



UNIVERSITY EXECUTIVE
Microsoft Teams
Tuesday 15 December 2020, 10.00am

AGENDA

- 1 **Minute** A1
To approve the Minute of the previous meeting held on 10 November 2020, the Electronic Meeting concluded on 23 November 2020 and the note of the Away Day on 2 December 2020. A2
A3
- 2 **Matters Arising & Action Log** A4
To raise any matters arising and note outstanding actions.
- 3 **Principal's Communications** Verbal
To receive an update from the Principal.

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

- 4 **Adaptation and Renewal**
 - To consider the update from Barry Neilson, Director, Adaptation and Renewal Team B1
 - To note the proposed future direction of travel from the Principal. B2
- 5 **People and Money System and Finance/HR Transformation Update** C
To consider the update from Barry Neilson.
- 6 **Director of Finance's Report** D
To consider the paper from Lee Hamill, Director of Finance.
- 7 **People**
To consider the papers from James Saville, Director of Human Resources
 - **People Report** E1
 - **Staff Behaviours Charter** E2
- 8 **Graduate & Alumni (Visiting Student) Scholarships** F
To approve the paper from Colm Harmon, Vice-Principal Students.

ITEMS FOR NOTING OR FORMAL APPROVAL

- 9 **Statutory Annual Procurement Report 2019-20** G
To approve.
- 10 **Update of Essential Medicines Position Statement** H
To note.
- 11 **'Have Your Say' Update** I
To note.

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|-----------|---|---------------|
| 12 | Managing Risks in Internationalisation
To <u>note</u> . | J |
| 13 | Study Spaces Update
To <u>note</u> . | K |
| 14 | University Executive Communications
To <u>note</u> the key messages to be communicated. | Verbal |
| 15 | Any Other Business
To <u>consider</u> any other matters by UE members. | Verbal |
| 16 | Date of Next Meeting
Tuesday 19 January 2021 at 10.00am. | |



UNIVERSITY EXECUTIVE

10 November 2020

[Draft] Minute

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

Apologies: David Argyle and David Gray.

In attendance: Pauline Manchester, Barry Neilson, Fiona Boyd and Kirstie Graham.
Alan MacKay for item 7 and Dave Gorman for item 11.

1 Minute Paper A1 & A2

The Minutes of the meeting held on 6 October 2020 and the electronic meeting concluded on 2 November 2020 were approved.

2 Matters Arising & Review of Action Log Paper A3

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

3 Principal's Communications Verbal

The Principal updated members on:

- The Covid 19 pandemic, reporting that current staff and student cases are very low and there is no evidence of transmission in the classroom. The University was currently in discussion with the Scottish Government on students going home for Christmas and returning in January as the curriculum would continue to be delivered using a hybrid model of online and face to face teaching.
- The ongoing Scottish Funding Council review of the coherence and sustainability of Scotland's Colleges and Universities.
- The proposed strategic partnership with the Government of Gujarat in the development of the Gujarat Biotechnology University, which continues to progress with an update going to Policy and Resources Committee next week.
- The voluntary severance scheme had now closed, with 217 staff accepted for voluntary severance, most to leave at the end of January. The Executive noted its thanks to these staff for their valued contributions to the University.

DISCUSSION ITEMS

4 Adaptation and Renewal Team - Report Paper B

The Executive received an update on the recent work of the Adaptation and Renewal Team. In the section on Semester 2 planning, it was noted that specific challenges for the upcoming semester included availability of specialist teaching space, not study space as referenced in the report. The report was noted.

5 People Report Paper C

The Executive noted the update on people related matters.

6 Equality and Diversity

• Application for White Ribbon Status Paper D1

The Executive approved applying for White Ribbon status through an action plan led by Fearless Edinburgh.

• Everyday Discrimination Survey for our Black and Minority Ethnic Staff Paper D

The University Executive noted a proposed survey of everyday discrimination for our Black and Minority Ethnic staff using a pilot survey developed by Harvard University. Members welcome the proposal and there were supportive suggestions on ensuring the language was UK appropriate and considering the intersections with other protected characteristics. Taking this into account, the proposed survey was approved.

7 Supporting Working Overseas and International Activity Paper E

The Executive noted the immediate and longer term risks to the University relating to employees working overseas and agreed it was timely to confirm how many employees are currently located overseas. The Executive approved establishment of a Working Group, reporting back in March 2021, to recommend options for ensuring that we have the required resources, processes, frameworks and policies to support overseas working and wider international activity such as transnational education projects and collaboration.

8 Finance

• Director of Finance's Report Paper F1

This Executive noted the draft audited University Group Annual Report and Accounts for 2019-20 prior to submission to Audit & Risk Committee for review and recommendation to Court for approval on 30 November 2020. The proposed approach for managing short term investment of donations was noted.

- **Interim Financial Update**

Paper F2

The Executive noted the PowerPoint presentation regarding the University Group's forecasted financial position between 2020/21 and 2024/25. The Director of Finance had convened two dedicated update sessions on this topic for University Court and Policy and Resources Committee members and took Executive members through the key points arising from the scenario modelling. Members agreed this provided helpful context for the current cost cutting measures and need for longer term sustainable savings. It was noted that it was intended to do a further interim financial update in the new year.

9 Planning Round Cycle 2022-22 & Student Number Planning

Paper G

The Executive considered the timetable for the 2021-22 planning round and the proposed approach to managing uncertainty in relation to student number planning to allow flexibility to implement recruitment contingency plans in the event that funded places are significantly different from the assumptions and/or that exam results are again awarded on the basis of teacher-assessed/predicted grades or are significantly delayed forcing decisions on the basis of predicted results.

Following discussion, the Executive approved: the approach to the 2021-22 planning cycle, to be reported to Policy and Resources Committee; the approach to managing uncertainty on in relation to student number planning; and the preparation of a Clearing project for 2021/22.

10 Strategy 2030 Strategic Performance Framework

Paper H

The Executive considered a Strategic Performance Framework to assess performance against Strategy 2030, noting that this was a work in progress and did not include financial measures. Following discussion, the Executive endorsed the general direction of travel, noting this would also go to Policy and Resources Committee and Court for comments before returning the Executive.

11 Responding to the Climate Emergency

Paper I

The Executive considered an update on commitments to address climate change, which included a core commitment in Strategy 2030 to become net zero carbon by 2040. As part of this work, the Executive had agreed an action plan which included investment in carbon sequestration to support this commitment. This was a time sensitive issue if the 2040 target was to be achieved.

There was extensive discussion of the broader context, including the work of Estates Committee in considering the carbon generated by heating the estate; the changing financial landscape due to Covid; the reputational benefits of being sector leading and risks of failing to achieve the target; the benefit to the curriculum and broader student experience; and the challenges of strategic prioritisation to support balanced decision making.

The Executive reiterated its commitment to the net zero carbon target by 2040 and that this remained a strategic priority. This would therefore be considered and

incorporated into the review of capital prioritisation and the planning round, which would clarify the consequences for the overall plan, which would return to the Executive for approval next Spring.

12 Enterprise and Innovation Strategy **Paper J**

The Executive considered and approved the Enterprise and Innovation Strategy, for onward transmission to Policy and Resources Committee, noting the Senior Vice-Principal as sponsor and the formation of a new Innovation Leadership Group, Innovation Working Group and Forum.

ITEMS FOR FORMAL APPROVAL/NOTING

13 Internal Audit Update on Outstanding Actions **Paper K**

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

14 Integrating Sustainable Development Goals in Committee papers **Paper L**

The Executive approved the addition of a new section to the template and guidance for University Executive and Court committee papers with the intention of integrating consideration of the climate emergency, United Nations Sustainable Development Goals (SDGs) and Strategy 2030.

15 Modern Slavery Statement **Paper M**

University Executive approved the draft 2019/20 Modern Slavery Statement for onward review through Audit and Risk Committee to Court and noted the proposed next steps, including the development of an Anti-Slavery Policy in 2021.

16 The Introduction of Use of Operational Data Policy **Paper N**

The Executive approved the proposed Operational Data Policy, subject to clarification on the ethical oversight of Type 2 and 3 data access.

17 Information Security Policy Refresh **Paper O**

The Executive approved the updated Information Security Policy.

18 Development and Alumni – Annual Report and update 2019-20 **Paper P**

The Executive welcomed the Development and Alumni Relation Annual Report and progress update for year 2019-20. The Executive noted that last year saw a new record high for the University in terms of funds raised and commended the breadth of work to engage with and contribute to the University community.

19 People and Money System and Financial/Transformation Update **Paper Q**

The Executive noted the update on the HR and Finance Transformation Programmes and that the People and Money system would be going live across the University tomorrow, with members asked to encourage colleagues to log onto and familiarise themselves with the new system.

20 Annual Strategic Risk Report **Paper R**

The Executive noted the Strategic Risk Report Update, for onward transmission to Audit and Risk Committee following final approval by Risk Management Committee.

21 Health and Safety Quarterly update: Quarter 4 **Paper S**

The Executive noted the summary of health and safety related activity during the period 1 June 2020 to 31 August 2020.

22 Global Open Centre Finance Centre of Excellence Update **Paper T**

The Executive welcomed the update on the Global Open Centre Finance Centre of Excellence (GOFCoE) including the proposed incorporation timetable.

23 University Executive Communications **Verbal**

The Executive agreed there would be communication on: the equality diversity and inclusion papers; supporting working overseas and international activity; the inclusion of Strategy 2030 and Sustainable Development Goals in papers; the Development and Alumni Annual Report and the Operational Data and Information Security Policies.

24 Date of Next Meeting

There will be an 'Away Day' on Wednesday, 2 December 2020 at 10.00 – 12.00 and 14.00- 1630. The next meeting will take place on Tuesday 15 December 2020 at 10.00am.



UNIVERSITY EXECUTIVE

Electronic Meeting Concluded on 23 November 2020

Minute

Responded: Peter Mathieson (Convener)
David Argyle, Leigh Chalmers, Chris Cox, Sarah Cunningham-Burley,
David Gray, Richard Kenway, Wendy Loretto, Catherine Martin,
Gavin McLachlan, Dorothy Miell, Dave Robertson, James Saville,
Jonathan Seckl, James Smith, Sarah Smith, Sandy Tudhope and
Moirá Whyte.

1 Postgraduate Research Student Scholarships Review

The University Executive approved the structure of a new Edinburgh Doctoral College Scholarship as a replacement for the Principal's Career Development Scholarship, for 2021 entry.



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15 December 2020

Adaptation and Renewal Team – Report

Description/Summary of the paper

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

2. The Adaptation and Renewal Team has met four times since the Executive last met in November 2020. This paper sets out the key issues and the progress being made:

- Planning and implementing activities to support students in the lead up to and during the winter break
- Planning for the return of students in semester 2 and in particular engaging with and responding to the guidance established by the Scottish Government and the impact this has on our plans to deliver hybrid learning & teaching in semester 2 and broader impact on students;
- Ongoing work to continue to promote and encourage on campus engagement for both students and researchers in line with the level 3 guidelines established by the Scottish Government;
- Work continues across the reshaping, research and estates & digital infrastructure workstreams and a short verbal update on some of those items will be provided at the meeting.

Actions requested/recommended

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

Paragraphs 4-19 have been removed as exempt from release due to FOI.

Communication and Engagement

20. 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.

Resource Implications

21. Delivery of Renewal and Adaptation activities will require the active reprioritisation of our existing plans and budgets.

Risk Management

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

Equality & Diversity

23. 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.

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

Further Information

25. Author and Presenter

Barry Neilson

Director

11 December 2020

Freedom of Information

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



UNIVERSITY EXECUTIVE

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Adaptation and Renewal - Future Decision Making

Description of paper

1. The paper proposes a new approach to the decision making and policy approval as the initial phases of the pandemic recede.

Action requested/Recommendation

2. The University Executive is asked to approve the recommendation to stand down the Adaptation and Renewal Team (ART), probably at the end of February 2021, with key decision making reverting to the University Executive.

Background and context

3. In April 2020 the University Executive approved a proposal for the co-ordination and governance of the next phase of activity, known as Adaptation and Renewal, to help ensure the University emerged from Covid-19 pandemic as a strong, renewed organisation, with a community of staff, students and friends built on shared values and able to deliver against Strategy 2030.

4. The Adaptation and Renewal work had University-wide representation with a remit to ensure that plans were prioritised, co-ordinated, that individual streams of activity had clear leadership, objectives and timeframes, and that decisions were implemented in a timely manner. Any necessary decisions were made weekly and reported regularly into University Executive.

5. Four workstreams were established, each led by a member of the Senior Leadership Team and supported by a co-ordinating Director. In the initial paper in April 2020 two periods were set out following the immediate response to the pandemic: a short-term operating period (3-5 months) and a longer-term phase (3 - 24 months).

6. Vast amounts of critical and urgent work have been driven through Adaptation and Renewal and I am very grateful to many staff for their expertise and commitment during this most challenging of periods.

Discussion

7. As the University moves towards the longer-term phase, it is timely to reconsider the longevity of the Adaptation and Renewal process in its current form with a view to reasserting the University Executive as the primary decision making body.

8. It is recognised that there is still critical work required, including the Semester 2 planning and staggered return and it is proposed that this progresses smoothly through existing mechanisms. We forecast that this work will be completed by the end of February 2021 and at that stage the existing Adaptation and Renewal Team would be stood down and core discussion and policy decision making will move back to the University Executive.

9. Key research strategy and policy has already largely reverted to pre Adaptation & Renewal practice utilising Research Policy Group, the University Executive and the Senior Leadership Team as appropriate. Likewise the key areas of admissions and recruitment continue to work via the Student Recruitment & Funding Strategy Group.

10. We do think it will be necessary to maintain a planning and operational group beyond February 2021 to consider the anticipated changes in Scottish Government guidance and in particular how this impacts on our planning for 2021/22 academic year, students, staff and the estate. This will include drawing together elements of the Student and the Estates & Digital work with HR and communications and will also report regularly to the University Executive.

11. As discussed with the Executive earlier this month, working to Strategy 2030, the two significant strategic priorities of Curriculum Transformation and Reshaping will be the driving force and framework for setting much of our future shape.

12. Given the nature of both of these strategic priorities, including timescales and scope of consultation, it is important that discussion, contribution to policy and good communication of the issues is established. We envisage two Boards, one on Reshaping and one on Curriculum Transformation, both iterating regularly with the Senior Leadership Team before formulating policy issues to be brought to the Executive for discussion and decision. The Curriculum Transformation work will clearly also need to include consultation with bodies such as Senate and Senate Education Committee.

13. The Senior Leadership Team will continue to provide high-level strategic, financial and reputational input across all areas as necessary and will receive regular reports from Vice-Principal Colm Harmon and Vice-Principal Sarah Smith on Curriculum Transformation and Reshaping respectively.

14. Barry Neilson will work with Colm and Sarah and bring back further details, including the full structure of the Boards, to the University Executive early next year.

Resource implications

15. Nil, adjustment to existing Governance structures

Risk Management

16. For the purposes of Adaptation and Renewal activity a focussed risk register has been maintained.

Equality & Diversity

17. Equality, Diversity and Inclusion matters were well represented during the ART process with named individuals responsible on all work streams and ED&I University Lead Sarah Cunningham-Burley a member of ART. As a member of University Executive Sarah will remain a key element of ensuring full consideration and ED&I will remain embedded within the Reshaping and Curriculum Transformation work with named representatives on both Boards (already in place with Reshaping).

Next steps & Communications

18. The structure and representation of the two Boards (Curriculum Transformation and Reshaping) will be considered further and brought back to the University Executive.

Consultation

19. The Senior Leadership Team, Barry Neilson and Leigh Chalmers have been consulted to date.

Further information

20. Author & Presenter
Professor Peter Mathieson
Principal and Vice-Chancellor

Freedom of Information

21. Open.



UNIVERSITY EXECUTIVE

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

Description/Summary of Paper

1. This paper provides the University Executive with an update on the HR and Finance Transformation Programmes and the People and Money System implementation. Following the decision to stand down the Service Excellence Board, a combined monthly report is provided to the University Executive.
2. The University Executive is asked to pay particular attention to the summarised points.

Action Requested/Recommended

3. The University is asked to note the paper and approve the recommended actions set out by the People and Money Board.

Paragraphs 4-35 have been removed as exempt from release due to FOI.

Resource Implications

36. To be clarified as part of the revised plan.

Risk Management

37. A risk register is maintained and the key risks are alluded to in the paper.

Equality and Diversity

38. This is considered as part of the programme.

Next Steps & Communication

39. A paper will go to the People & Money Board and return to the University Executive with proposals.

Consultation

40. This has been considered by the Senior Leadership Team, People & Money Board and Finance Board.

Further Information

41. Authors and presenters
Barry Neilson
Director
Service Excellence Programme

Gavin McLachlan
Vice Principal, CIO and Librarian to the University - (Sponsor: People & Money).
15 December 2020



UNIVERSITY EXECUTIVE

15 December 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 October (period 3) in Appendix 1 and a Special Focus Update providing information for our joint ventures and associated companies.

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 4-11 have been removed as exempt from release due to FOI.

Equality & Diversity

12. 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

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

Consultation

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

Further information

15. <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)

1 December 2020

Freedom of Information

16. 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 November (period four) management accounts were not available.



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15 December 2020

People Report

Description of paper/summary

1. This paper is the standing update on people related matters. Please note item 5 on the update of the asymptomatic mass student testing, and item 7 on the staff engagement pulse survey.

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 10 November 2020.

Paragraphs 4-9 have been removed as exempt from release due to FOI.

Resource implications

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

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 in formation

15. Authors

Susan McNeill
Deputy Director HR Partnering – Colleges

Jo Roger
Interim Deputy Director HR Partnering –
Professional Services

Denise Nesbitt
Deputy Director HR – Learning and
Organisation Development

Presenter

James Saville
Director of Human Resources
1 December 2020

Freedom of Information
16. This paper is **closed**.



UNIVERSITY EXECUTIVE

15 December 2020

Staff Behaviours Charter

Description of paper

1. The purpose of this paper is to:
 - a. update the University Executive on how the Behaviours Charter has progressed since discussion at the January 2020 Awayday
 - b. set out the plan and proposed actions to test and embed the Behaviours Charter.

Action requested/Recommendation

2. University Executive is asked to:
 - a. endorse the use of the Behaviours Charter with all staff within the University
 - b. approve the implementation plan to embed the Charter
 - c. take individual action to build values led behaviours into College/Departments plans, using the Behaviours Charter as guidance.

Paragraphs 3-21 have been removed as exempt from release due to FOI.

Equality & Diversity

22. The Charter supports our commitment to enhancing equality and diversity and staff wellbeing. Equality, Diversity and Inclusion colleagues have been involved and have reviewed the Charter at each stage of development.

Paragraph 23 has been removed as exempt from release due to FOI.

Consultation

24. Versions of the Behaviours Charter and the implementation plan have been shared with Staff Experience Committee, which includes union representation. Future versions will continue to be shared with the joint unions and their feedback on content and purpose welcomed.

Further information

25. Authors

Jessa Butler
Senior OD and Learning Partner
Denise Nesbitt
Deputy Director of HR (Resourcing,
Learning and Organisation Development)

Presenter:

James Saville
Director of Human Resources

Freedom of Information

26. This paper is closed.



UNIVERSITY EXECUTIVE

15 December 2020

**Graduate & Alumni (Visiting Student) Scholarships
– Proposals for 2021/22 Entry**

Description of paper

1. This paper proposes changes to the scholarships (operates as a discount to fees) offered to our Graduates and Alumni (including visiting students) commencing postgraduate study in 2021. This intended both as financial mitigation, a specific response to Brexit, and also to support our final year undergraduate students who have had their studies disrupted by both strike action and by Covid-19.

Action requested/Recommendation

2. University Executive is asked to approve the changes in the Graduate & Alumni (Visiting Student) Scholarships for 2021/22 outlined.

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

Next steps & Communication

20. Communication of broadened eligibility for the graduate and alumni scholarship would be progressed with CAM and communicated to Fees Team to ensure appropriate implementation. An effective communications plan is essential. It is clear that the long-term existence of a graduate and alumni scholarship was virtually unknown to undergraduates.

Consultation

21. The paper is presented post consideration at Student Recruitment and Fees Strategy Group.

Further information

22. Author

Tracey Slaven
Deputy Secretary, Strategic

Planning

12 November 2020

Presenter

Colm Harmon
Vice Principal, Students

Freedom of Information

23. Closed – until any change to the discount is published. Disclosure would substantially prejudice the commercial interests of the University.



UNIVERSITY EXECUTIVE

15 December 2020

Statutory Annual Procurement Report (APR) 2019-20

Description of paper

1. This paper presents the draft Annual Procurement Report 2020 covering Financial Year 2019-20.

Action requested/Recommendation

2. The Executive is requested to consider and approve the draft Report and to delegate final minor edits to the Director of Procurement (Interim) for publication by 31 December 2020.

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

Equality & Diversity

14. There are no equality and diversity implications, the University procurement strategy and our contracting methods apply the relevant policy in this area.

Next steps/implications

15. Upon approval the final version will be published. Scottish Ministers will be duly informed by the Director of Procurement (Interim).

Consultation

16. The paper is drafted by the University Director of Procurement (Interim) and in consultation with colleagues and Procurement Risk Management Executives representing budget-holders and subsidiary companies to mitigate legal risk.

Further information

17. <u>Author</u>	<u>Presenter</u>
George Sked	Lee Hamill
Director of Procurement (Interim)	Director of Finance

22 November 2020

Freedom of Information

18. The paper is draft/closed; the final Annual Procurement Report will be OPEN.



UNIVERSITY EXECUTIVE

15 December 2020

Update of Essential Medicines Position Statement

Description of paper

1. EUSA President and colleagues requested via Edinburgh Research Office that the University reassert their commitment to Universities Allied to Essential Medicines (UAE^M)'s Equitable Technology Access Framework. The attached position statement has been updated from the 2009 statement (authored by Jonathan Seckl) to reflect current circumstance.

Action requested/Recommendation

2. University Executive are asked to note the update which will be uploaded onto the University webpages.

Background and context

3. The University published a [position statement](#) in 2009 committing to make essential medicines more accessible to people in the developing world. This commitment was reasserted in [2016](#) and [2019](#) via news stories but the position statement was never updated.

Discussion

4. Policy attached.

Resource implications

5. None

Risk Management

6. Reputational Risk.

Equality & Diversity

7. The commitment to Universities Allied to Essential Medicines is part of a commitment to reducing global inequality.

Next steps & Communications

8. Edinburgh Research Office/Governance and Strategic Planning to update website

Consultation

9. George Baxter (Edinburgh Innovations) and Jonathan Seckl.

Further information

10. Author

Lorna Thomson
Director, Edinburgh Research Office

Presenter

Jonathan Seckl
Senior Vice-Principal

Freedom of Information

11. Open

Essential Medicines Position Statement

The University of Edinburgh is committed to advancing development in low- and middle-income countries (LMICs)¹. We recognise that improving health and access to medicines are among the most pressing needs and continues to pioneer world-class research into the often-preventable diseases that take millions of lives every year.

Our position on Essential Medicines aims to:

- I. Improve global equitable access to health technologies
Equitable access in this context refers to the global availability and affordability of health technologies and should be the primary purpose of technology transfer. Maximising equitable access includes both promoting the availability of health technologies while protecting affordability.
- II. Promote further development of health technologies
Technology transfer should promote utilisation and further development of the health technology, while ensuring that intellectual property does not act as a barrier to further research. Therefore, intellectual property must be managed in a way that is conducive to the dissemination and sharing of knowledge and the benefits of scientific progress.
- III. Improve transparency of health technology transfer
Technology transfer agreements, the nature of technology transfer negotiations, and the patent status of health technologies should be as transparent as practicable to ensure effective evaluation of the university's strategies. In addition, all funding sources and amounts should be made public where possible.

To ensure the fruits of its research are accessible to those in greatest need, the University of Edinburgh commits to adhere to the following goals and provisions when transferring its health technologies for commercial purposes, as far as is practicable.

The policy outlines the following provisions that seek to increase the availability of medicines at affordable prices to less developed countries (these apply to all modalities of health technology transfer):

1. The University of Edinburgh acknowledges its responsibility to act in the interest and to the benefit of the global public. Throughout the entire research and technology transfer processes the primary objective must be to ensure a return on public investment by maximising availability, accessibility, and affordability to the health technology.
2. Monopolies are an important barrier to facilitating affordable access to health technologies in all countries. Therefore, such barriers should be reduced to allow for competition. The

¹ World Bank Classification LMICs: <https://blogs.worldbank.org/opendata/new-country-classifications-income-level-2019-2020>

University of Edinburgh therefore aims to issue non-exclusive licenses for LMICs, wherever possible, and refrains from prosecuting patent applications in these countries.

3. To retain intellectual property (IP) rights, wherever possible, as this maximises the University's influence over the management of health technologies.
 - a. Any transfer of rights should be contingent on the attachment of conditions that promote access, in accordance with the goals and principles outlined in this policy. This includes, but is not limited to, agreements relating to licensing of health technologies, cooperation with other parties, and employment of researchers.
 - b. In the event that the University of Edinburgh does not retain ownership over the IP developed by researchers employed by the University of Edinburgh, all principles in this document shall still apply to the transfer of IP from the University of Edinburgh to a third party.
4. To include step-in rights in all agreements involving the transfer of health technologies, and actively enforce these if the default strategies taken to promote access are found to be ineffective. Examples of step-in rights may include, but are not limited to:
 - a. Partial or full revocation of technology transfer agreements.
 - b. Retention of rights to unilaterally issue non-exclusive sub-licenses under a licensing agreement.
 - c. Application of field-of-use limitations in technology transfer agreements.
5. To include 'reach through' clauses in all technology transfer agreements. These ensure that future utilisations of transferred technologies are subject to the same access protections conveyed by the original transfer agreements.
6. To waive market and/or data exclusivities in jurisdictions where this is possible, and refrain from applying for further extensions to market and data protections. The University of Edinburgh shall mandate that subsequent patent owners or licensees honour this same principle.
7. To commit to full sharing of all data and research findings to promote further research and scientific progress. This includes the publishing of all clinical trials regardless of its outcome or completion.
8. To commit to ensuring transparency of all public funding sources and amounts for the entire research and development process of a health technology and commit to ensure the same disclosure from the end producers.
9. To implement robust accountability and transparency mechanisms for continuous evaluation of the success of the strategies applied in achieving sustainable affordable access to the health technology, including:
 - a. Making information public concerning negotiations regarding technology transfer with a third party, the specific health technology concerned, and the identity of the third party.

- b. Publishing technology transfer agreements in full for all health technologies as soon as they are finalised. If there is a justifiable reason why the full technology transfer agreement cannot be made publicly available, a redacted version will be published.
- c. Establishment of a committee that monitors and promotes the adherence to the goals and provisions committed to by the University of Edinburgh in this policy.

It expects its commercial technology transfer and licensing partners to appreciate and cooperate with this policy.

October 2020.



UNIVERSITY EXECUTIVE

15 December 2020

'Have Your Say' Update

Description of paper

1. This paper provides an update on the changes that have been made to 'Have Your Say', the student and staff feedback collection process.

Action requested/Recommendation

2. University Executive is asked to note this paper.

Background and context

3. The 'Have Your Say' feedback process was launched in November 2018 and offers students and staff the opportunity to provide the university with feedback and suggestions for improvements. Feedback and suggestions are distributed to the relevant university team who provide a response which is posted on the University of Edinburgh website.

4. The Student Analytics, Insights and Modelling (SAI&M) team within Student Systems and Administration have taken ownership of 'Have Your Say' and have relaunched the process in Semester One of this year. The relaunch is part of the wider work the team has delivered under the Student Voice strand of Adaptation and Renewal.

5. After reviewing the existing process some changes were made to increase the efficiency and effectiveness of the data collection. Feedback collection has been brought in house and the process automated to allow teams to receive and respond to suggestions more quickly. Previously all suggestions were made anonymously. The form now allows students and staff to include their contact details so teams can, if appropriate, respond directly to the person who made the suggestion.

6. Communications and Marketing have launched new web pages incorporating the feedback form and summaries of suggestions made and the responses that have been received.¹

Discussion

7. Since the relaunch in October 2020, we have received 20 new suggestions:

- 18 suggestions from students
- 1 suggestion from a member of staff
- 1 suggestion from an unknown respondent

8. The majority of suggestions relate to the student experience and since October hybrid teaching has been the predominant theme. Suggestions indicate that students are dissatisfied with the lack of in-person teaching with the move to hybrid.

¹ Staff: <https://www.ed.ac.uk/staff/have-your-say>

Students: <https://www.ed.ac.uk/students/academic-life/student-voice/have-your-say>

9. Suggestions were passed to the relevant School or Professional Service team and responses are posted online once they have been received. If a suggestion is making a complaint the suggestion is passed to the Complaints team within Academic Services who will deal with the complaint within the standard complaints process.

10. Summaries of volume of suggestions received and any themes that are emerging are provided to CSEG every month as 'Have Your Say' suggestions are a standing agenda item. These summaries are being shared on the Student Analytics, Insights and Modelling (SAI&M) team SharePoint site².

Resource implications

11. The resource required to manage the 'Have Your Say' process has reduced since SAI&M have taken over the management of the process. The volume of suggestions is relatively low and there is some resource required from Schools and Professional Service teams in responding to suggestions but given the variable nature of the suggestions made this is difficult to quantify or predict.

Risk Management

12. Low although there is a reputational risk if suggestions are made and are not responded to. This risk is, however, managed as SAI&M follow up with teams to ensure that responses are gathered and published.

Equality & Diversity

13. Monitoring is not possible as no EDI data are collected.

Further information

14. Author

Paula Webster, Head of Student Analytics, Insights & Modelling

Presenter

Gavin Douglas
Deputy Secretary Student Experience

Freedom of Information

15. Open.

² <https://uoe.sharepoint.com/sites/StudentAnalytics/SitePages/Student%20Voice%20-%20Staff.aspx>



UNIVERSITY EXECUTIVE

15 December 2020

Managing Risks in Internationalisation

Description of paper

1. New guidance has been provided by Universities UK (UUK) relating to ‘managing risks in internationalisation – security related issues’¹. The paper outlines the key areas of this new guidance and our work in addressing these complex and evolving risks in relation to the university’s international agenda.

Action Requested/Recommendation

2. University Executive is requested to be note and review the new Universities UK national guidance for senior leaders and support engagement with regard to our ongoing work across this area.

3. Members are requested to review the briefing for senior leaders which is attached with this paper².

Background and context

4. The new guidance, with input from UK government, has been produced to assist universities in managing risks associated with internationalisation. The guidelines are in response to a request from the Universities Minister and Foreign Affairs Committee relating to changing threat of hostile interference in UK higher education and the dynamic and complex nature of the risks involved for UK universities.

5. The guidance focuses on **four key risk** areas that UUK and government believe universities must address:

1. **Protecting reputation and values** building resilience, due diligence and promoting the values of UK higher education.
2. **Protecting people** though communications and knowledge-sharing as well as staff and students travelling and working overseas.
3. **Protecting campuses** from cybersecurity attacks, and developing estate and visitor policies to protect and support students and staff.
4. **Protecting international partnerships** across research, intellectual property and transnational education (TNE) partnerships.

6. In addition to the new UK guidance there is new European Commission guidance on this topic due to be released in addition to new guidance being issued by a range of nations for their university sectors including the United States, Germany, Sweden, Australia and the Netherlands.

¹ <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2020/managing-risks-in-internationalisation.pdf>

² <https://www.universitiesuk.ac.uk/policy-and-analysis/reports/Documents/2020/managing-risks-in-internationalisation-briefing.pdf>

Discussion

7. As noted in the University Executive paper from 16 June 2020 (Foreign interference in UK higher education) we have a range of existing measures in place that proactively address the risks outlined in the new national Universities UK guidance.

8. We have a project (Security in International Partnerships) coordinated by Edinburgh Global and championed by the Vice-Principal international and Deputy Vice-Principal's Research to further strengthen our risk mitigation. A brief summary of these measures is provided here in relation to the four main risk areas identified in the new national guidance and in relation to our engagement with the Centre for the Protection of National Infrastructure's (CPNI) 'Trusted Research' programme³.

Protecting our reputation and values

9. We have a new university statement relating to freedom of expression and the promotion of autonomy, freedom of speech and academic freedom. Our existing governance and approval processes around international collaboration and partnerships are robust and have been further strengthened. International collaboration is included within the University's risk register. There are regular quarterly reports provided to Executive, clear approval routes for all 'major international collaborations' and the International Ventures Group and Income Due Diligence Group (replacing the Ethical Fundraising Advisory Group) reviewing and advising on international collaborations and related funding. The new national guidance strongly advises that an annual overview report be provided to University Court relating to the university's international engagement and risk. This is being taken forward in discussion with relevant colleagues. Our due diligence processes and procedures for all international collaborations are accessible at <https://global.ed.ac.uk/partnerships-resources>

Protecting our staff and students

10. We are enhancing measures in support for staff and students travelling overseas that will include further advice and guidance from the CPNI Trusted Research programme, enhanced travel risk assessments and due diligence. We are actively engaged in knowledge sharing with other UK and international universities and partners relating to addressing and mitigating security risks in our collaboration.

11. We are due to roll-out a coordinated university-wide training, awareness and education project relating to international partnerships that will include security related risks and trusted research. This will be targeted proactively, but not exclusively, at specific areas of the university and groups where we have elevated risk. Key groups will include early career researchers, research leads and College Deans of Research. We will also be working with our Doctoral Training College and Institute for Academic Development to ensure that we engage colleagues with this as part of their early career development.

Protecting our campus

12. The University Information Security Policy outlines how everyone is responsible for protecting University information. This covers how we ensure that confidentiality,

³ <https://www.cpni.gov.uk/trusted-research>

integrity and availability is maintained and covers physical security, business continuity and technical requirements. The policy is supported by the Information Security Group to deliver a 'security aware' culture across the university including regular training, information, campaigns and advice in relation to information and knowledge security.

13. Our strategies and systems are responsive to the evolving and dynamic threat of cyber-attacks and we have procedures in place to protect our estate with liaison with the National Cyber Security Centre and the Centre for the Protection of National Infrastructure. The University Estates Committee reports to Court with regard to security relating to physical infrastructure and facilities and risk management.

Protecting our international partnerships

14. In relation to research security, intellectual property and export control compliance we have robust systems, policies and processes in place to protect intellectual property and the Research Support Office provides advice, training and guidance relating to UK export control legislation and dual-use technology.

15. Our admissions teams support the Academic Technology Approval Scheme (ATAS) and Academic Services support our compliance across the university with GDPR and other data regulations and legislation.

16. We have an Export Control Policy, training and advice in place for staff to ensure that colleagues are aware of their individual responsibilities under UK export control and contractual commitments to the University. Due to our increased delivery of teaching and research internationally, often through major transnational education partnerships, we follow the same robust approach with regard to how we govern, engage and review our participation and mitigate the risks involved.

Resource implications

17. There may be potential resource implications for the Edinburgh Research Office in relation to protecting our international partnerships and addressing the risks.

Risk Management

18. UK government has noted there is an evolving and complex risk of hostile interference within UK higher education relating to its core values, infrastructure and international collaboration. This paper outlines the way in which the university continues to mitigate against these risks.

Equality & Diversity

19. Impacts have been considered, no Equality Impact Assessment is required. There are no known equality and diversity impacts.

Next steps/implications

20. Edinburgh Global coordinates the Security in International Partnerships Group with relevant services to mitigate risks noted above as part of our overall international engagement. Additional training, advice and information will be made available for staff and students and our processes, policies and systems regularly reviewed and updated.

Consultation

21.

- Professor Jane Hillston, Deputy-Vice Principal Research
- Professor Michael Rovatsos, Deputy-Vice Principal Research
- Professor James Smith, Vice-Principal International
- Alistair Fenemore, Chief Information Security Officer
- Chris Maclean, Risk Manager, Corporate Services
- Dr Lorna Thomson, Director, Research Support Office
- Derek Macleod, Head of Global Partnerships, Edinburgh Global

Further information

22. Author and Presenter

Alan Mackay

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Director, Edinburgh Global

23 November 2020

Freedom of Information

23. Open.