UNIVERSITY EXECUTIVE
Microsoft Teams
Tuesday 19 January 2021, 10.00am
AGENDA

1   Minute   **A1**
To *approve* the Minute of the previous meeting held on 15 December 2020.

2   Matters Arising & Action Log   **A2**
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   **B**
To *note* the update from Barry Neilson, Director of Strategic Change.

5   People and Money System and Finance/HR Transformation Update   **C**
To *consider* the update from Gavin McLachlan, Vice-Principal & CIO/Librarian and Barry Neilson, Director of Strategic Change.

6   Director of Finance's Report   **D**
To *consider* the paper from Lee Hamill, Director of Finance.

7   People Report   **E**
To *consider* the paper from James Saville, Director of Human Resources

8   Global Open Finance Centre for Excellence   **F**
To *recommend approval* of the paper from Catherine Martin, Vice-Principal (interim) Corporate Services.

9   Digital Strategy for Adaptation and Renewal   **G**
To *consider* the paper and presentation from Gavin McLachlan, Vice-Principal & CIO/Librarian

ITEMS FOR NOTING OR FORMAL APPROVAL

10   International Data Transfer   **H**
To *approve*.

11   Outcome Agreement: 2019-20 Self- Evaluation Report and Interim   **I**
Outcome Agreement 2020-21
To *approve*.

12   Internal Audit Recommendations   **J**
To *note*.

13   Name change for the Institute of Genetics and Molecular Medicine   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 and 2021/22 Meeting Dates
Tuesday 23 February 2021 at 10.00am.

To _approve_ 2021/22 meeting dates, on Tuesday at 10.00am:

- 17 August 2021
- 14 September 2021
- 12 October 2021
- 9 November 2021
- 7 December 2021
- 18 January 2022
- 15 February 2022
- 15 March 2022
- 5 April 2022
- 10 May 2022
- 7 June 2022
- 12 July 2022

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY EXECUTIVE

15 December 2020

[Draft] Minute

Present: Peter Mathieson (Convener)
David Argyle, Leigh Chalmers, Chris Cox, Sarah Cunningham-Burley, David Gray, 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, James Smith, Sarah Smith, Sandy Tudhope and Moira Whyte.

Apologies: Gavin Douglas.

In attendance: Barry Neilson, Fiona Boyd and Kirstie Graham.
Lisa Dawson for item 11 and Alan MacKay for item 12.

| 1 | Minute | Papers A1, A2 & A3 |

The Minutes of the 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 were approved.

| 2 | Matters Arising & Review of Action Log | Paper A4 |

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

| 3 | Principal's Communications | Verbal |

The Principal took the opportunity to thank all members for their hard work and asked them to extend his thanks to all their teams for their extraordinary efforts throughout 2020. He updated members on the following:

- There had been over 13,000 Covid tests carried out before the end of semester one, with a tiny number of positive results, lower than the population average. The efforts of staff and student volunteers in running the testing programme were noted and commended.

- Universities UK had recently published a new set of recommendations designed to tackle racial harassment as part of efforts to address racial inequality in UK higher education, the University had already taken action in most of areas identified in the publication, but would review carefully in order to ensure this important area was decisively addressed.

- The University had recently achieved notable successes in both teaching and research that were a testament to the excellence of our staff and students: a recent graduate had been awarded a Schwartzman Scholarship, a highly prestigious postgraduate award program for students to study at Tsinghua

University in Beijing; Dr Ken Baillie had led an international research consortium that had successfully identified what genetic factors affect whether people become severely ill to inform treatments for Covid; Professors Steve Brusatte and Sinéad Farrington are recipients of the 2021 Blavatnik Award for Young Scientists, securing two of only three awards in the UK; the University had been awarded five European Research Council Consolidator Grants, the second highest number awarded to a UK University.

DISCUSSION ITEMS

4   Adaptation and Renewal

● **Adaptation and Renewal Team - Report**   **Paper B1**

The Executive received an update on the recent work of the Adaptation and Renewal Team. There was discussion on student accommodation and the decision not to charge rent to students in University-managed accommodation from 11 January to their actual arrival or phased return date and it was noted that there were sector level discussions with private providers of student accommodation.

● **Adaptation and Renewal Team - Future Decision Making**   **Paper B2**

The Executive approved the recommendation to stand down the Adaptation and Renewal Team, probably at the end of February 2021, with key decision making reverting to existing established mechanisms and the strategic priorities of Reshaping and Curriculum Transformation reporting into the Executive.

5   People and Money System and Financial/Transformation Update   Paper C

The Executive considered the update, noting Phase 1 (HR) of People and Money was launched across the University on 11 November 2020 and that the People and Money Board received a report on Friday 4 December 2020 that indicated a delay in the implementation of phase 2 and phase 3 is expected.

There was extensive discussion, recognising the importance of working with Schools and departments to learn lessons from the implementation of phase 1 to inform the next phases, including enhanced helpdesk resource and pre-launch staff training, which were recognised and being addressed.

The Executive noted that a revised implementation plan will be reviewed by the People and Money Board on 13 January 2021 and forwarded to the Executive meeting on 19 January.

6   Director of Finance's Report   **Paper D**

The Executive noted the University management accounts up to the end of October (period 3) and the expectation that the operating surplus would reduce as we move through the year, a trend in line with previous years that means it continues to be difficult to rely on year-to-date progress against budget to make effective financial decisions with confidence.

7   People

●   **People Report**   **Paper E1**

The Executive noted the update on people related matters and the insight report on the results of the Staff Engagement Pulse Survey. There was discussion of obtaining equality data to see the completion rate of individuals with protected characteristics, whilst recognising the importance of retaining anonymity of responses. It was noted that although a different survey, it would be possible to compare some data with the previous staff survey 2 years ago. There would be further discussion of the results at the Staff Experience Committee to inform future pulse surveys.

●   **Staff Behaviours Charter**   **Paper E2**

The Executive noted the Staff Behaviours Charter, which had developed following discussion at the January 2020 away day. Members were supportive of the proposed approach and agreed it was important to roll out its implementation, noting the need for an effective communication plan to ensure this was seen as a positive tool to improve best practice in performance management and recruitment, linked to the values of Strategy 2030.

8   Graduate & Alumni (Visiting Student) Scholarships   Paper F

The Executive approved changes to the scholarships offered to our Graduates and Alumni (including visiting students) commencing postgraduate study in 2021 set out in the paper.

ITEMS FOR FORMAL APPROVAL/NOTING

9   Statutory Annual Procurement Report 2019-20   Paper G

The Executive approved the Annual Procurement Report 2020 covering Financial Year 2019-20 for publication, noting the many examples of good practice in the report.

10   Update of Essential Medicines Position Statement   Paper H

The Executive noted and commended the update of the University's Essential Medicines Position Statement, committing to make essential medicines more accessible to people in the developing world.

11   'Have Your Say' Update   Paper I

The Executive noted and commended the update on the changes made to 'Have Your Say' and the student and staff feedback collection process.

12   Managing Risks in Internationalisation   **Paper J**

The Executive noted new guidance has been provided by Universities UK on managing risks in internationalisation linked to security related issues. Members agreed it was important to be aware of this issue and noted the ongoing work to further strengthen our risk mitigation in this area through effective partnerships.

13   Study Spaces Update   **Paper K**

The Executive noted the update on the current status of study spaces and the preparations for the festive closure period and Semester 2, noting the growing demand for group study spaces

14   University Executive Communications   **Verbal**

The Executive agreed there would be communication on: the main outcomes of the Executive away day; Adaption and Renewal and its future mainstreaming; the Staff Behaviours Charter; 'Have Your Say'; Study Spaces and managing risks in internationalism.

15   Date of Next Meeting

The next meeting will take place on Tuesday 19 January 2021 at 10.00 am.

THE UNIVERSITY *of* EDINBURGH

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19 January 2021

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 five times since the Executive last met on 15 December 2020.

3. The period has been dominated by the critical Scottish Government announcements on 19 December 2020 and subsequent announcement on 4 January 2021 and the impact this has had on students, staff, learning and teaching, research and professional service and support activity.   This paper supports the outcomes set out in Strategy 2030 by supporting the University's continued sustainability.

Actions requested/recommended
4. The University Executive is asked to **consider** the paper.

Paragraphs 5-43 have been removed as exempt from release due to FOI.

Communication and Engagement
44. 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 45 has been removed as exempt from release due to FOI.

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

Responding to the Climate Emergency & Sustainable Development Goals
47. There are no direct impacts or considerations.

Equality & Diversity
48. 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.

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

Further Information

50. _Author and Presenter_
    Barry Neilson
    Director of Strategic Change

Freedom of Information

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

THE UNIVERSITY *of* EDINBURGH

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19 January 2021

**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. This paper supports the outcome in Strategy 2030 to have more user-friendly processes and efficient systems to support our work.

2. The University Executive is asked to pay particular attention to the summarised points.

Action Requested/Recommended
3. The University is asked to **consider** the paper.

Paragraphs 4-22 have been removed as exempt from release due to FOI.

Responding to the Climate Emergency & Sustainable Development Goals
23. There are no direct impacts or considerations.

Equality & Diversity
24. This is considered as part of the programme.

Paragraph 25 has been removed as exempt from release due to FOI.

Consultation
26. This has been considered by the People and Money Programme Board and the Senior Leadership team.

Further Information
27.   *Authors and presenters*
          Barry Neilson
          Director of Strategic Change

          Gavin McLachlan
          Vice Principal, CIO and Librarian to the University

          13 January 2021

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

THE UNIVERSITY *of* EDINBURGH

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19 January 2021

Director of Finance's Report

Description of paper

1. This paper reports the latest[1] University management accounts (excluding Subsidiaries) position up to the end of November (period four) and provides an update on the University Group Quarter One forecast position.

2. This paper supports all of the outcomes set out in Strategy 2030 by supporting the University's continued drive towards financial sustainability.

Action requested/Recommendation

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

Paragraphs 4-12 have been removed as exempt from release due to FOI.

Resource Implications

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

Risk Management

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

Responding to the Climate Emergency & Sustainable Development Goals

15. This Director of Finance and the Finance Team fully supports the outcomes of Strategy 2030 and the UN Sustainable Development Goals by working to secure the ongoing financial sustainability of the University.

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/implications

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*   *Presenter*
     Rachael Robertson   Lee Hamill
     Deputy Director of Finance   Director of Finance

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[1] At the time of writing full December (period five) management accounts were not available.

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

08 January 2021

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

19 January 2021

People Report

Description of paper/summary

1. This paper is the standing update on people related matters. Please note item 6 on the update of the asymptomatic mass student testing and item 11 on the staff engagement pulse survey. This report should be read in conjunction with separate updates on Adaptation and Renewal and on People and Money.

2. The proposals in this paper will contribute to these outcomes set out in Strategy 2030:
   i) We will be a destination of choice, based on our clear "Edinburgh Offer". All of our staff and students will develop here, whether they are from Leith, Lisbon, Lahore or Lilongwe.
   ii) We will have more user-friendly processes and efficient systems to support our work.

Action requested/Recommendation

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

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

Risk Management

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

Responding to the Climate Emergency & Sustainable Development Goals

21. This is a regular report covering a range of staff related activity. In itself it is not designed to contribute to UN SDGs though it all reflects agreed University Executive approved activity.

Equality & Diversity

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

Next steps & Communications

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

Consultation

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

Further information

25. *Authors*   *Presenter*
    Jo Roger   James Saville
    Interim Deputy Director HR Partnering –   Director of Human Resources
    Professional Services   13 January 2020

Linda Criggie
Deputy Director HR – Employee
Relations, Employment Policy, EDI,
Reward & Immigration

Denise Nesbitt
Deputy Director HR – Learning and
Organisation Development

Phil Spencer
Director of HR Services

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

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19 January 2021

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 Global Open Finance Centre of Excellence **(**GOFCoE) team is seeking formal approval to establish GOFCoE as a not for profit company, limited by guarantee. In support of this request, updates in respect of the key aspects of insurance and research activity are provided in this paper.

2. This will contribute to the Strategy 2030 outcome to be a global leader in artificial intelligence and the use of data with integrity.

Action requested/Recommendation
3.   University Executive is asked to recommend approval of GOFCoE's proposed incorporation to Policy and Resources Committee.

Paragraphs 4-33 have been removed as exempt from release due to FOI.

Responding to the Climate Emergency & Sustainable Development Goals
34. This will most obviously contribute to SDG 9 - Build resilient infrastructure, promote sustainable industrialization and foster innovation and will also contribute to aspects of SDG 8 to Promote inclusive and sustainable economic growth, employment and decent work for all , as follows: 8.2 Achieve higher levels of economic productivity through diversification, technological upgrading and innovation, including through a focus on high-value added and labour-intensive sectors; 8.3 Promote development-oriented policies that support productive activities, decent job creation, entrepreneurship, creativity and innovation, and encourage the formalization and growth of micro-, small- and medium-sized enterprises, including through access to financial services. As well as contributing to local economic development goals we also have a global outlook and SDG 12 Responsible consumption and production is also in scope. In responding to the climate emergency, we completed our first Climate Finance project in December 2020 which was to overlay green industry codings onto UK SME economic analysis of the Covid pandemic to inform green recovery.

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

Next steps/implications
36. The GOFCoE team will continue to deliver the SiPF and other projects, which will involve significant (fully funded) recruitment and establishing formal management and governance structures.

Consultation

37. 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.

38. Legal Services have provided significant operational input and assistance including instructing the drafting the required corporate documents.

39. This paper has been reviewed by the Assistant Principal for Industry Engagement.

Further information
40. *Author*   *Presenter*
    Dougie Robb   Catherine Martin
    GOFCoE Interim CFO   Vice Principal Corporate Services

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

UNIVERSITY EXECUTIVE

19 January 2021

Digital Strategy for Adaptation and Renewal

Description of paper

1.   This paper provides the University Executive with an update on the work to develop a Digital Strategy for Adaptation and Renewal.

Action Requested/Recommendation

2.   This paper is provided for information and University Executive is invited to **comment** on the report.

Background and Context

3.   A Digital Strategy will set out the organisation-wide vision for the Digital Environment necessary to deliver Strategy 2030 and allow the University to thrive in the Digital world. It will also outline how the University will approach delivering that vision. By Digital Environment we mean:

- Technologies and adoption of those technologies
- Skills
- Ways of working needed
- Culture required

4.   We require a Digital Strategy now due to the following factors:

- A contemporary digital strategy is a critical enabler of Strategy 2030 and the Adaptation and Renewal Team (ART) to help coordinate, guide and enable the strategic priorities.
- We face a unique 'window of opportunity' to capitalise on internal and external momentum created by the recent large-scale uptake of digital services.
- Digital services and assets will be an essential feature of the next academic year, this strategy will enable a prioritisation of their implementation, growth and iteration.

5.   The objectives for the Digital Strategy are set out below:

- Must work across the whole University. Must integrate effectively with all other University priorities.
- Must enhance existing initiatives. Must build-on not against the previous and ongoing digital agenda.
- Must be both accessible and practical so that everyone can clearly identify benefits to themselves and the University.
- Must set a clear direction. Must identify the gaps and provide time-bound guidance on how to cover them.

Discussion

6.   Our work to date has been focused on the completion of a comprehensive current state assessment. This was aligned to the work of Adaptation and Renewal working groups. The assessment was the result of 19 interviews with senior leaders, 7 workshops and a review of existing material and activity across the University. We

have received feedback on the assessment from ART Reshaping, IT Committee, ISG SLT, Knowledge Strategy Committee and the newly formed Digital Strategy Programme Board and this feedback is being formed into an addendum to the report so that this is taken forward into the Digital Strategy.

7.   We now have a good picture of where we currently are digitally and the opportunities we want to examine as we develop the Digital Strategy. The current state assessment will now feed in to development of the Digital Strategy.

Overview of the Current State Assessment
8.   Below is a summary of the current state assessment. There is a large amount of detail and recommendations behind this within the current state assessment itself.

9.   In early 2020, as result of the COVID-19 pandemic, Edinburgh was forced to shift rapidly to remote working. This was made possible by the earlier investment in the digital platforms and tools required to support this new environment; and substantial concerted effort by academics, staff and students alike. While the last six months have seen widespread digital adoption, stakeholders reflected that this has been driven by necessity, rather than strategic intent. However, as a result of this greater engagement with digital tools, there is growing consensus that embracing digital services and new ways of working can build a more resilient institution, contribute to an improved financial position and make it better placed to succeed and deliver on Strategy 2030.

10. While staff and students are exploring and expanding their digital ways of working, the lack of in-person human interaction and perceived difficulties in building relationships in a virtual environment were expressed by students, professional services, academics and researchers. This concern also extends to the lack of a digital culture, with many expressing the need for the institution to build one.

11. Digital Vision
   - Edinburgh created a digital vision four years ago but it is not embedded across the University or clear to stakeholders about its value to their experience at the institution.

12. Governance
   - Existing governance arrangements do not optimize the implementation of consistent digital initiatives in a devolved environment. The operations of colleges can be enhanced with application best-practice devolved governance models. The current Knowledge Strategy Committee's remit could be modified to support a more cohesive policy environment and application in the digital space.

13. Ways of Working
   - Edinburgh has managed a rapid and comprehensive shift in 'the way we work'
   - A significant proportion of staff have reported being pleasantly surprised by aspects of the new normal but challenges still require to be overcome.
   - Streamlining and taking a more agile approach to decision making has been welcomed

- There is still some way to go to build the digital maturity of the University
- People need communication, support and community more than ever before.

14. Hybrid-Digital Student
- Students have embraced digital innovations that enable self-managed learning.
- Students want more opportunities to provide real-time responsive feedback.
- There is appetite for greater use of digital-first teaching, university services and ways to build a sense of community.
- Opportunities for digital tools to create a more personalised experience and improve performance.

15. Hybrid-Digital Educator
- The move to an opt-out model for recorded and online content delivered a step change in usage rates
- Some staff still lack the confidence in using digital tools.
- More work is required to support staff to understand what skills they need, and to provide the right incentives to build them.
- Finding the time to develop the skills remains a challenge.

16. Digital Services
- Many services have moved online, with years of progress achieved in months.
- Processes have not been optimised or altered for digital delivery to capture maximum benefit.
- Digital tools and consolidation of resources can contribute to operational efficiencies that will help address immediate and long-term budget pressures.

17. Research
- Severely interrupted by the onset of COVID-19 with as much as 60% of research halted by the lockdown (much of which has now resumed).
- Work is underway to improve researchers' resilience.
- Concerns exist about how to build networks, in particular for early career academics.
- The Data-driven & Digital Research Development Group has produced an action plan to support digital and data-driven research. There remains work to be done to implement that action plan.

Governance
18. A Digital Strategy programme board has been formed with representation from across the University. This board reports into ART Reshaping and into Knowledge Strategy Committee / IT Committee.

Critical Success Factors in the creation of a Digital Strategy
19. Working with the newly formed Digital Strategy Governance Board, we have developed the following critical success factors for the creation of the Digital Strategy.
- Must be developed and owned by the University. This is everyone's strategy.

- Must be clear to everyone how they can help to deliver the Digital Strategy
- Must be easy to understand and implementable
- Everyone should understand the vision and what we are aiming to achieve.
- Must have a focus on implementation and be implementable.
- Must support Strategy 2030 & Adaptation and Renewal and enable delivery of its ambitions
- Must address bi-modal IT – that is understanding when local digital strategy and IT is needed and when it is sub-optimal
- Must have clear alignment with the key strategic drivers and programmes across the University (City Deal, Curriculum Reform, Student Experience and Data-Driven Innovation (DDI), for example).
- Must link to Digital Strategy Scotland.
- Must take as inputs the work that has already been completed such as College and Professional Services Group strategies, Near Future Teaching, the Learning and Teaching Strategy, Core Systems sub-strategies

Resource implications
20. There are no resource implications at this stage of the strategy development. Any resource requirements that may arise would be dealt with through the appropriate budget area.

Risk Management
21. The creation of a digital strategy is an important element of reshaping and the University's Strategy 2030. It enables us to create a good experience for staff and students and supports the achievement of the University's ambitions. Without a clearly defined digital strategy, we will be unable to create a cohesive digital offering across the university. This lack of cohesiveness will further perpetuate the inefficiencies and ineffectiveness we are trying to eradicate; and dilutes both the staff and student experience.

Responding to the Climate Emergency & Sustainable Development Goals
22. In developing the digital strategy, the opportunity exists to positon the digital environment in terms of both the Climate Emergency and the UN Sustainable Development Goals. It will require a review of our governance processes and the policies that currently exist as well as identifying areas where we need to change our approach. We have already started this process outside of the strategy with the introduction of the Sustainable IT Policy suite and it is anticipated that we will continue to expand these with IT Printing, Green Data Centres etc. This will all form part of the Digital Strategy.

Equality and Diversity
23. Equality and Diversity is an integral part of the strategy development. The EqIA documentation is being progressed in parallel with the strategy and as such is informing the development of the strategy.

Next steps/implications
24. Working Groups will develop key elements of the strategy so that a range of voices across the University can be involved. Our initial step is the development of Vision and Principles. This is in progress.

25. We will consult widely on the draft strategy using a variety of methods and work closely and in alignment with engagement on re-shaping and curriculum reform.

26. Once revised sufficiently we will produce and launch full strategy and establish appropriate governance for the implementation of the strategy.

27. We are currently estimating timescales and consulting on this with the newly formed programme board. We require sufficient time for consultation to ensure buy-in and ensure owned by the University. We expect the Digital Strategy to launch in the first half of 2021.

28. Where quick wins are identified we will look to move on these as soon as possible.

Consultation

29. To date we have consulted broadly on the current assessment piece with individuals from the four ART Workgroups, ITC, University Executive, Knowledge Strategy Committee as well as senior leaders including Senior Vice Principal Professor Jonathan Seckl, Vice Principal Professor Colm Harmon, Vice Principal and University Secretary Sarah Smith.

30. It is intended that consultation will continue throughout the development of the strategy and will be open to all members of the University community through and interactive wiki as well as focus groups, town halls and other collaborative channels. It is our intention that this will be as integrative a process as possible to ensure we have consulted with a broad cross section of the university community. We are basing our consultation template on the very successful consultation roadmap for Strategy 2030.

Further Information

31. *Authors*
    Stephen Roy
    Programme Manager, Digital Strategy
    Jo Craiglee
    Senior Lead, Digital Strategy
    13 January 2021

Presenter
Gavin McLachlan
Vice Principal, CIO and Librarian
the University

Freedom of Information

32. This paper is open.

THE UNIVERSITY of EDINBURGH

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19 January 2021

Mapping International Data Transfers

Description of Paper
1.   On 11 November 2020, the European Data Protection Board (EDPB) issued draft Recommendations on supplementary measures for safeguarding international data transfers, containing 6 steps for compliance with the rules around transfer of personal data outside the European Economic Area (EEA). The Recommendations are not in final form and were issued for public consultation, which closed in December 2020. In particular, steps 3 – 6 of the Recommendations are being contested by a letter from the LERU Data Protection Ad Hoc Working Group to the Head of the EDPB (and have more generally been subject to negative feedback in the course of the public consultation). However, steps 1 and 2 concern legal compliance and therefore must be implemented, regardless of the overall consultation outcome. The Recommendations can be found here.

2. This compliance requirement does not contribute directly to achieving the outcomes of Strategy 2030, but in line with the outcome to have more user-friendly processes and efficient systems to support our work, seeks a proportionate response an external legal compliance requirement.

Action Requested/Recommendation
3.   University Executive is asked to approve the mapping process set out in paragraph 8 below as a risk minimisation measure.

Background
4.   The EDPB Recommendations aim to protect personal data sent outwith the EEA to countries that do not have adequate data protection regimes in place and so require additional safeguards to protect that data when transferred to the recipient country. Essentially, they increase the burden on due diligence that is required to send such data outwith the EEA.

5.   The Recommendations contain 6 steps – steps 1 and 2 reflect the existing GDPR requirement of mapping all transfers of personal data outwith the EEA. In the immediate term, these obligations on the University are not impacted by Brexit. Not complying with the regulatory requirement of mapping transfers is a legal compliance risk and will make it more challenging to comply with the final Recommendations.

6.   The University notified the Information Commissioner's Office (ICO) of a data protection breach in December 2020, and so there is an increased possibility of the University being audited by the ICO, which could lead to enforcement action and/or a fine if breaches of data protection law are found.

Discussion
7.   International data transfers can occur in various ways across the University – examples are an academic using a Chinese app for teaching, where students submit their names, email addresses and quiz answers; colleagues storing data in a cloud

where the servers are based in the USA; or a PI collaborating with a University in Nigeria and sending identifiable research data.

8. In light of this wide range of types of transfer, in order to accurately map the international transfers that take place across the University we need to identify what means, mechanisms and ways of international data transfer are in use, which will require engagement with individual members of staff. A small working group consisting of DoPS and managers will be created to review the survey to ensure that it is as manageable as possible for staff members to complete. The intention is to gather information with as few questions as possible (in the form of an online survey) to be managed locally via the DoPS in Schools, and relevant managers in the Support and Professional Services Groups, with the assistance of the Data Protection Champions in the relevant areas. This survey would be overseen and the results collated by the DPO.

9.   Steps 3 – 6 of the Recommendations set out the enhanced due diligence requirements for transfers outwith the EEA. If these steps are adopted without change, they will make it harder for organisations to transfer and process European personal data outside of the EEA because of the requirement to conduct an assessment of the local law in the jurisdiction where the European personal data is transferred to and implement supplementary technical measures for such transfers. Therefore, the University would need to revisit and re-examine all such transfers and determine whether the power granted to public authorities to access the transferred data in any jurisdiction "goes beyond what is necessary and proportionate in a democratic society". If so, it would then need to consider whether existing safeguards combined with the supplementary measures suggested in the Recommendations can adequately protect the data. However, due to the negative response to these steps during the public consultation (meaning they may be subject to revision), and the significant burden implementing them would impose on the University, it is not proposed that any action is taken in respect of steps 3 – 6 of the Recommendations at this time.

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

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

Responding to the Climate Emergency & Sustainable Development Goals
12. This paper does not contribute to the SDG goals as it is fulfilling an external regulatory requirement.

Equality & Diversity
13. Enhanced privacy and data protection, objectives of the GDPR, would be expected to support equality and diversity.

Further information
14. *Author*   *Presenter*
     Dr Rena Gertz   Leigh Chalmers

Data Protection Officer   Deputy Secretary, Governance and Legal
19 January 2021

Freedom of Information
15. Paper is open.

UNIVERSITY EXECUTIVE

19 January 2021

Outcome Agreement: 2019-20 Self- Evaluation Report and Interim Outcome Agreement 2020-21

Description of paper
1. This paper provides University Executive with the draft Self-Evaluation Report (SER) for the 2019-20 Outcome Agreement, and presents the Interim Outcome Agreement for 2020-21.

2. The 2020-21 Interim Outcome Agreement is framed by Strategy 2030 and therefore all of our activities are guided by this. At the time of writing our 2019-20 Outcome Agreement, our activities were guided by Strategy 2016.

Action requested/Recommendation
3. University Executive is asked to consider and agree to the broad content of the Self-Evaluation Report for 2019-20, and to agree to delegate authority to the Interim Director of Planning to refine the content, before submitting to the Scottish Funding Council later in January.

4. Similarly, University Executive is asked to consider the Interim Outcome Agreement for 2020-21, and to agree to delegate authority to the Interim Director of Planning to refine the content before submitting to SFC later in January. It is anticipated that Interim Outcome Agreements will be published by the Scottish Funding Council in March 2021.

Paragraphs 5-20 have been removed as exempt from release due to FOI.

Risk Management
21. The Interim Outcome Agreement document is a public statement and thus failure to provide SFC with an acceptable document could potentially impact on our reputation with Government, stakeholders and staff and potentially undermine funding arrangements.

Responding to the Climate Emergency & Sustainable Development Goals
22. Whilst the production of the Interim Outcome Agreement fulfils an external regulatory requirement, the OA itself contributes to all of the SDG goals. Whilst some of these goals are not specifically articulated in the Interim OA, the narrative of how we aim to fulfil the requirements of SFC's Outcome and Impact Framework touch upon all aspects of the SDGs. Our Interim OA is aligned to Strategy 2030, and the SDGs are an integral part of this.

Equality & Diversity
23. Equality and diversity objectives are positively targeted in the Outcome Agreement process, which includes the statutory requirement for a widening participation agreement.

Next steps/implications

24. If University Executive is content with the draft Self-Evaluation Report for 2019-20 and the draft Interim Outcome Agreement for 2020-21, we will refine both these documents prior to submitting to SFC later in January.

Consultation

25. These documents have been drafted in consultation with colleagues across the University. Further consultation will take place during the refining stage.   These documents have been developed by Jennifer McGregor, Senior Strategic Planner.

Further information

27. *Author*   *Presenter*
   Jennifer McGregor   Pauline Manchester
   Senior Strategic Planner   Interim Director of Planning
   11 January 2021

Freedom of Information

28. Closed until publication of the Interim Outcome Agreements by the Scottish Funding Council.

UNIVERSITY EXECUTIVE

19 January 2021

Open Management Actions – Internal Audit Reports

Description of paper
1.   This paper provides an update on open management actions arising from previous Internal Audit reviews and supports Strategy 2030, reflecting our commitment to the highest standards of governance, risk and internal control which directly contribute to maintaining our reputation and financial sustainability.

Action requested/Recommendation
2. The University Executive is requested to note the paper and support closure of open management within their own areas of responsibility.

Paragraphs 3-7 have been removed as exempt from release due to FOI.

Responding to the Climate Emergency & Sustainable Development Goals
8. No direct impacts or considerations

Equality & Diversity
9.   No specific considerations.

Next steps & Communications
10. The University Executive is requested to note the paper and support closure of open management within their own areas of responsibility. Internal Audit will present further status updates to subsequent meetings of the University Executive and forthcoming Audit & Risk Committee meetings.

Consultation
11. All agreed action owners will be contacted for status updates.

Further information
12. *Author*   *Presenter*
    Paul McGinty   Leigh Chalmers
    Head of Internal Audit   Deputy Secretary, Governance and Legal

Freedom of Information
13. This paper is closed.

THE UNIVERSITY of EDINBURGH

UNIVERSITY EXECUTIVE

19 January 2021

Name change for the Institute of Genetics and Molecular Medicine ("IGMM") to the Institute of Genetics and Cancer ("IGC")

Description of Paper
1. The paper sets out the IGMM Executive Group's plan to change the name to the Institute of Genetics and Cancer in the College of Medicine and Veterinary Medicine.

Action Requested/Recommendation
2. The Executive is asked to note and support the name change.

Background
3. The MRC Institute of Genetics and Molecular Medicine (known as IGMM: Director Margaret Frame) is situated on the Western General Hospital campus. Established in 2007 as an integrated and strategic partnership between the MRC Human Genetics Unit (HGU: current Director Wendy Bickmore), the University of Edinburgh Centre for Genomics and Experimental Medicine (CGEM: Director Tim Aitman), and the CRUK Edinburgh Centre, which is led from the Edinburgh Cancer Research Centre (ECRC: both led by Director Ian Tomlinson). The IGMM brings together the research interests and activities of the component Centres/Unit in a common services and facilities framework, so as to provide strategic added value deriving from:

- Sharing of equipment and infrastructure resources
- Coordination of support services (including computational sciences and recruitment)
- Coordination of capacity building, graduate school activities, undergraduate teaching
- Cross-fertilization of ideas and multi-disciplinarity, including in computational science
- Simplified governance

4. **Physical integration** of the three components of IGMM was facilitated by the construction of the so-called Systems Medicine Building, completed in 2015, financed by £3.3M from the MRC, £3.5M from the University of Edinburgh and a £3.5M Wolfson-Wellcome grant. IGMM estate will soon be augmented by a fully-integrated new building (the so-called 4D Cellular Medicine building), funded jointly by University and the MRC (£8.5M each). The IGMM has 78 research groups and ~450 researchers, and ~120 PhD students at any one time (Director of Post-graduate Studies Nick Gilbert), including via two post-doctoral training programmes funded by MRC to the HGU and CRUK to the ECRC. We have recruited around 25 early career investigators via the **Chancellor's Fellowship scheme** and 80% of these have been successful in gaining fully-salaried personal fellowships. IGMM also boasts the first **cross-disciplinary post-doctoral training fellowship scheme** in the UK (funded by University jointly with the MRC and CRUK), which encourages physical, mathematical and computational scientists to apply innovative approaches to data-driven biomedical questions in a two-way synergy.

5. **Teaching:** IGMM's Director of Taught Education and Learning, Andy Sims, has

brought huge recent energy to the IGMM's teaching contribution, working to fill obvious gaps in the University's teaching portfolio, making use of specific expertise within the IGMM. This has provided a route for IGMM scientists to pass on their knowledge via research-led teaching. An innovative and well- received new undergraduate elective in Human Genetics and Molecular Medicine was delivered during Sept-Dec 2020, to augment the IGMM Cancer Biology elective. A series of new in-person and online Masters level courses in cancer biology are currently being prepared. Even in teaching, the Institute's growing offering will be in genetics, cancer and data-intensive research.

6. **Research funding** to IGMM over the last 5 years is ~£140M, with two of the largest 'awards' to the University being from the MRC grant to the HGU (£56M over 5 years) and from CRUK, to the core CRUK Centre and ECMC infrastructure and Programme (and other) science grants and for cancer trials (£32M over 5 years). IGMM scientists have had 14 ERC grants (at all levels) over the years and we believe this is amongst the largest number in any single Institute in the UK.

Discussion

7. The proposal now is to rebrand as the Institute of Genetics and Cancer Institute - "the IGC" – a title which much better reflects current and future research focus, both in terms of science and optimisation of funding and fundraising. Edinburgh is a UK leader in human genetics and genome biology, data analytics (medical- and bio-informatics) and the HGU has specifically developed greater focus on the genetics of cancer and cancer mechanisms, including via MRC programmatic and CRUK fellowship funding. HGU's current investigator recruitment exercise is focussed on adding critical mass in statistical and population genetics and functional genomics. We also recruited Ian Tomlinson, an internationally renowned clinical cancer geneticist, to lead the CRUK Edinburgh Centre and ECRC, and he has affiliate status with the HGU. Clinical cancer research in the ECRC is led by Charlie Gourley, an academic medical oncologist who has an Astra-Zeneca/ Scottish Government-funded programme on genetic analyses leading to precision oncology in ovarian cancer, whereby DNA sequencing and data analyses are guiding new clinical trials and treatments. Tim Aitman, and four new recently recruited clinician scientists in CGEM, are focussed on translational genetics and/or cancer research, including local leadership of cell-free circulating DNA analyses as a cancer early detection and response monitoring tool. Together, the changes affirm the major scientific focus and pathway to impact for the Institute is in genetics and cancer. Importantly, this title succinctly imparts our primary strategy and focus, which will be important for stakeholders, including University colleagues, funders, fundraisers, the general public, and we believe it will enhance our recruitment of top scientists.

8. Together these, and other, changes that have been growing over the past few years have led to a renewed focus on genetics and cancer, including the links between these. There are no other biomedical science institutes in the UK or Europe that focuses primarily on these two major themes - human genetics and cancer research and treatment – with strong support from key funders who have approved this proposed change. Crucially, in an increasingly fragile and changing research funding environment, we believe the new name will help us to make our mission clearer and to begin targeted fundraising activities in cancer research with colleagues at the University of Edinburgh.

Resource implications

9. There are no resource implications.

Risk Management

10. There are no major risks associated with the proposal.

Responding to the Climate Emergency & Sustainable Development Goals

11. This paper does not directly contribute to the Strategy 2030 outcomes or SDG goals as it concerns a rebrand of an existing institute.

Equality & Diversity

12. There are no equality and diversity issues.

Next steps & Communication

13.   The Institute will announce the name change to staff and confirm to funders.

Consultation

14.   The new name was agreed by the IGMM Executive Group and is supported by the College of Medicine and Veterinary Medicine.

Further Information

15. *Authors*
    Margaret Frame,
    Wendy Bickmore,
    Tim Aitman,
    Ian Tomlinson,
    Stephen Lissaman,
    Angela Ingram
    IGMM Executive Group

Freedom of Information

16. This paper is open.