPhil)
MSc by Research (MScR)
Master of Research (MRes)

College of Humanities and Social Science
Master of Letters (MLitt)
Doctor of Education (EdD)
Master of Theology by Research (MTh by Research)
Master of Laws by Research (LLM by Research)

College of Medicine and Veterinary Medicine
Master of Medical Sciences by Research (MMedSci by Research)
Master of Veterinary Sciences by Research (MVetSci by Research)

College of Science and Engineering
Doctor of Engineering (EngD)

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
Doctor of Clinical Psychology (DClinPsychol)
Doctor of Psychotherapy and Counselling (DPsychotherapy)
European Masters in Landscape Architecture (EMLA)
Master of Architecture (MArch)
Master of Art (eca) MA (eca)
Master of Fine Art (MFA)
Masters in Architecture (MArch)
Master of Architecture (Studies) (MArch (Studies))
Master of Landscape Architecture (MLA)
Master of Architecture (Design) (MArch (Design))
Master of Architecture (Digital Media) (MArch (Digital Media))
Master of Architecture (Digital Media Studies) (MArch (Digital Media 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 Nursing (MN)
Master of Public Policy (MPP)
Master of Social Work (MSW)
Master of Teaching (MTeach)
Master of Theology (MTh)

College of Medicine and Veterinary Medicine

Master of Clinical Dentistry (MClinDent)
Master of Public Health (MPH)
Master of Surgery (General Surgery) (ChM (General Surgery))
Master of Surgery (Trauma and Orthopaedics) (ChM (Trauma and Orthopaedics))
Master of Surgery (Urology) (ChM (Urology))
Master of Surgery (Vascular and Endovascular) (ChM (Vascular and Endovascular))
Master of Veterinary Sciences (MVetSci)

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 35/2013

Alteration of the title of the Chair of Fire Safety Engineering

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to alter the title of the Chair of Fire Safety Engineering founded by Resolution 37/2004;

AND WHEREAS paragraph 5 of Part II of Schedule 2 to the Universities (Scotland) Act 1966, provides that the University Court may, after consultation with the Senatus Academicus and with the consent of the incumbent and patrons, if any, alter the title of existing professorships;

AND WHEREAS the Chair dealt with in this Resolution is in the patronage of the University Court itself:

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 that Act, hereby resolves:

1. The Chair of Fire Safety Engineering shall hereafter be designated the BRE Research Chair of Fire Safety Engineering.

2. This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

SARAH SMITH

University Secretary

<u>Resolution of the University Court No. 36/2013</u>

<u>Foundation of a Personal Chair of Entrepreneurship and Enterprise Development</u>

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Entrepreneurship and Enterprise Development:

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 Entrepreneurship and Enterprise Development 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 Entrepreneurship and Enterprise Development 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 May Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 37/2013

Foundation of a Personal Chair of International Strategy

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of International Strategy:

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 International Strategy 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 International Strategy 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 April Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 38/2013

Foundation of a Chair of Leadership Development

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Chair of Leadership Development:

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 that Act, hereby resolves:

1.   There shall be a Chair of Leadership Development in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with effect from 1 August Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 39/2013

Foundation of a Chair of Strategy and Change

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Chair of Strategy and Change:

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 that Act, hereby resolves:

1.   There shall be a Chair of Strategy and Change in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with effect from 1 September Two thousand and thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 40/2013

Foundation of a Personal Chair of Modern Spanish and Comparative Literature

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen

WHEREAS the University Court deems it expedient to found a Personal Chair of Modern Spanish and Comparative Literature:

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 Modern Spanish and Comparative Literature 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 Modern Spanish and Comparative Literature 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 thirteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Resolutions 41/2013 to 71/2013 follow the same format as this Resolution.

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 72/2013

Foundation of a Chair of Strategy and Organisation

At Edinburgh, the Twenty-fourth day of June, Two thousand and thirteen.

WHEREAS the University Court deems it expedient to found a Chair of Strategy and Organisation:

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 that Act, hereby resolves:

1.   There shall be a Chair of Strategy and Organisation in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

SARAH SMITH

University Secretary

The University of Edinburgh

University Court

24 June 2013

Conclusion from Sub Group Reviewing SBS Trustee's request

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

This paper is to conclude the exercise undertaken by the Sub Group of Court reviewing the request made by the Trustees of the Staff Benefits Scheme for a cash contribution to the Scheme. In line with expectations outlined in the previous paper to Court (13th May 2013) the Chair of the Sub Group has now received confirmation of the acceptance by the Trustees of the Sub Group's decision to reject the request for a £5m cash contribution. The letter from the Trustees is attached for information. The Sub Group now considers this matter closed.

<u>Action requested</u>

Court is invited to note the response from the SBS Trustees and to confirm that this matter is now closed.

<u>Resource implications</u>

Does the paper have resource implications? The Sub Group's recommendation that the University should not make additional cash contributions at this time has been accepted. There are potential longer term implications if the deficit recovery plan does not succeed, or if the scheme deficit worsens further.

<u>Risk assessment</u>

Does the paper include a risk assessment? No

<u>Equality and diversity</u>

Has due consideration been given to the equality impact of this paper? No

Specific issues of equality and diversity are not relevant, as the content focusses primarily on financial, strategy and/or financial project considerations.

<u>Freedom of information</u>

Can this paper be included in open business? Yes

<u>Originator of the paper</u>

Terry Fox, Assistant Director of Finance
17th June 2013

<u>To be presented by</u>

Phil McNaull, Director of Finance

Attachment: Letter from SBS Trustees to Sub Group of Court

Sheriff Principal E F Bowen QC
Sheriff Court of Glasgow & Strathkelvin
1 Carlton Place
Glasgow G5 9SA

A.   19 June 2013

Dear Sheriff Principal Bowen

SBS Trustees

Further to Malcolm Murray's letter to you dated 8 May 2013, we write to confirm that we will reluctantly accept the decision of the University not to pay additional funds into the Scheme as part of the formal valuation as at 31 March 2012.

We continue to believe the University to be in a healthy financial position and although some surplus funds are committed elsewhere, feel that our request was entirely reasonable and affordable for the University. We acknowledge that the covenant of the University remains strong, which is in the best interest of our Scheme members although we would highlight to you the view of the Pensions Regulator that covenant is not merely the ability to pay additional contribution but also the willingness.

We will, of course, revisit our view on the covenant and therefore the assumptions to be adopted at the next valuation, due as at 31 March 2015. In the meantime, we will progress towards concluding the 2012 valuation on the basis of a continuation of the current level of contributions and submit this to the Pensions Regulator in due course.

Yours Sincerely

Ann Banks
Secretary of Scheme - on behalf of the SBS Trustees

c.c. Mr Terry Fox, Assistant Director of Finance, UofE

D6

The University Court

24 June 2013

Fair Trade Policy

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

As a leading University in Fair Trade and to reflect the wider approach to fair trade, it is now necessary to update the Policy originally approved by Court at its meeting on 8 November 2010.

<u>Action requested</u>

Court is invited to approve the updated Fair Trade Policy.

<u>Resource implications</u>

Does the paper have resource implications? No

<u>Risk assessment</u>

Does the paper include a risk assessment? No

<u>Equality and diversity</u>

Has due consideration been given to the equality impact of this paper? n/a

<u>Freedom of information</u>

Can this paper be included in open business? Yes

<u>Originator of the paper</u>

Prepared by Liz Cooper, Fair Trade Coordinator, and
Karen Bowman, Convener FTSG
12 June 2013

The University of Edinburgh

Proposed New Fair Trade Policy

(Previously endorsed by Court)

The University of Edinburgh aims to contribute to meeting the global poverty challenge by:

1. Expanding the range of fair trade foods, beverages and apparel available at all campus shops, canteens, cafés, meeting rooms, restaurants and bars.

2. Ensuring fair trade tea and coffee is used at all meetings and encouraging consumption of fair trade products in offices.

3. Raising awareness on issues of fairness in global trade through events and online content.

4. Carrying out and disseminating research on fairness in trade, and encouraging associated teaching, through our Fair Trade Academic Network.

5. Collaborating with the Edinburgh Fair Trade City Initiative and the Scottish Fair Trade Forum on what it means for Scotland to be a Fair Trade Nation, and with other relevant groups such as the Worker Rights Consortium.

Our student-staff Fair Trade Steering Group will regularly review and make recommendations to revise the University's approach to fair trade procurement and awareness-raising, taking into account the latest developments in fair trade movements and in academia.

Court is invited to approve the above revised Fair Trade Policy

Karen Bowman, Convener FTSG
12 June 2013

The University of Edinburgh

The University Court

24 June 2013

Donations and Legacies to be notified

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

A report on legacies and donations received by the University of Edinburgh Development Trust from 26 April to 14 June 2013, prepared for the Meeting of Court on 24 June 2013.

Action requested

For information.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? No, not applicable.

Equality and diversity

Has due consideration been given to the equality impact of this paper? n/a

Freedom of information

Can this paper be included in open business? No

Its disclosure would substantially prejudice the effective conduct of public affairs

Originator of the paper

Ms Kirsty MacDonald
Executive Director of Development & Alumni Engagement / Secretary, University of Edinburgh Development Trust.