



UNIVERSITY EXECUTIVE
Raeburn Room, Old College
25 February 2020, 10 am

AGENDA

- 1 **Minute** A1
To approve the Minute of the previous meeting held on 21 January 2020 and the note from the Away Day on 31 January 2020. A2
- 2 **Matters Arising & Action Log** A3
To raise any matters arising
- 3 **Principal's Communications** Verbal
To receive an update from the Principal

PRESENTATION

- 4 **UniForum Briefing** Verbal
To receive a presentation on the UniForum benchmarking exercise.

DISCUSSION ITEMS

- 5 **Director of Finance's Report** B
To comment on the update from Lee Hamill, Director of Finance.
- 6 **Gujarat Biotechnology University Update** C
To approve the paper from David Gray, Head of School of Biological Sciences.
- 7 **Responding to the Climate Emergency**
To consider and approve the papers from Dave Gorman, Director of Social Responsibility and Sustainability & Sandy Tudhope, University Lead on Climate Responsibility and Sustainability.
 - **General Update** D1
 - **Position on Carbon Sequestration and Carbon Offsets** D2
 - **Direction of Travel and Resource Implications for Planning** D3
- 8 **Service Excellence Programme Update** E
To note and discuss the paper from Sarah Smith, Vice-Principal Strategic Change & Governance and University Secretary.
- 9 **Freedom of Expression** F
To consider and comment on from Sarah Smith, Vice-Principal Strategic Change & Governance and University Secretary.
- 10 **Reputational Due Diligence** G
To approve the paper from Chris Cox, Vice-Principal Philanthropy.

- 11 People**
To *consider* and *note* the papers from James Saville, Director of Human Resources.
- **People Report** **H1**
 - **Pending Employment Legislation – the ‘Good Work Plan’** **H2**
- 12 Information Services**
To *consider* and *approve* the papers from the Vice-Principal & Chief Information Officer/Librarian to the University.
- **Research Publications and Copyright Policy: Open Access** **I1**
 - **Internet Access Management – URL Filtering** **I2**

ITEMS FOR NOTING OR FORMAL APPROVAL

- 13 University Sub-Committees and Standing Committees** **J**
To *note*.
- 14 AI & Data Ethics Advisory Board Annual Report** **K**
To *note*.
- 15 Closure of Agreed Management Actions from Internal Audit Reviews** **L**
To *note*.
- 16 Creation of New Chairs** **M1**
To *approve*. **M2**
- 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 24 March 2020 at 10 am in Raeburn Room.



UNIVERSITY EXECUTIVE

21 January 2020

[Draft] Minute

Present: Peter Mathieson (Convener)
Leigh Chalmers, Chris Cox, Sarah Cunningham-Burley, Gavin Douglas, David Gray, Lee Hamill, Colm Harmon, Gary Jebb, Richard Kenway, Wendy Loretto, Gavin McLachlan, Dorothy Miell, Theresa Merrick, Dave Robertson, James Saville, Jonathan Seckl, Tracey Slaven, James Smith, Sarah Smith, Sandy Tudhope, Andrew Wilson and Moira Whyte.

In attendance: Ashley Shannon (for Hugh Edmiston), Antony Maciocia (for paper D), Rachael Roberston, Fiona Boyd and Kirstie Graham.

Apologies: David Argyle, Hugh Edmiston and Andrew Morris.

1 Minute

Paper A1

The Minute of the meeting held on 17 December 2019 was approved as a correct record.

2 Matters Arising & Review of Action Log

Paper A2

The Principal noted that it had been reported at the last meeting that not all members had completed the online mandatory information security training and they were reminded to do so and to encourage colleagues to lead by example. There were no other matters arising and the action log was noted.

3 Principal's Communications

Verbal

The Principal reported:

- Hugh Edmiston would be leaving the University for a senior post at Singapore Management University and the Executive noted its congratulations and appreciation for all his work during his time at the University;
- Recent work by the Industrial Strategy Council to quantify the extent to which universities and colleges contribute to economic and social prosperity;
- His planned trip to Brussels as a member of UNA Europa, an alliance of eight leading research universities;
- The recent visit by Douglas Ross, Under Secretary of State for Scotland;
- That the UCAS deadline had passed and while overall applications were up, there was a reduction in Scots domiciled and rUK numbers while EU numbers were flat. Admissions teams will be encouraged to support diversity and quality of intake using gathered fields/gateways where appropriate to deliver business targets;

- There would be a series of Town Hall meetings throughout January to provide the opportunity for staff and students to engage on Strategy 2030, Brexit, the recent industrial action or any other issues they wish to raise.

DISCUSSION ITEMS

4 Supporting Black and Minority Ethnic Students and Staff

Paper B

The Executive considered the findings from two internal and two external reviews carried out in 2019 that raised questions about the experience of Black and Minority Ethnic (BME) students and staff at the University and in the sector. Common recommendations emerging from these include:

- The importance of strong institutional leadership;
- Having (possibly difficult) conversations about race;
- Increasing awareness and racial literacy among staff;
- Making better use of data;
- Supporting students and staff better if they experience racial harassment; and
- Considering how BME student and staff sense of belonging can be enhanced and supported.

There was a wide ranging discussion which agreed the importance of this work being taken forward and noted the crossover into the ongoing work on staff and student experience. It was agreed the University would commit to a programme of work to improve the experience of BME staff and students, with a taskforce established by Professor Sarah Cunningham-Burley under the Equality, Diversity & Inclusion Committee to drive forward the recommendations.

5 Confronting Slavery and Colonisation

Paper C

The Executive considered an approach to proactive and meaningful engagement with the University's historical relationship to slavery and colonisation. The paper recommended an exercise of engagement and reflection, with an external black public figure be invited to lead the process and a process of research, noting some research had already been undertaken through UncoverEd and support could be extended for this.

The Executive welcomed and supported the proposed approach and noted the synergy with the work to be undertaken under the aegis of the Equality, Diversity & Inclusion Committee and it was agreed there should be discussion on how to take these forward together.

6 The Case for Creation of a Doctoral College

Paper D

At its June meeting, the Executive approved the establishment of a short life working group to progress plans to develop a University level Doctoral College to enhance the co-ordination of doctoral education. The Executive considered the outcome of the working group, which recommended a largely virtual horizontal structure with an immediate soft launch followed by a hard launch in Autumn 2020.

There was extensive discussion on the opportunities but also the medium to long term resource requirements. It was agreed that the soft launch could proceed immediately and there should be further discussion to identify how this would be resourced longer term prior to the hard launch.

7 China Merchants Group Update

Paper E

The Executive considered an update on discussions with the China Merchant Group and noted there were a number of unresolved issues including ethics, governance and resource considerations that required further discussion. It was agreed to consider this further at the Executive away day on 31 January 2020.

8 Edinburgh BioQuarter

Paper F

The Executive noted the proposed first steps to formalise the partnership arrangement between the University, Scottish Enterprise, the City of Edinburgh Council and NHS Lothian (“the BioQuarter partners”). The Executive approved in principle the formation of a new limited company, with delegation of authority to the Vice Principal of Business Development/Director of Corporate Services to complete the detailed work and finalise the arrangements and the delegation of signing authority to the Vice-Principal Strategic Change and Governance/University Secretary for all associated legal documentation. This would now progress to Policy and Resources Committee for formal approval.

9 Director of Finance’s Update

Paper G

The Executive noted the University management accounts (excluding Subsidiaries) position up to the end of November (period four) and an update on the University Group Quarter One forecast position. It was noted that the Quarter One forecast operating surplus was down on the Court approved plan for 2019-20. There were Quarter Two review meetings scheduled with each of the budget areas in March and any adjustments will be consolidated following these meetings with the final results to be shared with the University Executive.

The Executive noted the Special Focus Updates on the early results of the 2018-19 Russell Group financial benchmarking exercise and a summary of the second report from the Joint Expert Panel looking at USS pensions.

10 People

- **People Report**

Paper H1

The update on people related matters was noted.

- **Updated Reward Policies**

Paper H2

The Executive considered the proposed updates to the University’s reward policies and approved three new policies: Job Grading, Regrading of Professional Services Jobs and Academic Promotions, noting the key changes and that these would be subject to regular review.

- **Updated Discipline and Grievance Policies** **Paper H3**

The Executive considered and approved changes to the following policies and procedures: Disciplinary policy; Grievance policy and employment related appeals procedure, noting the key changes and that these would be subject to regular review.

- **Support for non-EEA staff – Indefinite Leave to Remain Fees** **Paper H4**

The Executive noted the continuing lack of clarity regarding the future immigration regime post Brexit and agreed the University's visa reimbursement policy should be fully reviewed during 2020, with a view to having a new package of support in place for January 2021, the end of the Brexit implementation period.

ITEMS FOR FORMAL APPROVAL/NOTING

11 Concordat to Support the Career Development of Researchers **Paper I**

The Executive approved the University becoming a signatory to the revised Concordat to Support the Career Development of Researchers.

12 Service Excellence Programme Update **Paper J**

The Executive noted the periodic update on the Service Excellence Programme.

13 Planning Round Update **Paper K**

The Executive noted the update on the delivery of the medium-term improvements in the cost base during the 2019-22 planning round.

14 Closure of Agreed Management Actions from Internal Audit Reviews **Paper L**

The Executive noted the update on the closure of agreed management actions arising from Internal Audit reviews.

15 Health and Safety Quarterly Report **Paper M**

The Executive noted the summary of health and safety related incidents that took place during the period 1 September 2019 to 30 November 2019.

16 Staff Experience Committee Update **Paper N**

The Executive noted the summary of the Staff Experience Committee meetings that took place on 22 October 2019 and 17 December 2019.

17 Date of Next Meeting

The next meeting will take place on Tuesday 25 February 2020 at 10am in the Raeburn Room.

There will be a Strategic Away Day on Friday 31 January in St Trinneans Room, St Leonards Hall.

The following meeting dates for 2020/21 were approved:

- 18 August 2020
- 8 September 2020
- 6 October 2020
- 10 November 2020
- 15 December 2020
- 19 January 2021
- 23 February 2021
- 23 March 2021
- 20 April 2021
- 18 May 2021
- 22 June 2021
- 20 July 2021



UNIVERSITY EXECUTIVE

25 February 2020

Director of Finance's Report

Description of paper

1. This paper reports the latest¹ University management accounts (excluding Subsidiaries) position up to the end of December (period five). There is an update on USS matters as well as a Special Focus Update in Appendix 2 on the results of the 2018-19 Russell Group financial benchmarking exercise, which follows on from the early view provided to University Executive in January.

Action requested/Recommendation

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

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

Resource Implications

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

Risk Management

15. The University manages its financial risk by not breaching the Group risk appetite as described in its financial metrics. The current Finance Strategy provides a target surplus range of 3% - 5% to remain sustainable.

Equality & Diversity

16. 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

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

Consultation

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

Further information

19. <u>Author</u>	<u>Presenter</u>
Rachael Robertson	Lee Hamill
Deputy Director of Finance	Director of Finance
Stuart Graham	
Head of FIRST (Financial Information, Reporting & Strategy Team)	
10 February 2020	

Freedom of Information

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

¹ At the time of writing full January (period six) management accounts were not available.



UNIVERSITY EXECUTIVE

25 February 2020

University of Edinburgh partnership with the Government of Gujarat in the Gujarat Biotechnology University

Description of paper

1. This paper provides an update and requests action by the University Executive in relation to finalisation of the plans for a strategic partnership between the University of Edinburgh (UoE) and the Government of Gujarat (GoG) which will result in UoE playing a key role in the development of the Gujarat Biotechnology University (GBU).

Action requested/Recommendation

2. The University Executive is asked to consider and approve the paper.

Paragraphs 3-36 have been removed as exempt from release due to FOI.

Equality & Diversity

37. Indian equality legislation is similar to the UK, but (as in the UK) custom and practice may not match legislative standards. UoE's own expectations and standards will be the default that we will recommend in advising GBU on policies governing students and staff and in supporting development of their academic culture. UoE staff posted to GBU will remain subject to (and beneficiaries of) UoE employment and other relevant policies.

38. Indian national requirements for widening access ('reservations' policy) will apply to GBU students.

Paragraphs 39-42 have been removed as exempt from release due to FOI.

Consultation

43. In developing and refining the project we have consulted with colleagues in HR, Finance, Tax & Insurance, Legal Services, Edinburgh Innovations, Edinburgh Global and IVG, IAD, and Academic Services (at the earlier iteration). The project has been discussed amongst several Heads of School (including the Schools of Engineering, Chemistry, Business School, the Roslin Institute, and the Global Academy for Agriculture and Food Security) who would be engaged in curriculum development and delivery, and is strongly supported by CSE's leadership.

44. As well as continuing the above avenues of consultation and due diligence, colleagues in Health and Safety will shortly be consulted. External specialist advice on Indian context and frameworks for legal, tax, and HE governance is currently being procured.

Further information

45. Author

Dr Anne Payne
Director of Professional Services
School of Biological Sciences

Presenter

Professor David Gray
Head of School of Biological
Sciences

Freedom of Information

46. Closed: commercial interests - exemption until exchange of contracts.



UNIVERSITY EXECUTIVE

25 February 2020

Responding to the Climate Emergency – General Update

Description of paper

1. This paper provides a general update on the agreed set of actions at the summer 2019 away day discussing the climate emergency and the subsequent paper of 29 August 2019. A separate paper considers heat and energy, aviation and forests and the implications for resource planning.

Action requested/Recommendation

2. The Executive is asked to review and comment on the progress, direction of travel and emerging issues.

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

Equality and Diversity

14. Climate change impacts disproportionately on the world's poorest and most vulnerable including women and children in the developing world. Tackling climate change makes a major contribution to global justice, gender, education and protection of natural resources.

Further information

15. Authors and Presenters

Dave Gorman, Director of Social Responsibility and Sustainability,
Professor Sandy Tudhope, University Lead, Climate Responsibility and Sustainability.

Freedom of Information

16. This paper is closed.



UNIVERSITY EXECUTIVE

25 February 2020

Responding to the Climate Emergency – Position on Carbon Sequestration

Description of paper

1. This paper provides a position on carbon sequestration and carbon offsetting, to clarify our position, assist with communications and allow a framework to deal with inevitable future offers for partnership.

Action requested/Recommendation

2. The Executive is asked to agree the attached position paper on carbon sequestration and carbon offsets.

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

Equality & Diversity

7. Climate change impacts disproportionately on the world's poorest and most vulnerable including women and children in the developing world. Tackling climate change makes a major contribution to global justice, gender, education and protection of natural resources.

Further information

8. Author & Presenter

Dave Gorman

Director of Social Responsibility & Sustainability.

Freedom of Information

9. This paper is closed.



UNIVERSITY EXECUTIVE

25 February 2020

Responding to the Climate Emergency – Direction of Travel and Resource Implications for Planning

Description of paper

1. This paper provides an update covering heat and energy, aviation and forests. It highlights progress and seeks agreement on the direction to travel and integration of resource requirements into the planning round and capital prioritisation.

Action requested/Recommendation

2. The Executive is asked to review and agree on the progress and direction of travel.

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

Equality and Diversity

15. Climate change impacts disproportionately on the world's poorest and most vulnerable including women and children in the developing world. Tackling climate change makes a major contribution to global justice, gender, education and protection of natural resources.

Further information

16. Authors and Presenters

Dave Gorman, Director of Social Responsibility and Sustainability,
Grant Ferguson, Director of Estates Operations
Professor Sandy Tudhope, University Lead, Climate Responsibility and Sustainability.

Freedom of Information

17. This paper is closed.



UNIVERSITY EXECUTIVE

25 February 2020

Service Excellence Programme Update

Description of paper

1. This paper provides the University Executive with an update on the Service Excellence Programme.
2. As stated in the January 2020 update to the University Executive, the most recent Service Excellence Programme Board which met on 18 February 2020, was asked to make a number of decisions on important elements of the programme.
3. The closed papers which were presented to the Service Excellence Board on 18 February 2020 are attached for information.

Action requested/Recommendation

4. The University Executive is asked to note the paper and discuss the implications of the recommendations.

Paragraphs 5-22 have been removed as exempt from release due to FOI.

Freedom of information

23. This paper is closed.

Further information

23. Author

Barry Neilson
Programme Director
Service Excellence Programme

Presenter

Sarah Smith
Vice-Principal Strategic Change &
Governance and University Secretary



UNIVERSITY EXECUTIVE

25 February 2020

Freedom of Expression

Description of paper

1. This paper presents a draft of a statement on freedom of expression that could be used to guide the University's decision-making.

Action requested/Recommendation

2. The Executive is asked to consider and comment on the draft statement.

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

Resource implications

5. There are no direct resource implications.

Risk Management

6. A clear statement on the University's commitment to Freedom of Expression will support effective decision making and align with Strategy 2030 values.

Equality & Diversity

7. Freedom of expression is central to equality and diversity at the University.

Next steps & Communications

8. There will be further discussion and consultation on the draft statement prior to formal approval.

Consultation

9. The draft statement was considered at the Senior Leadership Team meeting.

Further information

10. Author & Presenter

Sarah Smith

Vice-Principal Strategic Change & Governance/

University Secretary

Freedom of Information

11. Closed.



UNIVERSITY EXECUTIVE

25 February 2020

Reputational due diligence over business, industrial, philanthropic and international government income sources

Description of paper

1. This paper updates University Executive on progress made by the Task and Finish group (henceforth T&F Group) it commissioned in April 2019 to review current procedures and make recommendations on future processes relating to reputational due diligence on both contractual and philanthropic income to the University from philanthropic, business, industrial and international Government sources.

Action requested/Recommendation

2. University Executive is asked to approve the recommendation to replace the current Ethical Fundraising Advisory Group with a new Income Due Diligence Group (IDDG), together with the related recommendations.

Paragraphs 3-41 have been removed as exempt from release due to FOI.

Resource implications

42. There are no direct budgetary resource implications at this stage, although an additional strand of due diligence (and the recording of decisions) will be required within some professional service functions and/or academic schools depending on local arrangements. A subsequent review of the extent to which increased due diligence of this nature can be managed from existing resources at unit and University levels will be undertaken after a year.

Risk Management

43. The strategy outlined in this paper is driven by the need to reduce the risk to the University and its academic and wider leadership of encountering unforeseen adverse reputational damage, and potential subsequent damage to wider partnerships and related income.

Equality & Diversity

44. Equality and Diversity issues will be relevant to the membership of the IDDG, as highlighted under section 21. Any reputational issues relating to equality and diversity that connect to potential external funders will be considered routinely as a reputational risk under the above procedures.

Next steps & Communications

45. Once the principles within this Paper have been approved, members of the Task and Finish Group, working with specialist information managers within relevant units, will oversee a full implementation plan and timetable. It is anticipated that the IDDG will hold its first meeting in the late spring of 2020, with anticipated meetings thereafter every quarter.

Consultation

46. The primary form of consultation for this paper has been via the wide-ranging membership of the Task and Finish group, and members of the Ethical Fundraising Advisory Group, as detailed under Appendix B.

Further information

47. Authors

Lorna Thomson
Director, Research Office

Chris Cox
Vice Principal, Philanthropy &
Advancement

Tracey Slaven
Deputy Secretary, Strategic Planning

Presenter

Chris Cox
Vice Principal, Philanthropy &
Advancement
(Convenor, Task & Finish Group)

Freedom of Information

48. This is a closed paper.



UNIVERSITY EXECUTIVE

25 February 2020

People Report

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.

Paragraphs 3-12 have been removed as exempt from release due to FOI.

Risk Management

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

Equality & Diversity

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

Next steps & Communications

15. Future reports will be presented to each meeting of University Executive.

Consultation

16. The paper builds on discussion at previous meetings of University Executive and has been reviewed by the Director of HR.

Further information

17. Authors

Linda Criggie
Deputy Director HR – Employee
Relations, Reward, Employment
Policy, Equality & Diversity

Denise Nesbitt
Deputy Director HR – Learning and
Organisation Development and
Resourcing

Presenter

James Saville
Director of Human Resources
10 February 2020

Freedom of Information

18. This paper is **closed**.



25 February 2020

Pending Employment Legislation – the ‘Good Work Plan’

Description of paper

1. This Paper highlights legislative changes arising from the UK Government’s ‘Good Work Plan’, a number of which will come into effect from 6 April 2020. It describes what, if anything, these mean for the University and its employees and the actions required by the University to ensure compliance.

Action requested/Recommendation

2. University Executive is asked to note the key changes in employment legislation effective 6 April 2020 and the action plan to ensure full compliance and associated short-term risk.

Paragraphs 3-20 have been removed as exempt from release due to FOI.

Risk Management

21. The risks associated with non-compliance from 6 April 2020 have been referred to above. These are significantly outweighed by the effort which would be required to amend existing processes at the same time as building and testing those which will flow more easily and efficiently from the People and Money core system later this year.

Equality, Diversity and Inclusion (EDI)

22. The legislative changes have no EDI implications in terms of protected characteristics. They do however ensure all workers, irrespective to contract type have the same day one right to their terms and conditions of employment.

Next steps and Communications

23. Heads of HR will be tasked with ensuring their business areas are aware of the preparations in hand to ensure compliance.

24. It is proposed that a ‘low key’ update will be cascaded to all senior managers towards the end of March. Staff will be advised of revisions to the conditions of service via Staff News.

Consultation

25. The ‘day one right’ to enhanced written particulars has been discussed with colleagues within Service Excellence/HR Transformation Programme and built into the requirements for the People and Money core system for implementation in phase one, i.e. in the e-recruitment and on-boarding modules/processes.

26. Once approved by University Executive, in terms of the risks highlighted, engagement will take place with the joint unions to secure collective agreement to the approach proposed from 6 April 2020 and pre the implementation of the new core system, and to the required changes to all current conditions of service.

Further information

27. Author

Linda Criggie
Deputy Director of HR
(Employee Relations & Reward)

Presenter

James Saville
Director of Human Resources

Freedom of Information

28. This paper is **closed** until discussions have taken place with the joint unions.



UNIVERSITY EXECUTIVE

25 February 2020

Research Publications and Copyright Policy: Open Access

Description of paper

1. This paper updates the University of Edinburgh's Research Publications Policy, last addressed in 2010, in the light of changes in funder regulations.

Action requested

2. University Executive is asked to:

- note the current view on copyright ownership of scholarly works,
- consider the changes proposed to the current policy; and,
- endorse the replacement Research Publications Policy (subject to consultation with relevant College Research Committees and Human Resources Policy Development Group).

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

Risk Management

18. The main risk we have identified is push back from some academic publishers who would be unhappy with immediate open access. We have worked with Legal Services to ensure that our approach to rights retention does not expose the University to risk of legal action.

19. There is a small risk of non-compliance by researchers through a high proportion of opt-out requests. Given that implementation of the new policy places no additional procedural burden on researchers, this is deemed to be a low risk.

Equality & Diversity

20. An Equality Impact Assessment will be required subject to changes to the Research Publications Policy being approved.

Next steps & Communications

21. Information Services will be responsible for communicating the new policy to the University and informing publishers.

Consultation

22. a. College Deans of Research and Research Policy Group
b. VP Research and Planning
c. University Senior Leadership Team
d. UCU Branch Committee
e. Human Resources Policy Development Group

Next steps:

23. Consultation with:
- a. College Research Committees
 - b. Senatus Academicus (approval)

Further information

24. Author

Theo Andrew
Scholarly Communications Manager
6 February 2020

Presenter

Gavin McLachlan
Vice-Principal and Chief Information
Officer, and Librarian to the University

Freedom of Information

25. This paper is closed as it covers current sensitive business operations.



UNIVERSITY EXECUTIVE

25 February 2020

Internet Access Management – URL Filtering

Description of paper

1. This paper provides details of additional information security risk management controls that could be introduced once the new firewalls being deployed as part of the network refresh project are operational. It is focused on URL¹ filtering and details potential solutions to manage internet access from the University workplace. The desired outcome is to support appropriate internet access.

Action requested

2. University Executive is asked to note the content of the paper and consider what additional stakeholder engagement would be appropriate before a decision is made on the scope and approach to deploying such controls.

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

Resource Implications

18. Additional consultation with interested groups across the University will be required to agree processes etc. This will be managed within current resource commitments.

Risk Management

19. The enhancement of URL filtering will help improve the risk profile for the University by limiting unnecessary access to URL's known to host inappropriate or illegal content.

Equality & Diversity

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

Further information

21. Author
Alistair Fenemore
CISO
Information Security Directorate
January 2020

Presented by:
Gavin McLachlan
CIO
Information Security Directorate

Freedom of Information

22. This paper is closed as it contains details of information security controls.

¹ A Uniform Resource Locator, colloquially termed a web address, is a reference to a web resource that specifies its location on a computer network and a mechanism for retrieving it.



UNIVERSITY EXECUTIVE

25 February 2020

University Sub-Committees and Standing Committees.

Description of paper

1. This paper provides a summary of the current standing and sub-committees under the auspices of University Executive.

Action requested/Recommendation

2. UE is recommended to note the current arrangements and to identify any gaps/concerns for the operation of good governance.

University Executive

3. University Executive is the University's management committee. It does not have delegated financial authority. Its remit is to:

- Develop the University's strategic objectives and support the Principal in overseeing their implementation and delivery;
- Agree and oversee the implementation of policies, procedures and plans;
- Develop and monitor delivery of University business planning objectives;
- Manage and monitor organisational performance;
- Facilitate and agree cross-University activity and communications;
- Scrutinise items prior to submission to the University Court & its Committees;
- Oversee other University operational committees and groups.

Standing and Sub-Committees

4. Standing Committees are permanent committees established to consider all matters relating to a particular subject. The standing committee will generally be convened by a member of UE but will have a range of members appropriate to the subject matter who may or may not be members of UE. Standing Committees may have a specific responsibility for strategic projects/programmes.

5. Sub-Committees can be a permanent or more often a temporary committee formed from the membership of University Executive. The sub-committee will generally be convened to provide additional scrutiny of a specific issue or subject area to inform the deliberation of University Executive.

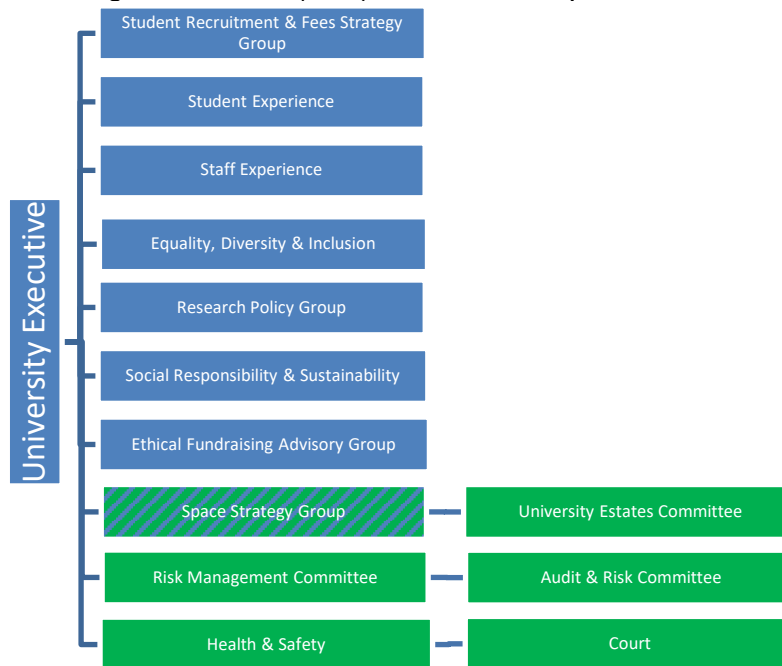
6. The terms of reference of any standing or sub-committee will articulate the extent of the responsibilities delegated. Standing and sub-committees cannot be delegated authority beyond that of UE.

7. At the present time UE has no Sub-Committees and 7 Standing Committees. Historically, standing committees have been referred to as "groups". We consequently have a mixture of naming conventions. It may be sensible to rename Research Policy Group, Student Recruitment & Fees Strategy Group, Ethical Fund Raising Advisory Group (or its successor), Space Strategy Group, Risk Management Group.

8. Our current governance structure is complicated by direct relationships between executive/management committees and Court/Court Committees. This potentially limits the opportunity for a wider UE perspective to inform interaction with Court Committees. This is an issue for Risk Management Committee (reports directly to Audit & Risk Committee) and Space Strategy Group (reports jointly to Estates Committee and UE). The latter arrangement reflects that Estates Committee, convened by a member of UE, considers both operational and strategic decisions.

9. Health & Safety Committee is required by legislation to report directly to Court and has delegated authority in relation to the setting of Health & Safety policy. Reports to UE ensure embedding of H&S issues within management planning.

Figure 1 - UE Standing Committees (blue) and relationship with Court Committees (green)



Resource implications

10. There are no direct resource implications from this paper.

Risk Management

11. An effective governance structure supports effective risk management.

Equality & Diversity

12. Equality & Diversity is an explicit consideration in the establishment of the governance framework, the remit of individual committees and their membership.

Next steps & Communication

13. Input from UE will inform future consideration of our governance framework.

Further information

14. Tracey Slaven, Deputy Secretary, Strategic Planning
10 February 2020

Freedom of Information

15. This paper is open.



UNIVERSITY EXECUTIVE

25 February 2020

AI & Data Ethics Advisory Board Annual Report

Description of paper

1. The AI & Data Ethics Advisory Board (AIDE) was established by the University Executive in December 2018. The appended report summarises AIDE's current understanding of the risks and the necessary mitigating actions relating to the use of data and AI technologies across all of the University's business.

Action requested/Recommendation

2. The University Executive is invited to a) note the AIDE report and b) ask AIDE to draft a statement of the values and principles governing the University's development and use of AI.

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

Risk Management

10. The primary purpose of AIDE's work is the identification of risks associated with the use of data and AI technologies, and the provision of advice on their mitigation. AIDE's role is purely advisory and so it is assumed that management of these risks will be the responsibility of the project owners.

Equality & Diversity

11. Equality, diversity and inclusion are central concerns and major drivers for AI and data ethics. As such, they will play a prominent role in building an operational ethics culture across the University, particularly in training and awareness raising events.

Next steps & Communications

12. AIDE will work with the Baillie Gifford Chair and the DDI Programme to implement the recommendations. This should result in increasing visibility of our breadth and depth of expertise in AI and data ethics.

Consultation

13. The Director of Corporate Services was consulted and agrees with the recommendations in the appended report, which has been approved by the members of AIDE.

Further information

14. Author
Vice-Principal Richard Kenway
Chair, AIDE
3 February 2020

Presenter
Vice-Principal Richard Kenway

Freedom of Information

15. Open paper.



UNIVERSITY EXECUTIVE

25 February 2020

Closure of Agreed Management Actions from Internal Audit Reviews

Description of paper

1. This paper provides an update on the status and process for ongoing management and reporting of closure of agreed management actions arising from Internal Audit reviews.

Action requested/Recommendation

2. The University Executive are requested to note the paper and support closure of open management actions included in the paper within their own areas of responsibility.

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

Resource implications

7. No significant resource implications.

Risk Management

8 Follow up and closure of agreed management actions arising from Internal Audit reviews is an important element of the University's overall governance and control framework and contributes to the University's overall management of risk.

Equality & Diversity

9. No specific considerations.

Next steps & Communications

10. University Executive members are requested to note the paper and support and facilitate closure of open management actions included in the paper within their own areas of responsibility.

11. Internal Audit will present a further status updates to subsequent meetings of the University Executive and forthcoming Audit & Risk Committee meetings.

Consultation

12. All agreed action owners will be contacted for status updates.

Further information

13. Author
Paul McGinty
Head of Internal Audit

Presenter
Leigh Chalmers
Director of Legal Services

Freedom of Information

14. This paper is closed.



UNIVERSITY EXECUTIVE

25 February 2020

Proposal to establish a new Chair in the Edinburgh Medical School: Molecular, Genetic and Population Health Sciences

Description of paper

1. The Edinburgh Medical School: Molecular Genetic and Population Health Sciences within the College of Medicine and Veterinary Medicine wishes to establish a Charles and Ethel Barr Chair of Cancer Research.

Action requested/Recommendation

2. The University Executive is asked to agree the establishment of this new Chair.

Background and context

3. The Edinburgh Medical School: Molecular, Genetic and Population Health Sciences seeks approval to establish a Charles and Ethel Barr Chair of Cancer Research, which will present a unique opportunity to develop internationally leading work in the genetics and genomics of cancers of unmet need. The Chair will be located in the Centre for Cancer Research, within the Institute of Genetics and Molecular Medicine (IGMM) located at the Western General Hospital campus, with close links to the MRC Human Genetics Unit, School of Informatics, Centre, of Medical Informatics, Usher Institute and the Scottish hub of Health Data Research UK. The chair will contribute to the University's strategic goals of excellence in Research and Learning and Teaching.

Discussion

4. One in two people get cancer in their lifetime, and a huge amount of funding via UK charity and government sector, as well as internationally, is applied to cancer research that is fundamental to a fuller understanding of the disease and the development of new therapies for patients. Crucial to the new cancer research agenda is precision oncology, i.e. knowing who to treat with which therapies using genetic and genomic medicine to predict responses. This will have the knock-on benefits of saving the NHS money on wasted treatments and improving the outcomes for individual patients. Edinburgh has a proud past record in cancer research; indeed, the University's Cancer Research Centre within IGMM became a CRUK-sponsored Centre in 2010 – providing valuable infrastructure and training accounts for scientific and clinical research over the past decade, and this has been increasing in recent years. The Centre will increasingly expand its activities into this most competitive precision medicine areas in cancer research. The remit of the Chair appointee will be to enhance the University's Precision Cancer Medicine agenda, and enhance the reputation of the University in cancer research on the international stage. He or she will also provide leadership in teaching in cancer science and cancer medicine, and will foster ever closer links to our NHS partners to improve treatment outcomes for patients in Edinburgh, the Lothians and beyond. The new Chair will assume the important role of Director of the Edinburgh Cancer Research Centre and the CRUK Edinburgh Centre within IGMM and the College of Medicine and Veterinary Centre.

5. Through undertaking programmes of collaborative research at an international standard, the proposed Chair will develop the field of precision cancer medicine within

the University of Edinburgh's College of Medicine and Veterinary Medicine, through work understanding cancer genetics and genomics, and cancer biology. The University has identified a clinically qualified academic candidate with exceptional relevant skills, with particular expertise in the fields of clinical cancer genetics and genomics. He is an FRS, an FMed Sci, and his work has been published in the world's foremost medical and bio-medical science journals, with impact on the international stage. He has an outstanding international reputation, an excellent track-record of both original research and training, and has been granted a large amount of grant funding from major funders. He has held relevant leadership roles in other UK HEIs in cancer research.

6. The post will be based at the Centre for Cancer Research within the IGMM, with strong links across the College of Medicine and Veterinary Medicine and across the University more generally, especially in data science as it applies to cancer research.

Resource implications

7. Funding for the salary of the Chair and associated costs for five years is included in the College of Medicine's financial plans for donated income. At least 50% of the donated income for this Chair is provided by a legacy in the name of Charles and Ethel Barr. The name was proposed in 2017 by the Head of College, Professor Sir John Savill, and is in alignment with the University's naming policy.

Risk Management

8. There are no significant risks associated with the establishment of this Chair.

Equality & Diversity

9. Good practice in respect of equality and diversity issues will be followed in taking forward an appointment to this Chair.

Next steps/implications

10. If this proposal is approved a Resolution will be drafted to formally establish the Chair.

Consultation

11. Professor Moira Whyte, Vice Principal and Head of College of Medicine and Veterinary Medicine is content with this paper.

Further information

12. Further information can be supplied by Professor Sarah Cunningham Burley, Dean of Molecular, Genetic and Population Health Sciences.

13. Author

Vivien M Smith
Head of Deanery Administration
31 January 2020

Presenter

Professor Moira Whyte
Vice Principal and Head of College of
Medicine and Veterinary Medicine

Freedom of Information

14. This paper can be included in open business.



UNIVERSITY EXECUTIVE

25 February 2020

Chair of Digital Manufacture

Description of paper

1. The School of Engineering wishes to recruit a new Chair of Digital Manufacture to lead a new Virtual Institute of Manufacture.

Action requested / Recommendation

2. The University Executive is invited to approve the establishment of this Chair of Digital Manufacture.

Paragraphs 3-10 have been removed as exempt from release due to FOI.

Risk Management

11. There are no significant risks with the establishment of this Chair.

Equality & Diversity

12. 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

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

Consultation

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

Further information

15. Author
Professor Conchúr Ó Brádaigh
Head of School

22 January 2019

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

Freedom of Information

16. Closed.