



UNIVERSITY EXECUTIVE
Microsoft Teams
Tuesday 19 May 2020, 10.00 am

AGENDA

- | | | |
|----------|---|------------------------|
| 1 | Minute
To <u>approve</u> the Minute of the previous meeting held on 23 April 2020 and the electronic meeting concluded 11 May 2020. | A1
A2 |
| 2 | Matters Arising & Action Log
To <u>raise</u> any matters arising. | A3 |
| 3 | Principal's Communications
To <u>receive</u> an update from the Principal. | Verbal |

DISCUSSION ITEMS

- | | | |
|----------|---|------------------------|
| 4 | Finance <ul style="list-style-type: none">• Director of Finance's Report
To <u>comment</u> on the updates from Lee Hamill, Director of Finance.• Planning Round Update
To <u>approve</u> the paper from Tracey Slaven, Deputy Secretary Strategic Planning. | B1
B2 |
| 5 | Adaptation & Renewal
To <u>comment</u> on the paper from Barry Neilson, Programme Coordinator. | C |
| 6 | People and Money System Update
To <u>consider</u> the paper from Gavin McLachlan, Vice-Principal & Chief Information Officer/Librarian. | D |
| 7 | Edinburgh Earth Initiative
To <u>approve</u> the paper from Sandy Tudhope, Lead on Climate Responsibility and Sustainability. | E |
| 8 | Update on Partnership with Shanghai JiaoTong University in Hainan
To <u>approve</u> the paper from Jonathan Seckl, Senior Vice-Principal. | F |
| 9 | People Report
To <u>comment</u> on the update from James Saville, Director of Human Resources. | G |

ITEMS FOR NOTING OR FORMAL APPROVAL

- | | | |
|-----------|---|----------|
| 10 | Strategy 2030 Strategic Performance Framework update
To <u>note</u> . | H |
|-----------|---|----------|

- 11 **Research Relating to Covid-19** I
To note.
- 12 **Internal Audit Follow Up Actions** J
To note.
- 13 **Zoom Video Communications** K
To note.
- 14 **University Executive Communications** Verbal
To note the key messages to be communicated.
- 15 **Any Other Business** Verbal
To consider any other matters by UE members.
- 16 **Date of Next Meeting**
Tuesday 16 June 2020 at 2.30pm - ***please note change of date & time.***



UNIVERSITY EXECUTIVE

23 April 2020

[Draft] Minute

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

In attendance: Barry Neilson, Dave Gorman (for items 7 & 8), Fiona Boyd and Kirstie Graham.

1 Minute Paper A1

The Minute of the meeting held on 24 March 2020 was approved.

2 Matters Arising & Review of Action Log Paper A2

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

3 Principal's Communications Verbal

The Principal reported that the impact of Covid-19 on the University and its community will be long term and significant and against that backdrop he confirmed that the University would open for Semester 1 in September to deliver new and continuing degrees of the same quality, whether on campus, remote or a hybrid; the University will maintain its high quality research, contributing to knowledge on all aspects of the pandemic; staff have adapted well to the use of digital technology and will continue to develop and reshape to adapt to the changing circumstances.

DISCUSSION ITEMS

4 Director of Finance's Report Paper B

The Executive considered an update key financial matters in light of the current Covid-19 crisis, including the likely impact to the University's 2019-20 financial results; current cash reserves and liquidity; initial modelling of the impact of a significant reduction in revenue in 2020-21 and beyond and information on mitigating actions that have been taken and could be taken to reduce capital and revenue spend.

There was discussion of the significant ongoing impact on surplus, cash reserves and financial covenants and the proposed possible mitigations, recognising that there would be a long term impact on core business that would change how we

operate and that would have impact across the University. Work was ongoing in modelling scenarios that would come to a future meeting.

5 Covid-19: Mitigation and Renewal - Prioritisation and Management **Paper C**

The Executive considered the proposed approach to ensuring that the University emerges from the Covid-19 pandemic as a strong, renewed organisation, recognising that this will require a collective willingness to lead and embrace significant change in established ways of doing things.

The Executive thanked Tracey Slaven for the huge amount of work in leading the immediate response and noted the paper set out the next phase, which was focussed on mitigation and renewal. The paper set out the planned structure: a number of work-streams and the establishment of a “Mitigation and Renewal Group”, led by the Principal, to ensure co-ordination and alignment across the work-streams. This group will comprise the Senior Leadership Team and those in senior leader roles for work-streams and will be supported by a co-ordination director and small team.

There was discussion of the need to embed equality, diversity and inclusion matters across all work-streams, ensuring the student voice is represented, the leadership of the student facing work streams and the necessity of keeping governance agile and proportionate. Taking that into account, the Executive supported the proposed approach to co-ordination and governance.

6 Service Excellence

• Service Excellence Portfolio Prioritisation **Paper D1**

The Executive noted the Service Excellence Programme Board would be meeting that afternoon to consider the programme priorities in the light of Covid-19 and alignment with the Covid-19 mitigation and renewal work. It was therefore asked to consider and comment on the recommended priorities and approach to inform that meeting. Members recognised the challenging backdrop and supported the proposed approach, whilst requesting the work to date and ambitious plans for student support and the personal tutor review were not lost.

• People and Money Systems Programme Update **Paper D2**

The Executive noted the update on the People and Money IT Systems Programme, noting it was continuing despite the challenges of home working and although there would be some erosion of the timeline, mitigations were in place. There was discussion on ensuring staff realise that implementing the new systems is mission critical, with expenditure already committed and it was agreed it would be helpful to consider how to communicate this effectively as contributing to the mitigation and renewal from Covid-19.

7 Responding to the Coronavirus- Our City and University Community Paper E

David Gorman introduced a proposed approach to respond to community needs arising from the Coronavirus pandemic, working with community groups and citizens to promote a sense of common purpose and well-being in our City and the City Region. This identified 5 broad strands: digital connection including digital community engagement and data driven community research; space and associated safe places; guidance in a recognised central location for ‘how to’ volunteer; ‘infrastructure’ such as food, transport services, IT kit provision to vulnerable groups and charities; and micro-community grants focused on Covid-19 community-led responses. These activities, whilst relatively low cost, could have a substantial positive impact for some of the most vulnerable in our community.

In discussion, it was identified there may be a small amount of unused grant funding that could be repurposed to support community engagement activity and Development and Alumni were also able to be involved in this sphere. The Executive supported taking this work forward under the umbrella of the agreed Covid-19 coordination processes.

8 Social & Civic Responsibility Plan – Integrating the Sustainable Development Goals Paper F

Dave Gorman reported that an updated Social Responsibility and Sustainability (SRS) Strategy had been developed in, but then paused to ensure alignment with the updated University Strategy. The University has now launched Strategy 2030, which makes explicit reference to our contribution to the global Sustainable Development Goals (SDGs).

The Executive considered a new Social & Civic Responsibility Plan developed as part of Strategy 2030. In discussion, members commented on the widening participation measures of success; carbon sequestration; the link to the curriculum and integration with other work taking place across the University. Taking the above comments into account, the Executive approved the Social and Civic Responsibility Plan, noting additional work will be undertaken on the performance framework and next steps for implementation.

9 People Report Paper G

The Executive noted the update on people related matters and recorded its thanks for all the work undertaken by HR staff in the immediate response to the Covid-19 pandemic. There was discussion of issues around pay forgone from the recent industrial action, the need for guidance for staff working from home with caring responsibilities and ensuring staff continue to take their annual leave whilst working from home.

ITEMS FOR FORMAL APPROVAL/NOTING

10 Research Excellence Framework (REF) 2021 Update Paper H

The Executive noted the postponement of the REF 2021 submission deadline for an undefined period and that the current census dates for staff, impacts and outputs still apply.

11 Covid-19 Exceptional Process

Paper I1

The process for decisions by the University Executive between meetings due to Covid-19 was noted.

- **Electronic Meeting 14-16 April 2020**

Paper I2

The Executive noted the Minute of the electronic meeting that approved a single year amendment to the Fee Policy for final year postgraduate (taught and research) students, removing any inflation uplift on tuition fees due in 2020/21 following an Authorised Interruption of Studies required as a direct result of Covid-19.

12 University Executive Communications

Verbal

The Executive agreed there would be communication on the Covid-19 mitigation and renewal process, Service Excellence Programme prioritisation, community engagement, the Social and Civic Responsibility Plan and the postponement of REF2021.

13 Date of Next Meeting

The next meeting will take place on Tuesday 19 May 2020 at 10 am through Microsoft Teams.



UNIVERSITY EXECUTIVE

Electronic Meeting Concluded on 11 May 2020

Minute

Responded: Peter Mathieson (Convener)

David Argyle, Leigh Chalmers, Chris Cox, Sarah Cunningham-Burley, Gavin Douglas, David Gray, Richard Kenway, Wendy Loretto, Dorothy Miell, Gavin McLachlan, Catherine Martin, Dave Robertson, James Saville, Jonathan Seckl, Aziz Sheikh, James Smith, Sarah Smith, Sandy Tudhope and Andrew Wilson.

1 Exchanges, Placements and Field Trips

The University Executive approved the cancellation of exchanges, overseas placements and overseas fieldtrips during Semester 1, 2020/21 as follows:

- **Overseas Exchanges** – all Semester 1 study to be cancelled for 2020/21. All non-mandatory overseas exchanges to be cancelled. The position with regard to reciprocity of arrangements for visiting students must be clarified in relation to this recommendation.
- **Overseas Placements** – all Semester 1 work placements to be cancelled for 2020/21.
- **Overseas Field Trips** – all Semester 1 overseas field trips to be cancelled for 2020/21.
- **Individual Overseas Field Work** – individual overseas field work not permitted during Semester 1 for all levels of study (UG, PGT, PGR).
- **UK-based Placements (excluding clinical, social work and teacher training)** Consideration of a University position on this group of activities to be delayed until w/c Monday 1 June 2020.
- **Clinical, Social Work and Teacher Training Placements** – wait for outcome of Professional, Statutory & Regulatory Bodies (PSRB)/ Accrediting Body consultations as these are national conversations which are heavily contingent on ongoing negotiations.
- **UK-based Field Trips and Individual Field Work** – revisit position in w/c Monday 1 June 2020 in context of UK government guidance.

This decision will not be communicated until Schools have opportunity to work through the resulting issues.



UNIVERSITY EXECUTIVE

19 May 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 March (period eight). There is also a Special Focus Update on the half-year performance of the University's subsidiary companies for 2019-20.

Action requested/Recommendation

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

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

Resource Implications

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

Risk Management

Paragraph 10 has been removed as exempt from release due to FOI.

Equality & Diversity

11. 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

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

Consultation

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

Further information

14. <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)

05 May 2020

Freedom of Information

15. 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 April (period nine) management accounts were not available.



UNIVERSITY EXECUTIVE

19 May 2020

Planning Round: 2020-21 Proposals

Description of paper

1. The purpose of the paper is to present an overview of our proposed approach to the planning round for 2020-21 given the immediate impacts of the Covid-19 pandemic. The paper also outlines the mechanisms which the University will utilise to manage our ongoing financial prioritisation and mitigation actions.

Action requested/Recommendation

2. University Executive is requested to discuss and agree the proposed approach to the planning round.

Paragraphs 3-34 have been removed as exempt from release due to FOI.

Resource implications

35. This paper supports strategic decisions on resource allocation.

Risk Management

36. Normal cycle to risk committee but will be getting update on Adaptation and Renewal Team (ART).

Equality & Diversity

37. Equality considerations are embedded in the planning process at budget holder level and in individual business cases. However, we are aware that there will be Equality, Diversity and Inclusivity (EDI) issues as a result of changes in our working practices, staff redeployment and potential changes in workforce on our staff. There is also the real potential that current embedded inequalities in the education system, particularly regarding BAME students and widening access students will be exacerbated by the current pandemic and its longer term effects on individuals' quality of educational experience.

38. ART structures include an explicit recognition of risks to EDI in responding to Covid-19. The University's EDI lead is a member of ART. Consideration of the potential impacts of our decisions and revised practices for Equality, Diversity and Inclusion will be an integral part of our response to Covid-19 and our adaptation and renewal plans.

Next steps & Communications

39. The proposed expenditure budget and further updates on our Covid-19 Adaptation and Renewal work will progress to Policy and Resources Committee on 1 June 2020 and to University Court on 15 June 2020.

Consultation

40. The initial planning round process focused on collective engagement between the Main Budget Holders and Senior Leadership Team informed by Strategy 2030,

the Capital Prioritisation discussions earlier in the academic year and the development of the Size and Shape framework. The ongoing development of the 2020-23 plans and expenditure budgets will be directly informed by ART.

Further information

41. Authors

Tracey Slaven,
Deputy Secretary Strategic Planning

Presenter

Tracey Slaven,
Deputy Secretary Strategic Planning

Lee Hamill
Director of Finance

Freedom of Information

42. Closed.



UNIVERSITY EXECUTIVE

19 May 2020

Adaptation and Renewal Team - Report

Description of paper

1. This paper provides the University Executive with an update on the work of the Adaptation and Renewal Team.

Action Requested/Recommendation

2. The University Executive is invited to comment on the paper and the key items discussed under the delegated authority of the Adaptation and Renewal Team.

Paragraphs 3-35 have been removed as exempt from release due to FOI.

Equality & Diversity

36. Academic Strategy Group was consulted on the approach to developing an Equality Impact Assessment of Covid-19 adaptation and renewal on 14 May 2020.

37. Equality, Diversity & Inclusion will be considered by members of all groups but there will be formal representation via a named individual on each work-stream and at the Adaptation and Renewal Team by Sarah Cunningham- Burley.

38. The University needs to ensure each work-stream engaged in COVID-19 mitigation/renewal is equipped to do Equality Impact Assessments.

Further Information

39. Author & Presenter

Barry Neilson

Director

19 May 2020

Freedom of Information

40. **Closed.** Our approach to adaptation and renewal planning is commercially sensitive.



UNIVERSITY EXECUTIVE

19 May 2020

**People and Money Systems and HR/Finance Transformation
Programme Update**

Description of paper

1. This paper provides the University Executive with an update on the People and Money System, Finance Transformation and HR Transformation Programmes.

Action Requested/Recommendation

2. The University Executive are invited to **comment** on and **note** the paper and the next steps.

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

Further information

28. Author

Barry Neilson
Director
Service Excellence Programme
19 May 2020

Presenter

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

Freedom of Information

29. This paper is closed.



UNIVERSITY EXECUTIVE

19 May 2020

Edinburgh Earth Initiative

Description of paper

1. This paper proposes a clear and distinctive framework for the University to advance its work on finding solutions to the challenges of climate change through global partnerships that are robust in a post COVID-19 world.
2. Appendix 1 articulates the Vision, including the need, the opportunity, and a proposed plan of action. The rest of this paper builds from this core narrative.

Action requested/recommendation

3. The Executive is invited to consider and approve the proposed initiative, its indicative resources and next steps towards a formal launch in September 2020.

Paragraphs 4-30 have been removed as exempt from release due to FOI.

Equality and Diversity

31. Climate change disproportionately impacts the most disadvantaged in society. The Edinburgh Earth Initiative seeks to use outstanding research, teaching and partnerships to help underpin more socially just transitions.

Consultation

32. This Initiative has been discussed with, and has benefited from input from a wide range of colleagues including: Principal; Senior Vice-Principal; Heads of College; Director of Edinburgh Futures Institute; Director of Edinburgh Centre for Carbon Innovation; EUSA Reps; Directors of the current Global Academies; several Heads of School; colleagues in Corporate Services.

Further Information

- | | |
|--|------------------|
| 33. <u>Authors</u> | <u>Presenter</u> |
| Sandy Tudhope | Sandy Tudhope |
| Lead, Climate Responsibility and Sustainability | |
| James Smith | |
| Vice-Principal International | |
| Simon Kelley | |
| Head of School of GeoSciences | |
| Chris Cox | |
| Vice-Principal Philanthropy and Advancement | |
| Dave Gorman | |
| Director of Social Responsibility and Sustainability | |

Freedom of Information

34. Closed paper.



UNIVERSITY EXECUTIVE

19 May 2020

Update on the Partnership with Shanghai JiaoTong University in Hainan

Description of paper

1. An update on the potential strategic partnership with Shanghai JiaoTong University (SJTU).

Paragraphs 2-40 have been removed as exempt from release due to FOI.

Consultation

41. A number of senior colleagues, notably from CMVM, USG and CSG, have contributed to the development of this paper. The paper has been signed off by members of the Joint Working Group.

Further information

42. Significant due diligence has been undertaken and reported on. Over the past 3 years a number of papers have been presented to the University Executive and the Policy and Resources Committee which are available on request.

43. Authors

Professor Andrew Morris
Vice-Principal, Data Science

Presenter

Professor Jonathan Seckl
Senior Vice-Principal

David Brown
Director of Strategic Partnerships
Corporate Services Group

Professor Jonathan Seckl
Senior Vice Principal

Freedom of Information

44. Closed. This paper is highly confidential and commercially sensitive.



UNIVERSITY EXECUTIVE

21 May 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.

Background and context

3. This paper is an update on the paper presented to University Executive on 23 April 2020.

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

Risk Management

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

Equality & Diversity

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

Next steps & Communications

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

Consultation

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

Further information

15. Author

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

Presenter

James Saville
Director of Human Resources
11 May 2020

Freedom of Information

16. This paper is **closed**.



19 May 2020

2020 Contribution Award – Proposed Revised Approach

Description of paper

1. This paper proposes a simplified approach to lump-sum contribution awards for 2020 across all grades.

Action requested/recommendation

2. University Executive is asked to consider the two options proposed and decide which should apply for 2020.

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

Equality & Diversity

23. Either option will mean everyone at the same grade receives the same reward. This will limit unconscious bias. As in all years, the work of the decision-making panels will include a focus on EDI to make sure no groups are disadvantaged.

Next steps/communication

Paragraphs 24-25 have been removed as exempt from release due to FOI.

Consultation

26. Whilst the joint unions are aware that we will proceed with contribution awards for all grades this financial year, and of the shift to smaller lump sum payments, they have not been involved in developing the proposed approach, which is a deviation from the Contribution Reward policy.

Further information

27. Author

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

Presenter

James Saville
Director of HR

Freedom of Information

28. This paper is **closed** pending consultation with the joint trade unions.



UNIVERSITY EXECUTIVE

19 May 2020

Strategy 2030 Strategic Performance Framework update

Description of paper

1. The paper provides University Executive with an update on the work to develop a new Strategic Performance Framework for Strategy 2030.

Action requested/Recommendation

2. University Executive is invited to note and comment on the direction of travel for the Strategic Performance Framework, and to note that University Executive will receive further iterations and updates on the SPF as work progresses.

Background and context

3. In December 2019, University Executive received the final Strategic Performance Framework report for the 2016 Strategic Plan. University Executive was advised that initial work would shortly begin to establish a new framework to measuring our performance against Strategy 2030, and that we would bring initial scoping of this exercise to University Executive early 2020.

Discussion

4. Our starting assumption is that our performance framework for Strategy 2030 will build on the existing 2016 Strategic Performance Framework. By doing this, we acknowledge the valuable work which was undertaken for the 2016 Strategic Plan Performance Framework, and this will allow us to further develop the framework and measure our performance against the aspirations set out in Strategy 2030.

5. Our initial assumption is that it remains appropriate to use some of the key measures used for the 2016 Strategic Performance Framework as the starting point for establishing the framework for Strategy 2030. A new strategy doesn't mean that the measures for success aligned to our last Strategic Plan are no longer valid, but it is clear that further consultation and dialogue with colleagues and data holders to assess the ongoing suitability of these for Strategy 2030 is required. Where appropriate, these will be redefined, or new measures will be scoped.

6. We are working with Social Responsibility and Sustainability to align the work on the Social and Civic Responsibility Plan with the Strategic Performance Framework for Strategy 2030.

7. University Executive is reminded that for the 2016 SPF, the measures and performance indicators were split into two distinct areas:

- Court measures which detailed lagging and strategic indicators (Tier 1)
- University Executive measures which detailed leading and operational indicators (Tier 2).

8. There is the expectation that, over time, the functionality of the Strategic Performance Framework will be expanded to include operational measures, which

will provide colleagues with the ability to explore activity at a more granular level (Tier 3). Work on this will commence once we have concluded activity on establishing Tier 1 and Tier 2 measures.

9. For our 2016 Strategic Plan we provided an annual report to University Executive and Court in December each year. For Strategy 2030 we anticipate providing more real-time data and commentary to Court and UE at appropriate intervals throughout the year. For example, reporting on the NSS as soon as the data becomes available will provide a more meaningful set of information on which Court and UE can determine how we are performing. As the SPF develops, we anticipate reporting to Court twice a year, and University Executive quarterly. The frequency of the timing of these reports will however depend on the data which is being used for each of the measures and when this becomes available. This will be determined during the course of our discussions with key colleagues.

10. The Strategic Performance Framework will be linked to other reports received by University Executive and Court. When focused reports include more in-depth consideration of Strategy 2030 KPIs, this connection will be noted.

Structure

11. Strategy 2030 articulates our vision, our purpose and our values. To allow the structure of the SPF to be meaningful and relevant to Strategy 2030, we will use the aspirations for where we want to be by 2030 articulated in the Strategy as the framework for our Court measures. These set out our longer term goals, and whilst may not always be easily quantified, will allow us to consider our longer term aspirations and the best routes by which we will achieve these.

12. Similarly, to allow us to demonstrate how we will have impact, our University Executive measures will largely follow the structure of the 'Our Focus' areas of Strategy 2030 (people, research, learning and teaching and social and civic responsibility).

13. Annex A sets out the proposed structure for the Court and University Executive measures. This shows:

- The two different tiers of reporting (Court and UE)
- how we have mapped the 2016 Strategic Plan Court and University Executive measures to our new priorities
- where we have identified new areas which require development, existing measures which need to be redefined, or existing measures which need removed altogether
- details of conversations which need to take place with key stakeholders to establish a robust measurement tool for areas we don't currently have a means by which to measure activity

14. As expected, the mapping exercise has demonstrated that there are some areas of Strategy 2030 which don't align or are not currently measured as part of our existing SPF mechanism. As part of the ongoing work to establish the SPF, we are working on a plan based on annex A which identifies how we will engage with our key stakeholders, identify gaps not already captured, what new activity should be

measured, the milestones required to achieve these, and where existing measures need to be redefined.

15. The analysis undertaken has also identified that some areas of measurement may be better suited in the Tier 1 Court measures, and others to Tier 2 University Executive measures. Conversations will take place with key colleagues over the coming months to establish definitions for our measures and the most appropriate tier that where these should sit. This will also allow us to share knowledge about activity measured at a local level and will ensure that we are not duplicating activity measurement reported elsewhere. Where possible, we will establish milestones and timelines to set out how we will achieve our goals.

16. Some of our aspirations outlined in our Strategy straddle one or more areas of work, and therefore there may be co-owners of some of the data curated for the purposes of measuring our success.

17. At its meeting in April, University Executive discussed the Social and Civic Responsibility Delivery Plan. The Social and Civic Responsibility Delivery Plan is focussed on the University's operations and connects to the four main focus areas of Strategy 2030 (People, Research, Teaching and Learning and Social and Civic Responsibility). The Plan also has synergies to the aspirations for the University by 2030.

18. We are working closely with colleagues in Social Responsibility and Sustainability to ensure that the development of the Strategic Performance Framework and the delivery of our commitments to the Sustainable Development Goals are aligned. Strategy 2030 recognises that the University has the opportunity to contribute to the SDGs in different ways across our communities and across our different locations. Crossover and linkages between Strategy 2030 and the Social and Civic Responsibility Plan are detailed here:

Strategy 2030	Social and Civic Responsibility Plan
We will be on track to be a Carbon-Zero University by 2030	We will become a zero carbon and zero waste university
We will be leading Scotland's commitment to widen participation	We will widen participation in higher education and support inclusive growth.
We will have created opportunities for partners, friends, neighbours and supporters to co-create, engage with the world and amplify our impacts.	We will work together with local communities to continue to improve the lives of people across the Edinburgh City Region and beyond.
We will see the integration of our whole organisation impact against the United Nations Sustainable Development Goals.	In our operations, research and teaching we will engage critically with, and contribute to the SDGs, including the promotion, protection and respect for human rights

19. Where synergies exist, we will have a consistent set of reporting, ensuring that there is one set of narrative which articulates our social and civic responsibilities.

20. Strategy 2030 outlines our plans for the next 10 years. As we are operating in an uncertain political and financial environment, our Strategic Performance Framework should have the ability to react to evolving priorities, and our expectation is that over the next 10 years, our performance measures may shift in line with changes in our priorities and operating environment. We plan to check in with data holders annually (or more or less frequently as appropriate) to assess the ongoing suitability of our measures and to determine if adjustments are required, and to agree what these might be.

Timescale

21. If University Executive is agreeable to the broad structure outlined in this paper, colleagues in Governance and Strategic Planning will continue work to progress conversations with stakeholders to consider and agree the appropriate strategic performance measures for Strategy 2030. It is anticipated that University Executive will be advised of the new framework late summer 2020, with the first report being presented to Court in December.

Resource implications / Risk Management

22. There are no specific requests for resource although the process to agree and establish a Strategic Performance Framework will require engagement from colleagues across the University. This is necessary to allow us to establish a Performance Framework which is relevant and useful to our whole University community.

Equality & Diversity

23. An Equality Impact Assessment will be conducted as work on the Strategic Performance Framework develops. Data owners who will feed into the Strategic Performance Framework will undertake EIAs as a matter of routine aligned to their areas of work.

Consultation

24. Consultation and engagement from colleagues and data owners across the University is key to the success of the delivery of a successful Strategic Performance Framework.

Further information

25. Author

Jennifer McGregor
Senior Strategic Planner
Governance and Strategic Planning
12 May 2020

Presenter

Tracey Slaven
Deputy Secretary, Strategic Planning

Freedom of Information

26. The paper is open.



UNIVERSITY EXECUTIVE

19 May 2020

University of Edinburgh Research relating to Covid-19

Description of paper

1. This paper provides a summary of some Covid-19 research across our three Colleges. It is illustrative, not exhaustive. Some projects are re-purposing existing research funding, others have sought new external funds. Equally some projects are using otherwise dormant UoE kit/facilities. Edinburgh Research Office are working with Communications and Marketing to identify and publicise research successes when appropriate.

Action requested/Recommendation

2. The University Executive is invited to note the projects underway.

Background and context

3. The University of Edinburgh is contributing across a number of different research areas to the Covid-19 response. We have strong virology research, including on coronaviruses. A number of new groups are now engaged in this new global priority. In consequence, the University is making an impact across many domains. Here we highlight some of this effort.

Discussion

College of Science & Engineering

4. *Reverse engineering, creative redesign and 3D printing.* Katherine Dunn (Engineering) is addressing a shortage of spare parts/consumables, which jeopardises essential equipment, via rapid manufacture of replacements. The project is achieving proof-of-concept. It involves collaboration with CMVM, NHS Lothian, UoE Makerspace, industry partners and Heriot Watt. For instance, *Creating Face Shields* is helping hospitals which are running out of PPE. UoE (coordinated by Katherine Dunn) is contributing alongside EEMS (an external group Edinburgh Emergency Medical Supplies). 3D printers in Library, Informatics, Engineering, Physics & ECA are making 3D-printed headbands and clip-on visors. UoE face shields are being delivered to NHS facilities.

5. *A novel platform technology for industrial-scale production of an immune targeted Covid-19 vaccine* Prof Garry Blakely (SBS) is seeking to generate effective vaccines by modifying the protein components from the SARS-CoV-2 virus, by adding a specific sugar. They will do this modification in a bacterium, *Streptomyces lividans*, which can be used for industrial-scale fermentation to rapidly produce the large quantities of vaccine components required for a nation-wide vaccination campaign. The project was funded by CSO (£46k).

6. *Developing effective decontamination/sterilisation methods.* Via EPSRC IAA funding, Faiz Iqbal (Engineering) working with Susana Direito, Andreia Silva, Rosalind Allen and Wilson Poon (all Physics) and Aqualution Systems (facilitated by EI) on an engineering solution to automate and expand production of a disinfectant product, a new gel-based product and developing a new

decontamination/sterilisation method using the company's products to enable re-use of NHS facemasks.

7. *Rapid 3D printing of personalised protective facemasks and visors.* Adam Stokes (Engineering) is working to produce effective reusable facemasks personalized for individual frontline medics to WHO standard. He is aiming to improve on existing facemasks/visors which often do not fit properly, are uncomfortable, may not provide the level of protection required, and may be difficult/impossible to clean for reuse, funded by CSO (£80k).

8. *Emergency Covid-19 Airborne Transmission Analysis and Mitigation.* Ignazio Maria Viola (Engineering) is working with colleagues in Usher and Heriot Watt to simulate and quantify the contagious aerosol around infected patients and thus remedy the limitations of present mitigation strategies.

9. *Plasticware for Covid-19 testing.* Engineering are collaborating with Ian Tomlinson (Edinburgh Cancer Centre) to address the shortage of essential plasticware for Covid-19 testing.

10. *Oxygen concentrators.* There are ongoing conversations between UoE (Stefano Brandani) and Scottish Government around the manufacture of portable oxygen concentrators. Whilst technically possible, it has so far been impossible to source the materials to do so.

11. *Ventilators.* Dr Adam Stokes' group are attempting to build a new ventilator system.

12. *PhD students rise to the challenge of Covid-19.* Biological Sciences PhD students are helping to answer key questions in the Covid-19 pandemic. PhD students Alex Morgan and Áine O'Toole are providing insight into the effectiveness of different social distancing measures and characterising the different lineages of SARS-CoV-2 present in UK coronavirus patients.

13. *Tomorrow's Cities.* Our £20M GCRF Urban Disaster Risk Hub hosted by Geosciences, is assessing how lessons from multi-hazard risk research can inform Covid-19 responses in low and middle income settings.. *Rapid Assistance in Modelling the Pandemic.* (EPCC is contributing to RAMP (convened by the Royal Society) to enhance the work of modelling teams who inform Government policy.

College of Medicine and Veterinary Medicine

14. *Rapid intervention research and development programme for Covid-19 Respiratory Failure – STOPCOVID.* There is a critical time-point in the progression of Covid-19, before the need for ventilation, when treatment of the lung inflammation can prevent death. Prof Kev Dhaliwal has brought together a coalition of UoE scientists and partners (NHS, Astra Zeneca, GSK, Codebase, Barclays, LifeArc and SMEs, MHRA) to deliver a "team science approach" to Covid-19. The team at UoE have identified drugs that treat lung disease and which, individually or in combination, may be effective in patients with Covid-19. These therapies are being trialled in patients, with outcomes accelerated by our proprietary rapid screening technologies. The team have been awarded new funding (>£1m).

15. *Virology of Covid-19*. Christine Tait-Burkard and Jurgen Haase are UoE's well-established coronavirus virologists networked into consortia in key European labs such as Berlin and Leiden, with whom they research and share PhDs. They have access to compound libraries to test for antiviral agents. They are providing reagents to extend testing capacity in the NHS and are the source of viruses and sub-viral particles for all local Covid-19 studies.

16. *Emergency Medicine Research Group (EMERGE)* is coordinating a research nurse team supporting studies involving patients who do not require intensive care. In addition, the Critical Care Group is supporting research with patients in intensive care units. The ACCORD team have worked hard to process and approve important Covid-19 research in record time, often within a few days. Consequently, Edinburgh is recruiting well to several of the urgent Public Health UK prioritised studies and trials. These include:

- RECOVERY - the world's largest clinical trial of potential coronavirus treatments, which is testing a range of interventions. The first patient was recruited in Scotland.
- ISARIC4C – international study aiming to improve understanding of Covid disease processes so that risk factors for severe illness can be identified and treatments can be developed. The first patient was recruited in Scotland.
- GenoMICC - studying heritable risk factors for developing severe Covid disease. Edinburgh academics have prominent leadership roles in this research through Kenny Baillie and Annemarie Docherty.
- REMAP-CAP - an international platform trial that will test multiple potential existing and new therapies for Covid-19 for the most severely ill people.
- COVID BreathSpec - aims to determine whether a technique to analyse gas molecules in patients' breath can help identify biomarkers that characterise Covid-19.

17. *Critical Care resources*. Developed by the MSc Critical Care team, in conjunction with the Royal College of Physicians of Edinburgh, the free resource offers principles and practice of critical care for frontline clinical staff to learn or refresh key skills. More than 25,000 people worldwide have signed up to use the resource.

18. *Respiratory health videos*. The Undergraduate Medical Education team from Respiratory Medicine, Resuscitation and Clinical Skills have provided access to educational videos for frontline NHS staff. Alongside a team of clinical educators from the NHS Lothian Medical Education, Dr James Tiernan, Consultant Respiratory Physician and Dr Emma Scahill, Clinical Teaching Fellow, are also facilitating regular online learning sessions for clinicians.

19. *Clinical guidelines*. Dr Kenneth Baillie and colleagues have drawn up guidelines for clinicians on how to treat Covid-19. Their analysis recommends that steroids should not be used outside of clinical trials for treating the disease, unless clinically indicated for another reason. This is impacting global practice.

20. *Tracking cases*. Kate Templeton and colleagues are part of the £20M national COVID-19 genomics UK consortium tracking the infection. Prof Debby Bogaert, as part of the ISARIC consortium, is analysing changes in the microbiome and is also

working with colleagues to apply her approach to LMIC partners. Prof Mark Bronsvort and members of the Epidemiology, Economics and Risk Assessment group at The Roslin Institute have created an online dashboard to track daily cases of Covid-19 across Scotland. Working with the Open Data Institute in Aberdeen they have pulled together several data sources on the Covid-19 outbreak to generate the dashboard.

21. *Global resource.* Prof Jamie Davies, Dr Simon Harding, Dr Adam Pawson, Dr Elena Faccenda, Dr Christopher Southan and Dr Jane Armstrong in Biomedical Sciences have created a database that lists vital information about potential treatments for Covid-19 and possible drug targets – molecules in the body linked to the disease that could benefit from new therapies. The resource is available to scientists worldwide to assist the global effort against the coronavirus.

22. *Cancer registry.* Karin Purshouse has helped established a national registry for cancer patients diagnosed with Covid-19. To date, 45 cancer centres across the UK are reporting cases to the registry. Once enough cases have been identified, teams will be able to provide live reports so that clinicians can quickly share learning about how the infection affects patients with cancer.

23. *Patient studies.* Dr Kenneth Baillie is leading a new £5m MRC project that seeks to increase understanding how Covid-19 affects the body. UoE is working in partnership with Prof Peter Openshaw from Imperial College and Prof Calum Semple from the University of Liverpool. The MRC-University of Glasgow Centre for Virus Research will also play a role in this project, undertaking whole genome sequence of the virus from samples. Using samples and data from 1300 Covid-19 patients in the UK, the team hope to provide real-time information that could help control the outbreak and improve treatments.

24. Dr David Dorward (Pathology) is investigating how Covid-19 causes lung injury. Hospital post-mortems will allow examination in a level of detail that is not possible during life. This approach will reveal crucial information on the presence of the coronavirus in multiple organs in the body and also understand how the immune system responds. It will also add a vital resource of stored tissue that will support international COVID-19 research (CSO funding, £160k)

25. *Virus genetics.* Researchers at Roslin are probing similarities between Covid-19 and other coronaviruses, including SARS-CoV. This is helping to pinpoint genetic regions of the new virus that may be changing as it infects people, revealing insights that could inform strategies to control its spread. Teams at Roslin are also trying to trace when and how Covid-19 was first transmitted from an animal to a human to shed light on the factors that made spread possible, And Dr Samantha Lycett (funded by CSO, £62k) is sequencing the virus to track mutations to infer which groups/cities/regions infected which others, how the epidemic is progressing, and through inference and simulations advise on when a low enough level of community transmission has been reached to change restrictions.

26. *Real-time Tracking of Covid-19.* Aziz Sheikh (Usher Institute) and colleagues are using anonymised electronic health records of 1.2 million people across Scotland to

form a more complete picture of the impact that Covid-19 is having on health, funded by the MRC.

27. *Impact on Everyday Life.* David Porteous is leading the CovidLife survey to capture how Covid-19 is affecting the mood of the nation. Included in the poll are questions about the psychological, social and economic impacts of the pandemic. Some 7,000 volunteers are being recruited. All have registered online as part of a health research initiative managed by University of Edinburgh called Generation Scotland.

28. *Easing Lockdown.* Academics from the Universities of Edinburgh have modelled a range of scenarios to illustrate how different restrictions could be applied to different groups. UK's Covid-19 lockdown could begin by strengthening protection for the most vulnerable while relaxing restrictions for everyone else. Their findings have been made available to the UK and Scottish Governments.

29. *Contribution to global response.* Members of our community are offering their expertise to Covid advisory groups worldwide to help shape the global response to the pandemic:

- The Scottish Government Scientific Advisory Group is chaired by Professor Andrew Morris, Vice-Principal Data Science, and includes Professors Aziz Sheikh, Devi Sridhar and Mark Woolhouse.
- Professor David Argyle has been appointed to the Royal College of Veterinary Surgeons Covid task force.
- Professor Devi Sridhar is supporting the World Health Organisation on policy and governance and Professor Harry Campbell is advising on global surveillance.
- Professor Igor Rudan from the Usher Institute has been appointed to the Croatian government's scientific advisory group on Covid-19.
- Professor Edwin van Beek has been appointed to advise the Ministry of Health in the Netherlands on potential complications of Covid-19.
- Prof Andy Rambaut and Prof Andrew Morris are on the UK Government's SAGE advisory committee, which receives input from Prof Mark Woolhouse.

College of Arts, Humanities & Social Science

30. *Economic activity halved in Spain's lockdown.* Professor Sevi Rodriguez Mora (Economics, working with Cambridge and Imperial College) worked with the Spanish bank BBVA to study the real time evolution of economic activity during the Covid-19 pandemic. An analysis of 1.4 billion transactions, show that expenditure in Spain post lockdown was 49 per cent lower than the same date the previous year. The economists additionally used anonymised geographic tagging of the transactions to study the economic effects of coronavirus on the different regions of Spain, as well as among the neighbourhoods of one of its major cities.

31. *Impact of the Coronavirus on UK Businesses.* Alessandro Rosiello and Francis Greene (Business School) have refocused an existing study of high-growth firms in the UK periphery, which was funded through ESRC/Productivity Insights Network, to capture the impact of Covid-19 on SMEs. They have shown that 68% of the entrepreneurs surveyed are having problems with cashflow - up from 25% before the Covid-19 crisis. Researchers analysed responses from 565 fast growing

entrepreneurial businesses. In addition to the ESRC funding they secured a small DDI award to focus on how the Edinburgh City Region compares to the rest of Scotland/UK.

32. *In isolation, instead of school' (INISS)*: Gillean McCluskey (Education) is studying vulnerable children's experiences of Covid-19 and the effects on mental health and education. School closures impact all young people but are likely to place vulnerable young people at further risk of mental ill-health. This research is providing vital national data directly from pupils to assess impacts on mental health and education to inform interventions and policymaking. It is funded by CSO (£25k).

33. *Workers' access to information during Covid-19*. Dr Karen Gregory (SPS) is working with STUC to examine how to provide precarious workers with the opportunity to better present collective concerns to employers with union support, the possibilities for solidarity and how best to ensure workers' access to information, including rights to worker protections, financial support, rights to organise, and data rights in a digital economy (e.g. labour platforms such as Uber, Deliveroo). The impact of this will be to help offset financial/job insecurity brought about by the current crisis.

34. *The Impact and governance of Covid-19 lockdown in Cape Town*. Sarah Jane Cooper-Knock (SPS) is building on research on disaster response in informal settlements, running a series of WhatsApp diaries amongst groups of South African residents to show the ways in which the Covid-19 Lockdown is being observed, enforced and contested on the ground. The results will be fed back to the government officials involved in resilience and disaster management, in order to help shape government responses to the crisis.

35. *Project Soothe Covid-19*. Stella Chan (HiSS) has received ESRC IAA funding to focus her existing work - Project Soothe (a crowdsourcing project collecting and using images to improve mental health and wellbeing) - on Covid-19. Working with schools and a range of other partners, the team will invite young people to share images showing how they cope with Covid-19, with the goal of boosting social connectedness, and enhancing understanding of how young people are coping.

36. *Building Trust during a Global Pandemic*. Alice Street (SPS) is investigating public understandings, expectations and experiences of Covid-19 testing in Scotland and how testing strategies influence public trust in health services and government response, with CSO funding (£30k). Alice Street is also leading the [Covid-19 Perspectives blog](#), hosted in the Edinburgh Centre for Medical Anthropology, which showcases research from across CAHSS and beyond.

37. *Social distancing in Scottish young people*. Ruth Jepson (HiSS) and colleagues at Southampton University are working with Young Scot to conduct focus groups with young people in order to create a short video to provide key messages to this group. The aim of this is to provide more successful messaging to young people about the virus, better understanding of the types of issues they are experiencing, and obtain more successful compliance with the restrictions among young people.

38. George Palattiyil has won £150k funding from CSO to understand and ameliorate the psychosocial impact of covid-19 social distancing and behavioural changes on families of care home residents. This key work will dissect immediate and long-term psychosocial impacts, including complex grief associated with disrupted relationships on families. It will develop creative solutions and innovate with technology to help to sustain togetherness.

39. *Personal contributions*

Prof Chris Dibben is a member of the Scottish Government's Covid Advisory Group's Data Taskforce Oversight Group. Its function is to quickly assemble data to inform decisions about re-opening Scotland.

40. Prof Susan McVie is on the Independent Advisory Group on Police Use of Emergency Powers Related to the Coronavirus Crisis.

UoE Wide

41. *Global Open Finance Centre of Excellence* within DDI/City Deal has established a Covid-19 project team to explore the possibility of generating accurate and up to date data insights to benefit UK Governments and policy makers when considering interventions. This work will initially focus on Scotland and the UK and will then provide analogous support for other countries. The project will provide organisations such as the Bank of England, HM Treasury, BEIS, FCA, Scottish Government and other Government departments with accurate and regular insights that will explain what is currently happening in the economy, benchmarked against pre-pandemic normality. The Covid-19 project team will use an agile approach to iterate, develop and deliver the project, reacting to the dynamic and evolving picture from the Covid-19 pandemic and in response to developing analysis and insights.

42. *Covid crisis accelerates ageing population research.* Prof Bruce Guthrie (ACRC) has noted that the Covid-19 pandemic has highlighted the importance of one of ACRC's main goals - to increase resilience in the UK's social care sector. ACRC will combine the expertise of researchers across fields including medicine and other care professions, life sciences, engineering, informatics, data, and social sciences.

43. *UNA.TEN (Transform Emergency Now! 10 Days for Change).* Via UNA Europa, students from eight of Europe's leading research-intensive universities are joining forces to find answers to four Covid-19 related issues linked to traveller safety, minimising food waste, ensuring privacy in a digital world, and rethinking entertainment and culture in societies where Covid-19 means restrictions on normal human interaction.

44. The Institute of Genetics and Molecular Medicine (IGMM), has established a Covid-19 diagnostic testing facility for the NHS, able to deliver 1000 PCR Covid-19 tests daily. The service is fully operational, embedded within NHS systems. The University has seconded ~25 research scientist, and has provided laboratory space and equipment to expand the footprint of the existing NHS Molecular Genetics service. IGMM researchers have innovated to produce reagents for testing and to ensure resilience of the service. Additionally, we have provided protocols and reagents to other Scottish academic-NHS partnership centres and to MRC's Gambia Unit, the only testing facility in that country.

45. Edinburgh Innovations have enabled ~40 collaborative projects on Covid-19 between industrial partners and University of Edinburgh researchers. Some are outlined above.

Resource implications

46. None

Risk Management

47. N/A.

Equality & Diversity

48. N/A

Next steps & Communications

49. N/A

Consultation

50. N/A

Further information

51. Author

Lorna Thomson
Director Research Support Office

Presenter

Jonathan Seckl, Senior Vice Principal



19 May 2020

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Open Management Actions – Internal Audit Reports

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

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

Zoom Video Communications

19 May 2020

Description of paper

1. This paper provides background on the potential risks to the University associated with the use of 'Zoom' as an online meeting tool and recommends operational controls to help manage that risk if the University chooses to continue allowing the use of Zoom for online meetings. Zoom provide a number of other products (eg Zoom Cloud Phone Solution, software-based conference room solutions etc), but these are not considered in scope of this paper.

Action requested

2. UE are asked to note the decision taken by the University Senior Leadership Team who have confirmed the purchase of an institutional Zoom licence and directed that users should only use this more secure institutional version with its additional controls and contracted security & data protection provisions. Additionally, users should stop using personal copies of Zoom.

Background and context

3. The shift to remote working has brought the use of online meeting and collaboration tools into focus, notably which specific application(s) best fit the needs of the University or individual colleagues. There are a number of centrally supported and procured options available to cover a broad range of use cases from 1:1 meetings, team meetings, larger gatherings and teaching (details at <https://www.ed.ac.uk/information-services/computing/desktop-personal/off-site-working/online-meetings>). However, a number of alternative products have come to the fore, with Zoom becoming synonymous with online collaboration meetings.

4. Much has been reported about Zoom in the media, with a strong focus on poor information security and recent data protection issues. This short paper does not attempt to address every point raised over recent weeks. Instead it focuses on information and guidance publically available from Zoom, together with general good information security and data protection practices, to allow a balanced risk assessment to be made.

5. We should note here the recent call to the HE sector across Europe, where Zoom confirmed that the newest version of their application has addressed all known, and widely reported, technical vulnerabilities. They also discussed the widely reported phenomena of 'Zoombombing', suggesting it can be prevented by better management of meeting details (not sharing via social media, utilising the 'waiting room' function etc).

6. Zoom provides a range of licencing options, ranging from free individual versions, through to fully integrated education site wide versions. The latter provides many additional features and control options, but does come at a cost, both for licencing and resource effort to integrate into existing University infrastructure and continued administration and support. This is the version that will now be procured and made available.

7. It is worth noting that there is no general consensus on Zoom across the HE sector, either in the UK or across Europe, with some institutions fully embracing the wide capabilities on offer (including for teaching), some supporting its use and others banning it completely. Similar approaches can be seen in other sectors. There was therefore no obvious comparator to guide the decision on UoE use of Zoom.

Discussion

Privacy Consideration (Input in consultation with DPO)

8. If colleagues from the University instigate any Zoom call, the University becomes data controller for any personal data collected in the course of that meeting. This data is used by Zoom to facilitate the meeting but can be limited to the user’s IP address and nothing else. This is needed to ensure correct routing of communication traffic. If the meeting host uses a personal licence and chooses to record the meeting, data is stored on the local device – if the meeting displays or discusses personally identifiable information, such information may not be subject to effective information security controls. Using the education site wide licence, the content of any recorded meetings would be processed in the US.

9. Any data transferred to Zoom storage in the US is covered by their participation in the Privacy Shield framework and by EU Model Clauses.

Information Security Considerations (Input from CISO)

10. Despite much coverage in the media, options for reducing the information security risks associated with Zoom are broadly in line with any similar product and follow standard good information security practice, particularly ensuring that the most up to date versions are used and configuration options are exploited to the full. Such controls are detailed below.

Recommended Controls (Input from CISO)

11. To help reduce the information security and data protection risks of using Zoom, a number of operational/administrative controls are available within the application. Detailed assessments will be undertaken as part of the development phase to identify the most effective and these will be refined as part of implementation work and will be communicated to meeting Hosts, Participants and central admin staff. It is expected that they will include, as a minimum, the following:

Control	Implemented by	Rationale
Ensure everyone is using the most up to date version of Zoom – stipulation sent out as part of meeting invitation.	Meeting host in invitation	Ensures known security risks are addressed
No teaching	Meeting Host	Retains all teaching activity in Collaborate
No personal email addresses for University staff or students registering for, or using, Zoom	Meeting Host	Removes risk of sharing personal details with Zoom or third parties, protecting individuals from potential spam emails

All participants access via VPN or, if using a managed device, DirectAccess	Meeting Host in invitation	Masks individual IP addresses and presents University details to Zoom
No confidential, sensitive or personally identifiable University information to be discussed or displayed during session	Meeting Host	Prevents possible exposure of sensitive material to unauthorized people
No screen capture	Meeting Host to remind attendees	Prevents anyone copying data and storing locally
Use the waiting room option and verify all attendees one by one before allowing them access to any calls	Meeting Host	Prevents unauthorized participants joining calls
Generate a password for each call and	Meeting arranger/Host	Prevents re-use of password
Do not share meeting details via social media	Meeting Host and participants	Prevents widespread knowledge of meeting details and reduces risk of 'Zoombombing'
Do not include meeting invitation in publically accessible calendars – email to participants directly	Meeting arranger/Host	Prevents widespread knowledge of meeting details and reduces risk of 'Zoombombing'
No recording of calls	Central admin	Removes risk of inadvertent retention of University information
Disable attention tracking	Central admin	Increases confidence in application and removes unnecessary tracking
Ensure encryption enabled	Central admin	Protects meeting content

Terms and Conditions (Input from Legal Services)

12. Zoom's standard terms and conditions have been reviewed by Legal Services and their full comments are included in Appendix A. A number of key points were noted:

- i. Zoom can make changes to their service, including discontinuing, or modify at any time;
- ii. Zoom can change pricing at any time, including charging for 'free' version, potentially with little notice;
- iii. Zoom can change the terms and conditions at any time, with a resultant requirement on the University to monitor any proposed changes;
- iv. Automatic renewal of licences will need to be proactively managed
- v. Limitation of use for citizens of, or those located in US Sanctioned Countries (currently Cuba, Iran, North Korea, Syria and the Crimea);
- vi. No liability on Zoom for any issues with the application;
- vii. Uncapped and unlimited indemnity by the University for any loss to Zoom.

13. Their conclusion is 'Taken together, these terms (*summarised above*) are not protective of the University, nor do they provide a strong basis for keeping data secure or ensuring reliable continued access to the services. However, they are not out of step with market standard terms for commodified online services (which are often provided at no charge), which tend to be very supplier-friendly and leave little recourse for customers using the services'.

14. Zooms' Global Data Processing Addendum has also been reviewed and a number of observations (details in Appendix A) will be passed to the implementation project to consider. In summary, Legal have confirmed 'The DPA is largely robust from a GDPR compliance perspective due to the fact it incorporates the EU Standard Model Clauses, (these continue to still be valid for use during the Brexit 'transition period' and potentially beyond). These are non-negotiable and as they are set EU provisions, contain the essential requirements for safe transfer of Personal Data from the EU to the US'.

Licence Options and Pricing

15. Licence options for education site wide licences, based upon our published number of faculty and staff is anticipated to cost £83 600 plus VAT per 12 month period (minimum contract length). Procurement are considering options to ensure the University remains compliant with purchasing rules.

Recommended University Guidance on video conference & collaboration platforms

16. Microsoft Teams is the standard University video conference and collaboration platform. It is fully integrated into the University infrastructure and is highly secure. MS Teams should be used as the preferred platform for all non-teaching video meetings and collaborations.

17. Blackboard/LEARN Collaborate is the preferred and recommended video meeting platforms for teaching activities. Collaborate should be used in all cases for teaching as it is fully integrated into LEARN, it is secure and it contains the updated class lists and other features needed for the support and administration of classes.

18. Skype for Business is provided by the University as an alternative video conferencing platform for meetings both internal and external, especially in cases where the externally participants need or are set up for Skype use. It is centrally supported.

19. Zoom will be provided as a third alternative for video conferencing and collaboration for non-teaching use. Both for internal use and collaboration externally, especially in cases whether the external participants need or are set up for Zoom use. It is imperative, due to security concerns, that any University of Edinburgh staff uses only the University of Edinburgh installed and supported version of Zoom, and does not use their own copy of Zoom or the free version of Zoom (as these are: less secure; not supported; not licenced by the University; and the University is not covered in terms of data protection and information security on these free or personal copies).

Next Steps

20. A project is now underway to procure, configure and deploy an institutional version of Zoom. This is being managed by ISG and includes colleagues from across the

University. A robust communications plan will be created to ensure potential users understand their responsibilities in helping minimise the risk to the University.

Resources

21. Project resources will be made available under normal working conditions, with additional resources being limited to licencing costs. VP CIO has confirmed the initial funding will be met centrally by ISG, with any ongoing requirements included in future planning discussions.

Risk Management

22. An institutional licence is being delivered to help mitigate the risk of uncontrolled use of personal copies of Zoom.

Equality and Diversity

23. An EQIA will be carried out as part of the implementation project, but there are no expected implications from the deployment of this additional application as it does not replace any existing options for collaboration.

24. Author

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CISO
Information Security Directorate
April 2020

Presenter

Gavin McLachlan
Vice Principal, CIO and Librarian to the
University

Review of Terms and Conditions – provided by University Legal Services

Comments on Zoom terms of use (the “Terms”)

These comments relate to the standard Zoom terms of use at <https://zoom.us/terms> and do not reflect any reseller or enterprise terms which the University may seek to negotiate with Zoom. Additional terms may also appear on an order form for specific Zoom products.

The Terms apply to all users of Zoom and as such we would not expect them to be particularly robust or place any degree of liability on Zoom. It should also be noted that the Terms are subject to the laws of the State of California, meaning Legal Services’ review is limited as it cannot advise on Californian law. Any dispute with Zoom would have to be raised in the courts of California, although the liability of Zoom under the Terms is so limited that it is difficult to see any grounds on which legal action for breach of contract could be taken.

- **Change to the services:** Zoom can choose to discontinue the Services or modify the features of the Services from time to time without prior notice. This means there is no certainty as to how the product will operate or, from a business continuity perspective, whether it will be available at all. However, in practice the risk of Zoom shutting down is low given current circumstances, and it is not likely to change its product in a way that is materially detrimental to the service.
- **Change to prices:** Zoom may change prices for any of its products at any time, including changing from a free service to a paid service and charging for Services that were previously offered free of charge. Zoom must provide the University with prior notice of any change to prices, and an opportunity to terminate its account, but the amount of notice is set out in the contract so this could be very short, and the University would need to stay alert to any proposals by Zoom to change prices.
- **Changes to the Terms:** Beyond increasing the charges, Zoom can change any of the Terms at any time. If it does so, it must use only “commercially reasonable business efforts” to provide notice to the University of any material changes to this Agreement. Within ten business days of posting changes to this Agreement (or ten business days from the date of notice, if such is provided), the changes will be binding on the University if it does not discontinue using the Services within the ten-business day period. This means there is no

contractual certainty as to what the contractual terms are between the University and Zoom, and that the University would need to keep a watching brief on the Zoom website for any notice of contract changes.

- **Automatic renewal:** A Zoom Order Form may provide that any licence term will renew automatically unless either party provides notice of termination at least thirty days prior to the commencement of the next renewal term. The University would therefore have to proactively manage this, so that it could provide sufficient notice if it did not wish to roll its use of Zoom over for another term.
- **Use in sanctioned countries:** The University cannot allow use of Zoom by users who are citizens of, or located within, a country or territory that is subject to U.S. trade sanctions or other significant trade restrictions (including without limitation, Cuba, Iran, North Korea, Syria, and the Crimea). This may be a challenge given the international diversity of the University community and would have to be appropriately managed by the University.
- **No liability on the part of Zoom:** Zoom is not liable for any issues with the platform, including issues around security, and use of the services is at the University's sole risk. This is not surprising from a free product, but if Enterprise terms were sought we would expect some form of liability on Zoom's part for failure of the service and the like.
- **Indemnity by the University:** On the other hand, the Terms contain an uncapped and unlimited indemnity by the University for any loss to Zoom, its consultants, supplier, or reseller arising from the University's use of the services. While it is difficult to see how the University may cause loss to Zoom through its use of the service, this is still an onerous liability on the part of the University and not something that it would generally accept in the normal course of a commercial negotiation.

Taken together, these terms are not protective of the University, nor do they provide a strong basis for keeping data secure or ensuring reliable continued access to the services. However, they are not out of step with market standard terms for commodified online services (which are often provided at no charge), which tend to be very supplier-friendly and leave little recourse for customers using the services.

Review of Global Data Processing Addendum

The DPA is largely robust from a GDPR compliance perspective due to the fact it incorporates the EU Standard Model Clauses, (these continue to still be valid for use during the Brexit 'transition period' and potentially beyond). These are non-negotiable and as they are set EU provisions, contain the essential requirements for safe transfer of Personal Data from the EU to the US. There are nonetheless a few things to note/check:

- **Technical and Organisational Security Measures:** The Standard Model Clauses oblige Zoom to implement the technical and organisational security measures which are noted at Appendix 2 (cross ref to Exhibit B). You should therefore ensure that you and other IS colleagues are satisfied as to the robustness of the minimum security control requirements outlined in Exhibit B from a technical and operational/practical perspective.
- **Choice of Law:** Unlike the Terms of Use which David has discussed with you, the EU Model Clauses are subject to the laws of the data exporter (so this would be the law of the UK as a member state – either the laws of Scotland or the laws of England and Wales) which is preferable from the University’s perspective.
- **Data Subprocessors:** Zoom uses a number of data subprocessors which are listed at <https://zoom.us/subprocessors> Under the Model Clauses Zoom are obliged to have in place with these organisations data processing arrangements equivalent to this DPA, which is good. However, new subprocessors engaged by Zoom are subject to an approval process set out at 5.2 of the DPA, under which the University is deemed to have accepted any new subprocessor if it does not object within 10 days of notification – something to be aware of. These subprocessors will also have to be taken into account when signposting users to the privacy policy (I am assuming UoE platform will link users to the Zoom privacy policy where this list of subprocessors shall be given.) No doubt Rena is advising as appropriate on the privacy policy aspects of use of Zoom.
- **Breach Notification:** The DPA states that Zoom has 72 hours to report any data breach to the University (the Model clauses state this must be done ‘promptly’ but the Zoom DPA expands on this giving exact timescale). When drafting our own DPA’s we specify that processors do this within 12/24 hours, so 72 hours is quite a bit beyond this. This is unlikely to be negotiable with Zoom, but is something to note, as if a breach did occur the University may not become aware immediately, perhaps leaving less time for our own mitigation measures.
- **Indemnity:**
 - Frequently when using a Data Processor the University seeks an indemnity in its favour for any claims/losses which the Data Processor causes. For example, if the University were to be subject to a claim by a Zoom User that their personal data had been breached, and this breach was caused by Zoom, an appropriately drafted indemnity would ensure that Zoom would be liable to the University for costs associated with that claim. There is no such indemnity provision included in the model clauses, nor supplemented in the remainder of the Zoom DPA.
 - Indeed, the DPA (the terms of which apply to the extent they do not conflict with the Model Clauses) contains an indemnity provision **by the University in favour of Zoom**, for any claims and losses caused by the University. This would apply where the University has provided Zoom with Personal Data in violation of the agreement or “otherwise inappropriate for the nature of the Services”. Whilst it is assumed that the University is unlikely to provide Zoom with data which violates the terms of the agreement or is inappropriate for the

nature of the Services, this would come down to what is provided by the users themselves and therefore the University does not have absolute control over this. As David noted with the Terms of Use, it is common for these types of suppliers to push as much liability onto the buyer/users as possible, and we are unlikely to be able to negotiate around this. We can, however, ensure robust user guidance to ensure no data is provided which is likely to breach these provisions. I see from correspondence that work is progressing on such guidance/ user restrictions, which is positive.