

MINUTE OF A MEETING of the University Court of the University of Edinburgh held in held in, the Basement Seminar Room, Roslin Institute on Monday 12 May 2014.

- Present:**
- Rector (in chair)
 - The Principal
 - Sheriff Principal E Bowen
 - Ms D Davidson
 - Mr A Johnston
 - Professor A M Smyth
 - Dr M Aliotta
 - Professor J Ansell
 - Professor D Finnegan
 - Professor S Monro, Vice-Convener
 - Mr D Bentley
 - Dr R Black
 - Mr L Matheson
 - Dr A Richards
 - Ms A Lamb
 - Ms K Haigh, Vice-President Students' Representative Council
- In attendance:**
- Ms S Beattie-Smith, Rector's Assessor
 - Vice-Principal Professor J Haywood
 - Vice-Principal Professor C Jeffery
 - Vice-Principal Dr S Rigby
 - Vice-Principal Professor Sir John Savill
 - Vice-Principal Professor J Seckl
 - University Secretary, Ms S Smith
 - Vice-Principal Mr N Paul, Director of Corporate Services
 - Dr I Conn, Director Communications and Marketing
 - Mr H Edmiston, Director of Corporate Services elect
 - Mr G Douglas, Deputy Secretary, Student Experience
 - Ms S Gupta, Director of Human Resources
 - Mr G Jebb, Director of Estates and Buildings
 - Mr P McNaull, Director of Finance
 - Mrs T Slaven, Deputy Secretary Strategic Planning
 - Ms L Chalmers, Director of Legal Services
 - 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
 - Professor J Taylor
 - Mr P Budd
 - Dr C Masters
 - Mrs E Noad
 - Mr H Murdoch, President Students' Representative Council

Court received a presentation on the Future Strategy of the University of Edinburgh - The Next 10 Years delivered by the Principal, and discussed strategic priorities and contingency planning.

A FORMAL BUSINESS

1 MINUTE OF THE MEETING HELD ON 17 FEBRUARY 2014

Paper A1

The Minute of the meeting held on 17 February 2014 was approved as a correct record.

Court noted that this was the last meeting to be attended by Ms Kirsty Haigh, Vice - President Students' Representative Council and would have been the last meeting to be attended by Mr Hugh Murdoch, President Students' Representative Council. Members recorded their thanks for their commitment to the University and wished them well for the future.

Court welcomed the new Director of Estates and Buildings Mr Gary Jebb and Mr Hugh Edmiston, Director of Corporate Services elect. Court further noted that Ms Briana Pegado President elect Students' Representative Council and Ms Tasha Boardman, Vice-President Services elect Students' Representative Council had been unable to attend this meeting of Court.

Court observed a minute silence in memory of Professor Tony Harmar a former Court Senate Assessor who had died on 10 April 2014.

2 NOTE OF SEMINAR HELD ON 10 FEBRUARY 2014

Paper A2

The Note of the Seminar held on 10 February 2014 was approved.

B PRINCIPAL'S BUSINESS

1 PRINCIPAL'S COMMUNICATIONS

Paper B1

Court noted the items in the Principal's report and the additional information on: the inaugural conference of the Edinburgh India Institute on 14-16 May 2014, showcasing the University's longstanding engagement with India; the current position in taking forward the planning and budget setting for 2014/2015; the stance the University had adopted in respect of the CBI; the success of the Chancellor's Fellowship Scheme and the intention to present further information to the next meeting of Court: and the EUSA Teaching Awards 2014.

2 DESIGNATION OF VICE-PRINCIPALS AND ASSISTANT PRINCIPALS

Paper B2

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

Professor Andrew Morris to be designated Vice-Principal Data Science with effect from 18 August 2014 until 17 August 2017.

Court further noted information on those designated as Vice-Principals and Assistant Principals.

C SUBSTANTIVE ITEMS

1 REPORT OF THE FINANCE AND GENERAL PURPOSES COMMITTEE

Comments on the Report of the Central Management Group

Paper C1.1

Court noted the items in particular the new robust visiting student and non-graduation

student policies and the Equality and Diversity Monitoring and Research Committee (EDMARC) report. Court expressed concern on gender imbalances in higher staff grades highlighted in the EDMARC report noting the continuing focus on this area to ensure transparency in recruitment and promotion processes.

Report on Other Items

Paper C1.2

There was discussion on a number of the matters in the report including the summary research and commercialisation report, the TRAC teaching return and the success of the various undergraduate bursary schemes in supporting the widening access agenda. Court further noted and discussed the various financial information presented particularly around the 10-year forecast and future financial requirements of the University.

2 EUSA PRESIDENT'S REPORT

Paper C2

Court noted the items within the EUSA President's Report and the additional information provided by the Vice-President, Services on: progress in developing a strategic plan for EUSA and improvement to the EUSA's financial position; the continuing success of the School Councils project; appointments to the NUS; the election of the new EUSA sabbatical officers; and the outcome of the sexual harassment survey. There was discussion on the sexual harassment survey and it was agreed to share further details on the outcome with Court: assurance was provided that the University would work with EUSA to address issues raised.

3 NATIONAL PHYSICAL LABORATORY (NPL) - UPDATE

Paper C3

Court noted the process to date in taking forward the NPL bid and that the formal bid had been submitted ahead of the deadline at 8.30 pm on 21 April 2014. Court welcomed confirmation that the University had now been invited to attend an interview on 19 May 2014 to expand and provide further information on its proposals as part of the competitive bidding process: it was anticipated that the BIS would confirm to the Minister its preferred bidding group proposal in the week commencing 26 May 2014. Court would be kept informed on the developing position.

4 SRUC – UPDATE

Paper C4

Vice-Principal Professor Sir John Savill delivered a presentation on the academic vision around the possible strategic alignment of SRUC with the University of Edinburgh including the opportunities around articulation and details on the SRUC teaching and learning, research and estate profile. There was debate on the proposals, the opportunities arising from alignment of SRUC and the University, the revised outline timetable as circulated at the meeting, and proposed governance arrangements including the approach to the various activities currently undertaken within SRUC. The opportunities in respect of teaching and research across all the University's Colleges were also noted in particular around the global academies and food and environmental security.

Following detailed consideration, Court approved further exploration of alignment of SRUC within the University and the proposed work plan as set out in the paper to take this forward. Court was assured that cognisance would be taken of the lessons learned from ECA and that concerns around capacity issues, given the other significant issues currently being progressed, would be managed with an integrated planning approach adopted. Court would be kept informed of progress with the Court Sub-Group (Professor Monro, Dr Richards, Professor Ansell, Dr Black, Mr Johnston, the Principal

and the University Secretary) continuing to be actively engaged in the details of the project.

5 SCOTTISH CODE OF GOOD HIGHER EDUCATION GOVERNANCE Paper C5

It had been previously intimated that the University was largely compliant with the Scottish Code of Good Higher Education Governance and that it wished to take the opportunity to be 'compliant plus'. The Sub-Group appointed by Court had progressed work around three main strands resulting in a number of documents being presented for approval. In particular the Sub-Group had taken the opportunity to review the Court Committee structure to improve clarity particularly around the decision making process and to enhance the flow of information to Court recommending the designation of a limited number of Standing Committees reporting directly to Court supported by Thematic Committees responsible for key areas.

There was discussion on some of the Committee reporting arrangements particularly around health and safety and IT/IM issues. It was intimated that during 2014/2015 further refinements of the structure and the terms of reference of the Committees may be required to ensure arrangements were operating effectively. It was agreed to include within the Standing Orders reference to the process to elect General Council Assessors. Court also noted the intention to develop further the proposals to hold an annual meeting in respect of enhancing community engagement.

Court welcomed and approved the new Committee structure which would be implemented with effect from 1 August 2014 and the other documents and proposed approaches as set out in the paper.

6 STUDENT EXPERIENCE – UPDATE Paper C6

Court welcomed the analysis of the outcomes on the Edinburgh Student Experience survey and of the focus groups which had identified positive trends and validated the approach being taken forward by the various student experience work strands. The key learning points were noted and the intention to focus on consistency of experience for students, working closely with colleagues in Schools to provide assistance in this area and continuing to improve communications with students.

7 REPORT FROM AUDIT COMMITTEE Paper C7

Court noted the draft minute of the last meeting of the Audit Committee and in particular that the new External Auditors were now in place and the retiral of the Chief Internal Auditor. Court further noted the potential areas of risk identified by the Audit Committee in discussion on the University Risk Register and the continuing need to ensure that recommendations arising from internal audit reports were timeously addressed.

8 REPORT FROM ESTATES COMMITTEE Paper C8

The recommendations contained within the paper were approved by Court. There was discussion on the following specific estate projects: ECA maintenance, estates strategy and the opportunities for a performance venue around Potterrow; the refurbishment of the Hugh Robson Building; the extension of the Confucius Institute facilities; St Cecilia's Hall redevelopment; and various initiatives in the College of Medicine and Veterinary Medicine. The Court also noted and approved that the KB Modular Building be called the Marion Ross Building and further noted and approved the potential legal actions which may be required in respect of the telecoms mast removals.

9 REPORT FROM COMMITTEE ON UNIVERSITY BENEFACTORS Paper C9

Court approved the recommendations of the Committee on University Benefactors and agreed to bestow the Distinction of University Benefactor on The Darwin Trust of Edinburgh and Santander.

10 RECTORIAL ELECTION Paper C10

The current Rector's term of office would cease at the end of February 2015 and Court approved the proposed approach for the 2015 election including that on-line voting take place over 10 and 11 February 2015 subject to consultation with Senate. Court also approved the appointment of Sherriff Principal Edward Bowen as Returning Officer and Ms Tracey Slaven as Deputy Returning Officer. A paper setting out the detailed arrangements including the Regulations for the conduct of the election would be drafted for consideration at the September 2014 meeting of Court.

D ITEMS FOR FORMAL APPROVAL OR NOTE

1 DRAFT RESOLUTIONS Paper D1

Court approved the following draft Resolutions:

Draft Resolution No. 9/2014:	Degree of Doctor of Arts
Draft Resolution No. 10/2014:	Degree of Doctor of Philosophy with Integrated Study
Draft Resolution No. 11/2014:	Degree of Master of Surgery (Clinical Ophthalmology)
Draft Resolution No. 12/2014:	Degree of Master of Family Medicine
Draft Resolution No. 13/2014:	Degree of Master of Earth Physics
Draft Resolution No. 14/2014:	Degree of Bachelor of Arts (BA)
Draft Resolution No. 44/2014:	Boards of Studies
Draft Resolution No. 45/2014:	Code of Student Conduct
Draft Resolution No. 46/2014:	Higher Degree Regulations
Draft Resolution No. 47/2014:	Postgraduate Degree Programme Regulations
Draft Resolution No. 48/2014:	Undergraduate 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. 6/2014:	Alteration of the title of Chair of Clinical Reproductive Science
Resolution No. 7/2014:	Alteration of the title of Arup Personal Chair of Structure and Fire

3 DR MARGARET STEWART BEQUEST Paper D3

Court approved the appointment of Dr Alison Sheridan as temporary Trustee of the Dr Margaret Stewart Bequest with immediate effect until 31 July 2014.

- 4 SBS DEED** **Paper D4**
- Court approved the proposed amendment to the SBS Trustee Deed: deletion of clause 5(a). Court further noted that the SBS Trust Deed was in the process of being amended to reflect the previous decision of Court in respect of Court appointing the Chair of SBS Trustees in its capacity of principal employer.
- 5 DEVELOPMENT TRUST** **Paper D5**
- Court approved the appointment of Mr Michael Millar, Miss Julia Collins and Mr Steven Thomson as nominated Trustees of the University Development Trust all with immediate effect until 31 July 2018.
- 6 SCHOOL OF INFORMATICS – PURCHASE REQUEST** **Paper D6**
- Court approved the purchase of a Valkyrie Robot in accordance with the information set out in the paper and authorised that the final contract be signed by either the Principal or Vice-Principal Professor Yellowlees and witnessed to give effect to this approval.
- 7 DONATIONS AND LEGACIES** **Paper D7**
- Court was pleased to note the donations and legacies to be notified, received by the University of Edinburgh Development Trust between 30 January and 18 April 2014.
- 8 COURT MEETINGS 2014/2015 AND 2015/2016** **Paper D8**
- The dates for meetings of Court and Court Seminars for the years 2014/2015 and 2015/2016 were noted.
- 9 USE OF THE SEAL**
- A record was made available of all the documents executed on behalf of the Court since its last meeting and sealed with its common seal.

Principal's Report

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

India

The inaugural conference of the Edinburgh India Institute was held in May 2014. Dr A P J Abdul Kalam, who served as President of India from 2002 to 2007, delivered the keynote address. Dr Kalam was also awarded an honorary degree in recognition of his outstanding contribution to science and technology and his commitment to helping transform India into a developed nation by 2020.

The new Edinburgh India Institute, is intended to showcase and celebrate the University's longstanding engagement with India; provide a forum for interdisciplinary opportunities; and help to establish new partnerships.

I was also pleased to accompany Dr Kalam to meet the First Minister and then to attend a Scottish Parliamentary reception held in his honour.

China

Vice-Principal International attended the inauguration of the Yenching Academy at Peking University on 5 May 2014. Yenching Academy aims to promote education and research in Global Chinese Studies.

A project board has been established, to oversee negotiations for a joint institute in Biomedical Sciences at Zhejiang University in China.

North America

I was delighted to travel to Montreal to present McGill University with a gift of a ceremonial mace at their Convocation Ceremony in early June and also to meet alumni groups. The mace was designed by ECA students and made at Hamilton and Inches under the guidance of Head of Jewellery and Silversmithing Mr Stephen Bottomley. The mace is quite stunning and was very well received.

The General Council will meet in Toronto in June and events will include a constitutional debate, honorary graduation ceremonies, a gala dinner and the signing of a Memorandum of Understanding between Edinburgh and the University of Toronto.

Poland

I was pleased to accompany Senior Vice Principal Mary Bownes and Assistant Principal Jeremy Bradshaw at the 650th Anniversary celebrations at the Jagiellonian University, Krakow. The Polish School of Medicine is particularly active at present, with negotiations underway for joint PhD programmes with two of the Polish Medical Schools.

Global Academies

The Global Academies held a strategic away day on 8 May 2014. The outcome of this meeting will be used to inform the first meeting of the Global Academy External Advisory Board on 25 June 2014.

International high level delegations were received from:

- EHWA University, Korea
- ASEAN Ambassadors
- University of Malaya
- Tianjin University, China
- Karolinska Institute, Sweden
- Université Libre de Bruxelles
- Donghua University, Shanghai
- Macquarie University, Sydney
- Technical University of Munich

Related Meetings

I was very pleased to join colleagues at Heriot-Watt University for the opening of their Confucius Institute for Business and Communication and to participate in the Coimbra Group Annual Conference at the University of Groningen.

U21 held their Annual Conference in Glasgow this year which, along with senior colleagues, I was pleased to participate in, and I also took part in the League of European Research Universities (LERU) Rectors Assembly at the University of Helsinki.

I met the new Russian Consul General when he visited the University in early June.

UK

Pay Negotiations and Industrial Action

All five trade unions have confirmed their acceptance of the final pay offer of a two per cent pay rise on all points for 2014-15. This concludes the negotiating round for 2014-15 and all affected staff will receive the increase in their annual salary from 1 August 2014.

The dispute relating to the national pay negotiations for 2013-14 has also been resolved following agreement on the 2014-15 pay award.

Immigration

The Home Office have confirmed that UK universities retain the right to self-assess international students for English language and that includes ETS TOEFL tests. The Home Office will continue to defer to the professional admissions assessments of universities as permitted in the Tier 4 Sponsor Guidance. All of our international applicants have been informed of this and all relevant information and websites have been updated with this information to reassure applicants. Edinburgh will host the only Home Office event in Scotland on sponsor compliance in mid-July on behalf of the sector.

Meanwhile the Immigration Bill has received Royal Assent and becomes the Immigration Act 2014. International Office are seeking further detail regarding the implementation timetable and in particular whether immigration checks required by landlords will affect students arriving this autumn at

Edinburgh and where the intended 'regional pilot' will be. The new health service levy (circa £200) will be introduced for all international students as part of their visa fee and will be in place for next year. Paul Blomfield MP is taking over the Chair of the All Party Parliamentary Group on Migration (APPG) and it will be undertaking an enquiry into post study work schemes in the United Kingdom.

European Union Membership

Universities UK have begun a proactive campaign to promote and communicate the benefits of EU membership for higher education, as well as, where appropriate, making the case for reform. This is a fact-based and politically non-partisan campaign that will run for three years, leading up to the potential referendum.

Scotland

LifeKIC

I was very pleased to jointly host, with Aileen Lothian MSP, an event at the Scottish Parliament in early June *Digital Health: Scotland's Opportunity in Europe*. The purpose was to cement the Digital Health Institute and the LifeKIC bid as crucial activities for Scotland and to reinforce Government level support to our partner institutions. The LifeKIC is a bid to the European Institute of Innovation & Technology to establish a Knowledge Innovation Community focussed on the theme of Healthy Living and Active Ageing. The Cabinet Secretary for Health and Wellbeing, Alex Neil MSP, spoke in a supportive capacity at the event which was tremendously successful and I hope influential.

NPL

Court are already aware of the decision from the Department of Business Innovation and Skills not to take forward the University's proposal for the National Physical Laboratory. I would just like to reiterate my thanks to colleagues for all of their exemplary work on the bid, it has been a valuable for exercise for us which I am sure has given us experience that will be useful in the future.

Turing Institute

Court may be aware that the Chancellor of the Exchequer in his March Budget speech announced a funding package of £42 million to establish the Turing Institute. Under the name of Alan Turing the Institute will aim to ensure that the UK leads the way in algorithm research and big data. Edinburgh is uniquely placed to be actively involved as the plans for the Turing Institute develop and we will be closely monitoring expected announcements from the Engineering and Physical Sciences Research Council (EPSRC) in early July on how they propose to take the project forward.

Senior Staff

Court will have seen from a separate paper that Vice-Principal Professor Jeff Haywood intends to scale back his activity from the end of the year and consequently we will be looking for a new Chief Information Officer, who will also hold the title University Librarian, in the very near future.

I will also have a verbal update for Court following the Vice-Principal International interviews which are scheduled for the 17th June.

Related Meetings

I was very pleased to meet Professor Philip Nelson, the new Chief Executive of EPSRC, at the opening of the FloWave Ocean Energy Research Facility at Kings Buildings. The £9.5 million facility was funded by the EPSRC and the University.

I was pleased to welcome the Cabinet Secretary for Lifelong Learning, Mr Michael Russell MSP, to the University where he spoke at the opening of the European Access Network Conference which was being hosted by Edinburgh at the end of May.

University News

Edinburgh College of Art Degree Show was a varied and successful event with the work of over 500 graduating students on show. There was much positive praise for the show which for the first time was based solely at the Lauriston Place campus.

The formal opening of the **Noreen and Kenneth Murray Library** at King's Buildings took place towards the end of May it was very good to formally acknowledge the contribution of the Murrays in this way and to see such a busy space being used by so many students.

Novels based around an 18th century English village; a family's response to a terminal illness; a young woman's obsession with motorcycles; and the daily toil of a shepherdess are contenders for this year's **James Tait Black Prizes**. Works by American authors Kent Haruf and Rachel Kushner join the latest books by acclaimed British writer Jim Crace and Australian novelist Evie Wyld in the shortlist for the £10,000 fiction prize. This year for the James Tait Black **Drama Prize** the National Theatre of Scotland will present extracts of the shortlisted plays as a reading at The Traverse Theatre during the festivals.

2014 Fulbright Lecture The third Fulbright Annual Lecture at the University of Edinburgh was delivered by Professor Emma Rothschild of Harvard University and Magdalene College, Cambridge.

Sporting Success Our student teams have been particularly successful in recent weeks with the Women's Hockey 1st XI winning the Scottish Cup, beating Western Wildcats 4-1 in the final and the Women's Hockey 2nd XI beat Granite City Wanderers to lift the Scottish Plate. In rowing, our Boat Club dominated the annual Glasgow v Edinburgh Boat Race yesterday, winning 6 of the 7 races. Edinburgh University Association Football Club won the King Cup without conceding a goal throughout the competition, and will be playing in the Lowland League next season.

St Cecilia's Hall became the Excelsior Ballroom for One Last Dance, an evening of dancing and live music from the University's Jazz Orchestra.

Biologists at the University are making an online appeal, hosted by **BBC Springwatch's** website, for people to record their observations of a breeding colony of gannets at Bass Rock.

Research in the News:

- Dr Thomas Bak's research suggests that learning a second language, even as an adult, might help to slow brain ageing. People who speak more than one language and who develop dementia tend to do so up to five years later than those who are monolingual, according to the study.
- Dr Mark Young and his team identify largest prehistoric crocodile tooth to be found in UK, whilst Dr Stephen Brusatte has been researching a new breed of tyrannosaur in China.
- Dr Richard Chin, Consultant Paediatric Neurologist at the Edinburgh Royal Hospital for Sick Children and Director of the Muir Maxwell Epilepsy Centre at Edinburgh University, and his team are applying for approval to test an oil extracted from cannabis flowers on young people, including babies, who suffer from extreme forms of epilepsy. The oil helps control seizures, anti-epilepsy properties, and also improves behaviour and cognition.

- Dr David Hamilton and Professor Hamish Simpson have found that that playing 17 year olds in the front row in senior rugby matches is unsafe if they do not have the neck strength needed to withstand the force of a scrum. They recommend that youth players undergo tests to demonstrate that they have the same neck strength as their adult counterparts before being approved to play adult rugby.
- At an event hosted by the Royal Society in London, the University's Professor Mark Woolhouse, and Dr Jeremy Farrar, Director of the Wellcome Trust, outlined their concerns about the growing resistance to antibiotics and other drugs which demands a coordinated global response on the same scale as efforts to address climate change.
- Research by Dr James Boardman, Scientific Director of the Jennifer Brown Research Laboratory at the MRC Centre for Reproductive Health at the University of Edinburgh, his team along with researchers from Imperial College London and King's College London, have identified a link between injury to the developing brain and common variation in genes associated with schizophrenia and the metabolism of fat.

External Recognition:

- Five staff have been awarded Principal Fellowships of the Higher Education Academy (HEA) in recognition of the impact of their contribution to teaching and learning.
 - Jamie Davies, Professor of Experimental Anatomy, School of Biomedical Sciences
 - Tonks Fawcett, Professor of Student Learning (Nurse Education), School of Health in Social Science
 - Alan Murray, Professor and Dean of Students, School of Engineering
 - Professor Susan Rhind, Chair of Veterinary Medical Education, Royal (Dick) School of Veterinary Studies
 - Dr Sue Rigby, Vice-Principal Learning and Teaching
- Professor John Peacock has been awarded the Shaw Prize in Astronomy 2014
- The University and EUSA have been recognised for two highly successful projects aimed at supporting international students. The Buddies and Peer Proofreading projects won the NUS (National Union of Students) Award for Excellence in International Student Support at the UKCISA (UK Council for International Student Affairs) Warwick Integration Summit on 6 May.

Vice-Principal and Assistant Principals

A. Vice-Principal Digital Education

Vice-Principal Haywood has effectively led Digital Education at the University for a number of years now. With the recent investment in this area, centred around Informatics and Moray House, five out of 10 planned Chair appointments have been made and the University can be said to be moving into a different phase by establishing what will be a sector leading academic department. Vice-Principal Haywood has initiated strong relationships with our US peers (Stanford, Harvard, MIT, Michigan, Duke, U Penn, Yale, plus Google/Coursera) in this field which are proving fruitful and are leading to talks about joint developments in research and in education.

It is therefore proposed that Vice-Principal Haywood continues to provide the seniority required to drive these partnerships forward until such time as the new professorial appointments are securely in place, and the professional relationships have been established, to keep the collaborations on track.

In addition to the new professorial appointments, Vice-Principal Haywood will continue to work closely with Vice-Principal Rigby to ensure activities are joined-up with her role across all of learning and teaching at the University from January 2015.

It is envisaged that Professor Haywood will devote approximately 0.5 FTE equivalent of his time to Vice-Principal duties on stepping down from his full time role leading Information Services as Vice-Principal Knowledge Management and Chief Information Officer and Librarian at the end of 2014. The Vice-Principal appointment will be for a period of up to two years.

Job Description

General

Vice-Principals are responsible to the Principal for representing him internally and externally on the particular theme which has been allocated. Although executive authority and service delivery are the responsibility of the relevant budget-holders, Vice-Principals work with the professional or functional leaders in the areas relating to their 'theme' in a leadership role, bringing academic perspectives and judgments to bear where appropriate, and represent the University's position internally and externally, locally, nationally and internationally, in relation to their 'theme', as may be relevant: this includes engagement with the media. As Vice-Principals, they may also be called upon to act for the Principal or as a Vice-Principal in any of the University's formal procedures or to lead or participate in formal or informal investigations or reviews; to undertake other specific responsibilities as requested or agreed by the Principal from time to time, including chairing or membership of working groups, review groups and task forces, and to represent the Principal at formal and informal functions, internally and externally, UK-wide and overseas.

Specific

- Act as a leader and focus to ensure that the new appointments come into a viable cooperative and collaborative community as quickly as possible to maximise our ability to take advantage of funding opportunities in the UK, Europe and the US;
- Take the conversations with selected US and European universities to fruition with tangible

outcomes in terms of joint teaching and research;

- Develop internal plans for digital education in line with strategic objectives: fully online UG modules, increase online Masters/CPD, joint online masters with peer universities, MOOCs solo and joint, distance PGR etc.
- Continue to promote Edinburgh digital education (including MOOCs) at selected high level invitation events such as those in the US, Europe, SE Asia, Asia, China and S America;
- Carry out research into digital education with colleagues in Education, Informatics / CSE Schools inside UoE, and outside UoE with EPFL, Stanford, Harvard, MIT, U Penn, OU UK;
- Keep abreast of European Commission developments to ensure that Edinburgh continue to be seen as leaders in digital education, and that we are therefore aware of, and shape, EC funding opportunities, including and especially H2020;

B. Assistant Principals Global Academies

Court will be aware that the Directors of the Global Academies are designated as Assistant Principals and that Dr David Reay has succeeded Professor Mark Rounsevell as Director of the Global Environment and Society Academy. I therefore wish to recommend that Dr Reay is designated as Assistant Principal Global Environment and Society active immediately until 31 July 2017.

In addition I wish to extend the terms of office of the existing Assistant Principals of the Global Academies for a further three years until 31 July 2017.

- Assistant Principal Professor James Smith - Global Development
- Assistant Principal Professor Sue Welburn - Global Health
- Assistant Principal Professor Christine Bell - Global Justice

To remind Court the role of each of the Assistant Principals is to:

- Define strategy and lead implementation processes, thereby transforming the Global Academies into leading beacons for inter-disciplinary responses to the world's grand challenges;
- Champion the Global Academies community internally and externally;
- Engender advocacy on a global stage with funders, partners, governments and professional bodies;
- Create strategic partnerships with southern partners including universities, NGOs and other agencies;
- Identify opportunities for the Academies at all levels to become mainstream in UoE practice;
- To organise key annual events – e.g scholarship fundraising ball and host academic and policy impact events;
- To work closely with Alumni & Development in fundraising activities and developing a strong community of alumni (initially at PG level) across the academies;
- Create opportunity to engage Town and Gown;
- Create opportunity to embed engagement with schools and develop shared ambitions across UG, PGT & CPD streams.
- Reporting to the Vice Principal International, each individual will work closely with their peer Assistant Principals to ensure synergies across the Global Academies. They will inspire the Global Academies communities, drive innovation across boundaries and forge pathways to impact.

I seek Court's approval for these recommendations.

TMMO'S
June 2014

The University of Edinburgh

The University Court

23 June 2014

C1.1

**Report of the Finance and General Purposes Committee
(Comments on the Report from the Central Management Group meetings of
22 April and 21 May 2014)**

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 9 June 2014 from the Central Management Group of its meetings of 22 April and 21 May 2014. Comments made by the Finance and General Purposes Committee are incorporated in boxes within the report at relevant points.

Action requested

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 Deborah Cook
Dr Katherine Novosel
June 2014

Central Management Group

22 April 2014

1 RESEARCH MANAGEMENT ADMINISTRATION SYSTEM PROJECT UPDATE

This is a key project being delivered in partnership with Colleges which will deliver efficiencies to the current research administration systems and processes at the University, uniting pre-and post-award activity under one umbrella, generating a faster, more efficient and adaptive system. Implementation of the new system will start in May 2014 with an anticipated go live date of the first quarter of 2015.

The Group recognised the importance of engaging would-be users in the system's development and provided some suggestions. Efforts by Colleges to promote participation of Principal Investigators in the project were supported by CMG.

The Committee noted this significant project.

2 SCOTTISH CHAMBER ORCHESTRA – MEMORANDUM OF UNDERSTANDING – VERBAL UPDATE (CLOSED)

3 UPDATE ON THE WORK OF THE MARKING BOYCOTT ADVISORY GROUP (CLOSED)

4 SPACE ENHANCEMENT AND MANAGEMENT POLICY

The University's income per m2 for non-residential areas has not increased (allowing for inflation) since 2007, despite the University's buildings being of a high quality. The policy proposes ownership, where possible, of University buildings by a College or Support Group to drive space efficiencies. CMG endorsed the policy.

The Committee welcomed the actions being taken to improve space utilisation and consideration around general teaching space.

5 ETHICAL FUNDRAISING ADVISORY GROUP REPORT (Appendix 1)

CMG approved amending the terms of reference for the Ethical Fundraising Advisory Group to include the Director of Social Responsibility and Sustainability as member of the Advisory Group. The contents of the report were noted by the Group.

6 FEE PROPOSALS (CLOSED)

7 PROPOSAL TO ESTABLISH THREE NEW CHAIRS IN THE COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

CMG approved the proposals to create three new Chairs (Chair of Continuing Education; Chair of Digital Education; and Chair of Learning Analytics and Informatics) and to recommend to Senate and Court to adopt the appropriate resolutions.

Central Management Group

21 May 2014

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

2 REVIEW OF CLIMATE CHANGE ACTION PLAN

The wider context to the Action Plan was outlined to the Group in terms of increasing carbon emissions, record temperatures and increasing University growth. The intention is to establish a Climate Action Plan Steering Group to broaden and deepen conversations across the University to inform the Action Plan, as well as to engage with key academics. It is intended that the plan is produced by summer 2015.

CMG supported the approach to the plan and the creation of a Climate Change Action Plan Steering Group. CMG Members highlighted that the Action Plan should be informed by the University's future plans for growth. Targets, where possible, should be re-based and re-considered to ensure these are realistic. Suggestions were also made about enhancing the outward-focus of the plan and refocusing the Steering Group.

3 HEALTH AND SAFETY REPORT (CLOSED) (Appendix 3)

4 FEE PROPOSALS (CLOSED)

5 REMOVAL OF EXTERNAL EXAMINERS (RESEARCH PROGRAMMES) UKVI ELIGIBILITY TO WORK CHECKS (CLOSED)

6 ANY OTHER COMPETENT BUSINESS

Managed Migration Group

CMG were briefed on the Managed Migration Group's initiation of two key policies necessary to retain the University's Tier 4 Sponsor licence for overseas students: 1) English Language Policy and 2) Student Engagement and Attendance Monitoring Policy. The policies are intended to be in place by 1 August 2014. A further update will follow at the June meeting.

Immigration Act 2014

On May 14th 2014, the Immigration Act was given Royal Assent. The Act is wide ranging and contains a number of important changes to the immigration rules which will be introduced in various items of secondary legislation in the coming months. The Act introduces immigration checks for NHS, Landlord, DVLA and Bank Account services, which will create an increased demand on the University to produce letters for students.

Ethical Fundraising Advisory Group

Minute of meeting held on Thursday 20th February 2014, 14:15 – 15.00, Elder Room, Old College

Present:

Professor Mary Bownes	Vice Principal External Engagement
Kirsty Haigh	EUSA Vice President Services
Kirsty Macdonald	Director of Development and Alumni
Professor Stuart Monro	Vice Convener of University Court
Professor Sir Timothy O'Shea (Chair)	Principal and Vice-Chancellor
Sarah Smith	University Secretary
Jamie Tait (Secretary)	Projects Office and Policy Adviser to the University Secretary

Apologies:

Phil McNaul	Director of Finance
Professor Jane Norman	Vice Principal Equality and Diversity

In attendance:

Elizabeth Welch	Assistant Director, Finance
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1. Welcome and introductions

- 1.1. Kirsty Haigh was welcomed to her first meeting of the Ethical Fundraising Advisory Group (EFAG).

2. Minute of last meeting held on 9/1/13

- 2.1. The minute of the meeting held on the 9th January 2013 was approved as a true and accurate record (**Paper A**).

3. EFAG update

- 3.1. The Principal highlighted the importance of the procedures for the ethical screening of donations that were approved by the Central Management Group in March 2013. Members then noted the EFAG update (**Paper B**) and recommended the following:
 - Membership be extended to include Professor Dave Gorman, Director of Social Responsibility and Sustainability, in his capacity of leading on the implementation of the requirements of the UN Principles for Responsible Investment (UNPRI).
 - Unsolicited donations below £1k be exempt from an initial ethical screening, although an oversight of these donations be maintained by Development & Alumni.

4. EFAG terms of reference

- 4.1. Members noted the EFAG terms of reference (**Paper C**). In addition to the composition change noted above, it was also recommended that under 5.5, the agenda, papers and approved minutes should only be published on the University's website where appropriate, given the sensitive nature of matters discussed at EFAG.

5. EFAG procedures

- 5.1. Members noted the EFAG procedures (**Paper D**) and the update that was required in relation to unsolicited donations.

6. Full Ethical Screenings

- 6.1. Members noted the full ethical screenings that had taken place in 2013 (**Papers E and F**).
- 6.2. It was agreed that if a Foundation had a number of Directors it was the Foundation itself that should be the subject of the review.
- 6.3. It was noted that a further full ethical screening on a potential donation would shortly be presented to EFAG. Development & Alumni had already arranged for this to be reviewed externally, and it was agreed this was a useful process to undertake in certain circumstances.

7. A.O.B

- 7.1. There was no other competent business.

8. Date of next meeting

- 8.1. It was agreed the next meeting should take place in academic session 2014/15.

Ethical Fundraising Advisory Group – Terms of Reference

1 Purpose

The principal purpose of the Ethical Fundraising Advisory Group (EFAG) is to consider and advise on whether the sources and purposes of prospective donations, fundraising and other funded activities are ethically acceptable.

2 Composition

2.1 The Advisory Group shall consist of ~~eight~~nine members.

2.2 The Principal, the Senior Vice-Principal with responsibility for Development, the Vice-Principal with responsibility for equality and diversity, the University Secretary, the Director of Finance, ~~and~~ the Director of Development and Alumni and the Director of Social Responsibility and Sustainability shall be *ex officio* members of the Advisory Group.

2.3 The other members of the Advisory Group shall consist of one members of Court and one member nominated by the Edinburgh University Students' Association (EUSA).

2.4 EUSA shall appoint, on an annual basis, a representative to be a member of the Advisory Group. This will normally be the President of EUSA who will remain a member of the Advisory Group for the length of their term of office.

2.5 Court shall appoint a member of the Advisory Group on the recommendation of the Nominations Committee.

2.6 The Nominations Committee shall take cognisance of *ex officio* members of the Advisory Group and ensure that the composition of the Advisory Group is as set out in 2.3.

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

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

2.9 The Principal shall be appointed *ex officio* Convener of the Advisory Group, and in the absence of the Convener, the University Secretary will act as Convener.

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

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

3 Meetings

3.1 The Advisory Group will meet as required to fulfil its remit and will meet at least once each academic session. With the prior approval of the Convener of the Advisory Group, urgent matters may be considered through correspondence.

3.2 Meetings will be timetabled on an annual basis and will take account of the schedule for Central Management Group (CMG) meetings to ensure appropriate reporting.

3.3 Minutes, agendas and papers will normally be circulated to members of the Advisory Group at least five days in advance of the meeting. Late papers may be circulated up to two days before the meeting. Only in the case of extreme urgency and with the agreement of the Convener will papers be tabled at meetings of the Advisory Group.

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

3.5 Papers will indicate the originator(s) and purpose of the paper, the matter(s) which the Advisory Group is being asked to consider, any action(s) required, and confirm the status of the paper in respect of freedom of information legislation.

3.6 Four members of the Advisory Group shall be a quorum. This number must include the Principal or the University Secretary, who will act as Convener to the Advisory Group should the Principal be absent for the duration of the meeting.

3.7 A formal minute will be kept of proceedings and submitted for approval at the next meeting of the Advisory Group. The draft minute will be agreed with the Convener of the Advisory Group prior to circulation, and in the case of the absence of the Convener at a meeting, the University Secretary.

3.8 The Advisory Group may also function between meetings through correspondence and any decision(s) taken formally ratified at the next meeting of the Advisory Group.

4 Remit

4.1 To consider and advise on whether the sources and purposes of a) prospective donations (restricted and/or unrestricted), b) fundraising, and c) other funded activities are ethically acceptable. Although the University of Edinburgh Development Trust, on behalf of the University of Edinburgh, is grateful to receive support from a wide variety of sources, there are occasions when it might not be appropriate to accept a donation. It is also possible that other matters may need to be referred to the Advisory Group, and it will be the responsibility of the Principal and University Secretary to agree when matters of this nature require to be considered. This includes funded activities from an individual or organisation that would not ordinarily be considered a donation, which would primarily be raised through Edinburgh Research and Innovation (ERI).

4.2 To draft procedures for the ethical screening of donations for approval by CMG. The procedures will be reviewed on an annual basis by the Advisory Group, who will subsequently make recommendations to the CMG.

4.3 To oversee the approved procedures for the ethical screening of donations. Where a doubt remains following initial ethical screening by Development and Alumni (D&A), referrals will be made to the Advisory Group on the advice of the Director of D&A or a named alternate. If the Advisory Group is unable to reach agreement or any doubt remains, the matter will be referred to the Central Management Group.

4.4 To be a sub-group of the Central Management Group and accountable to it.

4.5 To adhere to the University's commitment to the United Nations Principles for Responsible Investment (UNPRI). Although the remit of the Advisory Group is specifically related to donations, the UNPRI provides a framework for an organisation to take environmental, social and corporate governance (ESG) considerations into its investment strategies. These principles shall be addressed in relation to prospective donations, fundraising and other funded activities the Advisory Group considers and advises on.

5 Other

5.1 The Advisory Group will from time to time undertake a review of its own performance and effectiveness and thereon report to the CMG.

5.2 In order to fulfil its remit the Advisory Group may obtain external professional advice as necessary, including seeking legal advice.

5.3 The draft minute and report on specific points discussed at each meeting will be provided to the subsequent meeting of the CMG.

5.4 An annual EFAG report will also be prepared and presented to the CMG. The report will also be submitted to the University's Audit Committee and Risk Management Committee for information.

5.5 Agenda, papers and approved minutes [where appropriate](#) will be published on the University's website in accordance with the University's agreed publication scheme and freedom of information legislation. This will include details on the membership of the Advisory Group.

C1.2

The University of Edinburgh

The University Court

23 June 2014

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 9 June 2014 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 2014 at item 8 and note the remaining items with comments as it considers appropriate.

Resource implications

If applicable, as noted in the report.

Risk Assessment

Where applicable, risk is covered in the report.

Equality and Diversity

No implications.

Freedom of Information

Can this paper be included in open business? Yes

Except for items 3-13

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

Originator of the paper

Dr Katherine Novosel
June 2014

University Court, Meeting on 23 June 2014

**Report of the Finance and General Purposes Committee
9 June 2014
(Report on Other Items)**

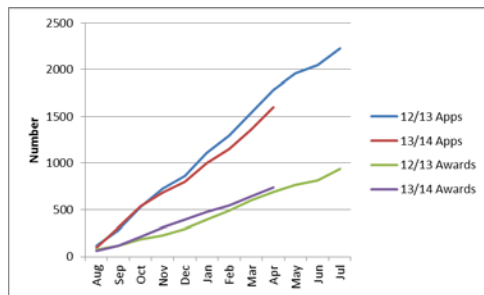
1 SUMMARY RESEARCH AND COMMERCIALISATION REPORT

Appendix 1

It was noted that the trends in respect of research and commercialisation activities were similar to that reported for the last quarter and on par with other institutions. The Committee further noted that the number of companies formed was anticipated to increase by year end and it welcomed confirmation of the performance of the recently appointed Chancellor's Fellows in taking forward grant applications. There was further discussion around the level of consultancy processed through ERI and the Committee was satisfied with the information provided.

2 SUBSIDIARY COMPANIES, BOARD MEMBERSHIP CHANGES

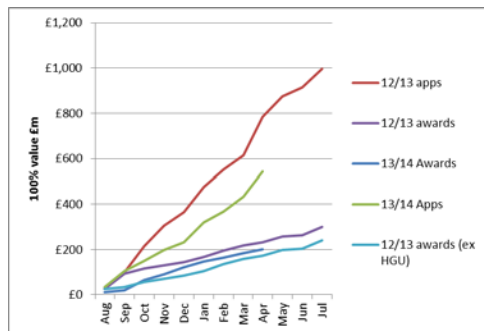
The Committee approved the appointment of Professor Bruce Whitelaw as a Director of Edinburgh Research and Innovation Ltd with effect from 1 September 2014 in succession to Mr Edmiston when he takes up the position of Director of Corporate Services: this will ensure a continuing link to the College of Medicine and Veterinary Medicine.



Applications and awards - volume

The number of applications to date is **10%** lower than at the same time last year at **1,598**.

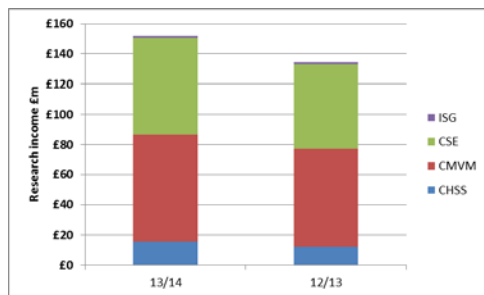
The number of award letters received is **7%** higher than at the same time last year at **737**



Applications and awards - value

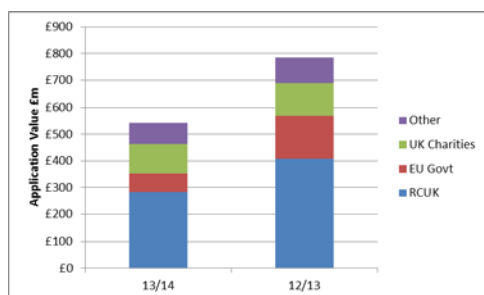
The value of applications to date is **31%** lower than at the same time last year at **£543m**.

The 100% value of awards received is **14%** lower than at the same time last year at **£200m**. Removal of the Quinquennial HGU award from last year means that awards are currently **15%** ahead of last year.



University research income

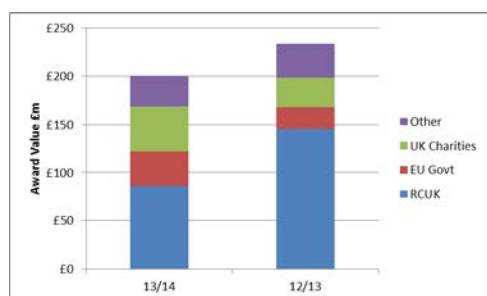
University Research income rose by **13%** to **£152m** compared to the same time last year.



Sponsor mix - applications

Applications to RCUK fell by **£125m** in the 9 month period, representing over **50%** of the total fall in value.

Following the transition between EU programmes, applications to EU Government are now starting to pick up again, although are still down by **£90m** compared to last year (37% of total fall).



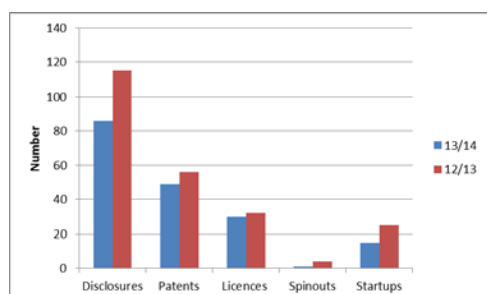
Sponsor mix - awards

Awards from Research Councils are down by **41%** (impact of HGU award see above) and represent **43%** of total awards received. Awards from UK charities and EU Government on the other hand are up by **59%** and **57%** respectively, compared to last year, the latter reflecting the high level of applications in the previous year.

	Apr 13	Apr 12	Apr 11
UOE	40%	40%	36%
CHSS	37%	33%	30%
CMVM	41%	42%	36%
CSE	43%	43%	39%

Application success rates

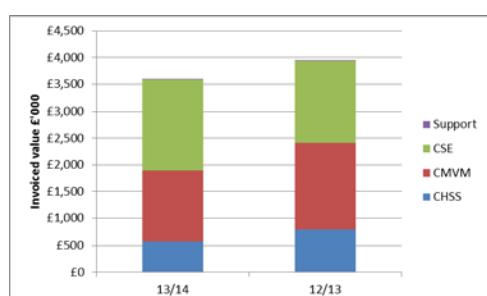
The rolling success rate of applications made over a twelve month period to 30 April 2013 for the University as a whole was **40%**; the equivalent figure for the previous 12 month period was **40%**



Commercialisation activity

In the year to date there were 86 disclosure interviews (PY 115), **49** patents filed (PY 56) and 30 revenue bearing licences signed (PY 32).

Total number of companies formed were **16** (PY 29)



Consultancy (processed through ERI)

The value of consultancy contracts processed through ERI are down by **9%** compared to this time last year at **£3.6m**.

Edinburgh Research and Innovation Limited
Research and Commercialisation Report
For the 9 months to 30 April 2014

Table 1
Research applications, awards and income by College

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
All Research Applications - number							
CHSS	500	540	(7%)	59	55	7%	629
CMVM	520	633	(18%)	66	93	(29%)	817
CS&E	569	603	(6%)	112	99	13%	765
Support Services (ISG etc)	9	9	0%	4	3	33%	10
Total - number	1,598	1,785	(10%)	241	250	(4%)	2,221
All Research Applications - value - 100% project value							
CHSS	77,833	113,809	(32%)	5,281	11,656	(55%)	136,156
CMVM	214,122	294,325	(27%)	37,803	48,750	(22%)	407,874
CS&E	251,005	375,499	(33%)	65,827	109,308	(40%)	448,118
Support Services (ISG etc)	462	1,965	(76%)	165	96	72%	2,796
Total - value £'000	543,422	785,598	(31%)	109,076	169,810	(36%)	994,944
All Research Awards - number							
(a) Number of awards/contracts received (Note 1)							
CHSS	155	171	(9%)	15	17	(12%)	242
CMVM	283	279	1%	38	40	(5%)	367
CS&E	291	232	25%	43	30	43%	314
Support Services (ISG etc)	8	9	(11%)	-	2	(100%)	11
Total - number	737	691	7%	96	89	8%	934
(b) Awarded to Constituent parties (Note 2)							
CHSS	186	195	(5%)	17	18	(6%)	284
CMVM	328	324	1%	42	45	(7%)	432
CS&E	362	304	19%	47	42	12%	405
Support Services (ISG etc)	8	10	(20%)	-	2	(100%)	13
Total - number	884	833	6%	106	107	(1%)	1,134
All Research Awards - value - 100% project value							
CHSS	17,801	17,979	(1%)	759	760	(0%)	25,136
CMVM	79,846	142,192	(44%)	7,473	8,013	(7%)	172,873
CS&E	102,042	69,735	46%	8,297	6,393	30%	98,497
Support Services (ISG etc)	556	3,228	(83%)	-	58	(100%)	4,146
Total - value £'000	200,245	233,134	(14%)	16,529	15,224	9%	300,652
All Research Awards - value - Sponsor contribution							
CHSS	15,524	15,222	2%	735	756	(3%)	21,426
CMVM	73,648	133,865	(45%)	6,767	6,670	1%	161,235
CS&E	90,442	59,251	53%	7,052	5,689	24%	85,283
Support Services (ISG etc)	503	2,726	(82%)	-	58	(100%)	3,644
Total - value £'000	180,117	211,064	(15%)	14,554	13,173	10%	271,588
Research Income £'000							
CHSS	15,609	12,349	26%	1,207	1,311	(8%)	17,449
CMVM	71,010	64,977	9%	8,626	8,110	6%	96,873
CS&E	64,126	55,677	15%	10,412	6,833	52%	83,376
Support Services (ISG etc)	1,299	1,371	(5%)	243	212	15%	2,126
Total - value £'000	152,044	134,374	13%	20,488	16,466	24%	199,824

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.

Edinburgh Research and Innovation Limited
Research and Commercialisation Report
For the 9 months to 30 April 2014

Table 2
Research applications and awards by funding source (100% project value)

Applications	Values £'000							Numbers						
	Year to			Month of			Full Year 31 Jul 13	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance		30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
UK - Research Council	283,373	408,738	(31%)	66,913	131,653	(49%)	528,414	507	532	(5%)	88	82	7%	656
UK - Charity	109,622	120,404	(9%)	7,209	9,451	(24%)	162,995	484	534	(9%)	42	49	(14%)	681
EU - Government	69,958	159,780	(56%)	28,675	12,353	132%	172,012	133	236	(44%)	53	20	165%	258
UK - Government	33,385	40,941	(18%)	1,731	6,622	(74%)	45,081	183	134	37%	13	42	(69%)	172
UK - Universities etc.	24,352	24,142	1%	2,883	5,343	(46%)	42,105	157	148	6%	23	22	5%	198
UK - Health Authorities	9,164	9,364	(2%)	113	903	(87%)	16,459	17	22	(23%)	2	5	(60%)	28
Overseas - Charities	3,499	5,240	(33%)	92	31	197%	5,812	24	29	(17%)	2	1	100%	33
Overseas - Government	2,657	3,216	(17%)	282	408	(31%)	4,198	13	14	(7%)	2	2	0%	24
EU - Other	2,439	2,523	(3%)	440	1,174	(63%)	2,762	21	19	11%	1	6	(83%)	25
EU - Industry	1,491	756	97%	28	264	(89%)	950	5	9	(44%)	1	2	(50%)	12
Overseas - Universities etc.	1,302	854	52%	258	-	-	1,029	12	7	71%	3	-	-	11
UK - Industry	1,283	7,085	(82%)	286	812	(65%)	7,694	27	77	(65%)	7	17	(59%)	90
Overseas - Industry	624	1,402	(55%)	157	796	(80%)	3,731	9	14	(36%)	3	2	50%	21
Overseas - Other	273	1,153	(76%)	9	-	-	1,702	6	10	(40%)	1	-	-	12
	543,422	785,598	(31%)	109,076	169,810	(36%)	994,944	1,598	1,785	(10%)	241	250	(4%)	2,221
	-	-		-	-		-	-	-		-	-		-
Awards	Values £'000							Numbers						
	Year to			Month of			Full Year 31 Jul 13	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance		30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
UK - Research Council	85,633	145,185	(41%)	9,679	6,958	39%	177,431	168	174	(3%)	20	15	33%	234
EU - Government	46,624	29,658	57%	3,430	642	434%	30,792	100	63	59%	14	5	180%	71
UK - Charity	36,639	23,093	59%	958	1,415	(32%)	36,633	188	207	(9%)	23	30	(23%)	303
UK - Government	9,826	8,642	14%	1,067	1,255	(15%)	21,746	90	56	61%	10	8	25%	79
UK - Universities etc.	9,760	13,620	(28%)	368	2,759	(87%)	16,059	72	74	(3%)	10	13	(23%)	91
UK - Industry	3,131	4,687	(33%)	552	448	23%	6,044	41	56	(27%)	11	9	22%	81
EU - Industry	1,658	572	190%	28	100	(72%)	1,090	7	5	40%	1	-	-	9
Overseas - Charities	1,525	1,246	22%	-	52	(100%)	1,815	10	12	(17%)	-	2	(100%)	13
Overseas - Government	1,258	1,478	(15%)	31	583	(95%)	1,478	16	12	33%	1	3	(67%)	12
Overseas - Industry	1,189	1,204	(1%)	149	764	(80%)	3,173	13	9	44%	1	1	0%	12
EU - Other	1,018	444	129%	169	197	(14%)	652	9	9	0%	1	2	(50%)	12
UK - Health Authorities	988	2,631	(62%)	58	-	-	2,631	10	7	43%	2	-	-	7
Overseas - Other	646	61	959%	13	39	(67%)	306	6	1	500%	1	-	-	2
Overseas - Universities etc.	350	613	(43%)	27	12	125%	802	7	6	17%	1	1	0%	8
	200,245	233,134	(14%)	16,529	15,224	9%	300,652	737	691	7%	96	89	8%	934
	-	-		-	-		-	-	-		-	-		-

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

Edinburgh Research and Innovation Limited
Research and Commercialisation Report
For the 9 months to 30 April 2014

Table 3A
Research applications by School

Applications	Values £'000						Numbers							
	Year to			Month of			Full Year	Year to			Month of			Full Year
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance		30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
Social and Political Science	23,859	25,533	(7%)	1,759	2,388	(26%)	32,186	106	90	18%	14	13	8%	99
Philosophy, Psychology and Language Sciences	17,791	26,071	(32%)	1,075	6,683	(84%)	27,219	52	69	(25%)	12	10	20%	75
History, Classics And Archaeology	8,149	6,280	30%	1,058	161	557%	6,814	47	64	(27%)	3	5	(40%)	75
Literatures, Languages and Cultures	6,918	12,106	(43%)	229	150	53%	13,288	58	55	5%	10	4	150%	66
Edinburgh College of Art	5,008	9,896	(49%)	115	406	(72%)	11,386	76	74	3%	3	4	(25%)	88
Moray House School of Education	4,699	6,191	(24%)	29	922	(97%)	8,923	65	61	7%	4	9	(56%)	76
Law	3,568	5,822	(39%)	56	154	(64%)	7,094	28	27	4%	4	3	33%	32
Health in Social Science	2,859	9,221	(69%)	454	396	15%	9,555	25	40	(38%)	3	4	(25%)	45
Business School	2,444	2,338	5%	376	7	5271%	3,493	24	25	(4%)	4	1	300%	31
Divinity	2,130	7,514	(72%)	130	5	2500%	7,535	16	25	(36%)	2	1	100%	29
Economics	371	2,837	(87%)	-	384	(100%)	8,663	2	10	(80%)	-	1	(100%)	13
College General	37	-	-	-	-	-	-	1	-	-	-	-	-	-
Total CHSS	77,833	113,809	(32%)	5,281	11,656	(55%)	136,156	500	540	(7%)	59	55	7%	629
Clinical Sciences	95,486	124,968	(24%)	10,821	16,051	(33%)	205,842	210	254	(17%)	20	35	(43%)	355
Molecular, Genetic and Population Health Sciences	48,237	76,268	(37%)	9,677	13,767	(30%)	88,174	141	164	(14%)	13	27	(52%)	188
Royal (Dick) School of Veterinary Studies	45,374	64,712	(30%)	13,802	16,759	(18%)	73,440	109	131	(17%)	22	15	47%	161
Biomedical Sciences	24,400	28,376	(14%)	3,503	2,172	61%	40,387	59	83	(29%)	11	15	(27%)	111
College General	625	1	62400%	-	1	(100%)	31	1	1	0%	-	1	(100%)	2
Total CMVM	214,122	294,325	(27%)	37,803	48,750	(22%)	407,874	520	633	(18%)	66	93	(29%)	817
Biological Sciences	69,419	89,764	(23%)	11,273	8,128	39%	119,368	137	147	(7%)	22	16	38%	184
Informatics	62,465	93,442	(33%)	39,930	42,100	(5%)	103,455	90	93	(3%)	32	17	88%	119
Physics	50,430	45,984	10%	525	12,518	(96%)	49,584	94	90	4%	6	10	(40%)	107
Engineering	27,856	49,320	(44%)	10,403	20,484	(49%)	63,481	98	96	2%	31	25	24%	126
Geosciences	23,284	27,332	(15%)	1,404	1,188	18%	34,888	86	80	8%	7	10	(30%)	114
Chemistry	10,482	57,393	(82%)	1,774	19,921	(91%)	64,008	41	78	(47%)	11	19	(42%)	93
Mathematics	7,047	11,436	(38%)	496	4,969	(90%)	12,506	22	18	22%	2	2	0%	21
College General	22	828	(97%)	22	-	-	828	1	1	0%	1	-	-	1
Total CSE	251,005	375,499	(33%)	65,827	109,308	(40%)	448,118	569	603	(6%)	112	99	13%	765
Support Services	462	1,965	(76%)	165	96	72%	2,796	9	9	0%	4	3	33%	10
Total UOE	543,422	785,598	(31%)	109,076	169,810	(36%)	994,944	1,598	1,785	(10%)	241	250	(4%)	2,221

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Table 3B
Research awards by School

Awards	Values £'000						Numbers							
	Year to			Month of			Full Year 31 Jul 13	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance		30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
Philosophy, Psychology and Language Sciences	5,522	1,920	188%	-	227	(100%)	2,420	20	22	(9%)	-	4	(100%)	33
Social and Political Science	4,809	6,394	(25%)	152	326	(53%)	8,832	39	45	(13%)	3	5	(40%)	61
Law	2,268	3,307	(31%)	28	101	(72%)	3,675	15	12	25%	1	2	(50%)	16
Economics	1,536	885	74%	-	-	-	885	1	3	(67%)	-	-	-	3
Literatures, Languages and Cultures	829	494	68%	5	5	0%	881	21	20	5%	3	1	200%	29
Moray House School of Education	774	1,646	(53%)	389	24	1521%	2,353	22	23	(4%)	3	2	50%	33
Business School	614	362	70%	21	-	-	593	16	8	100%	1	-	-	11
History, Classics And Archaeology	512	1,311	(61%)	-	19	(100%)	1,639	12	18	(33%)	-	1	(100%)	32
Health in Social Science	445	413	8%	46	2	2200%	469	11	10	10%	3	1	200%	12
Edinburgh College of Art	364	998	(64%)	13	6	117%	2,459	24	29	(17%)	2	1	100%	42
Divinity	128	249	(49%)	105	50	110%	930	5	5	0%	1	1	0%	12
College General	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total CHSS	17,801	17,979	(1%)	759	760	(0%)	25,136	186	195	(5%)	17	18	(6%)	284
Clinical Sciences	37,435	38,322	(2%)	2,987	3,885	(23%)	57,021	144	129	12%	15	12	25%	186
Molecular, Genetic and Population Health Sciences	16,490	75,930	(78%)	3,058	2,029	51%	83,949	88	85	4%	17	14	21%	108
Royal (Dick) School of Veterinary Studies	15,005	19,243	(22%)	318	290	10%	21,909	58	68	(15%)	5	5	0%	86
Biomedical Sciences	10,291	8,697	18%	1,110	1,809	(39%)	9,994	37	42	(12%)	5	14	(64%)	52
College General	625	-	-	-	-	-	-	1	-	-	-	-	-	-
Total CMVM	79,846	142,192	(44%)	7,473	8,013	(7%)	172,873	328	324	1%	42	45	(7%)	432
Physics	23,587	13,945	69%	88	617	(86%)	16,226	49	55	(11%)	4	5	(20%)	66
Geosciences	18,981	10,390	83%	465	908	(49%)	13,779	77	62	24%	6	11	(45%)	93
Biological Sciences	18,512	17,039	9%	3,873	2,062	88%	20,326	65	54	20%	7	11	(36%)	77
Chemistry	15,623	4,370	258%	981	15	6440%	6,357	43	29	48%	10	1	900%	41
Informatics	12,322	9,790	26%	1,642	2,132	(23%)	25,421	53	42	26%	9	8	13%	52
Engineering	11,232	11,412	(2%)	1,226	602	104%	13,473	67	50	34%	10	5	100%	63
Mathematics	1,763	2,789	(37%)	-	57	(100%)	2,915	7	12	(42%)	-	1	(100%)	13
College General	22	-	-	22	-	-	-	1	-	-	1	-	-	-
Total CSE	102,042	69,735	46%	8,297	6,393	30%	98,497	362	304	19%	47	42	12%	405
Support Services	556	3,228	(83%)	-	58	(100%)	4,146	8	10	(20%)	-	2	(100%)	13
Total UOE	200,245	233,134	(14%)	16,529	15,224	9%	300,652	884	833	6%	106	107	(1%)	1,134

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

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Table 4
Commercialisation activity

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
Disclosure Interviews							
CHSS	4	2	100%	1	-	-	7
CMVM	32	53	(40%)	7	5	40%	86
CS&E	50	60	(17%)	12	27	(56%)	82
Total - number	86	115	(25%)	20	32	(38%)	175
Patents filed on Technologies - by College							
CHSS	-	-	-	-	-	-	-
CMVM	29	22	32%	4	2	100%	28
CS&E	20	34	(41%)	2	-	-	39
Total - number	49	56	(13%)	6	2	200%	67
Patents filed on Technologies - by Type of filing							
Priority Filings	26	24	8%	5	-	-	28
PCT Filings	10	15	(33%)	-	1	(100%)	16
Other/National Filings	13	17	(24%)	1	1	0%	23
Total - number	49	56	(13%)	6	2	200%	67
Licences signed (excluding non revenue bearing licences)							
CHSS	-	3	(100%)	-	-	-	7
CMVM	15	12	25%	3	1	200%	16
CS&E	15	17	(12%)	2	1	100%	27
Total - number	30	32	(6%)	5	2	150%	50
Spin-out companies created							
- Number	1	4	(75%)	-	-	-	5
Start-up companies created							
- Number	15	25	(40%)	2	1	100%	30

Table 5
Consultancy processed through ERI

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
By Business Type - Invoiced value £'000							
Scotland - Commerce	528	834	(37%)	82	44	86%	985
Scotland - Government	775	625	24%	25	98	(74%)	747
Rest of UK - Commerce	1,102	994	11%	79	178	(56%)	1,277
Rest of UK - Government	235	277	(15%)	24	22	9%	387
International - Commerce	856	1,084	(21%)	61	83	(27%)	1,294
International - Government	103	126	(18%)	29	2	1350%	173
Total - value £'000	3,599	3,940	(9%)	300	427	(30%)	4,863
By College - Invoiced value £'000							
CHSS	577	796	(28%)	68	46	48%	980
CMVM	1,319	1,619	(19%)	102	229	(55%)	1,917
CS&E	1,692	1,517	12%	130	151	(14%)	1,958
Support Services (CSG, ISG etc)	11	8	38%	-	1	(100%)	8
Total - value £'000	3,599	3,940	(9%)	300	427	(30%)	4,863
	-	-		-	-		-

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Table 6
Consultancy Income by School £

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
Moray House School of Education	189,403	174,384	9%	36,035	4,808	650%	207,596
Social and Political Science	101,606	228,028	(55%)	5,233	4,345	20%	291,049
Law	72,024	29,610	143%	(1,729)	6,000	(129%)	48,254
Business School	75,945	218,040	(65%)	22,795	14,534	57%	255,648
Philosophy, Psychology and Language Sciences	47,380	17,232	175%	2,800	-	-	30,732
Health in Social Science	79,071	44,075	79%	3,028	9,813	(69%)	50,329
Edinburgh College of Art	3,360	42,551	(92%)	800	6,250	(87%)	43,365
Divinity	10,975	11,751	(7%)	(900)	-	-	15,351
History, Classics And Archaeology	-	-	-	-	-	-	-
Literatures, Languages and Cultures	-	5,043	(100%)	-	-	-	5,043
Economics	-	-	-	-	-	-	-
College General	(2,500)	25,370	(110%)	-	-	-	32,870
Total CHSS	577,264	796,084	(27%)	68,063	45,749	49%	980,239
Molecular, Genetic and Population Health Sciences	706,836	656,965	8%	39,910	50,757	(21%)	771,115
Clinical Sciences	325,713	423,631	(23%)	53,175	156,493	(66%)	522,252
Royal (Dick) School of Veterinary Studies	120,741	133,616	(10%)	(1,860)	848	(319%)	152,413
Biomedical Sciences	123,327	365,062	(66%)	11,250	13,200	(15%)	399,809
College Central	42,267	38,923	9%	-	8,817	(100%)	71,786
Total CMVM	1,318,884	1,618,197	(18%)	102,475	230,115	(55%)	1,917,374
Geosciences	557,527	624,719	(11%)	79,159	54,924	44%	785,190
Engineering	341,491	178,147	92%	1,320	25,586	(95%)	278,775
Physics	237,824	155,383	53%	375	2,850	(87%)	160,473
Biological Sciences	234,929	109,825	114%	-	3,280	(100%)	154,289
Informatics	191,411	189,482	1%	47,160	36,530	29%	215,795
Chemistry	94,888	200,525	(53%)	2,160	27,849	(92%)	263,883
College Central	27,500	55,319	(50%)	-	-	-	93,919
Mathematics	5,700	4,044	41%	-	-	-	5,644
Total CSE	1,691,271	1,517,443	11%	130,174	151,019	(14%)	1,957,968
Support Services	11,281	8,285	36%	-	500	(100%)	8,285
Total UOE	3,598,700	3,940,009	(9%)	300,712	427,384	(30%)	4,863,865
	-	-		-	-		-

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**Table 7
Disclosure Interviews by School**

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
Business School	1	-	-	-	-	-	1
College General	-	-	-	-	-	-	-
Divinity	-	-	-	-	-	-	-
Economics	-	-	-	-	-	-	-
Edinburgh College of Art	-	1	(100%)	-	-	-	1
Health in Social Science	1	-	-	1	-	-	-
History, Classics And Archaeology	-	-	-	-	-	-	-
Law	-	-	-	-	-	-	-
Literatures, Languages and Cultures	1	-	-	-	-	-	-
Moray House School of Education	-	1	(100%)	-	-	-	5
Philosophy, Psychology and Language Sciences	1	-	-	-	-	-	-
Social and Political Science	-	-	-	-	-	-	-
Total CHSS	4	2	100%	1	-	-	7
	-	-	-	-	-	-	-
Biomedical Sciences	1	1	0%	-	-	-	3
Clinical Sciences	15	22	(32%)	5	2	150%	46
Molecular, Genetic and Population Health Sciences	6	13	(54%)	-	1	(100%)	17
Royal (Dick) School of Veterinary Studies	10	17	(41%)	2	2	0%	20
College Central	-	-	-	-	-	-	-
Total CMVM	32	53	(40%)	7	5	(78%)	86
	-	-	-	-	-	-	-
Biological Sciences	17	11	55%	5	2	150%	14
Chemistry	6	26	(77%)	1	20	(95%)	31
Engineering	18	11	64%	2	2	0%	22
Geosciences	5	10	(50%)	3	3	0%	12
Informatics	3	1	200%	1	-	-	2
Mathematics	1	-	-	-	-	-	-
Physics	-	1	(100%)	-	-	-	1
College Central	-	-	-	-	-	-	-
Total CSE	50	60	(17%)	12	27	(56%)	82
	-	-	-	-	-	-	-
Support Services	-	-	-	-	-	-	-
Total UOE	86	115	(25%)	20	32	(38%)	175
	-	-	-	-	-	-	-

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Table 8
Patent filings by School

	Year to								Month of								Full Year			
	30 Apr 14				30 Apr 13				Apr 14				Apr 13				31 Jul 13			
	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	8	1		9	1		1	2	2			2				-	1	-	1	2
Clinical Sciences	4	2	3	9	5	3	3	11	1			1		1		1	7	4	5	16
Molecular, Genetic and Population Health Sciences	1		1	2			1	1			1	1			1	1	-	-	2	2
Royal (Dick) School of Veterinary Studies	2	4	3	9	5	1	2	8				-				-	5	1	2	8
Total CMVM	15	7	7	29	11	4	7	22	3	-	1	4	-	1	1	2	13	5	10	28
Biological Sciences	2		3	5		2	1	3				-				-	-	2	1	3
Chemistry	1	1	1	3	2	5	1	8				-				-	2	5	2	9
Engineering	5	2	2	9	9	3	6	18				-				-	11	3	8	22
Geosciences	1			1			1	1	1			1				-	-	-	1	1
Informatics	1			1	2	1	1	4				-				-	2	1	1	4
Mathematics	1			1				-	1			1				-	-	-		-
Physics				-				-				-				-	-	-		-
Total CSE	11	3	6	20	13	11	10	34	2	-	-	2	-	-	-	-	15	11	13	39
Support Services				-				-				-				-				-
Total UOE	26	10	13	49	24	15	17	56	5	-	1	6	-	1	1	2	28	16	23	67

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Table 9
Licences signed by School (excluding non-revenue bearing licences)

	Year to			Month of			Full Year 31 Jul 13
	30 Apr 14	30 Apr 13	Variance	Apr 14	Apr 13	Variance	
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		3	(100%)			-	7
Philosophy, Psychology and Language Sciences			-			-	
Social and Political Science			-			-	
Total CHSS	-	3	(100%)	-	-	-	7
	-	-		-	-		-
Biomedical Sciences	1			1			
Clinical Sciences	3	2	50%	1		-	3
Molecular, Genetic and Population Health Sciences	7	4	75%			-	5
Royal (Dick) School of Veterinary Studies	4	6	(33%)	1	1	0%	8
Total CMVM	15	12	25%	3	1	200%	16
	-	-		-	-		-
Biological Sciences	4	5	(20%)	1		-	9
Chemistry	4	4	0%	1	1	0%	6
Engineering	3	2	50%			-	4
Geosciences			-			-	2
Informatics	4	5	(20%)			-	5
Mathematics			-			-	
Physics		1	(100%)			-	1
Total CSE	15	17	(12%)	2	1	100%	27
	-	-		-	-		-
Support Services			-			-	
Total UOE	30	32	(6%)	5	2	150%	50
	-	-		-	-		-

Introducing the New Sabbatical Team

Tasha Boardman (EUSA's Vice-President Services) and I will be joining Court this year. As EUSA President, I plan to focus on representation, student engagement and sustainability. With a look towards EUSA's developing strategic plan and the University's strategic objectives our priorities lie in making sure our students' benefit from a fair, fulfilling, and healthy university education. Our focus this year will be on students from many different backgrounds including student carers, mature students, postgraduate students and international students.

Tasha Boardman, our Vice President of Services, has committed this year to focusing on sustainability, developing support for students studying abroad, and supporting students looking for private accommodation through exploring a student-led letting agency initiative. Dash Sekhar, our Vice President Academic Affairs, will prioritize strengthening school councils and launching curriculum co-creation projects in collaboration with academic colleagues across the University. Eve Livingston, our Vice President Societies and Activities will be focusing on a peer support strategy for students outwith the academic environment, exploring better access to longer term support for mental health difficulties through mental health/counselling bursaries for our students, and looking into the University's childcare provision to ensure childcare facilities are provided for student parents and University staff.

Sabbatical Engagement Across Each Campus

This year's Sabbatical Team is committed to raising the profile of EUSA and increasing student engagement by using innovative methods to communicate our roles to the student body at large. These efforts will include an introduction to EUSA video featuring the Sabbatical Team as well as a commitment to 'lunch time surgeries', ideally each week, at a different campus across the University. This will help students better understand how EUSA represents them, will allow them to engage with our campaigns, and overall increase our effectiveness as union leaders.

Education Act 1994 Update

The Education Act 1994 (the Act) outlines the relationship between educational establishments and student unions/associations. It requires that the Governing Body of every establishment shall take such steps as are reasonably practicable to secure that any students' union operates in a fair and democratic manner and is accountable for its finances. Governing Bodies are also required to ensure that there is adequate publicity for the requirements of the Act, through the issuing of a Code of Practice which sets out how arrangements are made. EUSA is currently working with the University in updating this Code of Practice, and this will be presented to Court for approval at their meeting on the 8th December 2014.

Strategic Review

We have now received the initial analysis of our strategic review research, and are beginning to discuss this within the organisation. Over the summer the sabbatical and senior management team at EUSA will develop key themes for our Strategic Plan. Based on research with almost 3500

students, the research really gives us insight into the student body and their needs, and ensures we can develop plans for future activity that are relevant to them.

Trustee Board

We are currently recruiting a new external trustee with HR or legal experience to fill the vacancy left by Melissa Highton, previously of Oxford University, who is joining Edinburgh University as Director of Learning , Teaching and Web Services.

EUSA Incorporation

EUSA became a company limited by guarantee on 2 April 2014, representing the final stage in the charity's journey to an improved governance structure. This also included the new constitution (approved by Court in February), bringing three external trustees onto the Board and setting up a subcommittee structure of the Board.

Finance update

Current Financial position

EUSA has changed its financial year end from 31 July to 31 March, to take it away from conflicting with the Edinburgh Fringe Festival. The draft results for the eight months to the end of March 2014 show a substantial surplus of £515,000. This has been sufficient to raise the organisation away from a reported net liability figure last year of £360,000 to net assets of around £150,000. This is a major milestone in EUSA's journey to financial recovery, however it must be noted that the shortened year 2013/14 omitted the four leanest months in EUSA's year, April to July. Factoring these in would reduce the surplus to around £200,000. This is still a substantial improvement on the previous year where a deficit of £330,000 was incurred. The reasons for this turnaround are varied, including several items considered one-off in nature, however a large part derives from the improved control of costs and revenue generation introduced by the current management team.

EUSA's Budget

EUSA's budget for its new financial year (April 2014 to March 2015) was signed off by the Board of Trustees in March. This shows a surplus of £60,000 and reflects the continued tight management of the organisation to reach this position. EUSA continues to operate under tough conditions and achieving a surplus necessitates running the organisation at a very lean level. We need to run a surplus of at least this level for the next five to ten years in order to build an appropriate level of unrestricted reserves.

EUSA's Cash

Cash is at its tightest between April and July, and EUSA will use its overdraft in June and July. However cash balances are currently nearly £800,000 up on last year. This is due to the improved financial performance and an additional advance of the block grant paid by the University in July 2013, which has helped fill the trough in the cash flow cycle. EUSA's use of its overdraft facility has, as a result, been substantially lower than last year or previously. It is the long term plan to build cash reserves to a sufficient level to avoid the need for an overdraft.

Recognition for EUSA

EUSA has been celebrating sector recognition for various aspects of our work:

We were awarded the NUS/UKCISA national award for **Excellence in International Student Support**, in recognition of the targeted academic, welfare and social support we provide to the international student community through our International Buddies scheme and Peer Proofreading schemes.

EUSA's **Peer Support** project has been highlighted by the Higher Education Academy as representing quality and best practice within the sector, and also for promoting integration on campus. Given that this project is only 2 years old, we were pleased to have the impact of this work recognised and promoted throughout the UK.

Our commercial outlets have also secured awards in recognition of the quality of our service and our approach to safety and security – we were delighted last month to win the **British Institute of Innkeeping Late Night Operator of the Year award**, and be placed within the top 3 at the same event for the Social Responsibility Award. We also picked up Best Bar None (Silver). All of these recognise EUSA's exceptional work in promoting **safe alcohol retailing and student safety** within the late night industry

EUSA's approach to **sustainability** was also recognised within the University with our Bars team winning a Silver Sustainability Award, and externally we achieved Excellence in the UK-wide Green Impact Awards.

Rectorial Elections Planning

We have been working very closely with the University to review the structures around the Rectorial elections process with a view to make the elections as accessible as possible. With an emphasis on raising awareness about the Rectorial Elections we are confident that the election will be contested and maintain the importance of having a contested election for the role.

EUSA Elections planning

We are now planning for our October by-elections, which include several positions for School-based representatives. We plan to work with staff and students across the University to promote these opportunities and demonstrate the potential impact students can have on their academic experience locally through running for these. Longer-term we are developing plans for more support, training and development opportunities for potential election candidates particularly for sabbatical positions in our March elections.

Student mental health

We have completed the analysis of our student mental health survey conducted during semester 2 and have begun discussing the results with student services staff and will develop this work further. It is interesting to note that 52% of respondents told us that they had experienced a mental health difficulty, and only 50% of respondents would feel confident in knowing where to get help. Key issues raised by respondents include access to adequate support – University services are valued but

there are issues around demand. We would also like to talk further about how to ensure University staff beyond the support services are able to deal sensitively with students affected by mental health difficulties. Internally, we are currently running staff training for EUSA staff on mental health in conjunction with the Depression Alliance.

Commercial update

EUSA and Homecoming Scotland

Our very own festival 'The Pleasance Sessions' has officially partnered up with Homecoming Scotland 2014. We ran this festival for the first time last year as a way of developing and promoting our links with the local creative arts and music community.

The Pleasance Sessions will run from October 9th - 18th 2014, encompassing live music, comedy & spoken word, with a sprinkle of the brilliant Och!Toberfest and an Independent Label Market. With it being such an amazing year for Scotland we're very proud to be chosen as an event that Homecoming Scotland 2014 would like to support and partner with.

Developments in Potterrow

Work has begun on redeveloping the site of the old Dome Store, inside Potterrow, as this is now let out to a Dental firm. Not only will this generate regular rental income for EUSA as part of our financial recover plan, but importantly it adds an NHS dentist service on campus, meeting a particular demand from students.

A new shop in David Hume Tower

We are very pleased to have worked in partnership with the University to open our new store as part of the David Hume Tower/50 George Square development. The new academic facilities for students are very impressive and we are proud to have opened a facility that sits well within this development and provides quality service to our members and University staff alike.

Festival preparation

We are in the final stages of Festival preparation, and have recruited and are training over 320 new staff. In liaison with our Festival partners, Gilded Balloon and Pleasance we have agreed some further developments for this year including additional performance space at Pleasance and additional ticket office/collection facilities in George Square. We are currently working with the Festivals Office and other providers e.g. Udderbelly to finalise and manage access arrangements for Bristo Square given the works currently underway on McEwan Hall.

Briana Pegado
EUSA President
June 2014

The University of Edinburgh

The University Court

23 June 2014

Strategic Priorities and Resource Allocation 2014/15

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

This is the final version of the draft 3-year resource allocation proposals.

Action requested

Court is invited to review and approve the plans and resource allocation proposals.

Resource implications

Does the paper have resource implications?

The resources implications are set out in the paper.

Risk Assessment

Each of the component business plans contains a formal risk assessment and the resource allocation explicitly recognises these issues.

Equality and Diversity

Specific issues are addressed in individual plans and proposals include resource to support demand on student services.

Freedom of information

Can this paper be included in open business? No (2 years)

Originator of the paper

Tracey Slaven, Deputy Secretary, Strategic Planning
Jonathan Seckl, Vice Principal Planning, Resources and Research Policy
Phil McNaull, Director of Finance

13 June 2014

To be presented by

Vice-Principal Professor Seckl

The University of Edinburgh

University Court

23 June 2014

SRUC Strategic Alignment

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

This paper is for information and provides an update on activity since the Court meeting on 12 May 2014. The outline timetable is attached at Appendix 1.

Action requested

Court is invited to note progress

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? No

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 - not while the terms of the strategic alignment are under discussion

Originator of the paper

Vice-Principal Mr Nigel Paul
30 May 2014

To be presented by

Vice-Principal Mr Nigel Paul

The University of Edinburgh

The University Court

23 June 2014

C5

National Physical Laboratory (NPL) - Update

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

National Physical Laboratory Bid – update.

Action requested

For information

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? N/A

Equality and diversity

Does the paper have equality and diversity implications? N/A

Freedom of information

Can this paper be included in open business? Yes

If No, please indicate which of the reasons below justifies the paper being withheld.

Originator of the paper

Professor Jonathan Seckl
Vice Principal, Planning Resources & Research Policy

To be presented by

Vice-Principal Professor Seckl

National Physical Laboratory (NPL) bid

Court will have heard that our bid to run the National Physical Laboratory (NPL) in Teddington was unsuccessful (Court Members had the opportunity to scrutinise the near final bid). Despite the very limited timescale involved we think that the bid was scientifically outstanding, offered a robust plan to develop a sustainable graduate school in meteorology at Teddington, afforded strong links with the UK's industrial base and included very substantial investment focussed on driving a step-change in the capabilities of NPL. Our scientific partnership with the University of Birmingham added value. Overall, we offered a real opportunity to transform NPL and drive it further to the top of world attainments in meteorology.

At interview on 19th May the Edinburgh-Birmingham team was told that our bid was non-compliant. It transpired that the key issue of concern was that our explicit requirement for eventual majority control of NPL, albeit after several years of confidence building and once substantial milestones had been delivered. Indeed throughout the process we had made it clear that the governance aspect of our bid was outwith the parameters initially advanced by the Department of Business, Innovation and Skills (BIS) and its National Measurement Office (NMO) that manages NPL.

Court will recall that we had, after due diligence, two "red lines" for our bid. The first was that we did not wish to take any responsibility for NPL's very substantial pensions liability. The second was that we wished to have, in due course and with appropriate 'golden share' guarantees for Government, eventual control of NPL. Otherwise it was difficult to see how benefits might accrue to the University. Sadly this was not acceptable to the BIS-NMO leaders of the interview/assessment panel. It became clear that no modest manipulations or changes in timescale or nuance were going to get round this problem.

The bid was therefore formally rejected by NMO/BIS, ending this particular process.

What did we learn?

Despite this ultimately frustrating process we have learnt better how to pull together major bids for research-based entities, have honed skills in developing bids and creating cogent scientific and business arguments, have improved our capacity to do effective due diligence, to decide clearly what we want and equally clearly what we cannot accept. I believe this capability will stand us in good stead as future opportunities transpire. We have also forged strong new links with the University of Birmingham and NPL. Hopefully these will lead to scientific collaborations despite the immediate disappointments of the current process.

Costs

With a very limited time to prepare our bid we engaged external legal (governance, estates) and financial advisers. These were most helpful in scrutinising data as part of the due diligence process and shaping the bid. Overall costs were around £120,000 for external support. Additionally, staff time was consumed. Court might wish to note the extraordinary efforts of VP Lesley Yellowlees and her colleagues in CSE, by Ian Sharp of ERI and by senior colleagues in Finance, Estates, Legal, HR and elsewhere. Staff from a host of 'departments' worked seamlessly together which was very heartening and bodes well for future bids.

Summary

The process was frustrating, notably because NMO/BIS knew all along how we proposed to approach the NPL governance/ownership and did not discourage us, but eventually were unwilling to relinquish their control to the University. So why did they ask major Universities, full of outstanding science and star researchers, to get involved and what benefit to Universities did they envisage?

However, we are well placed to compete in future competitions that may transpire.

Jonathan Seckl
June 2014

University Risk Appetite and Risk Register

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

This paper presents the University Risk Appetite statement for re-approval, and an update of the University Risk Register for consideration. Drafts of the Risk Register have been discussed at Risk Management Committee, Central Management Group, Audit Committee, and F&GPC. Comments from all of these Committees/Group have been considered in arriving at the version now presented to Court.

Action requested

Court is invited to

- re-approve the University Statement of Risk Appetite Statement
- approve the updated Risk Register

Resource implications

Does the paper have resource implications? No

Risk Assessment

Does the paper include a risk analysis? Yes

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. Disclosure would substantially prejudice the effective conduct of public affairs and it should remain closed for one year.

Originator of the paper

Nigel Paul
11 June 2014

To be presented by

Vice-Principal Mr N Paul
Director of Corporate Services

SFC Post Merger Evaluation - ECA

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

The paper provides Court with the opportunity to consider the conclusions of the SFC Post Merger evaluation exercise; as outlined in the formal letter to the Cabinet Secretary for Education and Lifelong Learning.

Action requested

For discussion.

Resource implications

Does the paper have resource implications? None directly, however, lessons learnt from the evaluation will assist in the effective planning and resource management of future large projects.

Risk Assessment

Lessons learnt from the merger and evaluation should assist with the further refinement of our approaches to risk assessment of major projects.

Equality and Diversity

An equality impact assessment was undertaken as part of the initial preparation work for the merger.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Tracey Slaven
Deputy Secretary, Strategic Planning

To be presented by

Vice-Principal Professor Breward

SFC Post Merger Evaluation – ECA

SFC Evaluation Exercise

The merger of ECA and the University of Edinburgh took place in 2011 and, following an interim evaluation in April 2012 and receipt of the University's self-evaluation report, SFC began its 2 year post-merger evaluation in October 2013. The evaluation was intended to assess progress around the strategic objectives embodied within the merger proposal and the expectation of the Cabinet Secretary that the unique characteristics of the ECA be supported to develop and flourish.

The letter from SFC Chair, Alice Brown, to the Cabinet Secretary for Education and Lifelong Learning was issued on 9th June 2014 and concludes that the merger has been successful. Specifically, the report notes that the new ECA within the University of Edinburgh:

- Is rooted in good and sound academic arguments and the positive experiences of staff and students;
- Is different from, but better than, what existed before, and that genuine synergy between the two institutions had been achieved; and
- That the academic vision espoused at the outset was becoming a reality.

The SFC does not intend to carry out any further evaluation of this merger.

Lessons for future mergers/major projects

In line with our internal assessment of the merger progress, the key lessons identified in the SFC evaluation relate to the need to effectively plan and resource the implementation and transition processes; as distinct from the process of achieving the merger itself. The key pressures in this case falling on professional services staff attempting to both deliver change and the "day job" at the same time.

The report notes the unexpected maintenance and compliance costs associated with the ECA estate and the significant strategic estates plans in development.

Tracey Slaven
Deputy Secretary, Strategic Planning

11 June 2014



Our ref: 242507781

9th June 2014

Michael Russell MSP
Cabinet Secretary for Education and Lifelong Learning
Scottish Government
St Andrew's House
Regent Road
Edinburgh EH1 3DG

Post-merger evaluation: Edinburgh College of Art and the University of Edinburgh

The Council is required to carry out, on behalf of the Scottish Government, a post-merger evaluation of all approved mergers. This letter contains the Council's evaluation of the merger between Edinburgh College of Art (ECA) and the University of Edinburgh, which in our view has been a success.

Background

In January 2011 you wrote to the then Chair of the Scottish Funding Council (SFC), John McClelland, agreeing to the Council's recommendation that ECA and the University of Edinburgh merge. In that letter you also asked the Council to ensure that the identity, ethos, pedagogy, and studio-based culture of the ECA be not merely maintained, but allowed to develop and flourish within the University.

On the 1 August 2011 the two institutions formally merged. At that point, ECA merged with the University's School of Arts, Culture and Environment. The new and enlarged ECA now incorporates the core disciplines of Architecture and Landscape Architecture, Art, Design, History of Art and Music, and is one of eleven schools which make up the University's College of Humanities and Social Science.

The Chair of the Council wrote to you in April 2012 reporting on progress following an initial post-merger evaluation. Our assessment then was that the merger was proceeding well, that the University was effectively addressing the challenges of merger, and that there was a collective will to encourage the particular characteristics of the former ECA to flourish.

SFC began its 2 year post-merger review in October 2013, following receipt of the University's self-evaluation report. Further evidence was submitted by the University in response to requests for additional information and clarification. During March 2014 a series of formal meetings were held with colleagues from the University who had directed, managed, influenced, or had been impacted by the merger. These meetings included individual discussions with:

- the Director of Estates and colleagues;
- ECA students, representative by year, discipline, and level of study;
- the ECA management group;
- ECA academic staff;
- ECA support staff; and
- union representatives.

On 20 March 2014 the SFC team discussed progress with the Vice-Convener of Court, Professor Stuart Munro, the Head of the College of Humanities and Social Sciences, Professor Dorothy Miell, the Principal of ECA, Dr Chris Breward, and other senior managers from the University. Separately, SFC officers have been briefed by Professor Paul Greenhalgh, Chair of the University's advisory group on the merger.

The post-merger review process has been led by a member of the SFC board and supported by the Outcome Agreement team for the University.

Report conclusions

The report attached as the **Annex** to this letter details progress with the merger framed around the strategic objectives embodied within the merger proposal, and the expectation, expressed by you in your letter to both HEIs of 24 January 2011, that the unique characteristics of the ECA develop and flourish.

Having reviewed all the evidence, the Council's view is that this merger has been successful. Specifically, the Council notes that the new ECA within the University of Edinburgh:

- is rooted in good and sound academic arguments and the positive experiences of staff and students;

- is different from, but better than, what existed before, and that genuine synergy between the two institutions had been achieved; and
- that the academic vision espoused at the outset was becoming a reality.

There have been some challenges in the transition to the new structure, and important lessons learned around providing adequate resource, time and support for staff during this period. Nevertheless, it was recognised by students and staff that the merger was both welcome, and necessary to protect the future of ECA. ECA has demonstrably strong leadership in its new Principal, who is supported by an effective and cohesive management team. The evidence reviewed by the SFC indicates that the quality of the student experience has been maintained, and that there has been a material improvement in the working environment for both staff and students.

The Council is reassured too that the identity, ethos, pedagogy, and studio-based culture of the former ECA has not been stifled, but indeed has demonstrated a new dynamism and energy. The SFC team identified a sense of excitement and anticipation at the opportunities for collaboration and interdisciplinary working made possible by the merger – a characteristic that increasingly defines the ‘new’ ECA. There is also a renewed sense of confidence in the good management and on-going sustainability of the College as part of the University.

The Council does not intend to carry out any further formal evaluations of this merger. SFC officers will continue to work closely with the University on its contribution to Scottish Government priority outcomes through the Outcome Agreement process. Lessons learned from this review will be incorporated into the Council’s guidance to institutions considering merger.

I am sending a copy of this letter to Sir Timothy O’Shea, Principal and Vice-Chancellor of the University of Edinburgh, Professor Dorothy Miell, Vice-Principal and Head of the College of Humanities and Social Science, and Dr Chris Breward, Vice-Principal, and Principal of the Edinburgh College of Art.

Yours,
Alice

Alice Brown
Chair

CC - Sir Timothy O’Shea, Principal and Vice-Chancellor, University of Edinburgh
CC - Professor Dorothy Miell, Head of the College of Humanities and Social Science
CC - Dr Chris Breward, Principal of the Edinburgh College of Art

Merger of ECA and the University of Edinburgh

Management, governance and support structures for the new ECA

Financial sustainability

In your letter of 24 January 2011 to the Principals of the University and the former ECA, you noted that the financial position of ECA had played an important part in the decision by both governing bodies to merge. This followed SFC advice that significant weaknesses in the internal controls and governance structures of the former ECA had led to its financial position becoming unsustainable in the medium to long-term.

In taking control of the College's finances, the University noted that aspects of the operating costs of ECA had not been sustainably resourced for some time (e.g. a reduced cleaning schedule). Health and safety concerns necessitated an immediate investment of approximately £1 million in equipment from the University, while ensuring that the former ECA estate is maintained at an acceptable level for both students and staff has required £2 million in additional annual operating costs. The University notes that these recurring maintenance costs were not fully reflected in ECA pre-merger accounts.

Like-for-like comparisons of the financial position pre and post-merger have been challenging, due in part to the enlargement of ECA, and the different accounting treatment (e.g. capitalisation limits) in the pre-merger ECA. ECA has reported a break even position for the three years immediately post-merger to 2013-14, but has planned for a 1.5% deficit in 2014-15 (the forecasts included in the merger proposal document suggested that the former ECA had a recurrent operating deficit averaging 10% of turnover, but the University's analysis suggests that this deficit would represent 28% of turnover assuming a sustainable spend on maintenance).

The ECA management team's strategy for placing the College's academic activities in a more financially sustainable position has been to progressively increase income while containing all expenditure within the operational budget allocated by the College of Humanities and Social Science (CHSS). The planned deficit in 2014-15 is in part a result of a significant up-front investment in new strategic academic appointments, with an anticipated income growth from these appointments (e.g. from research, teaching and knowledge exchange) following in subsequent years. The ECA and CHSS management expect the College to return to surplus in its operating costs by 2016-17, and to be financially sustainable thereafter.

The Council is confident that the merger has allowed the College the necessary stability to continue to deliver high quality teaching and research. ECA is now operating within

the budget made available to it by the University, and we have heard from staff and managers that they now feel confident and secure in their own, and ECA's future. It is also clear that the merger has allowed ECA to address significant operating and structural deficits. While there could be no 'quick-fix' to the financial challenges faced by the College, the Council is content that the new management of the ECA and the wider University have mapped out a path to financial sustainability, and that this will be achieved by 2016-17.

The merger was achieved without recourse to any compulsory redundancies. A total of eight ECA staff agreed voluntary severance or early retirement terms at a total cost of £335,000 (2011-12), resulting in recurring annual savings of £498,000¹.

Management structure and accountability

Dr Chris Breward was appointed Principal of the ECA and, *ex officio*, a Vice-Principal of the University, in September 2011. As Vice-Principal, Creative Industries and Performing Arts, Dr Breward is directly accountable to the University Principal and is a member of the University's Central Management Group. He is also responsible to the Head of CHSS for the management of the ECA as its Principal. The regular and direct contact between the Principal of ECA, and the Principal of the University, has been important in ensuring that the 'voice' and unique characteristics of College is heard and understood at the highest levels of the University. This dual role has been of particular value during the immediate post-merger period as the ECA management sought to position the College within the wider institution. There are no plans to change this arrangement.

In its visits to ECA, the SFC team noted positive examples of the inclusive leadership style of the Principal, and were impressed by the obvious cohesion, enthusiasm and commitment of the management team.

As with other academic units (schools) within CHSS, ECA has adopted an organisational structure that most effectively addresses its specific needs and context. The devolved structure of the University also allows the College a degree of autonomy and discretion – within agreed parameters – in its management and decision making. At the same time ECA is has been able to call on specialist support from University wide units in areas such as estates, academic development, and research. We have heard, for example, that the establishment of the ECA Research and Knowledge Exchange Office, with the support of CHSS and Edinburgh Research and Innovation, has been a catalyst for a step change in the College's approach to research.

¹ A further 6 staff moved to alternative roles elsewhere in the University before taking voluntary severance. These departures did not impact on ECA finances.

Estate

Since taking possession of the ECA estate it has become apparent that the maintenance requirements of the College had not been fully met for some time. As referred to above, the University has noted that the revised operating costs for the college are significantly higher than they had originally anticipated, or had been indicated from the financial information available prior to merger. Over the past two years the University has spent £4.2 million to address urgent safety and compliance issues in the ECA's Lauriston Place estate. This work includes the management and removal of significant quantities of previously undetected asbestos. The planned budget for urgent repairs at the College is £5.8 million. This figure comprises £2.9 million of funding allocated by SFC and matched funding from the University. The necessary prioritisation of this work, together with attempts to avoid disruption during the critical transition period and REF2014 submission preparations, has delayed plans for a comprehensive upgrade of the Main Building at Lauriston Place campus. The University anticipate the the renewal of this building will be completed by 2018-19 at total cost of up to £25 million (including SFC funding). In addition, a further £17 million spend is anticipated to address maintenance requirements on the adjoining Architecture and Link Building at Lauriston Place.

In parallel, the University is evaluating long-term solutions for the renewal of the entire ECA estate, to support the developing academic vision of the enlarged College, and maximise opportunities for both internal and external partnerships. All the options under consideration focus on consolidating the College's estate from its current six sites to two, and include the retention of the Lauriston Place campus. The University will identify its preferred estates solution during the summer of 2014, with the anticipated costs of delivery ranging from £120 to £150 million (the University has not shared any assumptions on capital receipts from the proposed rationalisation of the ECA estate). While the more costly options are more closely aligned with the academic vision for ECA, we have received assurances that all options currently under consideration are supportive of this vision. The University would look to maximise external funding opportunities in support of the renewal of ECA estate, including a possible approach to SFC, but gave SFC its commitment to ensuring the long-term effectiveness and sustainability.

Academic pedagogies, structures and regulations

The ECA now offers research and programmes of study across five disciplines: Art; Design; Architecture and Landscape Architecture; History of Art; and Music – bringing together history, theory, and practice in some subject areas. In the implementation of the new structure, with its broader mix of disciplines and approaches, ECA has sought to retain and strengthen distinct pedagogies and teaching cultures, while optimising opportunities for cross-disciplinary working. The SFC team saw evidence of how this 'mix' had enabled new and innovative lines of enquiry across both teaching and

research (e.g. Music and Neuroscience), and heard from students and staff how ECA had successfully combined the academic rigour of the 'traditional' university, with its strengths in practitioner/studio based culture, to create something entirely new. For example, studio/practice-based options in Art and Design will be offered across the University from 2014/15.

A number of key strategic appointments have been made by the University since the merger, including the creation of new academic chairs in Music Psychology and Improvisation, Modern and Contemporary Art, Architecture, and Design Informatics. The focus of these appointments has been to strengthen leadership in research, enhance the development of existing and new teaching programmes, and strengthen cross disciplinary working. The University has also invested in the appointment of eight Chancellor's Fellows – early career academics who exhibit clear potential to become international leaders in their respective disciplines. The SFC team saw evidence that suggested this infusion of 'new blood and new ideas' has strengthened education and research at ECA, with the new appointments acting as levers for (necessary) cultural change, and channels for collaborative working.

New academic developments and new confidence

Securing synergies through the development of new cross-disciplinary working has been central to the vision and promise of the merger. The SFC team saw strong evidence that these synergies had been achieved, and identified a real sense of excitement and anticipation at opportunities for further collaboration in the future. We heard from academic staff that there is a 'consistent expectation' that they will work collaboratively across disciplines. Opportunities for studio-based activities to come together with academic disciplines to create new developments in teaching and research have also been realised, with new partnerships formed between the Roslin Institute biomedical facility (Art), the Department of Neuroscience (Music) and the Royal Dick Veterinary School (Art, and History of Art) amongst other examples.

Practical steps have been taken to ensure that the imperative to collaborate is embedded across the ECA. Research is now managed through a central Research and Knowledge Exchange Office, rather than by discipline as before the merger, raising the horizon of researchers, and research students can now benefit from joint supervision from staff from different subject areas. The newly created post of ECA Director of Internationalisation is focused on developing awareness and strategies for international collaboration amongst staff and students. The College has also been well placed to take advantage of University wide initiatives and funding in support of collaboration, such as the CHSS challenge fund, intended to support capacity building and multi-disciplinary working.

The Chancellor's Fellows referred to above, have been particular 'agents of change' in respect to the development of cross-disciplinary themes, specifically in the areas of curatorship, social engagement, narrative, materiality, and digital environment. We heard from academic staff, managers and students of the positive and influential impact these appointments have made. Academic staff also noted that the very process of preparing a submission for the REF2014 assessment exercise allowed for an audit of current research activity and an enhanced understanding of the nature of creative practice as research equivalent output. An exhibition showcasing all ECA textual and non-textual research submitted to the REF was arranged during January 2014 to promote further cross-disciplinary conversations with University colleagues.

A number of new and innovative taught post-graduate programmes have now been established by the College, including a European Masters in Landscape Architecture, a partnership with four other European institutions, an MSc in Urban Strategies and Design delivered with Heriot-Watt, and a Masters in Design Informatics delivered in collaboration with the School of Informatics. New programmes for 2014-15 will include cross-disciplinary Masters in Materiality, and in Music in the Community, with up to seven more programmes in subject areas ranging from Art Publication to Urban Strategies planned for in the coming years.

The REF2014 exercise has come too soon to illustrate the impact of the merger in the context of research activity at the new ECA. While available data shows increased levels of research income for the 2011-12 and 2012-13 compared with pre-merger levels, it is too soon to determine a sustained trend in the growth of research, knowledge exchange, and teaching income.

The student experience, support and representation at ECA

The SFC team met a large group of students, representative by discipline, level of study, and year of study, and received a broadly positive message on the impact of the merger. While there was a degree of regret amongst students who had begun their study in the former ECA at the loss of independence of 'their' small, specialist institution, there was an awareness and recognition across the group that the College was now in a more sustainable position, and an appreciation of the security that that brings. The group included two student representatives who reported that a full-time student sabbatical position had been lost since the merger and formal wind up of the ECA student body. In their view, students were now less inclined to participate in school and class level representation, and (university wide) student association elections, although we note that the University student association 'are considering creative ways for further engagement across ECA'.

Those who had joined the ECA since the merger made clear that their decision to study at the College had been informed by the perceived quality of the facilities/student support

available to students of the University, (sport facilities, accommodation options, library services, etc.), the broad student experience offered by a large university environment (e.g. mix of students, societies and clubs, etc.), and by the academic and international reputation of the University itself. Others, who had initial reservations at studying in a large multi-faculty institution, had applied on the strength of the quality and distinctiveness of the ECA programmes. The group identified the educational and cultural benefits offered by access to the University's extensive and unique art collections as a particular attraction.

The experience and benefits of cross-disciplinary working were more apparent in discussions with academic staff and post-graduate students, than in our discussion with undergraduates. Nevertheless, there is strong evidence that the merger has provided enhanced flexibility and greater breadth in the provision of undergraduate programmes. For example, following a review of Art and Design degree programmes, students at ECA are able to take credit options from subjects across the humanities and social sciences, although we heard there are some practical limitations to what can be studied. ECA has also introduced a new MA (Hons) in Music in 2014, with a broad cultural based approach to music, and offering cross-disciplinary options (e.g. performance, composition, arts management) to support a wide range of possible careers. The opportunity for students to work with glass as a medium has been reintroduced, and extended to all undergraduate arts programmes, and international undergraduate collaborations have been expanded to include joint programmes developed with partners in Shanghai, Tokyo and New York.

Students noted that urgent and long-standing maintenance issues with the former ECA estate were now being addressed, although this in itself had caused some unavoidable disruption and dislocation. They also valued the significant additional investments made in technical resources and support. A key concern of the management and staff groups during the immediate post-merger period had been the maintenance of the student experience. Comments from students confirmed that this aim had been achieved, although some expressed frustration at perceived additional bureaucracy (some of this relating to health and safety compliance issues).

The diversity of the student body has not significantly changed since the merger, and is in line with comparable institutions and subject mixes. ECA now benefits from university wide access initiatives and is a participant in sector wide programmes such as the ACES (Access to Creative Education Scotland) and LEAPS (Lothian Equal Access Programme for Schools). The prominent place widening access occupies within the ECA business plan would seem to confirm the school's commitment to reducing barriers to its provision and enhancing its student mix.

Future identity and brand

The Principal and senior management took a broad interpretation of identity and brand as being synonymous with reputation, i.e. an aggregation of how ECA is perceived in the City, nationally and internationally, ranging from the quality of its teaching and research, to the quality of the urban spaces created by its buildings. If the perception continued to be one of excellence and innovation, then the identity and brand of ECA would be strong. In this respect the evidence reviewed by SFC suggests that the recognition and esteem of the ECA identity/brand had been enhanced since the merger – particularly in Europe on the back of its association with the University's international partnerships. ECA also cited the College's leading role in the development of the annual Edinburgh Art Festival, as helping to transform opinion in the City as to the benefits of the merger, and to showcase its (collaborative) activity to a national and international audience.

In developing an academic vision ECA has embraced the idea of the College as a 'front-door' to the University, and has been keen to build on and strengthen the best aspects of the former ECA, acknowledging its unique history, identity, and contribution to creative and performing arts. The Principal noted that the identity of the new and enlarged ECA was emerging in an unforced way as a result of multiple interdisciplinary collaborations and engagements, both internal and external. It was not his intention to invent or impose a new brand for the College, but rather he would seek to help shape this process.

Discussions with students on the identity of ECA were more focused on critiquing the specifics of the ECA 'brand' (e.g. logo, publications, signage, etc.). As 'arts' students they were acutely sensitive to what this said about the College, and its position within the wider University. Specifically, concerns were voiced at the apparent subordination of the ECA identity within the generic branding used by the University, noting that this did not speak sufficiently to the differentiated and unique mission of the College. The group cited Slade School of Art within the University of London as an example of effectively articulating the identity of an 'art college' within a large, broad based institution. There was some disappointment too that more had not been done to harness the creative talent within ECA to develop the visual branding of the College.

The alignment of the different cultures within the enlarged ECA was progressing well, with the synergies achieved through interdisciplinary collaboration adding an additional dimension to the identity of the College, and differentiating it from its peers. However, there was a sense amongst students of the Reid School of Music of standing apart from the rest of ECA, and a feeling that their position within the College had yet to be fully resolved. This was felt most acutely amongst undergraduate students where, perhaps, the opportunities and benefits of multidisciplinary working are less apparent, and it was suggested that the name Edinburgh College of Arts may be more apposite and inclusive. Nevertheless, there was a strong consensus amongst both staff and students that the

merger had been academically and operationally beneficial, and that the cultures and identity of both ECA and the University were stronger and richer as a result.

Lessons learned

While the merger of ECA and Edinburgh has in many ways been exemplary, there have been some aspects of the process that could have been done better. Outlined below is a summary of the key lessons learned to have emerged from SFC's review:

- Evidence suggests that support staff came under an unacceptable degree of pressure during the merger and transition period. They did not feel sufficiently supported, or recognised, as they sought to ensure 'business as usual' and maintain the quality of the student experience, while adapting to new processes and structures. The psychological impact of the transition on staff, particularly support staff, had been underestimated, timescales too optimistic, and HR support not sufficiently resourced. Staff also reported an apparent loss of momentum, and support from management after the 'formal' merger date.
- Some key staff charged with managing aspects of the merger did so while still responsible for the day-to-day functions of their posts. With hindsight, resource should have been made available to 'backfill' the post of key individuals to allow them to focus on securing a successful merger.
- Experienced 'change management' was not in place at an early stage, with some key posts required to support change only advertised after the date of merger, resulting in uncertainty, additional pressure, and the loss of knowledge.
- There was a clear sense of shared aspirations and goals from the start of the merger process, but aspects of the merger were allowed to develop and evolve in a natural and unforced. While this may have prolonged the merger process, it nevertheless optimised the benefits of merger and led to a more inclusive and cohesive institution – the bringing together of diverse cultures takes time.
- The Principal noted that, with hindsight, a full curriculum review would have been advisable soon after the initial merge period, dovetailing more effectively with changes to processes, programmes and structures. However it was acknowledged that taking forward such an exercise at that time would have proved extremely challenging.
- Reviewing the effectiveness of existing collaborations and areas of joint working (i.e. in Architecture and Landscape Architecture disciplines) provided positive lessons that informed the wider merger process.

Staff told us:

- 'a whole new world of opportunities has been opened up by the merger – there has been a blossoming of ideas and collaborations'
- [The new Principal] 'has demonstrated sensitivity, visibility and dynamism, ECA is more buoyant because he is here'
- 'there is now a consistent expectation that staff and students will work collaboratively'
- 'the enlargement of ECA has given it a new dynamism, and a stronger voice within the University'
- 'long overdue improvements to the estate are now happening'
- 'we have a stronger profile, particularly in Europe, on the back of the association with the University'
- 'the research culture is now more vigorous and robust – staff have grown as scholars'
- 'there were now opportunities to initiate larger scale research projects than before'
- 'we have benefited from the University's breadth of partnerships'
- 'the number of engagements with the outside world has multiplied'
- 'the merger has been a lever to shift the culture [of ECA] in a positive way'
- 'the big picture is good, but some subject areas feel on their own'
- 'the old ECA had five ways of doing things, now everything is simplified'
- 'we just would not be here if we hadn't merged'

In relation to the management of the transition process to the new structure, staff told us:

- 'harmonising admin functions has been the major challenge'
- 'an awful lot of fire-fighting has had to be done'

- 'the Unions have engaged constructively and were key in supporting staff'
- 'Our impression was that the student experience was not significantly impacted during the transition'
- 'two years on people are still adjusting'
- [from a support staff member] 'we had little guidance from the top'

Students told us:

- 'doing an Edinburgh degree gives you academic credibility in the outside world'
- [from a student rep] 'it is now a real struggle to get engagement from students'
- 'I wanted to enjoy the positive aspect of both the University and art college experience' [in applying to ECA]
- 'I chose to study here because of the richer experience than I would have had at an [stand-alone] art college'
- [from a student who applied to ECA prior to merger] 'I would not have come to ECA as a part of University'
- 'I have the best of both worlds'
- 'there seem to be more complex processes now, things were much simpler before'
- [from a UG Music student] 'I don't know, and can't see, the logic for our inclusion in the ECA'
- [from a PG Music student] 'it has opened up opportunities for collaboration for me that were not possible before' [e.g. in music and animation]
- 'I feel a small part of a very big institution'
- 'pre-merger the college was run down and communication poor – there is a tendency to look back with rose tinted glasses, but the merger has been broadly beneficial'
- 'Glasgow School of Art and Slade have great branding'

The University of Edinburgh

The University Court

23 June 2014

Review of Chancellor's Fellowship Scheme

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

This paper outlines how the strategic aims of the Chancellor's Fellowship scheme, ('the scheme') have been met and provides a summary of the findings and recommendations presented to the Staff Committee, March 2014, on how the University of Edinburgh can both build on the success of the current scheme, and enhance the positive impact of any future rounds of recruitment in line with other relevant initiatives such as the University People Strategy.

Action requested

For Information

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?

There is no Equality Impact of this paper although the paper reports on the gender and ethnicity distribution of Chancellor's Fellow with recommendations.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Anna Edgar
Senior HR Partner – Resourcing, University Human Resource Services
23 May 2014

To be presented by

Vice-Principal Professor Seckl

Review of Chancellors Fellowship Scheme

1. Introduction

This paper outlines how the strategic aims of the Chancellor's Fellowship scheme, ('the scheme') have been met and provides a summary of the findings and recommendations presented to the Staff Committee, March 2014, on how the University of Edinburgh can both build on the success of the current scheme, and enhance the positive impact of any future rounds of recruitment in line with other relevant initiatives such as the University People Strategy.

2. Headcount Summary

	2012			2013			Grand Total
	Female	Male	Total	Female	Male	Total	
CSE	7	23	30	6	24	30	60
UE08	6	21	27	6	23	29	56
UE09	1	2	3		1	1	4
HSS	14	20	34	15	19	34	68
UE07	5	2	7				7
UE08	8	16	24	15	19	34	58
UE09	1	2	3				3
MVM	9	17	26	4	8	12	38
UE08	6	15	21	4	6	10	31
UE09	3	2	5		2	2	7
Grand Total	30	60	90	25	51	76	166

The recruitment of the 2014 cohort is well underway with **24 offers accepted** (2 CSE, 6 CMVM, 19 CHSS) with all but one at Grade 8.

3. Chancellor's Fellowship Scheme Success

"The University of Edinburgh is committed to recruiting and enhancing our vibrant academic staff community to become the preeminent University developing early career colleagues to become the leading international academics of tomorrow. The latest Chancellor's Fellowship recruitment and development programme across our 3 Colleges and 22 Schools is one example on how we will fulfil this aim." Professor Jonathan Seckl, Vice Principal Planning, Resources and Research Policy

Overall, the scheme has been a successful in meeting the original aims and has:

- enhanced the REF submission;
- increased the number of international academics joining the University; and
- enhanced and enabled opportunities to foster interdisciplinary research.

Early indicators of success¹ are:

- **62% of appointees were from outside of the UK in both 2012 and 2013 cohorts**

¹ Data as at 7 May 2014

- 161 Chancellors Fellows were in post at the point of the REF submission and 160 were submitted.
- Chancellors Fellows have generated £9,294,520 research income from 67 grants awarded out of 187 applications made. The maximum award to date has been £1,139,911 (MVM).
- 25 Chancellor's Fellows have secured external fellowship funding wholly mitigating their salaries.
- A total of 789 articles have been published by 143 Chancellors Fellows ²
- 276 other items of esteem have been recorded (editorial activity, external engagement etc.) by 41 Chancellors Fellows.
- 101 Chancellors Fellows are carrying out Supervision of doctoral Students (Phd and Masters by Research) with 29 acting as Principal Supervisor to a total of 55 students.
- 38 Chancellors Fellows are acting as Personal Tutors to a total of 70 post graduate students / 250 under-graduates.
- 33 Chancellors Fellows are responsible for organising Postgraduate or Undergraduate courses.
- 2 Chancellors Fellows have been promoted to Reader, (CHSS and CMVM).
- Overall there is no significant overall gender pay gap in either 2012 or 2013 Chancellor's Fellows Cohorts.

3. Review of the Scheme Findings and Recommendations

The implementation of the Chancellor's Fellowship scheme, in addition to meeting its original aims, has been a valuable source of learning for the institution. The Project Team has successfully used this opportunity to look carefully at the support and CPD that we offer new academic staff and introduced several new approaches that have already become embedded and extended to all academic staff. We have also been able to identify a number of areas where practice and support could be usefully changed or further developed. The scale of recruitment has also afforded the university an opportunity to statistically analyse the recruitment and reward of a specific cohort of staff to inform institutional learning.

The Chancellor's Fellows' progress and impact will continue to be monitored by University HR Services Resourcing and Reward teams and reported annually to the Vice Principal Planning, Resources and Research Policy. Using University BI Systems and an annual on-line survey of Chancellors Fellows, the University will be able to track progression, equal pay, publications/outputs, research income, supervision, teaching and other activities.

The insights presented in this paper, are grouped under the People Strategy 2012-2016 themes of **Attract, reward and retain the best talent from across the world** and **Develop People – Fostering a successful, interactive research community** in the tables below which summarise actions already taken and further recommendations to enhance the positive impact of the scheme.

The content is drawn from the IAD / HR project to support the scheme; discussions with and feedback from Chancellor's Fellows; and discussions with Heads of Schools and School Administrators from the three Colleges.

² Data held in PURE and it is possible that there will be research outputs or activities carried out by Chancellor's Fellows that have not been recorded.

5.1 FINDINGS: Attract, Reward and Retain the best talent from across the world		Annex A –Ref No
Nationality	<p>One of the main drivers for the Chancellor’s Fellowship recruitment initiative was to contribute towards the internationalisation of the staff profile. In both 2012 and 2013, 62% of appointments were of non UK nationals.</p> <p>Since the 2013 recruitment campaign the University has been advertising all academic posts on www.globalacademyjobs.com and www.unijobs.com which are international focussed jobs boards. Once the 2014 campaign is complete University HR Services will analyse where the successful applicants heard about the vacancy to inform media choices for future similar advertising campaigns.</p>	Chart 1 & 2
Gender & Ethnicity	<p>More males than females responded to the 2012 Chancellor’s Fellow advertisement and the proportion of white applicants is much higher. These application rates are reflected in the gender and ethnicity distribution of appointments which are not statistically significantly different ($p>0.1$) from the application distributions.</p> <p>The data do not provide evidence to conclude that there was any consistent gender or ethnicity imbalance during the selection process at shortlist and interview stage. Similarly, the statistical information illustrated above does not show differences in the rates of acceptance/declining by gender.</p> <p>University HR Services identified and agreed with Jonathan Seckl, Vice Principal Planning, Resources and Research Policy, a revised marketing approach for the 2014 cohort of Chancellor’s Fellowship vacancies to address the gender imbalance at application stage.</p> <p>The overall aspiration for Chancellor’s Fellowship recruitment would be to achieve a 50:50 proportion in the number of males and females applying to the positions, to increase the number of BME (Black and Ethnic Minority) applicants and appointments, and to maintain the international proportions at current levels.</p> <p>Analysis of 2014 recruitment exercise will take place once all appointments are made and will evidence whether these interventions have been effective in redressing the balance of women applying for Chancellor’s Fellowship Appointments.</p>	Tables 1,2 & 3
Equal Pay	Overall there is no significant overall gender pay gap in either 2012 or 2013 Chancellor’s Fellows Cohorts.	Table 4
Retention	<p>A Chancellor’s Fellow will have a Formal Fellowship Review at the end of the third year of their Fellowship. A successful review results in a change from a fixed-term to an open-ended contract. However, if a Chancellor’s Fellow is under-performing, their manager must follow the Capability Process– the fixed-term reason code is not sufficient for a fair dismissal at the end of five years.</p> <p>The Formal Fellowship Review at 3 years provides the framework for effective objective setting and transparency of indicators of success and ensures monitoring of outputs and contribution. (E.g. It is expected that each Chancellors Fellow achieves at least one grant application per annum.) However, it also presents a risk that the University will lose highly talented international academic staff to other institutions as a result of the 3 Year Review. Many Chancellor’s Fellows</p>	

	<p>received more than one job offer and are very employable. Perceived risks around job security could result in people leaving to take up open-ended contracts elsewhere. We have been successful in attracting talented applicants but retaining talented staff is as important therefore it is important that the Chancellors Fellows Line Managers Guidance is followed.</p> <p>A paper has been submitted to the Academic Progression Review Task Group to ensure the Chancellors Fellow 3 Year review integrates with other HR related processes including probation review, annual review and that any learning from the Chancellors Fellowship project is transferred.</p>
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5.2 RECOMMENDATIONS - Attract, Reward and Retain the best talent from Across the World

5.2.1 Assess and, where successful, introduce new approaches to increase the number of academic applications from women and BME groups. These include targeted web and social media advertising to attract relevant ‘passive’ candidates. **[UHRS Resourcing]**

5.2.2 Continue the ability to ring fence funding if an ideal candidate cannot be found in the first round of recruitment would also be beneficial, but the impact on financial planning will be assessed **[Vice Principal for Planning Resources and Research Policy]**

5.3 FINDINGS: Develop People – Fostering a successful, interactive research community

Induction and Networks:	<ul style="list-style-type: none"> Established the importance of providing ‘little and often’ networking opportunities to establish cross-institution networks from induction onwards. Informal, social events are well received, particularly for new international staff University Welcome Day for new Research and Academic Staff helps new people find their feet but also make connections outside their department
Interdisciplinary Research	<ul style="list-style-type: none"> Managing staff undertaking interdisciplinary research is challenging for academics and Schools/Institutes within the University structures. It can be challenging to find funding for small pilot interdisciplinary research projects and larger grants and therefore appointed Chancellors Fellows should demonstrate capacity and experience in this area. Colleges to consider. There may be a tension between the need to produce grants and outputs versus the longer-term scale of the most imaginative research and of interdisciplinarity but this is too early to assess.
CPD	<ul style="list-style-type: none"> A standard ‘one-size fits all’ development programme is not appropriate. We need to encourage our people to think more strategically about their career development and consider how to best use the support provided by the University to achieve this. Ideally, decisions over which development opportunities are most relevant should be explored as part of an individual’s annual review.

5.4 RECOMMENDATIONS: Develop People – Fostering a successful, interactive research community

5.4.1 Line Managers and Schools to clearly articulate to the Chancellor’s Fellows the workload requirements and indicators for success (in research, teaching, leadership and external engagement) at an individual level as part of probation and annual review which should be aligned to the University norms. **[CF Line Managers]**.

5.4.2 Line Managers and Schools to clearly articulate the importance and value of teaching as a fundamental part of a Chancellor’s Fellowship and an academic role. [CF Line Managers]
5.4.3 Senior colleagues to support and promote effective induction initiatives under the University HR Services People Plan. [Heads of College, Heads of School, CF Line Managers]
5.4.4 IAD to consider new approaches to supporting networks within the University which are more inclusive to all academic staff. [Institute for Academic Development]
5.4.5 Senior colleagues to support the University People Strategy themes to <i>‘Promote, champion and support transformational leadership and management’</i> and <i>‘Develop People’</i> including the initiatives underpinning these. [Heads of College, Heads of School, CF Line Managers]
5.4.6 Establish more effective processes for identifying potential collaborators and offer more support for interdisciplinary networks. [Institute for Academic Development, with support from Heads of College where appropriate]

4. Conclusion

To date the Chancellor’s Fellowship Scheme has evidenced itself to be a success in meeting its original aims and this will continue to be monitored during the period the scheme runs. In addition, with the implementation of the recommendations outlined above the scheme can be enhanced and where appropriate institutional learning transferred to similar or related projects.

Anna Edgar

Senior HR Partner-Resourcing, University HR Services

23 May 2014

Annex A – Data Tables

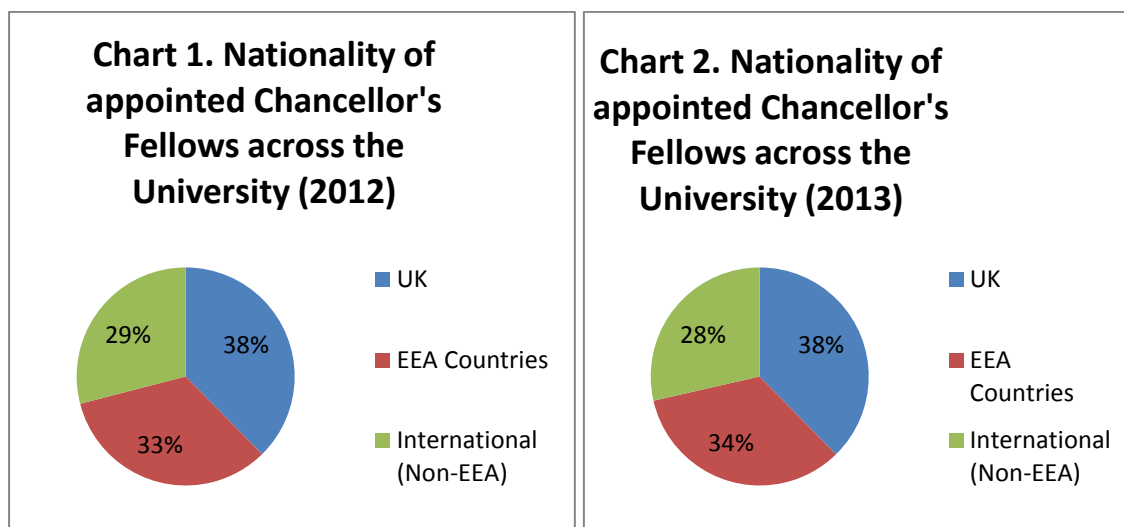


Table 1. Total Applications Received, Application Shortlisted and Success Rates by Gender (*)			
	Female	Male	Total
Applications Received			
Number of Applications	1218	2409	3681
Gender Distribution of Applications	33%	65%	
Applications Shortlisted for Interview			
Number of Shortlisted Applications	104	224	333
Gender Distribution of Shortlisted Applications	31%	67%	
Success Rates			
Number of Appointments	30	60	90
Gender Distribution of Appointments	33%	66%	
Offers			
Number of Made	36	73	109
Number of Offers Accepted	30	60	90
Number of Rejected Offers	6	13	19
% of Offers Rejected	16%	18%	17%

Table 2. Grade of Appointment by Gender*			
Grade	Female	Male	Total
UE07	5	2	7
UE08	20	52	72

UE09	5	6	11
Total	30	60	90

Table 3. Applications Received, Application Shortlisted and Success Rates by Ethnicity(*)					
	White	BME	Other	Info refused	Total
Applications Received					
Number of Applications	2635	741	182	123	3680
Ethnicity composition of Applications	72%	20%	5%	3.3%	100%
Applications Shortlisted for Interview					
Number of Shortlisted Applications	257	53	11	16	337
Ethnicity composition of Shortlisted Applications	76%	16%	3%	5%	100%
Success Rates					
Number of Appointments	73	13	4	0	90
Ethnicity composition of Appointments	81%	14%	4.4%	n/a	100%

(*) The School of Physics and Astronomy could not be included in this report, as data on the shortlisting process in the School for 2012 Chancellor's Fellowship Recruitment is not available

Table 4. Summary of overall Average and Median Annual Salary 2012 Cohort					
Headcount		Average Salary		Pay Gap	
Female	Male	Female	Male	Pay Gap (£)	Pay Gap (%)
30	60	£42,184	£42,284	£100	0.24%
Median Salary					
		Female	Male	Pay Gap (£)	Pay Gap (%)
		£41,859	£41,859	N/A	N/A

Table 5: Summary: Average & Median Annual Salary 2013					
Headcount		Average Salary		Pay Gap	
Female	Male	Female	Male	Pay Gap (£)	Pay Gap (%)
25	51	£41,007	£42,236	£1,229	2.91%
Median Salary					
		Female	Male	Pay Gap (£)	Pay Gap (%)
		£40,046	£41,242	£1,196	2.90%

The University of Edinburgh

The University Court

23 June 2014

Remuneration Committee: Framework for Decision Making

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

The attached paper sets out a framework for decision making for the University Remuneration Committee. The framework responds to guidance in the Scottish Code of Good HE Governance on the role of the Remuneration Committee and reflects the 'governance compliance plus' approach being adopted by the University in respect of the Scottish Code of Good HE Governance.

Once agreed, the framework document will be the key procedural document for the Remuneration Committee and will be published to the University website.

This paper has been considered and approved by the Remuneration Committee.

Action requested

University Court is asked to approve the Remuneration Committee Framework.

Resource implications

There are no direct resource implications associated with this paper.

Risk assessment

The policy describes and formalises existing practise in the management of remuneration of the University's Senior Management and as such as is not expected to introduce any new risk.

Failure to adopt a formal framework for Remuneration Committee decision making would be a breach of the Scottish Code of Good Higher Education Governance.

Equality and diversity

No Equality Impact Assessment has been completed for the proposed framework. It is expected that the robust, evidence based approach to the management of remuneration described here will impact positively on the fairness and equity of employee reward decisions.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Martyn Peggie
Senior HR/OD Partner - Reward & Systems
University Human Resource Services

10 June 2014

To be presented by

Professor Stuart Monro
Convener, Remuneration Committee

Remuneration Committee: Framework for Decision Making

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1. Governance

- 1.1. Main Principal 15 of the Scottish code of Good HE Governance¹ provides the following guidance on the role of the Remuneration Committee:

The governing body shall establish a remuneration committee to determine and review the salaries, terms and conditions (and, where appropriate, severance payments) of the Principal and such other members of staff as the governing body deems appropriate. The policies and processes used by the remuneration committee shall be determined by the governing body, and the committee’s reports to the governing body shall provide sufficient detail to enable the governing body to satisfy itself that the decisions made have been compliant with its policies.

¹ <http://www.scottishuniversitygovernance.ac.uk/wp-content/uploads/2013/07/Scottish-Code-of-Good-HE-Governance.pdf>

- 1.2. The terms of reference ² for the University of Edinburgh Remuneration Committee define the committee's purpose as follows:

To advise Court and oversee the preparation of policies and procedures in respect of salaries, emoluments and conditions of service including severance arrangements for the University's senior management including the Principal and those at professorial or equivalent level and to keep these under review. To approve, in line with these Court approved policies and procedures, the total remuneration package for the Principal, those senior staff reporting directly to the Principal, and, as appropriate, Professorial and equivalent staff.

2. Policy

- 2.1. The policy relating to senior pay, i.e. staff in Grade 10 and equivalent, is the responsibility of the Remuneration Committee. The Remuneration Committee's remit is one of governance, i.e. ensuring that the University has appropriate policies in place, which meet legal responsibilities which are consistent with, and supportive of, the institution's strategic plan, and that these policies are properly implemented.
- 2.2. When considering pay policy for Grade 10 staff (professorial and non-professorial) the Remuneration Committee has the benefit of an independent observer, with particular expertise in equal pay matters, who prepares an annual report for the Court, for the HR Director, and for the Combined Joint Consultative and Negotiating Committee (CJCNC).
- 2.3. This paper describes the framework by which the Remuneration Committee makes decisions on the remuneration of the senior staff of the University. Through which they ensure the reward of senior staff is fair, equitable and responsive in a highly competitive market.

3. Principles

- 3.1. The principles underpinning the framework for senior pay decision making are:
 - To ensure a transparent process.
 - To ensure that the process reflects robust equality practice.
 - To ensure that the process takes account of the quality and standing of the University of Edinburgh and to acknowledge that this quality and standing sets normal expectations of sustained high impact contribution from its senior staff.
 - To describe and review the kinds of indicators that are used to identify sustained excellence beyond this expected level.
 - To make use of appropriate comparative information on employee remuneration from established independent sources.

² [Insert link to Terms of Reference once finalised](#)

4. The Remuneration of the Principal and Vice-Chancellor

- 4.1. Remuneration Committee are responsible for the review and approval of the remuneration of the University Principal.
- 4.2. In determining the remuneration of the Principal consideration should be made of established independent sources of benchmark reward data for roles in comparable organisations.
- 4.3. The performance of the Principal is considered as part of his/her Annual Review completed by the Vice-Convener of Court and based on a commentary of the work plan for the previous year and the plan for the next year. In preparation for the annual review process the Vice-Convener should take into account the views of Court Members. The review of the Principal's performance may also draw on 360 degree feedback.
- 4.4. Following these discussions and the annual review meeting the Vice-Convener will discuss the outcomes with Remuneration Committee. The Principal will not be present for this discussion and Remuneration Committee will then take cognisance of the outcome of the annual review when making a recommendation on salary.

5. The Remuneration of the Senior Management Team

- 5.1. The Senior Management Team is for these purposes defined as those senior staff who report directly to the Principal or Senior Vice Principal and any other senior staff who may from time to time be agreed by the Committee to be included in its considerations.
- 5.2. Remuneration Committee are responsible for the review and approval of the remuneration of the University Senior Management Team. Cases for review are normally proposed by the Principal or the Senior Vice Principal for their direct reports.
- 5.3. The performance of Senior Team members is considered as part of their Annual Review. The outcomes of this review will inform any proposal to Remuneration Committee from the Principal or Senior Vice Principal.
- 5.4. In reviewing the remuneration of the Senior Management Team consideration should be made of established independent sources of benchmark remuneration data for roles in comparable organisations.

6. The Remuneration of Professorial Staff

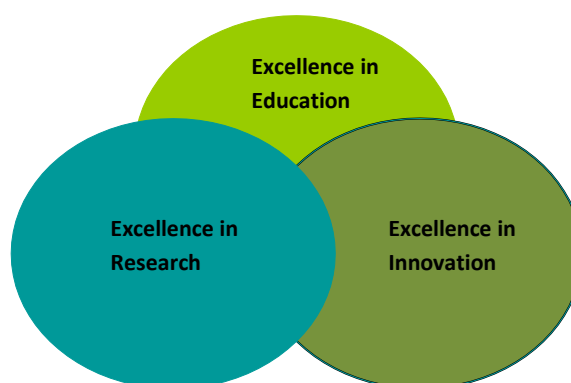
6.1. Professorial Staff Salaries - Appointment

- 6.2. To be appointed as professors, individuals must have an established international reputation and be major contributors to the institution. This is reflected in appointment criteria and embodied in the generic grade profile which sets out the role expectations for the grade.
- 6.3. Starting salaries for individuals appointed as professors must be considered with reference to robust independent external benchmark data on salaries in comparable institutions and should consider internal salary relativities. Care must be taken to ensure pay decisions are fair and equitable and consideration should be given to the impact of any salary decisions on gender pay.
- 6.4. Salaries for Professors of less than £110,000 per annum can be authorized by the Principal or, in his/her absence by an agreed deputy, but must be reported to Remuneration Committee.

6.5. Salaries for Professors of £110,000 per annum or more can only be authorized by the Remuneration Committee.

6.6. Professorial Staff Salaries – Contribution

6.7. It is expected that all professors will sustain a contribution at a level commensurate with their role and that this contribution will support the University's strategic goals. The nature of the impact of professors on their discipline and the institution will vary, depending on three overlapping areas (see diagram below). Success in any of these areas would bring reputational and/or commercial advantage to the University, whether directly or indirectly, and each also reflects the University's core strategic goals.



6.8. Exceptional contribution is assessed by reviewing the impact of individual contribution within the 'Parameters of Excellence' identified in the Grade 10 review guide.³

6.9. Professorial staff will have their salary level reviewed every year. The assessment of their excellence will be evidence based and will draw on the outcome of the last recorded Annual Review, supplemented by other relevant evidence of performance. Professors will also be expected to provide an up to date curriculum vitae and a brief note highlighting changes and particular achievements.

6.10. A full guide to the annual review of Grade 10 Professorial Staff is published on the University Website⁴.

6.11. When reviewing contribution of professorial staff Heads of School are also asked to review internal and external comparator salary data and to give appropriate consideration to the equality impact of their decisions.

6.12. Outcomes of the annual Grade 10 review process are reported to Remuneration Committee.

³ <http://www.ed.ac.uk/schools-departments/human-resources/pay-reward/contribution/grade-ten-review>

⁴ http://www.docs.csg.ed.ac.uk/HumanResources/Grade10/Grade10_Professorial_Guide_2014_.pdf

7. The Remuneration of Grade 10 Professional Staff

7.1. Grade 10 Professional Staff Salaries - Appointment

- 7.1.1. To be appointed to posts at this level, individuals must have an established track record in their area of responsibility and are expected to be major contributors to the institution. This is reflected in appointment criteria and embodied in the generic grade profile for Grade 10 which sets out the role expectations for the grade.
- 7.1.2. Starting salaries must be considered with reference to robust independent external benchmark data on salaries in comparable institutions and should consider internal salary relativities. Care must be taken to ensure pay decisions are fair and equitable and consideration should be given to the impact of the salary decisions on gender pay.
- 7.1.3. Salaries for professional staff of less than £110,000 per annum can be authorized by the Principal or, in his/her absence by an agreed deputy, but must be reported to Remuneration Committee.
- 7.1.4. Salaries for professional staff of £110,000 per annum or more can only be authorized by the Remuneration Committee.

7.2. Grade 10 Professional Staff Salaries – Contribution

- 7.2.1. Once appointed, the impact of these staff on the success of the institution will vary, depending on their own performance and that of those they lead, in particular in relation to relevant goals and priorities for the University. It is expected that all staff in Grade 10 roles will sustain their contribution at a level commensurate with the role.
- 7.2.2. In senior roles such as these, the key success factors will most likely be those which impact, directly or indirectly, on the University Strategic Goals and/or Strategic Themes. College and Support Group plans are also relevant and contain more detail; the key point is that, for posts at this level, it should be possible to demonstrate the links with organisational goals and objectives with some ease.
- 7.2.3. Grade 10 professional staff will have their salary level reviewed every year. The assessment of their excellence will be evidence based and will draw on the outcome of the last recorded Annual Review, supplemented by other relevant evidence of performance. Grade 10 Professionals will also be expected to provide an up to date curriculum vitae and a brief note highlighting changes and particular achievements.
- 7.2.4. A full guide to the annual review of Grade 10 Professional Staff is published on the University Website⁵.
- 7.2.5. Outcomes of the annual Grade 10 review process are reported to Remuneration Committee.

8. Document History

- Document is currently draft - last Updated 29th May 2015

⁵ http://www.docs.csg.ed.ac.uk/HumanResources/Grade10/Grade10_Guide_2014_.pdf

University of Edinburgh

The University Court

23 June 2014

Scottish Code of Good HE Governance: Report from the Court Sub-Group

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

At its last meeting Court approved a number of proposals from the Court Sub-Group established to consider the implementation of the Scottish Code of Good Higher Education Governance including in particular a revised Committee structure. The attached paper, approved by the Court Sub-Group provides assurances to Court on the University's compliance with the 18 Principles as set out in the Code and completes the work of the Court Sub-Group.

2014/2015 will be a transitional year, work will continue to amend the terms of reference of the Thematic Committees and Court is asked to confirm that it is content that these revised terms of reference be approved by the appropriate Standing Committee. During 2014/2015 it is also anticipated that there may be amendments to the Standing Committees terms of reference and there will be work to revise the current delegated authorisation schedule to reflect the new Committee structure.

There had also been discussion on the Health and Safety Committee. Following further consideration, Court is asked to approve the proposal that the Health and Safety Committee should continue to report to the CMG to ensure management actions can be implemented but with information being presented on a routine basis to the Audit and Risk Committee to enable it to provide assurances to Court on the internal environment. Papers from the Health and Safety Committee will be available on the Court wiki and consideration is also being given to including Health and Safety as a standing item at each Court meeting.

Action requested

Court is invited to note and comment on the attached compliance document, approve the arrangements for approving the terms of reference of Thematic Committees and approve the approach in taking forward the reporting arrangements of the Health and Safety Committee.

Resource implications

Further work will be undertaken from within existing resources.

Risk Assessment

Compliance of the Code is anticipated to be a requirement of funding from the Scottish Funding Council.

Equality and Diversity

The proposals take due account of equality and diversity considerations. Court (and Committee) papers will continue to ask whether due consideration has been given to the equality impact.

Freedom of Information

Can this paper be included in open business? Yes

Originator of the paper

Dr Katherine Novosel
Ms Fiona Boyd
Dr Deborah Cook
Mr Jamie Tait
June 2014

To be presented by

Ms S Smith
University Secretary

SCOTTISH CODE OF GOOD HE GOVERNANCE – COMPLIANCE POSITION

Summary

The Scottish Code of Good HE Governance was published on July 2013. The University at that time, already largely complied with the Principles of the Scottish Code of Good Higher Education Governance. In May 2013 Court set up a Sub-Group to consider the implications of the Code and through this Sub-Group work has already been completed to ensure compliance (such as documenting the role of the Vice-Convenor). By 1 August 2014, the University will comply with all of the main principles (please see Table 1 below). Work has also been undertaken to address some of the supporting guidelines, and this is included under the relevant Principle in the below table.

Table 1: Detail of compliance

Principles	Detail of compliance
<p>1. Governing body. Every Higher Education Institution shall be headed by an effective governing body, which is unambiguously and collectively responsible for overseeing the Institution's activities. In discharging its responsibilities it shall:</p> <ul style="list-style-type: none"> • ensure the Institution's long-term sustainability; • conduct its affairs according to specified ethical standards; • have due regard to the interests of its stakeholders and the wider public; • determine the Institution's future direction and set the Institutional values; • ensure the protection of the academic freedom of relevant staff in compliance with relevant legislation and its own governing instruments; • ensure that it observes good practice in regard to equality and diversity; • foster a suitable environment whereby knowledge may be advanced and the potential of learners fulfilled; and • take all final decisions on matters of fundamental concern to the Institution. 	<p>Compliant at July 2013.</p> <p>Opportunity taken to finesse the University Court's Statement of Primary Responsibilities and list of reserved items for Court to fully reflect responsibilities detailed under this Principle (approved 12 May 2014).</p>
<p>2. Legal obligations. The governing body shall ensure compliance with the governing instruments of the Institution, as well as other appropriate legal obligations including any arising in connection with its charitable status.</p>	<p>Compliant at July 2013.</p> <p>In February 2014, the University appointed a Director of Legal Services, which will provide further enhancement.</p>
<p>3. Conduct of members. The governing body and its individual members shall at all times</p>	<p>Compliant at July 2013</p>

Principles	Detail of compliance
<p>conduct themselves in accordance with accepted standards of behaviour in public life which embrace selflessness, integrity, objectivity, accountability, openness, honesty and leadership.</p>	
<p>4. Frequency of meetings. The governing body shall meet sufficiently regularly and not less than four times a year, in order to discharge its duties effectively. Members of the governing body shall attend its meetings regularly and actively participate in its proceedings.</p>	<p>Compliant at July 2013.</p> <p>Supported by refreshed Standing Orders of Court and a new Exceptions Committee of Court enabling Court to take decisions more speedily between Court meetings (approved 12 May 2014).</p>
<p>5. Statement of Primary Responsibilities. The governing body shall adopt a Statement of Primary Responsibilities which shall include provisions relating to:</p> <ul style="list-style-type: none"> • approving the mission and strategic vision of the Institution, long-term business plans, key performance indicators (KPIs) and annual budgets, and ensuring that these have due regard to the interests of stakeholders; • appointing the Head of the Institution (the Principal) as chief executive officer of the Institution and putting in place suitable arrangements for monitoring his/her performance. Both the appointment and the monitoring of performance of the Principal shall include consultation with all members of the governing body; • ensuring the quality of Institutional education provision; • ensuring adherence to the funding requirements specified by the Scottish Funding Council; • ensuring the establishment and monitoring of systems of control and accountability, including financial and operational controls and risk assessment, clear procedures for handling internal grievances and “whistleblowing” complaints, and for managing conflicts of interest; and • monitoring institutional performance against plans and approved KPIs which, where possible and appropriate, should be benchmarked against other comparable institutions. <p>This Statement shall be published widely, including in the Annual Report and on the Institution’s website, along with identification of key individuals (chair, vice-chair (if any), Principal, chairs of key committees, other members and senior officers) and a broad summary of the responsibilities that the governing body delegates to management and also</p>	<p>Statement of Primary Responsibilities refreshed and approved on 12 May 2014 to fully reflect the responsibilities detailed in this Principle.</p> <p>Arrangements to appoint the Principal and the University Secretary and on the performance of both the Principal and the Vice-Convenor of Court were also approved on 12 May 2014.</p> <p>To fulfil the supporting guidelines under this principle, a new Audit and Risk Committee will be set up.</p> <p>Court Committee structures reviewed and a new structure will be implemented from 1 August 2014.</p>

Principles	Detail of compliance
those responsibilities which are derived directly from the instruments of governance.	
<p>6. Responsibility of members. All members shall exercise their responsibilities in the interests of the Institution as a whole rather than as a representative of any constituency. The Institution shall maintain and publicly disclose a current register of interests of members of the governing body on its website.</p>	<p>Compliant at July 2013.</p> <p>Addressing supporting guidelines, a refreshed letter of appointment for Members of Court was approved in 2014.</p>
<p>7. The Chair. The chair shall be responsible for the leadership of the governing body, and be ultimately responsible for its effectiveness. The chair shall ensure the Institution is well connected with its stakeholders, including staff and students.</p>	<p>Compliant at July 2013.</p> <p>Opportunity taken to clarify the roles of Vice-Convener of Court and Rector, including a job description for the Vice-Convener approved in 2013 and amended Standing Orders (approved 12 May 2014).</p> <p>Support for Vice-Convener of Court enhanced through an agreed performance review process (12 May 2014).</p>
<p>8. The Head of the Institution. The Principal shall be responsible for providing the governing body with advice on the strategic direction of the Institution and for its management, and shall be the designated officer in respect of the use of Scottish Funding Council funds and compliance with that Funding Council's Financial Memorandum. The Principal shall be accountable to the governing body which shall make clear, and regularly review, the authority delegated to him/her as chief executive, having regard also to that conferred directly by the instruments of governance of the Institution.</p>	<p>Compliant at July 2013.</p> <p>Items delegated to the Principal refreshed and brought up to date (approved 12 May 2014).</p>
<p>9. Governing body members. There shall be a balance of skills and experience among members sufficient to enable the governing body to meet its primary responsibilities and to ensure stakeholder confidence. The governing body shall draw up and make public a full evaluation of the balance of skills, attributes and experience required for membership of the governing body, which shall inform the recruitment of independent members of the governing body. The membership of the governing body shall be regularly assessed against this evaluation. The governing body having due regard to applicable law shall establish</p>	<p>A number of enhancements have been made during 2013/14 to achieve compliance:</p> <ul style="list-style-type: none"> • approved job description for Co-opted Members of Court. • Skills audit for members of Court. • Revised letter of appointment for Court Members. • University Court Equality and Diversity Policy.

Principles	Detail of compliance
<p>appropriate goals and policies in regard to the balance of its independent members in terms of equality and diversity, and regularly review its performance against those established goals and policies.</p>	
<p>10. Governing body members. The governing body shall have a clear majority of independent members, defined as both external and independent of the Institution. A governing body of no more than 25 members represents a benchmark of good practice.</p>	<p>Compliant at July 2013.</p>
<p>11. Governing body members. Appointments of the chair, and of members appointed by the governing body, shall be managed by a nominations committee, normally chaired by the chair of the governing body (except where the committee is managing the appointment of the chair's successor) and which includes at least one appointed staff (that is a member of staff of the institution who has been elected or nominated and as a result services on the governing body) and one student member of the governing body. To ensure rigorous and transparent procedures, the nominations committee shall prepare and publish written descriptions of the role and the capabilities desirable in a new member, based on a full evaluation of the balance of skills and experience of the governing body. When selecting a new chair, a full job specification including a description of the attributes and skills required, an assessment of the time commitment expected and the need for availability at unexpected times shall be produced. In developing such a job description arrangements shall be put in place to consult staff and students before it is finalised. The selection process shall include a formal interview of short-listed candidates. When vacancies arise in the position of the chair or in any of the members appointed by the governing body they shall be widely publicised both within and outside the Institution. In doing so, specific reference should be made to the evaluation referred to at Principle 9 and also to the desirability of ensuring the diversity of the governing body's membership.</p>	<p>Largely compliant at July 2013, improvements made during 2013/14 include:</p> <ul style="list-style-type: none"> • Job Descriptions for Vice Convener of Court and Co-opted Members of Court (including consultation with staff and students on the Vice-Convener role). • Recruitment process used to recruit 2 new Co-opted Members of Court and Vice-Convener of Court in 2014. • Student Member of Court is now a member of the Nominations Committee.
<p>12. Induction. The chair shall ensure that new members receive a full induction on joining the governing body, that thereafter opportunities for further development for all members are provided regularly in accordance with their individual needs, and that appropriate financial provision is made to support such training in accordance with criteria determined by the governing body. In its Institution's Annual Report the governing body shall report the details</p>	<p>Compliant at July 2013, Learning and induction opportunities reviewed and enhanced during 2013/14.</p>

Principles	Detail of compliance
of the training made available to members during the year to which such Report relates.	
<p>13. The Secretary. The secretary to the governing body shall be responsible for ensuring compliance with all procedures and ensuring that papers are supplied to members in a timely manner containing such information, and in such form and of such quality, as is appropriate to enable the governing body to discharge its duties. All members shall have access to the advice and services of the secretary to the governing body, and the appointment and removal of the secretary shall be a decision of the governing body as a whole.</p>	<p>Compliant at July 2013.</p> <p>Opportunity taken to agree changes to presentation of papers and agendas and to codify the appointment process for the University Secretary in 2013/14.</p>
<p>14. Conduct of meetings. The proceedings of the governing body shall be conducted in an appropriately transparent manner, with information and papers published quickly and fully, except when matters of confidentiality relating to individuals, the wider interest of the Institution or the public interest demands, including the observance of contractual obligations. The governing body shall also ensure that the Institution has in place appropriate arrangements for engaging with the public and the wider communities which it serves.</p>	<p>Compliant at July 2013.</p> <p>Review undertaken of existing arrangements during 2013/14 and suggestions to boost this further will be implemented, such as Court news articles in staff and student internal communications and pilot external engagement event.</p>
<p>15. Remuneration. The governing body shall establish a remuneration committee to determine and review the salaries, terms and conditions (and, where appropriate, severance payments) of the Principal and such other members of staff as the governing body deems appropriate. The policies and processes used by the remuneration committee shall be determined by the governing body, and the committee's reports to the governing body shall provide sufficient detail to enable the governing body to satisfy itself that the decisions made have been compliant with its policies.</p>	<p>Largely compliant at July 2013.</p> <p>Membership of the Remuneration Committee amended to take effect from 1 August 2014.</p> <p>It is intended that the Remuneration Committee policies and procedures will be approved by Court in June 2014.</p>
<p>16. Effectiveness. The governing body shall keep its effectiveness under annual review. Normally not less than every five years, it shall undertake an externally-facilitated evaluation of its own effectiveness, and that of its committees, and ensure that a parallel review is undertaken of the senate/academic board and its committees. Effectiveness shall be assessed both against the Statement of Primary Responsibilities and compliance with this Code. The governing body shall, where necessary, revise its structure or processes, and</p>	<p>Compliant at July 2013</p> <p>On 12 May 2014, the Court agreed to hold an external-facilitated effectiveness review in 2015/16. The methodology for the review will address the points articulated in this Principle.</p>

Principles	Detail of compliance
shall require the senate/academic board of its Institution to revise its structure and processes, accordingly.	
<p>17. Effectiveness. The governing body shall reflect annually on the performance of the Institution as a whole in meeting long-term strategic objectives and short-term KPIs. Where possible, the governing body shall benchmark institutional performance against the KPIs of other comparable institutions.</p>	Compliant at July 2013.
<p>18. Effectiveness. The results of effectiveness reviews, as well as of the Institution's annual performance against KPIs and its progress towards meeting its strategic objectives, shall be published widely, including on the Institution's website and in its Annual Report.</p>	<p>Largely compliant at July 2013.</p> <p>Dissemination of results of effectiveness review as envisaged by the Principle will be taken forward during the next effectiveness review.</p>

The University of Edinburgh

The University Court

23 June 2014

Audit Committee Report

C11

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 29 May 2014.

Action requested

The Court is invited to note the draft Minute and approve the External Audit Fees for 2013/2014.

Resource implications

The resource implications are detailed in the paper.

Risk assessment

Internal Audit reports are 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. However Appendix 3 should remain closed as disclosure would substantially prejudice the commercial interests of any person or organisation.

Originator of the paper

Dr Deborah Cook
May 2014

To be presented by

Dr A Richards
Convener, Audit Committee

**Minute of the Meeting of the Audit Committee
held at 5.00pm, on 29 May 2014
in the Lord Provost Elder Room, Old College**

Present: Ms A Richards (Convener)
Mr P Budd
Mr A Johnston
Mrs E Noad via conference call
Mr M Sinclair
Mr A Trotter

In attendance: University Secretary Ms S Smith
Vice-Principal Mr N Paul, Director of Corporate Services
Mr H Edmiston, College Registrar, College of Medicine and Veterinary
Medicine
Mr P McNaull, Director of Finance
Mr D Kyles, Chief Internal Auditor (from June 2014)
Ms L Paterson, PWC External Auditor
Mr M Timar, PWC External Auditor
Vice-Principal Professor Haywood (for items 7-9)
Ms K Chrichton, Senior Internal Auditor
Ms E Welch, Assistant Director of Finance
Dr D Cook, Senior Strategic Planner

1 MINUTE OF THE MEETING HELD ON 27 FEBRUARY 2014 Paper A

The Minute of the meeting held on 27 February 2014 was approved as a correct record.

2 MATTERS ARISING

2.1 Next steps following investigation (closed) Paper B

This paper provided a preliminary assessment of the relevant control environments, with the investigation currently underway. The Committee noted this preliminary assessment, the internal controls that need to be strengthened, as well as the action plan for ensuring implementation. The current procedures and checks were discussed by the Committee.

2.2 Membership of Audit Committee

It was the last Audit Committee meeting of three existing members: Dr Anne Richards, Mrs Elaine Noad and Mr Alan Trotter. Following these changes, the Nominations Committee had met on 28 of May to consider the membership and will put forward proposals for approval at the June University Court meeting.

FOR DISCUSSION

3 REPORT FROM RISK MANAGEMENT COMMITTEE Paper C

The Committee welcomed and noted the contents of this report.

**4 UNIVERSITY RISK APPETITE AND RISK REGISTER UPDATE Paper D
(CLOSED)**

There were no changes to the University Risk Appetite, since its recent approval by Court on 24 June 2013. The Risk Register had been developed with input from Audit Committee previously, Risk Management Committee and the Central Management Group.

The Committee discussed whether a risk to reputation constitutes a risk in its own right, noting that reputation is a dimension in the Risk Appetite, and is already identified where appropriate in the "Consequences" column. It was suggested that consideration be given to providing more prominence to the reputational impact of key risks, and suggested including a column in the risk register detailing the reputational impact of each risk. Further risks were suggested for possible inclusion: the implementation of the FRS102 project and the effect of the new accounting standards on the University's strategic plans. The Committee endorsed the University's Risk Appetite and Risk Register and observed that the matrix was very user-friendly.

**5 BUSINESS CONTINUITY AND CONTINGENCY PLANNING Paper E
ARRANGEMENTS**

The Committee thanked Vice-Principal Paul for this clear and useful paper. The Committee probed the arrangements for dealing with fire and collections, given the recent fire at the Glasgow School of Art. Other areas discussed included: the arrangements for keeping contacts up to date; responsibility for multi-occupancy buildings; and IT system back-ups and repositories. The Committee was assured that structures and processes were in place for contingency and business continuity planning.

**6 IMPLEMENTING NEW FINANCIAL ACCOUNTING REQUIREMENTS: Paper F
2014-17**

Audit Committee noted this project and its proposed action plan and observed that the University had already gone through similar change processes via the US GAAP conversion process. The Committee requested training on what was going to change, and why and on the key potential impacts.

INTERNAL AUDIT

7 INTERNAL AUDIT ANNUAL PLAN 2014-2015 (APPENDIX 1) Paper G

This paper set out the Internal Audit Plan, which had been developed in line with best practice and external requirements, and in consultation with senior management.

The Committee discussed the IT audits, the time allocated to these (versus benchmarks), and the general culture of IT security in the University and the difficulties of quantifying IT risks.

The Committee approved the comprehensive Internal Audit Plan (noting that there would be some reprioritisation) and agreed that the Plan should be transmitted to Court for information.

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

IT Contingency Planning:

It was noted that contingency arrangements are in place for IT services based on their priority. One recommendation was to establish code of practices for IT services that do not have one currently.

Disposal of Computer Equipment

With the University's Waste Electrical and Electronic Equipment (WEEE) contract scheduled for re-tender this year, it was a timely juncture to examine this area. No specific problems were identified during the audit, but a review of existing policy on the Reuse and Recycling of Computers was recommended.

New Complaints Handling Procedure

The new complaint handling procedure had been introduced in March 2014 as required by the Scottish Public Services Ombudsman. The Committee supported the audit recommendation to establish a protocol on recording of complaints where complaints are transferred between areas of the University, to ensure these are only counted once only.

European Investment Bank loan

Internal Audit is satisfied that the main requirements of the loan agreed in 2011 (25 year loan of £50M for part-funding agreed programme of capital projects) are being fulfilled and that arrangements are in place to ensure the loan repayments occur as scheduled. It was noted that there was a recommendation for a formal scheme of sub-delegation to authorise repayments.

Biomedical Research Resources

The Audit found that the Biomedical Research Resources (which provide animal research services and facilities for users in the College of Medicine and Veterinary Medicine), is a very well managed and organised department. In addition, the Committee were informed that recent reminders have been sent to all users about the need to complete the Experimental Request Form, as part of the control process.

School of Chemistry

The Committee discussed the health and safety recommendation contained within this report, which recommended that the Head of School re-iterates to all appropriate personnel the necessity of following the rules as set out and agreed by the School Health and Safety Committee. The Committee had a general discussion on health and safety, covering leadership, culture, training and the tackling of health and safety issues. The Committee asked that Health and Safety be included as a topic in the joint meeting with the Risk Management Committee.

The remaining Internal Audit assignments were noted.

The Committee invited the new Chief Internal Auditor to consider an overall rating for each Internal Audit Report.

77% of all recommendations were reported as actioned within timescale, this figure was slightly greater for high priority recommendations at 80%. The Committee

noted the upward trend since the February 2014 report and that further recommendations had been completed during May 2014. The Committee reiterated that CMG should consider a 90% aspirational target.

10 INTERNAL AUDIT PROGRESS REPORT Paper J

18 reviews had been completed as part of the 2013-14 Plan. 68% of the Plan had been achieved, this was less advanced compared to previous years due to a special investigation, and as such represents satisfactory progress.

11 INTERNAL AUDIT TERMS OF REFERENCE AND OPERATING FRAMEWORK (APPENDIX 2) Paper K

The Committee reviewed and approved the Terms of Reference and Operating Framework and agreed that these should be transmitted to Court for information. It was noted that from 1 August 2014 Internal Audit will operate from Student and Academic Services Group, whereas previously it had operated within the Corporate Services Group.

EXTERNAL AUDIT

12 EXTERNAL AUDIT – AUDIT PLAN (CLOSED) Paper L

The External Auditors confirmed their independence as External Auditors and that they will provide a statutory opinion on the consolidated financial statements of the University group and specific subsidiaries. As part of the audit the auditors will perform a review of key IT systems. In respect of fraud issues, the Committee identified that a robust approach was taken and controls were in place.

The Committee approved the proposed scope and approach of the audit and were comfortable with the audit risks highlighted on page 8 of the Audit Plan.

13 EXTERNAL AUDIT FEES (CLOSED) (APPENDIX 3) Paper M

The Committee endorsed the fee of £144,400 for the 2013/14 audit by PwC. The Committee recommend the fee to Court for approval.

14 EXTERNAL AUDIT PERFORMANCE REVIEW Paper N

This positive review was noted by the Committee.

FOR INFORMATION/FORMAL APPROVAL

15 SECTOR INTERNAL AUDIT PROCUREMENT FRAMEWORK Paper O

The Committee were informed that the Scottish Higher and Further Education procurement centre of expertise (APUC) has recently awarded a framework contract for Internal and External Audit, including for audit specialisms such as ICT. This framework contract could enable the University to buy-in any additional audit support required.

16 BRITISH UNIVERSITY DIRECTORS' GROUP (BUFDG) 2014 AUDIT SURVEY (CLOSED) Paper P

The External Auditors left the room for this item.

The contents of this survey based on data from the 2012/13 financial year were noted. The University's internal audit costs were favourable compared to the sector. It was identified that next year, it would be beneficial to have a one page summary at the start of the report, to illustrate how the University fares relative to the sector.

17 AUDIT COMMITTEE TERMS OF REFERENCE Paper Q

The External Auditors re-joined the meeting.

The Committee noted the terms of reference for the widened Audit and Risk Committees, which will come into effect from 1 August 2014.

18 DATES/SCHEDULE OF FUTURE MEETINGS Paper R

The provisional dates were noted by the Group. The University Secretary would email members to establish the best time of day to hold future meetings.

19 DATE OF NEXT MEETING

The next meeting will be held on Tuesday, 16 September 2014, this will be preceded by an induction and joint meeting with the Risk Management Committee.

20 ANY OTHER BUSINESS

The Committee thanked Dr Anne Richards for her able convenership of the Committee. The Convener on behalf of the Committee thanked Mrs Elaine Noad, Mr Alan Trotter and Vice-Principal Nigel Paul for their contributions to the Committee.

Internal Audit Plan 2014-15

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, such as the increasing number of large capital projects, information technology developments, and changes in expectations of students. Where audits identify potential improvements, 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. Additional resources allocated from 2012-13, supplemented by income from our commercial client, fund 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) bronze award in 2013.
- 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 Our approach to Internal Audit planning 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, first 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 seven 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 guidance¹ 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 assignments².
- 8 Concerning longer term planning, the HEFCE 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 2014/15

- 11 Appendix B sets out the proposed Internal Audit Plan for 2014-15, 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 to 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.

¹ The guidance is currently under review by HEFCE.

² This risk-based approach is supported by a cyclical programme of location based audits for schools, subsidiary companies etc.

15 As 'risk defined' 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 2014-15 Internal Audit Plan (Appendix B) consists of a *blend* of assignments (see paragraph 17 below).

Selection of planned audit reviews

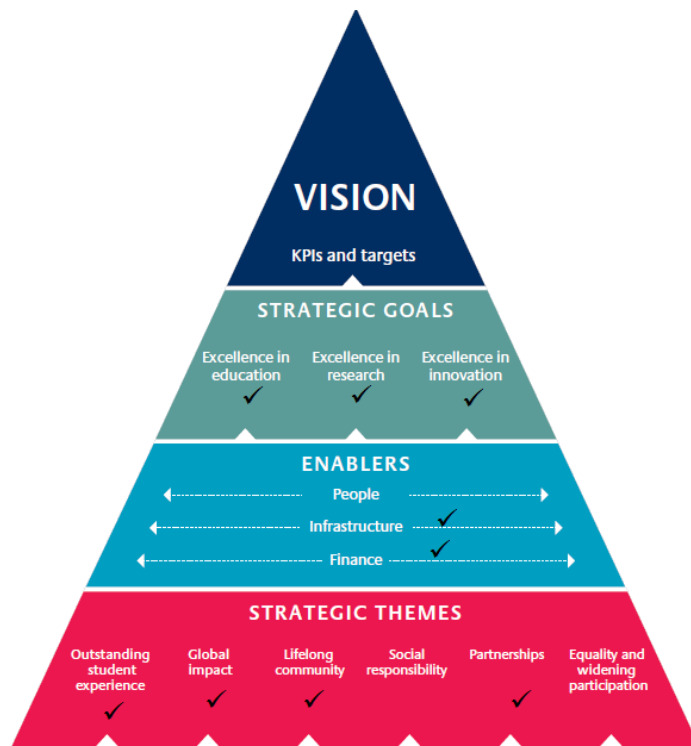
16 The audit planning model uses a risk-driven methodology, consistent with current best practice, and based upon a recognised scoring process (see Annex B to Appendix C).

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;
- Evaluation and identification of potential audits from emerging risks identified in the Colleges' and Support Groups' annual planning submissions; and
- 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 Internal Audit team 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. 22 of the 26 assignments proposed in the 2014-15 internal audit plan impact on the University Strategic Plan. The breadth of our coverage is illustrated in the diagram below).



20 The summary below illustrates the extent to which the proposed 2014-15 Internal Audit Plan covers risks on the formal risk registers. At the time of writing, the University risk registers were under review. We have therefore profiled the plan against the current registers. The 26 planned system/process-based and location-based audits shown in Appendix B together address 68 of the 120 risks (57%).

	UoE	CMVM	CSCE	CHSS	CSG	ISG	SASG	Total
Total risks on register	20	20	12	10	21	17	20	120
Risks addressed to some extent by 2014-15 Internal Audit Plan	12	13	7	6	11	7	12	68
As percentage	60%	65%	58%	60%	52%	41%	60%	57%

Staff Resources

21 We anticipate 855 staff and contractor days being available to deliver the University’s Internal Audit Plan for 2014-15. As in previous years, allowance has been made for annual leave, public holidays, sick leave contingency, professional update training and general administration.

22 From 2012-13 we secured an increase to our baseline operating budget to reflect the steady growth of the University and recent mergers. This increase allows us to continue to 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 2014-15 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.

Profile of Past Audit Coverage v Plan for 2014/15

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

	<u>2008/09</u>	<u>2009/10</u>	<u>2010/11</u>	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>	2014/15
	Actual	Actual	Actual	Actual	Actual	Forecast	(Planned)
<u>Audit Planning System/Activity</u>	<u>%</u>	<u>%</u>	<u>%</u>	<u>%</u>	<u>%</u>	<u>%</u>	<u>%</u>
1 Control Environment and Corporate Planning	13	12	8	10	10	13	7
2 Risk Management, Governance and Accountability	12	9	11	5	7	8	5
3 IS/IT	7	8	2	10	12	5	8
4 Capital Programme and Estates Management	10	10	4	5	5	3	10
5 Procurement³	2	3	3	0	5	3	3
6 Financial Management and Infrastructure	10	16	26 ⁴	16	15	13	14
7 Staffing and Payroll	7	8	11	4	7	5	3
8 Student and Academic Systems	2	7	7	13	7	11	11
9 College/School/Departmental Audits	17	17	16	21	21	22	18
10 Subsidiaries, Associates and Collaborations	11	3	4	4	3	2	3
11 Income Raising Activities	7	3	6	8	4	10	8
12 Follow up Reviews (selection of recent audits)	2	4	2	4	4	5	4
13 Flexible response capability / Ad hoc	0	0	0	0	0	0	6
	100	100	100	100	100	100	(yet to allocate)
							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 continues to align with the updated versions.

Student Experience

- 2 An ‘outstanding student experience’ is a key Strategic Theme contributing towards the strategic goals in the University’s Strategic Plan. Student experience is highlighted in the main University risk register and in all three College risk registers; it is therefore a key theme of this Audit Plan. We have included reviews of admissions and recruitment processes, procedures for student assessment and feedback, and arrangements for practice placements of students and for the award of scholarships.

IT Security

- 3 We will again give extensive attention to IT security controls. We will review the Virtual Private Network which supports secure remote login, and continue our ongoing reviews of IT security in applications/locations. We will also review the IT controls in Edinburgh University Students Association (EUSA).

Project Management

- 4 We will review the management and governance arrangements of several key ongoing projects including the Resource Allocation Model, University Website Programme and the replacement of the Voyager system, used for the purchase of library materials. These reviews will also focus on arrangements in place to ensure the impact of these strategic initiatives upon support functions is being managed effectively.

Capital Programme and Estates Management

- 5 The University is committed to current and future large, capital projects in support of the strategy for estate development. We therefore have focused on the quality of management information to support the capital programme and the arrangements to maximise the use of capital equipment. We will also review the controls over small and medium capital projects which combined can accumulate large spend, and the arrangements for utilities management.

Financial and Management Controls

- 6 Effective financial and management control should underpin all University activities. Our planned reviews address a range of controls in the University including the Finance Process Manager, the PECOS procurement system and cashless catering systems. As usual, we will also review financial controls during our School and location-based audits.

Internal Audit Plan 2014-15

<u>Ref</u>	<u>System / Area</u>	<u>Commentary</u>
A	<u>System / Process Audits</u>	
1	University Website Programme	We will review governance arrangements for the management and development of the University website to ensure it is supporting the University's strategic goals. This will include the migration of University websites from Polopoly to the Drupal content management system.
2	Student Assessment and Feedback	An area in which the University has previously not scored well in the NSS and postgraduate student experience surveys. We will revisit this issue and review the implementation of the remediation strategies put in place by the University and their impact to date. A key issue is how effectively the quality and speed of feedback to students is monitored.
3	International Recruitment	To review current issues in relation to International Recruitment and what initiatives and plans are in place to increase recruitment. Do they represent VFM? How is effectiveness being monitored?
4	Virtual Private Network (VPN) Service	The VPN Service provides a method of securing communications between a computer and the University network from home, a business trip, a conference or other non-work location using the public internet, or from the University wireless network. The VPN service was subject to a penetration test several years ago, but the underlying technology has significantly changed since then.
5	Practice Placements	A number of student programmes include components of work-based learning with external organisations. It is an important issue with regard to student experience and has not been reviewed recently. We will assess whether existing processes and controls are bringing maximum benefit to students and the University.
6	Replacement Voyager System	The Voyager system that is used for the purchase of library materials is about to be replaced. We will assess the governance and management of the replacement project.
7	PECOS	PECOS is a widely-used, automated, internet-based procurement system, for raising orders and transmitting them to suppliers. It is now well established in the University. We will assess the controls surrounding the system.
8	Resource Allocation Model	The proposed changes in approach to resource allocation feature highly in University risk register and successful implementation is critical to ensure effective future decision making. We will assess the project management

arrangements and extent to which plans for development, authorisation and transition to "business as usual" are in place.

- | | | |
|----|---|--|
| 9 | Consultancy Agreements | To check that ERI and Schools have clear processes in place for setting up, managing, authorising, monitoring and accounting for consultancy carried out by University staff. Is it easy/attractive for staff to take this route and are the benefits made clear? |
| 10 | Capital Equipment Expenditure | Funders are putting greater pressure on universities to maximise use of capital equipment. A new process has recently been introduced to improve the accuracy of recording capital items through the use of capital equipment budgets. We will assess how the new approval and accounting arrangements are bedding in. |
| 11 | Estates Operations and Maintenance Work | We will assess the controls in place for small/medium capital projects and for maintenance work to minimise the risk of inappropriate spend and to ensure value for money is being attained. |
| 12 | Utilities and Service Charges | The University pays about £14m per annum on utilities / carbon charges. We will assess arrangements and processes in place for billing and accounting for utilities costs after recent management changes. |
| 13 | College of Humanities and Social Science: Admissions | The speed with which the University processes applications from all types of prospective students is critical to ensuring continuing growth. We will review processes for managing admissions in CHSS with the aim of identifying potential process improvements. |
| 14 | Finance Process Manager (FPM) | FPM is a recent initiative to improve processes for payment of suppliers which now has significant take up across the University. We will assess whether its benefits are being maximised and if appropriate controls are in place. |
| 15 | Capital Programme Management Information | The University is committed to current and future large, capital projects in support of the strategy for estate development. We will perform testing to assess the accuracy and integrity of data on the capital programme reported to the Estates Committee and upwards. |
| 16 | Cashless Catering | The cashless catering facility allows users to make cashless payments at catering outlets managed by Accommodation Services. We will assess the controls in place and the arrangements to maximise the effectiveness of the service. |

B	<u>Location based audits</u>	
17	IT Security review: College of Humanities and Social Science	Review of IT security controls for an application/area nominated by the College.
18	IT Security review: College of Science and Engineering	Review of IT security controls for an application/area nominated by the College.
19	EUSA IT arrangements	We will provide support on IT arrangements to EUSA, following the recent appointment of a new Chief Executive.
20	School of Biological Sciences	School audit.
21	Office of Lifelong Learning (OLL)	Location based review.
22	College of Medicine and Veterinary Medicine: Scholarship Awards	We will review the systems and processes behind scholarship awards in CMVM. This will include arrangements to ensure that scholarship award conditions are being properly applied, only appropriate persons are in receipt of awards and that awards are being made in timely manner. We will also review the controls over the flow of funds associated with MVM scholarship awards.
23	Development and Alumni Services	Location based review.
24	Roslin Institute	Location based review.
25	School of History, Classics and Archaeology	School audit.
26	School of Informatics: Innovation Centres	The School has been involved in developing bids for proposed Innovation Centres in support of the Scottish Government's economic strategy. Review governance and financial arrangements and compliance.

C	<u>Standing & other items for Internal Audit Plan</u>	
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.	<i>Contingency Allowance yet to allocate</i>	<i>Unallocated time to cater for issues arising during the year.</i>

D **Reserve List**

27	PCounter	The University supports the PCounter online printing services facility which is used mainly by students. We will assess the control and reconciliation processes surrounding the receipt of income.
28	PCI DSS Compliance	The Payment Card Industry Data Security Standard (PCI DSS) provides an actionable framework for developing a robust payment card data security process including prevention, detection and appropriate reaction to security incidents. A new version of the Standard (version 3.0), published in November 2013, is likely to mean greater challenges for organisation with regard to IT security, virtualisation and emerging technologies.
29	Exam timetabling	Effective class and exam timetabling is a key factor in enhancing student experience. We will assess arrangements for effective notification to students of class and exam timetables.
30	European Region Action Scheme for the Mobility of University Students (ERASMUS)	The University can suffer adverse reputational loss if students do not have good experiences when studying away from Edinburgh via the ERASMUS scheme. We will review arrangements for managing reported problems and assess how the costs associated with the scheme are accounted for and controlled.
31	Post-Project Implementation Reviews	The capital programme is expanding significantly. Given this, we will review the University's arrangements to ensure that post-project implementation "lessons learned" reviews are conducted for major capital projects.
32	Human Resources Data	We will perform a review of data in the University's Human Resource system, in particular on academic/support staff designation, to assess its completeness, accuracy and integrity etc.
<u>Reserve location based</u>		
33	Institute for Academic Development (IAD)	Location based review.
34	Ann Rowling Regenerative Neurology Clinic Centre	Location based review.
35	Student Disability Services	Location based review.
36	Old College Capital etc	Governance issues in this subsidiary(ies).
37	Postgraduate Dental Institute	Location based review.
38	School of Geosciences	School audit.
39	College of Science and Engineering: Management of Freedom of Information Requests	We will assess arrangements in CSCE to comply with FOI requests through sampling specific requests and arrangements at College locations. Do College fully comply with legislation? Are processes adequate to ensure efficient management of FOI requests?

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 (2013) and 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 Scottish Code of Good HE Governance (2013), the Financial Reporting Council's revised Guidance on Audit Committees (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. The University's Risk Policy and Risk Appetite was formally adopted by Court in June 2013. 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 therefore 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 - applying the IIA international standards to the UK public sector.)
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: Risk-Based Internal Audit in Higher Education (2004)

13. HEFCE commissioned guidance⁵ 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:

- 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

⁵ HEFCE is in the process of amending its guidance.

- General discussions between the auditors, management and the audit committee.
- b. Where the HEI has a comprehensive risk register, and where these risks clearly link to business objectives, that register may serve as the audit universe, although the auditor always retains a professional duty to satisfy him or 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 seven 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 five 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, both internal and external, 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 is applied to determine the resources needed in terms of audit days and skills to tackle the top-scoring 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. Resource is available from the in-house team of internal auditors and audit specialists contracted in as necessary.

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						
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. <input checked="" type="checkbox"/>	Enterprise approach to risk management developed and communicated.	Risk management and internal controls fully embedded into the operations.	
Process						
The organisation's objectives are defined.	Possibly.	Yes but may be no consistent approach.	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the organisation's objectives are determined by the board and have been communicated to all staff. Check other objectives and targets are consistent with the organisation's objectives.
Management have been trained to understand what risks are, and their responsibility for them.	No	Some limited training. <input checked="" type="checkbox"/>	Yes	Yes	Yes	Interview managers to confirm their understanding of risk and the extent to which they manage it.
A scoring system for assessing risks has been defined.	No	Unlikely, with no consistent approach defined.	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the scoring system has been approved communicated and is used.
The risk appetite of the organisation has been defined in terms of the scoring system.	No	No	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	Check the document on which the controlling body has approved the risk appetite. Ensure it is consistent with the scoring system and has been communicated.

UoE Internal Audit Comment
This is our overall assessment of the University's risk maturity based upon the assessment of the risk processes noted below.

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.
Not all managers have received training.
In place.
Court adopted a Risk Policy & Risk Appetite document in June 2013. This defines the varying risk appetite across different activities.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity						
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. <input checked="" type="checkbox"/>	Yes	Yes	Examine the processes to ensure they are sufficient to ensure identification of all risks. Check they are in use, by examining the output from any workshops.
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. <input checked="" type="checkbox"/>	Yes	Yes	Examine the Risk Register. Ensure it is complete, regularly reviewed, assessed and used to manage risks. Risks are allocated to managers.
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. <input checked="" type="checkbox"/>	Yes	Yes	Check the scoring applied to a selection of risks is consistent with the policy. Look for consistency (that is similar risks have similar scores).
Responses to the risks have been selected and implemented.	No	Some responses identified.	Yes, but may not apply to the whole organisation. <input checked="" type="checkbox"/>	Yes	Yes	Examine the Risk Register to ensure appropriate responses have been identified.
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. <input checked="" type="checkbox"/>	Yes	Yes	For a selection of responses, processes and actions, examine the monitoring control(s) and ensure management would know if the responses or processes were not working or if the actions were not implemented.
Risks are regularly reviewed by the organisation.	No	Some risks are reviewed, but infrequently.	Regular reviews, probably annually. <input checked="" type="checkbox"/>	Regular reviews, probably quarterly.	Regular reviews, probably quarterly.	Check for evidence that a thorough review process is regularly carried out.
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 <input checked="" type="checkbox"/>	Yes <input checked="" type="checkbox"/>	For risks above the risk appetite, check that the board has been formally informed of their existence.

UoE Internal Audit Comment
Risk Management Guidance Manual.
All corporate and College & Support Group risks have been collated. A series of risk registers for the top risks exists.
In place for University, College, Support Groups, subsidiaries and many operational areas and projects.
Yes, but may not apply to the whole organisation.
The normal internal audit process assists management in providing assurance that monitoring controls are adequate.
RMC review process.
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						
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. <input checked="" type="checkbox"/>	All projects	All projects	Examine project proposals for an analysis of the risks which might threaten them.
Responsibility for the determination, assessment, and management of risks is included in job descriptions.	No	No	Limited <input checked="" type="checkbox"/>	Most job descriptions.	Yes	Examine job descriptions. Check the instructions for setting up job descriptions.
Managers provide assurance on the effectiveness of their risk management.	No	No	No	Some managers <input checked="" type="checkbox"/>	Yes	Examine the assurance provided. For key risks, check that controls and the management system of monitoring, are operating.
Managers are assessed on their risk management performance.	No	No	No	Some managers <input checked="" type="checkbox"/>	Yes	Examine a sample of appraisals for evidence that risks management was properly assessed for performance.
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. <input checked="" type="checkbox"/>	Audit risk management processes and use management assessment of risk as appropriate.	Audit risk management processes and use management assessment of risk as appropriate.	

UoE Internal Audit Comment
Estates Development project procedures routinely include risk assessment, as do IT projects. All Committee papers are prompted for evidence of risk assessment. A toolkit exists for the governance of major university projects but is not always utilised.
Will be for some defined roles such as project directors / managers.
Some managers.
Some may be informally assessed.
There is a programme of reviews of recognised risks. This provides the Court, through the Risk Management Committee, assurance that each risk is being adequately managed. Internal Audit 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. Importance

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

3. Sensitivity

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

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

4. Inherent Risk

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

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

5. Control Risk

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

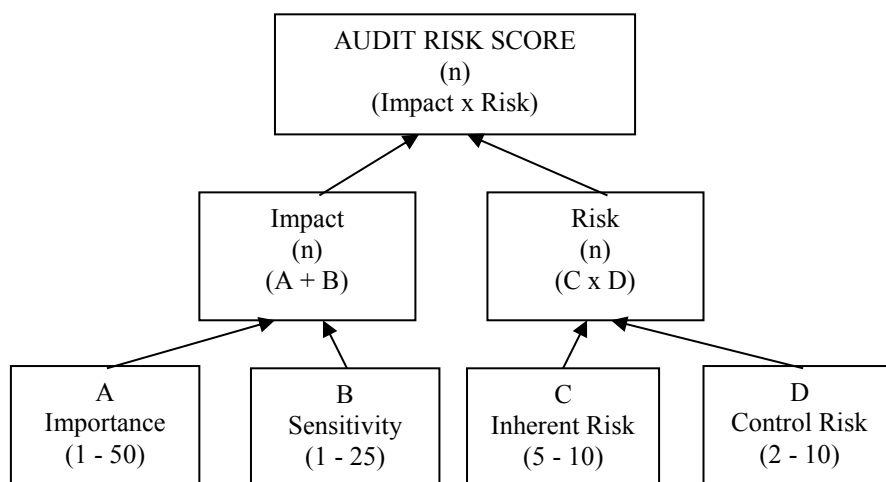
Areas which score high will be areas where known control weaknesses exist, where the system has a known poor operating history, where systems used are known to be in poor condition, or where management controls are known (or suspected) to be inadequate or ineffective.

6. Audit Risk Score

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

Figure 1 – Audit Score Calculation

Source: Adapted from NHS Executive



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

University of Edinburgh Assurance Model

Figure 1: Structure

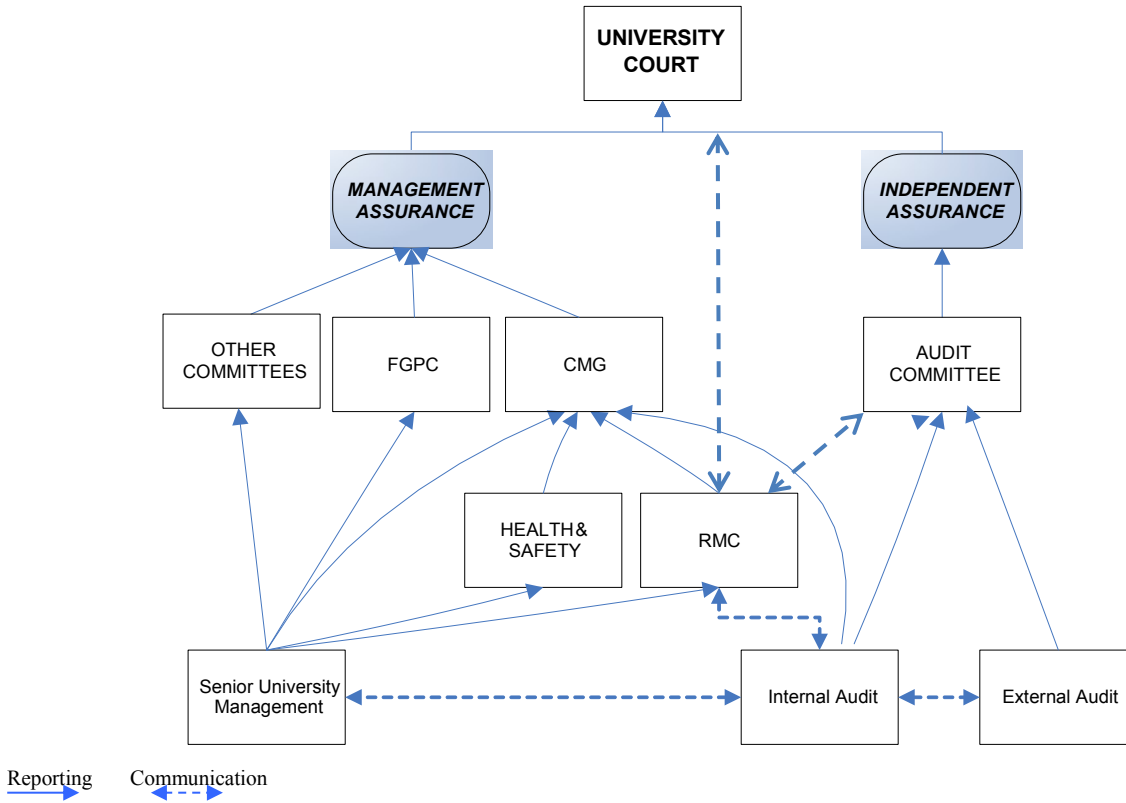
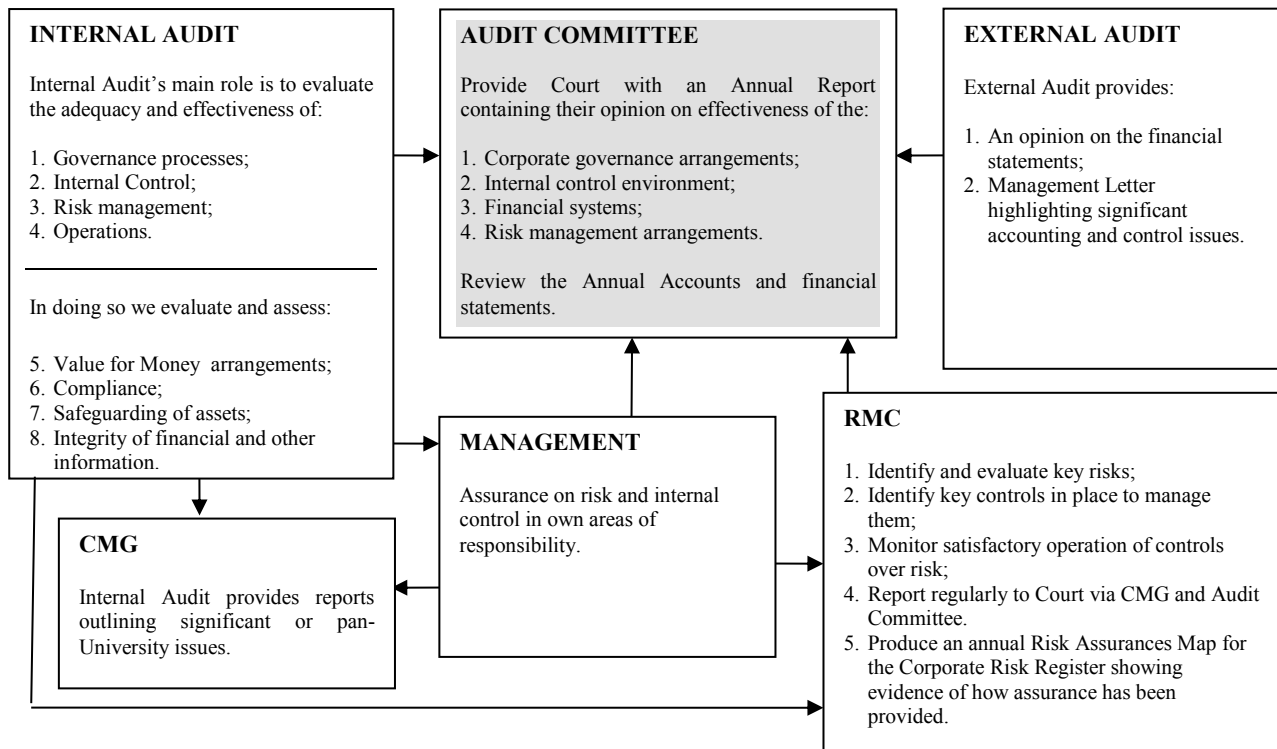


Figure 2: Interdependencies



Bibliography

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

AUTHOR	TITLE
CIPFA (2005)	Handbook for Audit Committee Members in Further and Higher Education
Committee of Scottish Chairs (2013)	Scottish Code of Good Higher Education Governance
COSO (2013)	Internal Control – Integrated Framework
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
PSIAS (2013)	Public Sector Internal Audit Standards (applying IIA international standards to the UK public sector)
SFC (2008)	Mandatory requirements of the Financial Memorandum at http://www.sfc.ac.uk/effective_institutions/financialmemorandum/mandatory_requirements.aspx

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, but from 1 August 2014 will operate within Student and Academic 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 Requirements¹ 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 29th May 2014
Approved by the Court at its meeting held on the 24th June 2013 [to be updated, 2014].

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

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 Reference² were approved by Court on 24 June 2013[*to be updated, 2014*] 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.

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

agreed or where corrective action taken by management following reported audit findings / recommendations is considered inappropriate or insufficient.

University Management Responsibilities

Management has primary responsibility for establishing and maintaining a proper and effective control environment and for managing risk. Management also bears primary responsibility for the prevention and detection of fraud as set out in the University's Fraud and Misappropriation Policy.

Senior management will be expected to co-operate with the Chief Internal Auditor in the annual audit planning process, by identifying, through the use of risk analysis, areas and activities which carry significant financial, operational and other business risks.

Senior management are expected to work proactively with Internal Audit; to respond to draft audit reports within 4 weeks. They will be responsible for addressing audit concerns and for the complete and timely implementation of accepted audit recommendations.

Monitoring of Service Provided by Internal Audit

The performance of Internal Audit is monitored through a series of performance indicators presented annually to the Audit Committee. The External Auditors perform an annual review of the work carried out by Internal Audit and report to the Audit Committee and the Court through their annual Audit Highlights Memorandum on the level of assurance that they have placed on the work of Internal Audit. The Audit Committee is also provided with an annual Performance Review of the Internal Audit Service from senior officers based upon the headings in the CUC Handbook.

Internal Audit participates in a peer-based quality assessment exercise on a regular basis and reports the findings to the Audit Committee.

Endorsed by the Audit Committee on the 29th May 2014

Approved by the Court at its meeting held on the 24th June 2013. [to be updated, 2014]

Report from Estates Committee held on 28 May 2014

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 28 May 2014.

Action requested

Court is invited to note the EC report and endorse the recommendations contained in the paper.

Resource implications

Does the paper have resource implications? Yes, detailed throughout the paper. £60.335M of new spend proposed to be added to the confirmed group estate development programme. £0.7M funding will be added from College/School reserves. Fundraising continues for St Cecilia's Hall (target £3.5M) and the School of Law project (target to be confirmed for the Law Library).

Risk Assessment

Does the paper include a risk analysis? 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
- Capital/Revenue 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.

Equality and Diversity

Has due consideration been given to the equality impact of this paper? None of the proposals in this paper raise issues beyond those that are routinely handled in all estates developments. It should be noted that EC papers contain, where applicable, separate E&D assessments.

Freedom of information

The paper is **closed**.

Its disclosure would substantially prejudice the commercial interests of any person or organisation
All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Angela Lewthwaite - Secretary to Estates Committee, 13 June 2014

To be presented by

Vice-Principal Professor J Seckl

The University of Edinburgh

The University Court

23 June 2014

Report of the Nominations Committee

The Nominations Committee met on 28 May 2014 and wishes to comment and to make recommendations for approval to Court as detailed below:

Curators of Patronage

Dr Richards to be appointed Curator of Patronage with effect from 1 September 2014 until 31 July 2017.

Standing Committees

Audit and Risk Committee

Mr Budd and Mr Sinclair to be confirmed as on-going members of the new Audit and Risk Committee until 31 July 2015.

Mr Johnston's term of office to be extended as an on-going member and Mr Johnston to be appointed Convener of the Committee from 1 August 2014 until 31 July 2015.

Dr Black to be appointed a member of the Committee from 1 August 2014 until 31 July 2015.

Lady Rice to be appointed a member of the Committee from 1 August 2014 until 31 July 2017.

Committee on University Benefactors

As from 1 October 2014 on his designation as Senior Vice-Principal, Professor Jeffery would become a member of this Committee.

Knowledge Strategy Committee (revised Committee)

The Vice-Principal with responsibility for knowledge management and a Vice-President of EUSA ex officio members of the Committee.

Professor Smyth to be confirmed as on-going member of the new Knowledge Strategy Committee and to be appointed Convener from 1 August 2014 until 31 July 2015

Ms Lamb, Ms Davidson and Ms Exley to be appointed from 1 August 2014 until 31 July 2017.

Nominations Committee

Lady Rice to be appointed with effect from 1 August 2014 until 31 July 2017.

Policy and Resources Committee (new Committee)

Mr Bentley, Mr Matheson and Professor Smyth to be confirmed as on-going members of the Policy and Resources Committee from 1 August 2014 until 31 July 2015.

Dr Aliotta to be confirmed as on-going member of the Policy and Resources Committee from 1 August 2014 until 31 July 2016.

Dr Masters to be confirmed as on-going member of the Policy and Resources Committee from 1 August 2014 until 31 July 2017.

Ms Exley to be appointed a member of the Policy and Resources Committee from 1 August 2014 until 31 July 2017

Remuneration Committee

Lady Rice to be appointed Convener from 1 August 2014 until 31 July 2017.

It is further recommended that the terms of reference of the Remuneration Committee be amended to confirm that the University Secretary should be in attendance at meetings of this Committee. (Revised TOR attached as Appendix 1.)

Exception Committee (new Committee)

Dr Richards ex officio member and Convener.

The Principal ex officio member.

University Secretary ex officio member.

Mr Johnston ex officio member (Convener of Audit and Risk Committee).

Lady Rice ex officio member (Convener of Remuneration Committee).

Professor Smyth ex officio member (Convener of Knowledge Strategy Committee).

EUSA President to be appointed as EUSA representative for their term of office.

Professor Ansell to be appointed as the Senate/Non-Teaching Staff Assessor representative from 1 August 2014 until 31 July 2016.

Intermediary Court Member

Sherriff Principal Bowen to be appointed to the designation of Intermediary Court Member from 1 August 2014 until 31 July 2015.

Thematic Committee

Investment Committee

Dr Richards ex officio member in the short to medium term subject to further consideration of membership of this Committee.

Ms Davidson to be appointed a member from 1 August 2014 until 31 July 2017.

Mr Edmiston will become an ex officio member of this Committee with effect from 1 September 2014 when he takes up the position of Director of Corporate Services.

People Committee (previously Staff Committee)

Ms Davidson's term of office to be extended by one year until the 31 July 2015.

Mr Killick's and Mr Gibson's terms of office as external members of this Committee to be extended by one year until 31 July 2015.

The Development Trust

Mrs Montgomery's membership to be extended for a further four years until 31 July 2018 and it is recommend she be appointed President of the Development Trust in succession to The Rt Hon Sir Malcolm Rifkind who is standing down from membership and Presidency of the Development Trust in the summer of 2014.

SRUC – Court Sub-Group

EUSA President to be appointed a member of this Court Sub-Group with immediate effect.

REMUNERATION COMMITTEE

Terms of Reference:

1 Purpose

To advise Court and oversee the preparation of policies and procedures in respect of salaries, emoluments and conditions of service including severance arrangements for the University's senior management including the Principal and those at professorial or equivalent level and to keep these under review. To approve in line with these Court approved policies and procedures, the total remuneration package for the Principal, those senior staff reporting directly to the Principal, and as appropriate Professorial and equivalent staff.

2 Composition

2.1 The Committee shall consist of four members.

2.2 The Vice-Convenor of Court is an ex officio member of the Committee.

2.3 The other three members of the Remuneration Committee shall be lay members of Court one of whom shall also be a member of the Policy and Resources Committee and one of whom shall be appointed Convenor of the Committee.

2.4 Court shall appoint members and the Convenor of the Remuneration Committee on the recommendation of the Nominations Committee.

2.5 The Nominations Committee on making recommendations to Court shall take cognisance of the ex officio member of the Committee.

2.6 The term of office of lay members will be no longer than their membership of Court and will be for a maximum of three years.

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

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

2.9 The Principal, while not a member of this Committee, shall normally be in attendance at all meetings except when his/her salary, terms and conditions or severance payments are being considered and the Principal shall be consulted on remuneration relating to senior colleagues as defined and agreed by the Remuneration Committee.

2.10 **The University Secretary and** the Director of Human Resources shall be in attendance at the Committee. Other Senior Officers from within the University may also be invited to attend meetings from time to time to provide the Committee with information on specific items on the agenda.

3 Meetings

3.1 The Committee shall meet as required to fulfil its remit and will meet at least twice in each academic year. With the prior approval of the Convener of the Committee urgent matters may be considered through correspondence.

3.2 Minutes, agendas and papers will normally be circulated to members of the Committee at least five working days in advance of the meeting. Late papers may be circulated up to two days before the meeting. Only in the case of extreme urgency and with the agreement of the Convener will papers be tabled at meetings of the Committee.

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

3.4 Minutes, agendas and papers will normally be circulated to attendees at least four working days in advance of the meeting unless the originator of the paper otherwise determines.

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

3.6 Three members of the Committee shall be a quorum one of whom shall be appointed Convener by the majority of members present for the duration of the meeting should the Convener not be present.

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

4 Remit

4.1 To advise Court and oversee the preparation of policies and procedures in respect of salaries, emoluments and conditions of service including severance arrangements for the University's senior management including the Principal and those at professorial or equivalent staff and to keep these under review.

4.2 In respect of the University's senior management team the Committee will, in line with Court approved policies and procedures:

4.2.1 Receive comparative information on salaries, other emoluments and conditions of service in the university sector;

4.2.2 Review and approve annually the salaries, contractual terms and emoluments of the Principal and of such senior staff as report directly to the Principal or who may, from time to time, be agreed by the Committee;

4.2.3 Approve performance criteria, proposed by the Principal, for the senior management team and review and approve any discretionary salary revisions for such staff; and

4.2.4 Consider and decide any severance payments proposed for the Principal and such senior staff as report directly to the Principal or who may from time to time be agreed by the Committee to be included in its considerations.

4.3 In respect of Professorial and equivalent staff the Committee will, in line with Court approved policies and procedures:

4.3.1 Receive comparative information on salaries, other emoluments and conditions of service in the university sector; and

4.3.2 Review annually, information from the Principal on the decisions made, in conjunction with the Heads of College, concerning the salaries and other emoluments of professorial and such other senior staff as may, from time to time, be agreed.

4.4 In respect of other University staff the Committee will:

4.4.1 Agree, in advance, severance packages for other senior staff and staff outside the norm, as specified in Court approved policies and procedures, or where there is conflict of interest for one or more of the signatories in the approved policy or procedure.

5 Other

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

5.2 In order to fulfil its remit the Committee may obtain external professional advice as necessary. The Committee may also request such other information as it might require in exercise of its remit which is additional to that listed in section 4.

5.3 To report to Court on an annual basis on the main activities undertaken by the Committee.

5.4 Membership and remit of the Committee will be published on the University's website.

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

*Approved 12 May 2014 with effect from 1 August 2014
Amended 23 June 2014*

The University of Edinburgh

The University Court

23 June 2014

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 4 June 2014 and of the business dealt with by the electronic Senate of 13 – 21 May 2014.

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 2014

Summary Report of the Senatus Meeting on 4 June 2014

Presentation and Discussion – University in the Community

The strategic theme for the meeting was “*University in the Community*”. Staff were invited to attend and participate in the presentation and discussion section of the meeting. Professor Mary Bownes, Senior Vice Principal External Engagement, organised this section of the meeting. Professor Bownes introduced the speakers and outlined the diverse ways the University engages with the Community and the benefits of this for the University and the Community. Dr Heather Rea, Project Lead, Beltane Public Engagement Network, discussed the University’s approach to public engagement with research and the role and functions of the Beltane Public Engagement Network. Mr Hugh Murdoch, EUSA President, informed Senate about EUSA’s volunteering service and work with community groups. Dr Sue Rigby, Vice Principal for Learning and Teaching, illustrated the various schemes utilised by the University, such as the Edinburgh Award, which allowed students gain a student experience outside the University. Moira Gibson, External Affairs Manager, Communications and Marketing, discussed perceptions of the University within the Community and formally launched the consultation for the University’s next Community Strategy. The presentations and discussion gave Senate members space to engage in a valuable discussion on the University’s next Community strategy. Details are given in the Senate minutes, which will be circulated to Court members and made available online in due course: <http://edin.ac/13pqU5E>

Formal Business

Senate observed a minute's silence in memory of Professor Tony Harmar who died on the 10 April 2014. Professor Harmar had been a Senate Assessor on University Court for nearly four years.

1. Minutes of the Senate 4 February and Report of E-Business conducted 13 - 21 May 2014

Minutes 4 February 2014

Minutes of the 4 February were approved.

Report of E-Business conducted 13-21 May 2014

New Members

Senate welcomed the following new Professorial members:

Professor N Barker, Chair of Tissue Regeneration

Professor G Crow, Chair of Sociology and Methodology

Professor M Dorrian, Forbes Chair of Architecture

Professor C Iannelli, Personal Chair of Education and Social Stratification

Conferment of the Title Emeritus Professor

The Senatus agreed to confer the title of Professor Emeritus on Professors T Nash and L Waterhouse, requesting that the relevant Heads of College prepare the necessary Special Minutes.

EUSA Representation

The Senatus approved the updated policy for EUSA student representation on Senate.

Special Minutes

The Senatus adopted the Special Minutes for the Professors listed:

Professor H Barstad	Emeritus Professor of Hebrew and Old Testament Studies
Professor K Donaldson	Emeritus Professor of Respiratory Toxicology
Professor P Jenkins	Emeritus Professor of Architecture Research
Professor S Platt	Emeritus Professor of Health Policy Research
Professor I Whittle	Emeritus Professor of Surgical Neurology

Academic Year Dates

Senate noted the 2015/16 semester dates which have been approved by the Senatus Curriculum and Student Progression Committee (CSPC) and are now available to view online at <http://www.ed.ac.uk/news/semester-dates/2015/16>. Senatus also noted the provisional academic year dates for 2016/17, approved by CSPC on 23 January 2014.

Communications from the University Court

The Senatus noted the content of the report from the University Court and offered no comments on the proposed date of the next Rectorial Election in February 2015 and on the proposal to designate the Knowledge Strategy Committee as a joint Committee of Senate and Court. The Senatus offered no observations on the following resolutions:

Draft Resolution No. 8/2014:	Alteration of Chair of Statistics
Draft Resolution No. 9/2014:	Degree of Doctor of Arts
Draft Resolution No. 10/2014:	Degree of Doctor of Philosophy with Integrated Study
Draft Resolution No. 11/2014:	Degree of Master of Surgery (Clinical Ophthalmology)
Draft Resolution No. 12/2014:	Degree of Master of Family Medicine
Draft Resolution No. 13/2014:	Degree of Master of Earth Physics
Draft Resolution No. 14/2014:	Degree of Bachelor of Arts (BA)
Draft Resolution No. 44/2014:	Boards of Studies
Draft Resolution No. 45/2014:	Code of Student Conduct
Draft Resolution No. 46/2014:	Higher Degree Regulations
Draft Resolution No. 47/2014:	Postgraduate Degree Programme Regulations
Draft Resolution No. 48/2014:	Undergraduate Degree Programme Regulations

Report from the Central Management Group

The Senatus noted the report from the Central Management Group on its meetings of 5 March and 22 April 2014.

Report from the Central Academic Promotions Committee

The Senatus noted the report of the recommendations of the Central Academic Promotions Committee.

Resolutions – Chairs

Court presented to Senatus, draft Resolutions in accordance with the procedures for the creation of new chairs, renaming of existing chairs and the process for personal chairs. Senatus, having considered the draft Resolutions, offered no observations on the following resolutions:

- Draft Resolution No. 16/2014: Foundation of a Chair of Continuing Education
- Draft Resolution No. 17/2014: Foundation of a Chair of Learning Analytics and Informatics
- Draft Resolution No. 18/2014: Foundation of a Chair of Digital Education
- Draft Resolution No. 8/2014: Alteration of the title of Chair of Statistics
- Draft Resolution No. 19/2014: Foundation of a Personal Chair of Neuropsychology
- Draft Resolution No. 20/2014: Foundation of a Personal Chair of Computational Quantum Field Theory
- Draft Resolution No. 21/2014: Foundation of a Personal Chair of Genetics of Host Defence
- Draft Resolution No. 22/2014: Foundation of a Personal Chair of New Testament and Early Christianity
- Draft Resolution No. 23/2014: Foundation of a Personal Chair of Social Science and Public Policy
- Draft Resolution No. 24/2014: Foundation of a Personal Chair of Chinese Philosophy and Religion
- Draft Resolution No. 25/2014: Foundation of a Personal Chair of Architectural Conservation
- Draft Resolution No. 26/2014: Foundation of a Personal Chair of Anthropology of Health and Development
- Draft Resolution No. 27/2014: Foundation of a Personal Chair of Extreme Conditions Engineering
- Draft Resolution No. 28/2014: Foundation of a Personal Chair of Political and Legal Anthropology
- Draft Resolution No. 29/2014: Foundation of a Personal Chair of Commercial Contract Law
- Draft Resolution No. 30/2014: Foundation of a Personal Chair of Territorial Politics
- Draft Resolution No. 31/2014: Foundation of a Personal Chair of Extragalactic Astrophysics
- Draft Resolution No. 32/2014: Foundation of a Personal Chair of Nuclear and Particle Astrophysics
- Draft Resolution No. 33/2014: Foundation of a Personal Chair of Neural Circuits and Computation
- Draft Resolution No. 34/2014: Foundation of a Personal Chair of Adaptive Learning Environments
- Draft Resolution No. 35/2014: Foundation of a Personal Chair of Molecular Epidemiology
- Draft Resolution No. 36/2014: Foundation of a Personal Chair of Evolutionary Parasitology
- Draft Resolution No. 37/2014: Foundation of a Personal Chair of Higher Education Learning Contexts
- Draft Resolution No. 38/2014: Foundation of a Personal Chair of Addiction Medicine
- Draft Resolution No. 39/2014: Foundation of a Personal Chair of Reproductive Physiology
- Draft Resolution No. 40/2014: Foundation of a Personal Chair of Mathematics of Software Engineering
- Draft Resolution No. 41/2014: Foundation of a Personal Chair of Sociology of Medical Knowledge
- Draft Resolution No. 42/2014: Foundation of a Personal Chair of Gynaecological Pathology
- Draft Resolution No. 43/2014: Foundation of a Personal Chair of Early Embryo Development
- Draft Resolution No. 49/2014: Foundation of a Personal Chair of Digital Education
- Draft Resolution No. 50/2014: Foundation of a Personal Chair of Political and Historical Sociology

Senate Membership 2014/15

The Senatus noted those colleagues who had been elected or re-elected by their College as non-professorial representatives for a period of three years from 1 August 2014 – 21 July 2017 and those who had been elected as representatives of University demonstrators and academic research staff. It further noted those colleagues nominated as ex-officio members by the Colleges, and the associate members nominated by the Students' Association.

College Academic Management Structures 2014/15

The Senatus noted the College Academic Management Structures for 2014/15.

Dates of Meetings of Senate 2014/15

Senatus noted the meeting dates for 2014/15. [Note: These can be accessed at <http://www.ed.ac.uk/schools-departments/academic-services/committees/senate/dates>]

Appointment of a Vacation Senatus

Senatus approved the appointment of a Vacation Senatus, comprising the Principal, or in his absence the Principal's nominated deputy, and any Vice-Principal, with the University Secretary or her nominated deputy, to deal with any urgent formal business.

2. Annual Report of the Senate Committees

Senatus noted the major items of Senate Committees' business from 2013/14 and approved the strategic issues proposed by each of the four Senate Committees for 2014/15 and beyond.

3. Changes to the Terms of References for Senate Committees

Changes to the terms of reference for Learning and Teaching Committee and Researcher Experience Committee were approved.

4. Fitness to Practice Appeals Committee Membership

Membership of the Fitness to Practice Appeals Committee was approved.

5. Appeals Committee membership

Membership of the Appeals Committee was approved.

6. Senate Standing Orders

The Senatus noted that a request to change the Standing Orders of the Senatus will be made at the September Electronic Senate.

7. Evaluation of Innovative Learning Week: Review of findings and outcomes

The Senatus noted the evaluation of Innovative Learning Week Report and the decision of the Learning and Teaching Committee that Innovative Learning Week would proceed as planned for 2014/15. The focus of the Week would be reconsidered and re-focused. It would be comprehensively evaluated by Learning and Teaching Committee in May 2015.

8. Honorary Degrees Committee

The recommendations contained within paper S 13-14 3 H were approved.

Anne Marie O'Mullane
Senate Secretariat
June 2014

Annual Report of the Senate Committees

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

This is the fifth annual report of the four Senate Standing Committees: Curriculum and Student Progression Committee; Learning & Teaching Committee; Quality Assurance Committee; and Researcher Experience Committee. The paper reports on activity of the Committees for 2013/14 and their strategic priorities for 2014/15 and beyond. At its meeting on June 4, Senatus noted the paper and approved the proposed strategic priorities.

Action requested

For information: the University Court is invited to note the major items of Committee business from 2013/14 and to note the strategic priorities for 2014/15 and beyond.

Resource implications

Does the paper have resource implications? Yes. Some of the resource requirements will be met through existing resources or have 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 cases will be taken forward by the relevant Committee or functional area.

Risk Assessment

Does the paper include a risk analysis? No, these are carried out by the relevant areas for specific activities, for example the External Examiner Project.

Equality and Diversity

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.

Freedom of Information

Can this paper be included in open business? Yes

Originator of the paper

Anne Marie O'Mullane (Academic Services)
Ailsa Taylor (Academic Services)
Philippa Ward (Academic Services)
Marion Judge (Academic Services)
Susan Hunter (Academic Services)
11 June 2014

Annual Report of the Senate Committees 2013/14

1. Executive Summary

This report outlines the achievements of the Senate Committees for Academic Year 2013/14 and the planned priorities for Senate Committees for 2014/15 and beyond. Senate Committees have reflected on their operation through the Senate Committees' Symposium. They consider themselves to be robust and effective and are confident that they can support their ambitious agenda for 2014/15. Senate Committees agreed their priorities and strategic direction at the Senate Committees Symposium following a period of consultation. The agreed priorities align with the strategic priorities contained in the University of Edinburgh Strategic Plan 2012-16, the Enhancement Led Institutional Review implementation plan, and the Learning and Teaching Enhancement Strategy. The work of the Senate Committees is monitored and controlled by the Senate Committee Conveners' Forum which ensures that Senate Committees maintain their strategic approach and remain effective. Senatus, at its meeting on June 4, noted the major items of Senate Committees' business from 2013/14 and approved the strategic priorities proposed by each of the four Senate Committees for 2014/15 and beyond. University Court is invited to note the content of the report.

2. Introduction

This is the fifth annual report of the four Standing Committees of Senate, hereafter referred to as the Senate Committees. The Senate Committees are Curriculum and Student Progression Committee, Learning & Teaching Committee, Quality Assurance Committee and Researcher Experience Committee. The report discusses Senate Committees' achievements of the Senate Committees for the year 2013/14. It proposes the Senate Committees' strategic priorities and activities for 2014/15 and beyond. These proposals arose from Committee discussions, discussion at Senate Committees Conveners' Forum and through discussion and agreement at the Senate Committees' Symposium which took place on the 9 May. The report outlines suggestions made at the Senate Committees Symposium 2014 and planned next steps. The report concludes with a follow-up on the implementation of actions arising from the Senate Committees Symposium 2013.

3. Senate Committees' Achievements

The achievements described below, for the Senate Committees, relate to activity that is deemed to be not part of the annual cycle of the Senate Committees business but rather activity that could be defined as enhancement activity. The terms of reference of the Senate Committees will predicate the amount of enhancement activity a particular Senate Committee will complete. A Senate Committee should not be judged on the number of achievements it records but on the impact of its activity. A brief description of the impact or intended impact of the achievement is included with each recorded achievement.

3.1 Curriculum and Student Progression Committee

3.1.1 Assessment

- i. Upload and communication of awards: An assessment working group was established through CSPC with the agreed purpose of ensuring that the University is well positioned to provide support to students vis-à-vis the communication of their final awards. Systems and processes were developed in order to enable Schools to prepare for Boards of Examiner meetings, and upload awards directly onto the student record system. Communication, training and support

was provided for staff via Student Systems.

Impact: enhanced communication of final awards to all taught students, enhanced systems and processes to enable awards to be keyed by Schools directly onto the student record system.

- ii. Credit for Study Abroad Task Group. A task group whose locus was transferred to CSPC from the Quality Assurance Committee, Credit for Study Abroad was created to examine and recommend steps that could be taken to adopt a consistent institution wide approach to the arrangements for recognising grades and awarding academic credit for study abroad.

Impact: enhanced student experience; provision of greater consistency of practice across the University; improvements to the timeliness of decisions taken to resolve any issues.

- iii. The resits and supplementary assessment working group has been working on the development of a series of recommendations for Schools. A number of associated working group meetings have been held to take this forward.

Impact: enhanced student experience by enabling some student re-assessment to take place within the academic year; the establishment of the Overseas Examination Service which allows for some resits to be taken abroad.

3.1.2 Data

- i. A Use of Student Data working group continued its work reviewing 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. A number of associated working group meetings have been held in order to take this forward and develop a framework for the use of student data in Schools.

Impact: enhanced use of student data to support annual monitoring by Schools, with the use of practical reporting models to help identify 'at risk' students and provide targeted support; enhanced ability to understand the key messages provided from our data and to measure our performance against our competitors; meeting external requirements.

- ii. Key Information Set: Student Systems have been supported by a working group which has reported regularly to CSPC on timelines, progress, and areas for development in future years.

Impact: strategic oversight of the Key Information Set submission, timelines, and progress; enhanced student experience; meeting external requirements.

3.1.3 Projects

- i. Programme and Course Information Management Project's (PCIM) priorities for 2013/14 were as follows: development of draft University level principles for programme and course

design, development, approval, changes and closure and an associated forward plan; confirmation of the purpose of programme and course handbooks and core content; development of an enhanced course descriptor.

Impact: enhanced student experience, greater consistency of practice across the University; improved clarity via production of guidance/support materials for staff; meeting external requirements.

3.1.4 Regulation, Policies and Guidance

i. Policy Development:

- Children and Vulnerable Adults Policy. This involved revision of the Visiting Student Policy and Procedure
- Non Graduating Student Policy and Procedure
- Informing Students of their Final Programme, Course and Progression Results Policy
- Code of Student Conduct and approval of Conduct Investigators and Student Discipline Officers

Impact: enhanced student experience; ensuring good governance; clearer information to staff and to students; shorter timeframes with regard to processes (e.g. revised Code of Student Conduct).

ii. Guidance:

- Boards of Studies Terms of Reference
- Non Credit Bearing Online Course Approval Procedure for External Release
- Development of assessment and examination guidance regarding mitigating the impact of possible industrial action.

Impact: clarification of processes and procedures for staff; developing the knowledge, capability and skills of staff; ensuring good governance.

3.2 Learning and Teaching Committee

3.2.1 Future Learning and Teaching Strategy

Learning and Teaching Committee's primary focus during the academic year 2013/14 was discussing the University's future learning and teaching strategy and its governance. A joint Knowledge Strategy Committee / Learning and Teaching Committee Away Day was held in November 2013, and a 'Blue Skies Thinking Away Day' of senior staff was held in January 2014 (to be followed up in May at the Senate Committees' Symposium). The outcome of these discussions was the development of '*An Emerging Design for Learning and Teaching*', a document which proposes wide-ranging and ambitious ideas for the curriculum and its delivery going forward, and presents the beginnings of a possible implementation plan.

Impact: this work is ongoing, and will result in radical and lasting change to learning and teaching at the University of Edinburgh.

3.2.2 Enhancing the Student Experience

The Committee's commitment to enhancing the student experience continued, and the following achievements can be noted:

i. **Vision for the Student Experience**

Learning and Teaching Committee oversaw the development of a provisional *'Vision for the Student Experience at the University of Edinburgh'*.

Impact: this document clarifies the University's vision for the student experience, and is a key component of the ongoing enhancement work in this area.

ii. **Accessible and Inclusive Learning Policy**

This Policy has been in operation since August 2013. During 2013/14, Learning and Teaching Committee received student and staff guidance to support the implementation of the Policy, and reviewed the Policy's impact. Further action is required to ensure that the Policy is fully embedded across the University, and this will now be taken forward.

Impact: This Policy increases the accessibility and inclusivity of learning and teaching for all students by mainstreaming adjustments.

iii. **Reward and Recognition for Learning and Teaching**

Significant progress was made with Exemplars of Excellence in Student Education in 2013/14. Exemplars for Grades 9 and 10 were used in the promotions round for the first time, and their impact is now being assessed. It is hoped that it will soon be possible to roll out Exemplars for Grades 7 and 8.

Impact: The development and use of the Exemplars is a key strand in the University's work to enhance reward and recognition for learning and teaching, and therefore to ensure that Edinburgh delivers a world-class student experience.

iv. **Technology-Enhanced Learning**

The Committee discussed and moved forward a number of technology-enhanced learning projects during 2013/14 including the Transforming Assessment Pilot Project (TAP), the Open Educational Resource project, and a project to facilitate laptop-based essay exams. Learning and Teaching Committee also commented on the draft Information Services Technology Enhanced Learning Strategy, and provided input on the Learning Technology Advisory Group's Horizon Scanning Report and Recommendations.

Impact: Increased use of technology-enhanced learning is essential if the student experience is to be enriched.

3.2.3 External Developments

Learning and Teaching Committee engaged with the following external developments:

i. **Curriculum for Excellence**

The first substantial intake of students educated under Curriculum for Excellence will occur in Autumn 2016. Learning and Teaching Committee, with input from Student Recruitment and Admissions, engaged in extensive discussions about the new Curriculum and its likely impact on University admissions and learning and teaching. A timeline, working back from 2016 and detailing University action required in response to the changes, is in the process of being developed.

Impact: the timeline and subsequent action will ensure that the University is fully prepared for the 2016 student intake.

ii. **Grade Point Averages Project**

In October 2013, it was announced that the University of Edinburgh would be amongst 20 universities participating in a Higher Education Academy pilot to investigate the implications of introducing a Grade Point Averages system. Learning and Teaching Committee is now overseeing a working group which is considering how Edinburgh might introduce a new system.

Impact: This is a high impact project. The University's existing degree classification model is robust, and there would be significant risks associated with moving to an alternative system. This project will ensure that the University's students are not disadvantaged in any way should there be a requirement to introduce a new system.

3.3 Quality Assurance Committee

3.3.1 Collaborative Provision Review and Update

Building on the outputs of Collaborative Provision task groups (in 2010-11 and 2011-12) and in line with the UK Quality Code Chapter B10, 'Managing Higher Education Provision With Others', a project group has been and is currently working on enhancements to the University's Collaborative Provision framework, whilst at the same time addressing recommendations from an Internal Audit on Collaborative Provision. This work will clarify responsibilities within the University for management of the collaborative provision framework, address related themes arising from internal reviews and address any gaps in current provision of information and guidance. Through the work of the project group a full range of enhanced advice and guidance on setting up, managing and reviewing collaborative and/or partnership activity will be provided.

Impact: this work aligns with the indicators of Chapter B10 of the UK Quality Code, responds to internal audit recommendations and is of strategic value.

3.3.2 Enhancement-led Institutional Review (ELIR) Implementation and 2015-16 Planning

The Committee has maintained an overview of the implementation of recommendations from the 2011 ELIR. Activity in this area has continued throughout the year, with committee time being given to consideration of ELIR substantive themes including: Enhancing the Student Experience, Student Engagement in Quality, Collaborative Provision, and the Quality Assurance Framework.

Impact: Evaluation of the impact of implementation of recommendations from the 2011 ELIR is currently being carried out.

3.3.3 Enhancing the Student Experience

The Committee has continued in 2013-14 to have the University's key theme of the Student Experience as a key driver within its remit. The following highlights can be noted:

i. Student Data

Recommendations for enhancements to data about academic provision and related student performance were approved by the Committee. This work builds on work undertaken by the Use of Student Data Working Group, and contributes towards the groundwork for the future Quality Hub, which will synthesize student feedback, course and programme information, as well as key external information.

Potential Impact: As a new development, the potential impact of the Quality Hub would be significant to the student experience. The Quality Hub has the potential to reduce the time and effort spent gathering and collating data, and consequently to increase the time and effort spent using the information to demonstrate the assurance of academic standards, and to inform strategic priorities and subsequent enhancements.

ii. External Examiner Project

The External Examiner Project, of which the Policy Development Working Group reports to the Committee, is seen as the first phase in the longer term delivery of the Quality Hub. As part of this project, Schools will take part in a pilot in Autumn 2014. The pilot will cover: Postgraduate Taught External Examiner Report online-submission, IT tools for analysis of data, a revised External Examiner Policy and business process changes to external examiner processes. The External Examiner Policy Development Working Group agreed on a number of principles that will underpin the developed External Examiner Policy, associated business processes and the development of an External Examiner Handbook.

Impact: The project will enable the university to utilise data from External Examiner reports more effectively to shape its strategic approach to enhancement activity for learning and teaching and contribute to an enhancement student experience.

iii. Student Surveys

The Committee has continued to be involved in the development of the student survey framework, working closely with Student Surveys Unit.

Impact: ensuring the development of an effective framework for evaluating and surveying the student experience.

iv. Complaint Handling

The University of Edinburgh adopted the new Complaints Handling Procedure (CHP) in academic year 2013-14, reporting to the Committee on a quarterly basis.

Impact: As data becomes available the Committee will consider emerging themes, and the potential to focus required action.

3.3.4 Alignment with the UK Quality Code

Work to ensure that the University aligns fully with the UK Quality Code continues, with areas identified for further development. This work has been and continues to be taken forward by the Committee and more widely through policy development in Academic Services. With the final Chapters of the Quality Assurance Agency's UK Quality Code for Higher Education published within 2013-14, the large-scale exercise of mapping the University's academic infrastructure to the Code for Higher Education continued throughout 2013/14, with mapping completed for the majority of chapters in Part B: Assuring and enhancing academic quality.

Impact: Alignment with the UK Quality Code provides the University with further scope to enhance the student experience. The mapping assures the University that it aligns with the indicators and identifies specific areas for further enhancement. Policy has been enhanced and is developed as a result of this activity.

3.3.5 Internal and Periodic Enhanced Review

The Committee has continued to have oversight of and to approve reports and responses from Internal subject reviews, overseeing and monitoring the effective implementation of review recommendations as well as the dissemination of enhancements identified in reviews and tracking emerging actions and themes. To disseminate good practice from reviews more effectively and build capacity, an event is planned in conjunction with the Institute for Academic Development on 26th June. This academic year the first Support Service Periodic Enhanced Review, the Periodic Enhanced Review of Information Services, took place as part of a planned programme of reviews of Support Services, given their key role in overall student satisfaction.

Impact: Learning from Internal Review, a key part of the review process, is highlighted to the Committee and is proactively taken forward, feeding from the Committee to the relevant areas, and monitored as an ongoing process. The impact of Periodic Enhanced Review will be assessed.

3.3.6 Massive Open Online Courses (MOOCs)

The Committee has worked with Senate Curriculum and Student Progression Committee by putting in place mechanisms through which MOOCs are incorporated within the wider quality assurance framework. MOOCs will be included in the internal subject review remit.

Impact: this work is of strategic importance, and builds on the QA mechanisms required with this area of development.

3.4 Researcher Experience Committee

3.4.1 Code of Practice for Supervisors & Research Students

The Committee set up a Working Group to carry out a major review and representation of the Code of Practice for Supervisors & Research Students. The Working Group delivered a restructured and more user-friendly document which is published online as a downloadable document for ease of access. The work involved consultation across the University's Colleges, EUSA and support groups.

Impact: provides enhanced and accessible information for supervisors and research students.

3.4.2 Enhancing Student Support Project Phase 3

Aspects of Enhancing Student Support Project Phase 3 were incorporated into the core business of Researcher Experience Committee in the area of postgraduate research student support.

Impact: provides direction on future strategic planning for enhancement to the broad postgraduate research student experience.

3.4.3 Task Group Review

A sub-group of the Committee completed a review of all task group recommendations and progress on implementation of task group recommendations. It identified enhanced communication practice for recommendations from future task groups. It consolidated actions with common themes and carried forward further actions required for completion.

Impact: provides enhanced allocation and communication of task group recommendations, and a best practice model for future task group recommendations.

3.4.4 According Associated Institution Status

The Committee reviewed the existing list of Associated Institutions and further developed the University policy on the Criteria for According Association Institution Status. The Committee also developed a new procedure that clarifies approval and monitoring processes for Associated Institution agreements. The work also involved consultation with Quality Assurance Committee and Governance and Strategic Planning.

Impact: provides an enhanced process for approval of Associated Institutions and recording and monitoring of Associated Institution agreements.

3.4.5 Induction and Admissions

The Committee worked with the Student Experience Project Student Induction Team to develop an induction framework, and to develop specific postgraduate research induction cohorts for new students. This facilitates the particular needs of postgraduate research students who arrive throughout the year. It also worked with Student Recruitment and Admissions to develop the admissions strategy for new research students.

Impact: provides enhanced arrival and induction experience for new postgraduate research students.

3.4.6 Employability Project

The Committee contributed to the Employability Project which examined the use of talent existing within the postgraduate research student community. It provided consultation and a steer on the postgraduate research perspective and included discussion on the Principal's

Career Development Scholarship.

Impact: provides enhanced postgraduate research student experience.

3.4.7 Regulations

The Committee took a more strategic role in consultation and input to the regulations reviews for Postgraduate Research Assessment Regulations, Postgraduate Degree Regulations and Higher Degree Regulations in 2013/14. This will be embedded in REC core business from next academic year. The work involved consultation with Curriculum and Student Progression Committee.

Impact: provides enhanced postgraduate research academic input to regulations reviews.

3.4.8 Composition of Committee

The Committee recruited a broader membership during 2013/14 to support the Committee's early career researcher experience remit.

Impact: This ensured representation from across the University's support services and includes expanded representation from early career researchers and research students.

3.5 Key Numbers for 2013/14

Name of Committee/Sub-Committee/Task Group	No. of meetings
Curriculum and Student Progression Committee (CSPC)	6
CSPC: Sub Group Concessions	1
CSPC: Working Group - Children and Vulnerable Adults Policy	4
CSPC: Working Group - Assessment regulations/DRPS Review 2012-13	4
CSPC: Working Group - Visiting Students Policy	5
CSPC: Working Group - Informing Taught Students of their Final Programme, Course and Progression Results	3
CSPC/Learning and Teaching Committee: Working Group - Resits and Supplementary Assessment	3
CSPC/Quality Assurance Committee: Working Group Use of Student Data	3
Learning and Teaching Committee (LTC)	5
LTC: Task Group - MOOCs	1
LTC: Working Group - Grade Point Averages	5
Researcher Experience Committee (REC)	6
REC: Working Group - Postgraduate Research Code of Practice	5
REC: Sub-Group on Task Group Recommendations	4
Quality Assurance Committee (QAC)	6
QAC: Student Support Services Quality Assurance Framework Sub-Committee	2
QAC/CSPC: Task Group - Award of Credit for Study Abroad	4
QAC: Working Group - External Examiner Policy Development	3

4. Planning and Priorities for 2014/15

4.1.1 Curriculum and Student Progression Committee (CSPC)

Ongoing Activity from 2013/14

4.1.1 Data

- iii. A Use of Student Data working group will continue its work reviewing 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 derived 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.

Impact: enhanced use of student data to support annual monitoring by Schools, with the use of practical reporting models to help identify 'at risk' students and provide targeted support; enhanced ability to understand the key messages provided from our data and to measure our performance against our competitors; meeting external requirements.

- iv. Key Information Set: Student Systems will continue to report regularly to Curriculum and Student Progression Committee on timelines, progress, and areas for development in future years.

Impact: strategic oversight of the Key Information Set submission, timelines, and progress; enhanced student experience; meeting external requirements.

4.1.2 Projects

- ii. **Programme and Course Information Management Project (PCIM).** Development of University level principles for programme and course design, development, approval, changes and closure and an associated forward plan; confirmation of the purpose of programme and course handbooks and core content; development of an enhanced course descriptor.

Impact: enhanced student experience, greater consistency of practice across the University; improved clarity via production of guidance/support materials for staff; meeting external requirements.

4.1.3 Policies and Guidance

- i. Revision of policies and guidance e.g. Children and Vulnerable Adults, Non Credit Bearing Online Course Approval Procedure for External Release.

Impact: enhanced student experience; ensuring good governance; clearer information to staff and to students; shorter timeframes with regard to processes (e.g. revised Code of Student Conduct). Clarification of processes and procedures for staff; developing the knowledge, capability and skills of staff; ensuring good governance.

Planned Activity for 2014/15

4.1.4 Regulations, Policies and Guidance

- i. Policy development and enhancement arising from mapping of precepts in the QAA Code and external requirements and developments.
- ii. Routine review of policy and guidance.
- iii. Annual revision of Taught Assessment Regulations and Postgraduate Assessment Regulations for Research Degrees for implementation in the 2015/16 academic session.
- iv. Annual revision of the degree regulations (Undergraduate and Postgraduate and Higher Degree Regulations), including revision of the DRPS Glossary of Terms for the 2015/16 academic session.

Impact: enhanced student experience; ensuring good governance; learning from the experience of the regulations in practice, shorter timeframes with regard to processes, clearer information to staff and to students.

4.1.5 Data/Projects

- i. Programme and Course Information Project (PCIM) - see ongoing activity from 2013/14.
- ii. Use of Student Data – see ongoing activity from 2013/14. In addition, there are two other aspects of work which relate to this – Undergraduate Degree Classification Analysis and Calculations for Honours Classifications. The method of delivery is to be agreed.
- iii. Progression Boards – working towards a consistent approach to progression boards across the University.

Impact: enhanced student experience; ensuring good governance.

- iv. Dual Awards – to form policy and guidance.

Impact: formation of clear information for staff and students; consistency of practice across the University; ensuring good governance.

4.1.6 Core CSPC Business

As part of the core CSPC business, the Committee plans to discuss MSc Progression Hurdles and Open Content Courses.

4.2. Learning and Teaching Committee

Ongoing activity from 2013/14

4.2.1 Enhancing Student Support Project

Learning and Teaching Committee will continue to have an oversight role. Activity for 2014 / 15 will include conducting student and staff surveys and student focus groups; analysis of usage statistics from the IT Tools system; impact evaluation; and ensuring that all Project outputs are embedded within core business and built into annual QA processes.

Impact: this Project is driven by feedback from students regarding the need for improvements to student support across the University. It will give students a framework of guidance and support that builds on the best of current practices, meets contemporary needs, and is of a quality and consistency appropriate to a university of high global standing.

4.2.2 Curriculum for Excellence

The Committee will continue to evaluate the impact of Curriculum for Excellence for University learning, teaching and assessment, and, working to the timeline developed during 2013/14, ensure that the University is prepared for the first significant intake of students educated under the new curriculum in 2016.

Impact: action taken will ensure that that University is prepared for the 2016 student intake.

4.2.3 Learning and Evaluation of Assessment and Feedback Project (LEAF)

The Committee will continue to provide oversight for this Project, which is making use of the TESTA (Transforming Experience of Students through Assessment) methodology. Work to complete TESTA audits in Biology, Economics and History is ongoing, and plans to scale up TESTA across Colleges are being scoped.

Impact: this Project should lead to significant improvements in assessment and feedback.

4.2.4 Massive Open Online Courses (MOOCs)

The MOOCs Task Group will continue to report to Learning and Teaching Committee. Mainstreaming of all MOOCs processes and procedures will be completed during 2014/15.

Impact: the work of the Task Group is ensuring that the University remains at the forefront of developments in this area.

4.2.5 Grade Point Averages Project

A working group will continue to consider how the University of Edinburgh might introduce a Grade Point Averages system should it be required to do so.

Impact: the Project will ensure that the University's students are not disadvantaged in any way should there be a requirement to introduce a new system.

4.2.6 Information Services Learning Technology Projects:

(i) Learning Analytics

This project is exploring gathering learning analytics for centrally-managed Virtual Learning Environments, and reports to Learning and Teaching Committee and Learning Technologies Advisory Group.

(ii) Teaching Resource for Educational Enhancement (TREE)

The project is developing an online resource discovery toolkit for teaching staff, and reports to Learning and Teaching Committee and Learning Technologies Advisory Group.

(iii) Open Education Resource Strategy

Work on this EUSA-initiated project to publish course materials online, free of charge, and free of most copyright and licensing restrictions will continue in 2014/15 and report to Learning and Teaching Committee.

Impact: these projects reflect the University's commitment to using technology-enhanced learning to enrich the student experience.

Planned Activity for 2014/15

4.2.7 Emerging Design for Learning and Teaching

The Committee's key priority for 2014/15 will be the mapping of the work associated with the emerging design for learning and teaching. Pilot projects will be identified, a communication strategy put in place, and a timeline to 2020 developed.

Impact: this work will result in radical and lasting change to learning and teaching at the University of Edinburgh.

4.2.8 Evidence of Esteem in Learning and Teaching

The Committee will oversee a short-term project to gather evidence of the University's esteem in learning and teaching.

Impact: the evidence gathered will inform the Committee as it implements the new design for learning and teaching

4.2.9 Vision for the Student Experience

The Committee will identify and undertake enhancement activity aimed at delivering a more individualised student experience.

Impact: this work will enable Edinburgh to provide a world-class student experience.

4.2.10 Online Distance Education Provision

The Committee will develop a framework for the expansion of distance education, building on the 'Global Academies, Online Learning and Internationalisation' paper produced during 2013/14.

Impact: the expansion of online education is essential to the University's internationalisation strategy.

4.2.11 Information Services Learning Technology Project: Assessment and Feedback Tool Pilots

Learning and Teaching Committee and Learning Technologies Advisory Group will oversee this project, which will explore and pilot with Schools new online tools for assessment and feedback.

Impact: this project reflects the University's commitment to using technology-enhanced learning to enrich the student experience.

4.3 Quality Assurance Committee

Ongoing activity from 2013/14

4.3.1 ELIR – Enhancement-led Institutional Review

Quality Assurance Committee will continue to oversee progress of planning for ELIR, and will work to assist the output from the ELIR Steering Committee. Regular updates from the ELIR Steering Group will continue to be given to the Committee. An early draft of the Reflective Analysis will be disseminated widely for consultation with the University community in the spring of 2015.

Impact: Evaluation of the impact of implementation of recommendations from the 2011 ELIR is currently being carried out. Preparation for and engagement with ELIR is of key importance for the success of ELIR.

4.3.2 Enhancing the Student Experience: Student Data

- (i) **Quality Systems Development** continues as a priority for 2014-15. The External Examiner project, delivered in conjunction with IS, will continue as a priority through 2014-15.

Impact: The project will enable the university to utilise data from External Examiner reports more effectively to shape its strategic approach to enhancement activity for learning and teaching and contribute to an enhanced student experience.

- (ii) The Committee will feed into scoping for early development of the key aspects of the planned **Quality Hub**. The Hub will synthesize student feedback, course and programme information, as well as key external information. In 2014-15 work will include scoping key questions to be asked of the proposed data framework.

Impact: The Quality Hub has the potential to provide timely, accurate, joined-up and trusted information to staff. A reduction in the time and effort spent collating and checking information will increase the time and effort available to use the information. The Quality Hub will inform strategic priorities and subsequent enhancements.

4.3.3 Collaborative Provision

A package of work with the aim of enhancing information and processes in relation to collaborative provision is currently underway. The project will enhance current approval

structures, guidance for Schools and institutional oversight. This work is currently being undertaken in conjunction with Governance and Strategic Planning.

Impact: this work aligns with the indicators of Chapter B10 of the UK Quality Code, responds to internal audit recommendations and is of strategic value. It will result in clearer guidance for Schools planning and managing collaborative provision, and will better support the student experience.

4.3.4 Course evaluation electronic system

The Committee will receive updates on further work on an electronic system for course evaluation. This is currently being piloted via the Student Surveys Unit.

Impact: Working with the Colleges in these areas will inform and enhance the University's Quality Assurance Framework.

4.3.5 Policy development arising from UK Quality Code mapping

Policy development and enhancement will continue, arising from mapping of the University's policies and procedures to the UK Quality Code.

Impact: Alignment with the UK Quality Code provides the University with further scope to enhance the student experience. The mapping assures the University that it aligns with the indicators and identifies specific areas for further enhancement.

Planned activity for 2014/15

4.3.6 Student Representation for Distance Learners

It is proposed that a short life task group is established, reporting to QAC, to enhance student representation structures so that the distance learning student voice is heard at School, College and institutional level.

Impact: this proposal aligns with the UK Quality Code Chapters B3 (Learning & Teaching) and B5 (Student Engagement). The outcome will be fully to involve the University's growing numbers of distance learners in student engagement opportunities.

4.3.7 Work Delivered through Colleges

In addition, QAC will evaluate the following with a view to wider adoption where appropriate:

(i) **Annual programme review**

The College of Humanities and Social Science will pilot annual programme review.

(ii) **Guidance on QA responsibilities in the University of Edinburgh context including - Closing the Quality loop**

The College of Humanities and Social Science will undertake work in this area.

Impact: Further alignment with UK Quality Code; improved guidance for staff and students and effectiveness of processes; enhanced student experience.

4.3.8 Routine review of policy and guidance

Impact: Ensuring good governance, learning from impact of policy implementation, clearer framework for staff and students.

4.3.9 Core Quality Assurance Committee business

The Committee will continue to have oversight of delivery of the University's quality assurance framework, including periodic internal subject review, reviews of student support services, annual reporting from Schools and Colleges, the external examiner system, and internally and externally derived information and data.

4.4 Researcher Experience Committee

4.4.1 Carry over activity from 2013/14

Researcher Experience Committee will continue to interact with student and staff experience surveys (PRES, CROS, PIRLS), academic code, policy and regulation reviews as required and other Senate Committees as part of its core business. It will also continue to promote sharing best practice and review its membership and communications strategy as part of core business.

Planned activity for 2014/14

4.4.2 Strategy and Vision

The Committee will devote time over the summer to reviewing its operation and membership. It will develop a robust strategy and vision in preparation for the coming review of postgraduate research student support. It will also review its communication strategy to ensure a robust communication mechanism and ensure that new members receive appropriate induction and training for their role.

Impact: deliver a strategic, focused agenda to provide an enhanced approach to the committee's remit and support for postgraduate research students and early career researchers.

4.4.3 Governance of Postgraduate Research project

The Committee will be the governing body for the project. It will receive regular reports on progress from the project board and provide strategic guidance as appropriate.

Impact: the project will deliver enhancements to the student experience, business processes and management of the postgraduate research student lifecycle

4.4.4 Early Career Researcher Support

The Committee will focus upon support for Early Career Researchers, particularly career development. This will build on the work carried out by the Researcher Experience

Committee Task Group, which reported in December 2013. The Committee will develop a strategic plan, drawing on the outcomes of the task group.

Impact: deliver enhancements to the early career researcher and postdoc career development strategy

4.4.5 PhD Study

The Committee will examine mechanisms for delivery and innovation in PhD study, with particular focus on ensuring support for non-traditional PhD students. This will build on the work of the 2013 task group and reviewing trials of activity in the three Colleges.

Impact: ensuring Edinburgh is leading the sector in PhD study and provide enhanced and robust support framework for postgraduate research students.

4.4.6 Doctoral Training Centres

REC will maintain a watching brief on Doctoral Training Centres. This will be delivered through College Research Committees reporting to the Committee via the PG Deans.

Impact: ensuring robust research training provision and enhanced student experience.

5. Senate Committees Symposium

The theme for the Senate Committees' Symposium which took place on 9 May 2014 was: *A step change to the student experience*. 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 following suggestions were highlighted to enhance Senate Committee Operations:

Periodic Review of Senate Committees' Priorities: It was recognised that Committees may need to prioritise workload from Conveners' Forum when unexpected items of activity had to be completed by the Committee. Conveners' Forum will discuss the possibility of a review and re-prioritisation of Senate Committees' workload taking place periodically throughout the year.

Targeted Communication: It was felt that more varied methods of communication are necessary for impactful communication. These would complement the Senate Committees Newsletter with more targeted communications to stakeholders necessary. Senate Committee Conveners Forum will discuss this matter further.

Planning for the Senate Committees should align with the Annual Planning Round: Academic Services are examining how this suggestion would be achieved.

5.1 Developments since the Senate Committees Symposium 2013

Themes from the Senate Committees' Symposium 2013 included enhanced communication, consolidated planning and budget allocation for Senate Committees for strategic initiatives.

Agility: It was recognised that Committees needed to be agile in order to respond to developments taking place in the sector, to take advantage of opportunities and to respond to unforeseen demands. Committees have demonstrated their ability to respond to external developments. For example, Learning and Teaching Committee established a Grade Point Average (GPA) Task Group following the University of Edinburgh's agreement to participate in the Higher Education Academy's pilot to looking at the potential use of a GPA scale and scoping activity carried out by the HEA.

Enhanced Communication: Discussions at last year's Symposium identified a need to improve Senate Committee communication, both to keep the University community better informed about discussions and decisions occurring within the Committees, and to facilitate greater congruence of Senate and College Committee business. In response, Academic Services has published a bimonthly newsletter during 2013/14, reporting on any Senate Committee that has met during the period: <http://edin.ac/1aFr5uz>. This appears to have been well received by users, although further feedback on the value of the newsletter and suggestions for improvement would be welcomed: Philippa.Ward@ed.ac.uk.

Integrated Planning: In an effort to improve Senate Committee communication, a new approach to planning the activity of the Senate Committees was undertaken. In February, Senate Committees were asked to consider their priorities for 2014/15. Simultaneously, College Committees were asked to feedback their priorities to the relevant Senate Committee(s). The Senate Committees took into account the priorities of the College Committees when agreeing their draft priorities for discussion at the Symposium. To complement this paper exercise, College Committee Conveners were invited to Conveners' Forum on the 22 April to discuss the draft priorities and ongoing activity of the Senate Committees for 2014-15 and beyond. The resultant document will be used for planning and prioritisation at the Senate Committees Symposium.

Consolidated planning: It was agreed at the Symposium that a consolidated approach to planning should take place for planning the activity of Senate Committees for 2013/14. Conveners' Forum adopted this model and planned and prioritised delivery of agreed activity, recognising linkages between work streams and grouping activity where appropriate. For example, the Resits and Supplementary Assessment work streams were merged into a single Working Group. Conveners' Forum also recognised that certain activity would run as multi-year activity and flagged where this was the case. Progress on activity was tracked through Conveners' Forum on a regular basis.

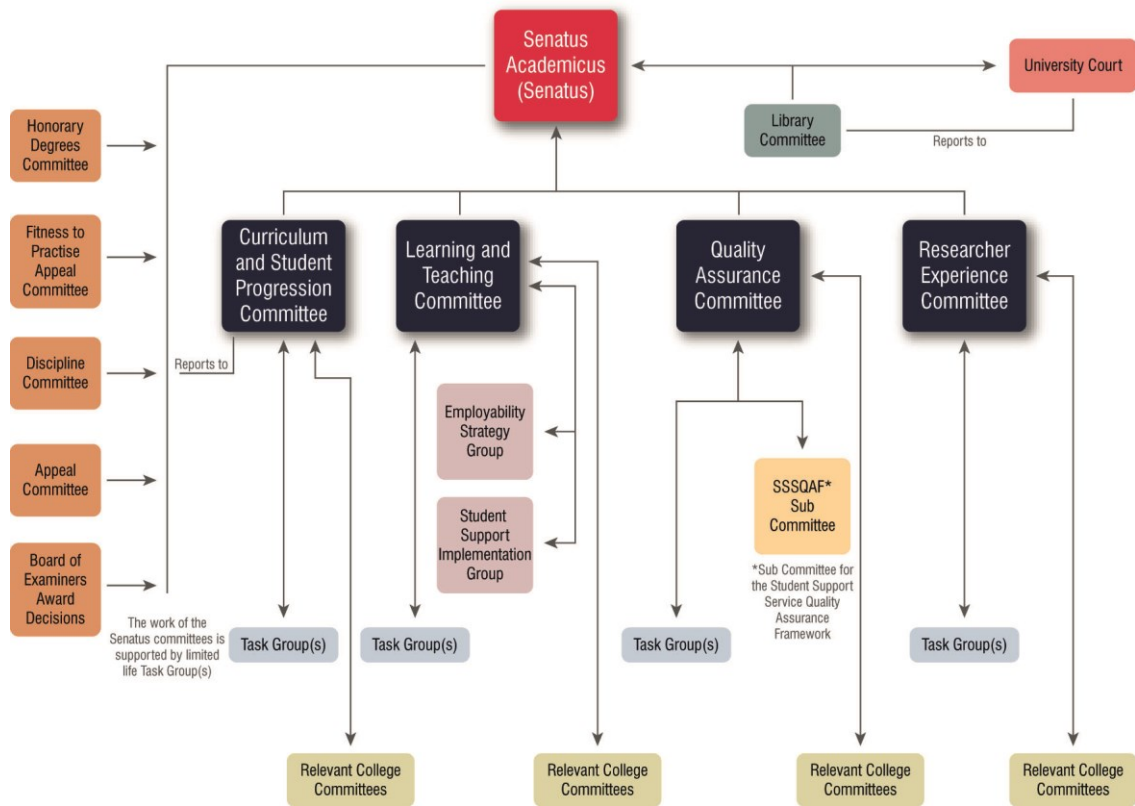
Budget allocation for Senate Committees for strategic initiatives: A specific budget has not been identified. This is under review. Specific activity was funded such as the introduction of a Senate Committees' Newsletter and an induction for Senate members.

Authors

Anne Marie O'Mullane (Academic Services)
Ailsa Taylor (Academic Services)
Philippa Ward (Academic Services)
Marion Judge (Academic Services)
Susan Hunter (Academic Services)

Appendix 1

Governance Structure



Links to the Terms of Reference for the Senate Standing Committees:

Curriculum and Student Progression Committee: [Link](#)

Learning and Teaching Committee: [Link](#)

Quality Assurance Committee: [Link](#)

Researcher Experience Committee: [Link](#)

23 June 2014

Resolutions

The Court is invited to approve the following Resolutions in accordance with the agreed arrangements for the creation and renaming of Chairs. No observations have been received from the General Council, the Senatus Academicus or any other body or person having an interest except in respect of Resolution 18/2014. The original title of the Chair (Digital Education) has been amended to Digital Learning to avoid confusion with the title of a Personal Chair.

Resolution No. 8/2014:	Alteration of the title of Chair of Statistics
Resolution No. 9/2014:	Degree of Doctor of Arts
Resolution No. 10/2014:	Degree of Doctor of Philosophy with Integrated Study
Resolution No. 11/2014:	Degree of Master of Surgery (Clinical Ophthalmology)
Resolution No. 12/2014:	Degree of Master of Family Medicine
Resolution No. 13/2014:	Degree of Master of Earth Physics
Resolution No. 14/2014:	Degree of Bachelor of Arts (BA)
Resolution No. 15/2014:	Alteration of the title of Chair of Accounting
Resolution No. 16/2014:	Foundation of a Chair of Continuing Education
Resolution No. 17/2014:	Foundation of a Chair of Learning Analytics and Informatics
Resolution No. 18/2014:	Foundation of a Chair of Digital Learning
Resolution No. 19/2014:	Foundation of a Personal Chair of Neuropsychology
Resolution No. 20/2014:	Foundation of a Personal Chair of Computational Quantum Field Theory
Resolution No. 21/2014:	Foundation of a Personal Chair of Genetics of Host Defence
Resolution No. 22/2014:	Foundation of a Personal Chair of New Testament and Early Christianity
Resolution No. 23/2014:	Foundation of a Personal Chair of Social Science and Public Policy
Resolution No. 24/2014:	Foundation of a Personal Chair of Chinese Philosophy and Religion
Resolution No. 25/2014:	Foundation of a Personal Chair of Architectural Conservation
Resolution No. 26/2014:	Foundation of a Personal Chair of Anthropology of Health and Development
Resolution No. 27/2014:	Foundation of a Personal Chair of Extreme Conditions Engineering
Resolution No. 28/2014:	Foundation of a Personal Chair of Political and Legal Anthropology
Resolution No. 29/2014:	Foundation of a Personal Chair of Commercial Contract Law
Resolution No. 30/2014:	Foundation of a Personal Chair of Territorial Politics
Resolution No. 31/2014:	Foundation of a Personal Chair of Extragalactic Astrophysics
Resolution No. 32/2014:	Foundation of a Personal Chair of Nuclear and Particle Astrophysics Physics

Resolution No. 33/2014: Foundation of a Personal Chair of Neural Circuits and Computation

Resolution No. 34/2014: Foundation of a Personal Chair of Adaptive Learning Environments

Resolution No. 35/2014: Foundation of a Personal Chair of Molecular Epidemiology

Resolution No. 36/2014: Foundation of a Personal Chair of Evolutionary Parasitology

Resolution No. 37/2014: Foundation of a Personal Chair of Higher Education Learning Contexts

Resolution No. 38/2014: Foundation of a Personal Chair of Addiction Medicine

Resolution No. 39/2014: Foundation of a Personal Chair of Reproductive Physiology

Resolution No. 40/2014: Foundation of a Personal Chair of Mathematics of Software Engineering

Resolution No. 41/2014: Foundation of a Personal Chair of Sociology of Medical Knowledge

Resolution No. 42/2014: Foundation of a Personal Chair of Gynaecological Pathology

Resolution No. 43/2014: Foundation of a Personal Chair of Early Embryo Development

Resolution No. 44/2014: Boards of Studies

Resolution No. 45/2014: Code of Student Conduct

Resolution No. 46/2014: Higher Degree Regulations

Resolution No. 47/2014: Postgraduate Degree Programme Regulations

Resolution No. 48/2014: Undergraduate Degree Programme Regulations

Resolution No. 49/2014: Foundation of a Personal Chair of Digital Education

Resolution No. 50/2014: Foundation of a Personal Chair of Political and Historical Sociology

Dr Katherine Novosel
June 2014

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 8/2014

Alteration of the title of Chair of Statistics

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen

WHEREAS the University Court deems it expedient to alter the title of the Chair of Statistics confirmed by Ordinance 166 as amended by Resolution 8/1966;

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 Statistics shall hereafter be designated the Thomas Bayes Chair of Statistics.
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. 9/2014

Degree of Doctor of Arts

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute a higher degree of Doctor of Arts (DArts):

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 Doctor of Arts (DArts) and those engaged in higher degree studies by research in the University of Edinburgh shall include candidates for the degree of Doctor of Arts (DArts).
2. The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Doctor of Arts (DArts), and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.
3. The degree Doctor of Arts (DArts) may be conferred honoris causa.
4. All candidates for the degree of Doctor of Arts (DArts) must be registered higher degree students of the University of Edinburgh. The Regulations made by the Senatus governing registered higher degree 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 Doctor of Arts (DArts).
6. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 10/2014

Degree of Doctor of Philosophy with Integrated Study

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Doctor of Philosophy with Integrated Study (PhD with Integrated Study):

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 Doctor of Philosophy with Integrated Study (PhD with Integrated Study) and those engaged in postgraduate studies by coursework and research in the University of Edinburgh shall include candidates for the degree of Doctor of Philosophy with Integrated Study (PhD with Integrated Study).
2. The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Doctor of Philosophy with Integrated Study (PhD with Integrated Study), and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.
3. The degree Doctor of Philosophy with Integrated Study (PhD with Integrated Study) shall not be conferred honoris causa.
4. All candidates for the degree of Doctor of Philosophy with Integrated Study (PhD with Integrated Study) 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 Doctor of Philosophy with Integrated Study (PhD with Integrated Study).
6. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 11/2014

Degree of Master of Surgery (Clinical Ophthalmology)

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Surgery (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)):

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 (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Surgery (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)).
2. The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Surgery (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)) 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 (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)) shall not be conferred honoris causa.
4. All candidates for the degree of Master of Surgery (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)) 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 (Clinical Ophthalmology) (ChM (Clinical Ophthalmology)).
6. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 12/2014

Degree of Master of Family Medicine

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Family Medicine (MFM):

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 Family Medicine (MFM) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Family Medicine (MFM)
2. The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Family Medicine (MFM) 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 Family Medicine (MFM) shall not be conferred *honoris causa*.
4. All candidates for the degree of Master of Family Medicine (MFM) 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 Family Medicine (MFM).
6. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 13/2014

Degree of Master of Earth Physics

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute the Degree of Master of Earth Physics (MEarthPhysics):

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

1. The degree of Master of Earth Physics (MEarthPhysics) may be conferred by the University of Edinburgh as a Degree with Honours.
2. Unless granted a concession or exemption, every candidate for the Degree of Master of Earth Physics (MEarthPhysics) must attend courses of instruction in the subjects prescribed by regulations as agreed by Senatus Academicus and pass the Degree examinations similarly.
3. The Senatus Academicus, with the approval of the University Court, may from time to time make regulations determining the subjects of study, the courses of instruction, the degree examinations, the conditions under which candidates may be exempted either from attendance or from examination, or both, in respect of any course of instruction, and all other matters relating to the award of the Degree.
4. A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the Degree of Master of Earth Physics (MEarthPhysics).
5. This degree shall not be conferred honoris causa.
6. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 14/2014

Degree of Bachelor of Arts (BA)

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to institute the Degree of Bachelor of Arts (BA):

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

1. The degree of Bachelor of Arts may be conferred by the University of Edinburgh as an Ordinary degree in a designated discipline.
2. Unless granted a concession or exemption, every candidate for the Degree of Bachelor of Arts (BA) must attend courses of instruction in the subjects prescribed by regulations as agreed by Senatus Academicus and pass the Degree examinations similarly prescribed.
3. The Senatus Academicus, with the approval of the University Court, may from time to time make regulations determining the subjects of study, the courses of instruction, the degree examinations, the conditions under which candidates may be exempted either from attendance or from examination, or both, in respect of any course of instruction, and all other matters relating to the award of the Degree.
4. A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the Degree of Bachelor of Arts (BA).
5. This Degree shall not be conferred honoris causa.
6. On the date on which this Resolution comes into force section 6 of Resolution No 10/1979 and other the references to the Degree of Bachelor of Arts in Resolution No. 10/1979 shall be repealed.
7. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 15/2014

Alteration of the title of Chair of Accounting

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen

WHEREAS the University Court deems it expedient to alter the title of the Chair of Accounting founded by Resolution 12/1986.

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 Accounting shall hereafter be designated the Chair of Financial Markets.
2. This Resolution shall come into force from 1 July Two thousand and fourteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 16/2014

Foundation of a Chair of Continuing Education

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to found a Chair of Continuing Education:

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 Continuing Education 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 fourteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 17/2014

Foundation of a Chair of Learning Analytics and Informatics

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to found a Chair of Learning Analytics and 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 that Act, hereby resolves:

1. There shall be a Chair of Learning Analytics and Informatics 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 fourteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 18/2014

Foundation of a Chair of Digital Learning

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to found a Chair of Digital Learning:

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 Digital Learning 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 fourteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 19/2014

Foundation of a Personal Chair of Neuropsychology

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to found a Personal Chair of Neuropsychology:

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 Neuropsychology 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 Neuropsychology 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 fourteen.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Resolutions 20/2014 to 43/2014, 49/2014 and 50/2014 are similar in form to the above.

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 44/2014

Boards of Studies

At Edinburgh, Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it expedient to prescribe new regulations for Boards of Studies:

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 1 of Part II of Schedule 2 to that Act, hereby resolves:

1. The Board of Studies Terms of Reference are hereby set out:

Board of Studies Terms of Reference

1. Purpose and Role

- 1.1 The University continually revises and updates its courses, degree programmes and awards to maintain the currency of its teaching and the learning experience. The Board of Studies is responsible for curriculum discussion and approval within a School. Boards of Studies operate consistently with the UK Quality Code Chapter B1, *Programme design, development and approval*.
www.qaa.ac.uk/Publications/InformationAndGuidance/Documents/B1.pdf
- 1.2 The main purposes of Boards of Studies are:
 - 1.2.1 to consider proposals for new courses, programmes and awards;
 - 1.2.2 to consider changes to existing courses, programmes and awards;
 - 1.2.3 to consider the closure of existing courses, programmes or awards; and
 - 1.2.4 to keep teaching, learning and assessment methodologies under review.
- 1.3 The Board of Studies ensures that proposals are academically appropriate and supported by evidence and documentation. They ensure that all interested parties in the University are aware of proposals.
- 1.4 Boards of Studies ensure that courses, programmes and awards align with relevant criteria:
 - 1.4.1 the University's Curriculum Framework (see 2.3. and 2.4 below);
 - 1.4.2 the Scottish Credit and Qualification Framework levels and credit values;
 - 1.4.3 subject benchmark statements, where relevant; and

1.4.4 any relevant professional body requirements.

2. Remit

The remit of the Board of Studies is to:

- 2.1 Consider and endorse proposals for new or revised courses, programmes and awards; and for new learning, teaching and assessment methods. These are proposals for:
 - 2.1.1 Credit-bearing courses, programmes and awards listed in the Degree Regulations and Programmes of Studies Degree Programme Tables <http://www.drps.ed.ac.uk/>
 - 2.1.2 Massive Open Online Courses www.ed.ac.uk/studying/online-learning/moocs/moocs
 - 2.1.3 Non-credit bearing continuing professional development courses in the School
 - 2.1.4 Credit bearing Office of Lifelong Learning courses www.lifelong.ed.ac.uk/
- 2.2 Approve minor changes to existing courses and programmes.
- 2.3 Endorse proposals for new courses; for more substantial revisions to existing courses; and proposals for degree programmes and awards, before referring the proposals to the relevant College committee(s). Proposals which comply with the University's curriculum framework or have no wider implications are approved at College level. The College refers the following proposals to University Curriculum and Student Progression Committee (CSPC) for approval:
 - 2.3.1 proposals for new courses with significant University-wide implications;
 - 2.3.2 proposals for new programmes and awards that do not comply with the curriculum framework or academic year structure;
 - 2.3.3 proposals which concern the wider University; or
 - 2.3.4 major inter-College proposals.
- 2.4 Offer advice on the School's portfolio of undergraduate and postgraduate programmes.
- 2.5 Annually approve Key Information Set Learning, Teaching and Assessment course information and Degree Programme Accreditation information, recording this approval in the Board of Studies' minutes.
- 2.6 Consider and report its views on any other academic matter to the appropriate College(s) and/or College committee(s), whether independently or in response to a College or University request.

3. Governance

- 3.1 The responsibilities and composition of Boards of Studies are regulated by Court Resolution No. 44/2014.
- 3.2 Every School has at least one Board of Studies. At the beginning of each academic session each School produces an agreed list of the members of its Board(s) of Studies.
- 3.3 The Board of Studies may make nominations for representation of their members on relevant College committees.
- 3.4 The Board of Studies shall report direct to the relevant College committee(s) as necessary, but at least annually.
- 3.5 The Board of Studies shall liaise with relevant School and College committees and with specific managers and offices in respect of issues or instances where matters of academic policy intersect with management issues.

4. Operation

- 4.1 Each Board of Studies must meet at least once in each academic year. This meeting cannot be a virtual or electronic meeting.
- 4.2 Each Board of Studies shall hold such meetings as the Convener may call, including electronic or virtual meetings.
- 4.3 The Convener must call a meeting of the Board when at least one-fifth of its members request this meeting in writing.
- 4.4 A Board of Studies may appoint sub-committees which at the discretion of the Board may report either to the Board or direct to the relevant College(s) or College committee(s).
- 4.5 A College may nominate another committee to operate as a Board of Studies. All provisions of these Terms of Reference apply to that committee when it is functioning as a Board of Studies.
- 4.6 The Head of School or his or her nominee will be responsible for ensuring the provision of secretariat support for the Board of Studies.

5. Composition

- 5.1 The Head of the relevant School appoints a Convener and Deputy Convener for each Board of Studies in the School. The Convener and Deputy Convener are eligible for appointment for a period of three years and may be re-appointed. In the absence of the Convener at any meeting, the Board of Studies is chaired by the Deputy Convener. The Convener or Chair of the meeting shall have both a deliberative and a casting vote. The Convener of a Board of Studies cannot also convene the College committee to which the Board reports.

- 5.2 Boards of Studies consist of academic and administrative staff in the University and other people appointed by the relevant College(s). All staff involved in the teaching of a degree programme should be a member of the relevant Board of Studies.
- 5.3 Each Board of Studies is composed of the teaching members and student representatives of the relevant discipline areas.
- 5.4 Each Board of Studies has at least one student member from a relevant discipline.
- 5.5 Each Board of Studies has at least one external member from another Board of Studies within the University. This may be a representative or representatives from other Schools with subject areas with strong links to the Board of Studies' discipline areas.
- 5.6 The Head of School and the Director of Teaching or equivalent in a School, are members of each Board of Studies in their School.
- 5.7 The Head of College has the right to appoint an ex officio College member to every Board of Studies in the College.

6. Responsibilities and Expectations of Board of Studies Members

- 6.1 Members are expected to be collegial and constructive in approach.
- 6.2 Members should attend regularly and participate fully in the work of the Board and its sub-committees. This will involve looking ahead, consulting and gathering input in order to provide the broad spectrum of thoughts and opinions which are necessary for proper consideration of the area being discussed.
- 6.3 Members need to take collective and individual ownership for the issues under the Board's remit and for the discussion and resolution of these issues. In taking ownership of the work of the Board of Studies, members must take steps to ensure that they are empowered to take decisions on behalf of academic and managerial colleagues.
- 6.4 Members are expected to be committed to communicating the work of the Board to the wider School and College community.

2. On the date on which this Resolution comes into force Resolution 3/1968 shall be repealed.

3. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 45/2014

Code of Student Conduct

At Edinburgh, the Twenty-third day of June Two thousand and fourteen.

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 72/2013 shall be repealed.
3. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

The Code is unchanged from that previously circulated to Court on 12 May 2014.

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 46/2014

Higher Degree Regulations

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it desirable to produce one comprehensive set of Higher Degree Regulations;

AND WHEREAS the University Court considers it expedient to promulgate this Resolution to set out these Regulations in full to give effect to the essential elements contained within these Regulations:

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 Higher Degree Regulations are hereby set out:

Criteria

Higher degrees are awarded to eligible candidates who demonstrate through the submission of work within the public domain which represents an original, rigorous and significant contribution to advancement of knowledge, one which is of international distinction and sustained over a period of at least seven years.

Eligibility

The following are eligible to apply for candidature for a higher degree:

- a. graduates of The University of Edinburgh of not less than seven years standing;
- b. graduates of other universities of not less than seven years standing who are members of staff of the University of Edinburgh of not less than four years standing.

Application Process

Application for a higher degree is a two stage process. Firstly, candidates must apply to the Higher Degrees Committee of the relevant School for approval of their candidature.

The application form for approval of candidature, together with guidance on the form of submission, may be obtained from the Secretary to the relevant School Higher Degrees Committee.

Applicants must submit the application fee with the completed application form, and:

- A statement of no more than 500 words explaining how the submission meets the criteria and makes a significant contribution to the field.
- Their CV

The Committee will decide whether a prima facie case for examination has been made.

If candidature is approved, the candidate will be invited to move to the second stage of the application process and lodge a submission (three copies) for examination. There is no oral examination for a higher degree.

Candidates must submit within 6 months of application approval.

Form of Submission

Candidates must submit work in support of their candidature to be considered within the criteria for the relevant academic discipline which may include, for example; images, books, papers, records of performance, records of exhibitions.

The submission will also include:

A critical appraisal of how the submission meets the criteria and makes a significant contribution to the field. (No more than 10,000 words.)

CV

Additional information is available in the University's [Regulatory Standards for the Format and Binding of a Theses](#).

Certification

All works submitted must be accompanied by a statement, signed by the candidate certifying, for each piece of work submitted, the contribution to the output from the candidate.

Lodging and Retention of Submissions

Submissions (three copies) must be lodged within six months of the approval of candidature. Two copies of successful submissions will remain the property of the University and one will be returned to the candidate.

Examination Fee

At the time of lodging a submission, the examination fee must be paid. Candidates must also matriculate, but no matriculation fee is charged.

Appointment of Examiners

The University shall, in the case of each submission, appoint one internal, and two external examiners. Each examiner should be of recognised eminence in the subject of the submission.

Award of the Degree

The degree shall be awarded only if the relevant committee of Senatus, on the recommendation of the examiners, is satisfied that the criteria for the award of the degree have been met (as specified above).

Re-application

A candidate whose application for candidature has not been approved or whose submission has not been recommended for the award of the degree may not reapply for the degree within five years of his/her first candidature unless the period is specially reduced by the relevant committee of Senatus on the recommendation of the examiners.

Graduation

Successful candidates will be awarded the degree at the next available graduation ceremony. Candidates for higher degrees may, at the discretion of the University, be permitted to graduate *in absentia*.

Appeals

The process for appeal for unsuccessful candidates is described in the University's [Academic Appeal Regulations](#)

2. These Regulations shall apply to degrees as set out in appendix 1 of this Resolution.
3. On the date on which this Resolution comes into force Resolution 22/2012 shall be repealed.
4. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Appendix 1 to Resolution No. 46/2014

Degrees covered by these Regulations

Doctor of Science (DSc)

College of Humanities and Social Science

Doctor of Divinity (DD)

Doctor of Laws (LLD)

Doctor of Letters (DLitt)

Doctor of Music (DMus)

Doctor of Arts (DArts)

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 47/2014

Postgraduate Degree Programme Regulations

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it desirable to produce one comprehensive set of Postgraduate Degree Regulations, including Assessment Regulations (2014/2015);

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 (2014/2015):

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:

These Regulations are unchanged from those previously circulated to Court on 12 May 2014.

2. These Regulations, including Assessment Regulation (2014/2015), 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 34/2013.
4. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

For and on behalf of the University Court

SARAH SMITH

University Secretary

Appendix 1 to Resolution No. 47/2014

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)
PhD with Integrated Study (PhD)

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 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)
Master of International Relations (MIA)

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)
ChM Master of Surgery (Clinical Ophthalmology)
Master of Family Medicine (MFM)

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 48/2014

Undergraduate Degree Programme Regulations

At Edinburgh, the Twenty-third day of June, Two thousand and fourteen.

WHEREAS the University Court deems it desirable to produce one comprehensive set of Undergraduate Degree Regulations, including Assessment Regulations (2014/2015);

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 (2014/2015):

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:

These Regulations are unchanged from those previously circulated to Court on 12 May 2014.

2. These Regulations, including Assessment Regulations (2014/2015), 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 33/2013.

4. This Resolution shall come into force with effect from the commencement of the 2014/2015 academic year on 1 August 2014.

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
Bachelor of Arts: General, Ordinary degree in a designated discipline

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
Master of Earth Physics 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

D4

The University of Edinburgh

University Court

23 June 2014

Dr Margaret Stewart Bequest

At its last meeting, Court approved the interim appointment of Dr Alison Sheridan as a Trustee of the Dr Margaret Stewart Bequest with immediate effect until 31 July 2014: Hon Fellow Dr Sheridan is a senior figure in the National Museum and a specialist in the relevant period. Professor Midgley, the current Trustee, is now unlikely to return to the University and Professor Ralston has asked that Dr Sheridan's appointment be made permanent.

Court is therefore invited to appoint Dr Sheridan as a permanent Trustee of the Dr Margaret Stewart Bequest for three years until 31 July 2017.

Dr Katherine Novosel
June 2014

D5

The University of Edinburgh

The University Court

23 June 2014

Student Appeal to Court

Under the previous Code of Student Discipline, students had the right to appeal for a hearing of the University Court in respect of a decision of the Discipline Committee (findings and/or penalty). As a result of the University Secretary receiving such a request, Court agreed by email on 28 March 2014 to appoint a Committee of Court to hear the appeal in accordance with the Code. In establishing such a Committee it was confirmed that the decision of this Committee of Court would be final and binding on the appellant and not subject to appeal to the full Court.

The appeal hearing took place on the 28 May 2014 and the Committee of Court having heard the arguments put forward on behalf of the appellant and in support of the decision of the Discipline Committee, confirmed the findings of the Discipline Committee and the penalty imposed having considered a plea of mitigation on behalf of the appellant. The appellant has been notified of the outcome of the appeal hearing.

Court is invited to note the outcome of the appeal hearing.

Dr Katherine Novosel
June 2014

Naming proposals for the King's Buildings - Roads and Buildings

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

This paper describes the background to the request to Court to agree the naming of the King's Buildings (KB) roads; the name for the modular building to be erected at KB and a proposed name for the Chemistry laboratory block.

In accordance with the University policy, support for three proposals has been obtained from the Convener of the Estates Committee, the Director of Estates and Buildings, the Vice-Principal External Engagement and the Principal.

Action requested

Court is requested to:

- Approve the names for the King's Building roads;
- Approve the name for the modular building to be erected on KB; and
- Approve the name proposed for the Chemistry laboratory block.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? Yes, approval of the road names by the City of Edinburgh Council is being sought in parallel with seeking approval through the University's governance structure.

Equality and diversity:

Has due consideration been given to the equality impact of this paper? Yes, the proposed names reflect views expressed by the Estates Committee at its March meeting.

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

Prof Lesley Yellowlees. Vice Principal and Head of College of Science & Engineering

The University of Edinburgh

The University Court

23 June 2014

D8

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 19 April to 4 June 2014, prepared for the Meeting of Court on 23 June 2014.

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, Development & Alumni Engagement/Secretary, University of Edinburgh
Development Trust