



UNIVERSITY EXECUTIVE
Raeburn Room, Old College
30 July 2019, 10 am

AGENDA

- 1 **Minute** A1
A2
To approve the Minute of the previous meeting held on 20 June 2019 and note of Strategic Away Day held on 13 June 2019 and proposed messaging.
- 2 **Matters Arising & Action Log** A3
To raise any matters arising.
- 3 **Principal's Communications** Verbal
To receive an update from the Principal.

DISCUSSION ITEMS

- 4 **Network Presentation** Verbal
To consider a presentation by Tony Weir, Director of IT Infrastructure.
- 5 **Major International Collaborations** B
To consider and approve a paper from Tracey Slaven, Deputy Secretary Strategic Planning.
- 6 **Pensions Communications and the Wider Communications Context** C
To note the paper from Rob Tomlinson, Deputy Director Communications
- 7 **Handling of Student Complaints which Relate to Staff Conduct** D
To note the paper from Leigh Chalmers, Director of Legal Services.
- 8 **Director of Finance's Report** E
To consider the report by Lee Hamill, Director of Finance

ITEMS FOR NOTING OR FORMAL APPROVAL

- 9 **People Report** F
To note.
- 10 **Strategic Plan** G
To note.
- 11 **Export Control and Sanctions Policy** H
To approve.
- 12 **Data Protection Policy Update** I
To note.

- 13 **Access Protocols to Golden Copy Data** J
To note.
- 14 **Windows 10 Programme Update** K
To note.
- 15 **Health and Safety Update** L
To note.
- 16 **Proposals for Establishment of Chairs** M
To approve.
- 17 **University Executive Communications** Verbal
To note the key messages to be communicated.
- 18 **Any Other Business** Verbal
To consider any other matters by UE members.
- 19 **Date of Next Meeting**
Tuesday 29 August 2019 at 10am in the Raeburn Room.



UNIVERSITY EXECUTIVE

25 June 2019

[Draft] Minute

Present: Peter Mathieson (Convener)
David Argyle, Leigh Chalmers, Gavin Douglas, Hugh Edmiston, David Gray, Gary Jebb, Charlie Jeffery, Richard Kenway, Wendy Loretto, Gavin McLachlan, Dorothy Miell, Theresa Merrick, Dave Robertson, James Saville, Jonathan Seckl, Tracey Slaven, Sarah Smith, Moira Whyte and Andrew Wilson.

In attendance: Rachael Robertson (for Lee Hamill) , Antony Maciocia (for item 5), Fiona Boyd and Kirstie Graham.

Apologies: Chris Cox, Lee Hamill, Andrew Morris and James Smith.

1 Minute Paper A1

The Principal welcomed Andrew Wilson, EUSA President, to his first formal meeting of the University Executive.

The Minute of the meeting held on 14 May 2019 was approved as a correct record.

2 Matters Arising & Review of Action Log Paper A2

There were no outstanding matters arising and the action log was noted.

3 Principal's Communications Verbal

The Principal reported on his all staff email covering the following areas: Court approval of the Strategic Plan; the need to create financial headroom to achieve our strategic priorities; the decision at the recent away day to be carbon neutral by 2040 by progressively reducing our carbon footprint and implementing carbon-offset measures; following Vice-Principal Jane Norman's departure, Sarah Cunningham-Burley would be University lead on equality diversity and inclusiveness across the University. He also reported on the external challenges around Brexit, Augar and the USS pension scheme and finally the positive celebration of achievement that was the graduation season.

DISCUSSION ITEMS

4 Teaching and Academic Careers Group Interim Report Paper B

The Executive considered an update from the short life Teaching and Academic Careers Task Group and discussed the progress made and issues raised. The Executive welcomed the approach and discussed the need for recognition of institutional citizenship and student support and the interface of this work with work around the staff experience. The Executive approved the revised Exemplars of

Excellence in Student Education, the recommendations on professional development in teaching and the further programme of work for the task group to be led by the new Vice-Principal Students.

5 Enhanced Doctoral Training Provision

Paper C

The Executive considered a paper setting out plans to develop a 'doctoral college'. In discussion, concerns were raised about duplication and creating an additional tier, but there was support for a co-ordination role. The synergies with the Service Excellence Programme were noted in seeking to reduce duplication by streamlining processes. The Executive approved the proposal to set up a short life working group to progress the initiative, with future updates in due course, with a recognition that although there are no additional resource requirements initially, there are likely to be going forward.

6 Course Enhancement Questionnaires – Review and Recommendations

Paper D

The Executive considered the Course Enhancement Questionnaires (CEQ) review with members noting the reduced completion rate. In discussion, the review approach was felt to be too operational, rather than taking a more radical look at the purpose, timing and format of CEQs. Members suggested that to be effective, there needed to be a single interface, ideally via smartphone, to a simpler online questionnaire that would take 10-15 minutes to complete, in class, on a set date that was clearly communicated in advance and the review team was asked to give this further consideration.

7 People

• Staff Experience

Paper E1

The Executive considered a proposed approach for addressing staff experience, building on work already underway, mirroring the approach to student experience with a holistic, multi-strand programme of work. This would be built around the following key themes: equality, diversity and inclusion, including addressing bullying and harassment; employment lifecycle; engagement; leadership and management; performance management, including addressing poor performance; and managing change. It was proposed to establish a standing committee of the Executive, convened by Sarah Smith, Vice-Principal Strategic Change and Governance, to replace People Committee, with membership and objectives complementary to the Student Experience standing committee. It was further proposed to replace the current committees overseeing equality, diversity and inclusiveness (EDI) across the University with another standing committee of the Executive, to raise the profile of EDI issues, to enable a more strategic approach and to encourage more joined-up activity across groups with protected characteristics.

During discussion members requested clarification on the current standing committee structure and it was noted that there would be a paper on this for a future meeting. Members also noted that the next survey staff survey was scheduled for

Spring 2021, to avoid the start of the academic year and the implementation of new core systems.

The Executive approved the establishment and delegation of authority to two new standing committees on Staff Experience and Equality, Diversity & Inclusion (EDI), agreed the focus of future prioritisation and associated resources and noted that Policy and Resources Committee will be asked to agree that People Committee be replaced by the activity led by the new Staff Experience and Equality, Diversity and Inclusion Committees.

- **People Report**

Paper E2

The People Report was noted.

8 Global Academies

Paper F

The Executive considered the conclusion from the review of the Global Academies that was completed early this year, proposing the formation of one, restructured Global Academy. There was discussion of the terminology, noting that the review did not consider the Global Academy of Food Security and Agriculture, which has a different genesis and likely trajectory towards a substantive subject area/school. The proposed single Global Academy is intended to be an enabler to implementation of the University's values led strategy and there was general support for the direction of travel, noting this will need to be kept under review.

9 Finance

- **Director of Finance's Update**

Paper G1

The Executive noted the management accounts (excluding subsidiaries) position up to the end of April 2019 (period nine) and a forecast Group comprehensive income position for 2018/19, noting the impact of the USS pension movement on the financial statements. The Executive considered the Special Focus Update on catering and accommodation spend in quarters one and two from 2016/7 to 2018/19 which highlighted that the amount being spent with external providers had disproportionately increased. Members were reminded to always consider using internal venues for their events as well as in house catering and accommodation options and the issue of preferential internal rates, as discussed at the recent Strategy Away Day was raised as requiring further consideration.

- **Project Bearing Update**

Paper G2

The Executive noted progress on the latest financial controls project covering the four workstreams of: subsidiary companies, spin outs and start ups; business ethics policies and processes; counter fraud; and procure to pay.

- **Anti-Bribery & Corruption Policy**

Paper G3

The Executive approved the updated Anti-Bribery and Corruption Policy for progression to Court, noting this would close out a number of outstanding internal audit actions.

ITEMS FOR NOTING OR FORMAL APPROVAL

10 A new University approach to health surveillance for staff Paper H

The Executive approved the introduction of a consistent University approach to statutory health surveillance for all staff.

11 REF Update Paper I

The Executive noted an update on Research Excellence Framework activities.

12 Closure of Agreed Management Actions from Internal Audit Paper J

The Executive noted the paper and members were requested to drive closure of open management actions within their areas of responsibility and to contact the Head of Internal Audit if they wished to query the continued relevance of any of the long standing actions.

13 Implementing the Prevent Duty: Annual Update Paper K

The Executive noted the annual update on the implementation of the Prevent duty from July 2018 to June 2019.

14 Proposals for the Establishment of Chairs Paper L1 Paper L2

The Executive approved the establishment of a Chair of Chemical Engineering Technology in the College of Science and Engineering and a Chair of Infectious Diseases and HIV in the College of Medicine and Veterinary Medicine.

15 University Executive Communications Verbal

The Executive agreed there would be communication on the Teaching and Academic Careers Task Group, the proposed doctoral college and work on the Staff Experience.

16 Date of Next Meeting

The next meeting will take place on Tuesday 30 July 2019 at 10 am in the Raeburn Room.



UNIVERSITY EXECUTIVE

30 July 2019

Helping us to make good decisions: Major International Collaborations

Description of paper

1. This paper sets out the process for consideration, support and approval of major international collaborations.

Action requested/Recommendation

2. The University Executive is asked to consider and note the contents of the paper.

Paragraphs 3-17 have been removed as exempt from release due to FOI.

Risk Management

18. The University has low appetite for risk in the conduct of any of its activities that puts its reputation in jeopardy and the clarification of processes for international collaborations is part of mitigating that risk.

Equality & Diversity

19. Equality and diversity considerations will be considered as appropriate as part of the approval process.

Paragraphs 20-21 have been removed as exempt from release due to FOI.

Consultation

Decision-making & Support for other Collaborations

22. The process of developing this paper has involved Edinburgh Global, Legal Services, Academic Services and Governance & Strategic Planning. It is clear from those discussions that partnership & collaboration are an increasingly normal part of our business and that our current processes are “dispersed, detailed and clunky” at present, involving a wide range of central professional services departments, along with College Offices.

Further information

23. Author and Presenter

Tracey Slaven, Deputy Secretary Strategic Planning

Freedom of Information

24. This is a closed paper.



UNIVERSITY EXECUTIVE

30 July 2019

Pensions communications and the wider communications context

Description of paper

1. This paper sets out proposals for communicating to staff about forthcoming pension changes: to raise awareness and to provide a clear package of guidance and support for staff. A major consideration for these communications is the wider context of connected strategic initiatives that will be rolled out over the coming months, and to ensure that these are planned in a coordinated and holistic way.

Action requested/Recommendation

2. University Executive is asked to note the communications proposals below, and to note the wider context of forthcoming communications requirements.

Background and context

3. The Universities Superannuation Scheme (USS) has put forward three options for finalising the 2018 pensions valuation, all of which require an increase in contributions. All of these options are challenging and none is ideal for employers or employees. However, to maintain current benefits and to address the ongoing USS deficit, it is clear that additional contributions will be required until at least the next proposed valuation.

4. Communications to staff about current pension discussions have continued since 2018, providing updated pension information at key periods of time around member consultations. As current negotiations continue, staff will require up to date information about proposals for an increase in contributions and their impact.

5. The University and College Union (UCU) will be balloting members from 9 September until 30 October around pay and pensions, and possible industrial action. All Staff were emailed on 16 July with an update on National Pay Negotiations.

6. Throughout August and September, a number of key strategic priorities for the University will be implemented, all of which will have an impact on staff. In order to ensure that the messaging has maximum impact in terms of awareness and buy-in, communications planning will consider how best to sequence these communications.

7. Staff experience is the 'golden thread' that runs throughout all of these communications, which need to effectively demonstrate how the University is informing and supporting staff across a range of initiatives.

Discussion

8. A timeline of forthcoming communications requirements is shown in Appendix 1. This sets out the major themes that need to be considered as part of the package of communications.

9. A clear priority is that all of these activities are considered together in terms of how and when communications are rolled out to managers and staff. The benefits of

considering these collectively with a coordinated communications approach will feed into improved staff experience through:

- Engaged leaders and managers acting as ambassadors
- Informed and supported staff, through open and honest communications



10. Communications planning around these pension changes focuses on the key activities detailed below in points 11-15.

11. Timescale: to ensure that staff are fully informed before any changes take place, communications will start in mid-August when most staff have returned from summer holidays, and children have returned to school.

12. Key messages: these will include an explanation of how the current pension scheme is financially unsustainable given current contribution rates and the prevailing economic conditions; the increasing financial burden to the University; and that the University and union members have joint responsibility to enable improvements to be made to ensure a sustainable and valued future.

13. Management support: managers have an important role to play in contributing to awareness raising around pension changes. Managers will be provided with a briefing document and FAQs to assist with questions that staff may have. Since managers will also be affected by any pension changes, these briefings will be factual and

independent, so that managers can effectively signpost key information. Guidance will also be provided to SLT on what measures the University is taking to work towards a Sustainable Surplus, as part of planning around the wider context.

14. Staff sessions: a programme of face to face sessions and presentations will be held for staff to provide facts about the proposed pension changes, and to ask questions. These sessions will be delivered by independent advisors Mercer's, who have provided such sessions during 2018 which were well attended and garnered very positive feedback.

These sessions will provide clarity around:

- *What is a pension?* – covering the pensions basics and an independent overview of the pension landscape covering each of the schemes: USS, SBS and NEST
- *What will be the impact on me?* – an update on the proposed changes, with scenarios of cost implications for different Grades, explanations of key points for example what '*no detriment*' means, and explaining that timings are a movable feast
- *What do pensions mean to UoE?* – including the commitment of the University as a responsible employer to encourage and contribute to 'savings for retirement', what is affordable and realistic, and does not adversely impact the ability of the University to deliver its strategic objectives; and information on the cost challenges in a wider HE context.

15. Supporting materials: a suite of printed and digital materials will be produced to support communications, including presentations for Directors and Heads of School, web content and a pay calculator, social/digital graphics and posters, films/animations. HR will also include updated information in the induction process.

Resource implications

16. Communications will be delivered using existing resource from HR, Finance and Communications & Marketing.

Risk Management

17. A full list of risks and mitigation will be included in the outline communications plan. The main risk during this unsettling period is mistrust from staff, which this communications proposal seeks to address.

18. The Contingency Group has been reconvened to discuss mitigation around any potential industrial action in late 2019 and early 2020, learning lessons from the 2018 action.

Next steps & Communication

19. Communications and Marketing will work with the HR and Finance departments to finalise the plan of activities, and work with key contacts as required. Sign off of key communications will be determined on a case by case basis, with input from SLT as required.

Consultation

20. Communications and Marketing have discussed this package of communications with HR and Finance, as above.

Further information

21.

Author

Philip Graham
Head of Internal Communications
23 July 2019

Presenter

Rob Tomlinson
Deputy Director, Communications

Freedom of Information

22. Open.

Appendix 1 – timeline

Date	Action	Key audience	Responsibility
9 July 2019	Teaching Promotions	- Heads, for advance awareness and cascading - Academic staff	HR/CAM
July	Sustainable IT	- Heads, for advance awareness and cascading - Line managers - All staff	IT
16 July	Email on pay negotiations update	All staff	HR/CAM
w/c 22 July	SBS pension update on Staff News	SBS members	HR Finance CAM
August onwards	Student experience communications and engagement	- Heads, for advance awareness and cascading - All students	CAM
w/c 19 August	Start of Pensions communications	- Heads, for advance awareness and cascading - All staff - Members of USS, SBS, NEST	HR Finance CAM
September onwards	Staff engagement following the staff survey	- Leaders - Line managers	HR CAM
9 September	Welcome Week messaging from the Principal covering key priorities for the year	- All staff - All students	CAM Principal's office
9 September	Strategic plan rollout including values, and engagement plan	- Heads, for advance awareness and cascading - Champions - All staff - All students	CAM GASP Principal's office
September-November	Pay negotiations and planning for possible industrial action	- Contingency group - Leaders - All staff - All students	SLT HR CAM
October/November	Brexit updates and Town Hall sessions	- Leaders (Brexit planning guidance) - Managers - All staff	CAM Principal's office HR Edinburgh Global



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30 July 2019

Handling of Student Complaints which Relate to Staff Conduct

Description of paper

1. This paper articulates the procedure which will be followed in the event of a formal complaint by a student about the conduct of a current member of University staff.

Action requested/Recommendation

2. University Executive is asked to note the attached high-level articulation of the procedure which will be followed to investigate and respond to a formal complaint from a student regarding the conduct of a current member of staff.

Paragraphs 3-9 have been removed as exempt from release due to FOI.

Risk Management

10. It is possible that the transparency which results from the publication of the procedure, even in summary form, will result in an increase in the volume and nature of student complaints against University staff. Having a clear procedure, and trained staff, will however reduce the time taken to investigate the complaint and reduce the stress and anxiety for both the student and staff member.

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

Consultation

18. The attached articulation has been jointly developed by Academic Services, HR and Legal Services and in partnership with EUSA Sabbatical Officers. It has been discussed with the joint unions and further consultation is scheduled for 31 July 2019 regarding the interface with the staff disciplinary policy which is currently actively under review as part of the SEP/HRTP Employment Standardisation Project.

Further information

19.

Author

Linda Criggie
Deputy Director of HR
(Employee Relations)
22 July 2019

Presenter

Leigh Chalmers
Director of Legal Services

Freedom of Information

20. Closed – pending further consultation with the trade unions.



UNIVERSITY EXECUTIVE

30 July 2019

Director of Finance's Report

Description of paper

1. The paper reports on the latest University management accounts (excluding subsidiaries) position up to the end of June 2019 (period eleven). Also included is a Special Focus Update on TRAC benchmarking data for the years 2016-17 and 2017-18.

Action requested/Recommendation

2. The University Executive is asked to review and comment on the latest update.

Background and context

3. The paper provides a regular update on finance related issues for the University Executive.

Paragraphs 4-10 have been removed as exempt from release due to FOI.

Resource Implications

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

Risk Management

12. The University manages its financial risk by not breaching the Group risk appetite as described in its financial metrics. A key metric is that our unrestricted surplus should be at least 2% of total income (the current Finance Strategy provides a target surplus range of 3% - 5% to remain sustainable).

13. The 2017/18 Financial Statements demonstrate that our overall surplus was lower than strategic target, though unrestricted funds target was met. The Group Quarter Three forecast for 2018/19 projects a 2.2% operational surplus. This will be monitored very closely and we will continue to report this key financial forecast to committees.

Equality & Diversity

14. 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

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

Consultation

16. The paper has been reviewed by Lee Hamill, Director of Finance.

Further information

17. Author

Rachael Robertson
Deputy Director of Finance

Presenter

Lee Hamill
Director of Finance

Stuart Graham
Head of FIRST (Financial Information,
Reporting & Strategy Team)
15 July 2019

Freedom of Information

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



UNIVERSITY EXECUTIVE

30 July 2019

**People Report
(Incorporating work of People Committee and Human Resources)**

Description of paper

1. This paper provides an update on people related matters being taken forward by Human Resources and other University departments.

Action requested/Recommendation

2. The Committee is requested to note the content of this paper.

Background and context

3. This paper is an update on the paper presented to University Executive on 25 June 2019.

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

Resource implications

14. Resources will be met from within existing budgets unless outlined in the paper.

Risk Management

15. The University has a low risk appetite for both compliance risks and people risks.

Equality & Diversity

16. Equality issues will be considered on a case by case basis for each individual project/piece of work.

Next steps/implications

17. Future reports will be presented to the University Executive.

Further information

18. Author and Presenter
James Saville,
Director of Human Resources
18 July 2019

Freedom of Information

19. This paper is closed.



UNIVERSITY EXECUTIVE

30 July 2019

Strategic Plan: 2019

Description of paper

1. The paper presents the Strategic Plan final text approved by Court on 17 June 2019.

Action requested/Recommendation

2. The University Executive is asked to note the text.

Paragraphs 3-5 have been removed as exempt from release due to FOI.

Risk Management

6. Consideration of risks and opportunities and institutional response to them is a key component of the development process.

Equality & Diversity

7. An Equality Impact Assessment will be conducted as part of the development process. This reflects the importance of strategy in guiding decision-making across the university.

Next steps/implications

8. We anticipate publishing around September 2019. We are also developing options on presentation and the look and feel of the published Plan. Our aim is to promote this as an online document (interactive and updatable PDF), although we will produce hard copies to meet the needs of different stakeholders.

9. Simultaneously, we will work with Communications & Marketing to produce supplementary guidance which will help us all own and engage with the Plan.

Consultation

10. The decision to renew the strategic plan was an outcome from the strategic away session for the senior management team in June 2018. In developing this final text we have consulted widely, collating feedback to inform the iteration of the plan throughout.

Further information

11. Work on the process is being co-ordinated through the Governance and Strategic Planning team (strategic.plan@ed.ac.uk) who may be contacted for more information.

12. Author & Presenter

Tracey Slaven

Deputy Secretary Strategic Planning

Freedom of Information

13. The paper is closed until publication.



UNIVERSITY EXECUTIVE

30 July 2019

Export Control and Sanctions Policy

Description of paper

1. The University does not have a current policy to address current international and national export control and sanction laws. This paper outlines the need for such a policy and proposes a draft version for consideration.

Action requested/Recommendation

2. University Executive is asked to consider and approve the draft policy, or propose amendments.

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

Risk Management

7. No risks have been identified as a result of this policy. The policy serves to mitigate existing risk.

Equality & Diversity

8. There are no Equality and Diversity aspects to this policy.

Next steps & Communications

9. If approved, the policy will be implemented and communicated to key stakeholders across the institution.

Consultation

10. This policy has been developed in consultation with colleagues from Edinburgh Global, Research Support Office, Legal Services and Edinburgh Innovations. Furthermore, external guidance from the previous head of the Export Control Unit in the FCO was received. The draft policy was reviewed and approved by the Research Policy Group.

Further information

11. Author

Stuart Easter
Edinburgh Global
July 2019

Presenter

Tracey Slaven
Deputy Secretary Strategic Planning

Freedom of Information

12. Closed for commercial confidentiality.



UNIVERSITY EXECUTIVE

30 July 2019

Data Protection Policy Update

Description of Paper

1. Following the milestone that was the first anniversary of the General Data Protection Regulation (GDPR) coming into force, the Information Commissioner's Office (ICO) has released a report titled 'GDPR: One year on'.

Background

2. The University's Data Protection Officer (DPO) has now been in post for two years and implementation of the GDPR has progressed considerably. As advised by the ICO during her annual conference last year, priority for implementation was given to outward-facing measures. Since then, the University has progressed further towards compliance but has also had several data protection breaches.

Action/Recommendation

3. University Executive is asked to note the report and the University's actions to date as well as the examples of data protection breaches and University's handling of the breaches.

Relevant sections of the ICO's report

Increased awareness of data subject rights

4. The University has seen a reflection of this increase in the number of requests for the erasure of all personal data through a website called DeseatMe, which sends automated messages to all emails with 'dpo' or 'data protection' in the name. We respond by asking for clarification, i.e. which part of the University the person had dealings with. So far, none of individuals ever replied. We received several real requests for erasure, such as from unsuccessful applicants, which Student Systems deal with.

5. The University has also seen an increase in Subject Access Requests (SARs) from 37 in 2017 to 54 in 2018 and 35 so far in 2019. In addition to the increase in volume, the requests have become more complex, requiring searches of, for example, CCTV footage.

Organisational reactions to GDPR

6. The ICO has once more received nominations for the Practitioner's Award for Excellence in Data Protection and points out that what is required is a creative and dynamic way to embed data protection into business and to normalise the new regulations. In the University we have not quite reached the stage of having GDPR reach this routine status, the implementation phase is not yet finished. There is, however, visible progress made, such as the requirement pointed out by the report to have an accountability framework in place.

7. Once more, the report points out the importance of a well-supported DPO, particularly for large organisations with the majority of DPOs considering this to be the case for them.

ICO guidance

8. The University has implemented all guidance issued by the ICO and was particularly pleased that research is facilitated under GDPR and guidance. Recent ICO advice regarding anonymisation has been particularly welcome and is now being disseminated among researchers.

Draft codes

9. The ICO will open consultations for the new data sharing code and direct marketing code. It is advised that the University respond to these consultations when they go live. For the response to the direct marketing code consultation, collaboration with CAM will be sought.

Paragraphs 10-14 have been removed as exempt from release due to FOI.

Public concerns

13. The ICO has seen an increased number of reported concerns from members of the public. Several individuals have reported the University to the ICO for alleged infringements of their rights. We were able to refute some of these claims, while others were upheld, though without sanctions.

Resources

14. All GDPR implementation projects and processes are integrated into normal planning and are resourced locally. ISG has prioritised implementation within IS APPS workload.

Risk Management

15. Compliance with the GDPR will be a statutory requirement. Failure to comply having potentially financial and reputational impacts.

Equality & Diversity

16. Enhanced privacy and data protection, objectives of the GDPR, would be expected to support equality and diversity.

Further information

17. Author

Dr Rena Gertz
Data Protection Officer
23 July 2019

Presenter

Tracey Slaven
Deputy Secretary, Strategic Planning

Freedom of Information

18. Paper is open.



UNIVERSITY EXECUTIVE

30 July 2019

Access Protocols to Golden Copy Data

Description of Paper

1. To enable lawful data sharing within the University, and to keep a record of data sharing activities, two Protocols have been drafted. The two Protocols are attached as Appendix A and B.

Background

2. Internal data sharing and access to data is of vital importance to the University's business and it is important that this is neither impeded nor conducted in a way that would breach data protection laws. Also, the GDPR requires the University to keep a record of all data processing activities. To enable this, two access protocols have been drafted: one for one-off requests for copies of data held in centrally managed University systems (the so-called golden copies) and one for regular data feeds or regular access to golden copy data.

Action/Recommendation

3. University Executive is asked to note the Protocols as a further step towards GDPR compliance.

The Protocols

4. Sharing data internally needs to be appropriate to the purposes of processing and in line with any communications, such as Privacy Notices, that outline how the University will process personal data. The two Protocols provide Data Stewards with a quick overview of the legalities of any request for data to allow an immediate assessment.

5. Moreover, the two Protocols are intended to further promote compliance with the GDPR's Accountability Principle. This principle requires that the University keep a record of all decision-making processes and data processing. The use of personal data 'owned' by one area of the University will be recorded on the Data Processing Register of this area and. If another area needs to use a copy of the data for a different purpose, then the onus is on that area to prove to the Data Steward that they comply with the legislation, i.e. that they have a lawful basis for processing and that the data subjects have been informed of the activity. The new processing activity might require a Data Protection Impact Assessment and might need to be recorded in the area's Data Processing Register. The Data Steward will assess the Protocol and either approve the request or require amendments to be made.

6. There are two types of requests for data: the first one is a one-off request and covers provision of data in the form of spreadsheets, files, or data dumps, typically for analysing or for creating one-off reports. The second one is a request for either regular data feeds or access, e.g. monthly, annually, or at other set intervals. It also covers access via APIs, database views, file exports and any other process for sharing data between applications.

7. Training will be provided to all Data Stewards and the individuals to whom the Data Stewards may delegate the assessment of requests.

Resources

8. All GDPR implementation projects and processes are integrated into normal planning and are resourced locally. ISG has prioritised implementation within IS APPS workload.

Risk Management

9. Compliance with the GDPR will be a statutory requirement. Failure to comply having potentially financial and reputational impacts.

Equality & Diversity

10. Enhanced privacy and data protection, objectives of the GDPR, would be expected to support equality and diversity.

Further information

11. Author

Dr Rena Gertz
Data Protection Officer
30 July 2019

Presenter

Tracey Slaven
Deputy Secretary Strategic Planning

Freedom of Information

12. Paper is open.

Protocol for Access to University Data – one-off requests

Purpose

The purpose of this protocol is to define the process and conditions for obtaining approval for one-off copies of University administrative data, and the steps required before that data can be provided.

Audience

Data Stewards, Service Owners, and any other people who manage data on behalf of the university. Data Analysts and any other people who request copies of University data for analysis, business intelligence reports, or other uses.

1. Introduction

This protocol relates to one-off requests for copies of data held in centrally managed University systems (the so-called golden copies). It covers provision of data in the form of spreadsheets, files, or data dumps, typically for analysing or for creating one-off reports.

When requesting access to data, it is important to gain the approval of the data steward of the golden copy of that data, in addition to the service owner of any intermediate applications.

This protocol does not apply to individual users requesting access to IT applications and business intelligence tools, who should request access to the IT application via the service owner.

There is a separate protocol for requesting regular, on-going access via a data feed or API.

2. How to Progress Approval

Before requesting a copy of data, please check whether you/a colleague/your team already have access to this data via an IT application or an existing report or dashboard. Only proceed with this protocol if you do not have such access.

In the first instance, contact the appropriate Data Steward with the required information set out in the remainder of this document. Individual Data Stewards may add specific requirements in addition to the general requirements given here. Details of the data sets available and the corresponding Data Stewards is maintained in the Golden Copy Data Catalogue.

Any request for copies of data must be approved by the Data Steward. It is expected that business advice may be required when completing a request and Data Stewards should provide such support is available.

If the data item contains personal data and/or special category data, the Data Protection Office (DPO) must be copied into the request and approval. For a definition of 'personal data', please see here:

<https://www.ed.ac.uk/records-management/guidance/information-legislation/data-protection/definitions/personal-data>

By requesting access to this data, you are agreeing to all points in section 3 about access to and use of data.

Any request must include a response to each item listed in sections 4, 5 and 6 which will be assessed for approval by the Data Steward.

3. Access to and the use of data

All University data is classified as Unrestricted, Restricted, or Confidential. In addition, data about people is considered Personal Data, and some personal data is considered Special Category Data. Anyone handling University data is required to understand these classifications. For more information, see the following web page:

<https://www.ed.ac.uk/information-services/enterprise-architecture/university-data/confidentiality-governance>

By requesting access, you are agreeing to the following:

3.1. General Requirements for all Requests (including Unrestricted Data)

- 3.1.1. The data must not be modified, amended or altered so that their meaning and/or value is changed. Any data changes must be notified to the Data Steward respectively Service Owner and, where required, actioned within the Golden Copy.

3.2. Additional Requirements for Restricted Data

- 3.2.1. Users must be strictly limited to those who have a genuine business need to see the data. The Data Steward may add a requirement that users must agree to terms and conditions specific to their data set.
- 3.2.2. The creation of a Security Code of Practice as per Information Security policy.
<http://www.ed.ac.uk/information-services/about/policies-and-regulations/security-policies/security-policy>

3.3. Additional Requirements for Confidential Data

- 3.3.1. Access to confidential data must be particularly controlled and those members of staff accessing the data must have special authorisation and training.

3.4. Additional Requirements for Personal Data and Special Category Data

The requirements for Restricted data apply to all Personal data, and the requirements for Confidential data apply to all Special Categories of Personal data. In addition, the following requirements apply to all Personal data.

- 3.4.1. If the data is anonymised, it must not be combined with other anonymised data in a way that easily identifies individuals.
- 3.4.2. If the activity is statistical, data must be rounded or otherwise anonymised to prevent the identification of individuals.
- 3.4.3. Any external disclosures of data about students must be in accordance with <http://www.ed.ac.uk/records-management/data-protection/guidance-policies/student-information>
Any security or data breaches/losses must be reported to the Data Steward and in accordance with the data protection breach management procedures.

<https://www.wiki.ed.ac.uk/pages/viewpage.action?spaceKey=FoIP&title=Data+protection+breach+reporting>

4. Data specification

List here exactly what data will be provided, both in terms of the data items and the population:

5. Data usage

5.1.1. Describe what the data will be used for and by whom it will be used.

5.1.2. For any confidential data items or special categories of personal data, provide particular justification as to why access is required to these items.

6. Data Governance Requirements

Please respond to each of the following points.

6.1. General Requirements for all Requests (including non-personal data)

6.1.1. Who is the nominated individual who will be responsible for the data.

6.1.2. Will the data be supplied to any other party?

- Yes
- No

6.1.3. What are your retention times for the data? Consult the relevant privacy notice to align retention times and confirm that the data will be permanently deleted when no longer needed.

6.2. Additional Requirements for Restricted or Confidential Data

6.2.1. Declare the use of third party service providers, which must be approved by the Data Steward.

- Any third party service involving the capability to view the data must be approved by the Data Steward and must be governed by a contract containing the appropriate terms. Contact Legal Services for contract templates.
- If data is to go off site, the Data Steward must quality assure and approve the population before development work commences. You must define each individual data item, and the purpose to which it will be used. Confidential data items will require significant justification as to their essential need.

6.2.2. Declare the mechanism by which unauthorised access to the data is prevented.

6.2.3. Describe the procedure for removing access from staff who leave or change job roles

6.3. Additional Requirements for Personal Data

7.3.1 Describe what the data is being used for, the legal basis for this use, and by whom it will be used. You can find the appropriate legal basis here:

<https://www.ed.ac.uk/records-management/guidance/checklist/legal-basis>

7.3.2 For any special category data items such as data about a subject's health, race, ethnicity, religious beliefs, political opinions, trade union membership, genetic data, biometric data or sexual orientation, provide particular justification and legal basis why access to these items is required.

7.3.5 Describe whether a DPIA has been conducted or why this was not necessary.

7.3.6 Declare if the data will leave the European Economic Area.

- Transferring personal data to a data controller in a country outside the European Economic Area (EEA) must be authorised by the Data Steward.
<https://www.ed.ac.uk/records-management/data-protection/guidance-policies/transferring-data/data-controller-non-eea>

7.3.7 Declare any intention of using the data for profiling, marketing or fundraising activities.

7.3.8 Please be aware that in case of data subject requests for rectification, erasure and restriction, we will require you to work with the Data Steward in complying with the request.

Protocol for Access to University Data – regular data feeds/APIs

Purpose

The purpose of this protocol is to define the process and conditions for obtaining approval for access to University data, and the steps required before that data can be deployed.

Audience

Data Stewards, Service Owners, and any other people who manage data on behalf of the university. System Managers, Service Owners and any other people who request access to University data for use in their systems or business intelligence tools.

1. Introduction

This protocol relates to regular data feeds or regular access to data held in centrally managed University systems (the so-called golden copy), e.g. monthly, annually, or at other set intervals. It covers access via APIs, database views, file exports and any other process for sharing data between applications.

When requesting data feeds or access to data, it is important to gain the approval of the data steward of the golden copy of that data, in addition to the service owner of any intermediate applications. This protocol does not apply to individual access to IT applications and business intelligence tools, rather, it is the service owner of an area requiring access or a data feed who needs to apply via this protocol.

2. How to Progress Approval

In the first instance, contact the appropriate Data Steward with the required information set out in the remainder of this document. Individual Data Stewards may add specific requirements in addition to the general requirements given here. Details of the data sets available and the corresponding Data Stewards is maintained in the Golden Copy Data Catalogue.

Any requests for data feeds or access must be approved by the Data Steward. It is expected that business and technical advice may be required when completing a request and Data Stewards should provide such support is available.

If the data item contains personal data and/or special category data, the Data Protection Office (DPO) must be copied into the request and approval. For a definition of 'personal data', please see here:

<https://www.ed.ac.uk/records-management/guidance/information-legislation/data-protection/definitions/personal-data>

By requesting data feeds or access, you are agreeing to all points in section 3 about access to and use of data.

Any request must include a response to each item listed in sections 4, 5 and 6 which will be assessed for approval by the Data Steward.

Once a request is approved, any development work required will be assessed and prioritised against the existing programme of work by the Service Owner.

After deployment, the Data Steward will write to the requesting system owner annually to confirm that the position remains unaltered. Where an interface/access exists but the scope is to change, a further request is required.

3. Access to and the use of data

All University data is classified as Unrestricted, Restricted, or Confidential. In addition, data about people is considered Personal Data, and some personal data is considered Special Category Data. Anyone handling University data is required to understand these classifications. For more information, see the following web page:

<https://www.ed.ac.uk/information-services/enterprise-architecture/university-data/confidentiality-governance>

By requesting access, you are agreeing to the following:

3.1. General Requirements for all Requests (including Unrestricted Data)

- 3.1.1. The data must not be modified, amended or altered so that their meaning and/or value is changed. Any data changes must be notified to the Data Stewart respectively Service Owner and, where required, actioned within the Golden Copy.

3.2. Additional Requirements for Restricted Data

- 3.2.1. Users must be strictly limited to those who have a genuine business need to see the data. The Data Steward may add a requirement that users must agree to terms and conditions specific to their data set.
- 3.2.2. Staff using a receiving system must be trained in its use and that the data is restricted.
- 3.2.3. The creation of a Security Code of Practice as per Information Security policy.
<http://www.ed.ac.uk/information-services/about/policies-and-regulations/security-policies/security-policy>

3.3. Additional Requirements for Confidential Data

- 3.3.1. Access to confidential data must be particularly controlled and those members of staff accessing the data must have special authorisation and training.

3.4. Additional Requirements for Personal Data and Special Category Data

The requirements for Restricted Data apply to all Personal Data, and the requirements for Confidential Data apply to all Special Categories of Personal Data. In addition, the following requirements apply to all Personal Data.

- 3.4.1. If the data is anonymised, it must not be combined with other anonymised data in a way that easily identifies individuals.
- 3.4.2. If the activity is statistical, data must be rounded or otherwise anonymised to prevent the identification of individuals.
- 3.4.3. Any external disclosures of data about students must be in accordance with <http://www.ed.ac.uk/records-management/data-protection/guidance-policies/student-information>

- 3.4.4. Any security or data breaches/losses must be reported to the Data Steward and in accordance with the data protection breach management policy.
<http://www.ed.ac.uk/records-management/data-protection/data-protection-policy>

4. Data specification

4.1 Provide information regarding the requirement for the data feed.

- 4.1.1. List here exactly what data will be in the feed, both in terms of the data items and the population and provide a project or UniDesk reference detailing the proposed feed

- 4.1.2. What is the feed between?

- 4.1.3. Why is it required / rationale? (5.1.1 only asks what data will be used, not why the feed is required in the first place)

5. Data usage

- 5.1.1. Describe what the data will be used for and by whom it will be used.

- 5.1.2. Detail the nature of the delivery of the data, including the rate of refresh, for example whether updates will propagate in actual time or via nightly/weekly download.

- 5.1.3. For any confidential data items, provide particular justification as to why access is required to these items.

6. Data Governance Requirements

Please respond to each of the following points.

6.1. General Requirements for all Requests (including non-personal data)

6.1.1. Who is the nominated individual responsible for the receiving system and the data it contains?

6.1.2. Will the data be supplied to any other system?

Yes

No

6.1.3. What are your retention times for the data? Consult the relevant privacy notice to align retention times and confirm that the data will be permanently deleted when no longer needed.

6.2. Additional Requirements for Restricted or Confidential Data

6.2.1. Declare the use of third party service providers, which must be approved by the Data Steward.

- Any third party service involving the capability to view the data must be approved by the Data Steward and must be governed by a contract containing the appropriate terms. Contact Legal Services for contract templates.
- If data is to go off site, the Data Steward must quality assure and approve the population before development work commences. You must define each individual data item, and the purpose to which it will be used. Confidential Data items will require significant justification as to their essential need.

6.2.2. Define what testing steps (in terms of validity of the population and data items) will be undertaken and by whom.

- In addition to other suitable testing steps, the Data Steward may require that their staff test the output against the specification and sign it off before it can be deployed.

6.2.3. Declare the mechanism by which unauthorised access to the data is prevented. Individual staff must have access approved by their line manager.

6.2.4. Describe the procedure for removing access from staff who leave or change job roles

6.3. Additional Requirements for Personal Data

- 7.3.1 Describe what the data is being used for, the legal basis for this use, and by whom it will be used. You can find the appropriate legal basis here:

<https://www.ed.ac.uk/records-management/guidance/checklist/legal-basis>

- 7.3.2 For any special category data items such as data about a subject's health, race, ethnicity, religious beliefs, political opinions, trade union membership, genetic data, biometric data or sexual orientation, provide particular justification and legal basis why access to these items is required.

- 7.3.3 Describe whether a DPIA has been conducted or why this was not necessary.

- 7.3.4 Declare if the data will leave the European Economic Area.

- Transferring personal data to a data controller in a country outside the European Economic Area (EEA) must be authorised by the Data Steward.

<https://www.ed.ac.uk/records-management/data-protection/guidance-policies/transferring-data/data-controller-non-eea>

- 7.3.4 Declare any intention of using the data for profiling, marketing or fundraising activities.

- 7.3.5 Please be aware that in case of data subject requests for rectification, erasure and restriction, we will require you to work with the Data Steward in complying with the request.



UNIVERSITY EXECUTIVE

30 July 2019

Windows 10 Programme Update

Description of paper

1. This paper presents the current status of the Windows 10 Programme, the resources required to maintain and transition the legacy Windows client device estate, and the current risks.

Action requested / Recommendation

2. The University Executive is invited to note the current programme status and resource requirements.

Background and context

3. A programme is underway to migrate the University's Microsoft Windows client devices to the current operating system, Windows 10. The programme is being delivered via a series of linked projects to (i) design the new service model for the Windows managed client device service, (ii) upgrade centrally managed standard client devices, (iii) upgrade centrally managed specialist client devices, and (iv) migrate locally managed devices.

4. Traditionally Microsoft have released major versions of the desktop operating system every five years. With Windows 10 Microsoft are moving to a frequent release model, with smaller updates being released every six months. The Windows 10 programme has to both navigate the major technology change of transitioning a major release from Windows 7/8 to Windows 10, but also has to put in place the processes and technologies to deliver these frequent updates.

5. There are two legacy Windows desktop operating systems which the University is migrating from: Windows 7 operating system is at end of standard support in January 2020, with Windows 8 reaching end of support in January 2023. The immediate focus of the project is on upgrading all Windows 7 client devices to Windows 10. The University has approx. 20,000 Windows desktops. Currently 60% of have been migrated to Windows 10, with 7% running Windows 8 and 34% running Windows 7.

Discussion

6. The recent release of the final *In Place Upgrade* migration method allows staff to self-manage their upgrade, and to preserve their current configurations and applications. This will accelerate the migration programme.

7. The main challenges faced by the programme are largely due to the complexity of the University's client device estate:

- a) not all Windows client devices run on hardware from the centrally supported Windows client device list : staff purchase devices which are outside the centrally supported model - sometimes to meet specialist needs, and sometimes for personal preference; and

b) the University does not have a uniform client device replacement cycle : some areas adhere to best practice, whilst others carry a legacy of older systems, some of which are incapable of running Windows 10.

8. Into the future, the “Sustainability and Rationalisation of Personal Computing Devices Policy” which will address the sustainability and rationalisation of the University’s client device devices will provide a path to address these challenges.

9. We have to consider the standardisation of the estate ongoing and the resources required to maintain diversity of technology, but also to recognise the tension between standardisation and centralisation for efficiency and the local and devolved resources required to support different use cases.

10. In some areas there is not complete asset data on numbers and types of Windows client devices and this will be matured during rollout to academic areas over the coming 6 months.

11. It is not expected that all devices currently on Windows 7 and 8 will migrate to Windows 10 by end of standard support (Jan 2020). These will be supported over the coming year on an *as is* basis, with their software updates coming directly from Microsoft to ensure the systems remain patched to minimise information security risks and by continuing to provide the current University management services for application software updates on a minimal support basis.

12. Windows 7 devices not migrated by January 2020 will incur an additional extended support subscription charge from Microsoft for provision of software updates. The additional cost to the organisation is £11 ex-VAT per year per device.

Resource Implications

13. Appendix A presents the estimates for the number of devices which will remain on Windows 7 by January 2020. It also details the number of devices which are not capable of running Windows 10: these devices are over five years old and the manufacturer is not providing the necessary hardware drivers to run under Windows 10.

14. The estimated institutional cost of sustaining the Windows 7 client devices for an additional year to enable the migration programme to complete is £18,559.

15. The estimated institutional cost of replacing all of the Windows client devices unable to run Windows 10 is £714,636. This is likely to be an upper estimate as some of these devices will be retired and not replaced.

16. The above costs are based on estimation of client device numbers from CMVM and CSE, where full client inventory lists are not available.

17. There are requests from Colleges to increase the range of client devices on the centrally supported Windows client device list. This may require additional ISG staff resources to broaden the range of supported devices, though this may be achieved by partner working, secondment or transfer of resources from Colleges who currently locally support such devices.

Risk Management

18. Windows client devices account for approx. 90% of all client devices. The management of these devices – especially the delivery of software patches to address known security vulnerabilities – reduces the overall information security risk to the University.

19. *There are two risks related to the standardisation of Windows client devices:*

- If the client device list is too restrictive, then there could be a failure to meet academic need
- Widening the current device list may increase central costs in supporting a wider range of devices

20. There is a resource risk related to school staff resources required to facilitate the migration of devices to Windows 10. It is expected that the release of the latest In Place Upgrade migration will reduce the overall resources required to facilitate the overall migration.

Equality & Diversity

21. There are no equality or diversity implications from this paper.

Next steps/implications

22. Continuation of migration projects; maturing costs of sustaining and replacing the legacy estate with CMVM and CSCE; consulting on the current Windows supported device list; progressing the Client Device Policy.

Consultation

23. This programme is governed by the Windows 10 Programme Board, with senior representation from College and Professional Services groups. The issues presented in this paper have been discussed with the programme board and the data presented in Appendix A is validated by board representatives.

Further information

24. Author

Tony Weir
Director, IT Infrastructure

Presenter

Gavin McLachlan
Vice Principal and CIO

Freedom of Information

25. This paper is open.



UNIVERSITY EXECUTIVE

30 July 2019

**Health and Safety Quarterly Report: Quarter 3:
1 March 2019 – 31 May 2019**

Description of paper

1. This paper provides a summary of health and safety related incidents that took place during the period 1 March 2019 to 31 May 2019, as well as relevant health and safety issues and developments, to provide information and assurance to the University Executive (UE) on the management of health and safety matters. It includes the Report from the May 2019 meeting of the University Health and Safety Committee.

Action requested / Recommendation

2. The Executive is asked to note the contents of the report.

Paragraphs 3-13 have been removed as exempt from release due to FOI.

Risk management

14. The University has a low risk appetite for both compliance risks and for people risks. Monitoring of health and safety accidents, diseases and incidents ensures that risks to health are being managed and provides an early warning of more serious issues.

Equality & Diversity

15. This report raises no major equality and diversity implications, other than those associated with disabled evacuation.

Consultation

16. This paper, with minor alterations, will also be presented to the next appropriate meeting of the Audit and Risk Committee.

Further information

17. <u>Author</u>	<u>Presenter</u>
Suzanne Thompson	Hugh Edmiston
Director of Health and Safety	Director of Corporate Services
4 July 2019	

Freedom of Information

18. This paper is closed as its disclosure would substantially prejudice the legal interests of any person or organisation.



UNIVERSITY EXECUTIVE

30 July 2019

Jason Reese Chair of Multiscale Fluid Mechanics

Description of paper

1. The School of Engineering wishes to recruit a new Chair named after the late Regius Professor Jason Reese.

Action requested / Recommendation

2. The University Executive is invited to approve the establishment of this Chair in the School of Engineering.

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

Risk Management

12. The risk that we can't find a sufficiently eminent candidate will be managed by the formation of a targeted international search committee to draw up a list of top candidates from around the world. Care will be taken in the recruitment process to ensure that only candidates of the highest calibre internationally are considered for interview and selection, due to the prestige of the named Chair and the intention to find a candidate that will be competitive for the Royal Academy of Engineering Chairs in Emerging Technologies scheme.

Equality & Diversity

13. The culture of the School of Engineering is open and diverse and we are committed to reflecting that in our appointment process.

Next steps & Communications

14. If this proposal is approved by the University Executive, a Resolution will be drafted to formally establish the Chair.

Consultation

15. As Head of College, Vice-Principal Professor Dave Robertson is content with the paper.

Further information

16. Author

Professor Conchúr Ó Brádaigh
Head of School
20 June 2019

Presenter

Vice-Principal Professor Dave Robertson
Head of College of Science & Engineering

Freedom of Information

17. Closed paper for reasons of sensitivity towards bereaved family and colleagues.