THE UNIVERSITY of EDINBURGH

University Court
Room G01, The Royal (Dick) School of Veterinary Studies
Monday, 22 June 2015, 1.00pm

AGENDA

1 Minute **A**

To *approve* the Minute of the previous meeting held on 11 May 2015.

2 Matters Arising **Verbal**

To *raise* any matters arising.

3 Principal's Communications **B**

To *receive* an update by the Principal.

4 Designation of Assistant Principals **C**

To *approve* the proposals presented by the Principal.

SUBSTANTIVE ITEMS

5 Business Planning Round 2015-2018 **D**

To *approve* the proposals presented by the Deputy Secretary Strategic Planning.

6 Enhancement-Led Institutional Review (ELIR) – Reflective Analysis and Case Studies **E**

To *endorse the approach* in the paper to be presented by Senior Vice-Principal.

7 Estate Projects

- Quartermile Project **F1**
- Centre for Tissue Repair **F2**

To *approve* proposals from Vice-Principal Professor Seckl and Director of Estates.

8 Education Act 1994 **G**

To *consider and note* paper by Deputy Secretary, Student Experience.

Break to clear lunch away - 2.00pm

9 SRUC - Update **H**

To *consider and comment* on proposals in paper by Director of Corporate Services.

If you require this agenda or any of the papers in an alternative format e.g. large print please contact Dr Katherine Novosel on 0131 650 9143 or email Katherine.Novosel@ed.ac.uk

10 Finance – loan proposal

- Finance Strategy Update **I1**
- Ten Year Forecast **I2**
- Estate Funding Strategy **I3**

Tea and Coffee break – 3.00pm

11 EU Referendum **J**

To *consider and comment* on paper by Senior Vice-Principal.

12 A Vision for Learning and Teaching

To *consider and comment* on paper by Vice-Principal Learning and Teaching. **K**

ROUTINE ITEMS

13 EUSA President's Report **L**

To *receive* an update by the EUSA President.

14 University Risk Register **M**

To *approve* revised Risk Register and Risk Appetite Statement presented by Convener of Audit and Risk Committee.

15 Standing Committee Reports

- Policy and Resources Committee **N1**
- Nominations Committee Report **N2**
- Audit and Risk Committee Report **N3**
- Knowledge Strategy Committee Report **N4**
- Committee on University Benefactors **N5**

16 Any Other Business **Verbal**

To *consider* any other matters by Court members.

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

17 Academic Report **O**

To *note.*

18 Senate Committees' Annual Report **P**

To *note*.

19 Strategic Plan 2016-2021 - Update **Q**

To *approve*.

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20 SFC Strategic Plan Forecast 2014-2018 **R**
To *approve.*

21 Resolutions **S**
To *approve.*

22 Donations and Legacies **T**
To *note*.

23 Dates 2015/2016 – 2016/2017 **U**
To *note.*

24 Uses of the Seal
To *note.*

25 Date of next meeting
Monday, 21 September 2015 at 2.00pm.

If you require this agenda or any of the papers in an alternative format e.g. large print please contact Dr Katherine Novosel on 0131 650 9143 or email Katherine.Novosel@ed.ac.uk

THE UNIVERSITY of EDINBURGH

A

UNIVERSITY COURT

11 May 2015

Minute

Present:
Mr Steve Morrison Rector (in chair)
The Principal, Professor Sir Timothy O'Shea
Sheriff Principal Edward Bowen
Ms Doreen Davidson
Mr Alan Johnston
Professor Ann M Smyth
Dr Claire Phillips
Dr Anne Richards, Vice-Convener
Mr David Bentley
Dr Robert Black
Mr Peter Budd
Mr Les Matheson
Lady Susan Rice
Ms Angi Lamb
Ms Briana Pegado, President, Students' Representative Council
Ms Tasha Boardman, Vice-President Students' Representative Council

In attendance:
Mr Sandy Ross, Rector's Assessor
Ms Urte Macikene, EUSA Vice-President Services elect (for presentation and item 1 only)
Senior Vice-Principal Professor Charlie Jeffery
Vice-Principal Professor Dorothy Miell
University Secretary, Ms Sarah Smith
Mr Hugh Edmiston, Director of Corporate Services
Mr Gavin McLachlan, Chief Information Officer
Ms Leigh Chalmers, Director of Legal Services
Mr Gavin Douglas, Deputy Director, Student Experience
Mr Gary Jebb, Director of Estates
Ms Zoe Lewandowski, Director of Human Resources
Mr Philip McNaull, Director of Finance
Mrs Tracey Slaven, Deputy Secretary, Strategic Planning
Ms Fiona Boyd, Head of Stakeholder Relations and Senior Executive Officer
Mr David Gorman, Director of Social Responsibility and Sustainability (for item 8 only)
Dr Katherine Novosel, Head of Court Services

Apologies:
The Rt Hon Donald Wilson, Lord Provost of the City of Edinburgh
Dr Marialuisa Aliotta
Professor Sarah Cooper
Dr Chris Masters
Professor Jake Ansell

This meeting of Court was preceded by a presentation from Professor James Smith, Vice-Principal International on Internationalisation - the next steps.

1 Minute **Paper A**

The Minute of the previous meeting held on 9 February 2015 was approved as a correct record.

Dr Anne Richards, Vice-Convener of Court, warmly welcomed Mr Steve Morrison, Rector to this his first meeting of Court following his election in February 2015. Mr Morrison thanked the Vice-Convener and intimated how much he was looking forward to working with colleagues on Court and across the University.

Court members also welcomed Mr Sandy Ross, Rector's Assessor and Ms Urte Macikene, EUSA Vice-President Services elect: Ms Macikene and Mr Jonny Ross-Tatam EUSA President elect would be joining Court as members with effect from 8 June 2015.

Court further noted that this would be the last meeting to be attended by Ms Briana Pegado EUSA President, Ms Tasha Boardman, EUSA Vice-President Services and Mr Les Matheson. Members recorded their thanks for their commitment to the University, specifically in respect of their work on Court, and wished them well for the future.

2 Note of Seminar **Paper B**

Court approved the Note of the seminar and welcomed the circulation of information on the Strategic Vision 2025 to the University community: the published document was tabled at the meeting.

3 Principal's Communications **Paper C**

Court noted the contents of the Principal's Report and the additional information on: the success of recent international events in India; the current satisfactory position in respect of applications for the 2015/2016 academic year; the University's approach to the implications of the reduction in SFC funding; developments and opportunities in South America and the focus of University activities now being in the office in Santiago, Chile with network offices in Brazil and Mexico; the various initiatives taken forward during the Principal's sabbatical particularly around on-line learning and MOOCs; the progress and interest in The Alan Turing Institute; the UK election results and issues around the EU and possible referendum; interactions with the Scottish Government; the recruitment underway for the extended role of Vice-Principal, Student Experience, Teaching and Learning; concern around the funding of the EU's Horizon 2020; USS consultation and the next steps; the success of the EUSA Teaching Awards; and the lessons to be learnt from the meeting on UniversCities in Geneva.

4 Vice-Principal and Assistant Principal designations **Paper D**

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

Professor Chris Breward - Principal Edinburgh College of Art and Vice-Principal Creative Industries & Performing Arts term of appointment extended until 31 July 2019**.**

Professor Charlie Jeffery - Senior Vice-Principal term of appointment extended until 30 September 2017.

Professor Jonathan Seckl - Vice-Principal Planning, Resources and Research Policy term of appointment extended until 31 July 2018.

Professor Lesley Yellowlees - Vice-Principal and Head of College Science and Engineering term of appointment extended until 31 July 2017.

Dr Tina Harrison - Assistant Principal Academic Standards & Quality Assurance term of appointment extended until 31 July 2018.

5 Assistant Principals adjustments **Paper E**

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

The term of office of Professor Ian Pirie as Assistant Principal Learning Developments to be extended until 31 December 2015 on a revised basis.

SUBSTANTIVE ITEMS

6 Business Planning Cycle **Paper F**

Court noted and endorsed the approach being taken forward in response to the changes in the funding environment and the proposals around College budgets for 2015/2016 which had also been supported by the Policy and Resources Committee. The University was in a strong long-term financial position with robust financial and corporate management processes in place and Court was supportive of strategic investment and the aim to invest and grow during this current challenging period.

Court further noted that, based around the current proposals and taking forward around half of the strategic bids submitted, a surplus of around £10m - £12m (1.3% of turnover) would be achieved in 2015/2016. Finalised plans based on this approach would be presented to the next meeting of Court for approval. It was confirmed that the University would aim to grow income to substitute for the

recent SFC cut, returning to return to a 3-4% surplus and there was flexibility and options available to the University.

7 SRUC - update **Paper G**

The current position in taking forward discussions around a strategic alliance with SRUC was noted; a detailed business plan was being prepared and work continued to progress on the due diligence exercise. Court further noted the actions being pursued by the SRUC Board and in particular the various property options being considered. There was engagement between the two institutions at different levels and a helpful informal meeting had now taken place between the Court and SRUC Board Sub-Groups. Court further noted the issues where clarification was still being sought. It was the intention to bring a number of papers to the next meeting of Court covering a range of matters to take discussions forward to the next stage. Court thanked all these involved in this project particularly Mr Hugh Edmiston, Director of Corporate Services.

8 Report of the Fossil Fuels Review Group **Paper H**

It was noted that this University was the first in Europe to sign the UN Principles of Responsible Investment following agreement by Court in December 2012. During 2014 there had been a wide-ranging consultation which included staff and students around taking this forward and particularly the drafting of a new Responsible Investment Policy Statement. As part of this process EUSA had presented concerns around investment in fossil fuels and the University's Central Management Group (CMG) had established a short life working group to consider this issue.

The Fossil Fuels Review Group had been established following the CMG meeting of 8 October 2014 and had met on 6 occasions. Court welcomed that it had adopted an evidence-based approach in taking forward concerns on investment in fossil fuels and had considered information provided against the criteria agreed by CMG. The Court further welcomed the membership of the Group with representation from across the University community including EUSA and that the Group had obtained information from all positions in the debate.

The Review Group had now concluded its deliberations and its Report had been considered by the CMG on 14 April 2015. Court noted the discussions from that CMG meeting and welcomed the balanced Report from the Review Group on this very complex issue. Court considered the recommendations of the Review Group and approved options 2, 3, 4, and 5. Court also recommended that we now take steps to implement the changes and further approved the additional recommendations listed at the end of the report. It was noted that the Court's decision would be appropriately communicated across the University and that given the level of media interest a press conference had been arranged for 12 May: the decision of Court

should remain strictly confidential until after the announcement on Tuesday.

Court thanked all those involved in this complex matter and in particular the Senior Vice-Principal for his chairing of the Review Group.

9 Court and Committee Cycle **Paper I**

Court approved the proposals to enhance the current Court and Committee cycle and that commencing at the start of 2015/2016, five Court meetings would be held in September, December, February, April and June to meet the business needs of the University. It was noted that revised meeting dates would be circulated as soon as practicable.

10 Court Effectiveness Review **Paper J**

The Scottish Code of Good Higher Education Governance requires governing bodies to conduct an annual review of its effectiveness. Court approved the proposals as set out in the paper which included a survey of the views of Court members and an exercise to determine compliance with the Scottish Code and the Court's Statement of Primary Responsibilities. Further proposals would be presented in due course on the process to undertake an externally facilitated review during 2015/2016.

11 Consultation on Higher Education Governance Bill - update **Paper K**

Court noted the conclusion of the consultation and the key points recorded in the analysis of the written responses published by the Scottish Government on proposed new legislation on the governance of Scottish universities. There continued to be discussion with the Scottish Government on the proposed legislation and the various areas of concern within the higher education sector. Court further noted the commitment by the Scottish chairs to achieve a minimum of 40% of men and of women among independent members of governing bodies.

ROUTINE ITEMS

12 EUSA President's Report **Paper L**

Court noted the items within the EUSA President's Report and the additional information on: work on a financial plan for EUSA; and the awards achieved at the NUS Scotland Awards.

13 Policy and Resources Committee Report **Paper M**

Court noted the report and on the recommendation of the Policy and Resources Committee approved the purchase of property on Riego

Street, the proposed investment of cash reserves and the recapitalisation of Old College Capital.

14 Knowledge Strategy Committee Report **Paper N**

It was noted that there had been three outstanding presentations at the last meeting of the Knowledge Strategy Committee which would be followed up at future meetings. Court welcomed the issues being taken forward by this Committee particularly in relation to IT security and a Research IT Services Strategy.

15 Exception Committee Report **Paper O**

The items approved by the Exception Committee on behalf of Court were noted.

16 Audit and Risk Committee Report **Paper P**

Court noted the report and approved the revised accounting policies as a result of FRS102.

17 Nominations Committee Report **Paper Q**

On the recommendation of the Nominations Committee, Court approved the following appointments:

Mr Alan Johnston to be appointed Co-opted member of Court with effect from 1 August 2015 until 31 July 2018.

Ms Alison Grant to be appointed as soon as possible as a Co-opted member on a date yet to be confirmed until 31 July 2018.

Post meeting note: It has been confirmed that Ms Grant is able to join Court with effect from 1 June 2015.

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

18 Court Membership **Paper R**

Court noted the following new members:

General Council Assessors: Dr Alan Brown and Mr Ritchie Walker joining Court with effect from 1 August 2015.

EUSA representatives: Mr Jonny Ross-Tatam EUSA President elect and Ms Urte Macikene EUSA Vice-President Services elect joining Court with effect from 8 June 2015.

The Rector had also appointed Mr Sandy Ross as his Assessor with immediate effect.

19 Academic Report **Paper S**

Court noted the Academic Report.

20 Draft Resolutions **Paper T**

Court approved the following draft Resolutions:

Draft Resolution No.18/2015:	Board of Studies
Draft Resolution No.19/2015:	Code of Student Conduct
Draft Resolution No.20/2015:	Postgraduate Degree Programme Regulations
Draft Resolution No.21/2015:	Undergraduate Degree Programme Regulations
Draft Resolution No.22/2015:	Postgraduate degree of Doctor of Clinical Dentistry (DClinDent)

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

21 Constitution of the Scottish Consortium for Rural Research **Paper U**

On the recommendation of the Board of the Scottish Consortium for Rural Research (SCRR), Court approved the revised constitution of SCRR.

22 Laigh Year Regulations **Paper V**

Court approved the revised Laigh Year Regulations with effect from 8 June 2015 and noted that approval would now be sought from Senate.

23 Donations and Legacies **Paper W**

Court noted the donations and legacies received by the Development Trust from 22 January to 23 April 2015.

24 Request for Delegation of Authority for equipment purchase **Paper X**

Court approved the request for purchasing authority and delegated authority to Vice-Principal Professor Sir John Savill to finalise the details of the purchase and sign off any required documentation.

25 Uses 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.

26 Date of next meeting

The next meeting of Court will be held on Monday, 22 June 2015 at 2.00 pm in the Royal (Dick) School of Veterinary Studies, Easter Bush.

THE UNIVERSITY of EDINBURGH

B

UNIVERSITY COURT

22 June 2015

Principal's Report

Description of paper
1. The paper provides a summary of activities that the Principal and the University have been involved in since the last meeting of the University Court.

Action requested
2. Court is asked to note the information presented.

Recommendation
3. No specific action is required of Court, although members' observations, or comment, on any of the items would be welcome.

Background and context
4. A summary of recent UK and international activity undertaken by the Principal and the University, relevant news for the sector is also highlighted.

Discussion
5. *University News*

a) Post Study Work Visa
The issue of lobbying for the reintroduction of a Post Study Work Visa, particularly in Scotland, is gaining momentum. Following a positive cross-party response to the Post Study Work Working Group's Report and the Parliamentary Debate earlier this year on the subject, the Scottish Government is asking organisations to sign a statement calling for the post study work route to be reintroduced in Scotland. The University has signed up in support of this initiative as has Universities Scotland.

b) Scottish Business Pledge
The Scottish Government have recently released further information about how an organisation signs up to the Business Pledge which was announced last December. As the University meets the criteria we intend to sign up promptly. The criteria are that all eligible employees are paid the Living Wage or above, together with at least two other Pledge elements, of which we meet many including: the appropriate use of zero hours contracts; playing an active role in the local community; supporting workforce engagement and development.

c) Universities Superannuation Scheme (USS) Consultation
The formal USS consultation period which began on 16th March was closed on 22nd May. There were a total of 105 responses from members at this Institution, with 38 respondents filing their comments in the final 2 days of the exercise. Responses are being grouped into themes so that a broad understanding of the issues raised by those at the University of Edinburgh are understood. The Trustees will consider the responses received during June

and July and pass any potential modifications to the proposals to the Joint Negotiating Committee which will make the final decision on the proposed changes.

Further information on the final agreed benefit structure will be made available to affected employees during the autumn. The earliest proposed implementation date is 1 April 2016.

d) 2015-16 Pay Round
The final JNCHES negotiation meeting took place on 12 May. A full and final offer was made at this meeting for a general base pay uplift of 1% from 1 August 2015 on all points, save for points 1 to 8 where higher base increases have been offered.

The offer also includes proposals for two new pieces of joint work on matters relating to the gender pay gap and to casual and hourly paid staff.

All Unions are currently in consultation with their members on acceptance, UCU, Unite, GMB and EIS-ULA have all recommended that their members reject the offer. Unison have advised members that the offer is "the best that can be achieved by negotiation" and that "any improvement will only be secured by sustained strike action".

We expect to know the outcome of the union member consultations by the end of June. Following this consultation, if Unions wished to pursue industrial action they will need to ballot their members.

e) Vice-Principal Student Experience, Teaching and Learning
Shortlisting for the Vice-Principal Student Experience, Teaching and Learning has now taken place and the interviews will be held on the 23rd June. We hope to make an appointment shortly after that and a paper will go to Court Exception Committee for confirmation of the appointment in due course.

f) Edinburgh City Council Engagement
There has been increased engagement with Edinburgh City Council in recent months, with a joint meeting between senior offices to discuss future collaborative projects being a notable recent highlight. The Senior Vice-Principal has also been leading on City Deal discussions with positive progress being made in this direction.

g) Scottish Funding Council (SFC)
The University hosted the SFC for their day long Strategic Dialogue Meeting involving court members, students and staff. The meetings are designed to facilitate discussions between all parties in order to improve joint understanding and strengthen relationships. The meetings were thorough and constructive and gave an opportunity for senior officers to discuss recent research funding policy.

The University also submitted our response to the SFC consultation on their strategic plan during May.

h) Edinburgh College of Art
Another excellent degree show this year from our Edinburgh College of Art students, where the visitor footfall has almost doubled since 2009 and now stands at over 27,500. There was also much student success at the Graduate Fashion Week awards where 2 of the 5 awards were won by one of our students Melissa Villevieille.

i) Alumni Weekend
The series of engaging alumni events delivered in the first weekend of June by the General Council and Development & Alumni were very enjoyable and provided an excellent focus for members of the University community to come together.

j) I was delighted to witness success for our rowing teams in the recent Glasgow-Edinburgh Boat Race. Olympic rowing champion Katherine Grainger, who has previously competed in the event, started the 1st VIII male and female races - which were both won by Edinburgh. Our rowers have had a highly successful season which has seen them achieve their highest ever rankings - second place - in the British Universities & Colleges Sport Championships.

k) High Level Visits and Meetings
I was very pleased to welcome Professor Helga Nowotny to the University who gave an excellent Gifford Lecture on *Beyond Innovation, Temporalities. Re-use. Emergence.* There were also two other notable lectures, a very enjoyable Arbuthnott Lecture from the Irish Times journalist Fintan O'Toole and the Fulbright Lecture expertly delivered by Ambassador Jack Matlock.

Mr Howard Covington the new Chair of the Turing Institute visited the University in May and spoke with key people about the emerging plans.

It was good to welcome the Deputy First Minister Mr John Swinney MSP to the University for an Innovation Forum event, and I had a subsequent meeting with him and Chris van der Kuyl to discuss support for software companies in Scotland. I also welcomed Cabinet Secretary for Social Justice, Communities and Pensioners' Rights, Mr Alex Neil MSP to an event at the Edinburgh Centre for Carbon Innovation.

In mid-June I was part of the panel taking part in an online seminar considering Higher Education After the Election.

I addressed delegates at the Holyrood Magazine's Learning Through Technology Conference in mid-May and spoke about MOOCs at the Open University FutureLearn conference in June.

I had a very positive introductory meeting with the new Director of the International Festival, Mr Fergus Linehan and hosted a lunch meeting for a senior Santander Executive who I met while in Chile, Mr Christian Lopicic and colleagues from Latin American studies.

The Royal College of Surgeons kindly invited me to their Triennial Dinner and I was also a guest at the General Assembly of the Church of Scotland Moderators reception and attended the Times Higher Leadership and Management Awards.

I spoke to the Headmasters' and Headmistresses' Deputy Heads Conference in Glasgow about the University and the approach we take on admissions

l) Further details of University activity, including research success can be found here:
http://www.ed.ac.uk/news/archive
Information relating to staff success, news and recognition can be found here:
http://www.ed.ac.uk/news/staff

6. International News

a) Europe
The University's seminar in Brussels on what the European University might look like in 2025 was very successful. Approximately a hundred guests listened to me, Xavier Prats-Monné - Director-General Education and Culture at the European Commission, Zoran Stančič - Deputy Director-General of Connect at the European Commission and Katrien Maes - Chief Policy Officer at the League of European Research Universities, speak on different aspects of the topic. This was followed by an engaging panel discussion facilitated by Vice-Principal Digital Education Jeff Haywood.

There was a strong sense of interest and enthusiasm for the University in evidence and we plan to repeat the format, with different subject matter, in the future to build the University's engagement and contacts in Brussels.

I also participated in the LERU Rectors Assembly in Geneva in May.

b) East Asia
The Senior Vice-Principal led a delegation to Zhejiang, Hong Kong, Singapore and Shanghai in May 2015 with senior staff from Edinburgh Centre for Carbon Innovation, College of Medicine and Veterinary Medicine and Development & Alumni. The joint Zhejiang-Edinburgh Institute of Biomedical Sciences was formally launched whose first outcome will be a four-year BSc in Biomedical Sciences which will launch in 2016.

c) North America
Planning has commenced to host a 'pop-up campus' in late September 2015 in key locations across North America.

d) Latin America
To follow up from my note of the visit in early May to Chile, the University has signed a new Memorandum of Understanding with Universidad Adolfo Ibáñez, Chile. Also, that during the U21 Presidents' Meeting Professor Stephen Hillier

was awarded the U21 Medal for his long term contribution to internationalisation of education.

e) International high level delegations were received from:
   - UKTI Moscow
   - University of Toronto
   - National Institute for Ocean Technology, India
   - Dalian University, China
   - Indian Institute of Technology, Bombay
   - High Commission Canada
   - Universidad de las Américas Puebla
   - National Association of Universities and Higher Education Institutions, Mexico
   - University of Copenhagen
   - University of Melbourne
   - Peking University
   - Romanian Academy of Medical Sciences

7. Higher Education Sector

a) Minister for Science and Universities
Following the election Mr Jo Johnson MP has been confirmed as the new Minister for Science and Universities by the Prime Minister. At a recent meeting with Universities UK he confirmed his commitment to implementing the Conservative Party's Higher Education commitments from the manifesto, noting in particular the development of a teaching quality framework and reiterated his support for the internationalisation agenda.

b) Queens Speech
Although the Queens Speech did not make any direct reference to Higher Education there were many proposals in the speech that will have substantial indirect impact such as the European referendum, taxes and budgetary controls, immigration and also extremism measures.

c) Budget Cuts
Although the outcome is not yet completely clear the announcement by the Chancellor of the Exchequer earlier this month of budget cuts to the Department for Business, Innovation and Skills will clearly have implications for Higher Education as the tight fiscal environment is likely to be the determining feature of the governments' approach for the next 5 years.

Resource implications

8. There are no specific resource implications associated with the paper.

Risk Management

9. There are no specific risk implications associated with the paper although some reputational risk may be relevant to certain items.

Equality & Diversity

10. No specific Equality and Diversity issues are identified.

Next steps/implications
11. Any action required on the items noted will be taken forward by the appropriate member(s) of University staff.

Consultation
12. As the paper represents a summary of recent news no consultation has taken place.

Further information
13. Principal will take questions on any item at Court or further information can be obtained from Ms Fiona Boyd, Principal's Office.

14. *Author and Presenter*
    Principal and Vice-Chancellor Sir Timothy O'Shea
    8 June 2015

Freedom of Information
15. Open Paper.

THE UNIVERSITY of EDINBURGH

C

UNIVERSITY COURT

22 June 2015

Assistant Principal Designations

Description of paper

1. The paper concerns an extension and re-designation for Assistant Principal Corporate Engagement, Professor Susan Deacon, and a new designation for an Assistant Principal – China.

Action requested

2. Court is asked to approve the request relating to Assistant Principal Corporate Engagement and an Assistant Principal - China.

Recommendation

3. Court is recommended to approve:

- The request to extend Assistant Principal Corporate Engagement for an additional 2 year period from 31st August 2015 until 31st July 2017 on a part-time 0.4 FTE basis and to change the designation to Assistant Principal External Relations which it is felt will better reflect the agreed remit.
- The request to establish an Assistant Principal – China with Professor Natascha Gentz appointed for an initial period of three years with effect from the 1st August 2015 to 31st August 2018. This Assistant Principal role relates to Professor Gentz's activities in leading the Confucius Institute and it is not therefore relevant to indicate an FTE.

Background and context

4. The paper is concerned with the ongoing management of Assistant Principals and seeks to clarify information such as remit and terms of office in order to ensure continuity and coverage for the University.

Discussion

5. Previously an Honorary Professor with the School of Social and Political Science, Court will be aware that Professor Susan Deacon was appointed in September 2012 as Assistant Principal Corporate Engagement and a Professorial Fellow with the University. Her remit was to help strengthen the University's relationships among key external stakeholders and to develop external relationships and knowledge exchange activities, including with the Academy of Government and the Edinburgh Centre on Carbon Innovation, to cement the University's position as a major hub for dialogue and collaboration between academia, policymakers and industry in addressing complex contemporary issues.

6. It is proposed that Professor Deacon's appointment as Assistant Principal be extended for a further two years on a 0.4 FTE basis. It is further proposed that her position be re-designated to Assistant Principal External Relations.

7. This revised designation will better reflect her thematic role and will aid differentiation from other senior positions. The key dimensions of this role will be to

work with the Senior Vice-Principal in supporting the development of external relationships across a range of areas and in the following fields in particular:-

- **The University and the City** – to develop a coordinated programme of work to strengthen the University's role as a strategic leader within Edinburgh and the surrounding region. This will build on inter alia the recent highly successful dialogue forums with city leaders from across business, charities and the public sector, as well as work done to strengthen links with the City of Edinburgh Council, both senior officials and elected members, and with other key City partners. This is now taking on further shape in discussions on education in the city, economic development around the City Deal and the development of a strategic initiative that would position the University in a key leadership role in shaping future city strategy over the years ahead.
- **Private Sector Stakeholder Relations** – to nurture effective relationships with individual companies and the main business representative bodies locally, in Scotland and at UK level. Also to identify areas of shared interest, enhance awareness of the University's areas of activity and achievement, and build support for University concerns. This role is distinct from, and additional to, the University's commercialisation-focused activities. It is an important route of messaging around the economic and social impact of UoE and the HE Sector which has the potential for significant development and is key to identifying opportunities for partnership and collaboration across a wide range of areas. Work to strengthen links and identify scope for joint working is already underway with, for example, the Edinburgh Chamber of Commerce, the Institute of Directors and the Scottish Council for Development and Industry as well as several major companies.
- **External Relationships Strategy** - to bring forward proposals, and help develop a more coordinated and strategic approach, to the development and management of key strategic relationships so as to help create the context for enhanced impact, and more effective influencing activities with stakeholders in policy and business communities. An important part of this role will be to take a more strategic approach to 'signature' events, such as regular university-level public lectures series, and other knowledge exchange activities, and so utilise these more effectively to enhance the University's links, profile and positioning. There is also an opportunity to develop wider benefit and opportunity through School and College stakeholder activity, especially in the Business School and SPS.

8. In addition to the above, the role would also offer support to the Senior Vice-Principal in other fields of external relations, notably community relations and engagement with elected representatives and political parties.

9. As with her initial appointment, this role draws heavily upon Susan Deacon's breadth of knowledge, experience and networks and her capacity to span boundaries between sectors and disciplines. She will therefore continue to provide advice and support across the University and to represent the University externally as required, and will maintain her engagement in a range of external knowledge exchange activities, public policy and leadership forums where these complement and augment her contribution to the University.

10. She will continue to combine her part-time post with the University with a wider non-executive portfolio which currently includes Board positions with Scottish Power Ltd, Lothian Buses, the Institute of Occupational Medicine, and the Institute of Directors.

11. Court is aware of the importance of internationalisation to the University. A key component of our international strategy is our engagement with specific countries, the People's Republic of China is one of our most important countries of engagement. Each year we welcome large numbers of Chinese students to Edinburgh, we have multiple important research and teaching partnership links with China, we maintain an office in Beijing, and are the hosts of a Model Confucius Institute.

12. For much of the last decade Professor Natascha Gentz has performed the role of Dean for China. She has performed this role with distinction and, during this time, has acted as founding director of the Confucius Institute. The international strategy is moving to a new phase with a greater emphasis on regional strategy. While this shift is important strategically we do not want to diminish our purchase and influence in China and we want to recognise the importance of our connection through the Confucius Institute. For these reasons I therefore propose to designate Professor Gentz as Assistant Principal - China, this will strengthen our connection to the country, facilitate Professor Gentz in her important academic and ambassadorial work via the Confucius Institute, and support the work of the Vice-Principal International.

13. I wish to make the appointment for an initial period of three years with effect from the 1st August 2015 to 31st August 2018.

Reporting
14. Assistant Principal External Relations will report to the Senior Vice-Principal. There will be no

Resource implications
15. There are no specific new resource implications as costs will be met from within existing plans.

Risk Management
16. There are reputational and regulatory risks if the University is not seen to be fully committed to this portfolio.

Equality & Diversity
17. Full consideration of Equality and Diversity issues has been considered by those involved in these discussions including College and Central HR teams.

Next steps/implications
18. Any action required on the items noted will be taken forward by the appropriate member(s) of University staff.

Consultation
19. Consultation has taken place with those individuals involved.

Further information

20. *Author and Presenter*
    Principal and Vice-Chancellor Sir Timothy O'Shea
    7 June 2015

Freedom of Information

21. Open Paper.

THE UNIVERSITY of EDINBURGH

D

UNIVERSITY COURT

Business Planning Round – 2015-2018

22 June 2015

Description of paper

1. The planning round paper presents the overview of the final plans as submitted by major budget owners, confirms the proposals for strategic investments and sets out the financial impact of the proposals on the planned surplus.

2. The proposals reflect the strategic deviation in surplus strategy previously discussed with PRC and Court.

3. The proposals do not make any assumptions about the impact of in-year Scottish Government budget changes as a result of amendments by the Chancellor of the Exchequer on 8 July 2015. Our response if such cuts are made include mitigation through amendment to our student confirmation strategy.

Action requested

4. Court is asked to approve the final plans and investment proposals, and to endorse ongoing progress with the development of three year business planning.

Recommendation

5. Court is recommended to approve the proposed strategic investments, budgets and planned surplus.

Paragraphs 6 – 44 have been removed as exempt from release due to FOI.

Risk Management

45. The key risk identified during the Business Planning round is the potential for the reduction in external funding and an emphasis on efficiency to trigger conservative decision-making behaviour. It is essential that the University maintain a positive focus on diversification of income sources and growth to ensure we sustain our improvements in research and teaching excellence and international reputation.

46. Each College and Support Group will develop their risk registers which will flow into the University's overall risk register which is managed by the Risk Management Committee and the Audit and Risk Committee.

47. To examine the robustness of our proposed plans, we have developed a number of sensitivity tests in the form of 'what if…' scenarios to stress the income and expenditure cash flows and the earnings. These tests are detailed in the 10 Year Forecast papers with key impacts related to the introduction of constraints on the numbers of International Students and/or a change in our access to funding for EU students and EU research funds.

Equality & Diversity

48. Equality is considered within the plans of the individual budget holders. No EIA is considered necessary.

Next steps/implications

49. Once agreed, budgets for 2015-2016 will be communicated to Colleges and Support Group budget holders.

Further information

50. The purpose of this paper is to support strategic decisions on resource allocation.

51. *Authors* — *Presenter*

Tracey Slaven, Deputy Secretary Strategic Planning — Tracey Slaven
Jonathan Seckl, VP Resources and Research Policy
Phil McNaull, Director of Finance
12 June 2015

Freedom of Information

52. The paper is closed until the completion of the business planning round.

THE UNIVERSITY of EDINBURGH

E

UNIVERSITY COURT

22 June 2015

ELIR Reflective Analysis and Case Studies

Description of paper

1. The paper presents the Reflective Analysis and Case Studies for the University's Enhancement-Led Institutional Review (ELIR) by the Quality Assurance Agency Scotland (QAAS) in Semester 1 2015/16. The documents are available on the Court wiki at https://www.wiki.ed.ac.uk/display/UCC/University+Court

Action requested

2. Court is asked to consider the Reflective Analysis and Case Studies.

Recommendation

3. Court is invited to endorse the Reflective Analysis and Case Studies on the recommendation of the Senate Quality Assurance Committee. Senate at its meeting on 3 June also endorsed this document.

Background and context

4. The paper is relevant to the University's Strategic Plan 2012-16 Strategic Goal of 'excellence in education' and Strategic Theme of 'outstanding student experience'.

5. ELIR is the review method of QAAS for universities and other higher education institutions in Scotland. The main focus of ELIR is to consider an institution's strategic approach to enhancement, placing a particular emphasis on the arrangements for improving the student learning experience. ELIR also examines the institution's ability to secure the academic standards of its awards. Institutions are reviewed on a four-yearly cycle. The University's last review took place in Semester 1 2011, when it was awarded the highest judgement of 'Confidence in the institution's current, and likely future, management of the academic standards of its awards and the quality of the student learning experience it provides.' The report of the 2011 review is publicly available on the UK Quality Assurance Agency website at http://bit.ly/1QtlbSA . The University has taken forward the areas for development identified by the 2011 review and updates on progress are included in the Reflective Analysis.

Discussion

6. ELIR reviews are carried out by a team of six reviewers: one student reviewer, one international reviewer, three senior UK-based academic reviewers and one coordinating reviewer.

7. The institution undergoing ELIR submits a self-evaluation document called a Reflective Analysis, together with one or more Case Studies.

8. The institution is asked to identify in the Reflective Analysis what it hopes to achieve from the ELIR. In particular, the institution has the opportunity to identify aspects of its strategic intentions (or their implementation) on which it would

particularly welcome the ELIR team's view. The University's Reflective Analysis identifies two areas:

- Feedback and endorsement from the reviewers that the Personal Tutoring project is developing effectively.

- Feedback and endorsement from the reviewers on the University's approaches to enabling and promoting student engagement in the curriculum/co-curriculum and learning with a particular emphasis on links to future strategy for learning and teaching.

9. The Case Studies support the information base for the review. They provide the institution with an opportunity to identify self-contained examples that reflect the particular characteristics of the institution's strategic approach to enhancement and the effectiveness of its management of change. Institutions are also able to use the case study format to present the ELIR team with information on an area of current priority.

10. The ELIR team uses these documents and a further set of material from the University's annual and periodic quality assurance processes to develop themes for exploration during two visits to the institution. During the visits the ELIR team meets with a range of staff and students. These themes relate to six broad areas of institutional activity:

- Institutional context and strategic framework
- Enhancing the student learning experience
- Enhancement in learning and teaching
- Academic standards
- Self-evaluation and management of information
- Collaborative activity

11. At the end of the review, the ELIR team produces an Outcome report covering the overarching judgment, the areas of positive practice and the areas for development and a more detailed Technical report. Following a review of the ELIR method by QAAS, the overarching judgements for reviews in the period 2012-2016 indicate that the institution's arrangements are: effective; have limited effectiveness; or are not effective. It will be possible for the overarching judgement to be disaggregated so that, for example, one aspect may be identified as having limited effectiveness while the other aspects are identified as effective.

12. The ELIR visits to the University take place on 6 and 7 October 2015 and in the week of 9 November 2015. The Principal will welcome the ELIR team to the University on 6 October 2015.

13. One week after the review the University will receive a letter from QAAS outlining the key themes identified by the review. Following the opportunity for comment by the University on the draft report, the final report will be published on the QAA website 16 working weeks after the review. Senate Quality Assurance Committee will be responsible for overseeing actions in response to the report.

14. Twelve months after publication of the report the University reports to QAAS and to the Scottish Funding Council on actions taken. Thereafter progress with actions is discussed at the University's annual discussion with QAAS.

Resource implications

15. There are no specific resource implications associated with the paper. However, there may be resource implications depending on the outcome of the review.

Risk Management

16. The University has a low appetite for risks involving its reputation and compliance. The Reflective Analysis and Case Studies form a key part of the University's evidence base for the ELIR.

Equality & Diversity

17. An Equality Impact Assessment is not required. The Reflective Analysis Section 2.2 describes the University's approach to supporting equality and diversity in our student population. (p. 30)

Next steps/implications

18. The Reflective Analysis and Case Studies will be prepared for submission to QAAS.

Consultation

19. The University's Reflective Analysis and Case Studies have been produced by a steering group chaired by Dr Tina Harrison, Assistant Principal Academic Standards and Quality Assurance and including EUSA membership. A draft of the Reflective Analysis and Case Studies was made available to the University community for comment in February 2015. Consultation with students on the draft was managed by EUSA.

Further information

20. *Author*
Dr Tina Harrison
Assistant Principal Academic
Standards and Quality Assurance
5 June 2015

Presenter
Senior Vice-Principal Charlie Jeffery

Freedom of Information

22. The paper is open.

THE UNIVERSITY of EDINBURGH

F1

UNIVERSITY COURT

22 June 2015

Quartermile – Proposed Strategic Acquisition for 'Business+: the University of Edinburgh Business Quarter'

Description of paper

1. The purpose of the paper is to provide Court with information on discussions which have taken place with Quartermile regarding the strategic acquisition of the former surgical buildings on the old Royal Infirmary of Edinburgh site adjacent to Middle Meadow Walk and seeks approval to proceed with signing of a Heads of Terms in relation to the acquisition. The paper also presents the initial feasibility study investigating the potential of relocating the Business School at Quartermile for consideration, which is a significant element of the proposal.

Action requested

2. Court is invited to:

- to consider and approve the strategic acquisition of the former surgical buildings on the old Royal Infirmary of Edinburgh site with a view to concluding the transaction with Quartermile;
- to note that the acquisition would be taken to a conclusion within the Heads of Terms during July/August 2015, with a completion date to be agreed;
- to note the work carried out to date investigating the relocation of the Business School to Quartermile, detailed paper available at: https://www.wiki.ed.ac.uk/display/UCC/University+Court;
- note the support of Estates Committee and the Policy and Resources Committee for the proposal to acquire the site at Quartermile;
- note that a full business case for the use of the site will be prepared over the next 6 month period for approval by University Court.

Recommendation

3. On the recommendation of the Estates Committee and the Policy and Resources Committee, Court is recommended to approve the acquisition of the site.

Paragraphs 4 – 21 have been removed as exempt from release due to FOI.

Risk Management

22. The immediate risk is in relation to programming and being able to respond to Quartermile with a firm offer to acquire the property during June 2015. Quartermile have alternative, firm proposals for the site themselves which have been placed on hold for a limited period of time to allow the University to consider the viability of the development. Should a decision be made to acquire the site, a detailed project risk register will be prepared.

Equality & Diversity

23. There are no equality and diversity issues identified at this point.

Paragraph 24 has been removed as exempt from release due to FOI.

Consultation

25. Estates Committee, the Principal's Strategy Group and the Policy and Resources Committee have been consulted on the proposal and are supportive of proceeding with the acquisition of the site.

Further information

26. Further information can be provided by Jane Johnston.

Author	*Presenter*
Dorothy Miell, Head of College, HSS Jane Johnston, Head of Estates Planning and Special Projects	Gary Jebb, Director of Estates

Freedom of Information

27. The paper should remain closed until all commercial negotiations on purchase price are concluded as well as any commercial or construction contracts have been concluded.

THE UNIVERSITY of EDINBURGH

F2

UNIVERSITY COURT

22 June 2015

Centre for Tissue Repair – Business Case

Description of paper
1. The paper reports on progress of the new Centre for Tissue Repair new building project for the College of Medicine and Veterinary Medicine (CMVM) at the Edinburgh BioQuarter and presents the business case for the project.

Action requested
2. Court is invited to note and approve.

Recommendation
3. On the recommendation of the Policy and Resources Committee, Court is invited to approve funding of from University Corporate resources and approve the Business Case and Summary Income and Expenditure Account (Appendices 1, 2 and 2.1).

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

Risk Management
17. A risk register for the project will be established.

18. The project risks will be monitored by the Project Board throughout the life time of the project.

Equality & Diversity
19. No issues were identified that may require highlighting in an equality and diversity context.

Paragraph 20 has been removed as exempt from release due to FOI.

Consultation
21. The paper has been prepared on the basis of inputs from the College of Medicine and Veterinary Medicine and endorsed by the Estates committee and the Policy and Resources Committee.

Further Information
22.

Author
Anna Stamp
Estates Development Manager
June 2015

Presenter
Professor Jonathan Seckl
Vice-Principal Planning, Resources and Research Policy

Freedom of Information
23. This paper is closed to protect the commercial interests of the University and potential contracting parties.

THE UNIVERSITY of EDINBURGH

G

UNIVERSITY COURT

22 June 2015

Education Act 1994

Description of paper

1. This paper summarises the work undertaken by the Edinburgh University Students' Association (EUSA) and the University of Edinburgh to demonstrate compliance with the requirements of The Education Act 1994 (the Act).

Action requested

2. Court is asked to note the supporting commentary on the requirements of the Act (Appendix 1), and be assured of current compliance.

Recommendation

3. No specific action is required of Court, although members' observations or comments on any items would be welcome.

Background and context

4. The Education Act 1994 outlines the relationship between educational establishments and student unions/associations. Section 22 of the Act 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 to both secure its observance, and through the provision of information to intending and matriculated students about the right to opt out of students' association membership.

5. Following the appointment of the new EUSA Chief Executive Officer in 2014, the Deputy Secretary Student Experience was tasked to work with EUSA and undertake an analysis of current compliance with the Act and to identify potential areas of improvement.

Discussion

6. A full compliance review has now been completed, evidenced by the Certificate of Assurance included as Appendix 1. A number of changes were made throughout 2014/15, including several which required formal approval by the EUSA Board of Trustees. Having undertaken this review, there are no significant matters arising which require to be specifically raised, and Court should be assured of current compliance with the Act and regular reporting to guarantee this going forward. The formal Code of Practice will be published by the University and EUSA by August 2015.

Resource implications

7. There are no specific or additional resource implications associated with this paper.

Risk Management
8. There are no specific risk implications associated with the paper although some reputational risk may be relevant to certain items. No change is required to the University Risk Register.

Equality & Diversity
9. Due consideration to equality and diversity will be given to ensure compliance with the Act. If appropriate, a full Equality Impact Assessment will be taken as part of the consideration of any changes which may be proposed.

Next steps/implications
10. The completion of the Certificate of Assurance at the end of each academic year will be supported by a review of actions/processes in place to fulfil the key requirements of the Act. This will be updated by EUSA and presented at the last meeting of Court in each academic year if applicable.

Consultation
11. This paper has been reviewed by EUSA colleagues and the Deputy Secretary, Student Experience.

Further information
12. Further information is available from Stephen Hubbard, Chief Executive Officer, EUSA, and Gavin Douglas, Deputy Secretary, Student Experience. The Education Act 1994 is available online at http://www.legislation.gov.uk/ukpga/1994/30/contents.

13. *Authors*
Stephen Hubbard
CEO, EUSA
Gavin Douglas
Deputy Secretary, Student Experience
June 2015

Presenter
Gavin Douglas
Deputy Secretary, Student Experience

Freedom of Information
14. This paper is open.

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Appendix 1 – EUSA: Certificate of Assurance – Requirements of the Education Act 1994

	1994 Requirements	Section of Act	Status	Supporting Commentary	Guidance
Constitutional issues					
1.	The student association should have a written constitution; subject to approval by the governing body and to review by that body at intervals of no less than five years	22 (2) (a) (b)	Complete	• A written Constitution is in place and was approved in April 2014. • The next review is due April 2019, and this is diarised by EUSA. • Interim improvements may be progressed and all amendments will be subject to approval by the University Secretary on behalf of University Court.	
2.	A student should have the right not to be a member of the student association/representative body and not to be disadvantaged, with regard to the provision of services or otherwise, by reason of their doing so.	22 (2) (c)	Complete	• This provision is included and the process is codified in the EUSA regulations. Students are not disadvantaged if they choose not to be a member of EUSA as they are allowed access to all services. • Those opting out cannot take part in democratic processes.	*The opt-out process will be published on the EUSA and University websites by August 2015.*
Elections and Appointments					
3.	Appointment to major association offices should be by election in a secret ballot in	22 (2) (d) (e)	Complete Ongoing	• Major association offices are defined as the four EUSA sabbatical positions (President,	

	which all members are entitled to vote.			Vice President Academic Affairs, Vice President Services, Vice President Societies and Activities). • EUSA trustees not to be included in this definition, although the same procedures exist in relation to elections process. • EUSA election regulations and the Reporting Officer report are submitted to University Secretary. • Complaint process regarding election process is clearly defined by EUSA and agreed by Elections Subcommittee of the EUSA Trustee Board. • EUSA election processes include statement that the University Secretary can nominate a member of UoE staff to oversee any aspect of the election process.	
4.	A person should not hold sabbatical student association office or paid elected student association office for more than two years in total at the establishment.	22 (2) (f)	Complete Ongoing	• Sabbatical Regulation confirms current status as a person can only hold sabbatical office for one term.	

Financial Management					
5.	The financial affairs of the student association are properly conducted.	22 (2) (g)	Complete Ongoing	• EUSA share several documents with UoE Director of Finance and University Secretary, including annual report of external auditors and statutory accounts. • Annual budget is submitted to UoE Director of Finance for information. • EUSA and UoE Forum reviews EUSA finances quarterly. • EUSA share management accounting information monthly with Deputy Director of Finance. • UoE Deputy Director of Finance currently sits on EUSA Finance Audit and Risk Sub Committee.	*It is proposed that EUSA's annual budget will be presented to Policy & Resources Committee for ratification in April each year.*
6.	The financial reports of the student association are published annually and made available to the governing body and to all students.	22 (2) (h)	Complete Ongoing	• Statutory accounts and annual report are published on the EUSA website and available on request to any member. • The annual budget is published on the EUSA website.	
7.	The allocation of resources to clubs or groups is fair.	22 (2) (i)	Complete Ongoing	• Budgets are set by the Trustees and allocations are delegated to appropriate student groups such as Students' Council and Societies Committee. • The process for allocation is published on the EUSA website.	

				• It is agreed (as a process) by the Trustee Board via the Finance Audit and Risk Sub Committee of the EUSA board.	
External Affiliations					
8.	Affiliations are transparent to the governing body and to all students.	22 (2) (j) (k) (l)	Complete	• Affiliations are included in annual report. • Donations are included in the annual report • Ongoing affiliations are subject to annual review by all students at Students' Council and The EUSA Trustee Board. • Affiliations can be challenged by a referendum under the terms of the Articles of Association, which is compliant with the requirements of the act for such a challenge.	
Complaints Procedure					
9.	There is a prompt and fair complaints procedure offering effective remedy.	22 (2) (m) (n)	Complete Ongoing	• Complaint procedure is in place and is published on the EUSA website • Complaint procedure allows for a final appeal to an independent person nominated by the University Secretary.	
Code of Practice					
10.	The Governing Body shall prepare and issue, and when necessary revise, a code of practice as to the manner in	22 (3) (4) (5)	Ongoing	• We have a statement relating to restrictions on activities by EUSA imposed by charity law.	*The Governing Body should be bring to the attention of all students at least once a year the code*

	which the requirements are to be carried out.			This is not published anywhere by the University.	*of practice, any restrictions imposed on the activities of the union by the law relating to charities and the right of a student not to be a member of the union.* *An appropriate mechanism for undertaking this action will be in place by August 2015.*

THE UNIVERSITY of EDINBURGH

H

CONFIDENTIAL

UNIVERSITY COURT

22 June 2015

SRUC – Update

Description of paper

1. This paper is to provide members of Court with an update on the current position in respect of the proposed strategic alliance with SRUC.

Action requested

2. Court is invited to note the update on the due diligence exercise, the business plan and the main challenges.

Recommendation

3. There are no specific actions required.

Paragraphs 4 – 19 have been removed as exempt from release due to FOI.

Risk Management

20. A detailed risk register has also been drafted in respect of this project and was included within the set of documents considered by the Court Sub-Group and is available on the Court wiki.

Equality & Diversity

21. There are no specific equality and diversity issues associated with this paper.

Next steps/implications

22. Further consideration will be required once informal soundings have been made.

Consultation

23. This paper has been reviewed by the University Secretary.

Further information

24. *Author*
Hugh Edmiston
Director of Corporate Services
June 2015

Presenter
Hugh Edmiston
Director of Corporate Services

Freedom of Information

25. This paper is Closed.

THE UNIVERSITY of EDINBURGH

I1

UNIVERSITY COURT

22 June 2015

Finance Strategy Update

Description of paper
1. The purpose of this paper is to present Court with a review of the Finance Strategy approved by Court in 2013 and to recommend changes.

Action requested
2. Court is invited to consider and comment on the update and to endorse the proposed changes.

Recommendation
3. Court is recommended to approve the proposed updated Finance Strategy.

Paragraphs 4 – 23 have been removed as exempt from release due to FOI.

Risk Management
24. The key points to note are that our Risk Appetite will need to be modified to accept that we will run lower surpluses than 2% of turnover for the next two or three years and that our current restriction on debt as a percentage of net assets would need to increase from 20% to 30%.

Equality & Diversity
25. An Equality Impact Assessment is not required in relation to this paper.

Next steps/implications
26. Court is asked to approve the updated Finance Strategy.

Consultation
27. The paper has been reviewed by PSG, PRC and CMG.

Further Information
28. *Author & Presenter*
Mr Phil McNaull
Director of Finance
12 June 2015

Freedom of Information
29. The paper is considered closed as it contains commercially sensitive information.

THE UNIVERSITY of EDINBURGH

I2

UNIVERSITY COURT

22 June 2015

Ten Year Forecast: 2014-15 Quarter 3

Description of paper

1. Although this paper is larger than usual our intention is to make the assumptions underpinning each line of the income and expenditure account more transparent, and we hope this provides a useful reference to colleagues. This paper presents a summary of the latest Q3 iteration of the Ten-Year Forecast (TYF)[1]. The purpose of the forecast is to model the medium to long term financial performance of the University, to monitor financial sustainability, and estimate cash usage and forward planning which will be needed to progress the Estates Development Plan.

2. The Ten-Year Forecast is a result of integrated financial planning of the I&E, balance sheet and cash flows. As a result, this version includes the long-term external debt proposal required to fund the long-term Estate Strategy, however, the three-year plan does not yet take account of this major capital funding requirement. This difference equates to an additional interest expenditure of per annum and if we were to adopt the Ten-Year Forecast version we would need to identify sources of new revenue and/or cost savings to account for this increase in expenditure. We believe that the work underway on service excellence reviews together with the increasing success of the Chancellor's Fellows/ECR appointments make this a credible target to deliver.

3. Appendix 1 shows the income and expenditure account, balance sheet, cash flow, key assumptions and performance ratios.

4. Appendix 2 provides a summary of the financial impact of each of the following three items as they are excluded from the main commentary in this paper:

- The proposed strategic alliance with SRUC.
- The Alan Turing Institute.
- The HMRC Research & Development Expenditure Credits (RDEC).

5. Appendix 3 provides an overview of the impact on surplus and cash flow should any of the previously modelled scenarios crystallise. The modelling shows the financial impact of each scenario in terms of revenue reduction and cost increase. Risk mitigation to reduce cost or re-phase cash flows are detailed and we have also modelled the impact of two scenarios happening at the same time.

Action requested

6. The University Court is asked to:

- note the base case forecast financial statements and the projected cash movements over the next ten years and to consider and provide comment on the scale of capital investment implied by the emerging Estate Strategy and its main building project elements.

[1] Version Q3_12.06.15

- note and comment on the key assumptions in appendix 1 underpinning the forecast.
- comment on the sensitivity analysis scenario modelling and in particular to identify concerns with the level of surplus generated or cash flow balances arising as a consequence of the scenarios considered and whether there are additional scenarios that should also be modelled.
- note the proposal that the University has sufficient visibility of probable level of estate investment over the next 10 years.
- confirm that management should continue to develop the process required to raise a significant amount of long-term external debt (up to £300 million but subject to more detailed rigorous cash flow forecasting) to ensure that the long term estate strategy can be funded by accessing record low cost debt markets.

Recommendation

7. The University Court is invited to provide feedback to the Finance Director on:
   - The scale and phasing of our estate development ambition.
   - Its impact on projected cash balances and overall financial sustainability.
   - The recommendation to Court that the proposal to raise up to £300m of long-term external debt should be adopted and taken forward as noted above.

Paragraphs 8 – 26 have been removed as exempt from release due to FOI.

Risk Management

27. The continuing health and sustainability of the University depends upon strong direction supported by robust forecasting. Continuing significant volatility in the external environment requires that we make regular reviews of our prospective performance, and build on this experience.

Equality & Diversity

28. The paper has no equality or diversity implications.

Next steps / implications

29. The next iteration of the ten-year forecast will be produced following feedback from this meeting of the University Court and will be presented to the Principal's Strategy Group in August.

Consultation

30. This paper has been reviewed and approved by the Director of Finance.

Further information

31. *Authors*
Fraser Wilson
Management Accountant
Lorna McLoughlin
Senior Management Accountant
12 June 2015

Presenter
Phil McNaull
Finance Director

Freedom of Information

32. This paper is closed. Its disclosure would substantially prejudice the commercial interests of the University.

THE UNIVERSITY of EDINBURGH

J

UNIVERSITY COURT

22 June 2015

European Union Referendum

Description of paper
1. The paper considers whether the University should remain neutral, or adopt a specific position, with regard to the coming UK referendum on the question of European Union (EU) membership.

Action requested
2. Court is asked to consider the options as detailed in the paper.

Recommendation
3. It is recommended that Court note the advice of the Principal's Strategy Group on this issue and agree that the University should take a pro EU membership public stance.

Paragraphs 4 – 13 have been removed as exempt from release due to FOI.

Risk Management
14. The issue of EU membership is noted on the University's Risk Register as a possible change to policy/legislation to be mitigated through engagement with government, political parties and sector bodies. The proposal to develop a public position is in keeping with the approach of direct engagement on the issue in order to protect the University's interests.

Equality & Diversity
15. There are no specific E&D issues to be considered.

Paragraph 16 has been removed as exempt from release due to FOI.

Consultation
17. Members of the Principal's Strategy Group (including Heads of College and Support Groups, Vice-Principal Planning, Resources and Research Policy and Director of Finance) have been consulted on this issue.

Further information
18. <u>*Author & Presenter*</u>
Professor Charlie Jeffery
Senior Vice-Principal
June 2015

Freedom of Information
19. Closed business.

THE UNIVERSITY of EDINBURGH

K

UNIVERSITY COURT

22 June 2015

A Vision for Learning and Teaching

Description of paper

1. This paper presents a synthesis of the responses received to the University's developing vision for learning and teaching, which is being led by Professor Sue Rigby (Vice-Principal Learning and Teaching). The paper relates to the University's Strategic Goal of 'Excellence in Education' and the Strategic Theme of 'Outstanding Student Experience'.

Action requested

2. Court is invited to note and consider the paper.

Recommendation

3. No specific action is required of Court, although members' observations, or comments, on any of the items would be most welcome.

Background and context

4. Over the last few years, the University has undertaken strategic projects to enhance student academic and pastoral support (via the Enhancing Student Support project) and broader student services (via the Student Experience project). It has also strengthened academic staff development via the establishment of the Institute for Academic Development, and is currently taking steps to increase recognition and reward for excellence in teaching.

5. The University is now planning to focus its attention on learning and teaching, building on lessons learned through engagement with the National Student Survey, by developing a Vision that can guide developments.

6. While the specific concepts in the draft Vision document are particularly relevant for undergraduate (UG) programmes, many of the ideas generated during the consultation will also be relevant for postgraduate taught (PGT) activities. We will ensure that we capitalize on synergies between UG and PGT where possible.

Discussion

7. *Consultation on the Emerging Vision for Learning and Teaching*

8. *The Vision*

The root document presented for discussion across the University was the Emerging Vision document approved by Principal's Strategy Group in January 2014 and co-authored by the three Heads of College and Vice Principal Learning and Teaching. It presented six themes for development in future, based on work with employers, with colleagues in digital domains and through discussions around curriculum development.

9. The six points were as follows:

- **A portfolio approach for a complicated and unpredictable future** - Develop a curriculum that maximizes the value of the breadth offered by a four year degree to enable students to learn widely and develop an individual academic pathway towards a degree.
- **Giving students agency to create their own learning** - put active and engaged students at the heart of their own journey through a degree – the student and their academic mentor are the centre of the process rather than the pattern of courses that compose a degree programme.
- **Extend learning beyond the traditional knowledge-centred course** - use the length and credit-pattern of our degrees to facilitate time spent developing graduate attributes through, for example, credit bearing self-directed study, international or service experience, interaction with employers, entrepreneurship.
- **Every student a researcher/practitioner** – students are linked to research or practice groups and activities from year 1. By year 4 they are deeply embedded in the active research/practice culture of their area of academic interest. Credit-bearing courses in multiple years value and permit evaluation of this engagement. We should explore the feasibility of an automatic offer of a PhD place to successful graduates (e.g. with a final degree mark of 65% or better).
- **Course design for 21st century learners** - develop all courses within the curriculum towards the appropriate use of technology and student-centred pedagogy and away from passive learning styles. An ongoing focus on small group interactions with academics will be key to this, with a reduced emphasis on the 'traditional' lecture/ closed exam model of teaching.
- **Focus on multiple learning styles and learning for life** - expect all of our students to take at least one online course for credit within their degree, to broaden their variety of effective learning styles and help prepare them for lifelong learning. These will include courses provided by the University of Edinburgh and by partner institutions elsewhere (Virtual Mobility).

10. *Consultation on the Vision*
Professor Sue Rigby (Vice-Principal Learning and Teaching) has attended meetings with all Schools and Colleges to introduce and discuss the draft vision. The draft vision has also been discussed with Student Experience Services and Student Recruitment and Admissions staff, the Director of the Institute for Academic Development, the Director of Learning, Teaching and Web Services, and the Director of Estates and Buildings. Approximately 450 staff were directly involved in these events.

11. The draft vision was discussed at EUSA's Academic Committee on 6 November 2014 and a Learning Conversations event (attended by students and staff) on 17 March 2015. Students in Schools were widely consulted as part of this local process.

12. Schools, Colleges and Support Services were invited to respond to the six bullet points of the emerging vision. The formal School responses received are available on the vision website and form a rich basis for developing a finished vision, but also a welcome snapshot of innovation and exploration in learning and teaching across the University.

13. *Key points in response to the consultation*

14. **A portfolio approach for a complicated and unpredictable future** – from an academic standpoint, the response to this point was one of broad support, tempered with a clear identification of the need to meet discipline-related demands, to ensure that learning is purposeful and to ensure that students are supported to engage with these learning journeys, a key role for the personal tutor.

15. The breadth of the Edinburgh degree is seen by many as a key 'selling point' (Health in Social Science) and many Schools are already offering a significant breadth of study in prehonours (e.g. Informatics, GeoSciences, Literatures, Languages and Cultures (LLC), and Philosophy, Psychology and Language Sciences (PPLS)). There is widespread recognition of degree programmes as vehicles for skill acquisition as well as key knowledge transmission. However, there is a need to balance breadth with depth (Edinburgh College of Art – ECA), to recognize the hierarchical nature of some disciplines (Physics) and to prepare students for professions (Law).

16. Some degree programmes can offer no choice in prehonours due to the nature of the subject area and the detailed constraints of professional recognition (Vet School). However, both they and a number of other Schools recognized the breadth of choice possible in honours as students choose an extended project or undertake research components within their degree.

17. Some students were worried by this suggestion, feeling that there was a risk of a degree becoming atomized and piecemeal (Moray House), and the need for prolonged induction so as to enable students to gradually take on responsibility for their learning, mentored by personal tutors, was clear. However, the stock-take of student opinion through Edinburgh University Students' Associate (EUSA) suggested that students would appreciate breadth of opportunity alongside proper support for making good choices.

18. Amongst the Support Services there was strong engagement with this approach, with Information Services (IS) ready to undertake a review of the virtual learning environment (VLE), to ensure that breadth was supported by continuity of digital learning space, and with the Student Experience Project highlighting their capacities in induction and skill-based learning. There was a strong sense that a portfolio approach could maximize performance for students with additional needs.

19. In summary, this is a useful tension to create within disciplines, recognizing that there is a great deal of variation in the breadth that is possible or desirable for different subject areas. Choice should be focused on prehonours, where mentoring and induction are keys to success, and in honours, through honours projects and highly diverse options within the discipline.

20. **Giving students agency to create their own learning** – there was significant support for the adoption of strategies to engage students in their own learning, and a clarity that mentoring by Personal Tutors would be key to the successful achievement of this. Some Schools are already engaging in offering students the option to create courses of their own (Student-led Individually Created Courses – SLICCS) (Business,

GeoSciences). Developments within Divinity will significantly extend the potential of their students to undertake placements and practical forms of assessment.

21. In other disciplines, support for this broad idea was mediated by the feeling that boundaries and subject specific course choices were key (Biological Sciences). External accreditation can also limit choice, as can a recognition that some students want to be able to focus and be single-minded in learning one discipline (Maths). The capacity for a structured curriculum to provide focus and support for learning was highlighted (Economics) and there was a clear need to recognize the expertise of academics in mentoring students through a course of study (Moray House).

22. From a support group perspective, the intention to give all students a 'Domain of their own' (IS) will provide greater possibilities for students to explore their learning, and support from Careers will help students to navigate choice with a clear employer-focus.

23. Students valued this ambition, and have engaged deeply and rapidly with SLICCS. However, they were also clear about the value of structured and mentored learning, and the need to be given freedom in an orderly and measured way in order to create a level playing field for all students, not just to advantage the few.

24. **Extend learning beyond the traditional knowledge-centred course** – contributions to this area of discussion were extremely positive, whilst exploring the shibboleth that our current courses are 'knowledge-centred'.

25. A great deal of good practice already exists within the University, and there is clearly momentum to develop further, for example with the appointment to a new post in practical theology within the School of Divinity. The opportunity to learn outside the University through outreach (GeoSciences, Law), with business (Business School, ECA) and through international experiences (LLC, Economics, Physics) is already widespread and developing rapidly. Much of this innovation was developing through an awareness that the employability of our students would be a key metric for success in future (Business).

26. Where concern existed around this area of development, it centred on the staff time and resource needed to create such opportunities, and on a feeling that quality assurance could be cumbersome and needed further thought (Economics). There was also a single suggestion that this was really an ambition for students to pursue in their own time.

27. Students were very supportive of this ambition, and engaged deeply in those opportunities already provided. Support Services were also supportive, highlighting both the challenges and opportunities of working on digital skills and virtually beyond the University (e.g. through Virtual Edinburgh).

28. **Every student a researcher/practitioner** – on this topic there was almost universal agreement with the ambition that students should be mentored towards research/ practice, and that in all degrees this ambition is met currently during the final year of honours if not before. Clearly work could be done to extend this into

earlier years of the curriculum, though there are resource implications for science disciplines.

29. There was also an almost universal concern at the idea of offering students an automatic PhD place on the basis of good grades at an undergraduate level, though there was more support for the suggestion of an automatic offer of a masters place. Concerns centred around the following issues; it is useful for the best students to move on, in and out of the University; high performance at undergraduate level is no direct guarantee of success in a PhD; there are equity issues around access where students would be directly charged fees and benchfees; there is concern about academic fit between prospective students and researchers. Although most of these concerns could be addressed in detail, the overwhelming and strong feelings against this suggestion should inform our ongoing planning.

30. **Course design for 21st century learners** – this area of discussion was lively and generally positive. While traditional lectures and closed book exams are a valued part of the curriculum (Economics), they generally exist in a context of rapid curriculum development (Vet School) and of growing confidence in atypical learning activities, such as the use of the flipped classroom (Physics).

31. Small group teaching was widely seen as an ideal, but may not be feasible for some Schools to expand, for example into early years of study. Challenges need to be addressed around the fitness of the estate and the timetable to facilitate changes in teaching practice.

32. A notable trend in responses was in the appointment of staff with an explicit role in developing new teaching styles (Divinity, LLC, the Technology Enhanced Science Education Chairs in Science and Engineering). Most of these, though not all, have a digital focus, but there is also clarity that personal interaction is key to learning and a critical area of engagement at the University.

33. Students were clear that they value both traditional and innovative learning styles, and amongst the Support Services there was clarity about the importance of induction to encourage learning in novel ways. IS is a key enabler of increasing use of learning technologies and will roll out an extensive level of support in the coming years. Similarly, the Institute for Academic Development (IAD) is a key driver to allow academics to explore alternative approaches to learning, and the strong take-up of staff on the Edinburgh Teaching Award (EdTA), leading to all levels of fellowship with the HEA, is a clear indicator that there is an appetite for such change.

34. **Focus on multiple learning styles and learning for life** – this area of discussion provided a wide range of views. In some subject areas there was a sense that our students already have a high degree of digital literacy and need no help from us (Biological Sciences). In others there was an existing engagement with the appropriate development of online courses for on campus students (Divinity, Moray House, GeoSciences).

35. There was a widespread understanding that the digital domain was a key enabler of learning, with many Schools enhancing their provision of information and support

for students online (e.g. Business), but also that non-digital domains are critical to students' capacity for lifelong learning (ECA).

36. The suggestion that all students should take one online course was seen as overly prescriptive, but the sense of building a range of learning styles into our curriculum and the likely long-term efficacy of so doing was embraced.

37. Students were broadly enthusiastic at the idea of being able to take online courses, but felt that there was a risk that they would be a less effective or resource intensive way of learning that might lower the value of their learning. Similarly several Schools highlighted resource issues either around the development of such learning instances, or around any reduction in the perceived value of face-to-face learning.

38. IS highlighted the widespread, existing resources, such as Lynda.com and Massive Open Online Courses (MOOCs) that might be brought into wider recognition on a degree transcript. The Disability Office highlighted the potential of online study to support their students, but also potential issues around accessibility.

39. *Preliminary analysis of commentaries on the emerging vision*
There is a strong and positive engagement with ideas of curriculum development and redesign, tempered with an awareness of the staff costs involved in so doing. The drivers for this are an ambition for excellent teaching, an awareness that employers need to value our students, and an excitement about the possibilities of digital and other emerging learning domains.

40. There is a profound understanding that learning at the University must meet our deep ambitions around subject depth and understanding, while allowing our students to explore wide areas of knowledge. Engaging our students in the learning process is a central aim in all disciplines, whether through traditional or atypical teaching styles. There is a strong feeling that the digital is a key enabler of learning, but also a strong belief in the value of small group and face-to-face learning. Research and practice are at the core of our identity and so should form the core of our student experience, but students need a protracted programme of training in order to engage deeply and surely with the uncertainty around such creativity.

41. Much work is already ongoing to explore curriculum development, especially in areas of employer engagement, links to industry or the community and international study. We are increasingly at home teaching in a blended manner and are beginning to creatively question the received patterns of learning and teaching that composed our degrees in the past.

42. Linked to this creative engagement with ideas of change is the identification of the resource implications, especially in terms of academic time, required to effect such change. The maintenance of some of our high quality, but intensive, learning activities is also a concern, and there is a general feeling that large numbers of students challenge our ability to innovate, while also driving the necessity of so doing.

Resource implications
43. The paper is for information and therefore does not have any immediate resource implications. However, the implementation of the vision would have medium and

longer term resource implications, for example it would be likely to inform the University's investment in estates and IT infrastructure.

Risk Management

44. The paper is for information and therefore does not does not raise any immediate risks. The University needs to continue to innovate in its curriculum and learning and teaching in order to ensure that they remain relevant and offer a higher quality student experience. By providing the University with a framework, the vision will assist the University to manage any risks associated with innovation.

Equality & Diversity

45. Equality and diversity will be considered as work on the vision progresses.

Next steps/implications

46. Over the summer an overarching vision will be developed and can provide a basis for long term developments that support learning and teaching across the University.

Consultation

47. The paper is the result of extensive consultation within the University community (see paragraphs 10 to 12). Senate and the Senate Learning and Teaching Committee have both discussed the outcomes of the consultation.

Further information

48.

Author	*Presenter*
Professor Sue Rigby Vice-Principal for Learning and Teaching 15 June 2015	Professor Sue Rigby Vice-Principal for Learning and Teaching

Freedom of Information

49. This paper is open.

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

EUSA President's Report

Description of paper

1. This paper is to note the developments of Edinburgh University Students' Association since the last Court meeting and any matters arising from previous Court meetings.

Action requested

2. Court is asked to note this report.

Recommendation

3. That information provided in this paper be considered to support other projects and initiatives to improve student satisfaction at the University of Edinburgh.

Background and context

4. Edinburgh University Students' Association (EUSA) has provided reports to Court on projects, campaigns and developments of the organization as a whole.

Discussion

5. *Introduction to new Sabbatical Officers*

We should start by thanking the outgoing Sabbatical team for their highly effective work this year. Alongside the Senior Management Team, they have built an innovative, dynamic and financially secure Students' Association, winning national awards and nominations in the process. These include, Student Union of the year at the NUS Scotland Awards as well as being shortlisted for the same award at the upcoming NUS UK conference.

6. It will be a pleasure for Urte Macikene to join the rest of Court members for the following year. Coming to the University of Edinburgh has transformed both of our lives. It is where we have been able to develop ourselves, have great experiences and begin to shape our future in the way that suits us. Providing opportunities for other University of Edinburgh to do the same will be a big part our vision for the year.

7. *Providing opportunities for students to develop themselves and to shape their future*

A 2011 survey conducted by the National Union of Students across UK Universities showed that 75% of students believed that 'gaining opportunities for the future' was the main reason for going into higher education. Research recently conducted by EUSA in preparation for their Strategic Plan similarly showed that opportunities to develop themselves and their skills was a top priority for students.

8. Key to this are all the activities students do outside of the classroom. Among these are the vibrant community of student-led societies, social enterprises, think tanks, start-ups or volunteering groups within the University of Edinburgh. Research conducted by the Scottish Higher Education Employability Forum (SHEEF) and NUS

Scotland showed that involvement in these organisations significantly enhance student employability. One area to look at will be, working with the new Student-led Individually Created Courses (SIICC), to enable students to gain credits for the projects they do outside the classroom.

9. It is also essential that every student regardless of background can participate in these, often unpaid activities. This is an issue on which we intend to work with the Development and Alumni office to solve, as well as harnessing our vast Alumni network to provide the opportunity for every 3rd and 4th year student to have a mentor from the outside world of their own choosing.

10. *Wider priorities of the Sabbatical team*
Among the incoming Sabbatical team, there are some innovative and tangible ideas on which they would be delighted to collaborate with Court members.
Imogen Wilson, incoming Vice-President Academic Affairs, will prioritise moving university education onto the digital sphere. She will look to develop a Massive Open Online Course (MOOC) on an introduction to Scottish Politics for 16-17 year-olds, as well as working with academics on innovations in the curriculum and diversifying assessments.

11. One of the priorities for Andrew Peel, Vice-President Societies and Activities, will be on student mental health and wellbeing. He will look to support student-led mental wellbeing initiatives, using talented students on the ground to tackle the issues facing students. He is also looking into the possibility of developing a EUSA App, to provide a virtual 'What's On Guide' that will bring our Association into the modern digital age.
Urte Macikene, Vice-President Services, will be looking to work alongside members of Court and the Estates Committee in introducing collaborative work-spaces in our buildings, connecting students and academic staff. She will also be working closely with the Investment Committee on developing our policies on responsible divestment and armaments, whilst also seeking to assess the University's investment policy on conflict minerals.

12. We all look forward to building on the strong relationship between EUSA and the University, as well as collaborating closely with Court members in the coming year.

13. *Pleasance Redevelopment*
We are excited to be planning for phase 1 of the Pleasance redevelopment, which begins in September. As well as developing the more detailed brief for what the future space should look and feel like, we have also been working closely with our Societies most affected by phase 1 to ensure their immediate needs can be met. This has provided a good opportunity to connect more closely with societies and gain insight into their needs and aspirations. Much of the new plan has been inspired by experiencing best practice in this sort of provision at institutions like Sheffield, Leeds and Manchester. We are confident that the new development will support societies to thrive, and demonstrate the value we, and the University place on their contribution to university life.

14.*Commercial developments*
We have been refreshing and updating some of our commercial outlets. The retail unit in Kings Buildings House now provides hot food in the form of pies and pastries,

and we were proud to re-open the refurbished coffee outlet at Potterrow, which has been completely rebranded as a new sit-in coffee and cake shop called Baristo. Although this opened close to the end of semester, initial interest in the new outlet was good. We have also begun service provision at the Centre for Sport and Exercise facility at Peffermill, and are working closely with CSE and the Sports Union to monitor and evaluate this as this progresses.

15. Now work has begun in Bristo Square, we are conscious of the potential impact of these works on the organisation, and the significant risk this presents. We anticipate significant changes in footfall over Festival and beyond, throughout the works, although the level of impact is unknown. We will be monitoring this closely and continuously.

16. *Finance update*
We have prepared our year-end report, which is currently being audited. We have finished the year in a much more solid financial position, with a final surplus of £216,000. This cements the improved net asset position we began last year, and demonstrates significant progress since 2 years ago when we had net liabilities of £360k. We do still have a long way to go, and with tough trading conditions ahead it is likely that our net assets growth will not continue at this rate. However, the current financial position has enabled us to plan some capital expenditure for the year ahead, which had previously been difficult to achieve. We are also continuing the positive progress made so far on developing improved finance systems processes and controls.

17. *Festival*
Now we are in vacation time, preparations for Festival are underway. We are recruiting c500 additional staff to service all of the outlets that will be open in Teviot, Potterrow and Pleasance, and also undertaking some estates work to develop and improve the experience for customers, including an extended Teviot Garden with additional covered seating. In addition we are working with a number of external partners to ensure a diverse food and drink offering across all the venues. Festival remains a crucial element in our overall financial planning, and we continuously review and develop the provision each year to ensure so far as we can that we will see a strong financial contribution.

18. *Teaching Awards*
We held our annual Teaching Awards event at the end of April – after receiving almost 3000 nominations, we invited 22 shortlisted staff (along with the students nominating them) to our celebration dinner and awards event. EUSA's Teaching Awards recognise the teachers, support staff, courses, and learning communities that have an enormous positive impact on students' learning experiences. It was clear that the staff nominated were delighted by the student recognition, and EUSA was widely commended for continuing to shine a spotlight on the impact and importance of great teaching and student support within the University. The list of winners and categories can be viewed at:
https://www.eusa.ed.ac.uk/getinvolved/campaigns/teachingawards/

19. The 2015-16 Teaching Awards will open again in August to enable our PGT students to recognise research or dissertation supervisors and summer courses at the University.

20. *Student Volunteering*
We are currently evaluating the volunteering service provided by EUSA this year. Our full Volunteering annual report will be available later in the year. At this stage we can share some highlights:

- Our student-led volunteering groups provided **7489 student hours** of volunteering during 2014-15 year, across a diverse range of **56 projects** supporting young people, older people, environmental and cultural projects.
- Our projects reached **6600 community participants**.
- In addition over the year almost 700 students signed up to our volunteering database to find volunteering opportunities with external organisations – since it's inception 5 years ago, the service has supported **5000** students into volunteering in this way.

21. *Edinburgh Students Charities Appeal*
As part of our formal relationship agreement, we now meet 3 times a year with the ESCA student committee. We had a very productive meeting at the end of Semester 2 with the new student officers and have identified various ways of working together this year. These include linking ESCA more closely with student societies, and closer collaboration on RAG Week, which both organisations see as an opportunity to maximise student involvement and promote student fundraising activity and the contribution it makes externally.

22. *Give it a Go*
Departments across EUSA have been working together to develop a new project – 'Give it a Go'. Give it a Go exists in many shapes and sizes at most other student unions, but the common goal is to provide explicit opportunity and encouragement to students to test out and take up a variety of new experiences and activities through their student union, and to feel part of the student community. Our new Strategic Plan has a goal of supporting students to develop their interests and shape their future, and Give it a Go is one of the most explicit ways we can make the huge array of interests and activities available on campus more accessible to all our students. Society tasters will form a big part of the programme as well as Sports Union tasters, and ESCA events. Give it a Go will run for 2 weeks in November. A key objective is to ensure that students connect the positive experiences they have (and opportunities available) with EUSA.

Resource implications
23. There are no resource implications for this report because this report is retrospectively outlining existing projects.

Risk Management
24. Not Applicable.

Equality & Diversity
25. Equality and Diversity considerations are implicitly included in this paper. Edinburgh University Students' Association (EUSA) represents the interests of a

diversity of student interest groups and exists to maintain the equal representation of students and student groups.

Next steps/implications

26. There are no next steps to be taken as a result of this paper.

Consultation

27. All relevant EUSA Sabbatical Officers, staff members, student staff and members of our organisation. Any items relating to partnerships with other organisations or branches of the University include information provided by all participating stakeholders.

Further information

28. *Author*
    Jonny Ross-Tatam
    EUSA President
    June 2015

Presenter
Jonny Ross-Tatam
EUSA President

Freedom of Information

29. This paper is open.

THE UNIVERSITY of EDINBURGH

M

UNIVERSITY COURT

22 June 2015

University Risk Register 2015/16

Description of paper

1. This paper presents the proposed University Risk Register for 2015/16 and the University's statement of Risk Appetite.

Action requested

2. Court is invited to consider and comment on the University Risk Appetite Statement and University Risk Register 2015/16.

Recommendation

3. Court is invited to approve the University Risk Appetite Statement and University Risk Register 2015/16, on the recommendation of Audit and Risk Committee.

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

Risk Management

10. This paper is part of the University's risk management process.

Equality & Diversity

11. There are no equality and diversity issues associated with this paper.

Next steps/implications

12. Risk Management Committee will review the procedures to control and manage each risk in the University Risk Register 2015/16 on a rolling basis to confirm that processes are effective and report to Audit and Risk Committee.

Consultation

13. The University Risk Register 2015/16 has been reviewed by the Principal's Strategy Group, Central Management Group and Risk Management Committee. This final version and the University Risk Appetite Statement was considered by Audit and Risk Committee on 28 May 2015 and recommended to Court for approval.

Further information

14.

Author
Kirstie Graham
Deputy Head of Court Services
June 2015

Presenter
Mr Alan Johnston
Convener, Audit and Risk Committee

Freedom of Information

15. This paper is closed. The approved version of the risk register will be open.

THE UNIVERSITY of EDINBURGH

N1

UNIVERSITY COURT

22 June 2015

Policy and Resources Committee Report

Committee Name
1. Policy and Resources Committee.

Date of Meeting
2. The Committee met on 8 June 2015.

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

Full minute:
12. The Minute for and papers considered at the meeting can be accessed at the following URL:

https://www.wiki.ed.ac.uk/display/UCC/Policy+and+Resources+Committee

Equality & Diversity
13. There are no specific equality and diversity issues associated with this report other than the decisions in respect of the undergraduate and PGT bursary provision.

Further information
14.

Author	*Presenter*
Dr Katherine Novosel	Dr Anne Richards
June 2015	Convener, Policy and Resources Committee

Freedom of Information
15. This paper is closed.

THE UNIVERSITY of EDINBURGH

N2

UNIVERSITY COURT

22 June 2015

Nominations Committee Report

Committee Name
1. Nominations Committee.

Date of Meeting
2. The Committee met on 3 June 2015.

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

Full minute:
9. The Minute for and papers considered at the meeting can be accessed at the following URL:

https://www.wiki.ed.ac.uk/display/UCC/Nominations+Committee

Equality & Diversity
10. The University wishes to ensure a diverse membership of Court and its Standing and Thematic Committees and action is taken to attract when advertising for members external to Court and the University applications from across the community. To re-enforce its commitment, Court has approved a University Court Equality and Diversity Policy.

Further information

11. *Author*
Dr Katherine Novosel
June 2015

Presenter
Dr Anne Richards
Convener, Nominations Committee

Freedom of Information
12. This paper is closed.

THE UNIVERSITY of EDINBURGH

N3

UNIVERSITY COURT

22 June 2015

Audit and Risk Committee Report

Committee Name

1. Audit and Risk Committee.

Date of Meeting

2. The meeting was held on 28 May 2015.

Action Required

3. Court is asked to note the key points from the meeting and approve:
   - Internal Audit Annual Plan 2015-16
   - External Audit Annual Plan 2014-15
   - External Audit Fees

Key points

4. *Report on Information Security*

The Chief Information Officer updated the Committee on risks to the University regarding Information Security (IS) and set out the initial plans and approach being taken to address these risks. An updated and formal IS strategy and plan will be presented at the next Audit and Risk Committee meeting for consideration and approval.

5. *Report from Risk Management Committee*

The Director of Corporate Services, convener of the Risk Management Committee, reported that the University Risk Register 2014/15 had now been through a complete review cycle. The Risk Management Committee had started to provide guidance on risk review documentation; was planning to provide a standard template for College and Support Group risk registers; had plotted the movement of risks over the last two year cycle; considered the risk review process against a benchmarking report prepared by PwC and planned to introduce a methodology for assessing risk.

6. The Risk Management Committee considered that the Risk Assurance Map was a restating of information that was captured as part of the ongoing risk management process and did not provide any additional useful reassurances and recommended that it was not retained as part of the risk oversight process.

7. The Committee endorsed the work undertaken by the Risk Management Committee.

8. *University Risk Register 2015-16 and Risk Appetite Statement*

The Committee considered the University Risk Appetite Statement and University Risk Register 2015/16 and recommended to Court for approval. There has been submitted to Court as a separate paper.

9. *Internal Audit Annual Plan 2015-16*
The Committee endorsed the Internal Audit Plan, as attached as Appendix 1, and recommended to Court for approval.

10. *External Audit Annual Plan 2014-15*
The Committee endorsed the External Audit Plan, as attached at Appendix 2, and recommended to Court for approval.

Paragraph 11 has been removed as exempt from release due to FOI.

12. *Health and Safety Policy*
The Committee noted the revised Health and Safety Policy.

13. *Committee Effectiveness Review*
The Committee undertook an initial review of its own effectiveness and a report will be presented for consideration and approval at the next meeting prior to submission to Court.

Full minute:
14. All the papers considered at the meeting and in due course the Minute can be accessed on the Court wiki at the following URL:
https://www.wiki.ed.ac.uk/display/UCC/Audit+and+Risk+Committee

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

Further information
16. *Author*
Ms K Graham
June 2015

Presenter
Mr A Johnston
Convener, Audit and Risk Committee

Freedom of Information
17. This paper is open with the exception of External Audit fees.

Appendix 1

THE UNIVERSITY of EDINBURGH

University of Edinburgh

Internal Audit

Planning

David Kyles
Chief Internal Auditor
May 2015

Internal Audit Planning

Introduction

We have now completed our Internal Audit Planning for 2015-16 and this document outlines the planning approach and proposed internal audit plan, supported by a resource allocation to deliver the plan.

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1. Methodology & Approach

The planning approach followed a risk based methodology, identifying all key processes in operation across the University. The current risks on the University Risk Register were mapped to the relevant process along with key strategic themes from the University Strategic Plan 2012-2016. Consideration was also given to known issues and key projects. Finally, senior management from across the University were asked to validate and input to the planning process.

The methodology and approach is outlined within **Section 1**.

Internal audit themes

Our audit approach for 2015-16 has been devised based on 3 key themes:

- **Core Basics**: to provide assurance over the operation of key controls including Finance and Human Resources
- **Strategic Priorities**: to provide input and assurance to key strategic projects
- **Efficiency & Effectiveness**: to consider and identify processes and procedures where improvements can be made in terms of efficiency, value for money or effective control

During the planning process we have also considered the mix of internal audit approaches including full scope audits, spot checks, development of assurance check-lists and data analytics to maximise the assurance which can be provided.

2. Internal Audit Plan

Based on the methodology and themes we are proposing to complete 43 audits in 2015-16. The plan will be delivered by our in-house internal audit team and specialist contractors where needed, notably on the delivery of IT Security audit assurance. The total input to deliver the plan is estimated to be 585 days.

We have also used the planning model to start developing the 2016-17 Internal Audit plan, recognising those areas which require recurring annual audit and areas which, balanced by available resource, were not included within the 2015-16 plan. The aim is to move to a rolling internal audit plan, providing additional flexibility to address new and evolving areas for internal audit input.

The Internal Audit Plan is outlined in **Section 2** along with an analysis of the coverage by process area and by internal audit theme.

3. Audit Universe

A key part of the planning process was to identify all key processes across the University to establish an Audit Universe which could be used to identify internal audits for the plan and also provide improved visibility as to why audits had been selected and also provide a mechanism to challenge areas in the University which were not included.

The Audit Universe is outlined within **Section 3**.

4. Internal Audit Function

In addition to delivering the internal audit plan there are a number of other key inputs for the internal audit function which include knowledge sharing, assessment of the University risk management process, team management to ensure we continually challenge ourselves to be efficient, effective and deliver a quality internal audit service, and a contingency element for any areas or issues which materialise during the year which have not been identified for inclusion in the plan.

These inputs are illustrated in **Section 4** along with a breakdown of resource inputs.

5. Detailed Planning

Section 5 provides detailed planning by each process area showing internal audits prioritised based on their linkage to key risks, key processes or key strategic themes. Indicative scopes of work have been detailed for those audits selected for 2015-16.

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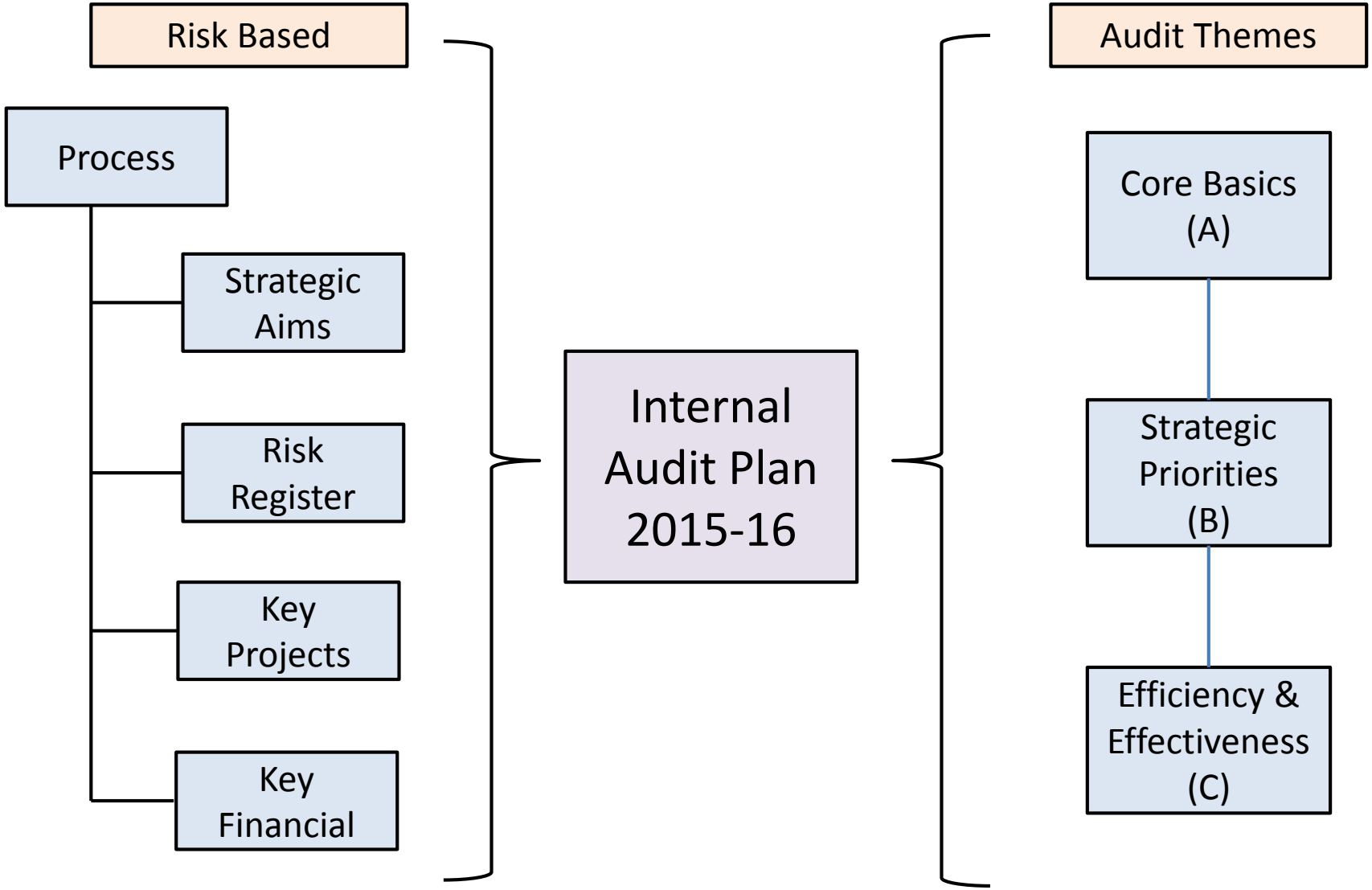
		Commercial	27

Section 1: Internal Audit Planning Approach



Section 2: Proposed Internal Audit Plan 2015-16

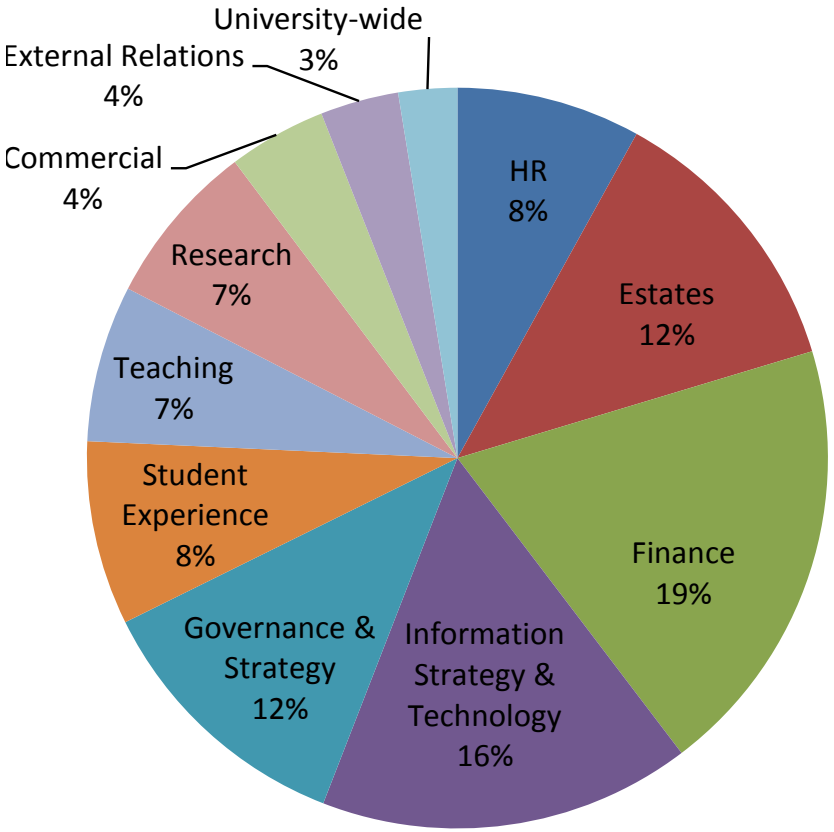
Audit Area	Number	Days	%	Proposed Audits
Human Resources	**4**	**47**	**8%**	• Joiners & Leavers Procedures • Staff Annual Review Process • Service Excellence Review • Guaranteed Hours Contract Review
Estates	**5**	**72**	**12%**	• Estates Capital Plan • Document Retention • Space Management • Supplier Selection & Management • Cash Handling

Finance	**10**	**113**	**19%**	• Key Financial Controls Reviews:
				  • Central Finance
				  • Colleges / Schools
				  • Checklist Development
				• Financial Forecasting Procedures
				• Heritage Asset Stock Checks & Security
				• Payroll Analytics
				• Procurement Analytics
				• Procurement Procedures – Schools
				• Income – Schools & Departments
				• Stock – Schools & Departments

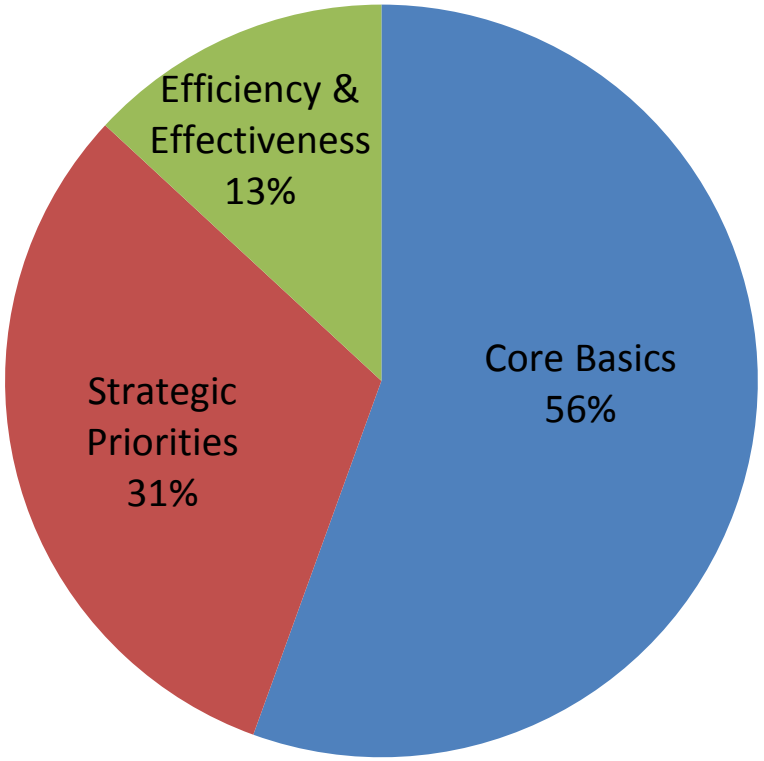
Information Strategy & Information Technology	**3**	**95**	**16%**	• IT General Controls • Library Services • Business Continuity & Disaster Recovery
External Relations	**2**	**20**	**4%**	• Fundraising Activities • Overseas Offices
Student Experience	**5**	**47**	**8%**	• Student Experience Project • UKVI Compliance • Scholarships • Student Recruitment, Retention & Employability • EUSA Priority Risk Review
Teaching	**3**	**40**	**7%**	• Collaboration Procedures • Key Location Audit • Academic Quality Assurance
Research	**3**	**42**	**7%**	• Research Grant Management • Research Ethics • Key Location Audit
Governance & Strategy	**6**	**69**	**12%**	• Risk Register Assurance • Data Quality & Management Information • Fraud Policy Review & Lessons Learned Follow Up • Mandatory & Statutory Returns Compliance Review • Equality & Diversity – Staff & Students • Strategic Project Management
Commercial	**1**	**25**	**4%**	• Commercialisation of Research & Knowledge
University-wide	**1**	**15**	**3%**	• Health & Safety Compliance
Totals	**43**	**585**	**100%**	

Section 2: Proposed Internal Audit Plan 2015-16

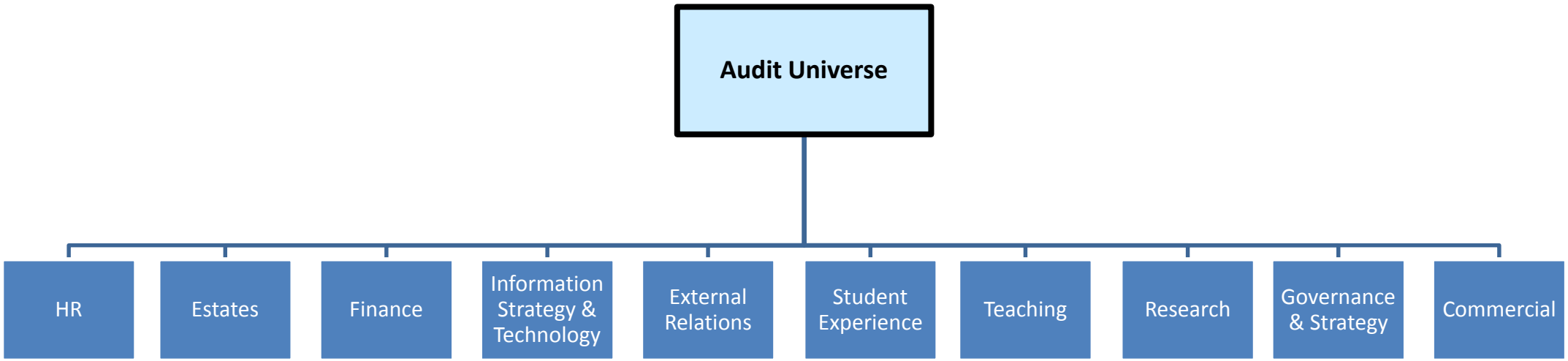
Coverage by Process:



Coverage by Theme:



Section 3: Audit Universe – Top Level Processes



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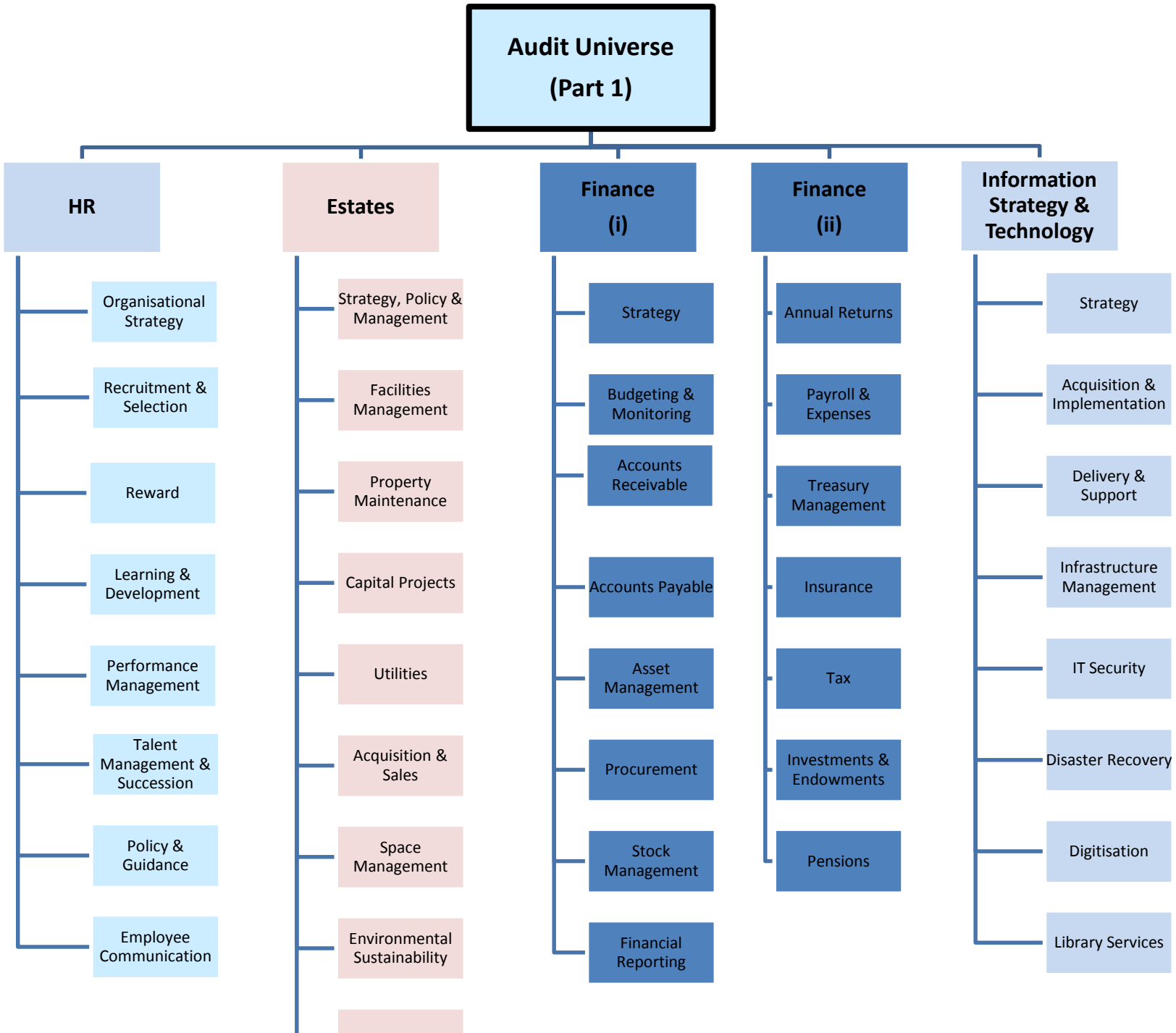
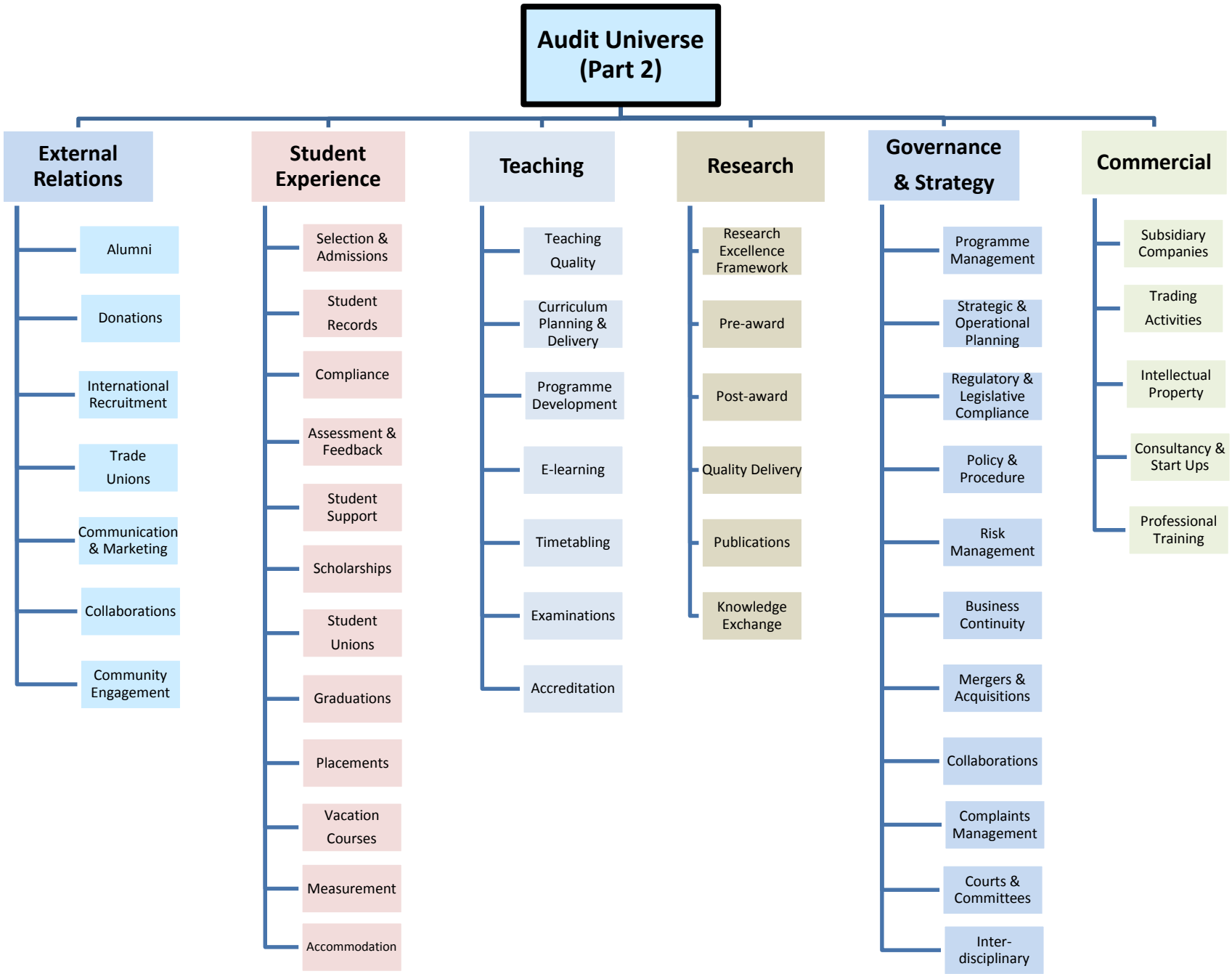

Audit Universe
(Part 1)
HR
Organisational Strategy
Recruitment & Selection
Reward
Learning & Development
Performance Management
Talent Management & Succession
Policy & Guidance
Employee Communication
Estates
Strategy, Policy & Management
Facilities Management
Property Maintenance
Capital Projects
Utilities
Acquisition & Sales
Space Management
Environmental Sustainability
Finance (i)
Strategy
Budgeting & Monitoring
Accounts Receivable
Accounts Payable
Asset Management
Procurement
Stock Management
Financial Reporting
Finance (ii)
Annual Returns
Payroll & Expenses
Treasury Management
Insurance
Tax
Investments & Endowments
Pensions
Information Strategy & Technology
Strategy
Acquisition & Implementation
Delivery & Support
Infrastructure Management
IT Security
Disaster Recovery
Digitisation
Library Services


Audit Universe (Part 2)
External Relations
Alumni
Donations
International Recruitment
Trade Unions
Communication & Marketing
Collaborations
Community Engagement
Student Experience
Selection & Admissions
Student Records
Compliance
Assessment & Feedback
Student Support
Scholarships
Student Unions
Graduations
Placements
Vacation Courses
Measurement
Accommodation
Teaching
Teaching Quality
Curriculum Planning & Delivery
Programme Development
E-learning
Timetabling
Examinations
Accreditation
Research
Research Excellence Framework
Pre-award
Post-award
Quality Delivery
Publications
Knowledge Exchange
Governance & Strategy
Programme Management
Strategic & Operational Planning
Regulatory & Legislative Compliance
Policy & Procedure
Risk Management
Business Continuity
Mergers & Acquisitions
Collaborations
Complaints Management
Courts & Committees
Inter-disciplinary
Commercial
Subsidiary Companies
Trading Activities
Intellectual Property
Consultancy & Start Ups
Professional Training

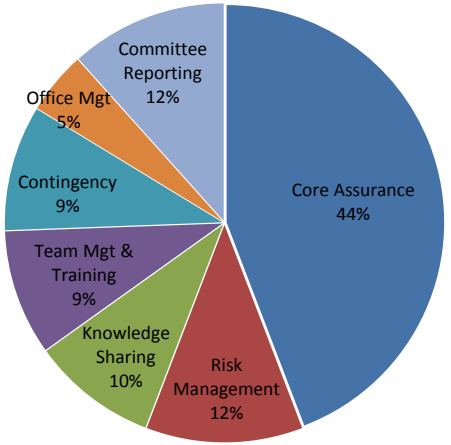
Section 4: Internal Audit Function Inputs

Resource Allocation

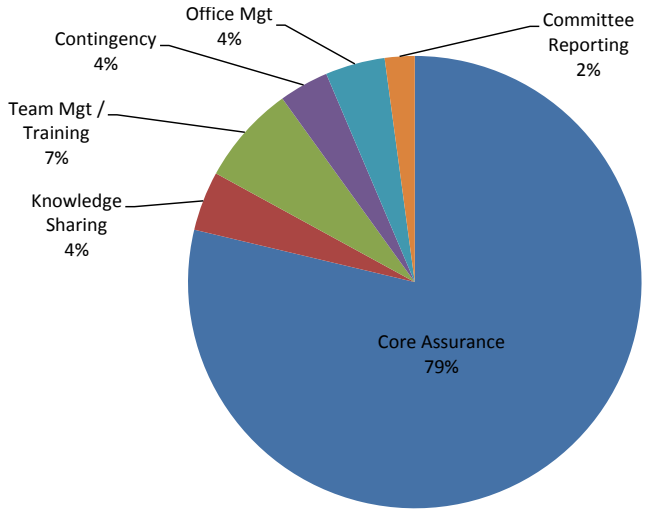
Summary by days:

Input:	CIA	Audit Team	Cont-ractor	Total
	Days			
Assurance - Delivery - QA	30 65	495	60	585 65
Risk Management	25			25
Knowledge Sharing	20	30		50
Team Mgt /Training	20	50		70
Contingency	20	25		45
Committee Reporting	25	15		40
Office Management	10	30		40
	215	645	60	920

Chief Internal Auditor:



Internal Auditor:



Section 5: Planning by Process Area

University-wide	Area / Process:	In Plan:	Risk Register:	In Plan:
	Culture		(3) Perceived breach of generally accepted ethical standards.	√
	Value for Money	√		
	Health & Safety	√		

Note: Value for money is an overarching objective and Internal Audit is involved with VFM reporting.

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Health & Safety Compliance	To undertake compliance spot checks on key health & safety requirements across various University locations.	-			√	15	15	A
2	Bribery Act Compliance		13/14	√ (3)			-	10	A

Human Resources	Process:	In Plan:	Risk Register:	In Plan:
	Organisational Strategy		(10) Failure to retain, attract and develop key staff.	√
	Recruitment & Selection	√		
	Reward	√		
	Learning & Development	√	(11) Staff or Union industrial action (eg related to pensions)	√*
	Performance Management	√		
	Talent Management & Succession			
	Policy & Guidance			
	Employee Communication			

*Part covered within Business Continuity Planning under Information Strategy

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategic Enabler / Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Joiners & Leavers Procedures	To review the policies and procedures for joiners and leavers and test compliance across a number of University locations.	14-15	√ (10)	√	√	15		A
2	Staff Annual Review Process & Compliance	To assess the overall annual review completion rates across the University; monitor implementation of new HR guidance in this area and assess root causes for areas of non-compliance.	12-13	√ (10)	√	√	12		B
3	E-recruitment Phase II		13-14	√ (10)	√	√	-	10	B
4	Service Excellence Review	To assess the effectiveness of project governance for Service Excellence Review projects.	-			√	8		C
5	Severance Settlements		-			√	-	5	A

6	Guaranteed Hours Contracts Review	To audit the University's approach to identifying and minimising the risk and impact of Guaranteed Hours Contracts on staff and quality of delivery.	-			√	12		A

Estates	Process:	In Plan:	Risk Register:	In Plan:
	Strategy, Policy & Management	√	(4) Failure to provide a high quality student experience.	√
	Facilities Management			
	Property Maintenance	√		
	Capital Projects	√	(12) Rate of investment and enhancement of the estate is inadequate to meet the growth aspirations of the University.	√
	Utilities			
	Acquisition & Sale			
	Space Management	√		
	Environmental Sustainability			

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Estates Capital Plan	To review the process for identifying, prioritising and approving major capital projects for inclusion in the Capital Plan. To initially assess the scalability of process and systems to support Capital Plan delivery going forward.	-	√ (12)	√	√	20	10	B
2	Post Implementation Reviews – Key Projects		-		√	√	-	12	C
3	Document Retention	To audit compliance with document retention policies within Estates.	-			√	15		A
4	Space Management	To review the processes for space utilisation data collation & reporting, and management's identification of improvement opportunities and actions.	-	√ (4)	√	√	12		B
5	Supplier Selection & Management	To audit the supplier selection process and procedures for ongoing supplier performance management.	14-15			√	15		A
6	Maintenance Spend		14-15			√	-	15	A

7	Cash Handling	To assess the adequacy of physical security arrangements for movement of cash within the University.	-				10	-	A

Finance	Process:	In Plan:	Risk Register:		In Plan:
	Strategy		(17)	Maintenance of financial stability & sustainability	√
	Budgeting & Monitoring	√			
	Accounts Payable				
	Accounts Receivable		(new)	University & wholly owned subsidiaries fail to comply with procurement legislation	√
	Asset Management	√			
	Procurement	√			
	Stock Management	√			
	Treasury Management				
	Payroll & Expenses	√			
	Financial Reporting				
	Annual Returns				
	Insurance				
	Tax				
	Investments & Endowments				
	Pensions				

Note: Planned Key Financial Controls reviews will cover all key finance processes

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Key Financial Controls Review – Central Finance	To identify, document and test key financial controls across key central finance functions.	-	√ (17)		√	15	15	A
2	Key Financial Controls Review – Colleges / Schools	To identify, document and test key financial controls at College / School level.	-	√ (17)		√	10	10	A
3	Key Financial Controls Checklist Development	Preparation of a Key Financial Controls Checklist for use as an assurance & management tool for Finance Teams.	-	√ (17)		√	5	5	A

4	Financial Forecasting Procedures	To assess the current in-year financial forecasting procedures including forecast preparation, analysis and reporting.	-		√	√	15	20	C
5	Heritage Asset Stock Checks & Security	To undertake an asset verification exercise in relation to key heritage asset stocks and assess physical security arrangements in key locations.	-	√ (17)		√	8	-	A
6	Financial Systems Review		-			√	-	5	A
7	FRS102 Readiness Review		-			√	-	-	A
8	Payroll Analytics	To complete a data analytics exercise using payroll data to provide assurance over key controls, management information and process effectiveness.	-			√	15		C
9	Procurement Analytics	To complete a data analytics exercise using purchasing data to provide assurance over key controls, management information and process effectiveness.	-	√ (17)		√	15		C
10	Procurement Procedures - Schools	To test compliance with procurement procedures across a number of Schools.	-	√ (new)		√	10		A
11	Income – Schools & Departments	To test procedures across a number of Schools & Departments to assess the effectiveness of controls over key income generating activities.	-			√	10		A
12	Stock – Schools & Departments	To test stock management processes across a number of locations.	-			√	10		A

Information Strategy & Information Technology	Process:	In Plan:	Risk Register:	In Plan:
	Strategy, Planning & Organisation Acquisition & Implementation Delivery & Support Infrastructure Management IT Security Disaster Recovery Digitisation Library Services	 √ √ √ √	(13) Insufficient investment and weak coordination of investment across the University in ICT infrastructure, systems development and IS. (14) Loss of sensitive data and business continuity due to systems being compromised or weak personal security practices.	√ √

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	IT General Controls	An IT General Controls Assurance Plan will be developed to prioritise assurance needs. This will be a key deliverable linked to Phase 1 of the IT Security Review which is currently being scoped. A programme of IT audits will then be agreed with the Audit & Risk Committee for delivery across the University.		√ (13)		√	60	60	B
2	Business Continuity & Disaster Recovery	To assess the adequacy of Business Continuity & Disaster Recovery Plans across a number of key University locations.		√ (14)		√	20	20	A
3	Library Services	To undertake a risk assessment on key library service processes including income generation and licensing, and test key controls in place to manage these risks.			√	√	15	-	A

Note: Business Continuity & Disaster Recovery also links to key processes noted under Governance

External Relations	Process:	In Plan:	Risk Register:	In Plan:
	Alumni Donations International Recruitment Trade Unions Communications & Marketing Collaborations Community Engagement	√ √ √	(19) Failure to adequately manage the University's international relationships, development, and brand to generate beneficial outcomes in terms of students, research and alumni support	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Fundraising Activities	To audit key fundraising activities across the University for generating, monitoring, delivering and converting fundraising opportunities; and assessing management information to monitor fundraising targets.	-			√	10	-	A
2	Overseas Offices	To audit the process for managing Overseas Offices to ensure adequate governance arrangements are in place, compliance with University processes & procedures, and effective management information & reporting.	-	√ (19)	√	√	10	-	B

Student Experience	Process:	In Plan:	Risk Register:	In Plan:
	Selection & Admissions	√	(4) Failure to provide a high quality student experience	√
	Student Records			
	Compliance	√	(5) Student recruitment fails to meet target numbers	√
	Assessment & Feedback			
	Student Support	√	(6) Student protest actions	
	Scholarships	√	(18) Changes to UK immigration policies and practices, and their inadequate implementation in the University	√
	Student Unions	√		
	Graduation			
	Placements		(22) University fails to recruit and retain sufficient widening access students.	
	Vacation Courses			
	Measurement	√		
	Accommodation			

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Student Experience Project Wrap Up	To audit the process for transitioning the activities of the Student Experience Project into day-to-day University activities.	13-14	√ (4)	√		8		B
2	Student Recruitment, Retention & Employability	To undertake an audit of data collation and management information in relation to recruitment targets, student retention and student employability.	14-15	√ (5)	√	√	10	10	A
3	International Selection		14-15			√	-	12	A
4	Student Support across the University		-	√ (4)	√	√	-	15	B
5	UKVI Compliance	Building on work completed in 2014-15 we will continue to audit UKVI compliance across the University (further resource will be allocated should repeat checks be required).	14-15	√ (18)		√	12	10	A

6	Scholarships	To build on work completed during 2014-15 on the processes across the University for the allocation and monitoring of Scholarship funds.	14-15			√	10		A
7	Student Surveys	Student Assessment & Feedback was audited in 2014-15 and will be subject to ongoing follow up in 2015-16. *As part of this we will look at mechanisms to identify and benchmark optimal levels of assessment.*	14-15	√ (4)	√	√	-	10	B
8	EUSA Priority Risk Review	To facilitate a risk workshop with EUSA management to help identify & prioritise risk areas for the Association.	14-15			√	7		A

Teaching	Process:	In Plan:	Risk Register:	In Plan:
	Teaching Quality Curriculum Planning & Delivery Programme Development E-Learning Timetabling Examinations Accreditation	√ √ √	(7) Failure to achieve a rating of "effective" in the 2015 ELIR (20) Significant academic collaborations fail to be effectively managed and do not deliver benefits	√ √

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Collaboration Procedures	To audit the procedures for identification, authorisation and reporting of collaboration agreements and test these procedures against a number of collaboration agreements in place across the University.	12-13	√ (20)		√	15	10	B
2	Key Location Audit	Key location audits will focus on the main processes in operation including finance, HR, purchasing and income generation; along with an assessment on compliance with University wide policies & procedures.	-			√	15	15	A
3	Class & Exam Timetabling		-			√	-	15	A
4	Academic Quality Assurance	To audit the procedures across the University for planning, undertaking and reporting Academic Quality Assurance.	-	√ (7)	√	√	10	-	B

Research	Process:	In Plan:	Risk Register:	In Plan:
	Research Excellence Framework		(3) Perceived breach of generally accepted ethical standards	√
	Pre-award	√		
	Post-award	√		
	Quality Delivery	√	(8) Inadequate performance in 2020 REF assessment	
	Publications			
	Knowledge Exchange			
			(9) Failure to grow and diversify the spread and magnitude of Research Awards	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Research Grant Management (including RMAS)	To walkthrough the research grant management process, identifying and testing the key controls in operation.	13-14	√ (9)		√	15	15	A
2	Research Ethics	To assess University policy and procedure in relation to ensuring high ethical research standards.	-	√ (3)			12	-	A
3	Key Location Audit	A key location will be selected during the year for a full audit visit.	-			√	15	15	A

Governance & Strategy	Process:	In Plan:	Risk Register:	In Plan:
	Programme Management	√	(1) Change to policies or balance of power between Westminster and Holyrood	
	Strategic & Operational Planning			
	Regulatory & Legislative Compliance	√		
	Policy & Procedure	√	(2) Developments in government policy/legislation result in changes to University governance, structures and processes	√
	Risk Management	√		
	Business Continuity	√		
	Mergers & Acquisitions	√		
	Collaborations	√	(15) Insufficient capability or capacity and inadequate management of work priorities, to successfully implement strategic developments and projects.	√
	Complaints Management			
	Court & Committees			
	Interdisciplinary			
			(16) Inadequate implementation of major change projects both individually and as a combined programme of activity	√
			(18) Changes to UK immigration policies and practice, and their inadequate implementation in the University.	√ (Student Experience)

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Risk Register Assurance	For a sample of key risks on the University Risk Register, provide assurance that the risk is being adequately managed through testing of the controls identified by Management.	-	√ (sample)		√	10	10	A
2	Data Quality & Management Information	To select an area of the University where data quality is a key risk and assess the effectiveness of data collation and reporting,	-			√	12		A

		identifying areas of potential process improvement.							
3	Resource Allocation Model	Identified as a potential audit area due to the need for effective resource allocation in the management of University activities. Future audit involvement will be assessed as an output from the 2014-15 audit.	14-15			√	-	-	A
4	SRUC	Due to the strategic importance and potential risk profile of SRUC this has been included in the plan. Detailed scope will depend on SRUC progression and will be subject to ongoing review with Management.	-	√ (16)	√		TBC	TBC	B
5	Mandatory & Statutory Returns Compliance Review	To assess the University's procedures for ensuring the completeness of mandatory & statutory returns, ensuring these to be of high quality and submitted on a timely basis.	-	√ (2)		√	15	10	A
6	Equality & Diversity – Staff & Students	To audit data quality and the effectiveness of management information in relation to the assessment of equality & diversity for students and staff.	-		√		10		B
7	Strategic Project Management	To review the University's approach for strategic project governance & management, testing key projects to validate the approach.	-	√ (15)		√	10		B
8	Policy Review		-			√	-	12	A
9	Fraud Policy Review and Lessons Learned Follow Up	To review the effectiveness of the University Fraud Policy; to assess whether control improvements have been embedded further to lessons learned reporting from special investigations in 2014-15.	14-15			√	12		A
10	Records Management & Freedom of Information Requests		-			√	-	12	A

Commercial	Process:	In Plan:	Risk Register:		In Plan:
	Subsidiary Companies Trading Activities Intellectual Property Consultancy & Start-ups Professional Training	 √ √ √	(new)	Failure to increase economic impact by effective industry engagement and commercialisation.	√

Potential Audit Areas

Ref	Audit Area	Indicative Scope	Last Review	Link to Risk Register	Link to Strategy Theme	Link to Key Process	2015-16 IA Days	2016-17 IA Days	Audit Type
1	Commercialisation of Research & Knowledge	This review will consider the University's strategy, guidance, current processes and support available to locations across the University for the effective commercialisation of research and knowledge.	14-15	√ (new)	√	√	25	25	B

Appendix 2

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University of Edinburgh

External Audit Plan 2014/15

Report to the Audit Committee

Higher Education
Assurance Services

May 2015

pwc

The Members of the Audit Committee
University of Edinburgh
Old College
South Bridge
Edinburgh
EH8 9YL

21 May 2015

Ladies and Gentlemen,

We are pleased to present our summary audit strategy for FY15. It includes our assessment of the significant audit risks for the University of Edinburgh for the year ending 31 July 2015, our proposed audit strategy and our reporting timetable.

We discuss our strategy with you so that we understand your view of the University and so we can agree our approach to the audit.

We ask the Audit Committee to:

- consider our proposed scope and confirm that you are comfortable with the audit risks and proposed approach highlighted on pages 8 to 14 of this report;
- consider and respond to the matters we raise relating to fraud on pages 15 and 16; and
- approve our proposed audit fee highlighted on page 18.

If you have any questions regarding this document please contact me on 0141 355 4180.

Yours faithfully

Michael Timar

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1) Scope of the audit

1.1 Scope of the audit

We will conduct our audit in accordance with the relevant requirements of the SFC Financial Memorandum mandatory requirements for Scotland's colleges and universities, and the Charities and Trustee Investment (Scotland) Act 2005.

We will provide a statutory opinion on the consolidated financial statements of the University Group and the following subsidiaries:

- University of Edinburgh Utilities Supply Company Limited;
- University of Edinburgh HPCX Limited;
- University of Edinburgh Deaconess Limited;
- University of Edinburgh Accommodation Limited;
- The University of Edinburgh Development Trust;
- Edinburgh Research and Innovation Limited;
- Edinburgh University Press Limited;
- Edinburgh Technology Fund Limited;
- Edinburgh Technology Transfer Centre Limited;
- Research into Results Limited; and
- Flowave TT Limited.

We will issue a separate engagement letters for other audit related work as follows:

- Audit of Andrew Grant Bequest;
- Certification of the Discretionary Funds grant claim;
- Audit of the US GAAP consolidated financial statements of University; and
- Limited scope procedures in respect of the United States Department of Education's Federal Family Education Loan (FFEL) Program.

1.2 Our opinion on the financial statements

We will conduct our audit of the financial statements in accordance with International Standards on Auditing (UK and Ireland) as published by the Auditing Practices Board. This will include providing an audit opinion stating whether in our view:

- the financial statements provide a true and fair view;
- have been prepared in accordance with United Kingdom Generally Accepted Accounting Practice (UK GAAP); and
- have been prepared in accordance with the Statement of Recommended Practice (SORP)

As required by the Financial Memorandum, a revised version of which was issued in December 2014, our opinion on the University will also cover:

- whether specific purpose funds have been properly applied for those purposes; and
- compliance with the financial memorandum.

For all charitable subsidiaries, work will also be performed with reference to the Charities SORP, the Charities and Trustee Investment (Scotland) Act 2005 and the Charities Accounts (Scotland) Regulations 2006 (as amended).

The US GAAP audit will be performed in accordance with auditing standards generally accepted in the United States of America and the standard for financial audits contained in Government Auditing Standards, issued by the Comptroller General of the United States. We will also confirm, whether in our view, the financial statements are presented in all material respects in accordance with US GAAP.

1.3 Changes to the scope of the audit

For the 2014/15 audit there have been no changes to date in the SFC Audit Code of Practice, the SFC Accounts Direction or the HE/FE SORP.

A new Financial Memorandum was issued by SFC in December 2014 and has been taken into account in determining our audit approach.

Despite not being required to comply with the UK Corporate Governance Code, we understand that the University is keen to be at the forefront of best practice within the HE sector. As a result, management are considering what governance processes would be required such that the University Court can make the positive statement that the 'Annual Report and accounts, taken as a whole, is Fair, Balanced and Understandable.' This statement is currently only required to be made by FTSE companies. As auditors, we would be required to assess the process that has been followed in order that the statement is appropriate.

A new SORP for the education sector has been issued and will be effective for the 2015/16 year end. Given the wide ranging impact of the changes, the University has already taken steps towards developing its plan for the conversion. Proposed plans and timetables have been created and reported to those charged with governance, and an impact assessment has been prepared for the main University's accounts.

An exercise is to be undertaken to restate the opening balance sheet as at 1 August 2014 under the new SORP as this is the starting point for the comparative information in the 2015/16 accounts, when the new SORP will take effect. We are working with management and will review the outcome of this exercise in July 2015.

1.4 Changes for 2014/15 – how we are enhancing our audit

In developing our current year audit plan, we have reflected on the 2013/14 audit and identified areas where we can make improvements or adapt our approach. Last year, we made a significant year one investment in order to understand the University, its processes and accounting procedures throughout the organisation. Our estimate of audit hours underpinning our proposal was ~1,900 which compared to our actual audit hours for 31 July 2014 of ~3,900. Our audit effort was also impacted by the continued growth of the University- total income is forecast to grow a further 8% to £816m for FY15.

We have reflected on our knowledge and experience from last year in order to revise our approach and make it more effective and efficient. These areas are being discussed with management:

- Controls testing – we are working with management to build on our understanding of the University control environment. Our testing is focussing on key controls to assist in our audit approach and testing methodology, with particular reference to IT and purchasing and accounts payable controls.

- US GAAS controls reporting- as we identify controls recommendations during the UK GAAP audit, we will simultaneously assess each recommendation and provide a US GAAS categorisation.

- Subsidiaries audit – we are planning to undertake early substantive testing on the subsidiaries and also to bring forward the start date for the year end subsidiary audits. Both of these measures will assist in alleviating work and time pressures during the year end University audit timetable.

- Overall audit approach – We have reflected on the results of our testing last year and how we can refine our overall approach e.g. we have adjusted our audit risk assessment for research grants/contracts, as explained in Section 2. We will select samples for testing early in the process to allow management to have information ready in advance of the audit. In particular, for each research contract we select for testing, we will request that management prepare a file with all relevant information for our audit. This is an area that took a particularly long time to audit in FY14.

1.4 Adding value through audit and other services

- We presented our list of control recommendations from the 2013/14 audit to management and the Audit Committee in February 2015;
- We have included results of our HE risk benchmarking assessment within Appendix 5 to this document;
- We have shared PwC thought leadership with management and the Audit Committee, for example Spring 2015 HE matters publication and The 2018 University publication;
- We have invited senior management to relevant seminars of interest, for example Corporate Governance and Integrated Reporting;
- We have attended meetings with senior management and shared insights on risk management practices;
- We have worked collaboratively with PwC Transaction Services department in delivering due diligence for a potential strategic alignment between the University of Edinburgh and SRUC;
- We have undertaken market testing to assist with the University's plan to redevelop the Darwin Centre;
- We are engaging our specialists to perform an initial high review of the information security arrangements in place at the University; and
- We have met with management to discuss business transformation/process re-engineering and how it might be approached by the University.

2) The audit process

2.1 The PwC audit

PwC's 6 step audit approach ensures that we deliver a quality and efficient audit. As part of our planning process we have performed steps 1 to 3 to allow us to determine the relevant audit risks that will underpin our work. The remaining steps will be performed during our interim and final audits visits, where we will test relevant controls and perform detailed audit testing in line with the audit strategy set out below. The timing of our audit visits and the communication of our conclusions is set out in section 4.

The results of steps 1 to 3 are discussed further below.

Step 1 - Client acceptance & independence

Our audit engagement begins with an evaluation of the institution on our 'acceptance & continuance database' which highlights an overall engagement risk score and highlights areas of heightened risk. We expect that by July 2015 we will be able to benchmark the risk score across our portfolio of education clients and we will be happy to share an analysis of how your risk score compares with other organisations across the country. This information will not be shared without your consent. The University's risk score for the 2014/15 audit is 27. A score of 11 is the lowest and anything between 42 to 55 being designated as 'high' risk. In this context, we would consider the University's score as average, resulting mainly from the size and public nature of the University.

At the beginning of our audit process we are also required to assess our independence as your external auditor. We have made enquiries of all PwC teams providing services to you and of those responsible in the UK Firm for compliance matters.

As noted above, we have provided the following other services in the year to date:

- Market testing for the School of Biological Sciences;
- Due diligence work for the proposed strategic alignment with SRUC; and
- Provision of services relating to an information security assessment working with IT and Internal Audit.

We have assessed the potential threats to our independence in relation to this work and have put safeguards in place to mitigate any such risks. Our assessment of these threats and safeguards is shown in Appendix 1.

In addition we have had the following other involvement with the University which we formally consider for independence purposes:

- A PwC partner has provided lecturing support to the University's Business School on Numbers, Governance and Leadership Master Class. This was an academic event presenting generally available academic theories and ideas and was not a sales presentation or delivery of advisory services. The arrangement was not fee earning for PwC and we are satisfied that does not give rise to any independence concerns.

- PwC sponsored the University's Graduate Recruitment Fair in May 2015. The sponsorship value of £1,500 is not considered significant for either PwC or the University. PwC received no special discount for this sponsorship and it is not considered to constituted any joint business relationship; therefore we are satisfied it does not give rise to any independence concerns.
- PwC sponsored a place at the Business Finance Awards and attended with the University Finance team. The cost was £1,000 and is not considered to be significant for either PwC or the University.

As a result, at the date of this plan we confirm that in our professional judgement, we are independent accountants with respect to the institution, within the meaning of UK regulatory and professional requirements and that the objectivity of the audit team is not impaired.

Step 2 - Business understanding and relevant risks

The Audit Team

Our audit team reflects a blend of skill sets and specialisms, which in our view mirrors the culture of the University: a commercial mindset delivered within a (partly) publicly funded framework. The responsibilities and experience of your two engagement leaders are discussed below:

Audit team	Responsibilities and Experience
Michael Timar Engagement leader – University 0141 355 4180 michael.timar@uk.pwc.com	This is Michael's 2nd year as the University's engagement leader. He will be responsible for leading the Group audit and will sign both the UK and US GAAP financial statements. Michael will ensure the quality of our audit provision and will attend the key Audit Committees. Amongst other clients, Michael is currently the group audit partner for the University of Dundee and is/has been the audit partner of a number of major organisations such as Aggreko, Stagecoach, Cairn Energy and National Grid. Before becoming a partner, Michael worked on the audit of the University of Strathclyde for a number of years, and was also seconded as acting Finance Director of Jordanhill College of Education just after its merger with the University of Strathclyde.
Lindsey Paterson Engagement leader – Subsidiaries 0141 355 4256 lindsey.paterson@uk.pwc.com	Lindsey will provide support to Michael on the University audit and will lead the audit of the subsidiary companies. She will attend audit committees and be the key contact for the Director of Finance. This is Lindsey's 2nd year of involvement in the audit of the University and its subsidiaries. Lindsey leads PwC's delivery of assurance services to the HE sector in Scotland. Her current clients include the University of Dundee, the University of Aberdeen, Robert Gordon University and the University of Glasgow.

The responsibilities and experience of the remaining audit team members is contained within **Appendix 2**.

The Sector

The Higher Education sector is facing a period of significant change. Increasing marketisation in England and the lifting of the numbers cap by HEFCE is having a knock on impact in Scotland. In particular, Universities are facing increasing competition for staff, students and research funding. In Scotland, that means real competition for RUK students and the fees they bring, with Universities having to be able to demonstrate the value they bring to an increasingly demanding student body.

The sector in Scotland has been relatively protected from recent funding cuts; however, that is changing and we can see that the financial environment has become more challenging. This financial challenge applies to both teaching and research funding and is impacting all institutions.

Many Universities invested heavily in academic staff in the run up to the latest REF submission. The results of the REF have now been issued and the University of Edinburgh improved its overall ranking from 12th to 11th. It also moved up 1 place to 4th in the UK in respect of research power. The University performed well in several subject categories, ranking within the top ten for eleven of the subject categories, most notably within three areas – Biological Sciences, Physics and Modern Languages. The challenge going forward will be to ensure that the staff recruited in the run up to REF continue to deliver expected levels of research funding to the standard required, and that they do not simply represent additional salary costs. This will be a real challenge as Universities do not have a strong track record of holding academic staff to account.

There is continued political uncertainty in relation to the HE sector, albeit this has perhaps eased a little with the result of the general election. However, with the change in the political landscape in Scotland and despite the Scottish referendum having resulted in a "no" vote, the issue of independence has not gone away and represents a further uncertainty for institutions in Scotland, with the likelihood that the subject of tuition fees will be resurrected after the next Scottish parliamentary elections.

We have included at **Appendix 5** an analysis of the risks that the sector is currently facing. This analysis has been derived from the risk registers of some 40 institutions across the UK, with the following highlighted as key risks for the sector:

1) Student recruitment - undergraduate and postgraduate (including international students);
2) Research income and quality (decreased from prior year analysis);
3) Funding body grant income reductions (increased from prior year analysis);
4) Government policy/ political landscape (increased significantly from prior year analysis); and
5) Pension deficit affordability (increased from prior year analysis).

The University

The University is already seeing the impact of some of these wider sector challenges. Forward looking business plans show that there is an expected significant drop in operating surplus for the University in the short term (£20.9 million projected for 2014/15 compared with the £33.4 million achieved in 2013/14). In addition, the University is proposing a significant capital programme (£1.48 billion) over the next ten years which is to be partially funded by an increase in external financing.

The surplus position within the University's ten year plan does take a positive turn after the initial short term decrease - one critical underlying assumption is that the capital programme yields an 8% return on investment (on incremental investment beyond its historic investment level of c£70m per annum). It is important for the long term future financial stability of the University that this large scale capital programme is appropriately scrutinised in order to monitor the actual return verses expectations. This is especially important in a time where other funding sources may decline, such as further spending cuts throughout the government as well as increasing competition for student enrolees.

Impact on the Audit

Our risk assessment takes account of these broad risks and considers to what extent they represent either a risk in financial reporting terms (backward looking) or a risk in terms of financial sustainability (forward looking). We set out below where we believe these issues, and other matters, have translated into audit-related risks.

Step 3 – Relevant risks

Our risk assessment forms the basis for planning our audit activities. It determines where our audit effort should be focused. Risks are categorised as follows:

●	*Significant*	Risk of material misstatement due to the likelihood, nature and magnitude of the balance or transaction. These require specific focus this year.
●	*Elevated*	Although not considered significant, the nature of the balance/area requires specific consideration.
●	*Normal*	We perform standard audit procedures to address normal risks in all other material financial statement line items. We have only highlighted normal risks in the plan by exception.

Risk	Risk level	Reason for risk identification
Fraud and management override of controls	●	ISA (UK&I) 240 requires that we plan our audit work to consider the risk of fraud, which is presumed to be a significant risk in any audit. In any organisation, management may be in a position to override the financial controls that are in place. The current economic conditions may also increase fraud risk.
Expenditure recognition – research grants/contracts	●	Under ISA (UK&I) 240 there is a rebuttable presumption that there are risks of fraud in revenue recognition. However, given the accounting for research contracts is driven by research spend, we have rebutted the risk of fraud in revenue and instead consider there to be an elevated risk within research expenditure. Our testing will therefore focus on the occurrence of expenditure driving revenue recognition, appropriate allocation to research contracts and testing the appropriateness of both deferred and accrued research income on the balance sheet.
Heritage Assets	●	The nature of heritage assets is such that valuation methods can be judgemental, particularly in relation to donated assets. As a result of this, we will carefully consider the existence and valuation of the heritage assets on the balance sheet. We identified control recommendations during our audit testing last year and we will follow up to assess whether agreed actions have been implemented by management.
University pension liability (defined benefit schemes)	●	There are a number of complex pension schemes to which University staff belong. We will assess the assumptions used in determining the pension liability for each of the defined benefit schemes against industry benchmarks. We will also seek confirmation of plan assets, both in terms of existence and valuation. Last year, an £8m adjustment was identified due to incomplete information provided to the actuary.
Tangible fixed assets capitalisation policy	●	The University's policy in relation to tangible fixed asset additions is to capitalise the costs incurred by reference to the total expected value of the asset. This policy can result in significant amounts of expenditure being charged to the income statement which would normally be considered capital in nature, given the expected value is based on market value and not value in use. We will audit the basis for allocation of capital versus revenue expenditure.
US GAAP	●	The University's policies and procedures for the UK GAAP accounts do not all align with US GAAP, which they are required to report in to the US Department of Education. The University performs a large exercise at year end to convert the UK GAAP accounts into US GAAP; however, given the size, complexity and significance of these adjustments, this creates an elevated risk on whether all necessary adjustments have been identified and made appropriately.

Our more detailed response to the audit risks highlighted above is provided at **Appendix 3.**

2.2 Specific aspects of our audit approach – Steps 4 to 6

Within the approach outlined above, there are specific aspects of our approach which we wish to bring to your attention:

Materiality

Information in financial statements is considered to be material if its omission or misstatement could influence the economic decisions of users of those financial statements. We assess the impact of any misstatements or omissions on the financial statements both individually and in aggregate, considering both qualitative and quantitative measures.

Overall materiality for the Group has been set at £7.81 million, which is calculated as 1% of total revenues based on the 2013/14 audited financial statements. We will update this assessment as necessary in light of the institution's actual results for 2014/15 once known.

Performance materiality has been set at £5.85 million. We use this to plan the amount of work we are going to do by applying a "haircut" to overall materiality. Based on our prior year audit and work completed to date, we have applied a haircut of 25% reflecting a normal level of risk.

ISA (UK&I) 450 (revised) requires that we record all misstatements identified except those which are "clearly trivial" i.e. those which we do expect not to have a material effect on the financial statements even if accumulated. We have calculated this as 5% of materiality (£390,000).

Our audit work on subsidiary companies will be carried out to a level of materiality appropriate for each entity, which will usually be substantially lower than the group materiality noted above. We complete most of the work on the subsidiaries concurrent or prior to the group audit and the transactions and balances are tested to a subsidiary statutory account level of materiality which is determined on an entity by entity basis.

Approach to auditing controls

In developing our audit approach we perform a review of your key IT systems to establish the extent to which reliance for audit purposes can be placed on the controls which protect the integrity of systems, applications, programmed controls and data.

When auditing the IT control environment, we consider the underlying systems environment and specifically control arrangements in relation to:

- Overall IT management;
- Maintenance of applications;
- Operation of computer systems; and
- Information security controls.

While we must fully understand the IT control environment, the scope of IT general controls testing for the audit is driven by the key business processes and controls, and the level of dependency on specific applications where controls have automation.

During FY14, we did not rely on controls across the purchase to payables cycle due to the number of different procurement streams being operated across the different schools. Through our engagement with management during the FY15 planning process, we have updated our approach and we now plan to seek reliance on a number of specific key controls which are operated and owned within the finance team. This work, including the underlying IT general controls testing, has been performed as part of our interim testing, with a number of potentially significant observations arising as noted below:

- A generic 'super-user' account for eFinancials was identified that could be accessed by a number of people across the organisation, for example the Accounts Payable team who can use it to process payments. Given the nature of this account, it also has the ability to make changes to configurable settings in the application, for instance the three-way matching, and key standing data tables like

supplier bank details. This increases the risk that an invalid transaction could be processed. Our testing noted that the use of this account was not being proactively monitored by management, and therefore we are currently performing additional substantive testing to validate all activity during the year.

- An exception was noted around the operating effectiveness testing of the leavers' controls. Specifically, there is currently no automated leavers' email from eAuthorisations built into the process, and therefore reliance is placed on the manual communication from the relevant line manager. We identified eight leavers who still had active user accounts at the time of our testing. Of these, seven were noted as having not logged into the system since their leaving date. One user account, however, was accessed by two members of staff three months after the user's leaving date. Additional testing confirmed the users were not able to perform any activities over and above those expected of their role, but this does demonstrate a significant breach in the University's security processes and controls.
- There is no proactive monitoring of Oracle database user activities, although access is restricted to suitable personnel within the IS function. While not in line with good practice, this is sufficient to mitigate the audit risk.

While exceptions have been identified from the controls work above, we are working with management to perform additional substantive procedures where necessary to sufficiently mitigate the risk from an audit perspective. However, we would strongly encourage management to fully address the observations highlighted above to improve the strength of their control environment.

Use of specialists

We will use auditor's experts to determine the appropriateness of any assumptions used in the calculation of the defined benefit pension liability.

When we do our work

Our audit is designed to keep you informed of any issues as they arise so that we deliver a no surprises audit at year-end. This involves early testing at an interim stage and open and timely communication with management to ensure that we meet all statutory reporting deadlines. We engage early, enabling us to debate issues with you whilst not getting ahead of management's decision making. We have summarised our formal communications plan in Section 5.

3) Fraud risks

Fraud risks

International Standards on Auditing (UK&I) state that we, as auditors, are responsible for obtaining reasonable assurance that the financial statements taken as a whole are free from material misstatement, whether caused by fraud or error. The respective responsibilities of auditors, management and those charged with governance are summarised below:

Auditors' responsibility	Management's responsibility	Responsibility of the Audit Committee
Our objectives are: • To identify and assess the risks of material misstatement of the financial statements due to fraud; • To obtain sufficient appropriate audit evidence regarding the assessed risks of material misstatement due to fraud, through designing and implementing appropriate responses; and • To respond appropriately to fraud or suspected fraud identified during the audit.	Management's responsibilities in relation to fraud are: • To design and implement programmes and controls to prevent, deter and detect fraud; • To ensure that the entity's culture and environment promote ethical behaviour; and • To perform a risk assessment that specifically includes the risk of fraud addressing incentives and pressures, opportunities, and attitudes and rationalisation.	Your responsibility as part of your governance role is: • To evaluate management's identification of fraud risk, implementation of anti-fraud measures and creation of appropriate 'tone at the top'; and • To investigate any alleged or suspected instances of fraud brought to your attention.

International Standards on Auditing (UK&I) require us to obtain reasonable assurance that the financial statements taken as a whole are free from material misstatement, whether caused by fraud or error.

Fraud may arise externally, from third parties trying to defraud the institution, or internally; for example, manipulation of reporting of the University's financial position is fraudulent and management may also override controls to perpetrate other types of fraud. The diagram below summarises the conditions under which fraud may occur:

There have been a number of examples of high profile corporate failures due to fraud in recent years and given current economic uncertainties the risks of fraud across the UK remain high. In the last 18 months several cases of fraud have been reported to the Funding Council. The most common case has been procurement fraud, specifically changes made to supplier bank details. However, within the sector, we are seeing other types of fraud, such as the charging of inappropriate expenses to research contracts; and duplicate claims for the same expenditure. Our attention was drawn to an inappropriate expense claim at the University last year and the manipulation of research contract end dates such that income was inappropriately deferred on the balance sheet. We performed specific audit procedures in response to this last year and will continue to do so in the FY15 audit.

Further details on reported frauds across the higher education sector can be found on the HEFCE website at http://www.hefce.ac.uk/reg/Notifications/Fraud,updates/

We also have a PwC Fraud Academy, for which details and a variety of publications and updates can be found on our website at http://fraudacademy.pwc.co.uk/index.html.

Your views on fraud

We enquire of you, as members of the Audit Committee:

1. Whether you have knowledge of fraud, either actual, suspected or alleged, including those involving management?
2. What fraud detection or prevention measures (e.g. whistle blower lines) are in place in the entity?
3. What role you have in relation to fraud?
4. What protocols / procedures have been established between those charged with governance and management to keep you informed of instances of fraud, either actual, suspected or alleged?

4) Timetable and communications plan

4.1 Timetable

Our proposed timetable is as follows:

Month	Audit activity
March to May 2015	• Discuss business risks with key management and plan detailed audit approach • Agree audit strategy and timetable with management and the Audit Committee
May to June 2015	• Test relevant key controls in relation to accounts payable and IT • Discuss key accounting and audit issues • Hold early discussions with actuaries surrounding key pension assumptions • Early preparation and detailed testing (where appropriate), including for subsidiaries
August – September 2015	• Substantive audit procedures on the University subsidiary accounts • Present audit update to the Audit Committee
September – October 2015	• Detailed audit testing (Group)
November 2015	• Opinion on consolidated accounts • Management letter to the Audit Committee • Management representation letters • Statutory audit opinions
December – January 2015	• Detailed audit procedures on the University US GAAP accounts • Detailed audit procedures over US Federal Loans • Opinion on US GAAP consolidated accounts

4.2 Communications plan

Our communications plan for the audit is as follows:

Required communication	Planning	Completion	As required
Copy of engagement letter to those charged with governance	■		
Independence and objectivity confirmation	■	■	
Details of all non-audit work performed by the firm and related fees	■	■	
Nature and scope of work together with timing of expected reports	■		■
Expected modifications to the auditors' report (if applicable)		■	■
Uncorrected misstatements (if applicable)		■	
Significant deficiencies in internal control identified during the audit		■	
Views about the qualitative aspects of the institution's accounting practices and financial reporting		■	
Matters specifically required by other ISAs (UK&I) to be communicated to those charged with governance		■	■
Final draft of representation letter		■	
Any other matters of governance interest		■	■

5) Fees

31 July 2014

Our agreed fee for the year ended 31 July 2014 was £144,400. This was based on the fee set out in our proposal document which was submitted in January 2013 of £142,000 adjusted by a small scope change.

31 July 2015

Our fee proposal for the FY15 audit is £146,800 which is based on our FY14 fee adjusted for inflation and the removal of the requirement for one of the subsidiary audits (SSTRIC).

As noted earlier, in FY15, we will not have the added burden of 'Year 1' costs and we should see the benefit of the time invested last year as we seek to make our audit approach more efficient. As set out in this document we are making changes to our approach in key areas and we are also working with management to identify areas where we can identify improvements.

Appendix 1: Assessment of independence threats and safeguards

Support provided by PwC	Value	Threats to independence and safeguards in place
Market testing for the School of Biological Sciences to assist in their plans to redevelop the Darwin centre.	£15,799	**Self-Review:** The advice does not involve the preparation of information subject to audit by PwC. In addition, the services are delivered by a team separate from the audit engagement team. **Self Interest:** The total fee level is not deemed to be material to the University or PwC. **Management:** The work does not involve making any decisions on behalf of management and an appropriate member of the University's management will be responsible for making the significant judgements, evaluating the results of PwC's work and taking action. **Advocacy**: PwC will only act as an advisor. The scope of services does not include structuring a finance/investment deal and thus PwC will not act as principal. **Familiarity:** Work is not deemed to give rise to a familiarity threat in that a separate team from the audit team is used. **Intimidation:** The final report will be reviewed be PwC independent of the engagement to ensure all recommendations are appropriate and impartial.
Due diligence work for the University's proposed strategic alignment with SRUC	Phase 1: £65,000 Phase 2: £75,000	**Self-Review**: The advice provided by members of the team who are also part of the audit team is limited to accounting advice which would normally be provided as part of the audit process. The transaction due diligence services are led and delivered by a separate team from the audit engagement team. **Self Interest**: The total fee level is not deemed to be material to the University or PwC. **Management**: The work does not involve making any decisions on behalf of management and an appropriate member of the University's management will be responsible for making the significant judgements, evaluating the results of PwC's work and taking action. **Advocacy:** PwC acts as an advisor only and will not be involved in any presentation on behalf of the UoE to any external parties. **Familiarity**: Work is not deemed to give rise to a familiarity threat in that a separate team from audit team is used. The only advice provided by members of the audit team is limited to accounting advice which would normally be provided as part of the audit process. **Intimidation:** The nature of the work does not give rise to any intimidation threat.

Support provided by PwC	Value	Threats to independence and safeguards in place
Provision of services relating to an information security assessment through a workshop-based approach.	£25,000	**Self-Review**: The advice does not involve the preparation of information subject to audit by PwC. In addition, the services are delivered by a separate team from the audit engagement team. **Self Interest**: The total fee level is not deemed to be material to the University or PwC. **Management**: The work does not involve making any decisions on behalf of management and an appropriate member of the University's management will be responsible for making the significant judgements, evaluating the results of PwC's work and taking action. **Advocacy:** Our discussions and correspondence will be conducted and documented using behaviour and language which reflect our advisory role and the client's decision-making role. **Familiarity**: Work is not deemed to give rise to a familiarity threat in that a separate team from audit team is used. **Intimidation:** The nature of the work does not give rise to any intimidation threat.
US GAAP/US Loans work	Included within the fee in section 5 ~£36,000	**Self-Review**: The work does not involve the preparation of information subject to audit by PwC. **Self Interest**: The total fee level is not deemed to be material to the University or PwC. **Management**: The work does not involve making any decisions on behalf of management and an appropriate member of the University's management will be responsible for making the significant judgements, evaluating the results of PwC's work and taking action. **Advocacy:** Work is not deemed to give rise to an advocacy threat. **Familiarity**: Work is not deemed to give rise to a familiarity threat. **Intimidation:** The nature of the work does not give rise to any intimidation threat.

Support provided by PwC	Value	Threats to independence and safeguards in place
FRS 102 work	TBC	**Self-Review**: The work does not involve the preparation of information subject to audit by PwC. **Self Interest**: The total fee level is not deemed to be material to the University or PwC. **Management**: The work does not involve making any decisions on behalf of management and an appropriate member of the University's management will be responsible for making the significant judgements, evaluating the results of PwC's work and taking action. **Advocacy:** Work is not deemed to give rise to an advocacy threat. **Familiarity**: Work is not deemed to give rise to a familiarity threat. **Intimidation:** The nature of the work does not give rise to any intimidation threat.

Appendix 2: Your audit team

Audit team	Responsibilities
Michael Timar Engagement leader – University 0141 355 4180 michael.timar@uk.pwc.com	This is Michael's 2nd year as the University's engagement leader. He will be responsible for leading the Group audit and will sign both the UK and US GAAP financial statements. Michael will ensure the quality of our audit provision and will attend the key Audit Committees. Amongst other clients, Michael is currently the group audit partner for the University of Dundee and is/has been the audit partner of a number of major organisations such as Aggreko, Stagecoach, Cairn Energy and National Grid. Before becoming a partner, Michael worked on the audit of the University of Strathclyde for a number of years, and was also seconded as acting Finance Director of Jordanhill College of Education just after its merger with the University of Strathclyde.
Lindsey Paterson Engagement leader – Subsidiaries 0141 355 4256 lindsey.paterson@uk.pwc.com	Lindsey will provide support to Michael on the University audit and will lead the audit of the subsidiary companies. She will attend audit committees and be the key contact for the Director of Finance. This is Lindsey's 2nd year of involvement in the audit of the University and its subsidiaries. Lindsey leads PwC's delivery of assurance services to the HE sector in Scotland. Her current clients include the University of Dundee, the University of Aberdeen, Robert Gordon University and the University of Glasgow.
Denise Gallagher Engagement Senior Manager 0141 355 4227 denise.gallagher@uk.pwc.com	Denise will be responsible for the management and control of the external audit service, and for ensuring that our approach is focused on significant risk areas and reporting significant findings from our work. She is also responsible for managing the audit team, liaison with University finance staff on the scope and timing of our work, and ensuring co-operation with the internal auditors. This will be Denise's 2nd year of involvement in the University of Edinburgh audit.
Alyson Dillon Audit Team Leader 07563786486 alyson.t.dillon@uk.pwc.com	Alyson will be responsible for leading our audit team on site during the interim and final audit fieldwork visits, for coaching and briefing our staff and for carrying out audit work in complex areas. This will be Alyson's 2nd year of involvement in the University of Edinburgh audit.

Client service is extremely important to us and we continuously strive to improve our service and do everything we can to make sure that we're exceeding your expectations. If you would like to discuss how we can improve our service please contact Michael Timar, your engagement leader, in the first instance.

Appendix 3: Response to areas of audit focus

Risk	Risk level	Reason for risk identification	Audit approach
Fraud and management override of controls	●	ISA (UK&I) 240 requires that we plan our audit work to consider the risk of fraud, which is presumed to be a significant risk in any audit. In any organisation, management may be in a position to override the financial controls that you have in place. The current economic conditions may also increase fraud risk. We will consider the risk that management may override controls in order to manipulate the financial statements.	We will perform procedures to: • test the appropriateness of journal entries using Computer Assisted Auditing Techniques; • review accounting estimates for bias and evaluate whether circumstances producing any bias represent a risk of material misstatement due to fraud; • evaluate the business rationale underlying significant transactions; • perform 'unpredictable' procedures; and • other audit procedures as necessary.
Expenditure recognition – research grants/contracts	●	Under ISA (UK&I) 240 there is a rebuttable presumption that there are risks of fraud in revenue recognition. However, given the accounting for research contracts is driven by research spend, we have rebutted the risk of fraud in revenue and instead consider there to be an elevated risk within research expenditure.	Our testing will therefore focus on the occurrence of expenditure driving revenue recognition, appropriate allocation to research contracts and testing the appropriateness of both deferred and accrued research income on the balance sheet. We will confirm the conditions of the grants/contracts are being met and the validity of the expenditure such that income recognition is considered appropriate.
Heritage Assets	●	The University holds an extensive collection of heritage assets, which are defined as assets with historic, artistic, scientific, technological, geophysical or environmental qualities that are held and maintained principally for their contribution to knowledge and culture. Heritage assets within the 2013/14 financial statements were carried at £175 million. This collection comprises assets such as manuscripts, photographic material as well as paintings, sculptures and natural history specimens. The valuation of such specialised assets	We will confirm our understanding of controls over heritage assets, particularly over the valuation of heritage assets capitalised within the financial statements and their safekeeping. We will consider the completeness of recording of new donations. We will understand and evaluate the accounting policy in relation to the capitalisation of heritage assets. We will perform substantive testing over any heritage asset valuations performed during the year and will involve our valuations team as appropriate in assessing valuations.

Risk	Risk level	Reason for risk identification	Audit approach
		is highly judgemental. We also identified various control weaknesses concerning heritage assets record management during the 2013/14 audit.	We will consider management's implementation of our control recommendations from the 2013/14 audit.
University pension liability (defined benefit schemes)	●	There are a number of complex pension schemes within the University. The assumptions applied in determining the defined benefit liability are highly judgemental. We also identified a material misstatement in the pension liability valuation concerning the amount of assets being allocated to the pension plan.	We will carefully consider the assumptions used in determining the pension liability for the defined benefit schemes. We will also seek independent confirmation of plan assets.
Tangible assets capitalisation policy	●	The University's policy in relation to tangible fixed asset additions is to capitalise the costs incurred by reference to the total expected value of the asset.	We will audit the basis for allocation of capital versus revenue expenditure.
US GAAP audit	●	The University's policies and procedures for the UK GAAP accounts do not all align with US GAAP, which they are required to report in to the US Department of Education. The University performs a large exercise at year end to convert the UK GAAP accounts into US GAAP; however, given the size, complexity and significance of these adjustments, this creates an elevated risk on whether all necessary adjustments have been identified and made appropriately.	We will carefully assess the completeness and accuracy of the US GAAP reconciliation.

Appendix 4: Audit quality

Quality is built into every aspect of the way that we deliver the audit. We take great pride in being your auditors and in the value of assurance that the audit opinion provides. A timely, independent and rigorous audit is fundamental. This in turn necessitates getting the basics right – clarity on audit risks, scope, resource, timetables, deliverables and areas of judgement – which is supported by our team that has extensive experience and relevant training.

The table below sets out some of the key ways in which we ensure we deliver a high quality audit.

Procedure	**Description**
People	Quality begins with our people. To ensure that every engagement team provides quality, we use carefully designed protocols for recruiting, training, promoting, assigning responsibility and managing and overseeing the work of our people. We invest significant amounts of time and money for the training and development of our audit professionals. Every new team member is carefully selected to ensure they have the right blend of technical expertise and industry experience to support the audit.
Client acceptance and retention	Our client acceptance and retention standards and procedures are designed to identify risks of a client or prospective client to determine whether the risks are manageable.
Audit methodology	The same audit methodology is used for all Higher Education audit engagements, thereby ensuring uniformity and consistency in approach. Compliance with this methodology is regularly reviewed and evaluated. Comprehensive policies and procedures governing our accounting and auditing practice – covering professional and regulatory standards as well as implementation issues – are constantly updated for new professional developments and emerging issues, needs and concerns of the practice.
Technical consultation	Consultations by engagement teams, typically with senior technical partners unaffiliated with the audit engagement, are required in particular circumstances involving auditing, accounting or reporting matters including matters such as going concern and clinical quality issues. In addition, we regularly consult with our industry specialists in the Education Centre of Excellence.
Technical updates	PwC prepares numerous publications to keep both PwC staff and our clients abreast of the latest technical guidance. These include: • A weekly publication covering the week's accounting and business developments. • A periodic publication providing in-depth analysis of significant accounting developments. • A publication issued shortly after meetings of standard setters, including IFRIC and the EITF, to provide timely feedback on issues discussed at the meeting. We also provide HE specific technical updates through regular publications issued by our Education Centre of Excellence and weekly conference calls for all HE engagement teams during Education busy season. We will share our technical updates with you throughout the year.
Independence standards	PwC has policies and systems designed to comply with relevant independence and client retention standards. Before a piece of non-audit work can begin for the Institution, it must first be authorised by the engagement leader who evaluates the project against our own internal policies and safeguards and against your policy on non-audit services.
Ethics	Our Ethics and Business Conduct Programme includes confidential communication channels to voice questions and concerns 24 hours a day, seven days a week. Confidentiality helps us to ensure that we receive the candid information and that we respond with the appropriate technical and risk management resources.
Independent review	Our audits are subject to ongoing review and evaluation by review teams within PwC and also by the Audit Quality Review Team (AQRT, formerly the Audit Inspection Unit). The most recent report on PwC was issued in May 2014 and although there are some areas for development identified the general theme was that audit quality has continued to improve. The firm has developed action plans for all areas for development identified by the AQRT.

Appendix 5: Education Sector Risk Profile

1) Introduction and Scope

Introduction

Effective risk management is a key control for institutions to mitigate the risks against delivery of strategic aims, and is also a core requirement of the HEFCE Memorandum of Assurance and Accountability (2014/12) which internal audit includes an annual opinion over.

The education sector continues to experience an increasing level of change, with significant challenges and unpredictability in student demand, a new Statement of Recommended Practice, and future uncertainties associated with this year's general election.

Effective risk management and governing body level reporting is more important than ever.

This paper seeks to present the findings of our benchmarking study of 40 institutions (2014: 40) in terms of what their significant risks were and how those risks were being managed.

Our sample and scope

We have reviewed Institutional level risk registers from a variety of different types of Institution which can be broken down as follows:

Type of Institution	Number	Percentage
Russell Group	10	25%
Higher Education - Other	23	57%
Further Education Colleges	7	18%
TOTAL	**40**	**100%**

The detailed findings from our review are set out in the next section of this paper. We have highlighted a number of different features of the risk registers of the institutions sampled, and what stood out as being best practice in each of those areas.

Key risks

Our review has sought to understand the most significant risk areas as assessed by institutions, and any sector trends. From our analysis the top five risk areas appear to be in relation to:

1. Student recruitment - undergraduate and postgraduate (including international students);
2. Research income and quality (decreased from prior year analysis);
3. Funding body grant income reductions (increased from prior year analysis);
4. Government policy/ political landscape (increased significantly from prior year analysis); and
5. Pension deficit affordability (increased from prior year analysis).

The diagram in sections three to five summarise the profile of risks for the HE and FE sector combined, based on our sample of risk registers analysed, showing average risk likelihood and impact assessments. The diagram in section five is the profile of risks for Russell Group Universities only and in section six is that in the FE sector only.

Based on the significance of these risk areas to institutions, Audit Committee attention is crucial in helping mitigate the risks and ensure appropriate assurance is received.

2) Detailed review of risk registers

From our analysis of the risk registers across the sector we have identified a number of best practice characteristics which we believe should be a feature of risk registers. We have highlighted below results of our review of the sample of risk registers, highlighting a number of statistics from that analysis.

Impact and likelihood matrix

Risk register should include a clear methodology for assessing the impact and likelihood for identified risks (in effect the inherent risk). This is usually in the form of a matrix with over 90% of registers using some form of numerical matrix to give each risk a quantitative "score", such as that illustrated below:

Impact	Single loss (£)		Forecast accumulated cost over 2 years
5	>£25m		>£50m
4	>£10m	<£25m	>£25m - <£50m
3	>£5m	<£10m	>£10m - <£25m
2	>£0.5m	<£5m	>£1m - >£10m
1	0	<£0.5m	>£1m

Score	Range		Likelihood
5	81%	100%	Almost certain to happen within the timing horizon
4	51%	80%	More likely to happen than not
3	31%	50%	Less likely to happen
2	11%	30%	Unlikely
1	0%	10%	Virtually impossible

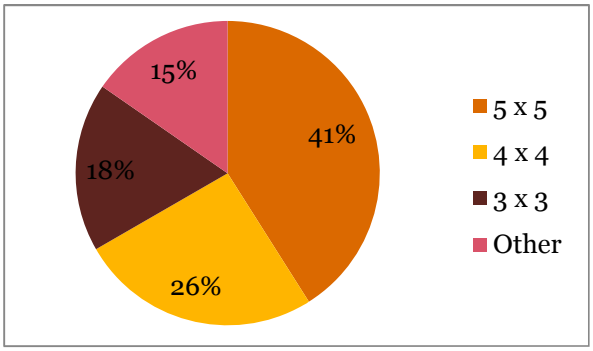
Threshold	Risk Rating	Level of exposure	Action
Alarm	20 – 25	Unacceptable	Immediate corrective action
High	12 – 19	Concern	Decision required by ALT
Medium	5 – 11	Acceptable	Regular monitoring
Low	1 – 4	Acceptable	Regular monitoring

Our review highlighted that:

- 41% use a 5 x 5 impact / likelihood matrix to assess inherent and residual risk; and
- 62% have defined the risk rating scale used, and 23% have defined it in financial terms.

The chart opposite summarises the other type of matrices used by institutions.

More advanced registers also included a scale/framework to define the scoring system qualitatively or quantitatively in financial terms at a Corporate/ Faculty/Service and project level.



Links to strategic objectives

Effective risk management is based around strategic plan objectives having the risks of non-achievement assessed, and those risks being directly linked to those objectives.

The proportion of risk registers that have this information within our sample was relatively low at 26%. Effective risk management relies on being linked to key strategic priorities to ensure institutions understand the risks of not achieving strategic priorities, and therefore focus their mitigation work on those strategic risks.

26% have linked risks to institutional strategic objectives

Mitigating controls

Once risks have been identified and assessed, the details of the mitigating controls in place to address the inherent risk should be outlined at a high level in order to assess the residual risk associated with that area.

Our review found 77% of risk registers identified the mitigating controls to address the underlying risk.

Residual risks

An assessment of the residual risk using the same scoring system as used for the 'gross' risk should be documented. This assesses the effectiveness of the mitigating controls, as we would generally expect to see a reduction in the risk score after mitigation.

Our review has highlighted 62% of institutions have assessed the residual risk after mitigation.

Mitigating actions

Once the residual risk has been assessed there are mitigating actions required in order to control the level of risk identified. In more advanced registers these actions have a specific owner who may be different from the overall risk owner. Our review highlighted that:

- 69% have mitigating actions to address residual risk; and
- 87% have identified the risk owners.

Number of risks

We are often asked how long a risk register should be and what a typical number of risks is.

The average number of risks that appeared on the risk registers sampled was 17 and ranged from between ten to over 50 risks. In general the more effective risk registers included 10 to 20 risks and consolidated specific risks and actions into more general themed risks.

Average number of risks: 17

Average number of pages on risk register: 14

Direction of travel

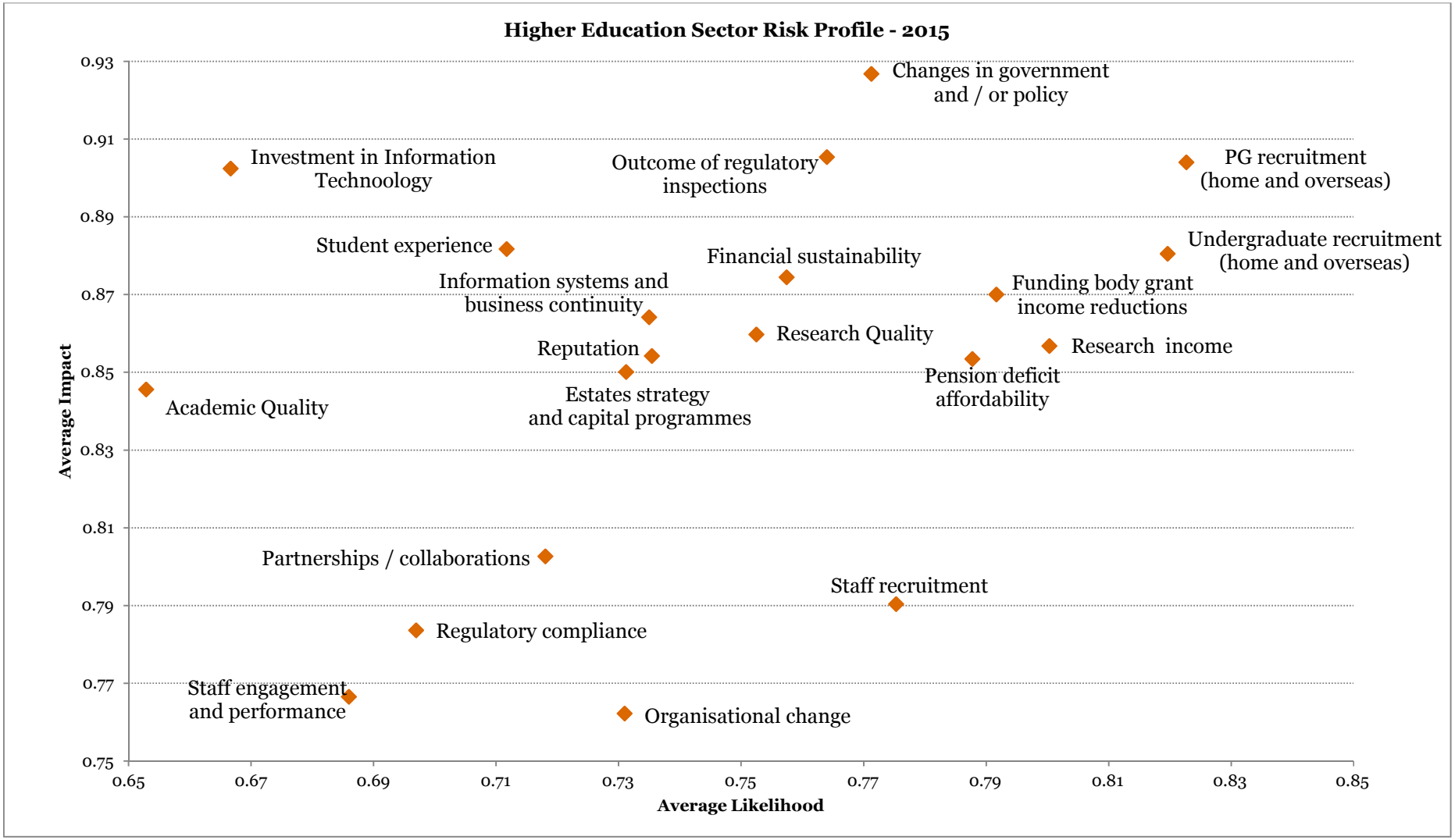
To give an indication as to the relative movement on the institutional risks from one period to the next, the more advanced registers identify the direction of travel of the risk and the comparative score for prior year. This allows the reader an opportunity to assess risks in a dynamic context and whether the risk level is changing over time.

Our review highlighted that 36% of institutions included the direction of travel of individual risks on their risk registers.

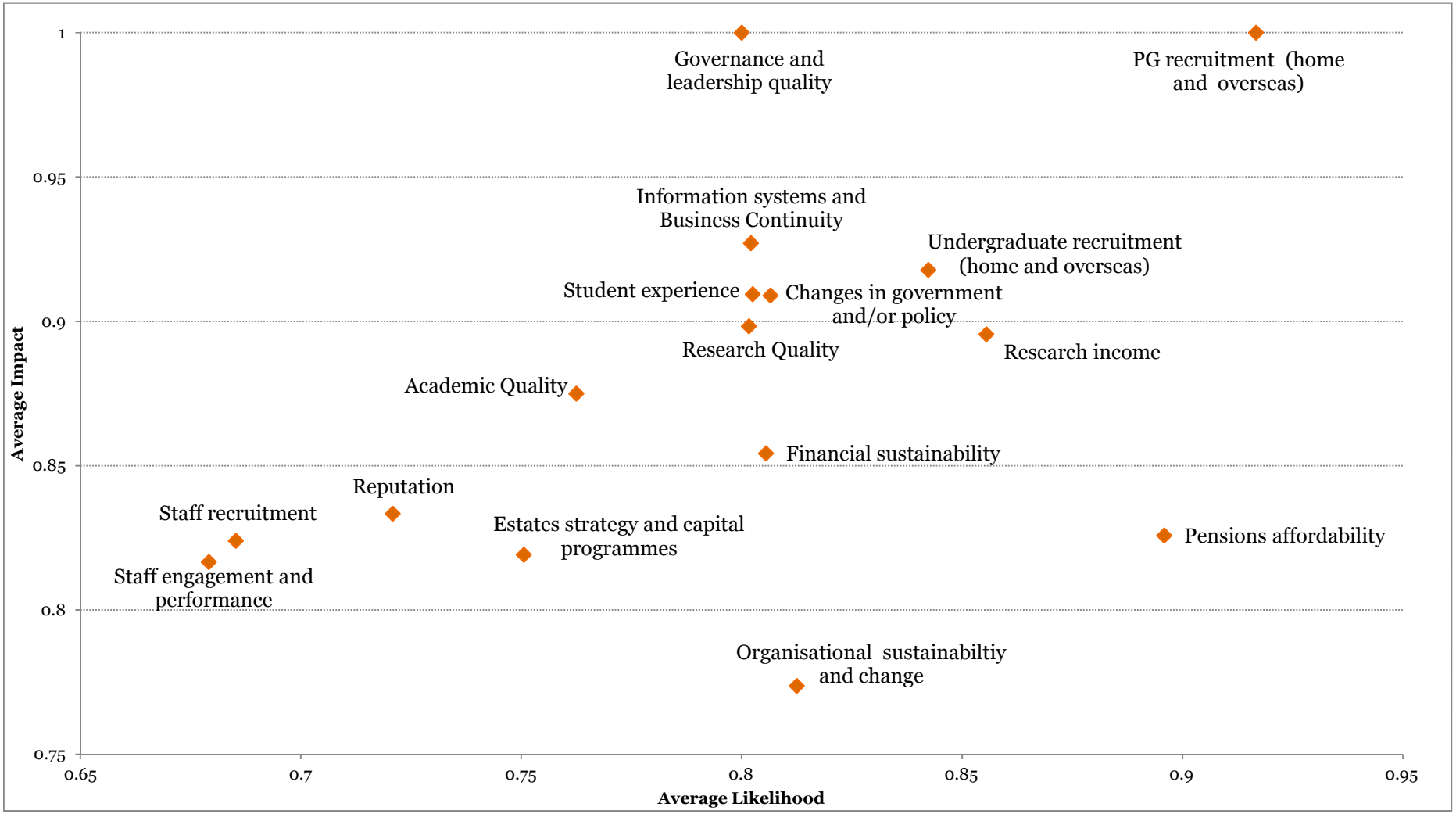
Risks facing institutions

There were a wide variety of risks within many of the overall risk themes and included within Appendix A is further narrative regarding each risk theme and a disaggregation of the risk types which are identified within each category.

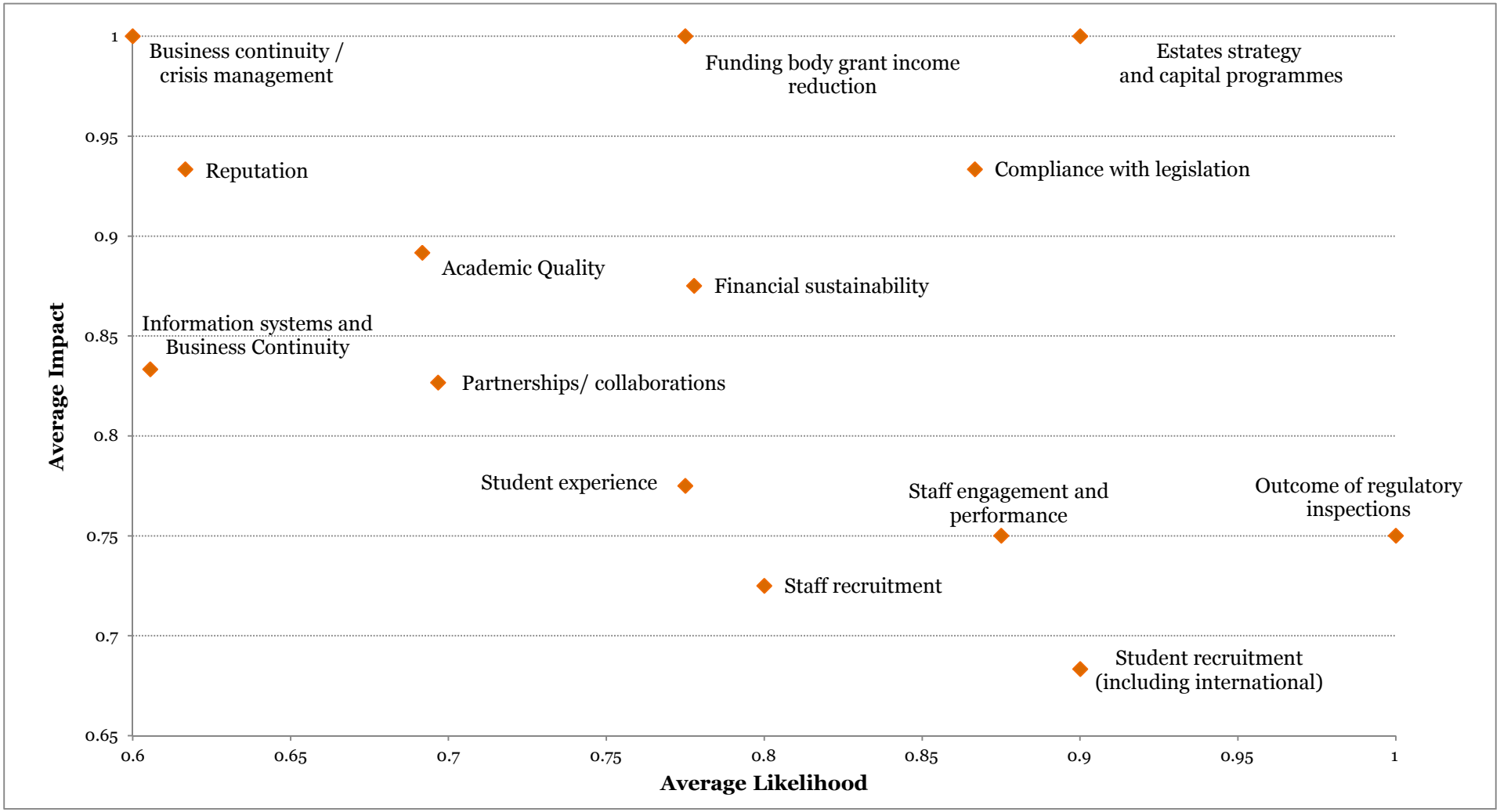
3) Higher education sector risk profile



4) Russell Group risk profile



5) Further Education risk profile



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THE UNIVERSITY of EDINBURGH

N4

UNIVERSITY COURT

22 June 2015

Knowledge Strategic Committee Report

Committee Name

1. Knowledge Strategy Committee.

Date of Meeting

2. The Committee met on 5 June 2015.

Action Required

3. Court is invited to note the key points discussed at the meeting and on the recommendation of the Committee approve the new University Collections Management Policy.

Key points

4. *IT Security*

The Committee considered and approved an approach to strengthen IT security arrangements. This included the development of a new central IT security team, with two additional posts for IT security professionals to be advertised in August 2015 and the intention to formally identify Senior Information Risk Officers (SIROs) within Colleges, Support Groups, Schools and departments as part of the overall University approach to IT security. An IT Security Strategy would also be drafted for consideration at the next meeting of the Committee.

5. *IS Strategy*

A draft Strategic vision for ISG was presented for comment by the Committee around the three main areas of: Student Experience; Research and Innovation; and Service Excellence. There would be wide consultation across the University as the vision is developed into a 3 year strategic plan which would be brought back to the Committee in early 2015/2016 for approval.

6. *Policies*

The Committee approved the Bring Your Own Device (BYOD) Policy and Web Accessibility Policy on the recommendation of the IT Committee; and commented on the importance of staff being fully aware of the content of these documents. The Committee further endorsed and recommended approval to Court of the comprehensive set of documents contained within the University Collections Management Policy, on the recommendation of the University Collections Advisory Committee. This document can be accessed at: https://www.wiki.ed.ac.uk/display/UCC/University+Court

7. *Other Issues*

The Committee undertook an effectiveness review and agreed that the outcome would be presented to the next meeting for approval. Reports were also received on the activities of its three Thematic Committees (IT Committee, Library Committee and University Collections Advisory

Committee) as well as updates on the BI/MI project and Student Systems roadmap and approval to purchase equipment in the Colleges of Medicine and Veterinary Medicine and Science and Engineering.

Full minute:
8. The Minute for and papers considered at the meeting can be accessed at the following URL:

https://www.wiki.ed.ac.uk/display/UCC/Knowledge+Strategy+Committee

Equality & Diversity
9. There are no specific equality and diversity issues associated with this report.

Further information
10.

Author	*Presenter*
Dr Katherine Novosel	Professor Ann Smyth
June 2015	Convener, Knowledge Strategy Committee

Freedom of Information
11. This paper is open.

THE UNIVERSITY of EDINBURGH

N5

UNIVERSITY COURT

22 June 2015

Report from Committee on University Benefactors

Committee Name
1. Committee on University Benefactors.

Date of Meeting
2. The Committee concluded consideration on 14 May 2015.

Paragraphs 3 – 4 have been removed as exempt from release due to FOI.

Full minute:
5. The Minute for and papers considered at the meeting can be accessed at the following URL:

https://www.wiki.ed.ac.uk/display/UCC/Committee+on+University+Benefactors

Equality & Diversity
6. Appropriate equality and diversity consideration has been given to bring forward these nominations.

Further information
7.

Author	*Presenter*
Dr Katherine Novosel	The Principal
June 2015	Convener, Committee on University Benefactors

Freedom of Information
8. This paper is closed.

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

Senatus Academicus

Committee Name
1. Senatus Academicus.

Date of Meeting
2. 3 June 2015.

Action Required
3. To note the key points from the Senate meeting.

Key points
4. The main presentation and discussion theme was the University's Emerging Vision for Learning and Teaching. Professor Sue Rigby, Vice-Principal (Learning and Teaching), introduced the item, explaining that the Emerging Vision is the culmination of a long period of consultation and discussion. Six other speakers participated in the presentation section - the EUSA Vice President for Academic Affairs, the Chief Information Officer and Librarian to the University, and staff from the Business School, the Schools of Geosciences and Divinity, and the Royal (Dick) School of Veterinary Studies. Speakers focussed on the activity currently being undertaken which aligned with the Vision's aims and on the opportunities and challenges the Emerging Vision presented.

5. Senate members were supportive of the Emerging Vision, recognising that it was flexible and nuanced enough to accommodate subject specific needs. The following points regarding the further development and implementation of the vision were made during the discussion section of the meeting:

- There should be a focus on the synergies between research and teaching, and on providing students at all levels with opportunities to undertake research.
- Staff development will play an important role in supporting the effective implementation of the Emerging Vision.
- Implementation should take account of students' expectations regarding contact time with academic staff.
- Schools should ensure that the volume of summative assessment is appropriate, since excessive assessment can reduce the student experience.
- The University's quality assurance processes should enable staff to innovate in teaching.
- The University should take account of the Emerging Vision as it develops its estate and IT infrastructure.
- The Personal Tutor role is crucial to the successful implementation of the Vision.

6. There was an additional item discussed in the Presentation and Discussion section of the meeting - the Race Equality Charter Mark. Professor Jane Norman, Vice-Principal (People and Culture), explained that the University has submitted an

application for the Charter Mark, and highlighted findings from data analysis and focus groups regarding race equality.

7. As part of the formal business, Senate approved the following:
   - The Annual Report of the Senate Committees
   - The Enhancement-Led Institutional Review (ELIR) Reflective Analysis and Case Studies
   - Membership of the Student Appeal Committee for Academic Year 2015/16
   - Changes to the Senatus Quality Assurance Committee composition
   - The Honorary Degrees Committee's recommendations for the award of Honorary Degrees

8. As part of the formal business Senate discussed the University's plans to develop a student data dashboard to assist Schools to enhance learning and teaching. Barry Neilson, Director of Student Systems, explained the purpose of the planned dashboard and posed a series of questions on the future direction of the dashboard. Senate members welcomed this development as a key part of the agenda for improving the student experience. Senate members indicated that the dashboard should be not be overcomplicated, and that, in addition to providing aggregate data at subject and School level, it should allow managers to review student data associated with individual academic staff.

9. As part of the formal business Senate noted that the Senate Curriculum and Student Progression Committee had recently approved a change to the Taught Assessment Regulation regarding feedback deadlines, which made it clear that Schools are required to provide students with feedback on summative assessment within fifteen working days. Following discussion Senate endorsed the change in regulation, and emphasised that Colleges should only consider opt-outs from this regulation where the scale of the marking task or factors outside a School's control prevented it from meeting the deadline.

10. All items of E-Senate business conducted between 12 and 20 May 2015 were approved or noted as required. The Senatus approved the amended Laigh Year Regulations with effect from 8 June 2015. No comments were received on the draft Resolutions.

Full Minute

11. A full minute will be available in due course at:
http://www.docs.sasg.ed.ac.uk/AcademicServices/Committees/Senate/2014-15

Equality & Diversity

12. No key implications for equality and diversity were raised by Senate.

Further information

13. *Author*
Anne Marie O'Mullane
11 June 2015

Presenter
Principal and Vice Chancellor Sir Timothy O'Shea

Freedom of Information

14. This paper is open.

THE UNIVERSITY of EDINBURGH

P

UNIVERSITY COURT

22 June 2015

Annual Report of the Senate Committees

Description of paper

1. Attached to this paper is the sixth Annual Report of the four Senate Committees: Curriculum and Student Progression Committee, Learning & Teaching Committee, Quality Assurance Committee, and Researcher Experience Committee. The Report covers the activities of the Committees during 2014/2015 and proposes ambitions for 2015/2016 and beyond. It is presented to Court for information.

Action requested

2. Court is invited to note the Report.

Recommendation

3. No specific action is required.

Background and context

4. The Senate Standing Committees provide an Annual Report to Senate setting out their activities for the previous year and seeking Senate approval for their general strategic direction and priorities for the next academic year.

5. As part of the process to enhance engagement between Court and Senate it was agreed that this Annual Report should be presented to Court for information.

Discussion

6. Senate at its meeting on 3 June 2015 received and approved the Annual Report attached as appendix 1.

Resource implications

7. There are no specific resources implications in respect of this paper. There are however resource implications in progressing the activities described in the Report some of which 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 will be taken forward by the relevant Committee or functional area.

Risk Management

8. There are no specific risks associated with this paper, any risks associated with particular projects and initiatives set out in the Report will be managed as appropriate.

Equality & Diversity

9. 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.

Next steps/implications
10. The Senate Committees will progress the agreed strategic approach during 2015/2016 as set out in the Report.

Consultation
11. The Senate Committees have been consulted in drafting the Annual Report.

Further information
12. *Authors*
    Anne Marie O'Mullane, Academic Policy Officer, Academic Services
    Tom Ward, Director of Academic Services
    Ailsa Taylor, Academic Policy Officer, Academic Services
    Philippa Ward, Academic Policy Officer, Academic Services
    Marion Judge, Academic Policy Officer, Academic Services
    Susan Hunter, Academic Policy Officer, Academic Services

Freedom of Information
13. Open Paper.

Appendix 1

Annual Senate Committees' Report 2014/15

1. Executive Summary

This report outlines the achievements of the Senate Committees for Academic Year 2014/15 and the planned priorities for Senate Committees for 2015/16 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 planned priorities. Senate Committees agreed their priorities and strategic direction at the Senate Committees Symposium. The work of the Senate Committees is monitored and coordinated by the Senate Committee Conveners' Forum to ensure that they maintain their strategic approach and remain effective.

Action requested: Senatus is invited to note the major items of Senate Committees' business from 2014/15 and to approve the ambitions proposed by each of the four Senate Committees for 2015/16 and beyond.

2. Introduction

This is the sixth 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.

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

The report sets out the Senate Committees' achievements for the year 2014/15. It proposes their strategic ambitions for 2015/16 and beyond. These proposals arose from Committee discussions, discussion at Senate Committees Conveners' Forum and discussion at the Senate Committees' Symposium which took place on the 8 May 2015. The report also outlines suggestions made at the Senate Committees Symposium. .

3. Key Numbers for 2014/15

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	3
CSPC: Working Group - Assessment Regulations/ Degree Regulations and Programmes of Study Review 2014/15	4
CSPC: Working Group - Assessment and Progression Tools	6
CSPC: Working Group - UG Progression Boards	3
CSPC: Working Group - Student-Led Individually-Created Courses	5

CSPC: Working Group - Tier 4 Student Attendance and Engagement Monitoring Working Group	3
QAC/CSPC: Task Group - Dual Degrees	2
Learning and Teaching Committee (LTC)	5
LTC: Working Group - Code of Practice for Taught Postgraduate Programmes	4
LTC: Task Group - Distance Education Task Group	3
LTC: Working Group - Grade Point Averages	1
Quality Assurance Committee (QAC)	6
QAC: Student Support Services Quality Assurance Framework Sub-Committee	2
QAC: Task Group - Student Representation for Distance Learners	4
QAC: Task Group - Quality Hub	2
QAC: Working Group - External Examiner Policy Development	1
Researcher Experience Committee (REC)	7
REC: Task Group - Distance PhD	1
REC: Task Group - PhD Publications Track	4

4. Senate Committees' Achievements

4.1 Curriculum and Student Progression Committee (CSPC) Achievements 2014/15

4.1.1 Management Data on Students

Building on the principles established by the CSPC 'Use of Student Data' task group and the discussions conducted by Quality Assurance Committee (QAC) in relation to the 'Quality Hub', Student Systems and Academic Services are working with the Senate Committees to take forward this important agenda, starting with a series of workshops in May 2015. These workshops will assist Student Systems and Academic Services to develop their understanding of how management information regarding students can support Schools and Colleges to make key strategic and management decisions, and will feed into discussions at Senate Learning and Teaching Committee and Senate in May / June 2015, and subsequent developments to the provision of management information.

4.1.2 Projects

i. Programme and Course Information Management Project (PCIM)

The PCIM project is on track to achieve its main deliverables:

- An enhanced course descriptor has been implemented, which will provide students with more comprehensive and relevant information (including enhanced information regarding feedback on assessment arrangements).

- Based on last year's work on Draft University Level Principles, a new University policy on Programme and Course Design, Development, Approval, Changes and Closure has now been developed and approved.

- The Board of Studies Terms of Reference has been updated and Boards of Studies guidance has also been developed (this will go to the June Committee meeting).

- A Programme and Course Handbooks Policy has been developed and will be considered by CSPC in June.

ii. Assessment and Progression Tools Project

The Assessment and Progression Tools Project is on track to achieve its main deliverables:

- CSPC has extended the policy on Informing Taught Students of their Final Programme Results so that it now also covers Course and Progression results.

- Significant systems development work now enables Schools to input progression and course awards into EUCLID, and to communicate these results to students via EUCLID / MyEd (with effect from May / June 2015).

- CSPC approved the introduction of an Undergraduate Progression Boards policy for introduction in 2015/16.

iii. Open Content Courses/Student-Led Individually Created Courses (SLICCs)

SLICCs are credit-bearing self-directed courses intended to help students to develop their own set of personal or professional skills and attributes. CSPC approved the arrangements for SLICC pilots which will run during the summer of 2015 and be evaluated in the autumn. The generic level descriptors that would apply to these pilots were approved, and issues relating to credit/credit levels, progression, course creation, academic support and assessment were considered.

iv. MSc Progression Hurdles

CSPC completed some light-touch background research in relation to internal progression hurdles within MSc PGT programmes. Research had shown that there was an element of variation but that this variation did not appear unjustified. CSPC agreed that although it may be preferential to harmonise MSc progression arrangements at some stage, there was no urgent requirement to take this forward in 2014/15.

4.1.3 Regulations, Policies, Guidance and procedure

This section outlines the delivery of regulations, policy, guidance and procedure that are not captured elsewhere in the report:

i. Regulations

- Annual review of Taught Assessment Regulations and Postgraduate Assessment Regulations for Research Degrees completed for 2015/16.

- Annual review of Undergraduate, Postgraduate and Higher Degree Regulations completed for 2015/16.

- A review of academic/ withdrawal and exclusion / student conduct appeal documentation and processes was conducted in March and April 2015– leading to streamlined new Student Appeal Regulations (and associated guidance).

- Revision to Code of Student Conduct, to take account of the first year of the operation of the Code, and to align with the new Support for Study Policy.

ii. Policies

- A dual awards policy developed as part of broader guidance on collaborative provision (see QAC).

iii. **Guidance**

- Terms of Reference for College Progression Boards for Study Abroad. These Terms provide operational guidance and include a credit for study abroad classification.

- Revised Degree Programme Specification Guidance.

iv. Procedure

- Revised Withdrawal and Exclusion from Studies procedure.

4.1.4 New priorities identified and progressed during the session

i. Support for Study policy

A new Support for Study policy, developed by the Mental Health Strategy Group, was approved for introduction in 2015-16 to help support students whose behaviour may give cause for concern.

ii. Marking and assessment boycott

During the 2014/15 academic year the Universities and Colleges Union (UCU) called on its members to take part in an assessment setting and assessment process boycott. CSPC approved temporary concessions to minimise the impact of the industrial action on students without compromising academic standards

iii. Academic year dates and examination timings: 2015 and 2016

Due to the academic year dates for 2015/16 and 2016/17, there will be a reduced revision period for students within the semester 1 period. CSPC has provided guidance to Colleges regarding an approach to organising teaching during week 11 which will maximise the amount of time available to students for revision within the constraints of the academic year.

iv. Extended Common Marking Scheme

A cross-College short-life working group was established and has made some initial proposals regarding the University's Extended Common Marking Scheme. These proposals

have raised regulatory and systems issues and will need broad support across the University, and will therefore require substantial further scoping and consideration.

4.2 Learning and Teaching Committee (LTC) Achievements 2014/15

4.2.1 Projects

i. Emerging Vision for Learning and Teaching

The Committee's key priority for 2014/15 was the development of the University's emerging vision for learning and teaching. LTC oversaw extensive consultation regarding the vision and the information gathered will be presented at the May meeting of Learning and Teaching Committee, and the June meeting of Senate.

ii. Enhancing Student Support Project

During 2014/15, LTC has monitored the Student Support Implementation Group (SSIG)'s work on evaluating the undergraduate Personal Tutor system and mainstreaming and enhancing the system, which includes the following developments:

- Quality Assurance Committee will be responsible for ongoing monitoring of the effectiveness of the Personal Tutor System.
- Schools will continue to have a degree of autonomy over how they implement the Personal Tutor System.
- There will be a focus on reward and recognition of individual Personal Tutors.
- A set of Key Performance Indicators will be developed to assist with reward and recognition and to facilitate annual quality assurance processes.
- Greater emphasis will be placed on enabling first year UG students to have an extra scheduled meeting with their Personal Tutor during the first semester while reducing the need for scheduled meetings in later years.

During Summer 2014/15, SSIG will evaluate the postgraduate taught Personal Tutor system.

iii. Learning and Evaluation of Assessment and Feedback Project (LEAF)

The Committee continued to provide oversight for this Project, which is making use of the TESTA (Transforming Experience of Students through Assessment) methodology. Nine programmes across two Colleges have gone through TESTA audit. The methodology supports Schools to rationalise their assessment schedules, identify and share good practice, and map students' experiences onto everyday classroom practices.

iv. Information Services Learning Technology Projects

a. <u>Open Education Resource Strategy</u>

LTC welcomed and commented on the 'Vision for Open Educational Resources at the University of Edinburgh'.

b. Learning Analytics

The Committee had an initial discussion regarding the opportunities and challenges associated with learning analytics. The Convener of LTC is in the process of taking forward discussions regarding the development of University policy in this area.

c. Assessment and Feedback Tool Pilots

LTC has continued to oversee IS Technology Enhanced Learning section's work with Schools to pilot new online tools for assessment and feedback.

4.2.2 Task Groups/Working Groups

i. Massive Open Online Courses (MOOCs)

Mainstreaming of all MOOCs academic governance processes and procedures has been completed during 2014/15 including establishing course approval and quality assurance processes. The University has now established a group to take forward its MOOC Strategy.

ii. Grade Point Averages Project (GPA)

LTC has monitored the Higher Education Academic's programme of GPA pilots, with one member of LTC representing the University on the HEA project. LTC has developed an initial position regarding potential adoption of GPA and briefed the Principal. The Committee is awaiting the outcome of the HEA report on the way forward for GPA. In addition to LTC's strategic discussions, CSPC has also undertaken an initial assessment of practical issues that the University would need to address were it to adopt a GPA model.

iii. Online Distance Education Provision

An LTC Task Group was established to oversee the mainstreaming of online distance education. The group has met several times and undertaken a programme of interviews and research. It will present its initial findings at the May 2015 meeting of LTC.

iv. Curriculum for Excellence

The Committee continued to monitor the implications of Curriculum for Excellence for the University's learning, teaching and assessment to assist the University to prepare for the first significant intake of students educated under the new curriculum in 2016. LTC also considered impending changes to A-Levels in England.

4.2.3 New priorities identified and progressed during the session

i. Enhancement Theme – Student Transitions

An Institutional Team was established and is responsible for developing, coordinating and (where appropriate) delivering a programme of work relating to the Theme; for communicating about Enhancement Theme developments within the constituency they are

representing; and acting as key Enhancement Theme contacts. LTC has provided oversight for this work and received regular updates.

ii. Review of Code of Practice for Taught Postgraduate Programmes

Following a review of this document, LTC agreed to replace this document with a more succinct and user-friendly document for students and staff from 2016/17.

iii. Higher Education Achievement Record (HEAR)

LTC discussed and approved some new categories of achievement for inclusion in the HEAR, and changes to existing categories of achievement.

4.3 Quality Assurance Committee (QAC) Achievements 2014/15

4.3.1 Enhancement-led Institutional Review (ELIR) 2015 Planning

The ELIR Steering Group has put in place all necessary preparation for ELIR including:

- Drafting and consulting on the draft Reflective Analysis and Case Studies in preparation for their sign off by the Committee, Senate and University Court.
- Preparing the logistics for the ELIR visit.
- Planning the showcase session for the morning of the Part 1 visit which will cover how the University supports all students irrespective of mode of delivery or level, aspects of the student journey, use of technology to enhance the student experience and support quality assurance and enhancement processes, and how we work with students as partners in the enhancement of learning and teaching.

4.3.2 Enhancing the Student Experience: Student Data

i. Student Data

Please refer to section 1.1.1 for more information on this achievement.

ii. Quality Systems Development

QAC oversaw the introduction of a new External Examiner Online Reporting System that will allow the University to maximise the benefits from information gathered in External Examiner reports so as to inform the University's strategic approach to quality assurance and quality enhancement. QAC also approved a revised policy for External Examiners for Taught Programmes and a new Handbook for External Examiners. Following a successful pilot in autumn 2014, full roll-out of the Online Reporting System is now ongoing, in time for the May/June Board of Examiner Meetings.

4.3.3 Collaborative Provision

With oversight from a Steering Group, Governance and Strategic Planning, Academic Services and International Office have been continuing to work together on enhancing a framework of guidance on Collaborative Provision. The following work has been undertaken:

- Production of a suite of template Memoranda of Agreement and Understanding;
- Updating of the authoritative list of the University's collaborative arrangements;
- Revised guidance on the approval processes for introducing collaborative programmes is in the process of being discussed with Colleges.

4.3.4 Course evaluation electronic system

The Committee has overseen the development of the student survey framework including the work undertaken by Student Surveys Unit on piloting and developing the EvaSys course evaluation software, which provides a standardised approach to the gathering and reporting of course level student feedback. The level of interest and demand from Schools has been very positive and currently 15 of the University's 22 Schools have opted into the use of EvaSys. The Committee has also overseen the Student Survey Unit's work on introducing a Student Panel.

4.3.5 Task groups

i. Enabling Student Representation for Distance Learners

A short-life group investigated and advised on the technological infrastructure and meeting protocols that need to exist for the Edinburgh distance learning student voice to be heard at School, College and institutional level. QAC has approved the group's recommendations, and the task group is now working to implement a set of actions, including new web-based resources, new arrangements to assist student representatives to communicate with students, and briefings for Schools, that will deliver the following outcomes:

- A student representation system that is transparent and robust.
- Processes that are well understood and consistently implemented.
- Effective working of the representation network.

4.3.6 Core Business

i. Internal Subject Review

The Committee has continued to oversee and approve Internal Subject Review reports and responses, engaging positively with a new process for commenting on reports and responses, and monitoring the effective implementation of review recommendations as well as the dissemination of enhancements identified in reviews, and tracking emerging actions and themes. This academic year seven Teaching Programme Reviews (TPR), three Postgraduate Programme Reviews (PPR), and a combined TPR and PPR have taken place.

ii. Annual Review of Student Support Service Quality Assurance Framework

The Annual Review of Student Support Services took place in March 2015.

iii. Periodic Review

A periodic review of the Student Disability Service was undertaken in Spring 2015, commending the Services for its support, and recommending further work in some areas. Senate Quality Assurance Committee has agreed that the student support service Periodic Review for 2015/16 should be a thematic review on student mental health, covering a range of services.

iv. Annual Reports on Student Discipline, Student Appeals and Complaint handling

QAC continued to monitor reports on Student Discipline and Student Appeals annually, and considered reports on Complaint Handling submitted quarterly and annually. QAC has proposed enhancements to the approach to these reports, and has requested an annual thematic report pulling together common themes across reporting in these areas of business, to take effect from December 2015.

v. Policy development arising from UK Quality Code mapping

Policy development and enhancement arising from mapping of the University's policies and procedures to the UK Quality Code continued to take place this session.

4.4 Researcher Experience Committee (REC) Achievements 2014/15

4.4.1 Projects/new initiatives

i. Strategy and Vision

The Committee developed and published is strategy and vision in November 2014. Strategic goals include raising the profile and enhancing the experience of postgraduate research students and early career researchers; ensuring training for employability for postgraduate research students and career development support for early career researchers; identifying challenges and opportunities for innovation in relation to these goals. The vision can be found at: www.docs.sasg.ed.ac.uk/AcademicServices/Committees/REC/VisionStrategy.pdf

ii. Postgraduate Research Experience Project (PREP)

Consultation on proposals for PREP was carried out over summer 2014 which informed the development of a bid submitted to the planning round. While the bid was unsuccessful for 2014/15, the Committee, Academic Services and the Institute for Academic Development (IAD) are exploring what can be delivered going forward within existing resources.

iii. Doctoral Training Centres (DTCs)

The Committee received reports from Colleges on DTCs and is continuing discussions on how Schools and Colleges can be supported in bidding for and setting up DTCs.

iv. Postgraduate Research Student Induction

The Committee agreed a pilot for ongoing induction for postgraduate research students starting throughout the year, including the development of induction cohorts. The Committee worked closely with the Student Experience Project Induction Team and IAD on developing this and has monitored progress throughout 2014/15.

v. Postgraduate Research Space

The Committee opened discussion with the Space Enhancement Management Group and is working on recommendations for input to policy discussion.

4.4.2 Task Groups

i. Early Career Researcher Support

The Committee reviewed progress on the recommendations of its 2013/14 task group. Further discussions are underway with HR and the Vice Principal People and Culture on developing this area and the Committee will continue to review progress.

ii. PhD Study

The REC task group on PhD Publications Track delivered its report in April 2015. The Task Group made various recommendations to clarify how students can include publications as chapters of PhD theses, whilst ensuring the overall PhD remains a coherent body of interrelated work. REC approved the recommendations and fed them into the annual regulations review and the Code of Practice for Supervisors and Research Students update for 2015.

A REC task group reviewing distance PhDs began its work during 2014/15 and will report to REC in 2015/16. The Committee began discussion on 'What is an Edinburgh PhD' and will continue to examine this at its 2015 summer meeting.

4.4.3 Core Business

REC continues 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 also continues to promote sharing best practice and reviews its membership and communications strategy as part of core business.

4.4.4 New priorities identified and progressed during the session

i. Student record system developments to support PGR

In advance of the proposed PREP project, Student Systems has worked with the Committee to develop an online reporting mechanism for postgraduate research student annual progression reviews. This is being taken forward by Student Systems with regular reports to REC, with a view to implementation in Summer 2015

ii. Handbook for External Examining of Research Degrees

The Committee developed a new Handbook for External Examining of Research Degrees, pulling together guidance previously provided by Colleges and key information from the regulations, and presenting it in an appropriate format which aligns with the Handbook External Examiners for Taught Programmes.

5. Senate Committees' strategic objectives for 2015-16 to 2017-18

For the first time, in addition to undertaking annual planning the Senate Committees have set out their longer-term objectives. These are to:

- Develop and implement the emerging vision for Learning and Teaching.

- Coordinate and support activities to enhance the student experience in order to address issues raised by the National Student Survey and other student surveys.

- Enhance availability and ease of use of management data regarding students to support quality processes and broader work to enhance the student experience.

- Promote research-led and independently-directed learning.

- Continue the programme of activity to support programme and course design, approval, publication and navigation, and management of data on course and programme outcomes.

- Provide strategic direction to the University's IT infrastructure developments to assist the University to anticipate future learning and teaching requirements.

- Continue to develop the University's academic regulations so that they guide academic staff towards the University's key objectives while supporting and encouraging innovation.

- Enhance the postgraduate research student experience.

6. Senate Committees' Priorities for 2015-16

The following are the Senate Committees' ambitions for 2015-16. The Committees will seek to deliver as many of these as possible, while adjusting them as necessary to take account of any changes in the internal and external environment.

6.1 Learning and Teaching Committee

In order of priority:

1. Coordinate and support activities to address issues raised by the National Student Survey and other student surveys.

2. Develop new publication to replace Code of Practice for Taught Postgraduate Programmes.

3. Transitions Enhancement Theme –institutional oversight of activities (broadly focussed on maximising the benefit of the Theme for current priorities).

4. Feedback on assessment – implement recommendations from 2014-15 Internal Audit report, including developing quality standards for feedback.

5. Oversee the Leading Enhancement in Assessment and Feedback (LEAF) / Transforming the Experience of Students Through Assessment (TESTA) Project.

6. Support pilot activities to explore innovative learning and teaching using IT and other modern methods.

7. Online Distance Learning - Continued work to develop a strategic framework for Online Distance Learning.

8. In partnership with the Knowledge Strategy Committee, develop a University policy on Learning Analytics.

9. Promote research-led and independently-directed learning.

10. Grade Point Averages – respond to outcomes of Higher Education Academic discussions and pilots.

11. Ongoing development of Continuing Professional Development framework for learning and teaching.

6.2 Curriculum and Student Progression Committee

In order of priority:

1. Deliver the next phase of work on EUCLID assessment and progression tools, including implementing the recommendations of the task group on UG progression boards.

2. Review University policy on extensions to coursework deadlines, in the context of special circumstances.

3. Enhance availability and ease of use of management information regarding students to support quality processes and broader work to enhance the student experience – complete scoping work initiated in 2014-15 and begin to implement. (QAC and CSPC leading on this, but may involve other Committees)

4. Evaluate 2014-15 pilot of Student-led individually-Created Courses (SLICCS) and consider further pilots and / or wider roll-out.

5. Review and align the University's student conduct-related policies (eg Code of Student Conduct, Codes of Practice on Alcohol and Drug Abuse, Support for Study Policy) taking account of planned review of Dignity and Respect Policy.

6. Programme and Course Information Management (PCIM) – Embed processes to enhance course descriptor information and dissemination.

7. Scope out a possible programme of work to enhance marking and feedback practices by harmonising University Common Mark Schemes and (if the University chooses to adopt Grade Point Averages) align with GPA, with a view to undertaking some initial development work in 2015-16.

8. Review University moderation policy.

6.3 Quality Assurance Committee

In order of priority:

1. Enhancement-led Institutional Review – support review and follow-up, including beginning to respond to any recommendations from the review.

2. Quality assurance framework – following ELIR and conclusion of SFC review of quality, review and streamline annual and periodic review arrangements.

3. Enhance availability and ease of use of management information regarding students to support quality processes and broader work to enhance the student experience – complete scoping work initiated in 2014-15 and begin to implement. (QAC and CSPC leading on this, but may involve other Committees)

4. External Examiner Project - Complete roll-out of phases one and two of new External Examiners system and policy, introduce new role of Programme External Examiner, and undertake relatively light-touch work to evaluate new system and policy.

5. Embed quality review processes for Personal Tutor system and oversee transition from Enhancing Student Support project to mainstreamed activity.

6. Collaboration – follow up joint Governance and Strategic Planning / International Office / Academic Services Collaboration project with further guidance and support for collaborative activities.

6.4 Researcher Experience Committee

In order of priority:

1. Enhance annual progression review process - oversee implementation of the new EUCLID system tools for supporting the online annual progression review process and encourage Schools to use them; review guidelines for postgraduate research student annual progression review.

2. Develop a clearer idea of what an Edinburgh PhD should be, through benchmarking, consultation, and alignment with broader thinking in the University (eg the development of the Strategic Plan, work regarding collaborative provision).

3. Review supervisor selection and training arrangements.

4. Explore options for a Mentoring role.

5. Explore concept of Distance / Flexible Learning PhDs.

6. Support/promote career development planning for Early Career Researchers.

7. Doctoral Training Centres – monitor development of new centres and feed into the development of proposals for central coordination and support.

8. Postgraduate Research Space – identify priorities / recommendation for policy development by Space Enhancement and Management Group.

6.5 Cross-committee priorities

In order of priority:

1. Undertake externally-facilitated Senate and Senate Committees Effectiveness review.

2. Policies and Codes - Programme of review of policies including equality impact assessments.

3. Contribute to the development of the University's next Strategic Plan, taking account of the Committees' priorities, visions and values (for example regarding sustainability and social responsibility).

7. Senate Committees Symposium

The Senate Committees' Symposium took place on the 8 May 2015. Seventy people attended the symposium including Committee members, participants from EUSA, Court and Senate, staff invited from the Schools, Colleges and Student Services. The Symposium gave the Senate Committees the opportunity to reflect on their work undertaken during the academic year, and to plan activity for the forthcoming year in a coordinated manner. The predominant area identified for enhancement was communication with stakeholders. This issue will be explored further in the light-touch governance review of Senate and the Senate Committees, which is being undertaken during Spring / Summer 2014/15. Senate will consider the report of this light-touch review at its first meeting in 2015/16.

Authors

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26 May 2015

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

Strategic Plan 2016-2021

Description of paper

1. The current University of Edinburgh Strategic Plan runs to the end of academic year 2016. Governance and Strategic Planning is initiating the process of developing the next strategic plan. This paper updates Court on the process.

Action requested

2. Court is asked to consider and note the outline process for developing the next Strategic Plan.

Recommendation

3. Court is invited to agree the outline process for developing the next Strategic Plan.

Background and context

4. The current University of Edinburgh Strategic Plan has been highly successful as a unifying document for the University and as an articulation of our ambitions with political stakeholders. We are, however, now quickly approaching the end of the current strategic plan period and this short paper aims to outline our initial thoughts on the process of developing the new strategic plan.

5. The context for the new strategic plan is both challenging, with evolving UK and Scottish funding and policy environments, and likely to be characterised by a polarisation between those universities willing to respond strategically to increased demand, technological innovation and collaborative opportunities and those constrained by stretched resources. We would therefore hope to use the development process, as well as the strategic plan itself, as a way to engage the university and wider stakeholder community around our shared objectives. The strategic vision for 2025 provides a horizon point for the new strategic plan and should allow explicit debate on the pace with which we pursue our different priorities and aspiration.

6. Court is asked to note our initial thoughts on:
   - the timescale of the plan;
   - the structure and content of the plan;
   - the proposed approach to measuring our success against the plan; and
   - the proposed approach to developing the plan.

7. We would also like to take this opportunity to think carefully about the structure of the plan – it has been quite stable for about ten years, and this has served us well, but as our external and internal environments evolve, we should look at whether the content and framing of the plan should develop with this.

8. Developing the Strategic Plan will require several strands of work to progress in parallel. Governance and Strategic Planning have proposed the following broad approach.

9. *Timescale*
University of Edinburgh Strategic Plans have typically covered a four year time period. However, we believe that there is merit in developing a five year (2016-2021) plan during this cycle. This is largely driven by the anticipation of several major internal and external events over the 2016 to 2021 period, making 2021 a natural break point for planning.

10. Key events in the 5 year period include the Scottish Parliament election in 2016; a likely EU referendum in 2017 (with implications for possible further Scottish referendum); the next General Election in May 2020; the publication of the next REF results in 2020 and ELIR exercises in 2015 and 2019. A five strategic plan would also allow a slightly longer stable horizon against which our rolling 3 year business plans could be set while avoiding the potential loss of precision which can be associated with very extended plan time-frames.

11. A high level review of the strategic plans of our competitors, suggests a general trend towards longer term plans over the last few years.

- UCL has a 20 year plan to 2034;
- Imperial College is about to launch a 5 year strategy to 2020;
- Oxford's current strategy is 5 years, from 2013 to 2018;
- St Andrews most recent strategy is 10 year, from 2008 to 2018;
- Manchester's strategy stretches from 2012 to 2020.

12. We believe that the combination of the long-term Vision to 2025 with a 5 year Strategic Plan would provide the University of Edinburgh uniquely with both a long-term strategic horizon and the clarity of objective and strategic path associated with a medium-term plan.

13. *Structure and content of the plan*
The 2012 to 2016 plan demonstrates significant continuity with previous plans. This has provided a strong sense of coherence and stability in shared aspirations which have enabled significant change to be embraced. The themes agreed to in the Strategic Vision 2025 sustain that continuity with the University's mission but also emphasise the transformational outcomes to be delivered. We would expect this "transformational" emphasis to be a key characteristic of the new strategic plan.

14. We anticipate broad support for retention of the strategic goals – it is difficult to imagine a world in which excellence in research, education and innovation are not crucial to the University's success.

15. However, in reviewing the current strategic plan it is clear that there is some significant overlap between our strategic themes. This would therefore appear to be the key area of development within the new strategic plan. Informal conversations have revealed an appetite for drawing some of these together, with one suggestion of 'community engagement' as an overarching strategic aspiration.

16. We also identified some enthusiasm for exploring the university's values.

17. *Values*
We currently have no single articulation of the university's values in the current strategic plan. However, we are conscious that various departments across the university have developed values for their own group, and some have attempted to develop values that would serve as whole university values. For example, Communications and Marketing developed 'brand values' around 5 years ago. We have also noted that the recommendations from the Fossil Fuel Review Group included a reference to "the difficulty of assessing issues against the University's values in the absence of a consolidated single statement and that therefore the University might wish to reflect on this point.'

18. We believe that a clear statement of values will also offer an opportunity to consider the integration of the 'enablers' elements of the current plan. The three enablers – people, infrastructure and finance - are essential to the University but they could perhaps be presented more as integrated elements of who and what we are, rather than as tactical enablers or resources. The fundamental values that we espouse as an institution would be likely to cover many elements of the 'people' enabler, for example.

19. We suggest that we should develop a set of values, as part of the consultation on the strategic plan. The 'brand values' would be one potential starting point for this, but we think there would be benefit in a wider conversation on our 'core values', which could be different from those we want to be visible to the outside world.

20. *Measuring success*
The current Strategic Plan is monitored through an annual evaluation against the KPIs and targets summarised at the end of the plan, presented successively to CMG, PRC and Court. Current performance against a number of the KPIs and targets are also cascaded to Colleges as part of the annual planning round. While this is an effective way of ensuring that there is engagement from the Court and its committees, the monitoring is relatively limited to those things identified as being numerically measurable. There is also some confusion about the relationship between KPIs and targets and some measures are limited in their ability to influence behaviour because of the significant diversity in baseline performance across the university.

21. Continuity of measurement, allowing a longer timescale over which trends can be monitored and improvements, has benefits and we would not wish to revise all the measures currently used. However, with advances in support for dashboards, and developing understanding of Business Intelligence and Management Information across the University, this seems an excellent opportunity to review the approach to how our monitoring of progress, success and business as usual is carried out.

22. We also consider that the contribution of each of the University's component parts could be better addressed through consideration at the outset of how each School, College and Support Group contributes to the overall plan for the University – in terms of their activities and drivers for actions. This would allow ensure that we have tested the achievability of our University aspirations but also have a much more

transparent set of measures for judging whether progress being achieved in each part of the University.

Resource implications

23. Developing the new strategic plan is part of the day-to-day business of Governance and Strategic Planning and costs for delivery are therefore built into the department's budget.

Risk Management

24. The changes to the strategic plan may result in changes to the Risk Register. Many of the elements of risk are currently partially managed through the monitoring of the strategic plan.

Equality & Diversity

25. The current strategic plan was developed with Equality and Diversity issues in mind, and specific elements of the current plan (including Strategic Theme 12, Equality and Widening Participation, and Enabler 4, People) explicitly link the University's measures of success to KPIs and targets relating to Equality and Diversity. In developing the new plan we will continue to be mindful of these and seek to embed these further, including through the proposed work on the values. We will also ensure that staff and students from different backgrounds and communities are able to contribute to the planning process.

Next steps/implications

26. Governance and Strategic Planning will follow the timetable outlined below in developing the Plan.

27. There are several overlapping strands of activity that need to be completed to deliver the strategic plan. The diagram below maps out these strands and the proposed timescales for delivery.

28. We intend to invite Court members to a seminar to discuss the content and structure of the plan in September 2015.

		Preparation and research	Develop plan content	Draft the plan	Develop measures of success			Sign-off		Printing and publication
2015	May	Review other HEIs plans, and existing university plans; organise meetings for engagement	Informal conversations			Establish meaningful KPIs		Of the process		
	June		Formal cross-university and external stakeholder engagement. Including Court Seminar and engagement with Senate and committees. – 1st phase				Ensure fit with other corporate dashboards / measurement systems		22 June Court	
	July			1st draft	Establish each College and Support Group's contribution to delivery					
	Aug									
	Sept							Of 1st draft		
	Oct								7 Dec Court	
	Nov									
	Dec									
2016	Jan		Formal cross-university and external stakeholder engagement – 2nd phase	2nd draft				Of plans for measurement of success	8 Feb Court	
	Feb									
	Mar									Agree format and layout with CAM
	April			Final draft						
	May									
	June							Of Final	20 June Court	
	July									Printing and translations
	Aug									
	Sep									

Consultation

29. An earlier version of this paper was considered at Principal's Strategy Group on 25 May 2015, at Policy & Resources Committee on 8 June and Central Management Group on 16 June 2015.

Further information

30. *Author*
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11 June 2015

Presenter
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Deputy Secretary
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Freedom of Information

31. This paper is open.

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

Scottish Funding Council Strategic Plan Forecast 2014-18

Description of paper

1. Appendices 1 and 2 are the routine draft submission of the University's Strategic Plan Forecast (SPF) template to the Scottish Funding Council (SFC). The template is in two parts, a standard commentary section and a pro forma financial template.

Action requested

2. Court is asked to consider the draft SPF prior to submission to the Scottish Funding Council.

Recommendation

3. Court is recommended to approve the SPF Return and accompanying commentary section.

Paragraphs 4 – 11 have been removed as exempt from release due to FOI.

Risk Management

12. The continuing health and sustainability of the University depends upon strong direction supported by robust forecasting. Continuing significant volatility in the external environment requires that we make regular reviews of our prospective performance, and build on this experience. Our current schedule of forecasting the short and longer term financial position mitigates against these risks.

Equality & Diversity

13. There are no specific equality and diversity issues associated with this paper.

Next steps/implications

14. Once approved by Court, the Strategic Plan Forecast will be submitted to the Scottish Funding Council by 30 June 2015.

Consultation

15. This paper has been reviewed and approved by the Director of Finance. The SPF template and commentary has been reviewed and approved by the Central Management Group and by the Policy and Resources Committee.

Further information

16.

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Freedom of Information

17. This paper is closed.

Disclosure would substantially prejudice the commercial interests of the University. Withhold until purchase and installation complete to maximise UoE's competitive advantage.

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

Resolutions

Description of paper

1. The paper invites Court to approve Resolutions to establish chairs, change the names of existing chairs and update regulations in accordance with the agreed internal arrangements and the requirements as set out in the Universities (Scotland) Act 1966.

Action requested

2. Court is invited to consider the attached Resolutions presented in final format.

Recommendation

3. Court is invited to approve the attached Resolutions.

Background and context

4. In accordance with the Universities (Scotland) Act 1966, Court has powers exercisable by Resolution in respect of a number of matters including founding professorships (chairs). The Act also stipulates that Senate, the General Council and any other body or person having an interest require to be consulted on draft Resolutions throughout the period of a month with the months of August and September not taken into account when calculating the consultation period. The University has also in place approval arrangements for the creation of established or personal chairs which involves the Central Management Group and the Central Academic Promotion Committee.

Discussion

5. At its May meeting, Court considered the following Resolutions in draft form, including an explanation of the key changes proposed to degree regulations, the Code of Student Conduct and the regulations for Boards of Studies.

6. In accordance with the agreed processes and with no observations having been received from Senate, the General Council or any other body or person having an interest, except in respect of Resolution 20/2015, where there have been minor typographical changes, Court is invited to approve the following Resolutions.

Resolution No. 10/2015:	Foundation of a Chair of Chemical Reaction/Catalysis Engineering
Resolution No. 11/2015:	Foundation of a Chair of Applied Control Engineering
Resolution No. 12/2015:	Foundation of a Chair of Tropical Livestock Genetics and Health
Resolution No. 13/2015:	Foundation of a Personal Chair of Global Environmental Law
Resolution No. 14/2015:	Foundation of a Chair of Cyber Security and Privacy
Resolution No. 15/2015:	Alteration of the title of the Chair of Epigenetics
Resolution No. 16/2015:	Abolition of the Waddington Chair of Systems Biology

Resolution No. 17/2015: Foundation of a Chair of Materials Engineering
Resolution No. 18/2015: Boards of Studies
Resolution No. 19/2015: Code of Student Conduct
Resolution No. 20/2015: Postgraduate Degree Programme Regulations
Resolution No. 21/2015: Undergraduate Degree Programme Regulations
Resolution No. 22/2015: Degree of Doctor of Clinical Dentistry (DClinDent)

7. The full text of the Resolutions is at:
https://www.wiki.ed.ac.uk/display/UCC/University+Court

Resource implications
8. There are no specific resource implications associated with this paper. Part of the approval process involved confirmation of the funding in place to support these new Chairs.

Risk Management
9. There are reputational considerations in establishing and renaming Chairs and updating regulations, which are considered as part of the University's approval processes.

Equality & Diversity
10. There are no specific equality and diversity issues associated with this paper. However equality and diversity best practice and agreed procedures are adopted in appointing individuals to chairs.

Next steps/implications
11. Senate and the General Council will be notified that these Resolutions have been approved. The list of approved Resolutions is annually reviewed and published on the University's web site.

Consultation
12. Senate and the General Council have been asked for observations on the draft Resolutions and a notice has been displayed on the Old College notice board and published on the web to enable observation from any other body or person having an interest to express observations.

Further information
13. *Author*
Ms K Graham
Deputy Head of Court Services
June 2015

Freedom of Information
14. This paper is open.

THE UNIVERSITY of EDINBURGH

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UNIVERSITY COURT

22 June 2015

Donations and Legacies to be notified

Description of paper

1. A report on legacies and donations received by the University of Edinburgh Development Trust from 24 April 2015 to 4 June 2015, prepared for the meeting of Court on 22 June 2015.

Action requested

2. Court is invited to note the legacies and donations received.

Recommendation

3. No further action is recommended at this time.

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

Risk Management

8. There are policies and procedures in place to mitigate risks associated with funding activities including the procedure for the ethical screening of donations.

Equality & Diversity

9. There are no specific equality and diversity issues associated with the paper. Cognisance is however taken of the wishes of donors' to ensure these reflect the University's approach to equality and diversity and that these comply with legal requirements.

Next steps/implications

10. The University is grateful for the support provided to enable it to continue to provide high quality learning and research.

Consultation

11. This paper has been reviewed and approved by:
Kirsty MacDonald, Executive Director Development & Alumni Engagement, Pete Morrison Director of Development & Alumni Services and Heather Wallace, Head of Donor Relations.

Further information

12. <u>*Author*</u>
Natalie Fergusson
Donor Relations Officer,
Development & Alumni
05 June 2015

Freedom of Information

13. Closed - Its disclosure would substantially prejudice the effective conduct of public affairs.

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UNIVERSITY COMMITTEE

22 June 2015

Meeting dates 2015/2016 and 2016/2017

Description of paper

1. This paper sets out the proposed dates for the Committee for 2015-2016 and 2016-2017.

Action requested

2. Court is invited to consider the dates.

Recommendation

3. Court is invited to note the dates.

Background and context

4. Court at its last meeting confirmed the pattern of dates for future meetings.

Discussion

5. The confirmed dates for meetings of Court are as follows:

- 2015/2016
  21 September 2015
  7 December 2015
  8 February 2016
  25 April 2016
  20 June 2016

- 2016/2017
  26 September 2016
  5 December 2016
  6 February 2017
  24 April 2017
  19 June 2017

Resource implications

6. There are no additional resource implications associated with this paper, the cost of servicing Court will be met from within existing resources.

Risk Management

7. The scheduling of Court meetings is important to the overall governance arrangements of the University and ensuring an appropriate flow of information.

Equality & Diversity

8. There are no specific equality and diversity issues associated with this paper.

Next steps/implications

9. Arrangements will be made to secure venues for these meetings and Court members those in attendance have already been notified.

Consultation

10. Dates for Court and its Committees are set by Court Services in consultation with the Principal, Vice-Convener of Court and University Secretary.

Further information

11. *Author*

Dr Katherine Novosel
Head of Court Services
June 2015

Freedom of Information

12. This paper is open.