



UNIVERSITY EXECUTIVE  
Raeburn Room, Old College  
11 June 2018, 10 am

AGENDA

- 1 **Minute** A  
To approve the Minute of the previous meeting held on 14 May 2018.
- 2 **Matters Arising**  
To raise any matters arising.
- 3 **Principal's Communications** Verbal  
To receive an update from the Principal.

STRATEGIC ITEMS

- 4 **Student Residential Accommodation Strategy** B  
To discuss the Strategy from the Director of Corporate Services.
- 5 **Integrated Transport Plan** C  
To discuss the approach from the Director of Corporate Services.

OPERATIONAL ITEMS

- 6 **REF2021 strategy and preparations update** D  
To endorse and note the paper by the Deputy Secretary Strategic Planning.
- 7 **Teaching Excellence Framework** E  
To consider the paper by the Deputy Secretary Student Experience.
- 8 **Industrial action: addressing student disadvantage** F  
To approve a paper by the Deputy Secretary Student Experience.
- 9 **Gujarat Biotechnology Knowledge Complex** G  
To consider the paper by the Head of the School of Biological Sciences.
- 10 **Review of Support for Disabled Students** H  
To consider the report from the Vice-Principal People and Culture.
- 11 **Finance Director's Report** I  
To consider and comment on updates from the Director of Finance.
- 12 **Investment Landscape & Supporting Advisory Groups** J  
To consider the paper by the Director of Corporate Services.
- 13 **Distance Learning at Scale Programme Business Case** K  
To consider the paper by the Chief Information Officer.

- |           |  |          |
|-----------|--|----------|
| <b>14</b> | <b>Risk Management Progress Report</b><br>To <u>consider and comment</u> on the paper by the Director of Corporate Services. | <b>L</b> |
| <b>15</b> | <b>University Leadership Forum</b><br>To <u>approve</u> the paper by the Interim Director of Human Resources.                | <b>M</b> |
| <b>16</b> | <b>Corporate Parenting Plan progress report</b><br>To <u>approve</u> the paper by the Deputy Secretary Student Experience.   | <b>N</b> |
| <b>17</b> | <b>Workplace Nurseries</b><br>To <u>approve</u> the paper by the interim Director of Human Resources.                        | <b>O</b> |

**ITEMS FOR NOTING OR FORMAL APPROVAL**

- |           |   |               |
|-----------|---|---------------|
| <b>18</b> | <b>EFAG Annual Report</b><br>To <u>note</u> .   | <b>P</b>      |
| <b>19</b> | <b>Prevent Duty Update</b><br>To <u>note</u> .  | <b>Q</b>      |
| <b>20</b> | <b>Interim Web Accessibility Policy</b><br>To <u>approve</u> .  | <b>R</b>      |
| <b>21</b> | <b>Lecture Recording Policy</b><br>To <u>note</u> .   | <b>S</b>      |
| <b>22</b> | <b>Learning Analytics Policy</b><br>To <u>note</u> .  | <b>T</b>      |
| <b>23</b> | <b>Central Bioresearch Services (CBS) / Veterinary Scientific Services (VSS): merger of services under one new name</b><br>To <u>note</u> . | <b>U</b>      |
| <b>24</b> | <b>University Executive Communications</b><br>To <u>note</u> the key messages to be communicated.   | <b>Verbal</b> |
| <b>25</b> | <b>Any Other Business</b><br>To <u>consider</u> any other matters by UE members.  | <b>Verbal</b> |
| <b>26</b> | <b>Date of next meeting</b><br>Tuesday 28 August 2018 at 10 am.   |               |



UNIVERSITY EXECUTIVE

14 May 2018

[Draft] Minute

**Present:** Charlie Jeffery (Convener)  
David Argyle, Ewen Cameron, Leigh Chalmers, Gavin Douglas,  
Hugh Edmiston, Gary Jebb, Richard Kenway, Gavin McLachlan, Phil McNaull,  
Dorothy Miell, Andrew Morris, Jane Norman, David Robertson,  
Jeremy Robbins, James Saville, Jonathan Seckl and Tracey Slaven.

**In attendance:** Fiona Boyd and Kirstie Graham.

**Apologies:** Chris Cox, David Gray, Peter Mathieson, James Smith, Sarah Smith,  
Rob Tomlinson and Moira Whyte.

**1 Minute**

**Paper A**

The Minute of the meeting held on 9 April 2018 was approved.

**2 Principal's Communications**

The Senior Vice-Principal, on behalf of the Principal reported on the following: continuing discussions between Universities UK and the University and College Union to agree the exact terms of the Joint Expert Panel which will examine issues around the current valuation of the Universities Superannuation Scheme; the ongoing Brexit uncertainty; international recruitment remaining strong and an 18% increase in accepted offers from SIMD20.

**OPERATIONAL ITEMS**

**3 Widening Participation Implementation & Communication Plan**

**Paper B**

The Executive was informed that Court had approved the Widening Participation strategy and the next step was to take forward implementation and communication. The proposed implementation and communications plan drew together existing good practice and identified opportunities for University wide co-ordination and scalability to provide a clear and consistent approach in line with the University's values. It offered tailored support and messaging for four distinct phases: aspiration and early engagement; support to get in; support to succeed and support to progress. The Executive approved the implementation and communications plan for the Widening Participation Strategy.

- 4 Career Track for Staff Specialising in Teaching** **Paper C**
- The Executive considered whether the University should explore a career track for staff specialising in teaching. There was broad discussion on the opportunities for progression and flexibility of career path, with a view that most academics would continue to engage in both teaching and research and it was important that both aspects were valued and that flexible pathways at different career stages were available to all staff. It was agreed that a working party should be set up to examine this issue in greater detail with any recommendations coming back to the Executive in due course.
- 5 Planning Round** **Paper D**
- The Executive noted progress to date and the ongoing meetings with budget holders to consider forecasts and opportunities to further revise the plans, with the intention that a synthesis of the plans and the finalised budget proposals would be considered by Policy and Resources Committee on 4 June 2018 and Court on 18 June 2018.
- 6 Finance Director's Report** **Paper E**
- The Executive noted the Period 8, March, University (excluding subsidiaries) Management Accounts and the Quarter 3 University Full Year Forecast for the year. There was a report on Key Travel, the University's travel management company and there was a discussion of whether the University should consider setting targets to reduce travel costs, for financial, practical and environmental reasons. Benchmarking data on the performance of other University travel management companies was requested to enable comparison of Key Travel's performance.
- 7 Complying with extended Research Misconduct reporting requirements** **Paper F**
- In order to comply with new procedures around research integrity from the UK Research Integrity Office and UK Research and Innovation, the Executive approved a revised Research Misconduct Policy, subject to approval by the University's Combined Joint Consultative and Negotiating Committee on 23 May 2018.
- 8 Proposal to include Student Residences Requirements in the Network Replacement Project** **Paper G**
- The Executive considered the proposed change of scope to the Campus Network Replacement project, which will result in the Accommodation, Catering and Events student data networking and telephony services being provided by Information Services. This would require an increase of £2.02M capital to the Campus Network Replacement project and also

contained a risk in changing the scope of the current procurement process.

The Executive was supportive of the proposed change of scope but requested that it progress to Policy and Resources Committee for endorsement and that PRC be provided with more information on the financial implications (by completion of the Finance template) and that there was more information on the implications of the risk in terms of the potential financial and reputational impact to the University.

**9 Ethical Fundraising Advisory Group** **Paper H**

The Executive approved revised terms of reference and membership for the Ethical Fundraising Advisory Group.

**10 Data Protection Policy and Handbook** **Paper I**

The University Executive approved a revised Data Protection Policy, to replace the current policy on 25 May 2018 in compliance with the General Data Protection Regulation and approved the Data Protection Handbook, which provides supporting high-level guidance.

**11 University Risk Register 2018-19** **Paper J**

The University noted and was content with the proposed revisions to the University Risk Register.

**ITEMS FOR NOTING OR FORMAL APPROVAL**

**12 Fee Strategy Group** **Paper K**

The Executive approved the fee proposals as set out in the paper.

**13 Creation of new Chairs and renaming of existing Chairs** **Paper L1**  
**Paper L2**

The Executive approved the establishment of a Chair of Renewable Energy Technologies in the College of Science and Engineering and a Chair of Genomic Medicine in the College of Medicine and Veterinary Medicine.

**14 University Executive Communications** **Paper M**

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

**15 Date of Next Meeting**

The University Executive will next meet on Monday 11 June 2018 at 10 am in the Raeburn Room, Old College.



UNIVERSITY EXECUTIVE

11 June 2018

**Student Residential Accommodation Strategy 2018-2028**

**Description of paper**

1. The purpose of this paper is to present the Student Residential Accommodation Strategy 2018-2028 to University Executive for discussion. The Strategy has the following outcomes:

- Create developments with a socio-economic mix of rooms type, price levels and students;
- Dispose of or repurpose sub optimal accommodation buildings;
- Diversify from developing residential accommodation in the southside of Edinburgh;
- Develop purpose built student accommodation with good social and community space to meet projected demand;
- Strategic investment to be adopted to modernise the existing estate.

**Action requested / Recommendation**

2. University Executive is asked to:

- discuss the Student Residential Accommodation Strategy 2018-2028 for endorsement at Estates Committee and approval at Policy and Resources Committee and University Court in due course;
- note the significant pressure on the accommodation market in Edinburgh;
- note the University's anticipated shortfall in residential bed spaces and the proposals contained within the Student Residential Accommodation Strategy 2018-2028 for resolving this;
- note that 2250 additional beds are likely to be required by 2022/23 to meet current projected demand and the extended accommodation guarantees;
- note that a further 990 additional beds could potentially be required for the period 2023/24 to 2027/28;
- endorse the direction of travel regarding supplementing the existing residential bed spaces and support the work that is being undertaken by Accommodation, Catering and Events (ACE) in conjunction with the Estates Department to procure the additional accommodation.

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

**Resource implications**

24. There are no specific resource implications at this stage and it is anticipated that any additional bed spaces will be procured on a self-financing basis in line with current business planning arrangements.

**Risk Management**

25. One of the key Institutional risks is that the residential estate becomes an inhibitor to student growth. The Student Residential Accommodation Strategy 2018-28 attempts to mitigate that major risk.

26. There is a risk that the tenancy legislative changes and market conditions could potentially lead to an increase in students taking up their guaranteed place. This will require careful monitoring over the next few years to establish if there is likely to be a long term change to the conversion rate. It is anticipated that the pipeline of projects coupled with judicious use of short term leased accommodation is likely to cover increasing demand from the current projected student growth.

### **Equality & Diversity**

27. Equality and Diversity will be incorporated into each residential project taken forward.

### **Next steps/implications**

28. Following discussion at University Executive any comments will be incorporated into the Student Residential Accommodation Strategy 2018-2028 prior to taking this to Estates Committee, Policy and Resources Committee and University Court.

29. The market response to tenancy legislative changes will continue to be monitored and any amendments to projected student growth will also be incorporated into the Student Residential Accommodation Strategy 2018-2028.

30. Accommodation, Catering and Events will continue to work in conjunction with the Estate Department to progress with delivery of the new accommodation projects in line with individual project approvals. All new residential opportunities will come to Estates Committee for approval in due course with detailed business cases.

### **Consultation**

31. This paper has been reviewed by the Director of Corporate Services and the Director of Estates.

### **Further information**

32. Author

Steven Poliri  
Estates Development Manager  
28 May 2018

Presenter

Hugh Edmiston  
Director of Corporate Services

Richard Kington  
Director of Accommodation, Catering and  
Events

Michelle Christian  
Assistant Director of Accommodation,  
Catering and Events

### **Freedom of Information**

33. The paper should remain closed until the consultation process on the Student Residential Accommodation Strategy 2018-2028 is concluded as disclosure would substantially prejudice the commercial interest of the University.



THE UNIVERSITY EXECUTIVE

11 June 2018

**Integrated Transport Plan**

**Description of paper**

1. This paper sets out the work done to date to address the institutional transport challenges the University faces. Proposes a root and branch review to develop a sustainable option/s involving other key stakeholders. The intention would be to develop a high level strategic review of transportation to include pedestrian, bus, car, train, cycle routes that will deliver a fair, equitable and safe means of transport across the city.

**Action requested/Recommendation**

2. To agree with the principles set out in the paper and to support the creation of an appropriate advisory group to sponsor the review on behalf of the HE/FE sector.

**Background and context**

3. The University has an Integrated Transport Plan (2017-2021) which sets clear operational targets for improvements to the transportation challenges faced by the University. These include:

- The introduction by Lothian Buses of a limited Student Ridacard product
- Working in partnership with CEC on the developing new City Cycle Hire Scheme proposed to be hosted in George Square/Bristo Square, Kings Buildings and Pollock
- Expanding cycle parking provision across all our campuses
- Hosting Enterprise Car Club on our campuses and negotiating corporate membership
- Working with partners to improve cycle path linkages between our campuses
- Trialling different funding models for bus pricing provision between Kings Buildings and the Central Area

4. Expected growth in student numbers and the changing dispersal of students across the city will present new transportation challenges and requires a more strategic city wide review to be undertaken.

**Discussion**

5. The proposed review will take cognisance of University's need in the context of The Estates Vision, The Residential Strategy, The University Strategic Plan and Carbon ambitions but importantly engaging with wider advisory group and other key stakeholders such as the Councils and the NHS.

6. Members of the advisory group would be asked to commit to a proportion of the cost associated with the review. The bus companies will be invited to take part in the review.

7. The University's approach would be to:

- Consider making an external appointment to consult with key internal stakeholders to review the existing transport arrangements and requirements of the University in the context of a city wide solution.
- Consider the solutions available to other UK Universities.



- Look at the topography of the city, densities of current and forecast student locations across the city.
- To take the agenda out to the other Universities to see if a connected and coordinated transport strategy for the city can be agreed.

8. The report would comprise of a road map detailing actions with the intention that if supported by the other key stakeholders it would be implemented at an institutional and city level over the next two to three years.

9. The University should lead in the development of an advisory board consisting of senior officers from the other Edinburgh based HE and FE institutions, consideration should also be given to liaising with the NHS, the City and other Midlothian Councils so that they may develop a coordinated approach to address the wider transport infrastructure challenges the city faces including the potential impact of the City Council's City Transformation Project.

### **Resource implications**

10. If supported it is expected that some project costs will be incurred to develop an appropriate project brief. Additional investment will be required to undertake the project brief and to support project implementation with the expectation that all partners would commit appropriately to the funding of the project.

### **Risk Management**

11. There is a considerable risk that as the University continues to expand both in size and geographical spread a failure to provide all students with access to more affordable bus travel will further degrade the student experience.

### **Equality & Diversity**

12. The recommendations of this paper intend to address the existing unequal access for students to financial support for their public transport costs associated with travel to and between University sites.

### **Next steps & Communication**

13. If supported an appropriate group will be tasked with developing a more detailed brief that will lead to the creation of the advisory group and the appointment of an external expert.

### **Consultation**

14. Extensive consultations were undertaken with staff, students, EUSA, SRS Department and Estates Department in the preparation of the Integrated Transport Plan 2017-2021 and the Public Bus Strategy 2015-2020. Further consultations will be undertaken throughout the proposed internal review and the wider city project review.

### **Further information**

15. Author

David Brook  
Head of Support Services

Presenter

Hugh Edmiston  
Director of Corporate Services

### **Freedom of Information**

16. This discussion paper is open



UNIVERSITY EXECUTIVE

11 June 2018

**Research Excellence Framework (REF2021) preparations**

**Description of paper**

1. This paper asks that the University Executive agree that the University should submit 100% of eligible staff to REF2021. It also provides an update on preparations for REF2021 including development of the REF2021 Code of Practice, joint submissions and Mock REF.

**Action requested/Recommendation**

2. University Executive is invited to:

- agree that the University of Edinburgh should submit 100% of eligible academic staff to REF2021.
- note preparations for REF2021, including plans for the Code of Practice, joint submissions and Mock REF.

*Paragraphs 3 - 19 have been removed as exempt from release due to FOI.*

**Risk Management**

20. Failure to grow and diversify sources of research income, and to respond to external drivers such as REF2021 and changes in the regulatory infrastructure for research, is a specific risk in the University Risk Register.

21. The performance of the University in REF influences both our reputation and funding, and in both areas the university has a low appetite for risk. It is important that we take action to minimise risks to our performance.

22. Taking the decision to submit 100% of staff carries risks of small numbers of unclassified scores and the potential for this to appear more visibly in some smaller Units of Assessment. However, the processes in place to mitigate this mean that the likelihood and impact of this is mitigated. In addition, the risk of running a potentially damaging, time consuming and costly process to identify small numbers of staff who may fall into this category is judged to be a higher staff morale, reputational and financial risk than that of submitting 100% of our eligible staff..

23. A full REF risk register is available on request.

**Equality & Diversity**

24. We will carry out Equality Impact Assessments of our policies and processes at various points in the REF cycle. The 2021 exercise, like its predecessor, will have an emphasis on ensuring that research staff are given equal opportunity to participate, which will be reflected in our Code of Practice. It is also likely to have a greater emphasis in the environment template on specifying what we are doing to support research staff of all characteristics. We have good template for EIAs to draw

on from REF2014<sup>1</sup> but are keen to ensure we are drawing on the most up-to-date best practice. We also expect to get more guidance on what is expected from the funding bodies.

### Next steps/implications

25. The current external REF timetable is as follows:

1 August 2013	Start of period for impacts and environment data
1 January 2014	Start of period for outputs
Mid-2017	Publish initial decisions on the next REF
Mid-2017	Appoint panel chairs
July/August 2018	Publish draft guidance on submissions and panel criteria for consultation
Winter 2018-19	Publish final REF guidance
Spring 2019	HEIs submit Codes of Practice for assessment
31 July 2020	Staff census date End of assessment period (for research impacts, the research environment and related data)
November 2020	Closing date for submissions
31 December 2020	End of publication period for publication of research outputs and outputs underpinning impact case studies
2021	Assessment year
December 2021	Publication of outcomes
Spring 2022	Publication of submissions and reports
2022-23	First funding driven by REF2021 results

26. The immediate next steps in the REF project are to:

- Continue the processes in the Initial Academic Staff Decisions Framework for the 2017-18 HESA Staff return
- Continue with the Mock REF assessment, reporting to September 2018 REF Board
- Check research environment data to ensure accuracy in submissions to HESA (students; finance)
- Continue to upgrade Pure, the university's Research Information System which underpins the REF submission.

### Consultation

27. REF Board members, College REF and research committees, People Committee (Code of Practice), HR. This paper was reviewed by the Deputy Secretary Strategic Planning and Vice Principal Planning Resources and Research Policy.

### Further information

28. *Author and presenter*

Pauline Jones, University REF Manager  
Governance and Strategic Planning  
29 May 2018

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<sup>1</sup> The final Equality Impact Assessment of REF2014 can be found here: <http://www.ed.ac.uk/governance-strategic-planning/research/ref>

**Freedom of Information**

29. The paper should not be included in open business because disclosure could prejudice substantially the commercial interests of the University, under Section 33 of the Freedom of Information Act (Scotland) 2002.



UNIVERSITY EXECUTIVE

11 June 2018

**Teaching Excellence and Student Outcomes Framework (TEF) – Implications for the University**

**Description of paper**

1. The paper summarises the current TEF process, and proposals to introduce a new subject-level element. While the University's current position is not to participate in the TEF, the paper highlights how the University would be likely to perform if it were to decide to participate at a future point. It also proposes some areas for institutional action in order to increase the likelihood of a successful outcome were the University to participate in the future.

**Action requested/Recommendation**

2. University Executive is asked to advise on the additional actions proposed in order to increase the likelihood of a successful outcome were the University to participate in the future.

*Paragraphs 3 - 19 have been removed as exempt from release due to FOI.*

**Risk Management**

20. If the University were to decide to participate in the TEF in the future, there would be significant reputational and other risks unless the University achieved a positive rating (at least Silver). This paper aims to assist the University to mitigate those potential risks by identifying ways to increase the likelihood of a successful outcome were the University to participate in TEF in the future.

**Equality & Diversity**

21. The paper does not raise any direct equality and diversity implications. The TEF methodology does however require institutions to demonstrate commitment to equality and diversity – for example, the TEF dataset includes a range of contextual data including the protected characteristics of the University's student population, and compelling Provider Statements are likely to demonstrate that the institution is ensuring positive outcomes for all student groups

**Next steps & Communication**

22. The TEF Monitoring Group will continue to monitor the development of the TEF and to strengthen its understanding of what has enabled other institutions to achieve positive TEF ratings.

**Consultation**

23. The TEF Monitoring Group has developed this paper, with commentary from the Principal.

**Further information**

24. Author

Tom Ward

Director of Academic Services

Presenter

Gavin Douglas

Deputy Secretary Student Experience

31 May 2018

**Freedom of Information**

25. The paper is closed - its disclosure would substantially prejudice the commercial interests of the organisation



UNIVERSITY EXECUTIVE

11 June 2018

**Addressing the impact of the industrial action on students**

**Description of paper**

1. We estimate that a total of £1.35 million salary costs have not been incurred as a result of the industrial action earlier this year. The Principal has stated on several occasions and in public communications that we will use these funds to support the student experience. This paper sets out a proposal for use of these funds.

**Action requested/Recommendation**

2. University Executive is asked to approve the proposed spend of £1.35 million (funds not spent on salaries as a result of strike action) on increased hardship funds; and support for the students most severely impacted by the strike action.

*Paragraphs 3 - 32 have been removed as exempt from release due to FOI.*

**Equality & Diversity**

33. An EqIA for these initiatives will be tabled at the meeting.

**Next steps/implications**

34. Following approval of any proposal, communications and processes will be finalised with a view to publicising the scheme as soon as possible.

**Consultation**

35. Restricted to date to the Principal; the Senior Vice-Principal; the University Secretary; the President and other officers of the Students' Association; the Deputy Secretary (Strategic Planning)

**Further information**

36. Author and Presenter

Gavin Douglas

Deputy Secretary (Student Experience)

1 June 2018

**Freedom of Information**

37. Closed



UNIVERSITY EXECUTIVE

11 June 2018

**The Gujarat Biotechnology Knowledge Complex**

**Description of paper**

1. This paper provides information on the Gujarat Biotechnology Knowledge Complex and proposed next steps.

**Action requested/Recommendation**

2. The University Executive is invited to discuss and comment on this outline of the Biotechnology Knowledge Complex (BKC) initiative and the indicative outcomes, to provide advice on relevant issues for developing this type of collaboration and to endorse a group led from the College of Science & Engineering to progress negotiations with the Government of Gujarat (GoG) and the Institute of Infrastructure, Technology, Research and Management (IITRAM).

*Paragraphs 3 - 27 have been removed as exempt from release due to FOI.*

**Risk Management**

The obvious risks are:

Opportunity cost.

28. Time of existing staff to develop proposals and support implementation. Salaries can be at least partly costed into the financial model, but will still mean those people are not pursuing other opportunities/generating income or outputs through other activity. Also, we can realistically only engage with a very small number of large-scale partnerships. This is the first such opportunity to present itself. In the absence of any intelligence about other future potential opportunities, how do we decide if it is the right one to pursue?

Reputational damage.

29. Impact of withdrawal after further negotiation; this can be mitigated by careful staging of discussion and by a proposed partnership approach to developing the premise to the next stage. Impact of failure during or after set-up; the current consensus is that risk of long-term/serious reputational damage from withdrawal or failure is small.

Financial loss.

30. All anticipated costs can be factored into the financial model to mitigate risk of loss, but we might incur unanticipated cost. We would also need to assess if there is any risk that GoG might fail to honour agreed costs.

Political change.

31. There is current strong political will, but will that be sustained in the event of change of government or change of personnel in key positions? This can be mitigated by very robust agreements before UoE commits any significant resource, and by building a very strong and close collaboration with as wide a group of contacts in GoG as possible.



Is the scientific faculty of the University of Edinburgh interested in this joint venture?

32. Can we successfully recruit to specific vacancies for BKC? Preliminary discussions at Edinburgh have indicated that staff value this opportunity. We have interested scientific personnel of internationally recognised standing and achievements, strong existing postgraduate teaching in this area and junior faculty who can become part of this venture. While we expect some staff to contribute as faculty in Gujarat, we do not expect that many existing staff would wish to become established faculty. Considering the ambitions of the Government of Gujarat from our discussions so far, we expect that new UK recruitment to UoE employment would be needed to fill some or most of the required Academic staff.

**Equality & Diversity**

33. There are no Equality and Diversity considerations at this stage.

*Paragraphs 34 - 35 have been removed as exempt from release due to FOI.*

**Consultation**

36. This paper was developed drawing on material provided by Prof Pankaj Pankaj (School of Engineering, and UoE Dean for South Asia) and Dr Peter Doerner (Director of Internationalisation for the School of Biological Sciences) and the UoE development group for the BKC

**Further information**

37. <u>Author</u>	<u>Presenter</u>
Dr Anne Payne	Professor David Gray
Director of Professional Services	Head of School of Biological Sciences
School of Biological Sciences	
1 June 2018	

**Freedom of Information**

38. This paper is closed - its disclosure would substantially prejudice the commercial interests of the University.



UNIVERSITY EXECUTIVE

11 June 2018

**Review of Support for Disabled Students**

**Description of paper**

1. Progress Report on the Implementation of Recommendations from the Review of Support for Disabled Students.

**Action requested/Recommendation**

2. The University Executive is invited to consider the report for information.

**Background and context**

3. A review of the University's arrangements for supporting disabled students was instigated by the Principal during the 2016-17 academic session. The review panel was tasked to scrutinise priority areas (i.e. the implementation of adjustments and accessibility of the estate) and recommend actions for enhancement. The final report of the review panel can be found at the following link: [Review of Support for Disabled Students](#)

4. At the outset of the 2017-18 academic session Central Management Group (CMG) tasked the following group to oversee the implementation of the recommendations from the review: Professor Jane Norman (Vice-Principal, People and Culture); Gavin Douglas (Deputy Secretary, Student Experience); Esther Dominy (Vice President Welfare, Edinburgh University Students' Association); Professor Jeremy Robbins (Head of School representative from CMG); Brian Connolly (Review Coordinator, Academic Services).

5. The group has held regular meetings to consider progress reports from each area with remitted actions, providing formative feedback comments where an action is progressing and confirmation when an action/recommendation has been completed. The group also conducted a survey of Heads of School (or their designated point of contact for disabled students) during the second semester, inviting comment on the new arrangements and asking them to highlight what was working and where improvements should be made.

6. This report updates the University Executive (as the successor to CMG) on progress to date and highlights the areas for further development.

**Discussion**

*Implementation of Adjustments*

7. The move to a new system of adjustments was a key recommendation of the review. The main element of this new approach was a change to the status of agreed adjustments from a "recommendation" to a "mandatory requirement" to implement.

*Progress*

8. Generally the new system seems to be settling in and feedback from Schools has been positive. Staff have understood the move to mandatory adjustments and have been positive about complying with this change. The integration of adjustments with

EUCLID makes the system easier to use and dissemination of adjustments to key staff members is fast and straightforward. In particular, staff are happy with the reduction in the number of update emails generated by the system and have found the ability to see all of the adjustments for any given class very helpful and compared to the old system. The adjustments themselves have been mainly well understood by staff and schools seem content with progress in regard to improving communications between themselves and SDS.

#### *Further Development*

9. The new Director of the Student Disability Service (SDS), Paddy Corscadden, will continue to develop closer relationships between the SDS and schools so that SDS Disability Advisers understand the discipline-specific issues that may impact on certain adjustments. Most Schools were happy with the new SDS IT system but several have reported snagging issues or enhancement suggestions which will be progressed by the SDS and Student Systems.

10. A new annual review of adjustments will be undertaken by the SDS which will provide students with an opportunity to comment on the way their adjustments have been managed by both the SDS and their school. Each school will be invited to reflect on the comments from its students and submit a report on the functioning of the system within the school at the end of each academic year.

11. A programme of equality and diversity training will be introduced for all staff involved with the adjustment process in order to ensure that the University is best placed to fulfil its obligations under the Equality Act (2010).

12. Finally, the Accessible and Inclusive Learning Policy (AILP) will receive a high profile relaunch at the October meeting of Senate.

#### *Accessibility of the Estate*

13. The review made several key recommendations in relation to the accessibility of the estate encompassing issues of maintenance, accountability, and appropriately aspirational standards of accessibility. The review also recommended that an effective system to generate and execute Personal Emergency Evacuation Plans (PEEPs) was developed as a matter of urgency.

#### *Progress*

14. A comprehensive report on the status of accessibility across the estate was completed at the end of October 2017. Most importantly, the University has devised, and allocated appropriate funding for, an action plan to address areas of inaccessibility which emerged from the review. In addition, Estates has liaised with both the Staff Disability Network Group and Students' Association to invite disabled staff and students to provide representation at consultations on University estate developments. A new role, Disability Access and Equality Manager, was created in Estates with responsibility for performing a regular review of activities and performance around inclusive access. Estates also has a new system in place to record, monitor and progress all maintenance and repairs.

### *Further Development*

15. A further review of the accessibility of the estate will be completed in October 2018 using the Disabled Go reports from the October 2017 review as a benchmark. A new Inclusive Design Guide is nearing completion, which refers to current legislation and best practice standards (including BS8300) and supports the current Accessibility Policy. The Design Guide will provide a basis for future developments and can be used by both external and in-house design teams.

16. Work to develop an effective system to generate and execute PEEPs is ongoing. A Disabled (Access and Egress) Co-ordinator, based in corporate Health and Safety, is being appointed to provide advice to HoS, and will act as a liaison where necessary between Schools, the Fire Safety Unit and the Student Disability Service. Information from the estate access survey will provide the basis for a 'comprehensive catalogue of the estate' to be stored centrally on the timetabling system. Additional work has been performed to identify, generate and signpost refuge (waiting) spaces in each building in case of an emergency. This work will enable Generic Emergency Evacuation Plans (GEEPs) for each building to be developed, with clearly identified staff points of contact. Heads of Schools / Heads of Professional Service Groups have been reminded of their responsibility (under current guidance) to provide evacuation teams for the buildings they occupy: alternative strategies are being considered.

### **Resource implications**

17. There are resource implications arising from the recommendations which will impact on Schools, Estates and the Student Disability Service. The University has allocated funding for an action plan to address areas of inaccessibility which emerged from the review.

### **Risk Management**

18. There are institutional risk management implications which were considered as part of the review.

### **Equality & Diversity**

19. Equality and diversity implications were integral to the review.

### **Next steps & Communication**

20. The group will continue to oversee the implementation of the recommendations of the review.

### **Consultation**

21. The paper was discussed at the meeting of the Recommendations Oversight Group held on Wednesday 23 May 2018.

### **Further information**

22. Oversight Group convened by Professor Jane Norman, Vice-Principal People and Culture, May 2018

### **Freedom of Information**

23. This paper is open



**UNIVERSITY EXECUTIVE**

**11 June 2018**

**Finance Director's Report**

**Description of paper**

1. The paper reports the Period, 9 April, University (excluding subsidiaries) Management Accounts and the Quarter 3 University Full Year Forecast for the year. The paper also includes an update on the quarterly rolling forecast meeting cycle introduced this year.

**Action requested/Recommendation**

2. The University Executive is asked to comment on the latest update and members can use this report to brief their teams on Finance matters.

*Paragraphs 3 - 14 have been removed as exempt from release due to FOI.*

**Resource implications**

15. There are no specific requests for resource in the paper.

**Risk Management**

16. The University manages its financial risk by not breaching the Group risk appetite as described in its financial metrics; a key one of these is –that our unrestricted surplus should be at least 2% of gross income (the Finance Strategy provide a target surplus range of 3% - 5% to remain sustainable). The 2016/17 Financial Reports and the Quarter Three Full Year Forecast demonstrate that we do not expect this indicator to be breached. The continuing health and sustainability of the University depends upon strong direction supported by robust forecasting and we will continue to refine and challenge the assumptions underpinning the Ten Year Forecast.

17. The continuing health and sustainability of the University depends upon strong direction supported by robust forecasting and we will continue to refine and challenge the assumptions underpinning the Ten Year Forecast.

**Equality & Diversity**

18. Specific issues of equality and diversity are not relevant to this paper as the content focusses primarily on financial strategy and/or financial project considerations.

**Next steps & Communication**

19. We would welcome feedback as outlined in the discussion above.

**Consultation**

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

**Further information**

21. Author

Lee Hamill  
Deputy Director of Finance

Presenter

Phil McNaull  
Finance Director

Lorna McLoughlin  
Head of FIRST (Financial  
Information, Reporting & Strategy  
Team)  
1 June 2018

**Freedom of Information**

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



UNIVERSITY EXECUTIVE

11 June 2018

**Investment Landscape & Supporting Advisory Groups**

**Description of paper**

1. This paper maps the various investment activities (the investment landscape) to the University's governance structure and provides an overview of the informal advisory groups that sit beneath the formal governance committees to support effective and transparent operational/management practices. Within this overview, the paper seeks to clarify the governance processes associated with industry engagement, social and environmental investments.

**Action requested/Recommendation**

2. University Executive is invited to note this paper and comment on the relationships between the investment landscape, formal governance and informal advisory groups. Further, the University Executive is invited to comment on the governance processes set out for industry engagement, social and environmental investments.

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

**Risk Management**

17. Risks are managed as appropriate through the existing governance structure and through the advisory groups as illustrated in appendix II.

**Equality & Diversity**

18. Due consideration has been given to equality and diversity in the remits of the advisory groups and as a key element of the investment processes. An Equality Impact Assessment is not required.

**Next steps/implications**

19. The investment landscape will be kept up to date, including the mapping to governance and interactions with supporting advisory groups. We intend to present an update of this paper to Investment Committee and Policy & Resources Committee in August/September respectively. The Treasury Management Policy and the Delegated Authority Schedule will be reviewed, with any updates submitted for approval through the formal governance structure as noted above.

**Consultation**

20. Consultation within Corporate Services (Finance, Estates and SRS), Director of Legal Services and Deputy Secretary, Strategic Planning.

**Further information**

21. Author

Ashley Shannon  
Programme Development Director  
Corporate Services Team  
28 May 2018

Presenter

Hugh Edmiston  
Director of Corporate Services

**Freedom of Information**

22. This is a closed paper.







UNIVERSITY EXECUTIVE

11 June 2018

**Distance Learning at Scale Programme Business Case**

**Description of paper**

1. This paper provides a University-wide business case for the Distance Learning at Scale (DLAS) programme.

**Action requested/Recommendation**

2. The Executive is invited to consider and discuss the business case.

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

**Resource implications**

23. Resource implications for the delivery of the “at scale” capability and academic programmes will be covered within the normal University planning framework and are set out in the paper.

**Risk Management**

24. The risks associated with the Distance Learning at Scale pilot will be managed via routine project governance, with any key impacts being escalated as required.

25. A number of risks have already been identified and these are set out in the Business Case.

**Equality & Diversity**

26. An Equality Impact Assessment will be performed on each course.

**Next steps/implications**

27. Following discussion at the University Executive, the business case will be submitted to for consideration via the planning round.

**Consultation**

28. The business case is being considered within the planning round and has been presented to committees of Senate, Court and the Colleges, including Knowledge Strategy Committee and Policy and Resources Committee.

**Further information**

29. Authors

Gavin McLachlan  
Siân Bayne  
Melissa Highton  
Nikki Stuart  
Jo Craiglee

Presenter

Gavin McLachlan  
Chief Information Officer & Librarian

**Freedom of Information**

30. Closed paper – commercially confidential



UNIVERSITY EXECUTIVE

11 June 2018

University of Edinburgh – Leadership Forum

**Description of paper**

1. This paper provides the University Executive with a proposal to develop and launch a University of Edinburgh Leaders Forum.

**Action Requested/Recommendation**

2. The University Executive is asked to approve the proposal and actively support the establishment and running of the Leaders Forum.

**Background**

3. The Service Excellence Programme Board in December 2017 approved the principle of developing a leaders forum for the Service Excellence Programme, bringing together the SEP Board, Director of Professional Services, Heads of School and Directors of Service.

4. Discussion took place with Human Resources, a number of Directors of Professional Services and the Principal's Office in March/April. Following this consultation it was proposed that the scope of the UoE leaders Forum be expanded to fit in with the broader strategic and change agenda, while keeping SEP as a key component, along with the practical learning that will help develop change & leadership capability. Feedback suggested a broader scope will help with engagement.

5. Following further discussion at the SEP Board in April 2018, the recommended approach was approved. Further work was undertaken by the team developing the proposal for presentation to the University Executive.

**Discussion**

*Purpose*

6. The core purpose of the UoE Leaders Forum is to ensure leaders work together to increase understanding and address complex challenges and to encourage more collaboration across Colleges, Schools and Professional Services Groups to deliver enhanced outcomes for the University. This is a forum owned by the leaders for the leaders. Other functions of the Forum include:

- Ensure leaders work together to increase understanding and address complex challenges
- Encourage collaboration across the University's leadership group to enhance outcomes for the University.
- Mobilise our leadership team for collective and coordinated action to achieve the University's strategic vision and priorities
- Cascade relevant information from Leaders Forum to teams
- Ensure successful design and implementation of changes/projects/initiatives
- Break down silos
- Build desired leadership culture
- Support leaders in their leadership skill development

### *Membership and expectations*

7. To achieve the core purpose and functions of the UoE Leaders Forum, the following key roles have been identified (including Directors of Professional Services, Heads/Directors of Professional Services, Heads of College, Heads of Schools, Vice-Principals, Senior Vice-Principals, and selected Talent Group Members such as staff interested in becoming Heads of Schools). The expectations of UoE Leaders Forum members are as follows:

- Help develop a coordinated approach to drive the strategic agenda and implement University change initiatives (including for example SEP, City Deal and Digital Transformation)
- Actively support UoE's strategic direction and key changes within their Colleges, Schools and Professional Service Groups
- Actively contribute to understanding and addressing operational vs strategic and/or complex problems
- Actively participate in relevant leadership activities
- Build networks and positive relationships with other Leaders Forum members
- Confidently deliver and cascade information that is tailored to their staffs needs

### **Consultation**

8. The following stakeholder engagements have taken place to seek input, approval and/or support for a UoE Leaders Forum:

- SEP Board Members
- SEP Leadership Team
- SEP Communication Leads
- Communication Managers
- CAHSS Directors of Professional Services
- UoE Leaders Forum Working Group

### **Next steps**

9. As soon as this proposal is approved, the current roles identified in the table will work together to implement the first UoE Leaders Forum.

<b>Sponsor</b>	<b>Accountable</b>	<b>Responsible</b>	<b>Contributors</b>
- University Secretary	- SEP Director - Interim HR Director	- HR – Org. Design, Learning & Development - SEP Change Manager - SEP Communication Manager	- Head Internal Communications - Head Stakeholder Relations - Projects and Policy Officer (USG) - Small group invitees/contributors

10. It is proposed that the UoE Leaders Forum is held for half a day, three times per year. The following proposed dates have been confirmed in the Principal's calendar: 22 August 2018; 21 November 2018; 24 April 2019.

### **Resource Implications**

11. Managed within existing resources of Service Excellence Programme and Human Resources.

### **Further Information**

12. *Authors*

James Saville  
Interim Director of HR

*Presenter*

James Saville  
Interim Director of HR

Barry Neilson  
Service Excellence Programme Director

### **Freedom of Information**

13. Open Paper

## Proposed agenda

22 August from 12.30pm – 5pm

Theme: Working together for our future success		
Topic	Presented by	Timeframe
<b>Lunch</b>		<b>45 min</b>
<b>Introduction</b>	Lead sponsor introduction by Sarah Smith	5 min
<b>Our priorities</b> <ul style="list-style-type: none"> <li>• UoE Strategic Plan and Vision – Progress Update</li> </ul>	<ul style="list-style-type: none"> <li>• Principal</li> </ul>	20 min
<b>Remarks from lead/sponsor</b>	TBC	2 min
<b>Our changing landscape</b> <ul style="list-style-type: none"> <li>• Higher Education Sector</li> <li>• Student Experience</li> <li>• Staff Satisfaction Survey</li> </ul>	<ul style="list-style-type: none"> <li>• Charlie Jeffrey</li> <li>• Gavin Douglas</li> <li>• Sarah Smith</li> </ul>	35 min
<b>Remarks from lead/sponsor</b>	TBC	2 min
<b>Leadership Development Activity:</b> How can you effectively lead your teams and cascade information, even if you don't agree with aspects of the change?	<ul style="list-style-type: none"> <li>• Learning &amp; Development Professionals and Senior Leaders</li> </ul>	30 min
<b>Remarks from lead/sponsor</b>	TBC	2 min
<b>Afternoon tea break</b>		<b>20 min</b>

<b>Remarks from lead/sponsor</b>	TBC	2 min
<p><b>UoE Change Initiatives</b> – Responding to our changing landscape</p> <ul style="list-style-type: none"> <li>• SEP</li> <li>• City Deal</li> </ul> <p>*Link to how these support the above - our priorities and our changing landscape</p>	<p>SEP Speakers:</p> <ul style="list-style-type: none"> <li>• HR: James Saville &amp; Martyn Peggie</li> <li>• SA&amp;S: Gavin Douglas &amp; TBA</li> <li>• Finance: Lee Hamill</li> <li>• Generalist Roles: Catherine Martin</li> </ul> <p>City Deal Speakers:</p> <ul style="list-style-type: none"> <li>• TBA</li> </ul> <p>*Speakers/workshops dependent on topics</p>	50 min
<b>Remarks from lead/sponsor</b>	TBC	2 min
<p><b>Leadership Development Activity</b></p> <p>Courageous Conversations for Leaders</p>	<ul style="list-style-type: none"> <li>• Learning &amp; Development Professionals</li> <li>• Senior Leaders</li> </ul>	15 min
<b>Close from lead/sponsor</b>	TBC	5 min



UNIVERSITY EXECUTIVE

11 June 2018

**Corporate Parenting Plan progress report**

**Description of paper**

1. The University of Edinburgh produced its first Corporate Parenting Plan in 2015 and is now producing this report, in line with Scottish Government requirements, on progress with implementation of its plan and its associated duties.

**Action requested/Recommendation**

2. University Executive is asked to approve the report, following which it will be published on the University's website.

**Background and context**

3. The Children and Young People (Scotland) Act 2014, ("the Act") came into effect on the 1st of April 2015. Part 9 of the 2014 Act names 24 public bodies and groups of bodies, including universities, as corporate parents. Under the Act, the University, as a designated corporate parent, has certain duties to deliver with regard to care experienced people and a responsibility to promote the wellbeing of care experienced people.

**Discussion**

4. Section 58 of the Act confirms that it is the duty of every corporate parent, in so far as consistent with the proper exercise of its other functions, to:

- a) be alert to matters which, or which might, adversely affect the wellbeing of children and young people to whom this Part applies,
- b) assess the needs of those children and young people for services and support it provides,
- c) promote the interests of those children and young people,
- d) seek to provide those children and young people with opportunities to participate in activities designed to promote their wellbeing,
- e) take such action as it considers appropriate to help those children and young people:
  - i) to access opportunities it provides in pursuance of paragraph (d), and
  - ii) to make use of services, and access support, which it provides, and
- f) take such other action as it considers appropriate for the purposes of improving the way in which it exercises its functions in relation to those children and young people.

*Widening participation and outreach*

*Partnerships*

5. Summary of key actions in the 2015-18 plan

- Working with the newly-formed Care-Experienced and Carers East Forum, to explore opportunities to engage looked after children in local authority or voluntary sector care, to introduce the idea of further and higher education through early intervention.



6. Over the two year period since its corporate parenting plan was published, the University of Edinburgh has developed its partnership working with further and higher education institutions and care-experience support bodies to improve the services available to anyone from a care background who is seeking to move on to tertiary education. As a founding member of the Care-Experienced, Estranged and Carers East Forum (CEECEF), the University helped to plan and deliver an event for care-experienced young people and their carers and support staff. Your Dynamic Future was held in July 2017 at Edinburgh Napier University and Edinburgh College campuses.

7. The University is a partner and funder in the development of a new care-experienced hub which will provide a physical drop-in centre for care-experienced children and young people in Edinburgh. The hub will offer a one-stop shop with information, advice and guidance for the young people, their carers and support staff to enable them to access appropriate educational opportunities, and associated support services.

8. The widening participation team have also made links with Edinburgh City Council and will be attending their care-experienced practitioners' group to help identify the information advisors require to be able to help care-experienced young people who are hoping to go on to higher education.

#### *Access to outreach activities*

9. Summary of key actions in the 2015-18 plan

- Improve identification of looked after children and care leavers engaged with widening participation programmes by including adding an "in care" question, modelled on the UCAS application form, on WP registration forms
- Introduce a formal commitment to accept looked after children and care leavers onto WP programmes and activities where they are not automatically eligible, providing there is space and funding available.
- Introduce a process for care-experienced young people to apply for travel expenses in advance of an activity, if required
- Investigate and adopt additional ways to promote the University's single point of contact to care-experienced young people

10. The University has reviewed access to its widening participation outreach activity to ensure that care-experienced children and young people will not face any barriers in accessing the opportunities available. An "in care" question has been added to widening participation enrolment forms to improve identification, and the University has introduced an expanded "single point of contact" role in the widening participation team to ensure that anyone who has ticked this box has access to any support they may need. Care-experienced children and young people are contacted proactively to offer help with travel costs, and to arrange any other support they may need to fully participating in the programme, and a commitment has been made to ensure that care-experienced young people will always be eligible to take part in activities even if, for example, they do not attend the target school.

#### *Application and Admissions*

11. Summary of key actions in the 2015-18 plan

- Review communications with care-experienced offer holders

- provide information on all available sources of funding to care-experienced young people and their advisors prior to application, and also to care-experienced offer holders, to ensure that they are aware of the funding streams available to them. SRA
- in partnership with other HEIs, provide awareness raising training for those who advise looked after children and care leavers to help them better understand student funding in Scotland and in England, and to improve the advice given to young people. SRA

12. The “single point of contact” role in the widening participation team has been expanded, allowing the University to take a more proactive approach in engaging with those who have had a care experience through the whole student lifecycle from outreach, application and transition stages, and helping the student access appropriate student support services at the University.

13. Admissions policies have been reviewed, and the definition of a care leaver has been expanded to include all those with a care experience, to ensure all those who need support in admissions will receive it. Care experience has been included as a Context Plus category within the contextual admissions policy ensuring that those who are care-experienced will receive a contextual offer. The separate Care Leavers admissions policy has therefore been discontinued. Verification has been simplified, with applicants now asked simply to confirm their care status through the single point of contact in the widening participation team. This ensures that tailored communications can be sent, offering appropriate support.

14. While these changes have not been in place long enough to fully measure their impact, it is notable that the number of offers made to verified care-experienced students has increased from 15 in 2017 to 31, to date, in 2018.

### *Transition*

15. Summary of key actions in the 2015-18 plan

- consider whether an alternative application process is required for verified care leavers who have not taken a student loan through SASS or SLC for the Scotland
- ensure that information about the University of Edinburgh accommodation guarantee is available to care-experienced young people before they apply to the University, and during transition

16. The communications sent to care-experienced offer holders have been reviewed to be more friendly and welcoming, and the timeline of communications is under review to ensure that information on applying for finance, accommodation, and other pre-arrival support is available at the most appropriate time. In addition, the widening participation team is exploring the possibility of holding a session at post-offer visits specifically for care-experienced students, or providing an opportunity for them to meet with the team member who will be their single point of contact, to give the University a human face.

17. While the University has other mechanisms to provide information, the widening participation team’s single point of contact proactively provides tailored information for care-experienced applicants on scholarships available to them and whether any

application is required, and on accommodation including information on the 365 day accommodation guarantee. Discussions are underway with the EUSA welfare team about providing a drop-in at Open Days for care-experienced students and student carers.

### Outcomes

18. The core measure of our success as a corporate parent is the number of care-experienced students who apply to and subsequently enrol at the University. Data from the last five years show:

- A positive trend in the number of applications, which is a key indicator of success in outreach
- A consistent (c 31% average) conversion rate from application to offer (ie the proportion of care-experienced applicants who, having applied are offered a place to study at the University), in line with our contextual admissions policy
- A c9% average conversion from offer to enrolment (ie the proportion of care-experienced applicants who are offered a place to study and go on to enrol), which has fluctuated from year to year (between 4% and 12%) albeit with very small numbers involved overall, such fluctuations are not unusual.

### UoE Applications from care experienced students

Academic year	Been in care?	Applications	Offers	UF (Entrants)
2013/4	Yes	94	28	8
2014/5	Yes	134	41	17
2015/6	Yes	115	37	14
2016/7	Yes	156	49	7
2017/8	Yes	180	58	15
		<b>840</b>		

### Resource implications

19. No additional resources are proposed at this stage. Subsequent and more ambitious plans may require to seek resourcing through departmental budgets or the planning round as usual.

### Risk Management

20. The University places great importance on compliance, and has no appetite for any breaches in statute or regulation. Production and implementation of an appropriate Corporate Parenting Plan is critical to our ability to meet our duties as a corporate parent under The Children and Young People (Scotland) Act 2014

### Equality & Diversity

21. While being care-experienced does not constitute a protected characteristic under the Equality Act (2010), care-experienced young people are more likely to suffer significant disadvantage including educational and financial disadvantage, as well as poorer physical and mental health. The plan sets out how we will seek to admit more care-experienced young people and support them better, and is therefore a positive contribution to equality and diversity within the University community.

### **Next steps & Communication**

22. The University's initial Corporate Parenting Strategy (2015-18) is now coming to the end of its three year period and must be revised in order to better support our students. While the University has made good progress in reviewing and enhancing its work with care leavers in outreach, applications and admission ,more work in this area is likely to be needed and more work is also needed to address the ambitions set out in our 2015-18 plan to:

- Increase outreach work with care-experienced young people
- Support applications and transition into HE for care-experienced young people
- Extend our on-programme support for these students
- Continue to develop and grow relevant networks, including care-experienced alumni

23. Therefore, a working group for the University of Edinburgh's Corporate Parenting Strategy and Action Plan has been established. The aims of this working group are to:

- Discuss the enhanced support we can provide to our Care Experienced students.
- Formally outline this support, and our commitment to Care Experienced students, in the revised Corporate Parenting Strategy and associated actions / targets.
- Coordinate the implementation of this support.

### **Consultation**

24. Members of the Corporate Parenting Working Group.

### **Further information**

25. Author and Presenter

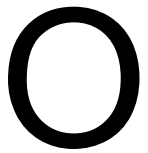
Gavin Douglas

Deputy Secretary, Student Experience

June 2018

### **Freedom of Information**

26. This paper is open.



**UNIVERSITY EXECUTIVE**

**11 June 2018**

**Workplace Nursery Scheme at the University of Edinburgh**

**Description of paper**

1. A paper was presented to the People Committee in October 2017 that outlined the proposal for introducing a Workplace Nursery scheme at the University. This scheme would allow employees to sacrifice as much of their salary as they wish (subject to meeting National Living/minimum wage requirements) to cover their nursery fees and therefore save on Income Tax and National Insurance Contribution on this amount.

**Action Requested/Recommendation**

2. University Executive is asked to comment and feedback on the proposed plans outlined in the attached business case (template for small projects (Appendix 1) provided by Finance), particularly with regards to:

- The proposal that the University continues to make payments through salary sacrifice in respect of nursery fees when an employee is on maternity leave, as is currently the case for childcare vouchers taken through salary sacrifice.
- How Schools/Deaneries/Departments might be supported in order to cover the cost of the above.
- Equity of access to the Scheme (it is proposed that the Workplace Nursery scheme would initially be implemented at the Arcadia Nursery at King's Buildings – and then rolled out to other current and future University nurseries as appropriate).

3. It is recommended that the University Executive supports the proposal for the implementation of a Workplace Nursery scheme as set out in this paper.

**Background and context**

4. The request for University nurseries to become Workplace Nurseries originally came from the Head of the College of Science and Engineering and staff groups at the King's Buildings campus. The intention is that the Workplace Nursery scheme would initially be implemented at the Arcadia Nursery at King's Buildings and then rolled out to other University nurseries as appropriate.

5. The proposal is consistent with the aims of the Advancing Gender Equality Steering Group and the Athena Swan Network as a means to support employees with childcare costs and returning to work following maternity/shared parental leave.

6. The Workplace Nursery scheme would be offered in addition to the University's current Childcare Voucher scheme but would not be subject to the statutory limits associated with the Childcare Voucher scheme (currently £243 per month).

7. Individual employees would be unable to be a member of both the Workplace Nursery scheme and the University's Childcare Voucher scheme. However, it would

be possible for an employee to be a member of the Workplace Nursery scheme and sign up for the government's Tax-Free Childcare scheme.

8. Based on the 2017-18 rates of Income Tax and NIC, it is estimated that participating employees would be able to save up to 32% of their nursery fees for basic rate taxpayers, 42% for higher rate taxpayers and 47% for additional rate taxpayers (subject to individual circumstances). Examples of potential savings for employees at different grades can be found in section 6.1.4 of the attached Business Case.

9. In addition, the University would save on employer National Insurance Contributions at 13.8% of the value of the salary sacrificed by each eligible employee who participates in the Workplace Nursery salary sacrifice scheme.

### **Discussion**

10. The University needs to consider whether it would continue to fund the cost of nursery places of employee members of the Workplace Nursery scheme whilst they are on maternity/shared parental leave in the same way as it currently continues to fund Childcare Vouchers.

11. The University's potential exposure to childcare costs would be greater under the Workplace Nursery scheme as the level of nursery fees that each employee member sacrifices via the Workplace Nursery scheme would effectively be uncapped.

12. Legal advice has been sought from Pinsent Masons regarding the University's obligations to continue to fund Workplace Nursery fees during maternity leave and recent case law (*Peninsula Business Services Ltd v Donaldson*) suggests that there would not be an obligation to continue to fund these costs. However, there has been some scepticism around the judge's decision in this case and therefore, the position may change in future as further case law unfolds. Furthermore, if the University were to adopt the position of not continuing to fund Workplace Nursery fees this would be inconsistent with the policy of continuing to fund Childcare Vouchers (a policy adopted on the basis of the legal position at that time).

13. If it is decided that the University should continue to fund Workplace Nursery fees while scheme members are on maternity leave, it is proposed that Schools/Deaneries/Departments would fund this from local budgets (as is currently the case with Childcare Vouchers). These areas would receive the benefit of the employer National Insurance savings for each employee who participates in the Workplace Nursery scheme and this would go some way to offsetting the costs.

14. The actual cost to individual Schools/Deaneries/Departments is likely to significantly exceed the NI savings and consideration may need to be given to providing additional support to areas to cover these costs. An indication of potential costs can be found in section 4.2 of the attached Business Case.

15. There is an option to hold the saving centrally with the balance at year-end being shared out between the schools.

16. If the proposal is agreed, the first Workplace Nursery would be located at King's Buildings (the Arcadia Nursery). At present, the Arcadia nursery gives preference

where possible to University staff and students when allocating spaces and it is proposed that this would continue to be the case. Although King's Buildings may perhaps not be as convenient for employees based in other locations, they would also have the option to apply for a place at the nursery (as is currently the case) and to benefit from tax and NI savings offered through the Workplace Nursery scheme.

17. There are plans to build a second nursery at Easter Bush.

18. The implementation of the workplace nursery provision will support part of the HR action plan under Athena Swan as it enhances the family-friendly practices within the University.

### *People Committee*

19. People Committee were supportive of the proposal and outlined the following actions for the Reward Team to investigate:

- Obtain data on numbers and profile of staff currently using the Arcadia Nursery – The data outlined in appendix 2 is from those employees who responded to our request.
- Explore options to cap the amount the University continues to pay during maternity/shared paternal leave in line with maximum for childcare vouchers (£243)

20. If the University decides to introduce a cap the scheme 'loses' its attraction of being able to allow the employee to sacrifice as much of their salary as they wish (subject to meeting National Living/minimum wage requirements).

### **Resource implications**

21. An outline of resource implications is provided in the attached Business Case (section 4).

### **Risk Management**

22. Appropriate consideration of risk has been taken in the preparation of this paper.

### **Equality & Diversity**

23. Any new policies or procedures arising from this project will be Equality Impact assessed as required.

### **Next Steps**

24. Subject to support from the University Executive, the UHRS Reward team will work with the key stakeholders involved in the initial proposal in order to develop an action plan of steps that need to be taken to implement the scheme.

### **Consultation**

25. The attached business case has been developed by the Workplace Nurseries Working Group (membership noted in Appendix 3 of the business case)

26. The matters contained in this paper have been considered by James Saville (Interim Director of HR). Feedback on the details contained in the paper has been provided by the Vice Principal People and Culture.

**Further information**

27. Author

Karen Lothian

Senior HR Partner – UHRS

Presenter

James Saville

Interim Director of Human Resources

**Freedom of Information**

28. This paper is open.



## Appendix 1

### Small Projects Business Case (not for commercial activities) Establishment of Work Place Nursery Scheme

#### Executive Summary

- This proposal would allow employees to sacrifice as much of their salary as they wish (subject to meeting National Living/minimum wage requirements) to cover their nursery fees and therefore save on Income Tax and National Insurance Contributions on this amount. This is consistent with the aims of the Advancing Gender Equality Steering Group and the Athena Swan Network as a means to support employees with childcare costs and with returning to work following maternity/shared parental leave.
- Funds are not being requested as such, however, depending on how the University decides to deal with the funding of childcare whilst an (existing member of the scheme) employee is on maternity leave, for example, - and the uptake of the scheme, the University may need to cover any shortfall.
- UHRS and Finance will work alongside Arcadia Nursery staff to deliver this project.
- In order to measure the benefits of this scheme, a number of factors will be reviewed by UHRS and Finance including:
  - uptake of the scheme
  - employee feedback on their experience of joining/using the scheme
  - financial realisations
  - other implications of the scheme

## 2 The Value Proposition

2.1	<p><b>Explain the value proposition. Give some background information if appropriate</b></p>	<p>This project provides an opportunity to deliver a customer gain.</p> <p>The request for University nurseries to become workplace nurseries originally came from the Head of the College of Science and Engineering and staff groups at the King’s Buildings campus. The intention is that the Workplace Nursery scheme would be initially implemented at the Arcadia Nursery at King’s Buildings – and then rolled out to other University nurseries as appropriate.</p> <p>This project is consistent with the aims of the Advancing Gender Equality Steering Group and the Athena Swan Network as a means to support employees with childcare costs and with returning to work following maternity/shared parental leave.</p> <p>The proposal would allow employees to sacrifice as much of their salary as they wish (subject to meeting National Living/minimum wage requirements) to cover their nursery fees and therefore save on Income Tax and National Insurance Contributions on this amount. A Workplace Nursery scheme removes the limits associated with the current Childcare Voucher scheme (currently £243 per month).</p> <p>Based on the 2017-18 rates of Income Tax and NIC, it is estimated that participating employees will be able to save up to 32% of their fees for basic rate taxpayers, 42% for higher rate payers and 47% for additional rate taxpayers (subject to individual circumstances).</p> <p>In addition, the University will save on employer National Insurance Contributions at 13.8% of the value of salary sacrificed by each eligible employee who participates in the workplace nursery salary sacrifice scheme.</p>
2.2	<p><b>Description of the customer segment.</b></p>	<p>University employees with parental responsibility for a nursery aged child (or children), who are already using the Arcadia nursery for childcare or who have received a formal offer of a place at the nursery. Also potential users of the nursery as the Workplace Nursery scheme may persuade some parents to relocate (availability permitting) their child(ren).</p> <p>If agreed, it is the intention that the Workplace Nursery Scheme would also be made available in respect to other campus nurseries, for example at Easter Bush – and therefore employees with parental responsibility for a nursery aged child (or children) in other locations would make up the customer segment too.</p>
2.3	<p><b>Benefits tracking</b></p>	<p>On an annual basis (TBC), Finance will provide data to report on the uptake of the scheme and savings attributed to both employees and the University.</p> <p>Following the implementation of the scheme, employee satisfaction will be measured by UHRS, initially on a six-monthly</p>

		basis, by means of a survey being distributed to those who have registered for the scheme, with feedback being used to make improvements as necessary.
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### 3 UoE's channel to customer

<b>3.1</b>	<b>UoE's channel to that customer</b>	<p>This project will offer employees an additional means of saving on childcare costs.</p> <p>It will enable eligible employees to make greater savings on their childcare, as the standard £243 per month cap on childcare vouchers and £2,000 per child per year maximum (£4,000 for children who have been registered as disabled) for Tax-Free Childcare does not apply to this scheme.</p> <p>Additional potential benefits of implementing the Workplace Nursery scheme include: improved work/life balance for employees using the Workplace Nursery, the potential to use a nursery that employees may not have otherwise been in a financial position to utilise and increased employee motivation and commitment to their job.</p>
<b>3.2</b>	<b>Options Appraisal, and reason for your preferred option.</b>	<p>The introduction of a Workplace Nursery scheme would be in addition to the University's current childcare offering.</p> <p>At present, eligible employees have the choice of signing up to either the University's Childcare Voucher scheme or the government's new Tax-Free Childcare scheme. The Workplace Nursery scheme would enable employees to make greater savings on childcare and the University to make greater savings on employer National Insurance Contributions.</p> <p>The current childcare voucher scheme is due to close to new members on 4<sup>th</sup> October 2018.</p>

### 4, Key Activities, Key Resources, Key Partners

<b>4.1</b>	<b>Key Activities</b>	<ul style="list-style-type: none"> <li>• Clear communication of the availability of the scheme</li> <li>• A transparent, straightforward process for employees wishing to join the scheme</li> <li>• A seamless process for salary sacrifice/nursery fees payments</li> <li>• A clear process for changing or leaving the scheme</li> <li>• Clear channels for resolving queries relating to the scheme</li> </ul>
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4.2	Key Resources	<p><u>Staffing levels at nursery</u></p> <ul style="list-style-type: none"> <li>- There will need to be sufficient staff to fulfil the potential of the Arcadia premises and allow as many parent employees to take advantage of the scheme as possible</li> </ul> <p><u>Administration</u></p> <ul style="list-style-type: none"> <li>- Nursery staff may need to respond to a greater volume of queries regarding available places at the nursery</li> <li>- Nursery staff will be required to provide information to existing employee customers/new employee customers regarding the Workplace Nursery scheme and know where to direct queries if they are outside their scope</li> <li>- Nursery staff will also need to undertake administration relating to the salary sacrifice form (on receipt of form from employee will need to take copy and forward to Payroll)</li> <li>- Nursery staff will need to be aware of whether each child's nursery fees are coming directly from the parent/carer or from the University</li> <li>- Payroll will need to check eligibility and provide feedback to employee where not met. They will also need to respond to pay related queries from employees as they arise and may need to investigate payment issues.</li> <li>- Payroll will need to process salary sacrifice and provide confirmation to nursery and employee. They will need to ensure that an agreed mechanism is in place for paying fees directly to the nursery.</li> <li>- The University Tax Office will need to liaise with HMRC in order to gain approval for the scheme and may need to respond to employee tax queries</li> <li>- University HR Services will be responsible for ensuring that information provided to employees is up-to-date and consistent with employment legislation</li> </ul> <p><u>Financial</u></p> <ul style="list-style-type: none"> <li>- If it is decided that the University will fund an (existing member of the scheme) employee's childcare when the employee is on maternity/shared parental leave, for example, and is not in receipt of sufficient funds to pay the nursery fees, the potential financial implications based on current levels are estimated at around £35,000 per annum based on maternity absence rate of 1.5%. This could increase to up to £75,000 if the Nursery operated at 100% level with University parents.</li> <li>- It is proposed that the employer savings in NI from salary sacrifice could be used to offset this potential cost in the first instance.</li> </ul>
4.3	Key partners	<ul style="list-style-type: none"> <li>- Nursery staff</li> <li>- Payroll</li> </ul>

		<ul style="list-style-type: none"> <li>- UHRS</li> <li>- HMRC (to provide approval of Workplace Nursery scheme)</li> <li>- Advancing Gender Equality Steering Group</li> </ul>
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## 5 Cost structures

<b>5.1</b>	<b>Cost Structures</b>	<ul style="list-style-type: none"> <li>- Under this proposal if it is decided that the University will fund an (existing member of the scheme) employee's childcare when she is on maternity leave, for example, and is not in receipt of sufficient funds to pay the nursery fees herself, the potential financial implications based on current levels are outlined above in paragraph 4.2.</li> <li>- It is proposed that if this approach is taken, the employer savings in NI from salary sacrifice could be used to offset this potential cost in the first instance.</li> </ul>
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## 6 Revenue: Recharging via UoE budgets or deductions from payroll.

		No recharging will be performed.																																
<b>6.1.4</b>	<b>Marketing, and Pricing Strategy</b>	<p><u>Marketing</u> Advice will be sought from Communications and Marketing regarding the best ways to communicate the availability of the scheme to staff and to highlight the introduction of the scheme as a good news item. The scheme's introduction will also be communicated to relevant networks.</p> <p><u>Financial Impact</u> Below are examples of potential savings for employees at different grades currently paying £1000 per month for Nursery fees – and for the University. The savings the employee and the University can benefit from will depend on the individual's taxable pay.</p> <table border="1"> <thead> <tr> <th></th> <th><b>Grade 4</b></th> <th><b>Grade 7</b></th> <th><b>Grade 10</b></th> </tr> <tr> <th></th> <th>£</th> <th>£</th> <th>£</th> </tr> </thead> <tbody> <tr> <td>Annual Salary</td> <td>21,585</td> <td>38,833</td> <td>70,531</td> </tr> <tr> <td>Monthly pay after SBS / USS pension contributions</td> <td>1,655</td> <td>2,977</td> <td>5,407</td> </tr> <tr> <td>Monthly Nursery fees to be sacrificed</td> <td>*514</td> <td>1000</td> <td>1000</td> </tr> <tr> <td>Employee savings in tax per month</td> <td>103</td> <td>200</td> <td>400</td> </tr> <tr> <td>Employee savings in National Insurance</td> <td>62</td> <td>120</td> <td>20</td> </tr> <tr> <td><b>Total Monthly saving for employee</b></td> <td><b>165</b></td> <td><b>320</b></td> <td><b>420</b></td> </tr> </tbody> </table>		<b>Grade 4</b>	<b>Grade 7</b>	<b>Grade 10</b>		£	£	£	Annual Salary	21,585	38,833	70,531	Monthly pay after SBS / USS pension contributions	1,655	2,977	5,407	Monthly Nursery fees to be sacrificed	*514	1000	1000	Employee savings in tax per month	103	200	400	Employee savings in National Insurance	62	120	20	<b>Total Monthly saving for employee</b>	<b>165</b>	<b>320</b>	<b>420</b>
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		Total Monthly saving for University	71	138	138
		*Employee cannot sacrifice their pay below the National Living Wage. Therefore, only £514 per month can be sacrificed. The NLW has increased and, for example, the maximum that can be sacrificed for a grade 4 reduces to £464.			
6.1.7	Bookkeeping/ Financial Admin	Nursery Fees will be deducted by Payroll from the employees pay and paid over to Nursery on a monthly basis. The pay over will match total deductions from pay with a detailed list provided each month. This will be all be recorded and reconciled through the ledger.			

## 7 Financial Summary

7.1	<b>Request for funds, and brief description of how they'll be used.</b>	<p>There are two options regarding the funding of an (existing member of the scheme) employee's childcare when the employee is on maternity/shared parental leave, for example, and is not in receipt of sufficient funds to pay the nursery fees:</p> <ul style="list-style-type: none"> <li>- The University funds this, as is currently done with Childcare Vouchers</li> <li>- The employee stops their salary sacrifice until they return to work and their salary can cover the nursery fees</li> </ul> <p>If it is decided that the University will fund the childcare, the potential financial implications based on current levels are estimated at around £35,000 per annum based on maternity absence rate of 1.5%. This could increase to up to £75,000 if the Nursery operated at 100% level with University parents.</p> <p>If this route is taken, it is proposed that the employer savings in NI from salary sacrifice could be used to offset this potential cost in the first instance. However, if there was a shortfall, the University would need to cover this.</p>
7.4	<b>Tax advice</b>	<p>The workplace nursery scheme is exempt from income tax and associated reporting obligations where the following conditions are satisfied:</p> <ul style="list-style-type: none"> <li>- the nursery has the appropriate registrations and approvals</li> <li>- is available to all University employees</li> <li>- provides childcare for employees' children, or children they have parental responsibility for</li> <li>- nursery provides childcare up to the maximum age its registration and approval allows for</li> <li>- either the premises on which the care is provided must be made available by the University alone or the partnership requirements must be met (latter not relevant as nursery is made available by the University via UoeAL)</li> </ul>

- The sacrificed hourly rate is used for Industrial Action and any future deductions for employee sacrificing their pay for Workplace Nursery could have a significant reduction in the amount deducted
- Employees must agree to a variation in the terms of their employment contract in order for a workplace nursery salary sacrifice arrangement to be effective for tax and NIC purposes (i.e. they will receive a reduced level of salary in return for the provision of childcare provided by the University's Arcadia or Easter Bush Nursery, a provision which is wholly exempt from tax and NIC.
- The employee's current gross salary is reduced by the value of the nursery provision, before tax and National Insurance Contributions is applied. This is how the tax and NIC savings are achieved (normally nursery fees are payable out of post-tax & NIC salary by the employee to the nursery).
- If the contract is not effectively varied, the employee remains entitled to the elements of their remuneration package previously specified (i.e. they remain subject to tax and NI on the pre-salary sacrifice level of salary and the tax and NIC savings are lost).
- Variation to the contract in this context can be achieved by setting out agreed changes in a separate document that is attached to the main contract.
- When administering payroll, the University must ensure that an employee's post-salary sacrifice pay does not fall below the National Minimum or Living Wage, as appropriate.
- Similar to the University's other salary sacrifice arrangements, participation in the arrangement will not affect any other salary-related payments or benefits that the employee receives from the University such as salary increases, bonuses and overtime. These will continue to be based on the employee's annual salary or 'reference salary', which is basic pay before any salary sacrifice. Pensionable salary continues to be based on annual salary or reference salary including any other earnings as may be recognised by the University as pensionable.
- If an employee wishes to opt-in or out of a salary sacrifice arrangement, their contract must alter with each change (the employee's contract must be clear on what their cash and non-cash entitlements are at any given time).
- Where a 'lifestyle change' significantly alters an employee's financial circumstances, e.g. changes to working hours, marriage, divorce, adoption birth, or an employee's spouse or

		<p>partner becoming redundant or pregnant. Salary sacrifice arrangements can allow opting in or out in the event of lifestyle changes like these</p> <ul style="list-style-type: none"> <li>• There is no statutory requirement for the University to inform HMRC following the adoption of a salary sacrifice arrangement. However, many employers do so for reassurance that the arrangements put in place are effective from a tax and NIC perspective. Agreement is given on the understanding that it will cease to apply if there are further changes to the contract impacting salary and benefit entitlement.</li> <li>• HMRC does not give advice or provide clearance on salary sacrifice arrangements before they have been implemented</li> <li>• No VAT or corporate tax issues/considerations.</li> <li>• Workplace nursery salary sacrifice arrangements are common within the sector and are generally acceptable to HMRC when operated as intended within the parameters set out above.</li> </ul>
7.5	<b>Potential future scenarios</b>	<p><u>Strengths</u></p> <ul style="list-style-type: none"> <li>- Tax and NI savings for employees</li> <li>- NI savings for the University</li> </ul> <p><u>Weaknesses</u></p> <ul style="list-style-type: none"> <li>- Employees need to deal with different areas for different queries – e.g. nursery for queries relating to nursery places, Payroll for queries relating to salary</li> <li>- Potential confusion with other childcare schemes e.g. Childcare Vouchers or Tax-Free Childcare</li> <li>- Not all employees will be eligible to join the scheme, due to earnings etc.</li> <li>- Nursery places will be restricted</li> </ul> <p><u>Opportunities</u></p> <ul style="list-style-type: none"> <li>- Improved work/life balance for employees</li> <li>- Increased employee motivation productivity</li> <li>- Increased employee commitment and engagement</li> <li>- Retention of employees</li> <li>- Recruitment/attraction tool</li> <li>- Improves University’s reputation as a good employer</li> <li>- Expanding the scheme to include nurseries on other campuses (e.g. Roslin)</li> <li>- Adhere to principles of Athena Swan</li> </ul> <p><u>Threats</u></p> <ul style="list-style-type: none"> <li>- Staffing levels at the nursery limit the number of nursery places and therefore the number of employees who can participate in this scheme</li> <li>- Damage occurs to the nursery building, which results in childcare not being available and therefore a reputational risk</li> <li>- Changes in UK legislation</li> </ul>



		- Changes to regulation in Scotland (e.g. due to another independence referendum)
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## 8 Governance and Risk Management

<b>8.3.1</b>	<b>Financial Monitoring</b>	<p>Initially, on a six-monthly basis, Finance will report on savings realised as a result of the introduction of the Workplace Nursery scheme. This will take into account both employee and employer savings – and a financial comparison will be made between the situation before the scheme was introduced and at the point in time of the report, taking into account the resulting effect of the scheme on the uptake of childcare vouchers.</p> <p>HR will report on the uptake of the scheme, including the proportion of nursery (University employee) parents/carers who have signed up to the scheme and will investigate whether the introduction of the scheme has resulted in a greater proportion of University employee parents/carers applying for a place at the nursery for their child(ren).</p> <p>A summary report will be submitted to People Committee.</p>
<b>8.3.2</b>	<b>Fraud and Theft</b>	<p>Employees will need to sign a form to confirm that they agree to the terms of salary sacrifice. Payroll will not process the salary sacrifice (and deductions will not be taken) unless the employee is eligible to join the scheme. Payroll will then confirm to the employee that the salary sacrifice has been actioned – and will confirm to the nursery arrangements for payment (i.e. amount to be paid to nursery directly from University and amount to be paid by employee (for month ahead)).</p> <p>Emergency childcare would not be included in then salary sacrifice scheme – the employee would need to pay the nursery directly for this.</p>

## 9 The Exit Strategy

<b>9.3</b>	<b>Early exit after an adverse event or decision to terminate the project</b>	<p>Trigger points to terminate this project early include:</p> <ul style="list-style-type: none"> <li>- Changes to legislation, which mean that employees can no longer sacrifice their salary in this way</li> <li>- Changes to nursery workforce/recruitment issues, which mean that that it is not possible to staff the nursery</li> <li>- Damage to the nursery building, which means that it cannot be used for childcare</li> </ul>
<b>9.5</b>	<b>Review of benefits delivered by this project</b>	<p>12 months after the scheme has been implemented, a report will be provided, outlining the following:</p> <ul style="list-style-type: none"> <li>- Uptake of the scheme</li> <li>- Employee feedback on their experience of joining/using the scheme</li> <li>- Financial realisations</li> <li>- Other implications of the scheme</li> </ul>

9.6	<b>Retain Performance Data to enable preparation of a Post Implementation Review.</b>	HR and Finance will jointly undertake a review of this scheme should it be required.
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## Appendix 2

### Profile information

Number	Grade/Equivalent	Work Location
1	UE09	King's Buildings
2	UE07	Central Area
3	UE07	Little France
4	UE08	King's Buildings
5	UE10	King's Buildings
6	UE06	Central Area
7	UE08	Easter Bush
8	UE06	King's Buildings
9	UE09	King's Buildings
10	UE08	King's Buildings
11	UE08	Central Area
12	UE07	King's Buildings
13	UE08	King's Buildings
14	UE10	King's Buildings
15	UE10	King's Buildings
16	UE09	Central Area
17	UE08	King's Buildings
18	UE07	Little France
19	UE10	Central Area
20	UE08	Western General
21	UE07	Central Area
22	UE06	Little France
23	UE06	Central Area
24	UE07	King's Buildings
25	UE08	Little France
26	UE07	Central Area

## Appendix 3

### Workplace Nurseries Working Group Members

Claire Barnish – ACE

Shona Blair – Tax Office

Lorna Duff – ACE

Terry Fox – Finance Directorate

Lee-Anne Goodbrand – HR, ACE

Lorraine Hyslop – ACE

Judith Law – ACE

Susan McLaren – HR Systems, UHRS

Graham Mehan – Payroll

Kirsten Partridge – Reward, UHRS

Martyn Peggie – UHRS Director's Office

Helen Sang – representing a Roslin based working group set up to look into aspects of childcare/nursery provision

END
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UNIVERSITY EXECUTIVE

11 June 2018

Annual EFAG Report 2017/18

**Description of paper**

1. In line with the terms of reference for the Ethical Fundraising Advisory Group (EFAG), this paper reports on the activity of the Group in academic year 2017/18. It also provides a high-level summary of the Group's activity since its inception.

**Action requested / Recommendation**

2. Members are invited to consider and approve the annual report before it is also submitted to the Audit & Risk Committee (13 September 2018) and Risk Management Committee (22 October 2018).

*Paragraphs 3 - 15 have been removed as exempt from release due to FOI.*

**Resource implications**

16. There are no immediate resource implications.

**Risk Management**

17. Risk management is a key element in work of the EFAG, especially those which carry the potential for reputational damage to the University.

**Equality & Diversity**

18. Due consideration to equality and diversity has been given.

**Next steps/implications**

19. Following comments from University Executive, the report will be submitted to the Audit & Risk Committee and Risk Management Committee.

**Consultation**

20. EFAG and Development & Alumni.

**Further information**

21. <u>Author</u>	<u>Presenter</u>
Jamie Tait	Sarah Smith
Projects Officer & Policy Advisor to the University Secretary	University Secretary

**Freedom of Information**

22. This paper is closed but will be published on the Ethical Fundraising Advisory Group website after approval at the University Executive, Audit & Risk Committee and Risk Management Committee.



UNIVERSITY EXECUTIVE

11 June 2018

Implementing the Prevent Duty

**Description of paper**

1. This short report updates University Executive on the implementation of the Prevent duty at the University from July 2017 to June 2018.

**Action requested/Recommendation**

2. The Executive is asked to note that the University has implemented the Prevent duty in line with the guidance published jointly by the Home Office and the Scottish Government:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/445921/Prevent\\_Duty\\_Guidance\\_For\\_Higher\\_Education\\_Scotland\\_-\\_Interactive.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445921/Prevent_Duty_Guidance_For_Higher_Education_Scotland_-_Interactive.pdf)

3. In line with discussions at Court in September 2015, the University has continued to approach implementation of the Prevent duty in a proportionate manner.

**Background and context**

4. The Counter-Terrorism and Security Act (2015) imposes a duty on Universities and other public bodies to have due regard to need to prevent people being drawn into terrorism. This duty is commonly referred to as “the Prevent duty”.

5. Under the guidance published for Scottish Universities, “Monitoring and Enforcement” is understood to be the responsibility of each institution’s governing body. This paper will be presented to Court in June.

**Discussion**

6. *Key statistics*

Since June 2017:

- Policy on speakers and events:
  - The University has been notified of 12 higher risk events since June 2017 (6 from Students’ Association societies)
    - 7 were authorised without further consideration
    - 2 were considered by the University Compliance Group and approved with amendments/additional requirements
    - 2 were considered by the University Secretary’s office and approved with amendments/additional requirements
    - 1 did not proceed
    - 0 were refused permission
- Procedures for referral of vulnerable students: 1 student was referred to the University Compliance Group who decided that the case should be dealt with under the Code of Student Conduct
- Revised research ethics procedures: 0 cases of staff requesting access to secure storage have been logged

**Resource implications**

7. There are no resource implications associated with this paper.

**Risk Management**

8. The University has a low appetite for risk in areas of compliance.

**Equality & Diversity**

9. The review of actions taken by the University with regard to Prevent obligations should include an assessment of actions with regard to protected characteristics.

**Next steps & Communication**

10. A paper will be presented to Court in June.

**Further information**

11. Author & Presenter

Gavin Douglas

Deputy Secretary Student Experience

June 2018

**Freedom of Information**

12. This is an open paper.



UNIVERSITY EXECUTIVE

11 June 2018

**Interim Web Accessibility Policy**

**Description of paper**

1. This paper sets out the case for the approval of the proposed Interim Web Accessibility Policy to replace the current policy.

**Action requested/Recommendation**

2. University Executive is asked to approve the interim policy.

*Paragraphs 3 - 6 have been removed as exempt from release due to FOI.*

**Resource implications**

7. There are no direct resource implications associated with the Interim Web Accessibility Policy.

**Risk Management**

8. The current wording of the Web Accessibility Policy is judged to put the University at the risk of being challenged as the policy, in its current format, is beyond our capacity to implement. The Interim policy is intended to provide breathing space to enable a rewrite of the policy for approval through the normal governance route.

**Equality & Diversity**

9. An EqlA exist for the current policy. This will be reviewed in parallel with the review of the policy.

**Next steps & Communication**

10. The Chief Information Officer & Librarian to the University will have oversight of the policy review. The draft revised policy will be presented to IT Committee in the Autumn and move through the normal governance process.

**Consultation**

11. The interim policy was drafted following discussions at IT Committee. It has been endorsed by the CIO & Librarian to the University.

**Further information**

12. Author

Jo Craiglee  
Information Services  
1 June 2018

Presenter

Gavin McLachlan  
CIO & Librarian to the University

**Freedom of Information**

13. This paper is closed





UNIVERSITY EXECUTIVE

11 June 2018

Lecture Recording Policy

**Description of paper**

1. This paper includes the Lecture Recording Policy approved by the Senate Learning and Teaching Committee on 23 May 2018 for introduction in 2018/2019.
2. The paper also outlines the findings of the policy consultation. Fuller summaries of the policy consultation responses are contained within three appendices (1) direct responses (2) responses via UCU Edinburgh (3) responses via Edinburgh University Students' Association (EUSA)

**Action requested/Recommendation**

3. University Executive is invited to note the policy and that the Combined Joint Consultative and Negotiative Committee will be asked to endorse the policy on 12 June 2018.

**Background and context**

4. The new, centrally provided lecture recording service launched in September 2017. Existing School-level lecture recording policies have been maintained in the meantime, while a new University policy has been developed and consulted on during 2017/2018.
5. The new policy is intended to come into force for the 2018/2019 session, coinciding with an integration of the lecture recording service with the timetabling system and an expansion of the service provision to cover nearly 300 rooms.

**Discussion**

*Consultation and responses*

6. Consultation on a draft lecture recording policy took place between 11 January and 19 February 2018, in the context of UCU industrial action over pensions. 80 responses were received directly during the consultation, representing the views of 27 Schools, committees or organisations and around 150 individuals (almost all of whom were staff). UCU and EUSA also sought and received responses from their constituencies.

- Appendix 1 to this paper is a detailed summary of direct responses to the consultation.
- A summary of the responses received by UCU is included as Appendix 2.
- Appendix 3 is EUSA's response following feedback from student representatives.

7. A thematic analysis of the responses received directly (that is, not via UCU or EUSA) found that the following themes were most common:

Most common themes within <i>representative</i> responses (/26)	Most common themes within <i>individual</i> responses (/150)
<ul style="list-style-type: none"> <li>• <b>Editing</b> resource (16 occurrences)</li> <li>• <b>Live lecture experience</b> / interaction within the lecture (13)</li> <li>• <b>Attendance</b> (10)</li> <li>• <b>Reviewing</b> resource (10)</li> <li>• <b>Unauthorised sharing</b> of recordings (9)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Live lecture experience</b> / interaction within the lecture (34 occurrences)</li> <li>• <b>Unauthorised sharing</b> of recordings (33)</li> <li>• <b>Editing</b> resource (29)</li> <li>• <b>Intellectual property</b> ownership (26)</li> <li>• <b>Attendance</b> (26)</li> <li>• <b>Support</b> for exposed academics / policing of students and staff (26)</li> </ul>

8. A number of Schools noted the potential resource that may be required in order to provide accurate subtitles or transcriptions for disabled students.

9. The consultation specifically sought views on the balance of opt out between individual lecturer and Head of School and this prompted a broad range of views as per the table below. (There is a further table on this subject in the response from UCU. See Appendix 2.)

	College and School responses (/13)	Other representative responses (/13)	Individual responses (/150)
<b>Retain opt in</b>	1	1	17
<b>Opt out with HoS “informed”</b>	4	3	11
<b>Opt out intermediate position / no strong view</b>	5	2	4
<b>Opt out “agreed” with HoS</b>	1	5	6

*Table : Differing views on opt out*

*Recommended changes to the consultation draft*

10. The lecture recording policy task group considered the responses fully, and the policy below includes a number of major and minor changes. The most significant changes are:

- Giving responsibility for deciding whether not to record a lecture to the lecturer (section 2.2)
- Re-structuring of the “Uses” section of the policy to differentiate more clearly between the uses that the policy permits by default (section 1.3) from the uses that require further agreement (section 1.4)
- Clarification that review and editing of the recording is not expected to be routine (section 2.6)
- The provision of advice to students on how to get the most out of both live lectures and lecture recordings (section 1.7)

11. The policy approved by Senate Learning and Teaching Committee on 23 May 2018 is below. The Combined Joint Consultative and Negotiative Committee will be

asked to endorse the policy on 12 June 2018.

12. A standard agreement for external visiting lecturers using the University's lecture recording service will form an instrument of the policy.

*Communication of the new policy*

13. It is proposed to communicate the final agreed policy through Heads of School and the Lecture Recording Programme's existing engagement channels with Schools, staff and students, in time for the 2018/2019 session.

**Resource implications**

14. The policy places the following responsibilities on Schools or academic staff: (1) providing subtitles or transcripts for disabled students; (2) review and editing of recordings where necessary; (3) the process for opting out of recording.

**Risk Management**

15. The proposed policy seeks to improve significantly the consistency of student experience while addressing risks associated with staff concerns around recording their lectures.

**Equality & Diversity**

16. An Equality Impact Assessment has been completed. There are likely to be significant benefits for a number of groups, including disabled students; and a number of areas to continue to monitor as lecture recording is scaled.

**Next steps/implications**

17. CJCNC will be asked to endorse the policy prior to its implementation for the start of the 2018/2019 academic year.

**Consultation**

18. Senate Learning and Teaching Committee has approved the policy and the paper has also been noted by Knowledge Strategy Committee.

**Further information**

19. Author

Neil McCormick  
Educational Technology Policy Officer  
Learning, Teaching and Web Services  
29 May 2018

Presenter

Professor Charlie Jeffery  
Senior Vice Principal

**Freedom of Information**

20. The paper is open.



# Lecture Recording Policy

## Purpose of Policy

This policy has been developed to ensure that:

- Provision of recorded lectures is comprehensive, consistent and efficient and enhances the student experience.
- Students, teachers, visiting presenters and academic managers are clear on their rights and responsibilities when lectures are recorded.

## Overview

The University of Edinburgh recognises the benefits to students of the ability to revisit all or part of a lecture. It recognises further the benefits for particular groups of students, for example those with certain learning difficulties or those whose first language is not English. The policy addresses the need to provide clarity on the rights of those involved in each recording and the conditions under which lectures should and should not be recorded, released to students or released publicly.

## Scope: Mandatory Policy

The intention of this policy is to ensure a consistent student experience and to help manage the potential risks posed by challenges and complexities in the arrangements for recording lectures. It applies University-wide to all staff, students and visiting lecturers involved in recording lectures and other teaching sessions.

## Contact Officer

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## Document control

Dates	Approved: 23.05.18	Starts: 01.08.18	Equality impact assessment: 24.05.18	Amendments:	Next Review: 2020/2021
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## Approving authority

Senate Learning and Teaching Committee

## Consultation undertaken

Members of the Lecture Recording Policy Task Group, including representatives from Colleges, the Student Disability Service, EUSA and UCU. Written consultation with Schools, Colleges and other stakeholders. Combined Joint Consultative and Negotiative Committee.

## Section responsible for policy maintenance & review

Information Services – Learning, Teaching and Web Services

## Related policies, procedures, guidelines & regulations

[Accessible and Inclusive Learning Policy](#); [Disciplinary policy](#); [Code of Student Conduct](#); [Learning Analytics Principles and Purposes](#); [Open Educational Resources Policy](#); [Web Accessibility Policy](#); [Timetabling Policy](#); [IP Exploitation](#); [Student IPR](#)

## UK Quality Code

QAA UK Quality Code for Higher Education Part B: Assuring and Enhancing Academic Quality, Chapter B3: Learning and Teaching; and Chapter B4: Enabling Student Development and Achievement

## Policies superseded by this policy

Local School lecture recording policies

## Alternative format

If you require this document in an alternative format please email [Academic.Services@ed.ac.uk](mailto:Academic.Services@ed.ac.uk) or telephone 0131 651 4490.

## Keywords

Lecture capture; lecture recording; copyright; intellectual property rights; author's moral rights; performer's rights; takedown; data protection;

The University seeks to enhance the student experience by providing recordings of lectures for students to revisit and review as part of their learning for each Course within their Programme of Study. This aligns with the Learning and Teaching Strategy that aims to ensure all students from all backgrounds achieve their potential by provision of a supportive environment and rich learning culture. It further aligns with the University's strategic objective of Leadership in Learning and its Digital Transformation development theme. The lecture recording service enhances and extends student provision in general, and for students with specific disabilities and conditions in particular, and is in addition to the right granted to students within the Accessible and Inclusive Learning policy to record lecture audio (and, with permission, video) for their own personal learning.

### Policy aim

This policy aims to facilitate the practical and responsible recording of lectures and to provide clarity on the rights and responsibilities of the University, its staff and its students, external visiting lecturers and any other participants in recorded teaching.

### Essential purpose

The **essential purpose** referred to within this policy is **to allow the students undertaking a taught Course to review recordings of lectures given as part of that Course**. The policy also permits a lecturer to re-use recordings of their lectures within educational resources or their own staff development. Other relevant and appropriate purposes may be considered only if all the participants in the recording agree to this.

The policy intends the lecture room to remain a safe place for the exposition and discussion of potentially controversial ideas between the lecturers and students on a Course. The University will take the unauthorised sharing of lecture recordings by students or staff very seriously.

### Scope of the policy

The policy covers timetabled lectures delivered in rooms in which the University has installed the centrally supported lecture recording service. Furthermore, it facilitates (but does not require) the use of the lecture recording service for other purposes, including the recording of seminars, tutorials or public lectures; and using the service to pre-record lectures for use within a "flipped classroom" approach or for online distance learning. Paragraphs 2, 2.1, 2.2 and 2.3 do not apply to these optional purposes.

### Notes

The policy assumes the definitions of lecture, seminar and tutorial are well understood, and does not intend to limit what teaching is recorded; but recognises the potential for practical difficulties with retaining consent where many people are recorded within the more interactive formats of teaching.

In this policy, a "participant" refers to as someone with intellectual property in any aspect of the recording, including the University, the lecturer and any other contributor to a discussion within the lecture.

Recordings are made by an automated system, and are neither intended to match the performance standards of professional actors nor the production standards of professional production teams.

### Use of recordings

- 1 The University will provide recordings of lectures to students on taught Courses, where possible, to aid their learning through review and reflection. These recordings are not, other than in very exceptional circumstances, a replacement for lecture attendance or other contact hours.**

- 1.1 The [Lecture Recording Privacy Statement](#) details how the University will use and share personal data in relation to the lecture recording service.
- 1.2 Recording of sensitive personal data as defined in current legislation<sup>1</sup> shall not take place without the explicit written consent of the person(s) to whom the data relate.
- 1.3 The following uses of recordings are permitted under this policy:
  - i. The University will provide lecture recordings, where available, to students on the instance of the Course to which the lecture relates. By default, it will also provide access to the staff associated with the Course instance in the Virtual Learning Environment. The lecturer may restrict staff access to a recording further if required.
  - ii. A student may only use the recording for the purposes of their own personal study. The student must destroy any copy of the recording they hold once this purpose has been met. This will always be before the student leaves the University and shall normally be on completion of the final assessment to which the Course relates.
  - iii. A lecturer may publish a recording of their lecture as an open educational resource, with appropriate modifications and safeguards, including an appropriate attribution, licence and having obtained any permissions required from other participants or third parties whose intellectual property resides within the recording. Guidance on this is contained within the [Open Educational Resources Policy](#) and [Website Accessibility Policy](#).
  - iv. A lecturer may use recordings of their own lectures within their own performance review; to facilitate peer observation of their teaching; or if they are investigated under the [Disciplinary Policy](#).
  - v. Learning Analytics from the lecture recording service may be used in accordance with the [Learning Analytics Principles and Purposes](#).
  - vi. A School may use a recording held within the lecture recording service in exceptional situations to provide continuity, as specified within business continuity plans relevant to the School. Examples of exceptional situations might include significant disruption from a pandemic or other natural event or the unforeseen loss of part of the University estate. The School will, where reasonably possible, inform the lecturer beforehand that their lecture is to be used and for what purpose, and the lecturer will retain the right not to permit this use.
  - vii. The Service Owner may audit recordings as per paragraph **Error! Reference source not found.** below.
- 1.4 Any other use of a recording will require further, separate agreement between those with rights in the recording. In particular:
  - i. The recordings and any associated metadata will not be used by the University for staff performance review or disciplinary processes without the lecturer's permission, except in the case of alleged gross misconduct.
  - ii. Lecture recordings may not be used as a replacement for intended staff presence in the lecture room (for example, live streaming lectures to overspill rooms) unless the lecturer permits this.
  - iii. Recordings will not be used to cover University staff exercising their legal right to take industrial action without the lecturer's consent.
  - iv. Staff and students may otherwise only use, modify, publish or share restricted-access lecture recordings or excerpts with the permission of the School that owns the Course and of the lecturer and of any other participants in the

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<sup>1</sup> [Article 9 Paragraph 1 of the General Data Protection Regulation](#): "...personal data revealing racial or ethnic origin, political opinions, religious or philosophical beliefs, or trade union membership, and the processing of genetic data, biometric data for the purpose of uniquely identifying a natural person, data concerning health or data concerning a natural person's sex life or sexual orientation..."

recording. It shall be a disciplinary offence to use or distribute recordings without permission.

- 1.5 Recordings do not constitute a replacement for student attendance at lectures unless the University has specified this as a reasonable adjustment for a disabled student.
- 1.6 Schools and students must not use lecture recordings as a routine mechanism for managing clashes of timetabled lectures.
- 1.7 The University and Schools will provide guidance to students on how to benefit from lectures and how to use lecture recordings appropriately.

### Level of provision

**2 The University will aim to provide a recording of every lecture, as far as is possible and appropriate, in support of a consistent and inclusive student experience. Lecturers will record their lectures using the lecture recording service unless there is a good reason not to.**

- 2.1 Schools will schedule automated recording of lectures using the central timetabling system, unless the Head of School<sup>2</sup> responsible for the Course authorises a lecturer to initiate their own recordings.
- 2.2 The University recognises there are situations where all or part of a lecture should not be recorded. Among these are that:
  - i. there are teaching approaches that may not be suitable for recording, such as those with a high degree of interactivity
  - ii. a lecturer should not change their teaching approach to facilitate lecture recording where this change would be detrimental to the student experience
  - iii. there may be legal, ethical or privacy reasons for not recording part or all of a lecture
  - iv. a lecturer may have personal reasons that make it inappropriate for their lecture(s) to be recorded
  - v. the lecture recording service is not available in the lecture roomThe lecturer is responsible for deciding whether the interests in not recording part or all of a lecture outweigh the interests in recording. They will inform the relevant School of any full lectures they decide not to record, along with the reason. They should consider whether the routine options either to pause recording during the lecture, or to turn off video recording (where the room has video facility), would otherwise allow recording to proceed.
- 2.3 College and Senate Learning and Teaching Committees will monitor this process to promote consistency across the University.
- 2.4 Schools will notify students which of their lectures will be recorded or not by the start of the Course, including reasons for not recording, through the relevant Course or Programme Handbook. If a recording is paused or edited, the lecturer should consider providing an explanation for the pause or edit where it is reasonable and proportionate to do so.
- 2.5 In accordance with the [Accessible and Inclusive Learning policy](#), Schools will notify students by email if a lecture recording arrangement changes during the Course. This includes where the change prevents recording and where the change facilitates a recording that would not otherwise have taken place. When a lecture is changed or

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<sup>2</sup> Heads of School may delegate this responsibility within the School.

cancelled, Schools will ensure the associated scheduled recording is also changed or cancelled promptly.

- 2.6 The lecture recording service by default will automatically release scheduled recordings to the students on the Course 24 hours after completion of recording and post-processing of the associated data. Lecturers may alternatively opt for immediate release or manual release of their scheduled recordings. The 24-hour delay gives the lecturer (or Course Organiser, where the lecture is given by a student or a visiting lecturer) scope to postpone the scheduled release of a recording where they believe there is cause to do so, for example where it may be necessary or desirable to review or edit a recording prior to release. Lecturers who initiate their own recordings will arrange manual release of these recordings.
- 2.7 Students will access lecture recordings “on demand” via the service. Exceptions:
- i. The School will provide a download of a recording to a disabled student on the Course where this has been specified as a reasonable adjustment.
  - ii. The lecturer may at their discretion provide download access to all students on the Course where, in the lecturer’s opinion, this is appropriate.

## Accessibility

### **3 Recordings must not breach equality legislation and must comply with the [Accessible and Inclusive Learning policy](#).**

- 3.1 The Equality Act 2010 places an anticipatory responsibility on the University in making reasonable adjustments to its services. Lecture recordings in themselves represent provision of teaching resources in an alternative format. Schools will ensure disabled students are not disadvantaged by providing transcripts or subtitles on recordings where required.
- 3.2 The [Accessible and Inclusive Learning policy](#) covers the rights and responsibilities of students who wish to make their own recordings of a lecture for their own personal learning.
- 3.3 The University will provide clear, accessible guidance on how to access recordings made with the lecture recording service.

## Participant and University rights

### **4 By using the lecture recording service, staff, students, visiting lecturers and other participants consent to the University recording them and agree to give the University the licences necessary to use the recordings for the essential purpose in this policy.**

- 4.1 The policies on [exploitation of intellectual property](#) and [student intellectual property rights](#) cover the status of intellectual property generated by the University’s employees and students. Where the University and an employee have agreed that the employee retains some or all of the intellectual property rights to material used within a lecture recording, the employee agrees to grant the University a non-exclusive licence to use the material for the essential purpose in this policy.
- 4.2 Performer rights reside with the lecturer and other lecture participants, who agree to the recording of the lecture and agree that the University may use their performance for the essential purpose in this policy. Lecturers wishing to assert their right to be identified as author or performer should do so as part of the recording, for example on an introductory slide.



- 4.3 Where a student (either as the lecturer or as a participant) holds some or all of the intellectual property rights to material used within a lecture recording, the student agrees to grant the University a non-exclusive licence to use the material for the essential purpose in this policy. The student also agrees to grant the University a non-exclusive license for re-use of the material by the lecturer within an educational resource or the lecturer's own staff development, and for re-use of the material by the School within the scope of a business continuity plan.
- 4.4 A student is required to be recorded if the recording is a mandatory part of their assessment. A student otherwise making a contribution recorded by the lecture recording service may contact the lecturer to arrange for deletion of their contribution. Students wishing not to be recorded should, where possible, sit in areas away from microphones and outwith the field of view of any camera installed.
- 4.5 External visiting lecturers (or their employer as appropriate) retain copyright on work and any other intellectual property rights they generate and, by accepting the terms of the external visiting lecturer agreement on lecture recording, agree to grant the University a non-exclusive licence to use the recording for the essential purpose in this policy.
- 4.6 Lecture room signage will indicate if a venue is equipped with lecture recording equipment. A recording light will indicate recording status.

### Third party copyright

<b>5 Staff, students and visiting lecturers presenting material in a recording must ensure that they do not infringe third-party copyright.</b>
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- 5.1 Use of third party materials may fall within the "fair dealing" exception if used for the sole purpose of illustration for instruction.
- 5.2 Notwithstanding **Error! Reference source not found.** above, where a lecture includes broadcast or other material under a licence that does not clearly permit copying that material further, the lecturer shall pause the lecture recording while using the licenced material and should subsequently and where appropriate provide students with separate access to the licenced material (for example, linking it from the virtual learning environment).
- 5.3 The University will provide sources of advice to lecturers with queries over potential copyright infringement, including the Library Copyright Service and the lecture recording service support webpages.
- 5.4 Lecturers must provide visible citations on slides and for recordings used within recorded lectures.
- 5.5 Any party who believes their rights have been infringed in or by a recording may contact the lecture recording Service Owner who will normally take down the recording pending investigation of the alleged infringement.

### Security and retention of recordings

<b>6 The University or its software partners will securely host media captured and delivered by the lecture recording service. The lecture recording service will retain a recording for two years from the date of recording before deleting it.</b>
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- 6.1 Data are hosted within the European Union<sup>3</sup> and the data protection and data security arrangements must satisfy the University's Data Protection Officer and Chief Information Security Officer respectively.
- 6.2 If a lecturer wishes to retain a recording for longer than the normal two-year period then they should transfer the recording to the University's Media Asset Management Platform. The University cannot be held responsible for any recordings deleted after this two-year period.
- 6.3 If a licence for material used within a recording constrains the University to retain that material for less than a two-year period then the lecturer must arrange for deletion of the material at the end of the time specified by the licence. Lecturers may otherwise delete their recordings sooner than the normal two-year period with the permission of the Head of School<sup>4</sup> responsible for the Course.
- 6.4 In the event of a lecturer's employment with the University ending, the University will retain their recordings for the normal two-year retention period unless the lecturer arranges to delete or transfer them per paragraphs **Error! Reference source not found.** or **Error! Reference source not found.** above. A former employee wishing to use a lecture recording should contact the School responsible for the Course to request its transfer to the University's Media Asset Management Platform.
- 6.5 The University reserves the right to audit recordings in the context of service operation and management and the Service Owner may delete an inappropriate recording sooner than the normal two-year period.
- 6.6 When a lecturer or the Service Owner deletes a recording before the end of the instance of the Course to which the lecture relates (including re-sit examination diet(s) where applicable), they should notify the students on the Course and the other participants in the recording.

**23 May 2018**



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<sup>3</sup> The University's software partner may operate a worldwide 24-hour support model, in which case the DPO and CISO must be satisfied with the data protection and security arrangements that will allow software partner support staff based outwith the EU to access the data required to provide this support.

<sup>4</sup> Heads of School may delegate this responsibility within the School.

The University of Edinburgh  
Senate Learning and Teaching Committee  
Lecture Recording Policy Task Group

### Policy Consultation Responses

The task group consulted on a draft lecture recording policy between 11 January and 19 February 2018. The following submitted synoptic representative responses:

- **University Committees (2)** – Knowledge Strategy Committee, Library Committee
- **Colleges (1) and College Committees (1)** – College of Arts, Humanities and Social Science; CAHSS Library and IS Committee
- **Schools (13)** – Biological Sciences; Centre for Open Learning; Economics; Education; Edinburgh College of Art; GeoSciences; History, Classics and Archaeology; Law; Mathematics; Medicine (including Biomedical Sciences); Philosophy, Psychology and Language Sciences; Physics and Astronomy; and Social and Political Science
  - **Departments within Schools (7)** - Reid School of Music; Digital Education; Human Geography; MBChB; Oral Health Sciences; Usher Institute; Sociology.
- **Other departments (1)** – Student Disability Service
- **Edinburgh University Students' Association (1)**, following responses from School student representatives.
- **University and College Union Edinburgh (1)**, following 81 individual or group responses to UCU and including UCU's analysis of these responses. UCU undertook this analysis in parallel with the analysis below and it is presented separately.

A number of representative responses from subject areas or other units within some Schools are also included, immediately after the relevant School-level response.

The following Schools and departments submitted concatenated individual responses and we have concatenated these in turn:

- **Schools (5)** – Business; Chemistry; Divinity; Economics; Literatures, Languages and Cultures
- **Others (1)** – Institute for Academic Development

These constitute **103 individual comments**. In addition, **47 individual responses** were submitted directly, including two from students, listed below in order of submission.

The final policy and related assessments should also reflect consideration of comments (1) from the Director of Academic Services regarding the Equality Impact Assessment (2) from the task group convenor regarding penalties for sharing files and (3) from Legal Services regarding the definition of gross misconduct.

### Consultation themes and analysis

The following is a thematic analysis of the responses to the consultation submitted to the policy officer, based on the frequency in which respondents brought up each theme. It suggests a set of themes, grouped within ten broader areas, and accompanied by a selection of quotes from the responses. A further paper proposed possible changes to the policy and associated documents, as suggested by the responses, for discussion by the task group.

## Most common themes

Most common themes within <i>representative</i> responses (/26)	Most common themes within <i>individual</i> responses (/150)
<ul style="list-style-type: none"> <li>• <b>Editing</b> resource (16 occurrences)</li> <li>• <b>Live lecture experience</b> / interaction within the lecture (13)</li> <li>• <b>Attendance</b> (10)</li> <li>• <b>Reviewing</b> resource (10)</li> <li>• <b>Unauthorised sharing</b> of recordings (9)</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Live lecture experience</b> / interaction within the lecture (34 occurrences)</li> <li>• <b>Unauthorised sharing</b> of recordings (33)</li> <li>• <b>Editing</b> resource (29)</li> <li>• <b>Intellectual property</b> ownership (26)</li> <li>• <b>Attendance</b> (26)</li> <li>• <b>Support</b> for exposed academics / policing of students and staff (26)</li> </ul>

## Detailed themes

*Unattributed quotes below are from individual respondents.*

### A. Copyright & IPR

There were concerns in both some representative and some individual responses around the understanding of copyright issues and resource to understand and address this.

*“There is still misunderstanding around copyright and it would be helpful for Information Services to provide easy and quick access to copyright support.”*

*– Library Committee*

*“Copyright violations and other misuses of the material - there is no information on how the university would address this both for current and former students such that the recorded lecturer is protected.”*

The policy deliberately makes few definitive statements on intellectual property other than that a number of parties including the University and the lecturer each own some of the rights. The definition of a “participant” in a lecture was not clear to everyone. A number suggested that there should be a technical solution for assertion of performer rights.

*“Staff worry about the loss ownership of their lectures...”*

*– School of History, Classics and Archaeology*

*“I think the copyright of the recording should be held by the Lecturer and an exclusive license should be granted to University for a maximum of a two-year period from the recording.”*

*“It would be sensible instead to create a generic statement asserting the lecturer’s rights as author and performer of the lecture which would automatically be published with the recording, unless the lecturer requested otherwise.” – Sociology*

<b>Copyright &amp; IPR</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Copyright clarity and resource	6	7
Intellectual property ownership	6	26

*Table 1 – Copyright and Intellectual Property Rights: number of occurrences in responses*

## B. Pedagogy and student engagement

One of the most common areas for comment was the weighing up of the potential costs and benefits for learners. Some commented on gaps in the evidence that recorded lectures benefit students overall, and on whether students appreciated the potential negative impacts of recorded lectures being available. A great many respondents, including most Schools, believed that change to the live lecture experience, particularly a more limited interaction between lecturer and students, and a risk of more passive learning, was likely. Respondents also asserted several other potential pitfalls for students, particularly those less engaged with their studies; that attendance would drop (or indeed had dropped in their experience); and that students would not gain the same level of skills in note-taking when recordings were available.

*“Lecture recording seems to have been introduced without considering how students are meant to use lecture recordings for effective learning. ...sometimes when we simply re-read we think we have a better grasp of the content than we really do simply because it is familiar (the fluency illusion).”*

*“There are concerns that lecture recording can undermine learning by inducing more passive and less active learning...” – School of Economics*

*“Several respondents expressed concerns about students not attending lectures and simply relying on the recorded versions, with a consequently diminished shared experience and engagement with the lecturer and fellow students.”  
– Edinburgh Medical School*

*“The roll out of lecture recording necessitates additional measures to bring home to students the educational benefits of attending a live lecture, particularly during induction programmes.” – School of Law*

*“Students that I have spoken to or heard opinions from have all had (a) a positive response to the Lecture Capture where available, (b) an acknowledgement that it is not a replacement for attendance at lectures. ... Without [research] data it is difficult to understand what effects lecture capture may be having on the whole student cohort” – School of Mathematics*

*“Students may re-watch lectures several times hoping to glean some deeper insight which should really be gleaned through further reading.”*

*“...the ability to have access to recordings when students...have had to miss lectures for unavoidable or emergency situations is invaluable and hugely alleviates the additional stress caused by falling behind with work.”  
– Edinburgh University Students’ Association*

*“Some students won’t interact in a class if they are going to be recorded...”*

*“Will [the University] make clear that lectures are safe spaces, in which many ideas can be entertained and discussed, without legal repercussions?”*

*“I do not think giving students access to recorded lectures will improve learning. ... The only reason I can really see for recording lectures would be to increase our distance learning offerings.”*

*“Cons: ...*

- Hurting the dignity of the transience of the spoken word.”*

*“However, an experiment of recording some lectures on one of my undergrad courses was a complete disaster. Attendance was abysmally low which in turn impacted class participation and engagement (not to mention the demotivating impact on the lecturer).”*

Some raised concerns that students would be more inclined to focus their answers within assessment on lecture recall rather than deeper understanding. The potential for student appeal was noted based either on imprecise material recorded during a lecture or on the basis that material should not be examined because a lecture recording was not available.

*“As lectures are unscripted, and therefore can be imprecise, will everything that is recorded be taken as: “the truth” for the exam?”*

Several respondents sought more clarity or guidance on dealing with seminars, and with classes that perhaps fall in a grey area between lectures and seminars.

*“It is noted that most of the policy is also relevant to ‘seminars, tutorials or public lectures’, but it is not clear what that means - does a seminar need one or more students present to fall under this policy?” – Usher Institute*

*“Concern was also expressed regarding the use of ‘lecture’ recording in Senior Honours core and elective courses. The majority of these classes are small (most have 25 or less students) and all aim to be interactive and discursive.” – Deanery of Biomedical Sciences*

*“There was some doubt about the utility of lecture recording for smaller groups (e.g. less than 30) where the teaching may be a mixture of lecture and seminar i.e. discursive and interactive.” – Usher Institute*

There were a few respondents who suggested investing resource in other technologies.

*“It is felt that there are other methods and technologies that can better enhance learning, such as vlogs, discussion boards, feedback technologies and that resources might be better devoted to these projects than lecture recording.” – School of Economics*

<b><i>Pedagogy and student engagement</i></b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Pedagogy	7	13
Live lecture experience / interaction within the lecture	13	34
Evidence/evaluation of benefits	7	6
Attendance	10	26
Pitfalls for students	6	15
Improvement/development of lecture quality	4	3
Grey area between lectures and seminars	4	11
Utility for small groups	1	-
Assessment implications	1	9

<b><i>Pedagogy and student engagement</i></b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Other technologies as better use of the resource	2	1

*Table 2 – Pedagogy and student engagement: number of occurrences in responses*

### C. Resource

Many Schools and individual staff were concerned over the potential time required to fully review and edit recordings; to add subtitles or produce transcripts; and to record authorisations for opt-outs.

*“The proposed policy places the responsibility on a School and its staff to enact specific aspects of service provision, which are not costed, and these are a cause for concern as they will place additional requirements on School resources diverting them from areas which Staff have identified as areas most likely to enhance the student experience.” – Moray House School of Education*

*“These tasks (editing, publishing, subtitling, and transcribing recordings) do not fall within the standard duties for university lecturers, nor are they part of the present remit of school-level technical staff.” – School of Philosophy, Psychology and Language Sciences*

*“An important consideration is the lead-in time required to decide whether lectures will be recorded or not, which is very likely to be longer if permission has to be sought to opt out.” – Sociology*

*“Staff concerns appear to centre on the lead-in time required to decide whether lectures will be recorded or not, which is very likely to be longer if permission has to be sought to opt out.” – Moray House School of Education*

<b><i>Resource</i></b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Editing resource	16	29
Reviewing resource	10	15
Review visiting lecturers	1	1
Administration of opt out	5	5
Subtitle/transcript resource	9	8
Division of labour	5	8

*Table 3 – Resource: number of occurrences in responses*

### D. Level of provision

The consultation specifically sought views on the balance of opt out between individual lecturer and Head of School and this prompted a broad range of views:

	<b>School responses (/12)</b>	<b>Other representative responses (/14)</b>	<b>Individual responses (/150)</b>
<b>Retain opt in</b>	<b>1</b>	<b>1</b>	<b>17</b>
<b>Opt out with HoS informed</b>	<b>3</b>	<b>4</b>	<b>11</b>
<b>Opt out intermediate position or no strong view</b>	<b>5</b>	<b>2</b>	<b>4</b>
<b>Opt out agreed with HoS</b>	<b>1</b>	<b>5</b>	<b>6</b>

*Table 4 – Differing views on opt out*

The remaining four representative responses (from Edinburgh College of Art; the School of History, Classics and Archaeology; the Reid School of Music; and the School of Economics who suggested, in common with a few others, that the move to opt out was premature) did not give an explicit view.

*“...the proposed policy and large-scale implementation can place the University as a leader in the field.” – Knowledge Strategy Committee*

*“There are concerns that the movement to a fully opt-out policy is driven by student demand and technology rather than pedagogy.” – School of Economics*

*“Our consultation responses indicate that there is a strong view within the School that a move towards an opt-out in 2018/2019 is premature.”  
– Moray House School of Education*

*“I expect that the Law School would be able to fall in with whichever approach is preferred, in that this did not seem to excite great emotion either way.”  
– School of Law*

*“Rather than Head of School the opt-out should be discussed at a teaching focussed committee so that subjects and courses that affect different cohorts of students can be considered.” – School of Geosciences*

*“The second part of [clause 2.2] gives no direction about what should happen if the lecturer and the Head of School/their nominee disagree about whether the lecture/part of lecture should be recorded.”*

*“This draft policy ... deliberately uses misleading terminology like ‘agree’ or ‘inform’, where it actually means ‘Lecturers will be forced to have their lectures recorded against their will.’”*

*“I personally would relinquish my position here, albeit with regret, if it were to become the case that I could not continue to teach without submitting to being recorded on a daily basis.”*

Several Schools and individual staff respondents feared that the policy might have an impact on their local management of student expectations. Others referred suggested that the policy place greater importance on a dialogue with their students around reasons for not recording.

*“However, it is also important that the University not create inappropriate or unrealistic expectations concerning lecture recording. If the University establishes or reinforces unrealistic student expectations about which lectures will be recorded, this undermines the power of each subject area to manage student expectations in the manner most suited to their respective topics and teaching styles.” – School of Philosophy, Psychology and Language Sciences*

*“Encouraging dialogue between staff and students as to the pedagogic reasons why particular material is not appropriate is important and should not be dismissed.” – School of Geosciences*

A few Schools commented on the criteria for not recording, and the importance of dialogue with students about why lecturers might seek not to record a lecture was recognised. A number of individuals suggested there could be more clarity on the provision of pre-recorded lectures prior to a very interactive session.



*“The guidelines for what a ‘good reason’ for opting out are very vague at the moment. This may be deliberate, but what a staff member sees as a good reason may be different to what a student sees as a good reason. In good cases, there will then be a discussion about the pros and cons and a good conclusion will be reached. But that won’t happen all the time. And then what will be the basis for the decision?” – School of Mathematics*

Differing views on the default restriction of the recording to those on the relevant instance of the Course.

*“[Clause 1.3] should be amended to reflect that this provision applies as default only to the particular year in which the lecture was recorded, and not to other years in which that course is offered.” – School of Philosophy, Psychology and Language Sciences*

*“Even without seeking a fully open educational resource, it’s extremely helpful for teaching and learning to have videos of this course available to staff and students not currently enrolled on the course.”*

<b>Level of provision</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Managing student expectations	4	6
Clarity on criteria for not recording	3	-
Pre-recording lectures as an alternative	1	5
Academic freedom	-	6
Asymmetric opt out (staff vs students)	3	4
School/lecturer control on timing of release	5	2
Dialogue with students around not recording	5	2
Restrict access to those on instance of the Course	2	2

*Table 5 – Level of provision: number of occurrences in responses*

## E. Unauthorised release

Some were reassured but many more were concerned around the ease with which staff or students might share unauthorised copies of lecture recordings on public fora. It was feared that staff may restrict their discussion of unpublished research or sensitive academic subjects within lectures as a result. Many asked for clarity both on the support the University would provide for exposed academics, and on the penalties for those who share lectures without authorisation.

*“I believe the policy is quite clear and sufficient safeguards are included...”*

*“The policy needs to make clear that students **and staff** (other than the lecturer) may not distribute **any part** of the material in any form, including editing any audio or visual clips and distributing them separately or with any other material.”*  
– Sociology

*“We investigated briefly if it was possible to download the captured lectures and therefore then put them on YouTube: within 5 minutes we knew how to do it (in Chrome). FYI here is how - it is simple...” – School of Mathematics*

*“The [Deanery’s Learning and Teaching Committee] has little faith that policing of retention and/or misuse of downloaded material will, or can, be effective.”*  
– Deanery of Biomedical Sciences

*“Does this University provide adequate support and guidance for staff working in the digital age and in relation to social media? It was acknowledged that this issue is wider than the Lecture Recording Policy, and may require input from HR.*

*The danger of recorded material being released outwith the University, with potential consequences for staff and students, was noted.” – Library and Information Strategy Committee, College of Arts, Humanities and Social Sciences*

<b>Unauthorised release</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Concerns around unauthorised sharing of recordings (including unpublished research or sensitive areas)	9	33
Support for exposed academics / policing of students and staff	8	26

*Table 6 – Unauthorised release: number of occurrences in responses*

## F. Potential uses

A number of respondents queried whether the policy was clear on some of the potential uses of the system, often the sorts of uses that the policy task group did not envisage as being permissible without the agreement of the lecturer.

*“...a system in which course lectures are recorded without the consent or wish of lecturers is a system that can be abused by line managers for disciplinary purposes, negates some of the protection that academic freedom encapsulates and would contribute to a system that already stresses lecturers and holds them under performance target pressures that is destructive to well-being.”*

*“We would like the policy to be clear in what its essential purpose is not: not to be used as a replacement for intended staff presence in the lecture theatre (e.g. streaming to other rooms); not to be used systematically to compensate for timetabled clashes of lectures; not to be used as a systematic replacement for attending lectures (due to the benefits of active learning).”*

*– School of Mathematics*

*“...it sets a potential precedent for distance learning by stealth for courses which may not have been designed for this and ultimately cheapens the learning experience.” – Edinburgh College of Art*

<b>Potential uses</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Performance rating for staff	2	5
Implications for staffing levels & recruitment	2	6
Staff wellbeing	3	9
Overspill	1	-
Student Course clashes	2	2
Contingencies, inc. industrial action	4	8

*Table 7 – Potential uses: number of occurrences in responses*

## G. Facilities

A number of respondents cited issues with reliability of the technology, or maturity of the system and processes. There was a demand for wider availability of chalkboard/whiteboard recording in a

number of areas, including one or two outwith Science and Engineering. A number sought clarity on whether video need be captured on lectures in rooms fitted with a camera, and on whether this could be scheduled to happen automatically.

*“There are concerns that the technology is not yet reliable enough and not installed in all rooms to make the policy workable. We have experienced a number of technical failures so far this year.” – School of Economics*

*“We must stress that for...the sciences in general, video, rather than audio, recording of lectures is essential in order to capture the mathematics and diagrams on the blackboards. As such, there are only a few suitably-equipped rooms and hence low penetration of lecture capture in the School...”*  
– School of Physics and Astronomy

*“...lecture recording can reduce the likelihood of lectures over-running, assisting students who have successive lectures scheduled...”*  
– Knowledge Strategy Committee

*“The policy should allow for recordings in the form of screencasts rather than videos. It should be made easy for lecturers to request what form they wish lecture recording to take so that this is automatically set up for their lecture...”*  
– Sociology

<b>Facilities</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Maturity/reliability of the tech	3	16
Keeping lectures to schedule	1	1
Availability of right equipment	6	10
Turning off video	2	6

*Table 8 – Facilities: number of occurrences in responses*

## H. Training

A few respondents picked up on availability of training for staff, and on the production of guidance for students in using lecture recording appropriately and successfully.

*“There will need to be explicit guidance and training offered to staff about the purpose of lecture recording and expectations and exemptions.”*

*“Lecture recording seems to have been introduced without considering how students are meant to use lecture recordings for effective learning.”*

*“It would be helpful to stress that students need access to good, clear, accessible guidance on how to access the recordings.”*

<b>Training</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Staff training availability and effectiveness	2	4
Student guidance	-	4

*Table 9 – Training: number of occurrences in responses*

## I. Privacy and retention

Some respondents noted the risks and difficulties of dealing with sensitive data (as distinct from sensitive material). A few respondents suggested either a longer or a shorter retention period.

*“Materials held for longer than 2 years will need to comply with the archiving policy. Appraisal decisions would need to be made and GDPR impact considered.”*  
– Library Committee

*“There is an argument for ensuring the policy insists that lecturers in the clinical domain should be asked to provide written agreement that their lecture is suitable for release and does not breach any confidentiality before it is made available to students.”* – Edinburgh Medical School

*“...to avoid confusion, recorded lectures should only be available to the cohort to whom they were originally given. Therefore, the natural retention period will vary according to level, but would be 3 years on average.”*  
– School of Physics and Astronomy

<b>Privacy and retention</b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Archive policy	1	-
Retention	4	9
Privacy (including use of sensitive data)	2	7

*Table 10 – Privacy and retention: number of occurrences in responses*

## J. Benefits for students

A number of respondents explicitly recognised the potential benefits for students, and for particular groups of students. A handful of respondents argued not to use accessibility as a driver for the implementation of lecture recording at scale.

*“There is an appreciation that lecture recording can benefit students, particularly students who have adjustments or whose first language is not English and that many students find recordings useful and use them wisely to aid their note-taking, understanding and revision.”* – School of Economics

*“The automatic recording of lectures should not be used as a disability access issue – physical access should be improved so all students can participate in a community of learning on campus.”*

*“[Staff in the Student Disability Service] daily see the positive difference which lecture recording makes to students’ access to learning ... without the potential stigma of having to make special arrangements. ... We also witness the frustrations and disadvantages suffered by students finding out that their lectures aren’t recorded, even though the facility is available in the lecture theatres concerned.”*

*“Students are keen to receive consistent and predictable support during their time at Edinburgh, and a lecture recording service which is applied variably therefore has the potential to negatively impact their student experience. Joint degree students, for example, will be justifiably frustrated if they can access lecture recordings in one half of their degree programme but not in the other with little*

*or no explanation as to why this is the case.”*  
*– Edinburgh University Students’ Association*

<b><i>Benefits for students</i></b>	<b>Representative responses (/26)</b>	<b>Individual responses (/150)</b>
Benefits for disabled students	3	11
Accessibility as a driver for opt out	4	7
Benefits for students generally	5	13

*Table 11 – Benefits for students: number of occurrences in responses*

*Neil McCormick*  
*Educational Technology Policy Officer*

# Lecture Recording Consultation: Summary of responses submitted to UCU

During the lecture recording consultation process, staff were invited to submit written responses to UCU. In addition, the consultation was briefly discussed during a branch meeting.

Shortly before the close of the consultation, a situation arose in the School of Law and possibly other schools regarding the use of lecture recordings during the strike. From then until sometime after the close of the consultation, management gave a series of conflicting and inaccurate claims about what was happening. The vice-chancellor has said that lessons must be learned from this and recognised that there is a need to rebuild trust. Since this situation arose, UCU has had a number of meetings where the lecture recording policy was discussed.

### 1. Responses to the consultation

**1.1. Opt-in, Opt-out, Permission of Head of School, and other options.** The consultation document framed this issue as opt-out vs requiring permission of head of school. Most written responses were lengthy with nuanced position. An attempt was made to categorise views, and the count on views appears in the following table:

Never	8
Opt-in	10
Opt-out	28
Parity with students	2
Permission of HoS	9

Requiring permission from the head of school was a fringe view, having roughly as many supporters as the view that lecture recording should not be permitted – because of perceived damage to academic and student culture – even with the permission of the lecturer. “Opt-out” was taken to mean that lecturers should have the authority to decide for themselves whether to opt out, and was contrasted with requiring permission of the head of school. Reasons for opt out included pedagogical reasons, reasons that were considered unique to a discipline, and not wanting to grant managers intellectual property rights that had not previously been part of our contract. “Never” represents those who argued that lecture recording should not occur, typically based on arguments about pedagogy and about student culture, including attendance. “Parity with students” represents those who believe that staff should have the same right to opt out of lecture recording as students.

Even before the problems in the School of Law, a significant proportion of written responses expressed a view more restrictive than either the opt-out or permission of head of school positions that we had been encouraged to consider. At meetings, people often argued for opt-in.

**1.2. Workload and video editing.** The proposed policy calls for video to be edited within 24 hours of a recording being made. Responses noted that high-quality video editing is specialised work requiring skilled staff and special equipment or software. Many responses noted that no additional time is being allocated for this work, or the work of posting video, in workload allocation models. Even simply watching the video for portions that need to be cut would add hours of work per week during teaching time. Staff at a

meeting were not reassured that the policy intends for editing to only occur in unusual circumstances, where a particularly controversial or personal comment has unexpectedly been recorded, since this is not what the draft policy states.

**1.3. Intellectual property rights.** Several responses noted that this policy would force staff to give intellectual property rights to the university and that many staff are not inclined to do so.

Furthermore, the university, and universities across Britain, are increasingly hiring teaching staff on fixed-term contracts. There were particular concerns about the university posting recordings of staff who are no longer employed by the university. One staff member on a fixed-term contract who submitted a written response felt that their position was so vulnerable that they didn't want their comments shared with management, since even anonymous comments could be used to identify them.

**1.4. Lack of trust in the evidence and process.** A detailed evaluation of the evidence presented to the senate learning and teaching committee was assembled in the school of social and political science. This concluded both that the arguments made to justify lecture recording in the university were not supported by the published work and that the underlying evidence was weak. This document was often cited by people in meetings. The overall view seems to be that there is currently little evidence for whether lecture recording actually improves student learning but that this is worth exploring, particularly since students are currently enthusiastic about it.

Particularly at meetings, staff expressed scepticism that there would be any meaningful outcome from the consultation process. Some written responses also expressed scepticism that the managers would follow policy. The fact that a significant amount of money and time has been spent installing equipment has been taken by some to indicate that a policy has already been decided by senior management and will now simply be imposed and that committees and the consultation are merely to give it legitimacy.

**1.5. Posting of video online and discipline.** Staff have found that it is not difficult to download video via the mediahopper streamer, despite assurances that this is not possible. There is a general scepticism that it is even technically possible to prevent recordings from being downloaded. Several written responses made reference to the possibility that video, particularly out-of-context comments, would be posted on youtube. This was one of the arguments for not requiring permission of head of school.

While it was recognised that posting recordings or portions of recordings online was a violation of the policy, staff did not believe there was an effective enforcement mechanism for this. One response wanted assurances that the university would act rapidly to force, for example, youtube to take down recordings that had been posted elsewhere.

**1.6. Business continuity.** There were several concerns that the clause on business continuity was too vague and would allow managers to do essentially whatever they pleased regardless of other parts of the policy. In particular, almost anything could be viewed as "exceptional" by managers inclined to do so.

## 2. The situation in the school of law and the use of lecture recording during the strike

Shortly before the close of the consultation process, we received reports that the School of Law was using previously captured lectures in ways that would violate the proposed policy to undermine the union's legal strike. After we raised these concerns, the guidance to managers was changed. Nonetheless, we soon learned that the actual behaviour of managers was not and that the use of lecture recording during the strike had been part of managers' strike mitigation policy for a long period of time.

We were told that the lecture recordings had always been available to students. We were told that the School of Law was legally required to make lecture recordings available as part of the accreditation process for students to become lawyers. Our members told us, and the head of the law school subsequently confirmed, that neither claim is true.

We have been unable to get clear answers to questions about how other schools were using lecture recordings during the strike.

As a result of this, at subsequent meetings, there has been a lack of trust in the lecture recording process and even staff who had enthusiastically engaged in previous opt-in systems expressed dissatisfaction.

## 3. Conclusion

The position of UCU is that

- (1) The lecture recording policy represents a significant change to our terms and conditions of employment, for example around intellectual property. Therefore, the policy will need to go to HRPDG and CJCNC for approval.
- (2) The system should be opt-in and certainly staff should not be recorded without their approval.
- (3) The university should delete recordings at the end of the academic year. Furthermore, if the business continuity clause remains, then it should be recognised that striking is a legal right and not exceptional.



### **Lecture Recordings Policy Consultation Edinburgh University Students' Association Response 19<sup>th</sup> February 2018**

For a number of years, Edinburgh University Students' Association has been enthusiastically supportive of the provision of lecture recordings, and we welcome the opportunity to respond to the consultation on the new Lecture Recordings policy.

The Students' Association feels strongly that lecture recordings should be provided on an opt-out basis, as proposed in the current policy. We believe that parity of access to educational materials is important in and of itself, but that this need for consistency is of particular importance at the University of Edinburgh given the flexibility of the Edinburgh degree and the significant amount of students taking joint degrees or elective courses. Students are keen to receive consistent and predictable support during their time at Edinburgh, and a lecture recording service which is applied variably therefore has the potential to negatively impact their student experience. Joint degree students, for example, will be justifiably frustrated if they can access lecture recordings in one half of their degree programme but not in the other with little or no explanation as to why this is the case.

For the reason outlined above, we would therefore be in favour of a policy which requires the lecturer to 'agree with' the Head of School (as in the current draft policy) rather than simply to 'inform' them. By placing the final decision with the Head of School, we believe this will provide as consistent an implementation of lecture recordings as possible. Individual staff will still have the academic freedom to propose that their lecture is not recorded, but this system would ensure that opt-out decisions would be made using a consistent set of criteria and that the policy would be interpreted in as uniform a way as possible. This should in turn create a clearer system for students and a more reliable and transparent service for them to access.

We welcome that the policy allows for lectures to not be recorded in exceptional circumstances, as we recognise the need for some degree of flexibility in a small amount of situations and settings to protect the interests of both students and staff. The policy currently states, 'Schools are advised to provide an appropriate explanation when they are unable to provide a lecture recording' [2.4]. The Students' Association regards it as a fundamental part of the policy that, in all but the most exceptional circumstances, students should be informed about why they are not receiving lecture recordings. This ensures transparency around the process, and so we would encourage this clause to be written in the most stringent terms possible.

In clause 4.4, we support strongly the inclusion of the right of the student to not be recorded if they choose. However, we are unsure how a student wishing not to be recorded would be aware of which areas are 'away from microphones' and 'outwith the field of view of any camera installed'. These areas would have to either be clearly marked or be indicated to the students at the beginning of each lecture, which would create a need for the lecturer to also be aware of these areas in advance. We would also emphasise that one of the strengths of the lecture recording system is the ability to pause the recording if necessary.

Where students are hesitant to be recorded, the lecturer can pause the lecture, wait for a question to be asked, and then resume recording in order to repeat the question and provide the answer. This allows for all students to continue to actively participate and engage in lectures even if they have asked not to be included in lecture recordings.

Regarding the policy as a whole, the Students' Association is supportive of the University's commitment to implementing a University-wide, opt-out lecture recording service. The use of lecture recordings is of benefit to a number of specific student groups, including students with English as a second language, student parents and carers, and disabled students including those with chronic mental health conditions. The implementation of this policy will have a direct impact on the learning experience of many students within these groups and reduce barriers to participation. Although the policy stipulates that lecture recordings are not generally to be regarded as a 'replacement for lecture attendance', the ability to have access to recordings when students in the above groups have had to miss lectures for unavoidable or emergency situations is invaluable and hugely alleviates the additional stress caused by falling behind with work.

The policy will also benefit the wider student body through creating an additional tool to use in revision. We believe that lecture recordings will alleviate the need for students to spend the entirety of the lecture attempting to take verbatim notes, and in doing so not fully focusing on the content of the lecture or engaging meaningfully with the material. The ability to review the lecture later will therefore have the potential to enhance the learning and teaching experience of all students in the classroom.



UNIVERSITY EXECUTIVE

11 June 2018

**Learning Analytics**

**Description of paper**

1. The Senate Learning and Teaching Committee (LTC) and the Knowledge Strategy Committee (KSC) established a task group to develop an institutional policy on Learning Analytics. In 2016-17 the group developed an institutional statement of Principles and Purposes for learning analytics. The task group had agreed that, after securing approval for the Principles and Purposes, it would develop a more detailed Policy document setting out how the University will handle issues such as data governance, consent and security.

**Action requested/Recommendation**

2. The Executive is invited to note the detailed policy.

**Background and context**

3. At their meetings in September and October 2017, the LTC and KSC agreed a two-stage process, with immediate effect introducing interim governance and support arrangements for considering learning analytics developments, while delaying developing the detailed policy until there was greater certainty regarding the implementation of the General Data Protection Regulation (GDPR).

4. Now that there is greater certainty on those issues, Academic Services has worked with the University's Data Protection Officer, the Chief Information Security Officer, Assistant Principal Digital Education and staff in Information Services Group and Student Systems responsible for student data governance to develop a more detailed policy. The task group also had an opportunity to comment on the policy.

5. This paper sets out that policy for noting by the Executive.

**Discussion**

6. Please see Appendix 1 and Annexes A and B for the draft policy and procedures.

**Resource implications**

7. Academic Services will support the operation of the Learning Analytics Review Group. Schools / Colleges / Support Groups will be responsible for considering the resource implications for learning analytics activities that they initiate.

**Risk Management**

8. The policy is designed to assist the University to manage and mitigate risks associated with using student data to undertake learning analytics activities. It operates alongside other relevant University policies and guidelines, such as the Data Security Policy, Data Protection Policy and the Protocol for Access to Data in the Corporate Student Record System.

### **Equality and Diversity**

9. The task group considered the potential equality and diversity implications (both positive and negative) of learning analytics when developing the Principles and Purposes document. The detailed policy does not raise any new equality and diversity issues.

### **Next steps/implications**

10. The policy it will be implemented with immediate effect. Academic Services will communicate with key School and College staff regarding the new policy, and will also highlight it in the Senate Committees' Newsletter. Information Services Group will highlight the policy to learning technology staff.

### **Further Information**

11. Author

Tom Ward

Director of Academic Services

2 March 2018

Presenter

Charlie Jeffery

Senior Vice-Principal

### **Freedom of information**

12. Open paper.

### **Policy and procedures for developing and managing Learning Analytics activities**

#### **1 Background**

The Senate Learning and Teaching Committee (LTC) and the Knowledge Strategy Committee (KSC) established a task group to develop an institutional policy on Learning Analytics. The group was convened by Prof Dragan Gasevic (Chair of Learning Analytics and Informatics in Moray House School of Education and School of Informatics). Its remit and membership are available at:

<https://www.ed.ac.uk/academic-services/projects/learning-analytics-policy>

In 2016-17, the group developed an institutional statement of Principles and Purposes for Learning Analytics. In May / June 2017 LTC and KSC approved that document, which is attached for information as Annex A.

The task group agreed that after securing approval for the Principles and Purposes for Learning Analytics, it would develop a more detailed Policy document setting out how the University will handle issues such as data governance, consent and security.

This paper sets out that more detailed policy.

#### **2 Data Protection and Learning Analytics**

The General Data Protection Regulation (GDPR), which becomes enforceable in May 2018, strengthens and extends current UK Data Protection law. The paper presented to the LTC and KSC in September / October 2017 summarises the key implications of the GDPR for the management of learning analytics, see:

[www.ed.ac.uk/files/atoms/files/agendapapers20170920open.pdf](http://www.ed.ac.uk/files/atoms/files/agendapapers20170920open.pdf)

At their meetings in September / October 2017, LTC and KSC recognised that due to uncertainty regarding the implementation of the GDPR it was necessary to delay the development of a detailed policy. At that time, the main area of uncertainty related to the options available to higher education institutions for securing a legal basis for processing individual data, and in particular, whether the 'legitimate interests' legal basis would be open to the University, and if so, whether it would be applicable in relation to learning analytics.

In December 2017, the University's Data Protection Officer confirmed that the 'legitimate interests' basis will be available to higher education institutions, and that it is reasonable for the University to use this basis for various aspects of data processing associated with learning analytics. Her advice is to take the following approach:

1. Use legitimate interests as the legal basis for the processing of non-sensitive personal data for analytics where the data is used for purposes such as quality assurance, strategic planning, evaluating the impact of particular developments, understanding and improving the quality of our students' learning experience, evaluating patterns of use of particular services, and providing students with anonymised information regarding the patterns of learning of other students;
2. Use legitimate interests as the legal basis for processing of non-sensitive personal data to support interventions with individual students, with the proviso that the University would need to seek consent from individual students before undertaking any interventions with them on the basis of that data processing.
3. Ask for (opt-in) consent for processing of sensitive personal data (which, under the GDPR, will be called "special category data");

This reflects the advice provided by JISC:

<https://analytics.jiscinvolve.org/wp/2017/02/16/consent-for-learning-analytics-some-practical-guidance-for-institutions/>

The proposed legal basis for (2) - processing personal data to support individual student interventions – appears to be a reasonable and workable way to interpret the requirements of the GDPR in this area while remaining fair and transparent to students. While it is not possible to use 'legitimate interests' as the legal basis for data processing that leads to interventions with individuals, it appears reasonable to use it for the initial processing as long as the interventions themselves are based on consent. However, were the Information Commissioner to provide specific guidance on this issue, the University may need to revisit this element of the Policy.

While the requirement to obtain consent for interventions based on learning analytics data processing will add some complexity to the management of learning analytics activities, it is likely to be workable for pilot activities. Were the University to move beyond pilots to larger-scale activities utilising learning analytics to support individual interventions (for example, as part of the Distance Learning at Scale project), the University could consider utilising 'contract' as the legal basis for those interventions, for example by adding a new provision to the Terms and Conditions of Admissions.

### **3 Interim governance and support arrangements**

At their meetings in September / October 2017, while delaying the development of a detailed policy due to uncertainty regarding the GDPR, LTC and KSC agreed with immediate effect to introduce interim governance and support arrangements for considering learning analytics developments, including setting up a review group. Schools and Colleges were informed of these arrangements in October 2017. The Convener has subsequently agreed to expand the membership to include the University's Chief Information Security Officer. The membership of this group, the existence of which will be reviewed at the end of 2018-19, is set out in section 4 of the Draft Policy, attached.

## **4 Other issues to address in the more detailed policy**

### **4.1 Learning analytics data and the obligation to monitor attendance and engagement of students on Tier 4 visas**

UK Visas and Immigration (UKVI) requires the University to demonstrate that sponsored students are attending and engaging in their programme of study and that there are active procedures in place to identify and address attendance/engagement patterns of concern. Each School is responsible for developing an annual School Engagement Monitoring Plan which must define the engagement and attendance contact points that they will use to monitor their sponsored students. Data on engagement and attendance with these contact points is not learning analytics data, since the purpose of collecting it is compliance with immigration laws rather than to understand and enhance the students' learning experience. The legal basis for collecting the data for this purpose for Tier 4 students is therefore 'legal obligation'. Were staff to wish to use data collected for Tier 4 attendance and engagement monitoring for other purposes, it would be necessary to establish a legal basis (eg consent) for doing so.

The Executive is **invited to note** that Schools should not use learning analytics data for Tier 4 monitoring purposes, and that they should instead rely on the defined contact points. It may however be appropriate to use the learning analytics data in extreme and exceptional purposes, for example to assist in establishing the student's patterns of engagement with their learning in response to a police enquiry. For example, if the School undertakes a learning analytics project to link patterns of engagement with Virtual Learning Environments (VLEs), digital library resources, and attendance at seminars, to produce engagement 'scores' for individual students with a view to providing personalised feedback and support, it could not then routinely use those 'scores' to monitor Tier 4 attendance and engagement. If however the police or immigration authorities urgently need to establish a student's patterns of engagement with their studies, it may be appropriate to consult the student's 'score' as part of a broader investigation. In these circumstances, University Legal Services must be consulted before any data is released to external bodies.

### **4.2 Learning analytics and research activities**

It is likely that many learning analytics projects could be viewed as 'research'. It is therefore important that the process for developing and approving proposals for learning analytics projects takes due account of research ethics. For the time being, this will be delivered by requiring proposals for learning analytics securing normal research ethics approval in addition to (where required) approval from the Learning Analytics Review Group, combined with including a member of academic staff with expertise in research ethics on the Review Group. At the end of 2018-19, when reviewing longer-term governance arrangements (see 6 below), LTC and KSC will be invited to consider how to address the ethical dimension of learning analytics proposals that constitute 'research' in the longer-term, for example by considering appropriate arrangements for projects led by support groups (which do not have their own Research Ethics processes).

### **4.3 Learning analytics and children**

The GDPR includes specific safeguards for children, for example that automated decisions must not concern a child, and that children cannot consent themselves to the processing of their data (instead consent must be obtained from a person holding 'parental responsibility'). For these purposes, a 'child' will be defined as a person aged 13 or less. It is highly unlikely that the University will have any students that fit this definition of a 'child'. However, were any proposed learning analytics activities to involve the data of students that fit the definition of a 'child', further advice from the Learning Analytics Review Group would be required.

## **5 Detailed policy for approval**

The draft detailed policy (see attached Annex B) is designed to complement the institutional statement of Principles and Purposes for Learning Analytics by supporting the process for developing and scrutinising proposals for new learning analytics activities. It incorporates the interim governance arrangements previously agreed by the Committee and takes account of the requirements of the GDPR. It takes account of sector guidelines, including the JISC Model Institutional Learning Analytics Policy:

<https://analytics.jiscinvolve.org/wp/files/2016/11/Jisc-Model-Institutional-Learning-Analytics-Policy-v0.1.pdf>

It also takes account of an earlier guidance document produced by Records Management.

Since the consultation and engagement held in 2016-17 for the development of the Principles and Purposes document had provided extensive opportunities for students and staff to highlight their aspirations and concerns regarding learning analytics, it has not been necessary to have such an extensive consultation process in relation to the detailed policy document. Instead, since the Policy document is operational and compliance-oriented, the development of the Policy has been based on consultation with:

- The University's Data Protection Officer and the Chief Information Security Officer;
- Assistant Principal Digital Education;
- Staff in Information Services Group and Student Systems responsible for student data governance.

The University is at a relatively early stage of adopting learning analytics. While some small-scale pilots are underway, it is likely that substantial further piloting at a local and relatively small-scale level will be required before the University is in a position to consider the case for institution-wide approaches to learning analytics. In the short- to medium- term, the purpose of this more detailed policy document is to guide the University's management of these pilot activities. At the end of 2018-19, by which time the planned policy will have been in place for more than a session, and



the University has had further time to learn from pilot activities, LTC and KSC will be invited to review what policy and governance arrangements will be appropriate over the longer term.

***The Executive is invited to note the policy.***

## **6 Staff training and development**

The consultation and engagement processes have highlighted the importance of staff training and development to support the implementation of learning analytics. Prof Gasevic, and Prof Sian Bayne (Assistant Principal, Digital Education) have been working with Information Services Group to develop training activities. These include:

- Activities associated with the Future Teacher programme;
- Information Services Group is recruiting a PhD intern to develop a curated set of online resources for staff, and is assessing other ways to meet staff skills and awareness needs.

In addition, University training regarding Data Protection will also be relevant to staff handling personal student data as part of learning analytics work.

## **Annex A - Learning Analytics Principles and Purposes (for information, approved May 2017)**

### **Overview**

Learning analytics has been defined as ‘the measurement, collection, analysis and reporting of data about learners and their contexts, for purposes of understanding and optimising learning and the environments in which it occurs’ (Society for Learning Analytics Research, 2012). Fundamentally, learning analytics is concerned with combining different types of data regarding student engagement and learning (eg data generated by learning management systems, student systems, library systems and other sources related to learning and teaching) in order to better understand, and improve, the learning experiences of our students. Learning analytics can be particularly valuable when teaching at scale, or online, makes it more challenging for staff to know how their students are learning.

While the University’s use of learning analytics is in its early stages, we are in a strong position to learn from our own pilot activities, and our existing expertise in education and learning sciences.

The following is the University’s statement of the Principles and Purposes that will guide the development of our Learning Analytics activities. It will be accompanied by a more detailed policy and procedure to set out how we will manage data stewardship issues such as transparency, consent, ethics, privacy and access, retention and disposal of data in line with these Principles and Purposes. It is possible that, once we have more experience of Learning Analytics, we will wish to review and update these Principles and Purposes.

### **Policy Principles**

The policy starts from the position that all uses of data analytics for learning and teaching within the University should be ethical, transparent and focused on the enhancement of the student experience.

1. As an institution we understand that data never provides the whole picture about students’ capacities or likelihood of success, and it will therefore not be used to inform significant action at an individual level without human intervention;
2. Our vision is that learning analytics can benefit all students in reaching their full academic potential. While we recognise that some of the insights from learning analytics may be directed more at some students than others, we do not propose a deficit model targeted only at supporting students at risk of failure;
3. We will be transparent about how we collect and use data, with whom we share it, where consent applies, and where responsibilities for the ethical use of data lie;

4. We recognise that data and algorithms can contain and perpetuate bias, and will actively work to recognise and minimise any potential negative impacts;
5. Good governance will be core to our approach, to ensure learning analytics projects and implementations are conducted according to defined ethical principles and align with organisational strategy, policy and values;
6. The introduction of learning analytics systems will be supported by focused staff and student development activities to build our institutional capacity; and
7. Data generated from learning analytics will not be used to monitor staff performance, unless specifically authorised following additional consultation.

### **Purposes of Learning Analytics**

Learning analytics approaches can support a range of activities within the institution. While to date they have been explored by universities primarily as means to improve retention, they also have potential benefits for the enhancement of student experience, currently of more importance to the University of Edinburgh:

- **Quality** – Learning analytics can be used as a form of feedback on the efficacy of pedagogical design. Academic teams can use analytics about student activity (individual or cohort) as part of course review and re-design processes as well as potentially using analytics as a form of in-course monitoring and feedback. Individual staff can use learning analytics to reflect on the impact of their teaching.
- **Equity** – Learning analytics approaches can allow us to see more nuanced views of our highly diverse student population, challenge assumptions that we may be making, and allow supportive resource to be directed where it is most needed.
- **Personalised feedback** – Learning analytics can be used to tailor the messages and support that we offer to our students, providing more personalised feedback to support student reflection and academic planning.
- **Coping with scale** – With the challenge of growing cohorts of students, learning analytics can help to strengthen the academic relationship by doing some of the heavy lifting of identifying individuals or groups of individuals that might benefit from particular interventions or information from staff.
- **Student Experience** – In addition to supporting a more personalised experience, learning analytics can improve progression and retention, ensure that our academic offerings align with the needs and goals of students, and support satisfaction and wellbeing. Analytics can also be used to promote critical reflection skills and enable our students to take responsibility for their own learning.

- **Skills** – Interactions with analytics as part of the University learning experience can help our students build 'digital savviness' and prompt more critical reflection on how data about them is being used more generally, what consent might actually mean and how algorithms work across datasets to define and profile individuals. Learning analytics approaches can also be used to promote the development of key employability skills. Supporting staff to develop skills in working with learning analytics applications is also an investment in institutional capacity and leadership.
- **Efficiency** – Learning analytics can be used to evaluate and demonstrate institutional efficiency through a) measuring the impact of initiatives and validating that benefits are being realised and b) demonstrating that publically-funded resource is being deployed in support of the best outcomes of all students.

## **Annex B**

### **DRAFT Policy and procedures for developing and managing Learning Analytics activities**

#### **1 Overview**

The University's statement of its Principles and Purposes for Learning Analytics is set out at:

<http://www.ed.ac.uk/files/atoms/files/learninganalyticsprinciples.pdf>

This document complements that statement by setting out how the University handles issues such as data governance, consent and security when developing and operating learning analytics systems.

#### **2 Definitions**

- 'Learning analytics' involves combining different types of data regarding student engagement and learning in order to better understand, and improve, the learning experiences of students. It is distinct from the well-established practice of using individual student datasets (for example, data on course outcomes) for quality and planning purposes and to enable staff (eg Personal Tutors) to support individual students.
- 'Learning analytics pilots' are time-limited learning analytics activities that will, typically, apply to students in some specific areas of the University and be experimental in nature.
- 'Institutional' learning analytics activities are ongoing activities that apply to students in many or all areas of the University.
- 'Data stewards' are the staff responsible for ensuring the security, access, documentation, and quality of the 'golden copy' of data sets that might be used for learning analytics (for example, Student Systems, Information Services Group).
- 'Project managers' are the members of staff in Schools / Colleges or support services who develop and manage learning analytics pilots or institutional learning analytics activities.
- 'Personal student data' is data on identifiable individual students.
- 'Anonymised student data' is a student dataset which has been aggregated and / or anonymised so that it is not possible to identify individual students (note that data is not considered anonymised if it is possible to convert it back into personal data).

- ‘Interventions’ are activities involving individual students, whether automated or human-mediated, which result from the processing of learning analytics data.

### 3 Types of learning analytics

- **Personalised individual student support** – where data on identifiable individual students’ activities is used to support targeted and tailored interventions with those individuals.
- **Understanding and improving the quality of our students’ learning experience** – where data is used to provide feedback to staff on the efficacy of pedagogical design, to enable individual staff to reflect on the impact of their teaching, or to allow student support services to understand the effectiveness of their activities and to plan for future delivery, and to allow students to reflect on anonymised data regarding their peers’ learning.
- **Research activities** – where data is used to explore whether there is a relationship between variables, for example between a successful student outcome and particular learning activities.

In general, the requirements for developing and managing learning analytics are more rigorous for learning analytics activities involving personalised individual student support, or otherwise utilising personal student data, than learning analytics activities utilising anonymised student data. For example, staff utilising aggregate learning analytics data for relatively routine quality assurance purposes are unlikely to need to undertake additional steps as a result of this policy.

For research activities that require research ethics approval, this approval would be in addition to approval from the Learning Analytics Review Group (see section 7 below)

The attached table summarises key requirements for these different categories of learning analytics activities.

### 4 Responsibility for learning analytics

- **The Senate Learning and Teaching Committee (LTC) and Knowledge Strategy Committee (KSC)** are responsible for overseeing the University’s operation of learning analytics in line with this Policy. LTC will oversee and monitor the pedagogical and supportive uses that the University is making of learning analytics, and KSC will oversee and monitor the University’s data stewardship arrangements for its learning analytics activities.
- LTC and KSC have established a **Learning Analytics Review Group** with responsibility for reviewing and approving proposals for learning analytics projects. The group is also available to provide advice regarding other categories of learning analytics activities. The group comprises the Assistant Principal with strategic responsibility for Learning Analytics, a student representative, the Data Protection Officer, representatives from relevant service units (Universities Secretaries Group and Information Services Group), the Chief Information

Security Officer, and a member of academic staff with expertise in research ethics. It will be convened by a senior academic member of staff with expertise in Learning Analytics, nominated by the Senior Vice-Principal. The group will report annually to LTC and KSC.

- **Project managers** are responsible for developing proposals for learning analytics activities and for managing the delivery of the activities in line with this Policy.
- **Data Stewards** are responsible for approving the release of 'their' golden copy data sets for learning analytics (where not already available to relevant staff via standard reporting tools), and – as members of the Learning Analytics Review Group - for approving the use of 'their' data sets for specific categories of learning analytic activities in line with this Policy (see Section 7, below).

## **5 Sources of data for learning analytics**

The main categories of student data available to the University for the purposes of learning analytics are:

- Admissions data;
- Course and programme enrolment data;
- Data on student engagement, progression and achievement in assessments, courses and programmes;
- Data on student engagement with Virtual Learning Environments, assessment services and media platforms;
- Data on student use of library systems and services;
- Data on student utilisation of other University services and facilities related to learning and teaching; and
- Card access data;
- Student survey responses.

In many cases, the University will use existing corporate datasets such as the University's student record system, virtual learning environments, survey tools, and library and IT systems. In some circumstances the University (or individual Schools) may collect student data for the purposes of specific learning analytics activities.

## **6 Issues to address when developing and managing learning analytics activities**

Project managers and data stewards are responsible for considering the following issues when developing and managing learning analytics activities:

## **6.1 Alignment with the University's Principles and Purposes for learning analytics**

Project managers are responsible for ensuring that the objectives of their learning analytics activities align with the University's statement of Principles and Purposes for Learning Analytics.

## **6.2 Validity, comprehensiveness and interpretation of data**

Project managers are responsible for assessing whether the relevant datasets are sufficiently robust for the intended usage, monitoring the quality and robustness of the data used for learning analytics activities, presenting the data in a way that assists staff and students to interpret it (eg highlighting any inaccuracies or gaps in the data), and arranging training or briefings where appropriate to assist staff and students to interpret and utilise the data. Data stewards will be able to advise project managers on the validity, comprehensiveness and interpretation of data where required.

Project managers are also responsible for ensuring that the analysis, interpretation and use of the data does not inadvertently reinforce discriminatory attitudes or increase social power differentials.

When project managers or data stewards use and / or publish anonymised student data collected for or generated by learning analytics, they are responsible for ensuring that it is not possible to identify individuals from metadata or by aggregating multiple data sources.

## **6.3 Data Protection Impact Assessment**

If the proposed learning analytics activities will involve processing of personal student data, the project manager must undertake a Data Protection Impact Assessment (DPIA) in advance of finalising the plans for the activities. A template for the DPIA is available from the University's Data Protection Officer

## **6.4 Privacy Notice**

In the 'Learning Analytics Principles and Purposes' document, and in the Data Protection Statement (the new version of which will be published in Spring 2018), the University provides an overview of how it uses students' data for learning analytics. The University is developing a new Privacy Statement for student data which will include information regarding how the University uses personal student data for learning analytics purposes. As long as an individual learning analytics activity is consistent with the statements in the University Privacy Statement, it is not necessary for the project manager to publish a separate Privacy Notice for each individual learning analytics activity. Project managers are however responsible for providing detailed information regarding the algorithms that they are using on request from the relevant students or staff.



## **6.5 Legal basis for processing student data**

It is necessary for the University to identify a legal basis for processing of personal student data, in line with the options set out in the General Data Protection Regulation (GDPR). The University's lawful basis for processing non-sensitive personal student data for learning analytics purposes is "legitimate interests pursued by the controller (The University of Edinburgh) or a third party."

When learning analytics activities involve the processing of sensitive personal student data (referred to as "special category data" under the GDPR), for example, data on race or ethnicity, health or sexual life, or religious or philosophical beliefs, the University's legal basis will be "consent of the data subject".

The University will only undertake interventions with individual students (for example, in order to target additional student support or sign-post individuals to learning resources) based on learning analytics data processing when it has the prior consent of those individual students.

When the legal basis is student consent, the project manager is responsible for obtaining informed opt-in consent from all the students whose data will be processed prior to undertaking the data processing. When student consent is required prior to undertaking interventions on the basis of learning analytics data processing, the project manager must obtain informed opt-in consent from students prior to undertaking any interventions. The project manager must consult the University's Data Protection Officer regarding the design of the consent form and administering the consenting process.

## **6.6 Involvement of third parties**

Where a data steward or project manager contracts with a third party for the collection, storage, or processing of learning analytics data, they are responsible for ensuring that the third party is compliant with this Policy. Where commercial providers of learning analytics services are used, algorithmic transparency will require to be assured during procurement. All engagements involving the exchange of University data must be supported by an appropriate contract that details the University's requirements for protecting University data. The third party must provide detailed evidence of the information security controls they have in place.

## **6.7 Data security and access to data**

Data stewards and project managers are responsible for ensuring the security of datasets used for learning analytics, in line with relevant University policy and standards. Data stewards and project managers are responsible for restricting access to learning analytics data to those staff that have a legitimate need to access it.

Project managers and data stewards are responsible for providing students on request with access to all their personal student data collected for and generated by learning analytics, and for giving students an opportunity to correct any inaccurate personal data held about themselves. Where project managers become aware of

inaccuracies in a 'golden copy' data set, they should inform the relevant data steward.

## **6.8 Retention and disposal of data**

Managing departments are responsible for retaining and disposing of personal data that they collect or generate for learning analytics purposes in line with the University's Retention Schedule.

Project managers are responsible for ensuring that all staff who access and use the data during the project comply with retention periods for data collected for or generated by learning analytics. If the University's Retention Schedule does not specify the appropriate retention periods, prior to the start of the learning analytics activities the project manager must agree with Records Management an appropriate retention period.

If a student asks the project manager to dispose of or anonymise any of the student's personal data that has been collected specifically for or generated by learning analytics, the project manager will do so within four weeks. Data sets generated for a different primary purpose (such as those listed in Section 5) may however not be possible to dispose of or anonymise.

## **7 Approval processes for introducing learning analytics activities**

Project managers for the following categories of learning analytics activities will be required to seek approval from the Learning Analytics review group:

- Projects that involve processing and utilising personal student data in order to provide targeted / personalised student support;
- Projects that involve third parties in the collection, storage, or processing of data for learning analytics purposes;
- Projects involving the processing of personal student data from more than one School;
- Projects involving the processing of personal data of students aged 13 or less;
- Any other learning analytics activities that appear likely to create particular challenges or risks.

When this approval is required, the project manager should submit to the Review Group (via Academic Services) a proposal setting out the following information:

- The data that will be used, including identifying any data that will be collected for the purposes of the planned learning analytics activities;
- The planned arrangements for addressing the issues set out in Section 6.

- Any potentially adverse impacts of the analytics and the steps that will be taken to remove or minimise them, and any other ethical or legal issues that staff should take account of when utilising the data;
- How the findings of pilot activities will be evaluated and disseminated;
- An Equality Impact Assessment.

For proposals for institutional learning analytics pilot activities, if the Review Group is content it will seek formal approval from the Senate Learning and Teaching Committee and the Knowledge Strategy Committee

In addition to making decisions on these proposals, the Group can advise data stewards and project managers on other proposed learning analytics activities.

## **9 Learning analytics data and the obligation to monitor attendance and engagement of students on Tier 4 visas**

Each School is responsible for developing an annual School Engagement Monitoring Plan which must define the engagement and attendance contact points that they will use to monitor their Tier 4 sponsored students' attendance and engagement with their programmes of studies. Schools should not routinely use learning analytics data for Tier 4 student attendance and engagement monitoring purposes, and should instead rely on the defined contact points. It may however be appropriate to use the learning analytics data in extreme and exceptional purposes, for example to assist in establishing the student's patterns of engagement with their learning in response to a police or immigration services enquiry. In these circumstances, University Legal Services must be consulted before any data is released to external bodies.

## **10 Other relevant policies**

In addition to this Policy, other relevant policies and guidelines include:

- The University's statement of its Principles and Purposes for Learning Analytics:  
[www.ed.ac.uk/files/atoms/files/learninganalyticsprinciples.pdf](http://www.ed.ac.uk/files/atoms/files/learninganalyticsprinciples.pdf)
- The University's Information Security Policy:  
[www.ed.ac.uk/information-services/about/policies-and-regulations/security-policies/security-policy](http://www.ed.ac.uk/information-services/about/policies-and-regulations/security-policies/security-policy)
- The University's Data Protection Policy:  
[www.ed.ac.uk/records-management/data-protection/data-protection-policy](http://www.ed.ac.uk/records-management/data-protection/data-protection-policy)
- The University's Protocol for Access to Data in the Corporate Student Record System:  
[www.ed.ac.uk/student-systems/use-of-data/policies-and-regulations](http://www.ed.ac.uk/student-systems/use-of-data/policies-and-regulations)

## **11 Sources of advice**

- The University's Data Protection Officer – for data protection issues
- The University's Chief Information Security Officer – for information security issues
- Records Management – for enquiries regarding retention periods for learning analytics data
- Data stewards (for example in Information Services Group and Student Systems) – for enquiries regarding the potential use of datasets for learning analytics purposes
- The Director of Academic Services – for enquiries regarding the Review Group
- Legal Services – for enquiries regarding the release of personal data to third parties (eg police or immigration services), and contractual negotiations with third parties.

## Summary of key requirements for carrying out learning analytics

<b>Purpose</b>	<b>Privacy Impact Assessment required?</b>	<b>Privacy Notice required?</b>	<b>Opt-in consent required?</b>	<b>Arrangements for students to access and correct their data required?</b>	<b>Arrangements for supporting staff or students to interpret the data required?</b>	<b>Approval process?</b>
<b><i>Personalised individual student support</i></b>	Yes	Yes	Yes	Yes	Yes	Learning Analytics Review Group
<b><i>Understanding and improving the quality of our students' learning experience</i></b>	Yes – if it involves processing of personal student data.  If not, no.	Yes – if it involves processing of personal student data.  If not, no.	Yes – if it involves processing of sensitive personal student data.  If not, no.	Yes – if it involves processing of personal student data. If not, no.	Potentially, depending on how the findings of the analysis will be communicated and used	Learning Analytics Review Group, if involves: third parties; personal data from more than one School; or activities likely to create particular challenges or risks.
<b><i>Research activities</i></b>	Yes – if it involves processing of personal student data.  If not, no.	Yes – if it involves processing of personal student data.  If not, no.	Yes – if it involves processing of sensitive personal student data.  If not, no.	Yes – if it involves processing of personal student data.  If not, no.	Potentially, depending on how the findings of the analysis will be communicated and used	Learning Analytics Review Group, if involves: third parties; personal data from more than one School; or activities likely to create particular challenges or risks.



UNIVERSITY EXECUTIVE

11 June 2018

**Central Bioresearch Services (CBS) /Veterinary Scientific Services (VSS):  
proposal to merge services under one new name**

**Description of paper**

1. The paper sets out the decision to rename the recently combined CBS/VSS departments (part of CSG) as 'Bioresearch & Veterinary Services' (BVS).

**Action requested/Recommendation**

2. The University Executive is asked to note the new name which would come into effect from 1 August 2018, at the same time as organisational hierarchy codes can be revised.

**Background and context**

3. The new name is proposed as a result of the decision to merge two departments within Corporate Services Group: Central Bioresearch Services and Veterinary Scientific Services to create a single department 'Bioresearch & Veterinary Services', which will oversee all rodent and fish research facilities within the university and provide veterinary services for animals used in research, including Home Office administration, across all facilities and sites.

**Discussion**

4. This merger allows a more consistent approach and closer interactions between key staff involved in ensuring high standards of animal care and welfare within university animal facilities. It was felt that neither name alone describes the complete nature of the service given and 'central' is inappropriate when we are now providing services to sites on the outskirts of Edinburgh, particularly the Roslin Institute.

**Resource implications**

5. There are no resource implications.

**Risk Management**

6. There are no major risks associated with the proposal.

**Equality & Diversity**

7. There are no equality and diversity issues.

**Next steps & Communication**

8. The Organisational Hierarchy codes will be revised for 1 August 2018.

**Consultation**

9. The new name has been discussed in detail within the department and was agreed by the Management team in May 2018.

**Further information**

10. Author

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May 2018

Presenter

Hugh Edmiston  
Director of Corporate Services

**Freedom of Information**

11. Paper is open.