



UNIVERSITY EXECUTIVE  
Microsoft Teams  
Tuesday 8 September 2020, 10.00am

AGENDA

- |          |  |               |
|----------|--|---------------|
| <b>1</b> | <b>Minute</b><br>To <u>approve</u> the Minute of the previous meeting held on 18 August 2020.                | <b>A1</b>     |
| <b>2</b> | <b>Matters Arising &amp; Action Log</b><br>To <u>raise</u> any matters arising and note outstanding actions. | <b>A2</b>     |
| <b>3</b> | <b>Principal's Communications</b><br>To <u>receive</u> an update from the Principal.                         | <b>Verbal</b> |

**DISCUSSION ITEMS** (These papers will not normally be verbally presented)

- |          |   |          |
|----------|---|----------|
| <b>4</b> | <b>Adaptation and Renewal Report</b><br>To <u>consider</u> the update from Barry Neilson, Director, Adaptation and Renewal Team.  | <b>B</b> |
| <b>5</b> | <b>Finance</b><br>To <u>consider</u> and <u>approve</u> the papers from Lee Hamill, Director of Finance. <ul style="list-style-type: none"><li>● <b>Director of Finance's Report</b> <span style="float: right;"><b>C1</b></span></li><li>● <b>Review of Finance Operating Model and Recommendation</b> <span style="float: right;"><b>C2</b></span></li><li>● <b>Value for Money Report</b> <span style="float: right;"><b>C3</b></span></li></ul> |          |
| <b>6</b> | <b>People Report</b><br>To <u>note</u> the update from James Saville, Director of Human Resources.  | <b>D</b> |
| <b>7</b> | <b>Freedom of Expression</b><br>To <u>approve</u> the paper from Sarah Smith, University Secretary and Vice-Principal Strategic Change and Governance.  | <b>E</b> |
| <b>8</b> | <b>External Communications</b><br>To <u>consider</u> and <u>approve</u> the papers from Theresa Merrick, Director of Communications and Marketing. <ul style="list-style-type: none"><li>● <b>Community Plan</b> <span style="float: right;"><b>F1</b></span></li><li>● <b>The Edinburgh Futures Conversations: An Outline Proposal</b> <span style="float: right;"><b>F2</b></span></li></ul>  |          |
| <b>9</b> | <b>Global Open Centre Finance Centre of Excellence</b><br>To <u>consider</u> the paper from Catherine Martin, Vice-Principal (interim) Corporate Services   | <b>G</b> |

**ITEMS FOR NOTING OR FORMAL APPROVAL**

- |           |   |          |
|-----------|---|----------|
| <b>10</b> | <b>Authorising International Data Transfer</b><br>To <u>approve</u> . | <b>H</b> |
|-----------|---|----------|

- |           |   |               |
|-----------|---|---------------|
| <b>11</b> | <b>People and Money System and Finance/HR Transformation Update</b><br>To <u>note</u> .           | <b>I</b>      |
| <b>12</b> | <b>Creation of Research Data Scotland</b><br>To <u>note</u> .                                     | <b>J</b>      |
| <b>13</b> | <b>University Executive Communications</b><br>To <u>note</u> the key messages to be communicated. | <b>Verbal</b> |
| <b>14</b> | <b>Any Other Business</b><br>To <u>consider</u> any other matters by UE members.                  | <b>Verbal</b> |
| <b>15</b> | <b>Date of Next Meeting</b><br>Tuesday 6 October 2020 at 10.00am.                                 |               |



UNIVERSITY EXECUTIVE

18 August 2020

[Draft] Minute

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

**Apologies:** Lee Hamill.

**In attendance:** Barry Neilson, Rachael Robertson, Fiona Boyd and Kirstie Graham.

**1 Minute** **Paper A1**

The Minute of the meeting held on 21 July 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 updated members on:

- the renaming of the David Hume Tower, noting that as it would be temporarily used as a study space, it would be given an address-based name for this purpose while the broader process of considering naming, engaging with a range of stakeholders, continued;
- there had not been an announcement from the Scottish Government reducing social distancing on campus from 2 metres, so the teaching day would need to be extended to 8pm to accommodate the hybrid delivery model (no staff would be expected to work more than their agreed hours within this model);
- the announcement by the UK government on A level results, following on from a similar decision on Higher results and the potential impact on admissions. A range of approaches to this issue were considered and following discussion the Executive agreed the University should honour all original offers made. Where there were capacity constraints, applicants would be offered entry this year on a different course or deferral to next year.

**DISCUSSION ITEMS**

**4 Adaptation and Renewal Report** **Paper B**

The Executive noted the update on the work of the Adaptation and Renewal Team.

## **5 Adaptation and Renewal – Staff Related**

### **• Staff Survey**

**Verbal**

The Executive received a presentation on the staff survey on homeworking from Gavin McLachlan, Vice-Principal and Chief Information Officer and Librarian. It was noted that there had been a good response rate and staff members had variable experiences of home working. Within the extremes of response, many staff had expressed an interest in a more hybrid or flexible model of working in the longer term. There was discussion and the following points were raised: the need for training and support for managers on managing staff working from home; the need for clarity on how and when it is expected to transition back to campus based working; ensuring consideration of both organisational requirements and personal choice; the need to consider equality and diversity in any approach to home working.

It was noted that further surveys could be carried out (proposals for a series of pulse surveys to be considered by the staff experience committee) and there would be a thought paper on longer term home and hybrid working to be considered by the reshaping group.

### **• People Report**

**Paper C1**

The Executive noted the update on people related matters and particularly the launch of three leadership and management programmes.

### **• Voluntary Severance Programme**

**Paper C2**

The Executive considered the proposed operation of a voluntary severance programme to be run in the first half of financial year 2020/21. Members supported the overall approach whilst recognising the challenge of implementation to ensure long term and meaningful costs savings. There was discussion on eligibility and approval criteria, proposed timelines and duration of each stage, cross university budget management and the equity of the financial package across all grades. The scheme was approved, subject to these suggestions, to be discussed with the Trades Unions prior to implementation.

### **• Support For Early Career Researchers During and After Covid19**

**Paper C3**

The Executive welcomed the update on ongoing and new measures designed to address the challenges faced by early-career researchers created by Covid-19, particularly relating to sustaining research activity and building research careers.

## **6 Director of Finance's Report**

**Paper D**

The Executive noted the University position to the end of June and the expectation the year end result would be higher than previously forecast, due to the longstanding challenges in forecasting accurately. It was critical to improve financial forecasting to ensure effective and sustainable local and strategic decisions can be made, noting the surplus generated would still be insufficient to ensure long term sustainability without implementing the previously agreed cost saving measures.

The impact of Covid19 was noted in increasing the uncertainty in both the short and medium to long term. As part of the initial response, it was decided to defer projects in the Estates Capital Plan at the pre-construction stage by 12 months. The Estates Committee was expected to recommend to Policy and Resources Committee, and subsequently University Court a further 12 months deferral. The impact of Covid19 on the University and the higher education landscape would be far reaching and this deferral would ensure time was available to re-think the Estates Capital Plan in the light of this. Members were supportive of this approach.

## **7 Student Survey Results July 2020**

**Paper E**

The Executive considered the findings from the National Student Survey (NSS) and Postgraduate Taught Experience Survey (PTES) in 2020. Members noted the disappointing results compared to our peers, noting that overall satisfaction has decreased by one percentage point from 79% to 78% between 2019 and 2020. Although the longer term trend is of decreased levels of satisfaction across the sector, the University's satisfaction scores are declining at a greater rate than the sector.

In discussion members agreed that this was reflective of a long standing and systemic issue that would require a long term, strategic response to resolve. Although disappointing, improving student satisfaction remained a strategic priority. Further analysis and an action plan would return to the Executive for consideration.

## **8 Policy and Procedure Updates**

- **Counter Fraud Group Report**

**Paper F1**

The Executive reviewed the updated Fraud Policy and Procedures and were content to recommend to Audit and Risk Committee and then Court for approval.

- **Report on Whistleblowing Policy and Procedures**

**Paper F2**

The Executive reviewed the new Whistleblowing Policy and Procedures and were content to recommend to Audit and Risk Committee and then Court for approval.

### **ITEMS FOR FORMAL APPROVAL/NOTING**

## **9 Revised Complaint Handling Procedure**

**Paper G**

The University Executive approved a revised Complaint Handling Procedure, in line with the requirements of the Scottish Public Services Ombudsman.

## **10 Revisions to Fee Collection - Recovery Process**

**Paper H**

The Executive approve the principles and intended approach to revise the debt management process to ensure that students do not lose IT access mid-semester, in response to the hybrid teaching model.

## **11 REF 2021 update and route to submission**

**Paper I**

The Executive noted the changes to the REF2021 exercise, including the new submission deadline. It was advised that consideration should be given to ensuring that staff involved in delivering our REF submission have secondments or fixed terms contracts extended as a result of this.

## **12 Guidance on Recommended Student Technology**

**Paper J**

The Executive noted an update on the type of technology students might need, to ensure the best possible teaching experience, in line with the necessary move to hybrid teaching. It was noted that the Scottish Funding Council had provided additional funding to address digital poverty and that Development and Alumni were exploring philanthropic support as well.

## **13 People and Money System and Finance/HR Transformation Update**

**Paper K**

The Executive considered the People and Money Systems and HR/Finance Transformation Programme Update and noted concern that there may be further delay to the implementation of the HR and finance structures. Members were assured the delay would be a matter of weeks and would not have resource implications.

## **14 University Executive Communications**

**Verbal**

The Executive agreed there would be communication on early career researchers, complaint handling, the National Student Survey and revised policy and procedures.

## **15 Date of Next Meeting**

The next meeting will take place on Tuesday 8 September 2020 at 10 am.



UNIVERSITY EXECUTIVE

8 September 2020

**Adaptation and Renewal Team – Report**

**Description/Summary of paper**

1. This paper provides the University Executive with an update on the work of the Adaptation and Renewal Team.
2. This paper covers the monthly update from the Adaptation and Renewal Team which has met three times since the Executive last met in August 2020. This paper sets out the significant progress being made across the various workstreams. There are a number of key issues in the paper.

**Action Requested/Recommendation**

3. The University Executive is asked to consider the paper.

*Paragraphs 4-17 have been removed as exempt from release due to FOI.*

**Communication and Engagement**

18. Communication and Engagement leads have been embedded across Adaptation and Renewal and co-ordination group including colleagues from Colleges and Professional Services group is well established.

*Paragraph 19 has been removed as exempt from release due to FOI.*

**Risk Management**

20. A focussed risk register is being maintained covering the co-ordination activity of Adaptation and Renewal.

**Equality & Diversity**

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

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

**Further Information**

23. Author and Presenter

Barry Neilson

Director

9 September 2020

**Freedom of Information**

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



UNIVERSITY EXECUTIVE

8 September 2020

Director of Finance's Report

**Description of paper**

1. The paper provides an update on the draft University Group financial results for 2019-20, as well as updates on annual insurance renewal, the timeline for the USS Technical Provisions consultation as part of the 2020 valuation, and a EUSA request for additional University support.

**Action requested/Recommendation**

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

**Background and context**

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

*Paragraphs 4-17 have been removed as exempt from release due to FOI.*

**Resource Implications**

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

*Paragraph 19 has been removed as exempt from release due to FOI.*

**Equality & Diversity**

20. 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**

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

**Consultation**

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

**Further information**

23. <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)	

31 August 2020

**Freedom of Information**

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





UNIVERSITY EXECUTIVE

8 September 2020

**Review of Finance Operating Model and Recommendation**

**Description of Paper**

1. This paper provides a summary of:

- The recommendation on professional and line management reporting for all University Finance staff;
- The paper explains the rationale and the challenges remaining across the University Finance service and community that are consistent with the original issues flagged in original Service Excellence Current State Assessment for Finance, as well as the key themes and trends that are still a problem today.

**Action Requested**

2. The University Executive is asked to approve the recommendation.

*Paragraphs 3-18 have been removed as exempt from release due to FOI.*

**Resource Implication**

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

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

**Equality & Diversity**

21. An Equality Impact Assessment will be undertaken in advance of the implementation of this proposal.

**Next steps & communication**

*Paragraph 22 has been removed as exempt from release due to FOI.*

**Further information**

23. Author & Presenter

Lee Hamill

Director of Finance

**Freedom of Information**

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



UNIVERSITY EXECUTIVE

8 September 2020

Value for Money Report

**Description of paper**

1. This paper reports on Value for Money (VFM) activity for 2019/20, covering both initiatives pursued through the University Executive, and more locally focused work. It is due to be submitted to the Audit and Risk Committee at its next meeting on 10 September 2020.

**Action requested/Recommendation**

2. Members of the Executive are asked to consider whether the content of this paper meets their needs in satisfying themselves that sound arrangements are in place to promote economy, efficiency and effectiveness in the University. The Executive is asked to endorse this report for forwarding to Court via Audit & Risk Committee as part of the Committee's Annual Report.

*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.

*Paragraph 15 has been removed as exempt from release due to FOI.*

**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. Author

Rachael Robertson  
Deputy Director of Finance  
John Emerson & Callum Hattersley  
FIRST (Financial Information,  
Reporting & Strategy Team)  
21 August 2020

Presenter

Lee Hamill  
Finance Director

**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.



UNIVERSITY EXECUTIVE

8 September 2020

People Report

**Description of paper/summary**

1. This paper is the standing update on people related matters. Please note item 5 on the launch of the pan-University voluntary severance scheme, which will come into force as of 1 September 2020.

**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 18 August 2020.

*Paragraphs 4-8 have been removed as exempt from release due to FOI.*

**Resource implications**

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

**Risk Management**

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

**Equality & Diversity**

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

**Next steps & Communications**

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

**Consultation**

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

**Further information**

14. Authors

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

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

Presenter

James Saville  
Director of Human Resources  
31 August 2020

**Freedom of Information**

15. This paper is **closed**.



UNIVERSITY EXECUTIVE

8 September 2020

Freedom of Expression

**Description of paper**

1. At its February meeting, the Executive considered a statement on freedom of expression. The Executive supported the development of the statement and made a number of suggestions. Following further discussion and iterations, the proposed statement is attached as an appendix showing the changes that have been made.

**Action requested/Recommendation**

2. The Executive is asked to consider and approve the 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 statement on the University's commitment to Freedom of Expression will clearly signal the University's commitment to promote and protect a culture of mutual respect 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. Following approval the statement will be publicised as appropriate and reviewed periodically.

**Consultation**

9. A previous draft statement was considered by the University Executive and there were further comments and discussion which informed this final version.

**Further information**

10. Author & Presenter

Sarah Smith

Vice-Principal Strategic Change & Governance/University Secretary

**Freedom of Information**

11. Closed.



UNIVERSITY EXECUTIVE

8 September 2020

Community Plan

**Description/Summary of paper**

1. The purpose of this paper is to seek approval of the University's new Community Plan.

*Paragraphs 2-5 have been removed as exempt from release due to FOI.*

**Action requested/Recommendation**

6. The University Executive is invited to approve the Community Plan, ahead of its launch in early November 2020.

*Paragraphs 7-21 have been removed as exempt from release due to FOI.*

**Equality & Diversity**

22. As a product of the internal and external consultation undertaken, commitments have been added to the Plan on working with partners on our historical links to slavery; our work as a University of Sanctuary; ensuring new links with a diverse group of organisations; and the conducting of an Equality Impact Assessment of the Community Grants scheme.

**Next steps & Communications**

23. If the plan receives approval from University Executive, it will then be launched by the Principal in early November 2020. The plan will be finalised, designed and printed in advance of the launch.

24. A communications plan will also be developed to ensure that the Plan and associated messages reach key internal and external audiences.

**Consultation**

25. Extensive internal and external consultation on the Community Plan has taken place since summer 2019. This has included consultation events, internal and external surveys on draft commitments, presentations to interested groups, and a significant number of one-to-one meetings with colleagues in various University teams. 59 staff and 40 external stakeholders responded to the survey on draft commitments, and an 8-person student panel also provided their views.

**Further information**

26. Authors

Lesley McAra  
Assistant Principal Community  
Relations and Director Edinburgh  
Futures Institute

Presenter

Theresa Merrick  
Director  
Communications and Marketing

Dave Gorman  
Director

Department for Social Responsibility  
and Sustainability

Gavin Donoghue  
Deputy Director, Stakeholder  
Relations  
Communications and Marketing

**Freedom of Information**

27. Closed paper until the publication of the Community Plan.



8 September 2020

## The Edinburgh Futures Conversations: An Outline Proposal

### Description/Summary of paper

1. This paper sets out a proposal for a series of events in late 2020/2021 exploring the role of global co-operation in responding to the Covid-19 pandemic. These events would act as a platform to bring together global influencers, academic experts and policymakers, including from among our alumni, and also involving our students, to discuss the longer term impacts of Covid-19, and provide a space to discuss possible solutions and define the actions necessary to achieve them.
2. The series of events would recognise the critical role that the University of Edinburgh can play internationally as a place of convocation, debate and challenge, and the contribution that its research and education can make in supporting recovery and regeneration, post Covid-19.
3. The events would be hosted, on behalf of the University, by Edinburgh Futures Institute (EFI) in its capacity as a cross-University forum committed to interdisciplinarity (bringing together the arts, humanities and social sciences with data science, engineering, the natural sciences and medicine), co-design and co-production (working in partnership with communities, government and industry), and data driven innovation.
4. The subjects and themes of the series would be rooted in the University's unique history, geography and culture, and exploit our research strengths and global leadership in specific relevant topics.

### Action requested/Recommendation

5. The University Executive is asked to comment on, and given an in-principle endorsement of, the outline proposal.

*Paragraphs 6-23 have been removed as exempt from release due to FOI.*

### Equality & Diversity

24. In devising the lists of invited speakers, the event organisers will ensure that these reflect the University values of equality and diversity. Guests would be invited to attend from countries around the world in order to provide a truly global perspective on the required post-pandemic response.
25. The events series itself will also include exploration of the differential impacts of Covid-19 and associated outputs will be focused on the promotion of equality, diversity and inclusion globally.
26. An Equality Impact Assessment will be undertaken when the programme is devised and advice will be taken from the University Lead on equality, diversity and inclusion.

*Paragraph 27 has been removed as exempt from release due to FOI.*

**Consultation**

28. The paper has been developed collaboratively between EFI, CAM and D&A. All potential members of the project steering group have been consulted, including staff from all three Colleges.

**Further information**

29. *Authors*

Lesley McAra  
Director, EFI

Theresa Merrick  
Director of Communications and  
Marketing

Chris Cox  
Vice Principal (Philanthropy and  
Advancement)

*Presenter*

Theresa Merrick  
Director of Communications and  
Marketing

**Freedom of Information**

30. Closed





UNIVERSITY EXECUTIVE

8 September 2020

**Global Open Finance Centre of Excellence (GOFCoE) - progress update**

**Description of paper**

1. Recently funded by UKRI's Strength in Places Fund (£22.5m), the GOFCoE team is providing the University Executive with an update on activities and upcoming decisions, notably the timing for incorporation as a company limited by guarantee and management of key risks.

**Action requested/Recommendation**

2. University Executive is asked to comment on GOFCoE's proposed incorporation and liability risk management to shape the presentation of a paper for September's Policy & Resources Committee.

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

**Equality & Diversity**

48. No impacts relating to the University's Equality and Diversity policy are anticipated.

*Paragraph 49 has been removed as exempt from release due to FOI.*

**Consultation**

50. Senior UoE stakeholders have been regularly engaged formally via the Executive Steering Group. The Executive Steering Group members include a number of senior UoE stakeholders such as the Senior Vice-Principal, the Director of Legal Services, the Dean of the Business School, the Director of Edinburgh Futures Institute and the Director of EPCC.

51. Legal Services have provided significant operational input and assistance in the development of the business case for incorporation as well as negotiating and drafting the data sharing, information sharing and SiPF collaboration agreements.

52. This paper has been reviewed by the Senior Vice Principal and Vice Principal Corporate Services, as well as the Assistant Principal for Industry Engagement.

**Further information**

53. <u>Author</u>	<u>Presenter</u>
Dougie Robb	Catherine Martin
GOFCoE Finance Lead	Vice-Principal (interim) Corporate Services

**Freedom of Information**

54. This paper is closed as disclosure would substantially prejudice the interests of the University, FinTech Scotland and FDATA.



UNIVERSITY EXECUTIVE

8 September 2020

**Authorising International Data Transfer**

**Description/Summary of paper**

1. On 16 July 2020, the European Court of Justice issued a decision that invalidated the so-called Privacy Shield which had served as a safeguard for transferring personal data to the US, and limiting the use of the Standard Contractual Clauses (SCCs) for use outwith the EEA. As the University frequently transfers personal data abroad, a risk assessment needs to be conducted and approved and transfer authorised at highest level while waiting for guidance from the European Data Protection Board and the UK Information Commissioner.

**Action requested/Recommendation**

2. University Executive is asked to note and endorse the interim solution of approval of risk assessments and authorisation of data transfer at highest level

**Background and context**

3. Personal data can only be transferred to a non-EEA country if one safeguard from a list provided by the GDPR is in place. Two such safeguards were the Privacy Shield and the SCCs. Until 16 July 2020, if a US company evidenced GDPR compliance, they could apply for the so-called Privacy Shield and would then be treated as if they were based in the EEA, i.e. personal data could be transferred. Similar, if the EU-authored SCCs became part of a contract, then that entire contract would be bound to the GDPR.

4. The European Court of Justice decided that neither the Privacy Shield nor the SCCs can appropriately safeguard personal data if a US agency (such as Police, CIA, NSA) relying on the Patriot Act wishes to access the data. The Privacy Shield was invalidated immediately and can no longer be relied on at all and in the case of the SCCs, a risk assessment needs to be conducted.

**Discussion**

5. The European Data Protection Board will issue guidance on how to address the issue in due course, however, in the meantime, the University will initiate projects that require the transfer of personal data to the US and other non-EU countries. The UK Information Commissioner has advised to leave any current data transfer relying on the Privacy Shield in place, but not to initiate any new transfer under the Privacy Shield.

6. The risk assessment for the SCCs for all large-volume data transfer or transfer involving special category personal data will determine how great the risk might be for data to be accessed by the government of the country the data is sent to. It will include investigating mitigation measures such as pseudonymisation to ensure that individuals are not easily identifiable in the recipient country. It will be part of the Data Protection Impact Assessment which has to be conducted for any new project or initiative. As authorisation of this risk assessment must take place at the highest level, Heads of College respectively Directors of the Support Groups or a

representative they nominate will be asked to approve the relevant questions in the risk assessments and authorise transfer. The approval will be stored by the Data Protection Officer. The Data Protection Officer will report progress to the University Executive on a regular basis.

### **Resource implications**

7. All GDPR implementation projects and processes are integrated into normal planning and are resourced locally.

### **Risk Management**

8. Compliance with the GDPR is a statutory requirement. Failure to comply having potentially financial and reputational impacts.

### **Equality & Diversity**

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

### **Next steps & Communications**

10. Heads of College and Directors of the Support Groups will be approached and informed of their responsibilities.

### **Consultation**

11. The Data Protection Steering Group was consulted and advised on this.

### **Further information**

12. Author

Dr Rena Gertz  
Data Protection Officer

Presenter

Tracey Slaven  
Deputy Secretary Strategic Planning

### **Freedom of Information**

13. Open



UNIVERSITY EXECUTIVE

8 September 2020

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

**Description/Summary of paper**

1. This paper provides the University Executive with an update of the HR and Finance Transformation Programmes and the People and Money system implementation. Following the decision to stand the Service Excellence Board down a combined, monthly report is provided to the University Executive.

*Paragraph 2 has been removed as exempt from release due to FOI.*

**Action Requested/Recommendation**

3. The University Executive is asked to **note** the paper and visit the SharePoint site above, promote this site in local meetings, and check in with your local implementation group for update on progress in your area.

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

**Further Information**

31. Author and presenter

Barry Neilson

Director

Service Excellence Programme

8 September 2020

**Freedom of Information**

32. This paper is **closed**.



UNIVERSITY EXECUTIVE

8 September 2020

**Creation of Research Data Scotland**

**Description of paper**

1. This paper describes the creation by the Scottish Government of an organisation to manage access to research data from across the public sector in Scotland. The organisation will be called Research Data Scotland.
2. The University is being asked by the Scottish Government to be one of four founding partners in Research Data Scotland which it is proposed to be established as an arms-length (from Scottish Government) charitable organisation in Scotland.

**Action requested/Recommendation**

3. The Executive is asked to note the plan to establish Research Data Scotland (RDS) by the Scottish Government.
4. It is not possible at this time to confirm all of the details of the establishment of RDS because Scottish Government are still considering their own Business Case. The ambition is to launch RDS by the start of 2021. It is recommended that the Executive note this opportunity, subject to final approval by Policy and Resources Committee/Court once all of the details are agreed.

*Paragraphs 5-12 have been removed as exempt from release due to FOI.*

**Risk Management**

13. A full Risk Register is being maintained by Scottish Government as part of the establishment of RDS. Both Prof Parsons and Prof Dibben sit on the RDS Steering Board and regularly review this Risk Register.
14. Advice from University Legal Services has been sought and is being provided on a continuing basis. In particular, care is being taken to ensure the University is not exposed to reputational or financial risk as a result of its founding partner status.

**Equality & Diversity**

15. Due consideration has been given to equality and diversity. No new or revised policies are proposed and therefore an Equality Impact Assessment has not been completed.

**Next steps/implications**

16. Over the next 3 months, Scottish Government will complete its Outline and Full Business Cases. A final decision will then be taken on the legal form of RDS and the date from which it will be set up. We expect this to happen by November 2020.

**Consultation**

17. This paper has been reviewed by Tracey Dart from ADR-Scotland, and Nora Kellock and Louise Cullum, both of whom are solicitors within University Legal Services.

**Further information**

18. Authors

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27 August 2020

Presenter

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**Freedom of Information**

20. Closed paper for reasons of commercial confidentiality.