THE UNIVERSITY OF EDINBURGH

BUSINESS FOR MEETING OF THE UNIVERSITY COURT
to be held in Room 1.07 on the first floor, Main Library
on Monday 20 June 2011 at 2.00 p.m.

A buffet lunch will be available
in the balcony area, first floor, Main Library from 1.15 p.m.

This meeting of Court will be preceded by a presentation by Dr Gavin McCabe, Employability Consultant, Careers Service on 'Employability and Graduate Attributes'.

A   FORMAL BUSINESS

1.	Minute of the meeting held on 16 May 2011	**A1**

B   PRINCIPAL'S BUSINESS

1.	Principal's Communications	**B1**
2.	Vice-Principals and Assistant Principals	**B2**
3.	Report of outcome of Court Tribunal	

C   SUBSTANTIVE ITEMS

1.	Report of the Finance and General Purposes Committee	
	.1 Comments on the Report of the Central Management Group	**C1.1**
	.2 Report on Other Items	**C1.2**
2.	Edinburgh College of Art	
	.1 Overview	**C2.1**
	.2 Annual Reports and Financial Statements	**C2.2**
	.3 Andrew Grant Scholarship Fund	**C2.3**
3.	Review of Court Effectiveness - update report	**C3**
4.	University Risk Register	**C4**
5.	Report from Estates Committee	**C5**
6.	Report from Audit Committee	**C6**
7.	Report from Knowledge Strategy Committee	**C7**
8.	Enhanced Quality Assurance Annual Report	**C8**
9.	Enhancement-led Institutional Review (ELIR) - Reflective Analysis	**C9**
10.	Ordinance for the Election of Chancellor and General Council Assessors	**C10**
11.	Scottish Agricultural College	**C11**
12.	Rectorial Election	**C12**

D   ITEMS FOR FORMAL APPROVAL OR NOTE

1.	Academic Report	**D1**
2.	Senate Committees' Annual Report	**D2**
3.	Resolutions	**D3**
4.	Donations and Legacies	**D4**
5.	Use of the Seal	
6.	*In accordance with normal practice Court is invited to appoint a vacation Court, comprising the Rector failing whom the Vice-Convener of Court, the Principal and the University Secretary, to deal with urgent formal business.*	

UNIVERSITY OF EDINBURGH

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A1

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MINUTE OF A MEETING *of the University Court of the University of Edinburgh held in the Reception Room, McEwan Hall on Monday 16 May 2011.*

Present:	The Rector (in chair)
	The Principal
	Mr D A Connell
	Professor A M Smyth
	Mrs M Tait
	Dr M Aliotta
	Professor J Ansell
	Professor D Finnegan
	Dr J Markland, Vice-Convener
	Professor J Barbour
	Mr P Budd
	Professor S Monro
	Mr M Murray
	Ms A Richards
	Ms G Stewart
	Ms L Rawlings, President Students' Representative Council
	Ms S Wise, Vice-President Students' Representative Council
In attendance:	Ms S Beattie-Smith, Rector's Assessor
	Vice-Principal Professor A McMahon
	Vice-Principal Professor D Miell
	Vice-Principal Professor D Fergusson
	Dr K Waldron, University Secretary
	Dr I Conn, Director of Communications and Marketing
	Dr A Cornish, Deputy University Secretary and Director of Planning
	Mr A Currie, Director of Estates and Buildings
	Mr J Gorringe, Director of Finance
	Ms S Gupta, Director of Human Resources
	Ms F Boyd, Principal's Policy and Executive Officer
	Mr M McPherson, EUSA President elect
	Dr K J Novosel, Head of Court Services
Apologies:	The Rt Hon G Grubb, Lord Provost of the City of Edinburgh
	Professor L Yellowlees
	Mr D Brook
	Mr D Workman

The Court received a presentation from Vice-Principal Professor Hounsell on 'Improving our performance in the National Student Survey'

A FORMAL BUSINESS

1   **MINUTE OF THE MEETING HELD ON 21 FEBRUARY 2011**   **Paper A1**

The Minute of the meeting held on 21 February 2011 was approved as a correct record.

Court noted that this would be the last meeting attended by Ms Liz Rawlings, EUSA President and Ms Stevie Wise, EUSA Vice-President Academic Affairs and Court recorded its thanks for their contributions to the work of Court and wished them good luck for the future.

Court welcomed Mr Matt McPherson EUSA President designate who was in attendance at this meeting.

2	**NOTES OF MEETING HELD ON 21 MARCH 2011 AND OF ELECTRONIC MEETINGS CONCLUDED ON 18 MARCH, 1 APRIL AND 18 APRIL 2011**	**Paper A2**

Court approved the notes.

3	**COURT SEMINAR – 21 MARCH 2011**	**Paper A3**

Court approved the note of the Seminar held on 21 March 2011.

B PRINCIPAL'S BUSINESS

1	**PRINCIPAL'S COMMUNICATIONS**	**Paper B2**

Court was saddened to learn of Professor Noreen Murray's death on 12 May 2011.

Court noted the items within the Principal's report and the additional information on: strengthening links with India; the anticipated impact on new English language requirements for international students particularly in respect of those already offered places for 2011/2012; the outcome of the Scottish elections; the election of HRH The Princess Royal as Chancellor of the University with effect from 31 March 2011; potential industrial action; discussions with Heriot-Watt University; the excellent outcome of the EUSA Teaching awards 2011; external recognition of members of staff particularly Professor Adrian Bird receiving the Canada Gairdner International Award for his pioneering discoveries on DNA and Mr Gorringe being named Finance Director of the Year for the public/not-for-profit sector in Scotland; and recent funding from the Wellcome Trust.

2	**VICE-PRINCIPALS AND ASSISTANT PRINCIPALS**	Paper B3

On the recommendation of the Principal, Court approved the following:

Term of Office of Vice-Principals and Assistant Principals

Vice-Principal Professor Stephen Hillier, International to be extended until 26 October 2014.
Vice-Principal Professor Dai Hounsell, Academic Enhancement to be extended until 14 December 2012.
Vice-Principal Professor Richard Kenway, High Performance Computing to be extending until 30 September 2014.

Assistant Principal Dr Susan Rigby, Taught Postgraduate Courses to be extended until 4 January 2013.

Honorary Assistant Principal Professor Andrew Calder, Reproductive Health to be extended until 31 July 2013.
Honorary Assistant Principal Professor John Smyth, Cancer Research Development to be extended until 31 March 2013.

Senior Vice-Principal

Professor Nigel Brown's role as Senior Vice-Principal to commence from 1 March 2011 until 31 July 2012 and his role as Senior Vice-Principal, Planning, Resources and Research Policy to commence from 1 August 2011.

Court further approved the revised authorised deputies' schedule with immediate effect.

Vice Principal Research Training and Community Relations

Professor Mary Bownes to be designated Vice-Principal External Engagement with effect from 1 March 2011. Court further approved the revised job description which incorporated the new responsibilities for development.

New Assistant Principal

Professor Ian Pirie to be designated Assistant Principal, Learning Developments with effect from 1 August 2011 for two years.

3   HEAD OF THE COLLEGE OF SCIENCE AND ENGINEERING   Paper B3

Court approved the appointed of Professor Lesley Yellowlees as Vice-Principal and Head of the College of Science and Engineering with effect from 1 August 2011 for a period of up to three years. Court further noted that Professor Yellowlees would be designated Executive Dean and Vice-Principal designate from the 1 June 2011.

C SUBSTANTIVE ITEMS

1   REPORT OF THE FINANCE AND GENERAL PURPOSES COMMITTEE

Dr Markland presented the papers previously circulated. Court asked that further consideration be given to those items within these reports which could perhaps be separate items on Court agendas particularly those dealing with financial issues.

Report from Central Management Group's meetings of 9 March and 20 April 2011

Paper C1.1

Court approved the Policy for the Management of Research Data as set out in the paper and noted the other items. There was discussion on the EDMARC Report particularly the analysis of ethnicity data and on the terminology used in the report.

Report on Other Items   **Paper C1.2**

The implementation of the revised core employment policies from 1 April 2011 was welcomed by Court and there was support for further information to be considered by the Finance and General Purposes Committee on the venture fund. The University's continuing strong financial position was commended and Court endorsed the proposals to explore possible long-term loan arrangements.

There was detailed discussion on the mid-year actions report on progress towards taking forward targets in the Strategic Plan. Court welcomed this report and the robust monitoring of those targets assessed as requiring further work. Court expressed its continuing concern on progress towards achieving the staff performance and development review target and while welcoming the production of data presented in respect of the career progression of female academics and the initiatives being undertaken asked if the Vice-Principal for Equality and Diversity could lead on undertaking further work in this area with the view to preparing a paper for a future meeting of Court. Court also asked for further information on philanthropic giving and the Edinburgh Campaign.

Court endorsed and commended the 2011/2012 resource allocation and noted the research and commercialisation report and the actions being taken to adapt to the new research funding environment.

2   THE EDINBURGH COLLEGE OF ART   Paper C2

Court welcomed confirmation that on the 23 March 2011, The Edinburgh College of Art (Transfer) (Scotland) Order, SSI 2011 No. 54 for the merger of the two institutions had completed its 40 day period in the Scottish Parliament and all stages in the approval process having now been met that the merger with Edinburgh College of Art would take effect on 1 August 2011. The activities of the Merger Implementation Strategy Group were noted and that only a small number of issues remained to be resolved including matters around the eca Alumni Association Council and student association. It was further noted that there continued to be on-going communications and events at all levels between the University and Edinburgh College of Art to take forward the implementation and that operational eca estates matters were now being managed from within the University.

The process to appoint a Principal for the new eca within the University was progressing with interviews to be held later this month; there was a strong field of candidates and representatives of eca and the University were represented on the selection panel. It was also noted that post merger the University would be monitoring the financial position of eca and that there would be both central and College support.

Court further approved the following draft Resolutions:

Draft Resolution No. 6/2011:   Merger with Edinburgh College of Art
Draft Resolution No. 7/2011:   Foundation of Chairs associated with merger with Edinburgh College of Art
Draft Resolution No. 8/2011:   Merger with Edinburgh College of Art: Institution of new postgraduate Degrees
Draft Resolution No. 9/2011:   Merger with Edinburgh College of Art: Institution of new undergraduate Degrees
Draft Resolution No. 10/2011:   Revocations associated with the merger with Edinburgh College of Art

and requested their transmission to the General Council, Senatus Academicus and Edinburgh College of Art for observation.

3   CORPORATE HR RESTRUCTURING   **Paper C3**

The recommendation of the Redundancy Committee was noted and approved by Court including the financial implications.

4   REPORT FROM ESTATES COMMITTEE   **Paper C4**

Court approved the various recommendations as set out on the coversheet and noted that the next meeting of the Estates Committee would undertake a more detailed review of the current capital programme based on the revised available funding. Court further noted the progress towards completing the missives for the sale of Summerhall, the current position on the legal dispute regarding the disposal of the Cramond Campus and the discussions following the tragic accident on University owned land in Bilston Wood.

5   REPORT FROM NOMINATIONS COMMITTEE   **Paper C5**

On the recommendations of the Nominations Committee the following appointments were approved:

Audit Committee
Mr Alan Johnston and Mrs Elaine Noad to be appointed with effect from 1 September 2011 until 31 August 2014.

Finance and General Purposes Committee

Professor Ann Smyth and Dr Chris Masters to be appointed with effect from 1 September 2011 until 31 August 2014.

Investment Committee
Mr Richard Davidson and Mr Les Matheson to be appointed from 1 August 2011 until 31 August 2014.

Knowledge Strategy Committee
Professor Ann Smyth's current term of office to be extended by two years until 31 August 2013.

Nominations Committee
Professor Ann Smyth's current term of office to be extended by two years until 31 August 2013.
Mrs Elaine Noad to be appointed from 1 September 2011 until 31 August 2014.

Remuneration Committee
Dr Chris Masters to be appointed from 1 September 2011 until 31 August 2014.
Ms Anne Richards to be appointed from 1 September 2011 for one year in the first instance.

Risk Management Committee
Mrs Margaret Tait to be appointed from 1 September 2011 until 31 August 2013.

Staff Committee
Mrs Elaine Noad to be appointed from 1 September 2011 until 31 August 2014.

| 6 | **REPORT FROM AUDIT COMMITTEE** | **Paper C6** |

The draft Minute of the Audit Committee meeting held on 24 March 2011 was noted in particular the intention to include information on attendance at Court and Committees within the Annual Accounts. Court was content with assurance provided in respect of two of the internal audit reports and further noted that the Audit Committee would consider at its next meeting the process to approve the Edinburgh College of Art Accounts for the year ending 31 July 2011.

| 7 | **REPORT FROM COMMITTEE ON UNIVERSITY BENEFACTORS** | **Paper C7** |

Court approved the recommendations of the Committee on University Benefactors and agreed to bestow the Distinction of University Benefactor on Dr J K Rowling and the PiggyBankKids. Court further approved a third benefaction noting the particular circumstances surrounding this donation.

D ITEMS FOR FORMAL APPROVAL OR NOTE

| 1 | **DRAFT RESOLUTIONS** | **Paper D1** |

Court approved the following draft Resolutions:

Draft Resolution No. 4/2011:	Institution of new postgraduate Degree: Master of Public Health
Draft Resolution No. 5/2011:	Institution of new postgraduate Degree: Master of Surgery (General Surgery)
Draft Resolution No. 15/2011:	Amendment to Resolution No. 45/2006
Draft Resolution No. 16/2011:	Institution of new postgraduate Degree: Master of Public Policy
Draft Resolution No. 17/2011:	Postgraduate Degree Programme Regulations
Draft Resolution No. 18/2011:	Undergraduate Degree Programme Regulations

and requested their transmission to the General Council and Senatus Academicus for observations.

2   **ORDINANCE FOR THE REGULATION OF FOUNDATIONS, MORTIFICATIONS, GIFTS, ENDOWMENTS AND BURSARIES, USE OF SURPLUS REVENUE AND ALTERATION OF ENDOWMENTS**   **Paper D2**

Court noted the approval of the above Ordinance by the Privy Council on 16 March 2011.

3   **LIBRARY COMMITTEE: TERMS OF REFERENCE**   **Paper D3**

The terms of reference of the Library Committee were approved by Court.

4   **COURT MEETINGS 2011/2012**   **Paper D4**

Court noted the dates and venues for meetings of the Court in 2011/2012.

5   **DONATIONS AND LEGACIES**   **Paper D5**

Court was pleased to note the donations and legacies to be notified received by the University of Edinburgh, Development Trust between 1 February and 30 April 2011.

6   **USE OF THE SEAL**

A record was made available of all the documents executed on behalf of the Court since its last meeting and sealed with its common seal.

<u>The University of Edinburgh</u>

The University Court

20 June 2011

Principal's Report

These communications are grouped into international, UK and Scottish developments, followed by details of University news and events:-

<u>**International**</u>

A paper outlining the progress of the Internationalisation Strategy over the past two years and laying down a framework for the future of Edinburgh Global (2012-16) was submitted for approval to Central Management Group in May 2011. The aim is that the next phase of Edinburgh Global will be fully harmonised with the UoE Strategic Plan 2012-16.

India

Roger Jeffery, a Professor of Sociology at the School of Social and Political Science, has been appointed to the position of Dean for India. Roger Jeffery has worked on projects in India since 1972, and has conducted research in north India on how membership of different religious groups and castes relate to society issues. Since 2005 he has been involved in a series of projects on contemporary issues in public health in India and elsewhere.

Professor Jeffery will lead the University's strategic operations in India working closely with the new office in Mumbai. Since the launch in February 2011, activity with India has been sustained with a number of key visits by Indian academics and others to Edinburgh as follows:

- Dr. Prahladh Harsha, School of Technology & Computer Sciences, Tata Institute of Fundamental Research, Mumbai, 3 – 5 April – Contact: Sethu Vijayakumar / Rahul Santhanam, Informatics
- Mr. Suresh Goel, Director General, Indian Council for Cultural Relations, 16 April – Contact: Crispin Bates, Roger Jeffery (met with the Principal)
- Dr. Karan Singh, President, Indian Council for Cultural Relations, 16 May – Contact: Crispin Bates (delivered a lecture at CSAS)
- Professor Uday Khedker, Computer Science & Engineering, IIT Bombay, 19 & 29 May – Contact: Sethu Vijayakumar, Informatics
- Professor Anuradda Ganesh, Energy Science & Engineering, IIT Bombay, 24 & 25 May – Contact: Ondrej Masek (speaking at the 3rd UK Biochar Conference)
- Professor Vijayalakshmi Ravindranath, Chairperson, Centre for Neuroscience, 23 May - Contact: Siddharthan Chandran

Global Academies

The Global Environment and Society Academy launched on 15 June 2011.

Edinburgh International City of Learning

Over the last few months there have been various meetings and discussions about internationalisation, holistic global learning and citizenship within the Edinburgh Universities, Colleges and the Education Authority. It has been agreed that this relationship should now be formalised in a signing ceremony, which will resurrect the spirit of David Hume and the old traditional close working relationship between town and gown. Edinburgh International City of Learning will be launched on 17 June 2011 at a reception for all parties in the Playfair Library.

Networking - LERU & U21
VP International attended the LERU Rectors' Meeting in Paris and the Principal attended the U21 Presidents' meeting at the University of New South Wales.

Visits to the University in May 2011 included:

1. President Pallesen of the Technical University of Denmark
2. Prof. Dr. Jean-Pierre De Greve, Vice-rector International Relations, Vrije Universiteit Brussels
3. Dr. Luo Guozhen, Vice President, East China Normal University
4. A large delegation of Spanish University Rectors
5. Professor Michael Keniger, Senior Deputy Vice Chancellor, University of Queensland

Recent International Travel

In early June I visited the University of Salamanca and the Iberdrola Renovables Control Centre in Toledo as the guest of Ignacio Galán the Chairman and Chief Executive of Iberdrola who I met with as part of the visit.

I also participated in the UNESCO ICT in Education Conference in Paris.

UK

Higher Education White Paper

It is anticipated that the long awaited UK Government White Paper detailing the Government's plans for Higher Education in England will be published at the end of June. The majority of Universities have already announced their tuition fees and published prospectuses without the full detail of the reforms being known.

Immigration

In line with new UKBA guidelines the University amended offers to a number of international students who did not meet the new English Language Requirements for students. Lobbying is still continuing on this.

Scotland

Scottish Government

The First Minister revealed the new Cabinet towards the end of May with Mike Russell MSP retaining his position as Cabinet Secretary for Education and Lifelong Learning. This does provide us with some continuity as I have met Cabinet Secretary Russell on many occasions.

USS Pension consultation

Following agreement by the Joint Negotiating Committee to the USS pension changes in May the USS Board have confirmed a date of 1 October 2011 for implementing the changes. We have also been notified by UCU of their intention to ballot for industrial action on 20 June over the pension reforms.

Scottish Funding Council Strategic Dialog Visit

Court members Dr John Markland, Professor Stuart Monro and Professor Ann Smyth were involved in this important meeting which takes place every few years and is designed to improve understanding

and strengthen relationships between the University in question and the SFC.   Areas covered during the visit were governance and strategic planning, our institutional plan for long-term sustainability (both SFC-selected topics), the visit also included sessions on internationalisation, and commercialisation (our choice of topics), plus a meeting with students. The University was very well represented and the visit was seen to be most successful.

Related meetings

I was invited to the opening of the Arecleoch and Mark Hill Wind Farm in Ayrshire by Ignacio Galán, the First Minister was also in attendance.

I met Mr Peter Housden the Permanent Secretary to the Scottish Government last week and participated in the Scottish Leaders Forum which took place on the 16 and 17 June.

<u>University News</u>

International foundation programmes

The University has launched a series of foundation programmes to aid talented students whose high school qualifications are not accepted for direct entry to an undergraduate degree, or whose first language is not English. International Foundation Programmes in Humanities and Social Science, and Science and Engineering both provide a combination of intensive academic work, English language tuition and study skills tuition. They are designed to assist intelligent and highly motivated students who have performed well at school in moving seamlessly into an Edinburgh degree.

EUSci wins award

Congratulations to all of those involved in EUSci a University student publication which has been named Best Magazine at the Herald newspaper's 15th Scottish Student Press Awards.

Film Festival

The University is at the heart of the Film Festival this year as the Festival hub has been moved to the Teviot Building and the George Square Lecture Theatre is a venue for the first time. The Festival also features an item called Reel Science which involves collaborations with university academics and scientists.

Research in the News:

Protein presence could help diagnose cancer

Cancers of the gut, stomach and pancreas could be detected much sooner with a simple urine test, research suggests. University researchers in the Tissue Injury and Repair Group have identified key proteins in the urine of patients with advanced cancers. The findings could help the detection of these cancers in people who have not yet started to show symptoms of the disease.

Frozen fjords found under Antarctic ice

Scientists have uncovered a landscape of deep fjords in Antarctica, carved by millions of years of ice movement. University researchers say the discovery, in a part of East Antarctica roughly the size of France, gives valuable insight into how the ice sheet formed. The global team of researchers say the find will also improve their understanding of how ice in the region might melt if ocean temperatures rise.

Experts to create faster computers

A new collaboration between the University and ARM Ltd is to investigate how to make computers faster. Researchers at the University are to work with leading microprocessor designers ARM at a new Centre of Excellence based at the University's Informatics Forum.

There, they will investigate one of the greatest computing challenges of the next decade - how computers can maximise their processing capacity and therefore efficiency.

External Recognition

Queen's Birthday Honours

Two members of University staff Lesley Forrest, a Senior Administrative Assistant in Finance, and Jill Pilkington, a research associate with the School of Biological Sciences have received MBEs in the Queen's Birthday Honours.

Mrs Forrest was awarded for voluntary service to transplant athletics. The administrator, who received a kidney transplant in 1996, has been a regular competitor and multiple medal winner in the British Transplant Games. Mrs Pilkington is being honoured for her professional and personal commitment to a scientific study of wild Soay sheep on the island of St Kilda, in the Outer Hebrides.

University of Edinburgh alumnus and IVF pioneer Sir Robert Edwards was also honoured by being knighted for services to human reproductive biology.

Fellow of the Royal Society

Professor Robin Allshire has been elected as a Fellow of the Royal Society. Professor Allshire is the Wellcome Trust Principal Research fellow at the School of Biological Sciences and has been recognised for his seminal contributions to the understanding of chromosome function and structure.

The University of Edinburgh

University Court

20 June 2011

Vice Principals and Assistant Principals

A. Appointment of new eca Principal

I wish to inform Court that following a robust recruitment process the panel were unanimous in offering the post of eca Principal, Vice Principalship of the University and a Personal Chair to Dr Christopher Breward. I am delighted to let Court know that Dr Breward has accepted the appointment. At the time of writing the details are still being confirmed but Dr Breward is likely to join us in September from his current position as Director of Research at the Victoria and Albert Museum.

B. Vice Principal Public Policy

Recent changes to the financial and political landscape in both Westminster and Holyrood have had a major impact on the Higher Education sector. Developments are likely to continue to evolve and perhaps grow in complexity with the additional factor of Scottish independence. With this in mind I wish to strengthen my senior team with political and policy advice of the highest calibre by appointing Professor Charlie Jeffrey as Vice Principal Public Policy for a period of three years from the 1 August 2011.

Job Description

Vice Principals are responsible to the Principal for representing him internally and externally on the particular theme which has been allocated. Although executive authority and service delivery are the responsibility of the relevant budget-holders, Vice Principals work with the professional or functional leaders in the areas relating to their 'theme' in a leadership role, bringing academic perspectives and judgments to bear where appropriate, and represent the University's position internally and externally, locally, nationally and internationally, in relation to their 'theme', as may be relevant: this includes engagement with the media. As Vice Principals, they may also be called upon to act for the Principal or as a Vice Principal in any of the University's formal procedures or to lead or participate in formal or informal investigations or reviews; to undertake other specific responsibilities as requested or agreed by the Principal from time to time, including chairing or membership of working groups, review groups and task forces, and to represent the Principal at formal and informal functions, internally and externally, UK-wide and overseas.

The Vice Principal for Public Policy will have a 0.2FTE time commitment. The remit of the Vice Principal is:

- To advise the Principal and senior management of the University on matters of public policy under deliberation by Scottish, UK, and European Union political institutions that impact on the work of the University, by
    - Monitoring current and anticipating future business of these institutions
    - Nurturing relationships with ministers and shadow spokespeople, political advisors, senior government and parliamentary officials, and parliamentary committee convenors
    - Liaising with Universities Scotland on public policy matters

- To liaise with elected representatives who represent Edinburgh and surrounding constituencies at Scottish, UK, and EU levels on policy matters of interest to the University
- To represent the University as required in public policy matters and in conjunction with the Senior Management Team and Director of Communications, Marketing and External Affairs lead on position statements and press enquiries on public policy issues.
- To support the engagement of University expertise on public policy with policy debate at Scottish, UK and EU levels through
  - The University's Academy of Government
  - Relevant opportunities available through the Scottish Funding Council
  - University and Scotland-wide knowledge exchange networks
  - The wider policy community, including think tanks, public agencies, local government, leading voluntary sector organisations and bodies such as the Royal Society of Edinburgh and the Scottish Parliament Futures Forum which connect academic and policy expertise
- To carry out any other duties as assigned by the Principal.

C. Assistant Principals

Terms of Office Amendment

I wish to seek approval from Court to extend the tenure of Assistant Principal Professor Martin Siegert (Energy and Climate Change) for two years until 31 October 2013.

New Assistant Principal Academic Standards and Quality Assurance

To further enhance the importance the University places on the quality of teaching and learning I wish to recommend to Court the designation of a new Assistant Principal Academic Standards and Quality Assurance, Dr Tina Harrison with effect from 1 August 2011 for 2 years.

The Assistant Principal will have overall responsibility for the standards of the University's academic awards, including compliance with the requirements of external professional and accrediting bodies, and for the implementation and continuous improvement of the University's arrangements for ensuring the quality of its teaching. She will provide leadership and support to College and School staff with particular responsibilities in these areas, with a view to securing the University's relevant strategic objectives.

Specific duties will include:

- Leadership responsibility for the University's arrangements in fulfilment of Senatus' responsibilities for quality assurance of teaching, learning and assessment at all levels, and oversight of the implementation of these arrangements at College and School level, including:
  - Convening the Senatus Quality Assurance Committee;
  - Overall responsibility for the internal Teaching Programme Reviews of undergraduate study and the Postgraduate Programme Reviews of PGT/PGR provision;
  - Overall responsibility for the annual monitoring and periodic review of student support services in relation to their impact on the student learning experience.
- Liaising closely with the VP Academic Enhancement, who has

oversight of quality enhancement and the strategic management of
teaching and learning, to ensure that QA and QE complement each other
effectively and work in synergy
- Leadership responsibility for the University's arrangements for meeting the requirements of professional and academic accrediting bodies and the Quality Assurance Agency for Higher Education (QAA), and oversight of their implementation at College and School level;
- Leadership responsibility for University's preparation for and co-ordination of activities leading to Enhancement-led Institutional Review;
- Leading the University's relationship with, and liaison with, relevant external agencies such as QAA, the Scottish Funding Council, Universities Scotland, and other relevant bodies in respect of the areas of responsibility of the position;
- Representing the interests of the University and promoting its work within Scotland, the UK and internationally in respect of the areas of responsibility of the position.

I seek Court's approval for these appointments and changes.

TMMO'S
June 2011

The University of Edinburgh

The University Court

20 June 2011

**Report of the Finance and General Purposes Committee
(Comments on the Report of the Central Management Group's meeting of 25 May 2011)**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper comprises the Report to the Finance and General Purposes Committee at its meeting on 6 June 2011 from the Central Management Group of its meeting of 25 May 2011. Comments made by the F&GP Committee are incorporated in boxes within the report at relevant points.

Action requested

The Court is invited to note the report with comments as it considers appropriate.

Resource implications

As outlined in the paper.

Risk Assessment

As outlined in the paper.

Equality and Diversity

As outlined where appropriate in the paper.

Freedom of information

Can this paper be included in open business? Yes except for those items marked closed.

Originators of the paper

Dr Alexis Cornish
Dr Katherine Novosel
June 2011

Central Management Group

Wednesday, 25 May 2011

1   RECRUITMENT & ADMISSIONS STRATEGY GROUP (Appendix 1)

The proposal to form an overarching Recruitment and Admissions Strategy Group (RASG) was welcomed and approved. CMG further approved the proposed terms of reference and membership of the RASG subject to consideration of the inclusion of the Director of Accommodation Services and the suggestion that the College representatives should include operational 'front line' recruitment and admissions staff. RASG would report directly to CMG.

The Committee welcomed the creation of a Recruitment and Admissions Strategy Group

2   ETHICAL FUNDRAISING – FUNDRAISING ADVISORY GROUP (Appendix 2)

CMG approved the establishment of an Ethical Fundraising Advisory Group subject to final consultation with the Development Fund Trustees to oversee ethical issues related to fundraising.

The Committee suggested it would be helpful to include a Court member on the Group given its role of advising the University, in particular the Development Trust on any ethical issue relating to fundraising.

3   EDINBURGH GLOBAL – THE NEXT PHASE

Phase 2 of Edinburgh Global to be included as part of the University's Strategic Plan 2012/2016 was fully endorsed by CMG including the four interconnecting themes and the priorities within each. It was suggested that it was appropriate to state the intention to open the University's next office in Sao Paulo with other offices to follow and that the University should be considering moving towards a target of 50% of its students being international.

4   REPORT FROM STAFF COMMITTEE (Appendix 3)

The key matters being taken forward by the Staff Committee were noted by CMG: staff performance and development reviews; impact of changes in legislation (eg retirement age); and the impact of the approach to staff inclusion within REF. CMG welcomed that the Senior Vice-Principal would be taking forward the issues associated with staff inclusion in the REF expediently and that in respect of staff performance and development reviews a sub-group had been established with the intention to re-launch the policy and develop a simple robust recording mechanism.

5   TRANS EQUALITY POLICY (Appendix 4)

The new Policy was approved and it was noted that it would be available on the HR website.

6   GAELIC LANGUAGE PLAN

CMG noted the establishment of a working group to take forward the requirements of the Gaelic Language (Scotland) Act 2005 and was supportive of a measured approach within the University, identifying appropriate areas on which the University's plan should particularly focus.

Recruitment and Admissions Strategy Group
_____

The Recruitment and Admissions Strategy Group is a strategic committee reporting to the Central Management Group and liaising closely with the Senatus Learning and Teaching Committee on all matters relating to student recruitment and admissions, UK/EU and international, at the University of Edinburgh.

Remit rection and guidance for student recruitment and admissions to progress the University's strategic aims and objectives

Purpose

- To ensure that all student recruitment and admissions support and deliver the University's strategic aims

- To evaluate existing approaches to admissions and recruitment and to identify new opportunities and innovations

- To ensure that admissions principles, policies and procedures are uniform, compliant with legislative requirements, complement the University's strategy and are implemented consistently

- To assess internal and external initiatives, legislation and developments relating to student recruitment and admissions

- To report regularly to the Central Management Group and Learning and Teaching Committee on all matters relating to the recruitment and admission of students

- To receive regular intelligence and information on admissions and recruitment provided through reports from College Committees; Governance and Strategic Planning; Student Recruitment and Admissions; International Office and College Admissions Offices

Composition

Convener   University Secretary
Committee Secretary   TBC

Membership

Vice Principal International
Vice Principal External Engagement
Assistant Principal Taught Postgraduate Programmes
Representative(s), College of Humanities and Social Science
Representative (s), College of Medicine and Veterinary Medicine
Representative (s), College of Science and Engineering
EUSA Vice President Academic Affairs
Director International Office
Director of Planning
Admissions Service Manager, Student Recruitment and Admissions
Head of Marketing, Communications and Marketing

Meetings
The Recruitment and Admissions Strategy Group meets three times each year.

The University of Edinburgh - Recruitment & Admissions Strategy Group

Terms of Reference

1. Purpose and Role

1.1   The Recruitment & Admissions Strategy Group is responsible, for the strategic oversight of matters relating to student recruitment and admissions; the Heads of Colleges remain responsible for the admission to their College of individual students as set out in the Delegated Authorisation Schedule.

1.2   The Group is also the forum which oversees the process of maintaining and disseminating University admissions policies, Codes of Practice, and other guidance, in light of policy developments and changes in the internal and external environments.

2. Remit

The remit of the Recruitment & Admissions Strategy Group is to:

2.1   Offer strategic advice on the University's recruitment and admission of students.

2.2   Oversee the development, maintenance and implementation of a fit for purpose admissions policy framework which effectively supports and underpins the University's student admissions processes.

2.3   Examine the need for; and approve the simplification, development and review of any specific components of the policy framework in light of new innovations or specific trends, issues or problems.

2.4   Ensure that the admissions policy framework continues to evolve in order to meet the organisational needs of the University, especially within the context of the designated powers and authority of the University and its Colleges and Schools.

3. Governance

3.1   The Group will take decisions regarding policies for the University's admissions and recruitment activities.

3.2   In taking forward its remit, the Group will support and encourage diversity and variation where this is beneficial, whilst seeking consistency and common approaches, where these are in the best interests of staff and students.

3.3   The Group shall report direct to the Central Management Group as necessary, but at least bi-annually.

3.4   The Group shall liaise with relevant Court and Senatus Committees and with specific managers and offices in respect of issues or instances where matters of admissions and recruitment strategy and policy intersect with academic issues.

3.5   The Group shall identify and agree the ways in which it will periodically interact and exchange information with relevant Committees and academic and student services in matters relating to admissions and recruitment.

4. **Operation**

4.1   The Group will meet at least three times per academic year. The Group will also interact electronically, as is necessary for its business to be effectively progressed.

4.2   The Group may also meet electronically to note formal items or items which are not considered to be of strategic importance.

4.3   The Group will follow a strategic agenda which is set prior to the start of the academic year and which is agreed through consultation with Senatus, the Central Management Group, and other relevant members of the University community.

4.4   Group meetings shall be deemed quorate when 50% of the current membership is present, including at least one member from each College.

4.5   Working Groups and limited life Task Groups will take forward as relevant the detailed examination of, and consultation on, the strategic issues which make up the majority of the Group's work.

4.6   Any Task Groups will be given a clear brief and will consult as appropriate during their work in order to ensure the confidence of the Group, the Central Management Group, the Senatus, and the wider University Community in the resulting conclusions and recommendations.

4.7   Information on any activities will be made available electronically to ensure that members of the University Community are kept informed and can contribute to specific developments.

4.8   Agenda, papers and approved minutes will be published on the University's web pages in accordance with the University's agreed publication scheme and the status of the above listed in respect of freedom if information legislation. This will include details of the membership of the Group.

4.9   Student Recruitment & Admissions will be responsible for ensuring the provision of secretariat support for the Group.

5. **Composition**

5.1   The Group shall be convened by the University Secretary.

5.2   At its first annual meeting the Group shall identify a Vice-Convener from amongst its membership. The Vice-Convener should serve for a period of at least one year.

5.3   The Colleges shall each identify up to two senior members of staff within the College who have responsibility for admissions and recruitment strategy and implementation.

5.4   The Vice Principal External Engagement shall be a member of the Group.

5.5   The Vice Principal International shall be a member of the Group

5.6   The Assistant Principal Taught Postgraduate Programmes shall be a member of the Group.

5.7   The Edinburgh University Students' Association shall provide a relevant nominee for the Group.

5.8   The Admissions Service Manager, Student Recruitment & Admissions shall be a member of the Group.

5.9   The Director of the International Office shall be a member of the Group.

5.10   The Head of Marketing shall be a member of the Group.

5.11   The Director of Planning shall be a member of the Group.

5.12   The Convener may invite individuals by invitation for specific meetings or agenda items.

5.13   Substitutions of members (i.e. due to an inability to attend) shall be at the discretion of the Convener.

6. **Responsibilities and Expectations of Group Members**

6.1   Are expected to be collegial and constructive in approach.

6.2   Should attend regularly and participate fully in the work of the Group and its Task Groups. This will involve looking ahead and consulting/gathering input in order to provide the broad spectrum of thoughts and opinions which are necessary for proper consideration of the area being discussed.

6.3   Will need to take collective and individual ownership for the issues under the Group's remit and for the discussion and resolution of these issues. In taking ownership of the work of the Group, members must take steps to ensure that they are empowered to take decisions on behalf of academic and managerial colleagues.

6.4   Are expected to be committed to communicating the work of the Group to the wider University Community.

The University of Edinburgh Development Trust

Ethical Fundraising Advisory Group

The University of Edinburgh and the University of Edinburgh Development Trust are grateful to receive support from a wide variety of sources. While every effort is made to ensure that the donors' wishes are met, there are occasions when it might not be appropriate to accept a gift.

It is proposed to establish an Ethical Fundraising Advisory Group, a sub-group of the Central Management Group chaired by the Principal, that would be responsible for considering and advising on ethical issues associated with fundraising.

If there is concern over the ethical implications of a gift or potential gift, University staff are requested to notify the Director of Development & Alumni Services who will be responsible for bringing the matter to the Ethical Fundraising Advisory Group. The Director, who serves as Secretary of the University of Edinburgh Development Trust, will also be responsible for bringing such matters to the Group's attention with regard to gifts to the University of Edinburgh Development Trust.

The University does not have a written set of guidelines as to what is acceptable but considers each gift individually. A gift to the University is assessed on three key principles:

- Must support the aims of the University
- Must not damage the integrity and reputation of the University
- Must not impinge on academic freedom

Proposed membership of the Ethical Fundraising Advisory Group is as follows:

Principal (convener)
Vice Principal External Engagement
Vice Principal Diversity and Equality
Director of Finance
Director of Development and Alumni Services

Kim Waldron
University Secretary

Report from Staff Committee

25th May 2011

Introduction

1. This paper summarises the key issues discussed and decisions reached at the meeting of Staff Committee held on 10th March 2011.

Matters Arising

2. Performance and Development Review Update: It was agreed to set up a Sub-Committee which would report back its decisions and conclusions to the full Committee.

3. Embedding leadership development across the University: Staff Committee received further statistics on the take-up of leadership development programmes across the University, which continue to be well attended.

4. An analysis of the University's investment in developing its staff would be carried out once the new Senior HR/OD post was filled, for which interviews are scheduled for late May.

Court Effectiveness Review

5. Staff Committee discussed the main themes. The consensus was that the membership on the Committee was appropriate to deal with the strategic level issues relating to people management. Members agreed that the current remit as set out in its approved terms of reference, the frequency and administration of the Committee all worked well. All agreed that the meetings were chaired very effectively.

Other comments/suggestions for the future: it was important to link up with the business of other University committees; consider the challenges facing Edinburgh over the next 3 to 4 years in relation to our people management strategies; maintain good investment in staff training and development; and ensure that the University is addressing the people issues that best meet its strategic priorities.

Workforce Management without a fixed retirement age

6. Ms Macpherson presented this paper, providing an overview of the impending major changes in legislation from October 2011 and welcomed the views of the Committee. Ms Macpherson began by setting out the wider context and implications of this landmark legislation.

7. A detailed discussion followed on the points below to inform the development of a short, medium and long term the strategy. The thinking here being that the passage of time would require different approaches as managers and staff became used to operating within the new legal framework. The Committee proposed a number of areas where the University would need to embed culture change through its management practices and offered observations on areas of growing importance that would pave the way for people to plan their retirement far more systematically. (N.B. A new policy and guidance for staff and managers have already been developed).

- In order to inform workforce and succession planning to help 'shape' the future of the organisation, it would be important for managers to have conversations regularly with all staff about their future career plans, so as to gain a knowledge of what staff are contemplating as early as possible.
- These conversations should also address quality of life and work patterns, thereby offering the opportunity to ensure that the demands of the workplace and the expectations on staff continue to be fair and reasonable, whilst also delivering the goals of the University. This point is of particular relevance in the more difficult economic times facing us, so good staff engagement and a positive working environment will be important for staff motivation and successful performance.
- P&DR will be central to the process and there is already good awareness amongst Heads of Schools and Professional Services of the link with workforce planning.
- The concept of "partial retirement" is also one that is likely to grow in popularity as staff decide to plan a phased approach to retirement. Changes in pension scheme rules will assist in making this a practical option for more staff.
- Greater emphasis will be placed on preparing staff for retirement, through offering programmes and briefing sessions for staff and managers on topics that are of interest to them, e.g. financial planning, maintaining links with the University etc.

Ms MacPherson is leading this project and further reports will be made to Staff Committee on progress and/or issues that arise.

REF: Policy Considerations for the inclusion and exclusion of staff – informing our approach

8. Professor McMahon advised the Committee that the Director of HR has been co-opted onto the Research Policy Group to assist in the development of a clear policy for determining which staff will and will not be returned in the REF. Further work will be taken forward under the aegis of Research Policy Group. A helpful discussion followed regarding quality thresholds, the roles of Heads of School and REF Coordinators and the benefit of having clarity regarding the criteria for inclusion early in the process.

Developing Academics for the 21st Century

9. Professor Miell introduced this topic for discussion. The Committee discussed academic development in the context of what it means to be a world-leading institution, which can be characterised by the aim to:

- pursue international excellence across our academic activities to further enhance our global standing;

- remain competitive with other world leading institutions in an environment of constant change and uncertainty; and

- use our international distinction in major areas of research to address and resolve issues of global significance, where future success will depend on sustainable funding and greater income diversification.

The future challenges for Edinburgh

10. In research, immediate developments that will inform our academic development planning are the need to:

- meet the new priorities of the Research Councils, major charities and EU;

- respond to the policy changes by funding bodies to focus on larger grants for major multidisciplinary projects on issues of global significance; and

- deal with the fact that Research Councils are moving to a model of demand management – shifting peer review responsibility from the Research Councils to institutions. This major change in practice means that Edinburgh will need to develop robust internal peer review mechanisms.

11. These objectives are with a view to enhancing our international reputation and on-going success.

12. Excellence in learning and teaching is equally important and is linked to the quality of the student experience. Some of the key priorities are the need to:

- ensure a highly relevant, research-informed and flexible curriculum to prepare our students to make the strongest possible contribution to society;

- ensure innovative and creative use of new technologies across our programmes to expand student choice & flexible ways of learning; and

- meet the needs of a more sophisticated, demanding student body, where these needs become more diverse as we become more global.

13. In meeting these challenges it was considered that future leadership and staff development provision could cover the need to:

- enhance further our capacity to think and act strategically to align institutional bids to the priority areas of funding agencies to secure long term financial sustainability;

- lead successful, highly motivated, international, multidisciplinary teams;

- enhance further our reputation and success in securing major strategic bids;

- provide on-going professional development for staff to maintain the highest standards of delivery of learning and teaching;

- enhance the student experience through promoting excellence in teaching, assessment and feedback;

- equip colleagues to design innovative programmes, including developing more e-learning and distance learning programmes. The Principal's Distance Education Initiative will enable much greater progress to be made to support this work;

- shape a more interdisciplinary curriculum which may potentially have greater resonance for our students, whose interests can span many disciplines;

- embed international themes into the curriculum to engender wider international appeal;

- identify and nurture talent early to support effective succession planning and build the next generation of academic leaders.

Leadership Development

14. Excellent leadership and management skills are core to the effective delivery of this significant agenda. This topic was debated at some length at the last meeting and so this paper will not go over old ground again, but some additional themes covered included the need to:

- recognise the importance of followership;
- promote the benefits of the generalist leadership and management programmes;
- offer some programmes that focus on leadership in research, teaching and knowledge exchange;
- foster a climate of creativity in all our academic work;
- observe dignity and respect for all staff, in particular to ensure that the contribution of professional services colleagues was acknowledged by academic staff;
- foster collegiality to promote the benefits of team working, which will be highly relevant to the success of our future academic agenda.

15. It was noted that Human Resources and the Institute for Academic Development (IAD) work in close collaboration to plan, resource and deliver programmes that support academic development across the University effectively. Thus the fact that some of the above themes will be delivered by IAD, whilst others will be delivered by HR, does not present any organisational challenges or obstacles to delivery. Through this and subsequent debates, it is hoped to identify future strategic priorities that will inform our combined provision for the short, medium and long term.

Proposals for Implementing The Bribery Act 2010

16. Mr Paul introduced this paper to alert the Committee to the UK Government's proposals for introducing the Bribery Act 2010. The University had engaged the law firm Pinsent Mason to develop an early draft policy. This would then form the basis of briefing sessions for Heads of Schools and Services. The information gathered from these sessions would be used to inform the development of the final policy. It is thought that local knowledge will be key to developing a policy that is tailored to the needs of the University and ensures the effective management of our risks, thereby offering adequate protection against contravening the legislation and incurring any penalties.

17. Additional staff development and training will be offered once the policy has been developed. It will also be important to identify particular staff groups or units who will be impacted upon most by the provisions of the new legislation, for example, the International Office, staff involved in the work of the Global Academies and Procurement. Staff Committee endorsed this approach.

HR Performance Indicators

18. This paper was introduced by Ms Fraser and reported that Staff Committee have been considering annual benchmarking reports for about three years now, based on the DLA Benchmarker surveys on HR and workforce performance indicators in Higher Education. This paper proposes suggestions for how the University should build on existing indicators, to improve our measurement and understanding of our people strategies. The Chartered Institute for Personnel and Development indicates that the purposes for collecting and reporting on data may occur at different levels: from monitoring day to day management information and establishing measures of staff engagement to analysing organisational performance data linked to business strategy. It was agreed that it would be important to identify those indicators that have most relevance to the future growth and development of the University and that further work would be carried out in defining these measures.

Potential Industrial Action and Business Continuity

19. Ms Fraser gave an oral report on the two days of strike action (17 March and 24 March) by the UCU and the communications on guidance to managers, staff and students.

Any Other Business

20. Professor Brown advised the Committee that an independent review of diversity was to be conducted across the College of Science and Engineering in the near future.

TRANS EQUALITY POLICY

1. INTRODUCTION

This policy has been developed in conjunction with EUSA following discussions with the student body and other key stakeholders, all of whom have highlighted the need for additional information and support in this highly complex and sensitive area.

2. AIMS AND SCOPE

The policy is designed to focus on the support and advice that the University can offer to both staff and students who are undergoing any form of gender reassignment. It also aims to offer advice and guidance to managers or others who are helping to manage the support process at an individual level.

The policy also has an important place in the wider context of the University Equality and Diversity strategy and embodies the principles of the Equality Act 2010.

The policy is applicable to both staff and students.

3. IMPACT

The policy seeks to highlight potential barriers and to offer a way of providing guidance and support on a local level, wherever possible. It has a key part to play in raising awareness and in promoting the cause of staff and students affected by trans gender issues as well as helping those around them to deal more effectively with individual needs and concerns. It is designed to foster better understanding and awareness in the wider University community and to allow for more meaningful discussions at all levels. It is also intended to demonstrate to both current and future staff and students, that the University offers a supportive and welcoming environment within a truly diverse culture.

4. IMPLEMENTATION

The policy has already been through the E&D Committee and SQAC for comment and approval. It was well received at both Committees as a beneficial and positive addition to existing Equality and Diversity policies and practice.

Following approval by CMG this policy will be published on the HR and E&D websites and communicated and promoted as appropriate.

5. CONCLUSION

This policy seeks to inform and support rather than focus on the more legislative aspects which are already well documented through the E&D website. It is widely recognised by many external support groups and charities that this is an area which requires specific focus and support and that a separate policy is one of the most effective ways to demonstrate organisational environment and culture.

6. ACTION REQUIRED BY CMG

The CMG is asked to note the content of the policy and to give it final approval prior to being accessible for use and reference by staff and students.

THE UNIVERSITY of EDINBURGH

Trans Equality Policy

1. Policy Statement

As part of its wider Equality and Diversity strategy the University is committed to providing an inclusive and welcoming community where staff and students are enabled to meet their full potential and are treated as individuals. This includes providing support and understanding to those individuals who wish to take, or have taken, steps to present themselves in a gender different to their birth gender.

The University recognises that this can a very difficult and complex time for an individual and would wish to act in a sensitive and supportive way by having helpful policies and practices in place to ease any transitional period. We fully recognise our legal responsibility to protect the rights of transgender people and to ensure that no individual is subject to discrimination or victimisation as a result of the gender in which they present themselves.

This statement should be read as part of the wider set of policies including Dignity and Respect and Gender Equality.

External guidance can be found in Trans staff and students in HE

2. Scope and Purpose

This policy is designed to focus on the support and advice that the University can offer to both staff and students who are undergoing any form of gender reassignment. It also aims to offer advice and guidance to managers or others who are helping to manage the support process at an individual level.

3. Principles of the Policy

- Students will not be denied access to courses, progression to other courses, or fair and equal treatment while on courses because of their gender identity
- The University will respect the confidentiality of all trans staff and students and will not reveal information without the prior agreement of the individual
- Staff will not be excluded from employment or promotion because of their gender identity
- The University will provide a supportive environment for staff and students who wish their trans status to be known.
- The University welcomes, and will provide, appropriate facilities for trans student and staff groups

- Transphobic abuse, bullying or harassment will be treated very seriously and dealt with under the appropriate procedures

4. Legislation

The Equality Act 2010 has strengthened and streamlined previous equalities legislation. Gender reassignment is one of the nine protected characteristics within the Act and is also included in the Public Sector Equality Duty.

The definition of gender reassignment within the Act gives protection from discrimination to a person who has proposed, started or completed a process to change their sex. The Act also protects:
- trans people who are not under medical supervision
- people who experience discrimination because they are perceived to be trans people
- people from discrimination by association because of gender reassignment.

The Human Rights Act 1998 provides protection to trans people, principally under the right to a private life.

5. What is 'trans'?

Trans is an inclusive term for people who identify themselves as transgender or transsexual. The word 'trans' can be used without offence (as an adjective) to describe people who:

- are undergoing gender transition
- identify as someone with a different gender from that in which they were born, but who may have decided not to undergo medical treatment
- choose to dress in the clothing typically worn by the other sex

A full list of useful terminology is available in Trans staff and students in HE

6. Gender reassignment ('transitioning')

What is gender reassignment?
There are a small number of people in the UK whose gender identity does not match their appearance and/or anatomy. This sometimes called gender dysphoria gender identity disorder. People with this medical condition who decide to adopt the opposite gender to the one assigned at birth are known as 'transsexual people'. Medical treatment to enable transsexual people to alter their bodies to match their gender is highly successful. The process is known medically as 'gender reassignment'. Transsexual also includes persons living in their new gender, but who have elected for personal reasons not to undergo surgical treatment.

How is gender transition achieved?
Diagnosis of transsexualism may take a matter of months or a period of years. Transition is achieved by the person undergoing gender reassignment. The process consists of counselling, followed by medication to alter the body and physical characteristics. During the early part of the process it is possible the individual may display characteristics of both genders. The final stage for some individuals is to undergo surgery. Not all persons going through gender reassignment undergo surgery; it is a personal choice and not a key criterion in the process of definition to gender change. Indeed much of the transition process is more about social aspects such as name, clothes, appearance and personality rather than the medical aspects that are often associated with it.

At some point the person will want to start to live full time in their 'new' gender and their name and other records (such as their driving licence, birth certificate and passport) may be formally changed. The person is expected to live and work in their new gender role for a minimum period of one year (in Scotland) prior to any irreversible surgical intervention. This period is often referred to as the 'real life experience' or 'real life test'.

Every individual may choose a wide and differing set of options in the way that they wish to shape their future lifestyle and the choices they wish to make. The most important role that we can play as the employer and University is to offer support and guidance at any or all stages of an individual's journey and to facilitate any procedures or processes as appropriate.

What it is not
Transsexualism is not the same as, and should not be confused with, 'cross dressing', transvestism, or sexual orientation. Transsexualism is not a life style choice, nor a facet of sexual orientation, nor a disease.

Intersex
Intersex is a biological condition that people are born with. Intersex people can have a combination of male and female anatomy; as a result, their biological sex cannot easily be classified as either male or female. Until recently, the medical profession encouraged surgery on intersex babies so that the child would conform to stereotypical male or female appearances. Subsequently, many intersex people encountered difficulties later in life as the gender prescribed by the medical profession and society was different from the gender with which they associate. The advice now is to wait until an informed choice can be made. Not all intersex people opt for surgery, and many will consider themselves to be intersex rather than male or female. While trans issues are different from intersex issues, intersex people who had their gender incorrectly prescribed at birth may decide to transition to the gender with which they identify later in life.

7. Trans respect guidelines

The following informal guidelines on how to treat people who are transitioning may be helpful for a trans person's colleagues and fellow students.

- Think of the person as being the gender that they want you to think of them as.

- Use the name and pronoun that the person asks you to. If you are not sure what the right pronoun is, then simply ask. If you make a mistake with pronouns, correct yourself and move on. Do not make a big deal out of it.

- Respect people's privacy. Do not ask what their 'real' or 'birth' name is. Trans people are often sensitive about revealing information about their past, especially if they think it might affect how they are perceived in the present.

- Similarly, respect their privacy. Do not tell others about a person's trans status. If documents have to be kept that have the person's old name and gender on them, keep them confidential.

- Respect people's boundaries. If you feel it is appropriate to ask a personal question, first ask if it is ok to do so. Personal questions include anything to do with one's sex life, anatomy (not just genitalia) and relationship status – past, present or future. Questions such as 'Are you on hormones?' can be considered personal.

- Listen to the person, and ask them how they want to be treated and referred to.

8. Support

Employees: An employee going through the process of gender reassignment can seek support from their manager, local HR adviser or Occupational Health. Self referrals can also be made to the University's Counselling service.

Students: A student going through the process of gender reassignment can seek support from Student Services or their equivalent.

It is a matter of choice who should be contacted but it is recommended that the contact person works with the employee to agree an action plan to cover the period of their transition. It is imperative that confidentiality is maintained at all times, for staff and students who may be going under transition or have in the past undergone gender reassignment.

9. Transition Action Plan
The employee or student and their main contact should write an action plan together for managing their transition whilst at the University. This will include agreeing dates of transition and communication plans, the University being guided at all times by the individual's preferences. Under no circumstances should any communication or actions be taken without the explicit consent of the individual. These action plans must be kept strictly confidential and any records destroyed after the person has successfully transitioned.

Sample action plans are contained in the [Trans staff and student in HE](#) guide and a framework for transition can be found at Appendix A of this policy

10. Identification

Name changes

Trans people can easily change their legal name by making a statutory declaration of name change. However some do not choose to change their name immediately or at all. They may wish to use a shortened version of their name or a nickname. If this is the case it is preferable that tutors or managers are advised of the preferred name in advance so that the legal name is not used in error. Once a trans person has made known their chosen name, this name should be used in all circumstances, rather than their birth name. Also a person who identifies with a certain gender, whether or not they have had surgery, should be referred to using the pronoun they have a preference for (this could be he, she or they).

Identification

A full gender recognition certificate (GRC) gives a trans person the means to obtain a new birth certificate but other official identification and services reflective of their preferred gender can be gained without a full GRC including a passport, driving licence and the ability to change bank details.   The University has no right to ask for or see this certificate. However, it may ask for a statutory declaration of name change or other official identification. It is important to recognise that there can be very real cost implications in changing identity documentation and this may not be accomplished all at once especially by students and lower paid employees. The University should be prepared to be flexible wherever possible and to be very clear about what information is required as well as any alternatives that can be offered.

11. Practical support

Staff and Students:

Time Off

Trans staff and students will require time off work or study for a wide variety of medical appointments. Appointments to see a specialist may involve travelling long distances. The amount of time off required following surgery will vary greatly from 1 to 12 weeks depending on the nature of the surgery and the physical demands of the person's work or study. In all cases the member of staff or student should not be treated any less favourably than if they were absence due to sickness or injury. There may be a need for close relatives of trans staff or students to have time off to care for them in the same way this would be necessary for parents or carers in other circumstances. There should not be any less favourable treatment in such cases.

Criminal record checks

Where these are required Disclosure Scotland has implemented a process specifically for trans people who do not wish to disclose their trans status to their employer or placement provider.

Single sex facilities
A trans person should have access to 'men-only' and 'women-only' areas according to the gender in which they live permanently. Ideally there should be access to gender neutral toilet facilities wherever this can be reasonably accommodated.   The University and the individual will agree the point at which the use of facilities such as changing rooms, shower rooms and toilets change from one sex to the other. Requiring the person to use disabled toilet facilities is not acceptable unless the individual is disabled.

Records
If a trans employee or student is transitioning at the University and following their statement of intent to transition, their staff or student record should be changed at a mutually agreed time to reflect their preferred gender and name. This must include all paper records which must be replaced with a full set of new ones in the new name and gender. No records should be changed without the permission of the employee or student concerned. With the exception of degree certificates and pensions a written note of intent to transition is sufficient for the gender and name on staff and student records to be changed. Staff records can be changed through the local HR teams and student records through Registry.

References
References for current or former students or staff who have transitioned must make no reference to the person's former name or gender, and must use the appropriate pronoun.

Recruitment
Where formal documents are required before commencing employment or enrolment, confidentiality should be emphasised when asking for a birth certificate or passport as if the person has not yet been issued with new identification, the birth certificate will clearly show the person was born with a different name and gender. The same situation can arise with a passport from another country that does not have the same legislative provision as the UK. Therefore some flexibility may be required in what is asked for.

Students Only:

Accommodation
When a student applies for accommodation and advises that they are transitioning or intend to transition once at the University, it is advisable to formally agree the point at which they will begin to live day-to-day in their acquired gender. This will enable the correct form of accommodation to be allocated from the start. Students are encouraged to discuss their personal requirements in confidence and in person with relevant staff in accommodation services. The University will ensure as much flexibility and discretion as possible when dealing with student requests in relation to transgender.

For students who begin to transition when living in accommodation, contracts should be flexible to allow students to leave single-sex accommodation when

they begin to live in their chosen gender. For further advice and support contact Accommodation Services

Degree certificates
The university has undertaken to provide students who have transitioned whilst studying or after studying with replacement degree certificates in the acquired gender names or titles. This can be done through Registry

Staff Only:

Pensions
Record changes for pensions differ slightly and members of staff who are in the University pension scheme will need to send their birth certificate to the Pensions manager to ensure their gender is changed on pension records. Only people with a full Gender Recognition Certificate (GRC) can have their pension records changed by HMRC.

12. Support and Advice

Equality and Human Rights Commission (EHRC) is a statutory body with responsibility for protecting, enforcing and promoting equality across all protected characteristics

The Gender Trust is recognised as an authoritative centre for professional people who encounter gender identity-related issues in the course of their work.

The Beaumont Society is a support network that promotes better understanding of the conditions of transgender, transvestism and gender dysphoria

Gender Identify Research and Education Society initiates, promotes and supports research, particularly to address the needs of people who have a strong and ongoing desire to live and be accepted in the gender in which they identify.

Scottish Transgender Alliance offers guidance to employers on transgender equality issues and good practice in Scotland and provides information to support transgender people in understanding and accessing their human rights.

LGBT Youth provides a range of services for professionals and young people in Scotland.

13. Review

This Policy was originally produced by Corporate HR in February 2011 and has been approved by the E&D Committee and SQAC. The policy will be subject to review by February 2013 and then as and when legislation or statutory duties require it.

14. Alternative Format

If you require this document in an alternative format, please contact CorporateHR@ed.ac.uk or telephone 0131 650 8127

Appendix A   Transition process

The chart below provides an overview of a typical transition and may prove useful for those managing or representing staff or students throughout the process whether it involves medical intervention or social orientation.   It is important to note that every individual's situation will vary depending on a wide range of factors that can come into play.

A person identifies that their physical gender is not their actual gender
The person is diagnosed with gender dysphoria
The person informs their institution that they want to transition to their preferred gender and will commence a real-life experience
After at least three months, the person begins hormone therapy
At the person's request, the institution updates its records to reflect any name change and their new gender
A new staff or student file is created and any documents revealing their former name and gender that must be kept (for example, pension records) are marked 'confidential'
If the person is a student and they have changed their name, they are informed that they must legally change their name before a degree certificate can be issued in their new name
After at least 12 months, the person may undergo genital surgery
After two years of living in their chosen gender, whether or not their have undergone surgery, the person applies for a gender recognition certificate
A gender recognition certificate is awarded and the person is issued with a new birth certificate
The person is now legally recognised in their chosen gender – all documents and references that have not already been changed must now be changed
If the person is a staff member who is a member of the institution's pension scheme, they must send their new birth certificate to the appropriate person to ensure their gender is changed on pension records

Appendix B   **Action Plan for Transition Period**

Example of Action Plan to support staff

Action Plan to support staff transitioning gender
Does the employee feel comfortable continuing in their current role? Are there any temporary or permanent changes to the role which should be considered to support the employee? (Considerations should include security aspects such as lone working, night working.)
What is the expected timescale of the medical and surgical procedures, if known?
Is any time off required for medical treatment? If so how will this be dealt with?
What will the employee's new title and name be?
When do they wish to start using this name and title? Will there be any phasing?
When do they wish to start dressing and presenting as their acquired gender? Again will this be phased? (This may not necessarily be the same date as above.)
Are there any dress codes which need to be considered? (Do new uniforms need to be ordered?)
When does the employee wish to use toilet and changing facilities appropriate to their acquired gender? Please note disabled toilets should not be suggested as an alternative.
When, how and which Human Resources records and or systems will need amending?
When and how should colleagues be informed of the transition? Is there any education material which could be used? If this action plan is not drawn up with input from line manager/and or Human Resources consider how and when they might need to be involved.
If any bullying or harassment occurs how will it be dealt with?
Actions Agreed
Date of next meeting

Example of Action Plan to support students

Action Plan to support students transitioning gender
Does the student feel comfortable continuing with their current course/cohort? Are there any temporary or permanent changes to the student's experience and obligations which should be considered to support the student? (Consider security aspects.)
What is the expected timescale of the medical and surgical procedures, if known?
Is any time off required for medical treatment? If so how will this be dealt with?
What will the student's new title and name be?
When do they wish to start using this name and title? Will there be any phasing?
When do they wish to start dressing and presenting as their acquired gender? Again will this be phased? (This may not necessarily be the same date as above.)
Are there any dress codes which need to be considered?
When does the student wish to use toilet and changing facilities appropriate to their acquired gender? Please note disabled toilets should not be suggested as an alternative.
When will the Director of Studies be informed and what records and or systems will need amending? When should other members of academic staff/student support staff be informed, and how should this happen?
When and how should other students be informed of the transition? Is there any education material which could be used?
When should other University departments be advised of the transition? What other University departments need to be made aware? E.g. Students Union, Sports Centre, Accommodation and Residential Staff.
If any bullying or harassment occurs how will it be dealt with?
Actions Agreed
Date of next meeting

The University of Edinburgh

The University Court

20 June 2011

**Report of the Finance and General Purposes Committee
(Report on Other Items)**

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper reports on the meeting of the Finance and General Purposes Committee held on 6 June 2011 covering items other than the CMG report. Detailed papers not included in the appendices are available from Dr Novosel.

Action requested

The Court is invited to note the items particularly Appendix 6 with comments as it considers appropriate.

Resource implications

If applicable, as noted in the report.

Risk Assessment

Where applicable, risk is covered in the report.

Equality and Diversity

No implications.

Freedom of Information

Can this paper be included in open business? Yes

Except for items 2 - 10

Its disclosure would substantially prejudice the commercial interests of any person or organisation

Originator of the paper

Dr Katherine Novosel
June 2011

University Court, Meeting on 20 June 2011

Report of the Finance and General Purposes Committee
6 June 2011
(Report on Other Items)

1   SUMMARY RESEARCH AND COMMERCIALISATION REPORT FOR   **Appendix 1**
       Q3

The continuing challenges in identifying sources of funding and securing research awards were noted by the Committee; the Q3 position being slightly lower than that recorded for Q2. The Committee noted the information on commercialisation activities and welcomed the work of the Research Policy Group in supporting cross College and cross institution research applications.

EDINBURGH RESEARCH AND INNOVATION
RESEARCH AND COMMERCIALISATION REPORT
9 MONTHS TO 30 APRIL 2011

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1.   RESEARCH APPLICATIONS AND AWARDS

1.1   Introduction

With the fundamental changes to the research funding landscape this year which we outlined in our second quarter report, it would have been unrealistic to expect much immediate change to the overall picture, and this has proved to be the case with minor slippage, since January, in the number and value of applications, and number of awards. Award value, however, has dropped significantly from -4% (i.e. 4% down on the award value for the same period last year) at the end of January to -15% at the end of April. Award value can, however, be an unpredictable metric, only needing two or three large projects in a quarter to make a disproportionate difference.

This quarter's report adopts a more succinct, commentary-based approach, with less focus on numerical detail. It is designed to complement the more detailed KPIs produced by ERI on a monthly basis which can be found at www.eri.ed.ac.uk/kpi. It should be noted that while this report focuses on activity in the three Colleges, ERI also provides research support to the Information Services. While this is still modest in scale, there is nevertheless a steady growth in research-related activity in this group.

1.2   Applications

1.2.1   Overall picture

By the end of April, 1,745 applications worth £601.6M had been submitted across the University, some 8% and 12% down in number and value respectively on the same period last year. This reflects some slight deterioration since our Q2 report, but just of two to three percentage points.

There is very little percentage variance between the three Colleges – in terms of value, Humanities and Social Science (CHSS) and Medicine and Veterinary Medicine (CMVM) are both 11% down on Q3 last year, with Science and Engineering (CS&E) 12% down. For number of applications, HSS is 6% down, with CS&E at -8% and CMVM -10%.

1.2.2   College picture

In CHSS, at the end of Q3, Arts Culture and Environment (ACE), History, Classics and Archaeology (HCA) and Economics had all submitted applications with a greater value than the whole of 2009/10. With applications totalling £8.3M, ACE is now 88% up on the same period last year and HCA is 81% ahead, with a total application value of £6.6M. Last year's largest research applicant, Social and Political Science (SPS) at £25.2M is just £1.5M short of its total application pot for last year. The School of Law's applications are up in number and value by 12% and 31% respectively.

In CMVM, Molecular and Clinical Medicine (MCM) continues to show an increase in its application activity, some 24% up by value compared to Q3 2009/10. While some 24% down by value on the same period last year, the Royal (Dick) School of Veterinary Studies ((R)DSVS) is 4% up in number.

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In CS&E, Mathematics continues its return to form after last year's lull, up 92% in value on Q3 last year, and already £4.9M up on last year's whole-year figures. Applications for Physics and Engineering also compare very favourably with Q3 last year.

1.2.3   Funder picture

This quarter continues to evidence increased application activity to non-traditional sources of funding. Applications to the Research Councils, which have traditionally been our main funder type, are down by one-fifth, due to a combination of circumstances. Many schemes have been delayed, substantially altered or withdrawn, and we are still to see the detail of the Implementation Plans, whose publication has been delayed. Applications to charities, another key sector, are also down by approx 10%. The reasons for this are less clear, as the medium to large charities, if they were affected at all, have, in the main, recovered their financial position.

On the other hand, applications to EU Framework 7 schemes are 10% up, already exceeding the total application value for the whole of last year at £111.8M. However, we anticipate that this growth may decline in the final quarter as the next calls are not due until August and October. Applications in response to UK Government calls, including those of Health Authorities are continuing to hold up (ahead by 15% and 1% respectively) and we continue to experience increased involvement in applications being led by other universities, demonstrating the move toward more collaborative, multi-institutional projects (63% ahead by value). While still a relatively small slice of the funder cake (£5.8m for the year to date), industry funding continues its growth, up 56% in number and 49% in value. Similarly, it is encouraging to see growth in the number and value of applications to international, non-EU funders.

1.3   Awards

1.3.1   Overall Picture

At the end of Q3, the University had secured 632 awards pledging £117.2M. This represents a reduction of 11% in number and 15% in value on the same period last year.

At the time of the Comprehensive Spending Review and in fact before this, it was predicted that STEM (Science, Technology, Engineering and Mathematics) research areas would incur least impact from the Government Spending Cuts, and the Q3 awards picture for Edinburgh continues to affirm this, with CS&E showing modest growth of 1% over the same period last year. CMVM and CHSS show awards down by c.26% in value, although in number CHSS is only 9% adrift.

1.3.2 College Picture

With the exceptions of Physics and Chemistry, all Schools in CS&E record award values substantially ahead of Q3 last year. At £10.3M, Informatics have now exceeded the value of their awards for the whole of last year, and the College's largest School, Biological Sciences records awards some 36% up in value. Despite being 44% down in value, Chemistry has in fact secured 13% more awards than last year.

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In CMVM, Biomedical Sciences continues to build on its Q2 growth, now recording awards 17% up (in number and value) over Q3 last year. Clinical Sciences and Community Health (CSCH) has, however, dipped from being 42% up at the end of Q2 to 10% down at the end of Q3. This situation may well reverse itself for the year-end, however, given this School's strong performance for most of the year.

In CHSS, Philosophy, Psychology and Language Sciences (PPLS) and Divinity continue to build on their Q2 growth, up £330K and £700K respectively. Literatures, Languages and Cultures (LLC), however, shows the largest growth this quarter, up £1.4M on the same period last year. Indeed Divinity and LLC have already outperformed their 2009/10 total year figures by a significant amount.

1.3.3 Funder Picture

As per applications, number and value of awards for Research Councils are down on last year, again by one fifth. Charity awards, on the other hand, are up by 10%, but this represents a declining picture over the past quarter rather than a return to form.. While not at the levels experienced in our Q2 report, EU awards continue to hold their own just ahead of the same period last year, with a number of awards due to be announced in the last quarter.

While application activity to the public (non-Research Council) sector seems to be recovering, the squeeze on public funds continues to show in our awards, some 48% and 87% down in UK Government and Health Authority sectors respectively. Pleasingly, awards from UK industry are up by one fifth, and while the sums are modest, there are signs of an increase in funding from overseas (non-EU) sponsors.

More detail of awards, by funder type for the University as a whole and each College can be found in Appendix 1 of this report.

1.3.4 Large awards

A listing of awards secured in the past quarter with an award value in excess of £1M can be found in Appendix 2 of this report.

2.   RESEARCH INCOME

At the end of Q3, the University had secured £133.8M of research income, an improved position from that reported in Q2 and representing an increase of 3% over the same period last year (£130.1M).

Income for CS&E had significantly grown to 12% ahead of the same period last year (£63.6M vs. £56.7M). The income for CMVM was £56.8M, down 4% on last year, and for CHSS, £12.2M, down 6%.

EDINBURGH RESEARCH AND INNOVATION
RESEARCH AND COMMERCIALISATION REPORT
9 MONTHS TO 30 APRIL 2011

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3.   RESEARCH DEVELOPMENT

3.1   Events

The following courses and talks were held across the three Colleges:

- 1st February 2011: Research Staff Induction Seminar
- 7th February 2011: Visit by Shearer West - presentation on AHRC Strategic Plan & Emerging Themes and meetings with Senior academics
- 21st February 2011: India Show & Tell Sessions – attended by academic staff from all Colleges
- 22nd February 2011: Learning Lunch - ERC Starting Grants for Social Science research
- 28th February 2011: Roundtable meeting on ESRC Larger Grants
- During February: Briefings on Research Councils delivery plans for several Schools in CHSS including Psychology, PPLS and ACE
- 15th March 2011: Visit by Cancer Research UK – presentation on funding opportunities and one-to-one meetings with academic staff
- 18th March 2011: Visit by Rick Rylance (AHRC) – series of closed meetings with senior academics
- 27th March 2011: Attendance at the CHSS International Forum - presenting information on International funding opportunities
- 28th March 2011: FP7 briefing for Centre of Inflammation Research
- 30th March 2011: Introduction to Research Funding for 2nd/3rd year PhD students for College of Science & Engineering

3.2   Programme of Funder Visits

There were a numbers funder visits in the last quarter.

The AHRC's outgoing chief executive and director of research have both visited the University since February, Prof Shearer West, Director of Research, AHRC Prof Rick Rylance, Chief Executive, AHRC

Prof West's visit focused on promoting the AHRC's delivery plan with the wider academic community. Prof Rylance's visit involved a small group of University of Edinburgh researchers, including several members of CHSS Research Committee. In addition to closed meetings to discuss AHRC strategy, four AHRC award-holders also gave presentations on their work to Prof Rylance.

Cancer Research UK visited the University in March, and gave presentations on funding opportunities, and writing successful proposals. One-to-one meetings were also held with a number of academics to discuss potential projects.

Following a visit at the end of 2011 to the Royal Society, we entered into active dialogue with them about a possible visit to Edinburgh. In March they informed us that their visit to Scotland would be hosted by Glasgow University. They hope to make the event open to all Scottish HEIs.

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3.3   International Activities

Two 'show-and-tell' sessions for researchers from across the University who are interested in working with colleagues in India have been held since February 2011. These sessions have served both as a means of finding out more about the University's activity with respect to India and as a way of bringing researchers together to share expertise, contacts and interests. The sessions have received positive feedback. Two academic led sub-groups have formed out of the meetings, one in 'climate change' and another in 'health', and they intended to submit applications to the joint ESRC and India Council for Social Science Research call when it is announced. It is hoped that this type of session will be an annual occurrence held to coincide with the visits by the University's India Liaison, Amrita Sadarangani.

In continuing support of the University's Internationalisation agenda, attendance at various meetings have taken place. This included participation in the newly formed North American Regional Focus Executive Group, convened to determine the priorities of the group going forward.

3.4   Activities for Quarter 4, 2010/11

Scheduled funder visits:

- 3rd June 2011: UK National Contact Point for the European Commission's FP7 Health theme.
- 22nd June 2011: UK National Contact Points for the European Commission's FP7 Socio-economic Science and Humanities theme and Science in Society programme.

Funders who have been approached or are due to be approached with a view to visits for next quarter:

- EPSRC
- NERC
- UK National Contact Points with a focus on EU Framework Funding opportunities in the thematic areas of Environment and Health

In planning:

- Workshops on writing Fellowship Applications (CSE specific)
- Series of EU events including continuation of briefings for CMVM
- European Research Council Starting Grant briefing
- In partnership with the Climate Change Centre series of 'Water' workshops aimed at bringing researchers together to share expertise, contacts and interests.

3.5 Concluding comments

With the anticipated, and hopefully temporary, downturn in Research Council opportunities and awards this year, it has been encouraging to see some of the non-traditional funding sources starting to bear fruit.

As set out in our January report, ERI will continue strongly to promote EU opportunity until the end of Framework 7 and beyond. An awareness initiative is now underway in the College of Medicine and Veterinary Medicine, championed by the College's Director of Research and we are confident that we will see a number of high quality applications being submitted from this College (and the others) this autumn. To facilitate this, additional funding has been

secured from the Director of Corporate Services to fund another EU Advisor, who commences with us full time in mid-June, and it is anticipated that our enhanced EU team will work closely in partnership with the new Science Writer appointment, currently being co-recruited by CMVM and CS&E. Additional funding has also been secured to bring back the EU Application Fund, a useful source of seedcorn funding enabling our academic colleagues preparing bids to travel to Brussels and elsewhere for EU information days and networking meetings.

More broadly our initial forays into other international sources of funding are developing. Talks between the University's Global Health Academy, Yale and Makerere, which were facilitated by ERI, are continuing, with a view to a collaborative application for US funding anticipated soon. Further, the scoping activity undertaken late last year to identify funding sources and partners in India has led to a number of 'show and tell' sessions which will in time transform into strategic bids for UK/Indian Government joint funding. We will continue to focus our resources on a small number of international research projects as our resources allow.

Later this spring, we anticipate that the Research Councils will start to publish their Implementation Plans for the next Spending Review period, and this will become the focus of our UK funder promotional activity during the summer to ensure that the University secures its share of this important source of funds. As the key metric of *quantity* of applications shifts to *quality*, our Research Support Advisors will have an increasingly important part to play in the preparation and implementation of internal peer review/demand management procedures, particularly if an institutional sanctions route is pursued. By improving our quality control, Edinburgh should be able to maintain the volume of Research Council grants although, in accordance with RCUK's interpretation of the Wakeham Review, our associated indirect costs will reduce and more contribution may be required from the University for the purchase of capital equipment required.

4.   INVENTION DISCLOSURES
In the 9 months to 30 April 2011, 97 disclosures were made compared to 100 for the same period last year.

5.   PATENT FILINGS
In the 9 months to 30 April 2011, 56 patents were filed on technologies compared to 72 for the same period last year.

6.   LICENCES
In the 9 months to 30 April 2011,43 licence deals were signed compared to 59 for the same period last year.

7.   COMPANY FORMATION
In 9 months to 30 April 2011, 4 spin-out (py 5) and 18 start-up (py 26) companies have been recorded.

8.   CONSULTANCY
In the 9 months to 30 April 2011, consultancy income processed through ERI was £3.7m; the same as for the same period last year.

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Appendix 1
Analysis of Awards by Sponsor Type, comparing Q3 2010/11 with full year
2009/10

In this appendix, sponsor type profiles are plotted for the University as a whole and for each College.

These depict awards by sector type, comparing the Q3 award values for this year with last year's total year figures. Assuming 2009/10's total year figures as this year's rudimentary "targets", the tables show the percentage of 'target' achieved for each sector.

The pie charts show the percentage share for each sponsor type proportionate to the whole, comparing the year to date for this current year with full year 2009/10.

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University of Edinburgh

	YTD	09-10	% of Target
Charity	£31,691,425	£40,639,850	78%
EU	£21,854,707	£29,477,055	74%
Government	£7,558,321	£24,252,614	31%
International	£2,129,874	£3,192,224	67%
Research Council	£45,190,181	£95,761,278	47%
UK Industry	£6,340,931	£9,564,504	66%
Universities	£2,489,322	£5,566,948	45%
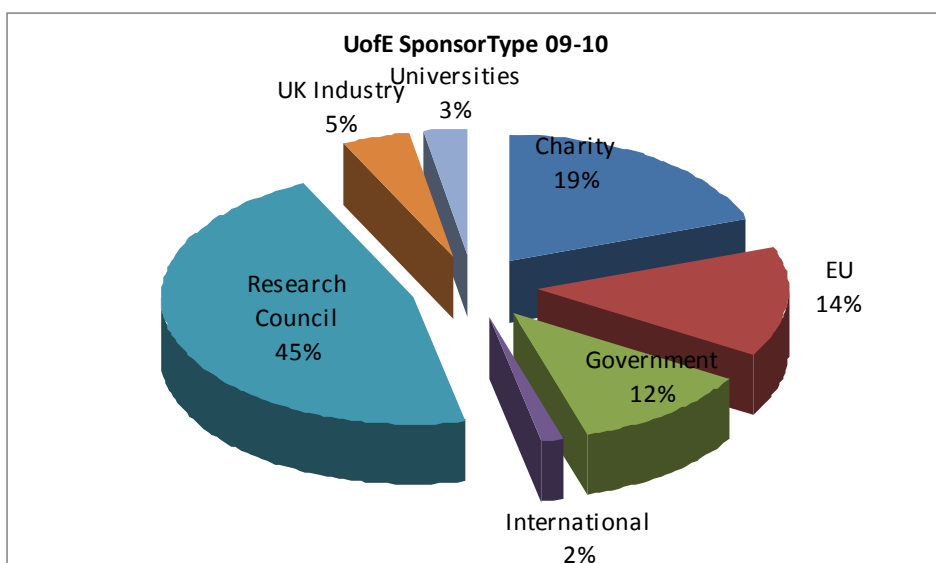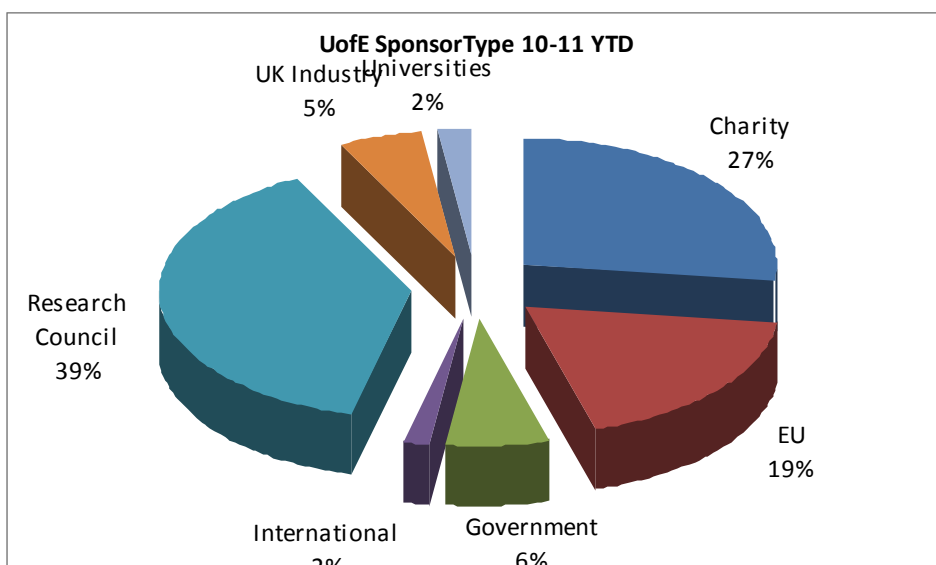
UofE SponsorType 10-11 YTD

UofE SponsorType 09-10

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College of Science and Engineering

	YTD	09/10	% of Target
Charity	£12,224,531	£17,155,237	71%
EU	£17,320,911	£20,791,051	83%
Government	£2,263,233	£6,328,937	36%
International	£1,369,513	£1,072,831	128%
Research			
Council	£29,668,605	£58,140,590	51%
UK Industry	£3,796,708	£6,930,125	55%
Universities	£1,194,215	£2,843,314	42%

CSE SponsorType 10-11 YTD

Universities 2%
UK Industry 6%
Charity 18%
EU 26%
Government 3%
International 2%
Research Council 43%

CSE SponsorType 09-10

Universities 3%
UK Industry 6%
Charity 15%
EU 18%
Government 6%
International 1%
Research Council 51%
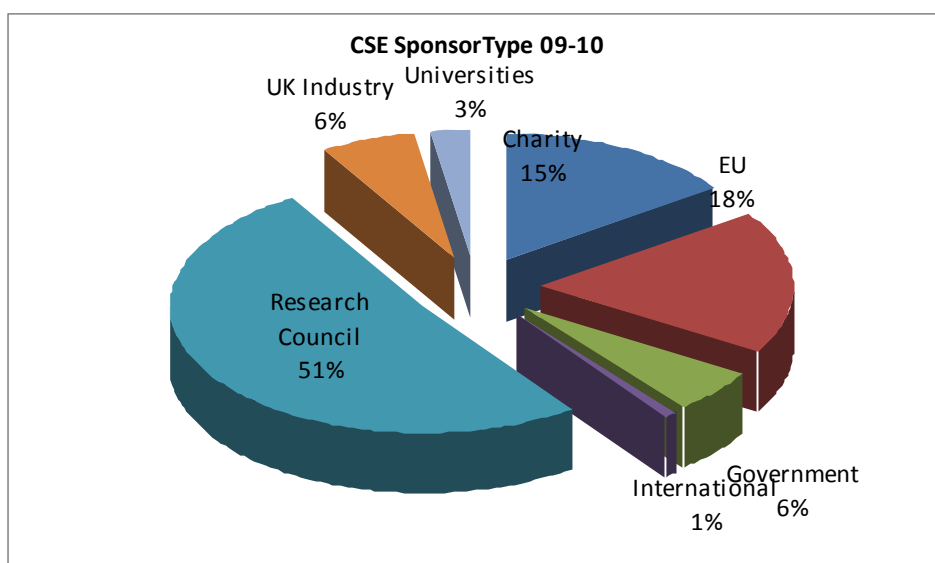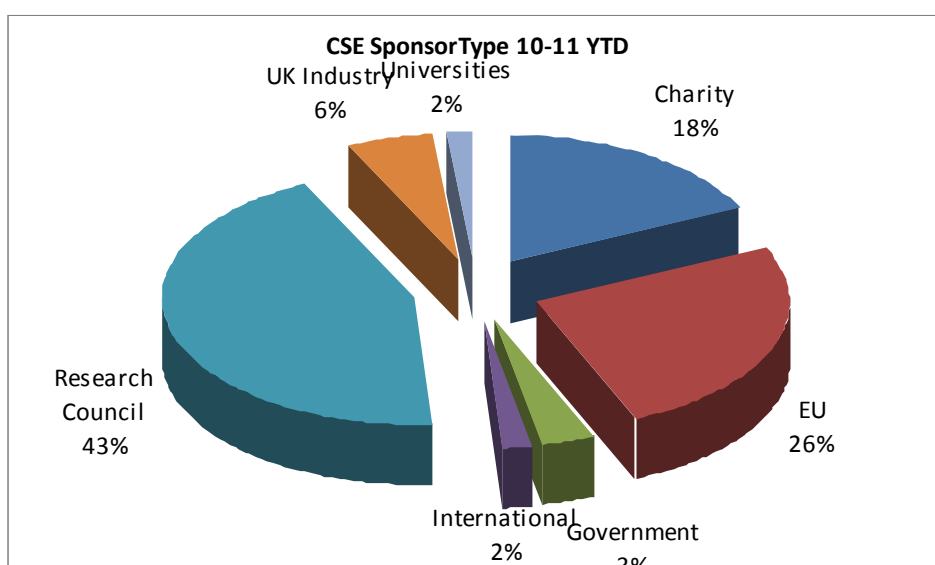
College of Medicine and Veterinary Medicine

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	YTD	09-10	% of Target
Charity	£17,224,804	£21,558,933	80%
EU	£3,430,465	£5,609,103	61%
Government	£4,124,812	£11,675,209	35%
International	£749,909	£1,447,438	52%
Research Council	£11,564,614	£29,328,851	39%
UK Industry	£2,387,555	£2,621,995	91%
Universities	£887,088	£1,909,805	46%
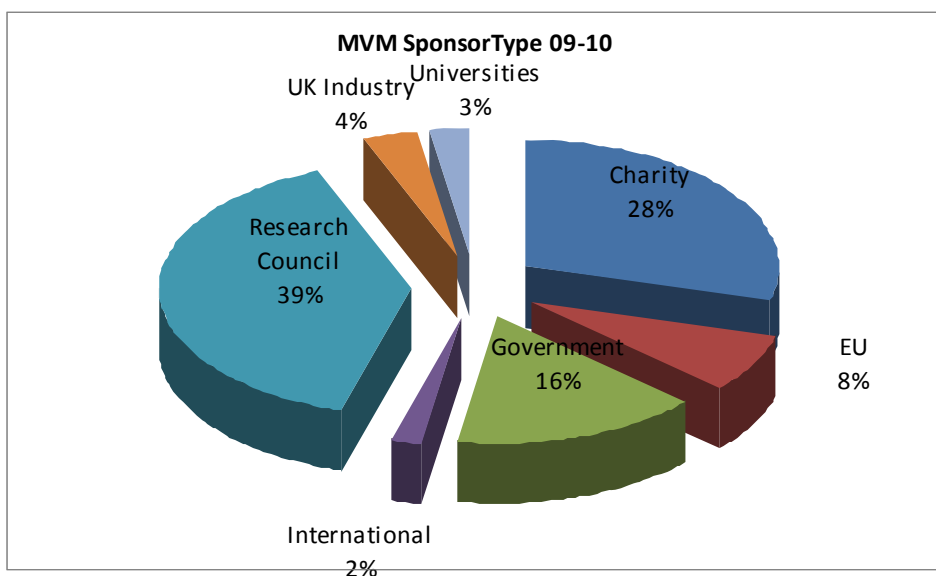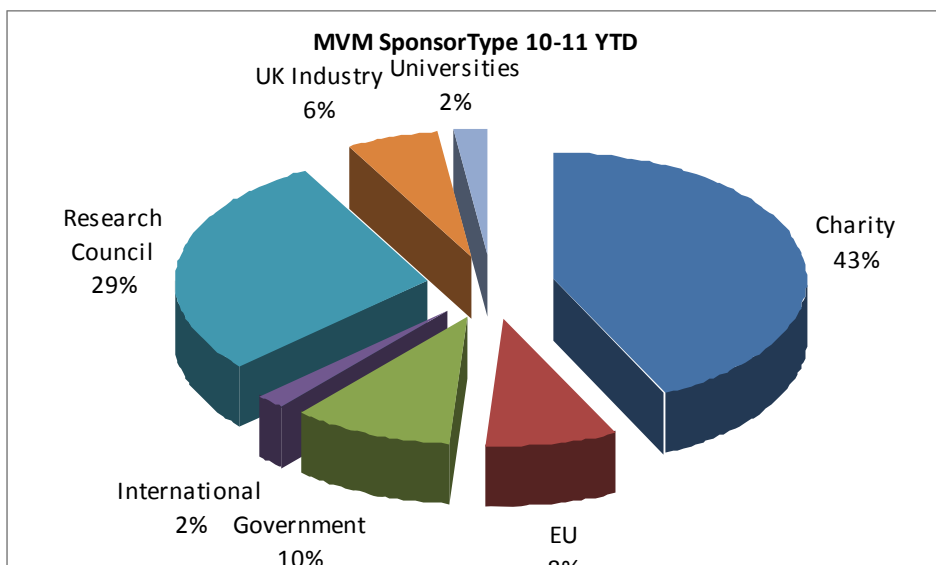
MVM SponsorType 10-11 YTD

Charity 43%, EU 8%, Government 10%, International 2%, Research Council 29%, UK Industry 6%, Universities 2%

MVM SponsorType 09-10

Charity 28%, EU 8%, Government 16%, International 2%, Research Council 39%, UK Industry 4%, Universities 3%

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College of Humanities and Social Science

	YTD	09-10	% of Target
Charity	£2,241,673	£1,846,245	121%
EU	£1,103,331	£2,931,688	38%
Government	£1,027,770	£2,824,437	36%
International	£10,452	£165,434	6%
Research Council	£3,843,061	£8,274,042	46%
Universities	£313,278	£813,829	38%
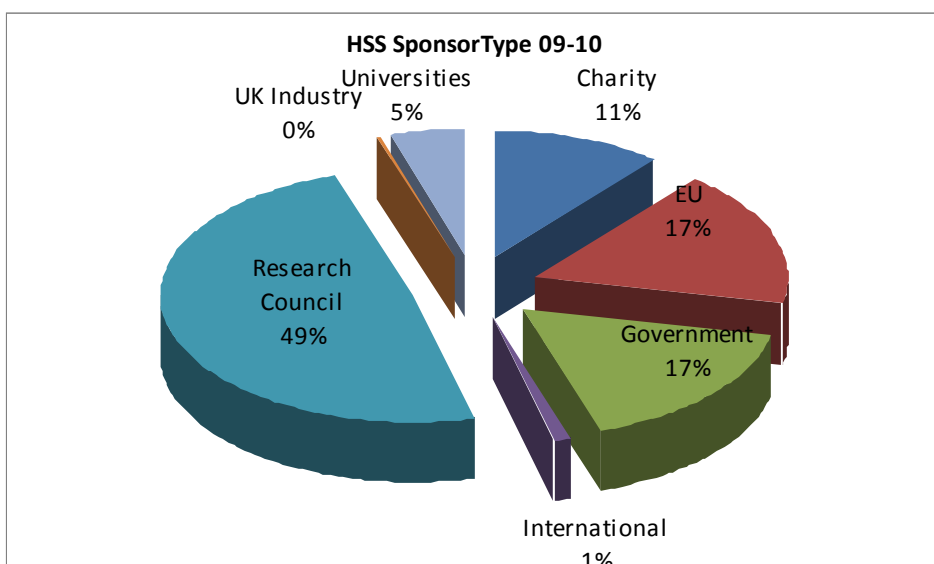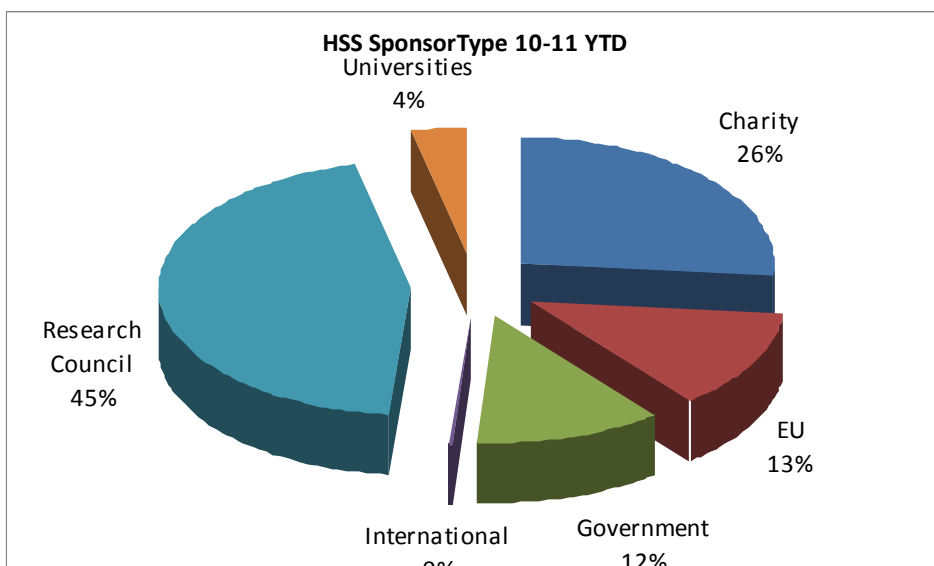
HSS SponsorType 10-11 YTD

HSS SponsorType 09-10

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Appendix 2

Awards received in Q3 in excess of £1M

InfoEd	School	PI Name	Sponsor Name	Award Total	Award Date
020301	Biological Sciences	Mark L Blaxter	Natural Environment Research Council/Facilities Grant(**)	£1,991,316	14-Feb-11
019359	Clinical Sciences and Community Health	Brian R Walker	British Heart Foundation/Programme Grants(**)	£1,144,283	01-Mar-11
017054	Biological Sciences	Ian P Chambers	Medical Research Council/Programme grant (**)	£1,308,498	05-Apr-11
018810	Biological Sciences	David Tollervey	Wellcome Trust/Principal Research Fellowship(**)	£2,570,516	04-Apr-11
018163	Clinical Sciences and Community Health	Donald J Davidson	Medical Research Council/Senior Non-Clinical Fellowship(**)	£2,368,204	01-Apr-11
014714	Physics	Chrystele Sanloup	European Commission/ERC-Starting Grant(**)	£1,024,738	20-Apr-11
015006	Biological Sciences	Sinead A Collins	European Commission/ERC-Starting Grant(**)	£1,147,952	28-Apr-11

EDINBURGH RESEARCH AND INNOVATION LIMITED
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FOR THE 9 MONTHS TO 30 APRIL 2011

TABLE 1
RESEARCH APPLICATIONS, AWARDS AND INCOME BY COLLEGE

RESEARCH ACTIVITY	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
All Research Applications - number							
CHSS	33	481	42	514	604	(21%)	(6%)
CMVM	63	551	74	611	785	(15%)	(10%)
CS&E	36	698	77	760	933	(53%)	(8%)
Support Services (ISG etc)	1	15	1	9	12	0%	67%
Total - number	**133**	**1,745**	**194**	**1,894**	**2,334**	**(31%)**	**(8%)**
All Research Applications - value - 100% PROJECT VALUE							
CHSS	11,534	70,251	12,047	78,513	94,981	(4%)	(11%)
CMVM	23,163	203,300	31,878	228,670	298,792	(27%)	(11%)
CS&E	19,572	327,071	28,726	373,777	452,933	(32%)	(12%)
Support Services (ISG etc)	96	1,020	45	493	678	113%	107%
Total - value £'000	**54,365**	**601,642**	**72,696**	**681,453**	**847,384**	**(25%)**	**(12%)**
All Research Awards - number							
CHSS	11	127	32	140	203	(66%)	(9%)
CMVM	26	216	27	276	348	(4%)	(22%)
CS&E	29	285	31	288	424	(6%)	(1%)
Support Services (ISG etc)	1	4	1	7	10	0%	(43%)
Total - number	**67**	**632**	**91**	**711**	**985**	**(26%)**	**(11%)**
All Research Awards - value - 100% PROJECT VALUE							
CHSS	1,480	8,696	2,838	11,983	16,868	(48%)	(27%)
CMVM	5,211	40,369	8,873	54,706	74,151	(41%)	(26%)
CS&E	9,745	67,863	9,709	67,408	113,769	0%	1%
Support Services (ISG etc)	114	352	45	3,640	3,666	153%	(90%)
Total - value £'000	**16,550**	**117,280**	**21,465**	**137,737**	**208,454**	**(23%)**	**(15%)**
All Research Awards - value - SPONSOR CONTRIBUTION							
CHSS	1,362	7,895	2,514	10,406	14,651	(46%)	(24%)
CMVM	4,587	37,540	8,807	50,813	67,772	(48%)	(26%)
CS&E	8,960	61,121	8,993	60,339	100,454	(0%)	1%
Support Services (ISG etc)	91	286	36	3,026	3,053	153%	(91%)
Total - value £'000	**15,000**	**106,842**	**20,350**	**124,584**	**185,930**	**(26%)**	**(14%)**
Industrial Research Applications - number	**9**	**80**	**3**	**55**	**82**	**200%**	**45%**
Industrial Research Applications - value £'000 (100%)	**493**	**6,496**	**180**	**5,341**	**10,855**	**174%**	**22%**
Industrial Research Awards - number	**4**	**80**	**4**	**64**	**89**	**0%**	**25%**
Industrial Research Awards - value £'000 (100%)	**283**	**6,703**	**234**	**5,544**	**10,037**	**21%**	**21%**
Research Income £'000							
CHSS	1,284	12,216	1,473	12,935	16,965	(13%)	(6%)
CMVM	6,459	56,807	4,920	58,919	81,609	31%	(4%)
CS&E	4,836	63,676	6,334	56,780	79,338	(24%)	12%
Support Services (ISG etc)	11	1,132	129	1,552	2,661	(92%)	(27%)
Total - value £'000	**12,589**	**133,830**	**12,856**	**130,186**	**180,573**	**(2%)**	**3%**

EDINBURGH RESEARCH AND INNOVATION LIMITED
RESEARCH AND COMMERCIALISATION REPORT
FOR THE 9 MONTHS TO 30 APRIL 2011

TABLE 2
RESEARCH APPLICATIONS AND AWARDS BY FUNDING SOURCE 100% PROJECT VALUE

APPLICATIONS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
EU - Government	10	6,426	198	111,883	20	15,300	182	101,949	200	105,699	9%	10%
EU - Industry	1	58	6	375	-	-	9	1,320	12	1,371	(33%)	(72%)
EU - Other	2	154	9	816	4	383	13	20,419	22	20,959	(31%)	(96%)
Overseas - Charities	6	312	21	2,435	3	908	14	3,516	22	3,947	50%	(31%)
Overseas - Government	4	362	16	1,525	3	1,529	8	3,478	8	3,478	100%	(56%)
Overseas - Industry	-	-	4	278	-	-	1	93	3	235	300%	199%
Overseas - Other	1	9	13	3,097	1	3	10	504	12	630	30%	514%
Overseas - Universities etc.	1	12	6	495	-	-	5	283	7	498	20%	75%
UK - Charity	50	20,379	483	119,758	51	11,607	532	134,923	679	172,998	(9%)	(11%)
UK - Government	29	4,504	216	49,547	27	3,464	244	43,082	291	48,402	(11%)	15%
UK - Health Authorities	2	3,603	20	19,902	6	8,168	37	19,750	48	27,095	(46%)	1%
UK - Industry	8	435	70	5,843	3	180	45	3,927	67	9,249	56%	49%
UK - Research Council	13	17,612	591	270,491	68	29,816	726	338,872	861	440,497	(19%)	(20%)
UK - Universities etc.	6	499	92	15,197	8	1,338	68	9,337	102	12,326	35%	63%
	133	**54,365**	**1,745**	**601,642**	**194**	**72,696**	**1,894**	**681,453**	**2,334**	**847,384**	**(8%)**	**(12%)**

AWARDS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
EU - Government	10	4,066	60	19,541	9	3,262	61	19,389	95	28,177	(2%)	1%
EU - Industry	-	-	4	323	-	-	4	285	8	413	0%	13%
EU - Other	-	-	10	1,991	-	-	7	670	11	887	43%	197%
Overseas - Charities	3	146	9	593	1	9	4	1,105	8	1,643	125%	(46%)
Overseas - Government	1	68	6	248	2	79	4	688	5	705	50%	(64%)
Overseas - Industry	-	-	1	39	-	-	1	16	2	59	0%	144%
Overseas - Other	2	11	9	744	-	-	9	297	16	592	0%	151%
Overseas - Universities etc.	1	200	5	506	-	-	5	144	7	192	0%	251%
UK - Charity	17	3,593	174	31,691	24	6,334	191	28,763	254	40,640	(9%)	10%
UK - Government	10	1,586	71	6,877	13	1,032	117	13,308	148	18,985	(39%)	(48%)
UK - Health Authorities	-	-	11	682	5	2,718	13	5,216	14	5,268	(15%)	(87%)
UK - Industry	4	283	75	6,341	4	234	59	5,243	79	9,565	27%	21%
UK - Research Council	17	6,531	145	45,190	25	6,953	191	59,244	271	95,761	(24%)	(24%)
UK - Universities etc.	2	66	52	2,514	8	844	45	3,369	67	5,567	16%	(25%)
	67	**16,550**	**632**	**117,280**	**91**	**21,465**	**711**	**137,737**	**985**	**208,454**	**(11%)**	**(15%)**

ALL APPLICATION AND AWARD VALUES ARE 100% PROJECT COSTS

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TABLE 3
RESEARCH APPLICATIONS AND AWARDS BY SCHOOL (100% PROJECT VALUE)

APPLICATIONS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
Arts, Culture and Environment	1	4,783	42	8,380	2	32	30	4,452	33	4,581	40%	88%
Business School	-	-	11	1,195	2	461	24	2,755	30	3,401	(54%)	(57%)
Divinity	2	155	22	1,598	1	3	16	2,308	20	2,452	38%	(31%)
Economics	-	-	4	196	-	-	2	129	2	129	100%	52%
Health in Social Science	-	-	16	2,299	-	-	20	3,694	28	5,988	(20%)	(38%)
History, Classics and Archaeology	8	1,416	63	6,684	4	1,118	41	3,694	51	3,884	54%	81%
Law	5	455	29	2,914	1	296	26	2,224	32	3,443	12%	31%
Literatures, Languages and Cultures	2	1,118	60	5,071	2	4	80	8,980	86	9,793	(25%)	(44%)
Moray House School of Education	4	1,103	42	5,208	4	340	61	7,865	79	9,675	(31%)	(34%)
Philosophy, Psychology and Language Sciences	4	681	75	11,469	12	4,613	88	18,589	104	24,875	(15%)	(38%)
Social and Political Science	7	1,823	117	25,237	14	5,180	126	23,823	139	26,760	(7%)	6%
TOTAL CHSS	**33**	**11,534**	**481**	**70,251**	**42**	**12,047**	**514**	**78,513**	**604**	**94,981**	**(6%)**	**(11%)**
Biomedical Sciences	6	10,554	75	37,245	11	4,486	101	43,096	128	56,990	(26%)	(14%)
Clinical Sciences and Community Health	22	4,336	248	73,646	31	13,209	288	97,379	357	130,571	(14%)	(24%)
Molecular and Clinical Medicine	20	6,697	128	66,137	18	9,629	126	53,457	175	68,421	2%	24%
Royal (Dick) School of Veterinary Studies	15	1,576	100	26,272	14	4,554	96	34,738	125	42,810	4%	(24%)
TOTAL CMVM	**63**	**23,163**	**551**	**203,300**	**74**	**31,878**	**611**	**228,670**	**785**	**298,792**	**(10%)**	**(11%)**
Biological Sciences	8	5,994	153	92,724	23	11,999	168	102,578	214	118,946	(9%)	(10%)
Chemistry	2	864	66	28,094	9	3,577	92	35,932	109	41,927	(28%)	(22%)
Engineering	9	11,162	103	53,341	10	1,943	111	53,966	141	67,856	(7%)	(1%)
Geosciences	4	101	131	27,564	10	2,058	126	37,251	174	56,393	4%	(26%)
Informatics	4	796	99	58,095	13	5,082	125	83,253	140	100,089	(21%)	(30%)
Mathematics	4	142	40	13,957	-	-	27	7,270	32	9,019	48%	92%
College General	-	-	-	-	-	-	-	-	1	177		
Physics	5	513	106	53,296	12	4,067	111	53,527	122	58,526	(5%)	(0%)
TOTAL CSE	**36**	**19,572**	**698**	**327,071**	**77**	**28,726**	**760**	**373,777**	**933**	**452,933**	**(8%)**	**(12%)**
Support Services	**1**	**96**	**15**	**1,020**	**1**	**45**	**9**	**493**	**12**	**678**	**67%**	**107%**
Grand Total	**133**	**54,365**	**1,745**	**601,642**	**194**	**72,696**	**1,894**	**681,453**	**2,334**	**847,384**	**(8%)**	**(12%)**

AWARDS	Current Year				Previous Year						YTD Variance	
	Month		YTD		Month		YTD		Full Year			
	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value £'000	Number	Value
Arts, Culture and Environment	-	-	13	344	5	238	10	422	13	707	30%	(18%)
Business School	-	-	8	203	-	-	14	886	15	901	(43%)	(77%)
Divinity	-	-	8	983	-	-	1	283	3	289	700%	247%
Economics	-	-	1	2	-	-	-	-	-	-		
Health in Social Science	-	-	3	76	-	-	4	201	6	256	(25%)	(62%)
History, Classics and Archaeology	4	214	18	356	1	252	7	425	16	646	157%	(16%)
Law	1	27	5	65	3	309	14	719	15	724	(64%)	(91%)
Literatures, Languages and Cultures	1	1	19	1,779	4	5	29	323	32	353	(34%)	451%
Moray House School of Education	1	24	18	896	7	633	19	1,996	30	2,193	(5%)	(55%)
Philosophy, Psychology and Language Sciences	1	418	18	1,604	4	108	11	1,274	24	2,830	64%	26%
Social and Political Science	3	796	16	2,388	8	1,293	31	5,454	49	7,969	(48%)	(56%)
TOTAL CHSS	**11**	**1,480**	**127**	**8,696**	**32**	**2,838**	**140**	**11,983**	**203**	**16,868**	**(9%)**	**(27%)**
Biomedical Sciences	1	-	27	4,954	4	140	23	4,244	36	9,524	17%	17%
Clinical Sciences and Community Health	7	2,710	102	17,182	14	4,297	108	19,057	139	25,283	(6%)	(10%)
Molecular and Clinical Medicine	4	710	44	10,890	6	4,411	71	19,523	85	22,781	(38%)	(44%)
Royal (Dick) School of Veterinary Studies	14	1,789	43	7,343	3	25	74	11,882	88	16,563	(42%)	(38%)
TOTAL CMVM	**26**	**5,211**	**216**	**40,369**	**27**	**8,873**	**276**	**54,706**	**348**	**74,151**	**(22%)**	**(26%)**
Biological Sciences	5	5,369	57	24,648	6	5,737	59	18,150	101	39,383	(3%)	36%
Chemistry	1	34	35	4,714	4	450	31	8,432	44	14,086	13%	(44%)
Engineering	4	942	43	11,270	5	330	45	9,878	65	14,187	(4%)	14%
Geosciences	8	626	77	9,500	3	82	73	7,942	102	11,017	5%	20%
Informatics	2	23	33	10,338	5	1,738	34	6,698	49	9,795	(3%)	54%
Mathematics	-	-	8	1,529	-	-	6	97	10	429	33%	1476%
College General	-	-	-	-	-	-	-	-	1	177		
Physics	9	2,751	32	5,864	8	1,372	40	16,211	52	24,695	(20%)	(64%)
TOTAL CSE	**29**	**9,745**	**285**	**67,863**	**31**	**9,709**	**288**	**67,408**	**424**	**113,769**	**(1%)**	**1%**
Support Services	**1**	**114**	**4**	**352**	**1**	**45**	**7**	**3,640**	**10**	**3,666**	**(43%)**	**(90%)**
Grand Total	**67**	**16,550**	**632**	**117,280**	**91**	**21,465**	**711**	**137,737**	**985**	**208,454**	**(11%)**	**(15%)**

ALL APPLICATION AND AWARD VALUES ARE 100% PROJECT COSTS

EDINBURGH RESEARCH AND INNOVATION LIMITED
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TABLE 4
COMMERCIALISATION ACTIVITY

	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
Disclosure Interviews							
CHSS	-	2	-	2	3	-	0%
CMVM	2	32	-	36	55	-	(11%)
CS&E	7	63	8	62	92	(13%)	2%
Total - number	9	97	8	100	150	13%	(3%)
Patents filed on Technologies - by College							
CHSS	-	-	-	3	3	-	(100%)
CMVM	2	20	1	35	60	100%	(43%)
CS&E	3	36	2	34	48	50%	6%
Total - number	5	56	3	72	111	67%	(22%)
Patents filed on Technologies - by Type of filing							
Priority Filings	2	19	1	22	40	100%	(14%)
PCT Filings	1	17	-	16	27	-	6%
Other/National Filings	2	20	2	34	44	0%	(41%)
Total - number	5	56	3	72	111	67%	(22%)
Licences signed							
CHSS	-	-	-	2	2	-	(100%)
CMVM	1	16	1	13	22	0%	23%
CS&E	2	27	2	44	51	0%	(39%)
Total - number	3	43	3	59	75	0%	(27%)
Spin-out companies created							
- Number	-	4	-	5	8	-	(20%)
Start-up companies created							
- Number	1	18	-	26	32	-	(31%)

TABLE 5
CONSULTANCY

	Current Year		Previous Year			Variance	
	Month	YTD	Month	YTD	Full Year	Month	YTD
By Business Type - Invoiced value £'000							
Scotland - Commerce	78	468	23	429	473	239%	9%
Scotland - Government	57	534	119	777	858	(52%)	(31%)
Rest of UK - Commerce	130	521	23	464	978	465%	12%
Rest of UK - Government	29	563	30	646	799	(3%)	(13%)
International - Commerce	141	1,362	138	1,276	1,705	2%	7%
International - Government	-	208	(2)	127	169	-	64%
Total - value £'000	435	3,656	331	3,719	4,982	31%	(2%)
By College - Invoiced value £'000							
CHSS	29	512	21	782	816	38%	(35%)
CMVM	203	1,512	167	1,642	2,381	22%	(8%)
CS&E	201	1,570	143	1,245	1,698	41%	26%
Support Services (CSG, ISG etc)	2	62	-	50	87	-	24%
Total - value £'000	435	3,656	331	3,719	4,982	31%	(2%)

	-	-	-	-	-

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TABLE 6
CONSULTANCY INCOME BY SCHOOL

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	YTD	Month	YTD	Full Year	Variance
	Value £	Value £	Value £	Value £	Value £	%
Arts, Culture and Environment	-	8,875	-	-	-	-
Business School	5,250	82,651	852	277,105	283,855	(70%)
Divinity	-	10,475	-	1,775	6,425	490%
Economics	-	-	-	-	-	-
Health in Social Science	-	37,049	985	69,558	80,212	(47%)
History, Classics And Archaeology	-	11,460	-	-	-	-
Law	13,349	20,729	-	51,592	56,959	(60%)
Literatures, Languages and Cultures	-	-	-	1,919	5,366	(100%)
Moray House School of Education	1,175	86,912	8,800	170,045	133,835	(49%)
Philosophy, Psychology and Language Sciences	-	4,737	-	7,357	7,357	(36%)
Social and Political Science	9,306	212,112	9,235	202,873	241,579	5%
College Central	-	36,879	-	-	-	-
TOTAL CHSS	**29,080**	**511,879**	**19,872**	**782,223**	**815,588**	**(35%)**
Biomedical Sciences	69,339	731,517	18,240	419,720	945,383	74%
Clinical Sciences and Community Health	4,458	158,156	94,843	567,638	596,317	(72%)
Molecular and Clinical Medicine	128,295	575,475	52,039	615,179	791,411	(6%)
Royal (Dick) School of Veterinary Studies	1,440	33,275	2,351	29,043	37,849	15%
College Central	-	14,000	-	10,000	10,000	40%
TOTAL CMVM	**203,532**	**1,512,423**	**167,472**	**1,641,580**	**2,380,960**	**(8%)**
Biological Sciences	9,753	164,740	2,386	146,580	190,612	12%
Chemistry	960	86,896	33	57,035	82,615	52%
Engineering	38,100	469,252	39,413	301,075	425,781	56%
Geosciences	26,059	359,549	94,839	318,735	488,278	13%
Informatics	102,379	415,827	1,000	329,689	418,883	26%
Mathematics	-	7,910	-	5,000	7,200	58%
Physics	23,633	66,565	5,000	87,002	84,132	(23%)
College Central	-	-	-	-	-	-
TOTAL CSE	**200,884**	**1,570,740**	**142,672**	**1,245,116**	**1,697,500**	**26%**
Support Services	1,550	62,300	-	50,037	86,612	**25%**
Grand Total	**435,047**	**3,657,342**	**330,016**	**3,718,956**	**4,980,660**	**(2%)**

-	-	-	-	-

TABLE 7
DISCLOSURE INTERVIEWS BY SCHOOL

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	YTD	Month	YTD	Full Year	Variance
	No	No	No	No	No	%
Arts, Culture and Environment	-	1	-	-	-	-
Business School	-	-	-	-	-	-
Divinity	-	-	-	-	-	-
Economics	-	-	-	-	-	-
Health in Social Science	-	-	-	-	-	-
History, Classics And Archaeology	-	-	-	-	-	-
Law	-	-	-	-	-	-
Literatures, Languages and Cultures	-	-	-	-	-	-
Moray House School of Education	-	1	-	1	1	0%
Philosophy, Psychology and Language Sciences	-	-	-	1	2	(100%)
Social and Political Science	-	-	-	-	-	-
College Central	-	-	-	-	-	-
TOTAL CHSS	**-**	**2**	**-**	**2**	**3**	**0%**
	-	-	-	-	-	
Biomedical Sciences	-	1		5	6	(80%)
Clinical Sciences and Community Health	2	11		7	19	57%
Molecular and Clinical Medicine	-	4		3	4	33%
Royal (Dick) School of Veterinary Studies	-	1		1	2	0%
R(D)VS - Roslin Institute	-	15	-	20	24	(25%)
College Central	-	-		-	-	-
TOTAL CMVM	**2**	**32**	**-**	**36**	**55**	**(11%)**
	-	-	-	-	-	
Biological Sciences	3	12	1	12	22	0%
Chemistry	1	10	1	9	9	11%
Engineering	1	14	-	15	24	(7%)
Geosciences	2	6	-	4	4	50%
Informatics	-	12	4	17	27	(29%)
Mathematics	-	-	-	-	-	-
Physics	-	9	2	5	6	80%
College Central	-	-	-	-	-	
TOTAL CSE	**7**	**63**	**8**	**62**	**92**	**2%**
	-	-	-	-	-	
Support Services	-	-	-	-	-	-
Grand Total	**9**	**97**	**8**	**100**	**150**	**(3%)**
	-	-	-	-	-	

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TABLE 8
PATENT FILINGS BY SCHOOL

	CURRENT YEAR								PREVIOUS YEAR												YTD
	Month				YTD				Month				YTD				FULL YEAR				Variance
	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	Priority	PCT	Other	Total	%
Arts, Culture and Environment	-	-	-	-	-	-	-	-	-	-	-	-	1	1	1	3	1	1	1	3	-
Business School	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Divinity	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Economics	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Health in Social Science	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
History, Classics And Archaeology	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Law	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Literatures, Languages and Cultures	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Moray House School of Education	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Philosophy, Psychology and Language Sciences	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Social and Political Science	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL CHSS	-	-	-	-	-	-	-	-	-	-	-	-	1	1	1	3	1	1	1	3	-
Biomedical Sciences	-	-	1	-	-	2	-	2	-	-	-	-	1	-	1	2	2	-	1	3	0%
Clinical Sciences and Community Health	-	1	1	2	2	2	3	7	1	-	-	1	9	6	7	22	13	10	9	32	(68%)
Molecular and Clinical Medicine	-	-	-	-	3	4	3	10	-	-	-	-	1	2	5	8	5	3	6	14	25%
Royal (Dick) School of Veterinary Studies	-	-	-	-	-	-	-	-	-	-	-	-	1	1	-	2	1	2	2	5	-
R(D)VS - Roslin Institute	-	-	-	-	-	1	-	1	-	-	-	-	1	-	-	1	3	2	1	6	0%
TOTAL CMVM	-	1	1	2	5	9	6	20	1	-	-	1	13	9	13	35	24	17	19	60	(43%)
Biological Sciences	-	-	-	-	2	-	1	3	-	-	-	-	1	-	8	9	2	1	9	12	(67%)
Chemistry	1	-	-	1	1	2	2	5	-	-	2	2	1	1	2	4	2	2	3	7	25%
Engineering	-	-	1	1	6	4	6	16	-	-	-	-	6	2	4	12	7	2	5	14	33%
Geosciences	-	-	-	-	1	2	3	6	-	-	-	-	-	-	3	3	1	-	3	4	100%
Informatics	1	-	-	1	3	-	1	4	-	-	-	-	-	3	3	6	3	4	3	10	(33%)
Mathematics	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Physics	-	-	-	-	1	-	1	2	-	-	-	-	-	-	-	-	-	-	1	1	#DIV/0!
TOTAL CSE	2	-	1	3	14	8	14	36	-	-	2	2	8	6	20	34	15	9	24	48	6%
Support Services	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Grand Total	2	1	2	5	19	17	20	56	1	-	2	3	22	16	34	72	40	27	44	111	(22%)

EDINBURGH RESEARCH AND INNOVATION LIMITED
RESEARCH AND COMMERCIALISATION REPORT
FOR THE 9 MONTHS TO 30 APRIL 2011

TABLE 9
LICENCES SIGNED BY SCHOOL

	CURRENT YEAR		PREVIOUS YEAR			YTD
	Month	YTD	Month	YTD	Full Year	Variance
	No	No	No	No	No	%
Arts, Culture and Environment	-	-	-	1	1	(100%)
Business School	-	-	-	-	-	-
Divinity	-	-	-	-	-	-
Economics	-	-	-	-	-	-
Health in Social Science	-	-	-	-	-	-
History, Classics And Archaeology	-	-	-	-	-	-
Law	-	-	-	-	-	-
Literatures, Languages and Cultures	-	-	-	1	1	(100%)
Moray House School of Education	-	-	-	-	-	-
Philosophy, Psychology and Language Sciences	-	-	-	-	-	-
Social and Political Science	-	-	-	-	-	-
TOTAL CHSS	**-**	**-**	**-**	**2**	**2**	**(100%)**
	-	-	-	-	-	
Biomedical Sciences	1	3	-	1	2	200%
Clinical Sciences and Community Health	-	3	-	-	3	-
Molecular and Clinical Medicine	-	5	1	7	11	(29%)
Royal (Dick) School of Veterinary Studies	-	1	-	1	1	0%
R(D)VS - Roslin Institute	-	4	-	4	5	0%
TOTAL CMVM	**1**	**16**	**1**	**13**	**22**	**23%**
	-	-	-	-	-	
Biological Sciences	1	8	2	13	13	(38%)
Chemistry	1	4	-	2	5	100%
Engineering	-	3	-	3	6	0%
Geosciences	-	1	-	1	1	0%
Informatics	-	3	-	7	7	(57%)
Mathematics	-	-	-	1	1	(100%)
Physics	-	8	-	17	18	(53%)
TOTAL CSE	**2**	**27**	**2**	**44**	**51**	**(39%)**
	-	-	-	-	-	
Support Services	-		-			-
Grand Total	**3**	**43**	**3**	**59**	**75**	**(27%)**
	-	-	-	-	-	

The University of Edinburgh

University Court

20 June 2011

Merger with Edinburgh College of Art

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper updates Court regarding the merger with Edinburgh College of Art, and seeks its approval for arrangements for monitoring and reviewing progress in implementing the merger during session 2011-12.

Action requested

Court is invited to:

- approve the arrangements for monitoring and reviewing progress in implementing the merger during session 2011-12; and
- note progress in implementing the merger.

Resource implications

Does the paper have resource implications? Yes

The papers submitted to the 27 September 2010 meeting of Court set out the main financial and estates implications of the proposed merger.

Risk assessment

Does the paper include a risk assessment? No

The merger proposal document submitted to the 27 September 2010 meeting of Court included an assessment of the risks to successful implementation of merger. The Merger Implementation Strategy Working Group submitted an updated assessment of these risks to the University's Risk Management Committee's meeting on 19 May 2011.

Equality and diversity

Does the paper have equality and diversity implications? Yes

The University is committed to equality and diversity for its staff and students, as is ECA. In the event of merger, all ECA staff and students will be covered by the University's E&D strategy and frameworks. In September 2010, the University and ECA commissioned an external consultant to conduct an overarching equality review of the merger proposals. The University subsequently commissioned an external consultant to assist heads of support services to conduct Equality Impact Assessments regarding their detailed implementation plans for merger.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Tom Ward, Project Manager, ECA merger

To be presented by

Nigel Paul, Director of Corporate Services

University of Edinburgh Court

Merger with Edinburgh College of Art

This paper updates Court regarding the merger with Edinburgh College of Art, and seeks its approval for arrangements for monitoring and reviewing progress in implementing the merger during session 2011-12.

1   Appointment of Principal for new Edinburgh College of Art

Professor Ian Howard, Principal of Edinburgh College of Art, will retire on 31 July 2011. Following final approval of the merger, the institutions instigated a recruitment process for the Principal of the new Edinburgh College of Art. Interviews were held on 23 May 2011. Vice-Principal Professor Dorothy Miell will be able to provide a verbal update on progress in this appointment process.

2   Implementation of merger

The main developments in the implementation of the merger since Court's meeting in May 2011 are set below.

2.1   Integration into University academic structures

At its meeting on 19 May 2011, the joint Academic Integration Working Group endorsed proposals for closer alignment between the academic year structure for Art and Design and the normal University of Edinburgh academic year structure. The Group has now agreed the way forward on all significant aspects of the integration of ECA programmes and students into University academic structures, policies, regulations and quality assurance frameworks.

2.2   Communication with applicants and continuing students

The institutions are implementing plans for communication with applicants to ECA programmes, and continuing ECA students, regarding the merger. Planning is also underway regarding communication with applicants to the School of Arts, Culture and Environment (ACE) and Edinburgh School of Architecture and Landscape Architecture (ESALA) programmes, and with continuing ACE and ESALA students. Communications with continuing ECA students is focussing on explaining practical differences (for example, in student funding arrangements) resulting from merger, and managing the change from ECA to University IT and email systems. The University is in the process of developing a website (www.ed.ac.uk/news/merger-discussions/introduction) with information about the merger for applicants, continuing students and staff.

2.3   Merger implementation plans

The University and HSS support services, in partnership with their ECA counterparts, are continuing to implement their merger plans. The heads of the support groups are

reporting that their plans are broadly on track. Key operational processes e.g. Finance, HR, Estates, Procurement, etc will operate on University systems, and be subject to the University internal control environment from 1 August 2011 and the ability to process transactions though old ECA processes will be curtailed. There will be some challenging issues over the coming months as staff adjust to the new environment; this is inevitable for a project of this complexity. The Operations Working Group is monitoring progress and maintaining an overview, and will address issues as they emerge.

A potential issue has recently emerged regarding the plan to enable transferring ECA staff to remain members of their existing pension schemes following merger. Corporate Finance are addressing whether ECA support staff on grades UE06 and above can remain members of the Lothian Pension Scheme following merger.

2.4   Workforce planning

Between February and April 2011, the heads of University / HSS support services worked with ECA counterparts to develop workforce plans. These workforce plans establish the number of additional staff (stating relevant grades and skillsets) that will be taken into University/HSS support services from ECA in order to deliver appropriate services to the new ECA. In the first half of May 2011, the Operations Working Group agreed provisional matchings of ECA staff to these roles. During the second half of May and early June 2011, heads of University / HSS support services have held meetings with ECA staff due to transfer to discuss their roles. Almost all staff expected to transfer into University / HSS roles have now had meetings, and in the majority of cases there is clarity regarding the future roles, though in some cases further discussion is required regarding the details of roles. A small number of ECA staff have been assigned to 'transitional' roles in University support services. 'Transitional roles' have been designated where the merger workforce planning has not identified a requirement for additional posts in particular areas, but the merger will nonetheless result in the transfer ECA staff into the relevant areas under Transfer of Undertakings (Protection of Employment) Regulations (TUPE). Where a 'transitional role' exists, the relevant support area has a responsibility to provide a transitional role that as far as possible meets organisational needs while taking advantage of the individual's skills, and working with the individual to facilitate their move to a permanent longer-term role.

The Operations Working Group has responsibility for designing an appropriate administrative and technical support structure for the new ECA. In March / April 2011 it consulted staff and students in ECA and ACE on proposals for the in-new-ECA administrative and technical support structure. Taking account of this consultation, the Operations Working Group agreed the overall shape of the support structure that would apply from 1 August 2011. It appointed an experienced School Administrator from elsewhere in HSS as the Head of Administration of the new ECA, and has matched a member of staff from the current School of ACE into the Deputy Head of Administration post. The Head and Deputy Head are now working on plans for detailed support structures and individual staff roles within those structures. They will then be in a position to assign individual ACE and ECA support staff into roles within the new structure.

Academic staff who are employed by ECA and ACE at the merger date will transfer to the new ECA and will continue in academic roles equivalent to those that applied prior to merger, within the academic groupings (i.e. Art, Design, Architecture and Landscape Architecture, History of Art and Music) that applied prior to merger. The programmes of study and research activities that existed prior to merger will continue to operate in 2011-12, though in the medium to longer-term the merger will create opportunities for exciting academic developments. As such, there is no need to undertake workforce planning for academic staff, in the same way as has been necessary in populating the support structures. However, the academic governance and management structures of the new ECA will have some implications for the specific mix of roles undertaken by academic leaders and managers within the new ECA. In a small number of cases, the post-merger structures will lead to significant changes in the roles of individual academic staff. Where this proves necessary, changes will be made and informed by discussion with individual staff and will be consistent with the University's obligations under TUPE.

University and ECA HR have continued to hold regular joint meetings with the institutions' recognised trade unions to share information regarding the merger process and to undertake formal consultation where appropriate.

3. Discussions with Student Associations

There are ongoing discussions between the institutions, the ECA Students' Union, and Edinburgh University Students' Union regarding arrangements for delivering union advice and guidance to students on the Lauriston Place campus, and supporting the ECA sabbatical officer, during 2011-12.

ECA students have consistently over the past year made representation as to the value they place on Wee Red Bar and Wee Red Lounge facilities at Lauriston Place. The University has received these representations positively and has expressed a desire to ensure the Wee Red Bar and Wee Red Lounge continue to operate when the merger takes place. The institutions and two student associations are engaged in discussions regarding the most appropriate way to manage these facilities following merger. In the longer-term, it would be appropriate to review the position regarding these facilities in the light of students' behaviours and the estates strategic assessment and development plans.

4. Estates matters

Following the result of the discussions with the SFC regarding estates-related funding, Estates & Buildings department is assessing the immediate Lauriston Place estates requirements. It recommends prioritising a programme initially focussed on essential relocations, business continuity and essential maintenance and compliance work. The University's Estates Committee discussed this matter at its meeting in May 2011, and agreed this way forward. Estates and Buildings are expecting to revisit the strategic estates priorities for the new ECA with HSS and the new Principal of the new ECA when the latter takes up his / her appointment.

5. Alumni relations

The University's Development and Alumni Office and Vice-Principal Professor Fergusson are in ongoing discussions regarding how best to incorporate ECA Alumni into the wider community while maintaining their distinct identity. As a first step, Development and Alumni plan to write to all ECA alumni in the coming weeks, inviting them to a range of different art-related activities that the University and ECA will be holding over the course of the summer. Soon after the merger date (1 August 2011), the University would write to all ECA alumni welcoming them to the broader University alumni community. The University's Edit alumni magazine's autumn 2011 edition would have a merger focus.

6. Resolutions for merger

In order to give effect to the merger and the associated provisions in the Scottish Statutory Instrument for merger, prior to the date of merger the University Court will have to approve resolutions to:

1) Create Edinburgh College of Art as an academic entity within the University, establish the post of Principal of ECA within the University, and provide various commitments regarding the maintenance of ECA's identity, ethos, teaching practices and studio-based culture, and the arrangements for its endowments and heritage assets;
2) Create Chairs for all Professors of Edinburgh College of Art who will be transferring to the University on 1 August 2011;
3) Enable Senate to award degrees for all programmes within Edinburgh College of Art; and
4) Revoke resolutions that will be redundant as a result of merger.

At its last meeting, Court agreed to consult with Senate, the General Council and other interested parties on draft resolutions 6/2011 to 10/2011. Following consultation with these parties, the resolutions have now been presented to Court in their final form for approval.

7. Arrangements for monitoring and reviewing progress in implementing the merger after 1 August 2011

It is important that the University ensures that the merger is successful in terms of the objectives set out in the Merger Proposal document. In the short-term, it will be particularly important to ensure that the practical aspects of the merger are implemented as smoothly as possible and with the minimum disruption to academic activities and the student experience.

Until 31 July 2011, the joint merger groups (Merger Implementation Strategy Group, Operations Working Group, Academic Integration Working Group, and Student Liaison Group) will continue to have responsibility for overseeing the implementation of the merger, in tandem with the Vice-Principal Professor David Fergusson. These arrangements will cease on 1 August 2011. It will be important to set in place adequate systems for monitoring progress against the objectives of the merger, particularly for the sake of addressing the concerns of the Scottish Funding Council and other stakeholders. Accordingly, **Court is invited to approve** the following

arrangements for monitoring and reviewing progress in implementing the merger from 1 August 2011 onwards:

- The Principal of the new ECA, once appointed, will have responsibility for the success of the new ECA and the delivery of its academic vision, with support and oversight from the College of Humanities and Social Science.

- The Operations and Academic Working Groups will be reconstituted as the Post Merger Working Group under the convenorship of Nigel Paul (Director of Corporate Services) to continue to monitor the progress of academic and operational integration and manage any emerging issues over the first year. The core membership of the Group would consist of Nigel Paul, the Principal of the new ECA, Vice-Principal Prof Dorothy Miell (Head of CHSS), Vice-Principal Jeff Haywood (Director of Information Services Group), Dr Kim Waldron (University Secretary), Frank Gribben (CHSS Registrar), and Francine Shields (Head of Administration of ECA). The core membership would be supplemented by other relevant individuals as appropriate. Within this group Vice-Principal Prof Dorothy Miell (Head of CHSS), and the Principal of the new ECA will oversee integration and development of the new College, and Nigel Paul will oversee operational integration.

- Court would establish a working group to undertake a formal review on progress at the end of the first year following the merger date. This working Group would be convened by Senior Vice-Principal Nigel Brown, and would be composed of Court lay members, relevant University staff, and at least one student representative.

If Court is content with these arrangements, more detailed proposals for the remit and membership of the group that would undertake the one-year review would be presented to a future Court meeting for approval. The monitoring arrangements would be reviewed at the end of session 2011-12.

The Scottish Funding Council (SFC) has indicated that, as a condition of its merger funding, it will undertake its own monitoring activities. It has asked that the University produce a "detailed plan for maintaining and developing the distinctive identity of the new ECA, which takes forward the intentions… identified in the merger proposal document". SFC plans to visit the University in November 2011 to discuss early progress in the merger, and will report to the Cabinet Secretary on the outcome of that visit. It has asked that the detailed plan be available in advance of that visit, and has signalled that the plan will be shared with the Cabinet Secretary.

Tom Ward
14 June 2011

The University of Edinburgh

The University Court

20 June 2011

Edinburgh College of Art – Report and Financial Statements

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper provides Court with information on the proposed processes for the preparation and sign off of the ECA 2010/11 Accounts and the Accounts of the Andrew Grant Scholarship Fund. The proposed process has been considered and endorsed by the Audit Committee and the Finance and General Purposes Committee.

Action requested

Court is invited to approve the proposed process.

Risk assessment

Does the paper include a risk assessment? Yes

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No – to remain closed until year end accounts published

Originator of the paper

Nigel Paul
Director of Corporate Services

To be presented by

Nigel Paul
Director of Corporate Services

The University of Edinburgh

The University Court

20 June 2011

Edinburgh College of Art Merger – Andrew Grant Scholarship Fund

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper, describes the proposed arrangements for Court exercising the trusteeship of the Andrew Grant Bequest, the Edinburgh College of Art Prize Fund, and other endowments transferring from ECA. This paper has been considered and endorsed by the Finance and General Purposes Committee and will be presented to the forthcoming meeting of the governing body of ECA.

Action requested

Court is asked to approve the proposed approach.

Risk assessment

Does the paper include a risk assessment? The paper proposes the arrangement to avoid the risk of Court not appropriately exercising their trusteeship of the Andrew Grant Bequest, which it takes over as a result of the Edinburgh College of Art (Transfer) Scotland Order 2011.

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? No – to remain closed until the formal delegations of authority are approved – planned for the September 2011 Court meeting.

Originator of the paper

Nigel Paul
Director of Corporate Services

To be presented by

Nigel Paul
Director of Corporate Services

The University of Edinburgh

The University Court

20 June 2011

Review of Effectiveness – Court Committees

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The attached paper updates Court on a number of outstanding matters in respect of the recommendations contained within the Report from the Group tasked by Court to review its effectiveness, specifically in respect of Court Committee reviews and a mentoring scheme.

Action requested

Court is asked to consider the Reports from Court Committees on the outcome of the reviews of their effectiveness, approve the minor alteration to the terms of reference of the Committee on University Benefactors and comment on the proposed approach to the introduction of a mentoring scheme.

Resource implications

None directly.

Risk assessment

There are potential reputation and compliance risks if Court Committees were not operating effectively.

Equality and diversity

None directly.

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Dr Katherine Novosel
June 2011

Review of Effectiveness – Court Committees

Court at its meeting on 21 February 2011 considered a paper which set out the outcome of effectiveness reviews undertaken by a number of Court Committees. It was noted at that time that the following Committees were still to report back to Court:

Committee on University Benefactors (appendix 1)
Remuneration Committee (appendix 2)
Staff Committee (appendix 3)
Investment Committee
Knowledge Strategy Committee

Please find attached the outcome of reviews undertaken by the first three Committees: the Investment Committee and Knowledge Strategy Committee will not be undertaking reviews until early next academic session.

Review of Effectiveness – Introduction of a Mentoring Scheme

The Review Group recommend and Court had agreed that in addition to a more robust induction process, a mentoring scheme should be introduced which would allow an informal link between new members of Court and more experienced Court members. The University currently operates mentoring schemes particularly for new researcher and for those in leadership roles. Based on the current schemes, Court is invited to consider the following proposed approach to a Court members' mentoring scheme.

Although it is intended that the scheme will be informal Court may consider it appropriate to have documentation available to those wishing to join the scheme to assist both the mentor and mentee and to form a framework to manage the mentoring process. The short attached document has been drafted for consideration (appendix 4).

On election/appointment, new members will be asked if they would like to participate in the Court members' mentoring scheme. The scheme will be open to all new members of Court regardless of the manner of election/appointment. It is recognised however that this approach may not be suitable for all Court members and that there may be other support mechanisms currently in place which are more appropriate and which are operating effectively. There will be no requirement for new members to participate and there will be flexibility on when new Court members join the scheme; although it is anticipated that Court members would wish to join during their first year on Court.

Given the current workload and commitments of Court members, it would be the intention to invite current and recent Court members to indicate if they were willing to act as mentors and thus to establish a pool of experienced individuals. Given that the business of Court rapidly changes it is not the intention to approach individuals who have been away from Court for more than two years. Although it is anticipated that all mentors will either be current or previous members of Court, should the need arise and it appeared the most appropriate approach, there would be nothing to prevent a current or previous senior officer of the University being contacted to ascertain if they were will willing to act as mentor; this is likely only to be appropriate in a limited number of instances.

The duration of the mentoring partnership would very much depend on the mentee and the mentor. It is anticipated that on average a partnership would last about 18 months with clear start and end dates agreed by both parties.

Court may consider it appropriate to have some record on the outcome of the scheme encompassing the views of the mentee and the mentor: this could perhaps be best undertaken as part of the current appraisal approach. Court may also wish to be informed on the number of Court members involved in the scheme and provided with anonymous feedback information. This could be included in any future review of the scheme.

The current proposal only covers the introduction of a mentoring scheme for members of Court. As Court will be aware there are a number of Court Committees with externally appointed members (members who are neither members of Court nor the University) and there may be merit in considering extending the scheme to include these external Committee members. This would require inviting current and previous members of these Committees to act as mentors.

Review of Effectiveness – Committee on University Benefactors 2010/2011

This report summaries the outcome of discussion at the Committee on University Benefactors held on 3 May 2011 on its effectiveness around the following themes:

Membership of Committee

The current composition of the Committee was considered appropriate with the main stakeholders on Court represented.

Terms of Reference

The current approved terms of reference well reflected the activities of the Committee and the principle of recognising those who supported the University by means of bestowing the distinction of University Benefactor remained appropriate; those who had received the distinction had been pleased to be so honoured by the University. The Committee however asked that a slight alteration be made to 2.2 as follows:

2.2 The Principal, the Vice-Principal with responsibility for development and the University Secretary shall be ex officio members of the Committee.

Frequency of meetings

One meeting each academic session was considered the correct frequency for this Committee; there had been limited occasions when it had been required to conduct business by correspondence and this had been in addition to the scheduled meeting.

Agendas, minutes, papers

The information provided was sufficient to allow the Committee to undertake its remit; additional information was often provided verbally to augment that in the papers.

Other comments

The Committee was of the view that it was operating satisfactorily.

May 2011

Remuneration Committee Effectiveness Review

At its meeting on 11th February 2011, Court Remuneration Committee considered issues in relation to its effectiveness and concluded that meetings were chaired effectively; that the membership was appropriate; that the frequency of meetings worked well and the supporting documentation was of a high standard and facilitated good and robust debate. The only question that was raised was the need to ensure that there was good attendance by members as this ensured consistency and good governance.

Sheila Gupta
1 June 2011

Review of Effectiveness – Staff Committee

This is a summary of the key issues discussed and agreed at the meeting of Staff Committee held on 10 March 2011.

- **Membership of the Committee:** there was consensus that the seniority of the staff on the Committee was appropriate to deal with the strategic level issues relating to people management and that while there was agreement that there could be benefit from representation of staff at other levels, there was reluctance to see the membership increase. Professor McMahon recorded that it would be important to ensure a formal link with the Senate Research Experience Committee and this will be taken forward with the Chair.

- **Chairing of Meetings:** there was a consensus of opinion that the meetings are chaired very effectively.

- **Fulfilling its remit:** Members agreed that the current remit as set out in its approved terms of reference, works well, in that, its wide representation of senior staff from across all areas of the University provides valuable advice to CMG and Court in providing strategic oversight of HR policy and practice.

- **Frequency of Meetings:** the Committee agreed that the three scheduled meetings a year worked well and allowed for sub-groups to be set up to deal with important matters if this as considered to be useful. The work of such groups would feed back to the full Committee in due course.

- **Agendas, minutes, papers:** it was agreed that papers presented to the Committee were helpful in terms of providing useful contextual information and addressing the right strategic issues. It was recommended that papers be distributed earlier to give members time to read and digest them.

- **Other comments/suggestions for the future:** members of the Committee agreed that it was important to link up with the business of other University committees; consider the challenges facing Edinburgh over the next 3 to 4 years in relation to our people management strategies; maintain good investment in staff training and development; and maintain a watchful eye on the "big picture" to ensure that the University is addressing the people issues that best meet its strategic priorities.

Sheila Gupta
Director of Human Resources
23 May 2011

Court Mentoring Scheme

Introduction

This information is intended to assist Court members or previous members who are participating in the Court Mentoring Scheme or who are considering joining the scheme either as a mentee or a mentor.

The Court scheme is entirely voluntary and informal and is intended to be beneficial to both mentee and mentor.

Definition

The term 'mentee' in this context is used to describe the new member of Court who has indicated that they would find it helpful to have support from a current or recent Court member and 'mentor' to describe the individual providing that support.

There are a number of different definitions to describe mentoring and within this scheme it can best be describe as a partnership with the following aims:

Mentee's prospective:

- To provide a source of information, insight and guidance on the operation of Court (and its Committees)
- To provide a 'critical friend', offering encouragement and support
- To provide an opportunity to discuss in detail Court (and Committee) papers

Mentor's prospective:

- To be a challenging and stimulating experience
- To provide an opportunity to learn along with the mentee
- To further support the governance of the University

Forming the partnership

The Court secretariat will maintain a list of those current or pervious members of Court who have indicated that they are willing to be mentors. Court members will be approached after serving one year on Court and on demitting Court membership to ascertain if they would wish to be included on the list of mentors. It is not the intention to annually ascertain if members wish to remain or be added to the list: Court members would however be able at any time to notify the Court secretariat of their wishes in relation to being a mentor.

New Court members would be allocated a mentor from the list and this allocation would be recorded. Each mentor would only be allocated one mentee and the Court secretariat would require to be notified when the mentoring partnership ceased and in order to ensure records were accurate both mentee and mentor will be contacted six months after the commencement of the partnership.

Framework

In order for the partnership to be productive it may be helpful at the start of the partnership to identify an appropriate framework:

Agree a schedule of meetings

The frequency, format, duration and location of meetings will depend on availability and will be informed by the topics and objectives which it is hoped will be covered at the meetings. Arranging meetings before Court may, for instance, offer the opportunity to discuss papers and for the mentee to gain more understanding on the background as to why particular papers are being considered at Court. This does not prevent any Court member from asking for further information on a particular paper or matter from the appropriate senior officer of the University or approaching the Court secretariat.

Agree topics for discussion and specific objectives

It may be helpful at the start of the partnership for both mentee and mentor to identify expectations and agree objectives and to agree on how these are to be achieved. It will be for the mentee and mentor to establish the level of documentation that they would find appropriate. It should be noted that most mentoring partnerships are governed by the needs of the mentee in respect of topics and objectives. Discussions within the mentoring partnership should always be understood to be totally confidential to the mentee and mentor.

Endings

It is hoped that mentees will be paired with appropriate mentors, however should the partnership prove non-productive either party should not feel constrained in seeking to end the arrangement. The length of the partnership is likely to vary for a number of reasons, for instance a mentee may only wish to have support from a mentor in relation to their attendance at their initial meetings of Court or until such time as all their aims are fully achieved. It is important to discuss and agree the end of the mentoring arrangement.

Feedback

At the end of each mentoring partnership, the mentee and mentor will be asked to provide feedback on the mentoring scheme. It is considered that this should take place as part of the current appraisal approach rather than as a separate process.

The University of Edinburgh

The University Court

20 June 2011

Update of University Risk Register

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

This paper presents the 2010/11 update of the University Risk Register (Appendix 1), having been approved by CMG at its meeting on 25 May, subject to the inclusion of an additional risk on University governance, and a couple of further minor amendments, and endorsed by the Audit Committee of 2 June and F&GPC meeting of 6 June.

The major changes to the risks in the register are:
- Additional risk 2 (changes to cross-border flows of students within the UK), risk 3 (required changes to University governance processes), risk 4 (required changes to degree structures) and risk 9 (REF assessment);
- Major wording changes to risk 1 (insufficient funding), risk 5 (staff and/or student dissatisfaction), risk 6 (financial sustainability), risk 7 (growth in student recruitment falls), and risk 13 (IT infrastructure);
- An update of current projects in risk 12.

No changes have been made to the assessment of risk impacts or likelihoods for risks appearing in last year's register, except for risk 6.

Action requested

Court is invited to comment on, and approve the University Risk Register.
Also, to re-approve the University Risk Policy Statement (the second page of Appendix 1).

Resource implications

Does the paper have resource implications? No.

Risk Assessment

Does the paper include a risk analysis?
The Risk Register is one of the key elements of the risk management process within the University.

Equality and Diversity

Does the paper have equality and diversity implications? No.

Freedom of Information

Can the paper be included in open business? No, its disclosure would substantially prejudice the effective conduct of public affairs. It will be closed until approved by Court.

Originator of the paper

Nigel A.L. Paul, Convener of the Risk Management Committee
Helen Stocks, Secretary to the Risk Management Committee
9th June 2011

The University of Edinburgh

The University Court

20 June 2011

Report from Estates Committee held on 11 May 2011

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper reports on key discussions and recommendations made at the meeting of EC, held on11 May 2011.

The issues in this report relate to the Strategic Plan enabler '*Quality Infrastructure'* in terms of achievement of core strategic goals contained in the University's Strategic plan 2008-2012.

In pursuing **quality infrastructure** we need to provide an estate which is capable of supporting world class academic activity in order to meet our business needs. The strategy for achieving this is set out in the Estate Strategy 2010-2020 and our target is to implement this over the period of the plan.

Court is reminded to note that copies of the EC papers and the minutes of the meeting are available to Court members on request from Angela Lewthwaite (Tel: 651 4384, email: angela.lewthwaite@ed.ac.uk) or online via the EC web-site at http://www.ec.estates.ed.ac.uk/index.cfm

Action requested

Court is invited to note the report and endorse the recommendations contained in items 1, 3, 4, 5, 6, 7, 8, 10, 11, 12, 13, 14, 17,and 18.

Court should note that CMG noted and endorsed the EC report at its meeting on 25 May 2011
Court should note that FGPC noted and endorsed the EC report at its meeting on 6 June 2011

Resource implications

Does the paper have resource implications? Yes, detailed throughout the paper.

Risk Assessment

Does the paper include a risk analysis? No. It should be noted that EC papers contain, where applicable, separate risk assessments.

General:
Legislation Non-Compliance/Business Continuity – mitigated by regular assessment and update of priorities, risk register and implementation of annual major replacements/compliance programme

Capital Commitments – mitigated by tracking via the Capital Projections Plan and regular updating in consultation with Finance and reporting to EC, CMG and FGPC, through to Court.

Project Management – mitigated by on going monitoring of Design Team, Contractor, Risk Register and meetings of Project Committees who in turn report significant programme/cost issues to EC etc.

Does the paper have equality and diversity implications? No

None of the proposals in this paper raise issues beyond those that are routinely handled in all Estates Developments. It should be noted that EC papers contain, where applicable, separate E&D assessments.

Any other relevant information

Freedom of information

Can this paper be included in open business?   The paper is **closed**.
Its disclosure would substantially prejudice the commercial interests of any person or organisation

All EC papers contain FOI information including reasons for closing papers.

Originator of the paper

Paul Cruickshank - Estates Programme Administrator
Angela Lewthwaite - Secretary to EC
2 June 2011

The University of Edinburgh

University Court

20 June 2011

Audit Committee Report

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

Attached is the draft Minute of the Audit Committee meeting held on 2 June 2011. The papers on items of particular significant and requiring consideration by Court are attached as appendices.

Action requested

The Court is invited to:

- note the content of the draft Minute;
- note the requirement to prepare Accounts in accordance with US GAAP at item 5 of the draft Minute, approve the anticipated fees to undertake an external audit of US GAAP Accounts and note and endorse the proposed approach to sign off the US GAAP Accounts;
- approve the Internal Audit Plans 2011/2012 on the recommendation of the Audit Committee as set out at 7 and attached as Appendix 1; and
- approve the External Audit fees for the 2010/2011 audit in respect of the University and its subsidiary companies as set out at 11 and attached as Appendix 2.

Resource implications

The resource implications are detailed in the paper.

Risk assessment

The Internal Audit Plans attached were prepared using a risk based approach.

Equality and diversity issues

There are none.

Freedom of Information

Can the paper be included in open business? Yes except for item 3 of the draft Minute

Originator of the paper

Dr Katherine Novosel
June 2011

Minute of the Meeting of the Audit Committee
held at 5.30 pm on 2 June 2011
in the Lord Provost Elder Room, Old College

Present: Ms G Stewart (Convener)
                      Mr P Budd
                      Ms A Richards
                      Mr M Sinclair
                      Professor A Smyth
                      Mr A Trotter

In attendance: Mr J Gorringe, Director of Finance
                      Mr N Paul, Director of Corporate Services
                      Dr K Waldron, University Secretary
                      Ms L Welch, Assistant Director of Finance
                      Mr H McKay, Chief Internal Auditor
                      Mr M Rowley, KPMG, External Auditor Director
                      Mr S Reid, KPMG, External Director (UoE and ECA) (not present for all
                      of item 3)
                      Ms K Crichton, Internal Audit
                      Ms S Macpherson, Convenor, ECA Audit and Risk Committee (for items
                      3.1, 3.2 and 3.3 only)
                      Ms K Sinclair, Acting Director of Finance, ECA (for items 3.1, 3.2 and
                      3.3 only)
                      Mr P McGinty, Deloitte, ECA Internal Audit (for items 3.1, 3.2 and 3.3
                      only)
                      Dr K Novosel, Head of Court Services

1   MINUTE OF THE MEETING HELD ON 24 MARCH 2011

The Minute of the meeting held on 24 March 2011 was approved as a correct record.

It was noted that this would be the last meeting to be attended by Ms Gill Stewart and
Professor Ann Smyth. The Committee warmly thanked Ms Stewart and Professor Smyth
for their services and commitment to the work of the Audit Committee.

2   MATTERS ARISING

2.1   KPMG client feedback review

The Committee was satisfied with the outcome of the Client Service Review which had
been requested by the Committee as part of the process to review the performance of the
External Audit Service. It was confirmed that the action points were being taken forward
and the Committee in particular welcomed the work to strengthen KPMG's understanding
of the University's IT strategy.

2.2   Arrangements for Non-standard severance

It was noted that following the last meeting of the Audit Committee there had been further
discussion on the appropriate way forward to update the Delegated Authorisation
Schedule to cover circumstances relating to payments involving financial settlements

imposed by Courts, Employment Tribunals or other legal authorities. Proposals would be considered by the next meeting of the Remuneration Committee and once approved would be presented to this Committee to provide assurances on the effective management of these types of cases.

2.3   Payroll Instructions Internal Audit Report

The Committee welcomed the additional information and was content with assurances that no appointment could progress without the approval of least two different individuals.

2.4   Ethical Fundraising

The intention to establish a Fundraising Advisory Group was endorsed by the Committee. This Group was one of the actions being taken forward in response to the Bribery Act; the Risk Management Committee and the Audit Committee would form part of the reporting framework to provide appropriate assurances to Court. It was further noted that it had been confirmed that the Act would now come into force on 1 July 2011.

2.5   Committee Membership

The Committee noted that Court at its meeting on 16 May 2011 had appointed Mr Alan Johnston and Mrs Elaine Noad to the Audit Committee with effect from 1 September 2011 until 31 August 2014.

FOR DISCUSSION

3   EDINBURGH COLLEGE OF ART

4   EXTERNAL AUDIT - PERFORMANCE REVIEW

It was noted that the report followed the format of previous performance reviews and was in accordance with the methodology agreed by the Audit Committee. In respect of the comment at paragraph 3, the Committee noted that this had arisen due to the nominated audit manager's involvement with ECA and therefore a conflict of interest; this issue would no longer apply on merger. The Audit Committee fully supported the opinions on the performance of External Audit as set out in the paper and confirmed its satisfaction with External Audit.

5   US GAAP ACCOUNTS

The Committee noted that its remit included the requirement to review any changes in accounting policy and to advise Court on these matters. It was noted that the University was required to submit to the United States Department of Education audited financial statements prepared in accordance with US generally accepted accounting principles (GAAP) as a result of the level of funding from the United States Department of Education.

The proposed process to take forward the preparation of the US GAAP Accounts was approved by the Committee. It was noted that KPMG would undertake the external audit and the Committee approved the anticipated fees of between £30K and £50k. It was further noted that the timescale to submit the Accounts was very demanding and that although it was the intention to present draft US GAAP Accounts according to the same timetable as the UK GAAP Accounts it may not be possible to finalise the US GAAP Accounts by the 12 December 2011 Court meeting. The Committee agreed to establish a Sub-Group of the Audit Committee to take this forward, if necessary, to allow submission

of the US GAAP Accounts by 31 January 2012. An extension to the current submission date was being sought; this matter would be kept under review.

The very demanding additional activities being taken forward by the Finance Department were noted and the Committee was reassured on the adequacy of the resources being made available in respect of the US GAAP Accounts and ECA; this matter would be kept under review.

6   UNIVERSITY'S RISK REGISTER

Information on the risk management processes and framework across the University and the various Risk Registers held at College/Support Group and School/Department level was provided for the benefit of the new member of the Audit Committee. The Risk Management Committee had undertaken a more extensive review of the University's Risk Register than in the previous years and the Audit Committee endorsed the inclusion of the new risks and amendments to previous risks. In particular the Committee welcomed the inclusion of risk 3 on governance processes, risk 4 on degree structures and risk 9 on the Research Excellence Framework (REF).   The Committee asked for further consideration to be given to wider reputational risks than presently covered by the Risk Register. Subject to the above comment, the Committee endorsed the revised University Risk Register and the Risk Policy Statement and recommended approval of both documents to the Court.

INTERNAL AUDIT

7   INTERNAL AUDIT PLANS 2011-12   **Appendix 1**

The Committee noted the process undertaken to develop the risk based Internal Audit Plan and that following approval of the revised University Risk Register a further check would be initiated to ensure that the Plan covered all the required areas. The audit planning methodology had identified five significant emerging issues which had informed the proposed audit assignments for 2011/2012. The Committee considered and welcomed the list of proposed assignments and the reserve list as set out in the paper which had all been discussed and endorsed by the Principal. It was suggested that consideration be given to expanding the assignment on data protection risks to cover third parties and that at an appropriate time, work could perhaps be undertaken on corporate hospitality and the resources required to service Court.

The Audit Committee approved the Internal Audit Plan 2011/2012 and recommended approval to Court.

8   INTERNAL AUDIT REPORTS

The Audit Committee considered the 5 internal audit assignments completed since its last meeting.

Credit Card Processing
The Committee noted the large number of recommendations which reflected the different practices in the offices using credit cards as well as central issues.   All the recommendations had been accepted and were being or had been actioned.

BioQuarter Project
The Committee noted that while the overall governance of the BioQuarter project was fit for purpose, the project would benefit from more formal risk management, and that recommendations had been made to improve the implementation of the Commercialisation

Plan.

The Committee noted the remaining three reports.

9   INTERNAL AUDIT FOLLOW UP REVIEWS

The satisfactory progress was noted.

10   INTERNAL AUDIT PROGRESS REPORT

It was noted that one assignment in respect of the 2009/2010 Plan was still to be completed as a result of significant issues being identified. These were being progressed with appropriate senior staff and the assignment was nearing completion. The Committee approved the reassignment of the audit on the IT project to update IDMS to the 2011/2012 Plan and noted satisfactory progress in respect of the remainder of the 2010/2011 Plan.

EXTERNAL AUDIT

11   EXTERNAL AUDITOR'S FEES   **Appendix 2**

The Committee endorsed the proposed External Auditor's fees to undertake the 2010/2011 audit and recommended approval to Court.

12   EXTERNAL AUDIT PLAN OVERVIEW

The key areas of audit emphasis were noted and the proposed approach for the 2010/2011 external audit approved. The Committee further noted the change in accounting practice in respect of heritable assets.

13   INTERIM MANAGEMENT REPORT

The interim report covering the planning and control evaluation phases of the 2010/2011 external audit was noted. The action plan set out recommendations in 5 areas all of which were considered of minor significance and actions had already been initiated to address the identified weaknesses.

FOR INFORMATION/FORMAL APPROVAL

14   REPORTS AND FINANCIAL STATEMENTS FOR THE YEAR TO 31 JULY 2011 – DRAFT TIMETABLE

The Audit Committee noted and welcomed the proposed timetable for the Accounts for 2010/2011 including the arrangements relating to ECA.

External Audit did not take part in discussion on item 15 detailed below.

15   BRITISH UNIVERSITIES DIRECTORS' GROUP (BUFDG) 2011 AUDIT SURVEY

The Committee noted that the survey confirmed the strong position of KPMG as a provider of external audit services within the sector and the value for money of the University's Internal Audit Service.

16   DATE OF NEXT MEETING

The next meeting will be held on, Thursday 29 September 2011 at 5.30 pm in the Lord

Provost Elder Room, Old College. This meeting will be preceded by an Induction event to commence at 2.30pm; further details will be available shortly.

Internal Audit Plan 2011-2012

Introduction

1   Internal Audit provide a service to the whole of the University of Edinburgh, primarily by providing independent assessments of policies and procedures in specific areas, and ensuring that, overall, risks are managed properly. In this way, Internal Audit plays a vital part in governance arrangements, so that internal and external stakeholders (including the University Court and the Principal) can have confidence in the agreed policies and procedures and gain an understanding of how well they have been implemented. Moreover, they will also have confidence that the University is responding appropriately to new challenges, for example provided by the integration of new institutions into the University or concerns raised by measures to comply with new legislation. Where potential improvements are identified, timetables are agreed with management to take action as appropriate. This service is particularly important in such a complex and diverse organisation as the University of Edinburgh.

2   The University's Internal Audit Service has been provided by an "in-house" team since 1999 and has been providing further audit services to external "clients" since 2003. Such contracts are important as they help validate the quality of our service and provide income to fund the employment of outside specialist contract resources to augment the internal audit personnel. This achieves an overall richer skill mix. As a Service, we work hard to maintain a professional, high quality Internal Audit service, and to ensure that we are accessible and responsive. We request feedback from management after every review and this feedback is monitored and reported on each year.   The Service achieved Investors in People (IIP) accreditation in 2010.

3   The purpose of this paper is to outline the detailed Internal Audit Plan for the next financial year and to provide an overview of our methodology.

Overview of Internal Audit Approach

4   The approach to Internal Audit planning adopted by the University of Edinburgh Internal Audit Service is fully consistent with best practice (notably Scottish Funding Council (SFC) advice, Higher Education Funding Council for England (HEFCE) guidance, and the approach to Risk Based Internal Auditing (RBIA) recommended by the Institute of Internal Auditors (IIA)).   To comply with recognised professional internal auditing standards, we also invited (for 3 out of the last 4 academic years) external peer review quality assurance assessments of our service, which concluded that our audit planning operates in accordance with best practice. The Internal Audit planning process also takes account of the guidance in the Committee of University Chairmen Handbook for Members of Audit Committees in Higher Education Institutions endorsed by SFC in 2008.

5   The SFC's Financial Memorandum requires that the Internal Audit service must extend its review over all the financial and other management control systems identified by the audit needs assessment process. It must cover all activities in which the University has a financial interest, including those not funded by the SFC. In accordance with the Terms of Reference approved by Court on 20 October 2008, the Audit Committee shall receive the Internal Audit Plan and make recommendations to Court concerning its approval.

6   HEFCE commissioned guidance to assist institutions in applying the professional IIA Standards in a Higher Education environment. It is not intended to be prescriptive but to outline a generic application of a risk-based audit methodology. The term 'risk-based'

applies both to the development and maintenance of the overall Internal Audit Plan, and to the approach for individual audit assignments[1].

7   The HEFCE guidance provides a number of useful insights into developing the audit planning process. Concerning longer term planning, the guidance states that it is best to think in terms of planning no more than one year ahead. Even with this short horizon, it will be necessary to review the plan to consider the inclusion of emerging business issues and to drop audits that have reduced in priority. Audit plans need to be dynamic to reflect the fast-changing nature of most organisations.

8   Risks exist at strategic and operational levels, and Internal Audit has a role to play in offering assurance at both levels. The balance of effort between strategic and operating risk is a matter for the internal auditor's professional judgement, combined with the expectations of internal and external stakeholders.

Internal Audit Plan – Emerging Issues

9   The HEFCE guidance advocates that a long-term view of audit coverage within the organisation is maintained: although this needs to stop short of evolving into a long-term audit plan. Details of previous and potential future coverage may assist the auditor, management and the audit committee in this regard. Appendix A1 profiles past audit coverage against recognised audit planning systems and activities. Appendix A2 sets out some emerging issues or "hot spots", considered when developing the annual Internal Audit Plan.

Internal Audit Plan for 2011/12

10   Appendix B represents the proposed Internal Audit Plan for 2011-12, given the expected staff resources available, and the order of priority suggested by the scoring exercise (see Annex B to Appendix C). It includes a reserve list of topics that would be undertaken if resources permit or if there was a need to alter the plan during the year. As is recommended good practice, the plan includes time set aside to provide a flexible response capability to allow us to react to new situations during the year without disrupting the approved plan, or ultimately pick up items from the reserve list.

11   The Principal has endorsed the Internal Audit Plan, particularly the intended coverage of the first 4 assignments in Appendix B – eligibility for studentships / research grants; UK Border Agency, data protection risks and the timetabling project – as well as the proposed audit "Feedback to students on course performance". The Principal was also keen to see the review of the stewardship of philanthropic gifts included in the 2011-12 Internal Audit Plan.

Methodology

12   The Internal Audit Planning Methodology is set out in full in Appendix C and may be summarised as follows:

     Risk classification and maturity

13   Risk maturity refers to the degree to which risk management principles are embedded in an organisation. Our assessment of the University's risk maturity (as described in the IIA guidance) remains that the University is classified as *"risk defined"* (see Annex A to Appendix C). For organisations classified as being *risk defined* Internal Audit is not able to provide assurance solely based on the risk management processes, although it may be able to identify risk management policies or pockets of risk management excellence and provide assurance on these elements.

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[1] This risk-based approach is supported by a cyclical programme of location based audits for schools, subsidiary companies etc (see paragraph 14).

14   As the University's risk maturity is not currently at a stage where it can support a fully risk-based approach to internal auditing, the 2011-12 Internal Audit Plan (Appendix B) therefore continues to consist of a *blend* of assignments. These are developed from a variety of sources including identified risks in the risk registers (and the mitigating actions documented;) areas of concern or requests for coverage from senior management; and partly from emerging issues, including any additional risks that do not appear on the risk registers but which may merit internal audit coverage.

Selection of planned audit reviews

15   The audit planning model uses a risk-driven methodology, consistent with current best practice, and based upon a recognised scoring process (see Annex B to Appendix C). We have taken into account the risks noted in the corporate University Risk Register, and also those from Colleges and Support Groups. This allows us to focus our resources on key areas of risk in the University and to identify areas which would benefit from a review.

16   A list of potential audits was collated based on:

- Evaluation and identification of potential audits from Colleges' and Support Groups' annual planning submissions;

- Input from College Management Teams and numerous other senior managers;

- Potential assignments drawn from the Risk Registers;

- Risks and issues identified during previous audit assignments; and

- Assessment of risks and issues affecting the HE sector from professional networking / associations, press etc

17   From this list, potential assignments were identified, scored and ranked from highest to lowest. The resources required to tackle these assignments was then determined by the professional judgement of the Chief Internal Auditor who identified the input required in terms of audit days and skills required to perform the top-scoring reviews. This list was then assessed against the emerging issues (see Appendix A2) likely to affect the University in the near future and the historic profile of audit coverage over recognised audit planning systems and activities (see Appendix A1) to ensure an appropriate spread of audit resources.

18   To ensure further synergy between the resultant Internal Audit Plan and the University, College and Support Group Risk Registers, the Internal Audit Plan was mapped against the key risks identified by the University risk management process. The summary below illustrates the extent to which our 2011-12 Internal Audit Plan covers all the risks on the formal risk registers[2]. Each of the 23 planned system/process-based and location-based audits shown in Appendix B addresses one or more of the 106 risks currently on Registers with 63% of the identified risks being addressed to some extent by the planned audits.

	UoE	CMVM	CSCE	CHSS	CSG	ISG	SASG	**Total**
Total risks on register	14	21	12	13	16	12	18	**106**
Risks addressed to some extent by 2011-12 Internal Audit Plan	11	10	10	12	9	6	9	**67**
As percentage	79	48	83	92	56	50	50	**63**

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[2] At the time of writing, the University risk registers were under review. We have profiled the plan against the current risk registers.

19   We anticipate 686 staff days being available to deliver the University's Internal Audit Plan for 2011-12. As in previous years, allowance has been made for annual leave, public holidays, sick leave contingency, professional update training and general administration. It does not cover any gap period that may arise from staff turnover.

20   Internal Audit provides services under contract to outside bodies (a national heritage body and a local further education college) on a commercial basis. The income arising funds specialist audit staff resources, giving a net benefit of a wider skill mix and improved resource flexibility at no additional cost.

Conclusion

21   This Internal Audit Planning Methodology is consistent with the Risk Based Internal Audit (RBIA) approach recommended by the IIA (and other appropriate guidance) and is aligned to the level of maturity of the University's risk management environment. It provides a broad based Internal Audit assurance strategy that covers governance, risk management and the system of internal control.

22   We have again classified the University as *risk defined* meaning that we are not in a position to support a fully risk based approach to Internal Auditing. The implication of this is that, as with the prior year, the 2011-12 Internal Audit Plan consists of a *blend* of assignments. These are developed from a variety of sources including identified risks in the risk registers and the mitigating actions documented; areas of concern or requests for coverage from senior management; and partly from emerging issues, including any additional risks that do not appear on the risk registers but which may merit internal audit coverage.

23   We consider this planning methodology to be robust and appropriate. We consider the attached provisional audit plan fits well with the risk maturity and risk universe of the University.

24   We are also satisfied that the present level of resource will allow us sufficient coverage to provide an annual statement of assurance on the control environment.

Hamish McKay
Chief Internal Auditor

Profile of Past Audit Coverage v Plan for 2011/12

This table shows breakdown of audits and audit days against recognised audit planning systems and activities.

	Audit Planning System/Activity	2005/06 Actual %	2006/07 Actual %	2007/08 Actual %	2008/09 Actual %	2009/10 Actual %	2010/11 (Actual or forecast) %	**2011/12 (Planned) %**
1	**Control Environment and Corporate Planning**	7	9	10	13	12	13	**9**
2	**Risk Management, Governance and Accountability**	7	9	11	12	9	8	**5**
3	**IS/IT**	8	14	6	7	8	7	**10**
4	**Capital Programme and Estates Management**	2	8	13	10	10	5	**5**
5	**Procurement**	4	8	5	2	3	3	**0[3]**
6	**Financial Management and Infrastructure**	11	18	9	10	16	22[4]	**13**
7	**Staffing and Payroll**	8	6	10	7	8	12	**4[3]**
8	**Student and Academic Systems**	16	3	3	2	7	5	**12**
9	**College/School/Departmental Audits**	17	14	19	17	17	14	**20**
10	**Subsidiaries, Associates and Collaborations**	8	4	7	11	3	4	**4**
11	**Income Raising Activities**	9	4	4	7	3	5	**8**
12	**Follow up Reviews (selection of recent audits)**	3	3	3	2	4	3	**4**
13	**Flexible response capability / Ad hoc**	0[5]	0[5]	0[5]	0[5]	0[5]	0[5]	**6**
								(yet to allocate)
		100	100	100	100	100	100	**100**

[3] Procurement and HR processes are evaluated during location audits (college, school, department, subsidiaries etc).
[4] Increase from planned coverage due to financial management content of special investigations and audits added during the year.
[5] For previous years, the Flexible response / Ad Hoc allowance has been distributed across the remaining 12 audit activities as appropriate for each year.

Emerging Issues

1   The main issues identified by the audit planning methodology this year are summarised in the sections below. Assignments proposed in the Internal Audit Plan will, to varying degrees, focus on these areas of coverage.

2   At the time of writing, the University Risk Registers were being updated. The changes shown in the most recent draft update available align with the emerging issues discussed below. For example, there is added emphasis on the risk of policy changes or reduced funding by research funders; on maintenance of financial sustainability and ensuring effective delivery of key strategic and operational plans; the need for active management of issues concerning UKBA immigration rules and on ensuring a satisfactory student experience.

Student Experience

3   "Enhancing our student experience" is one of the University's strategic themes[6], with associated targets of increasing the level of satisfaction expressed in the *overall satisfaction* question from the National Student Survey (NSS) and of ensuring that all our teaching programmes incorporate comprehensive development of the skills and attributes that graduate's need.

4   The NSS has indicated that our students consider they do not always get feedback on their work in a timely manner or in sufficient detail to help clarify their understanding of their work. The audit review on "Feedback to Students on Course Performance" will address this specific issue. The audits "HSS Postgraduate Office - Monitoring PhD Student Progression" and "MVM Postgraduate Office Recruitment Procedures" address student experience – in particular the progression of PhD students over the lifetime of their studies (at HSS) and maximising recruitment and retention of postgraduate students on taught courses (at MVM).

5   The way in which the University interprets and implements UK Border Agency immigration requirements and the Equality Act 2010 will have important implications for students and their experience at the University.   The audits "UK Border Agency (UKBA)" and "Equality Act" will address these implications.

Efficiencies and Resource Management

6   Over the medium term, the University faces the dual pressures of reductions in funding and the need to ensure value for money. These challenges are reflected in the University risk register where current mitigation activities include "drives to improve utilisation of the University's estate". The University's current strategic enabler "Quality Infrastructure" also focuses on promoting a culture of space awareness and flexible approaches to the use of space across the University. Reductions in funding for estate development mean we need to make the existing space work more efficiently and effectively.

7   Two important elements in ensuring best use of our existing estate are effective Space Management and the Timetabling Project; both of which are included in the Internal Audit Plan.

8   In the lead up to the 2014 Research Excellence Framework (REF), Research Councils are adjusting their funding strategies, for instance moving towards larger grants with longer timescales. The University needs to ensure it is adapting to

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[6] See University of Edinburgh Strategic Plan 2008 – 2012 at http://www.ed.ac.uk/schools-departments/governance-strategic-planning/strategic-planning/strategic-plan-2008-12

these changes to ensure we maximise our potential to win future Research Council grant funding. The review "Research Council Funding Changes" will assess how the University is responding to such changes.

Maintaining Funding Streams

9   Insufficient funding to maintain and develop the University is a key risk - research funding and the revenue from fees paid by international students comprise over a third of the University's current income.

10   It is vital that we comply with rules and conditions set down by the various research councils and the review "Eligibility for Studentships / Research Scholarships" will, in particular, focus on procedures for ensuring research studentships are properly allocated to eligible students.

11   The "Review of Research Grant Administration" will assess the performance and effectiveness of central finance in managing grants and working with research centres and Principal Investigators as well as the interface between the pre and post award phases of grant administration.

12   The University requires a licence from the UK Border Agency (UKBA) to sponsor international students and in addition, currently holds Highly Trusted Sponsor Status – providing various benefits to the University during the sponsorship processes. Without the licence, the University would not be entitled to recruit international students. We will review co-ordination and consistency of processes and procedures between Registry, International Office, Colleges and Schools.

13   It is important that philanthropic donors are provided with feedback on the timely and appropriate use of their gifts so that we ensure the best conditions for their continued support. The audit "Stewardship of Philanthropic Gifts" will assess the processes in place and their effectiveness.

Financial Control

14   Financial control complements the University's efforts on efficiency savings and resource management, ensuring income is optimised and expenditure is controlled. The review "Student fee finance processes" will examine processes and procedures for invoicing and collection of student fees since the introduction of EUCLID – in particular the interface between EUCLID and the eFinancials system. The location based audits also normally cover aspects of financial control.

15   The review of Treasury Management will assess the relevant University policies and procedures and how they are applied and adhered to. We will also consider the arrangements for let property service charging to ensure completeness and accuracy of transactions and insurance arrangements.

Data & IT Management / Security

16   The current University risk register includes the risk of a serious breach of IT or data security leading to inadequate performance, unacceptable loss of service or loss of sensitive or personal data. In mitigation, the register proposes the further development of policies and guidance on data security.

17   An extension to the Information Commissioner's powers means that the University could now be fined up to £0.5M for a breach of the Data Protection Act. A key defence is to take reasonable preventative steps to mitigate risks of

contravening the Act. Audits on "Data Protection Risks", "IT Security and Business Continuity" and "Password Policies" will address these issues.

18   Unidesk, the replacement for the Call Management Help Desk System (CMS), is a one-stop-shop for the management of user enquiries and service incidents for systems throughout the University. We will review the processes involved with Unidesk and the scalability of the system to cope with the potential increase in traffic that may be created by the University-wide initiative to generate substantial increase in online, distance learning.

Internal Audit Plan 2011-12

Ref	System / Area	Commentary

A   **System / Process Audits**

1   **Eligibility for Studentships / Research Scholarships**

In the event that the University is found to have breached eligibility rules for research funding, there is a risk that Research Councils may cease to regard UoE as a favoured institution to receive grant money. Such breaches can be undetected for long periods as Research Councils now tend only to verify claims at the *end* of the claim cycle. Local checks following the Informatics report in 2009/10 highlighted a similar issue which was that another School had research scholarship places allocated to it from BBSRC but that these had not been filled by students. Objective of the review is to confirm that adequate procedures are in place, especially around any new funding model where we get block funding on the number of studentships as opposed to number of named students. The new ESRC Doctoral Training Centre in CHSS may have similar risks. We will test a targeted sample of students and grants across the University on selected funded programmes.

2   **UK Border Agency (UKBA)**

University faces UK Border Agency (UKBA) tier 4 compliance inspection in 2012 prior to our licence being renewed. This is important as, for example, Glasgow Caledonian had their licence suspended recently. Objective is to review co-ordination and consistency across the UoE between Registry, International Office, Colleges and Schools. We will verify that timelines are consistent between a selection of Confirmations of Acceptance for Studies (CAS) and the programme dates. We will also review any impact on the 'student experience' and the impact of changes in regulations affecting the use of the Certificate of Sponsorship.

3   **Data Protection Risks**

There are significant risks associated with mobile computing, portable storage media without encryption, retaining data longer than necessary and insecure disposal of PCs, files and data storage devices. The University can now be fined up to £500k for breach of Data Protection Act (DPA) rules (following an extension of the Information Commissioner's powers). The fine can be levied if it is ruled that the University ought to have known there was a risk that contravention of the Act would occur, and that they failed to take reasonable preventative steps. There are further risks around "data processors" (organisations carrying out work on personal data on the University's behalf (e.g. IT systems, maintenance or data cleansing)) without appropriate contracts and audit procedures. Our processes need to be aligned. Consider whether University databases have the ability to delete information that would otherwise lead to undesirable retention of personal data.

4   **Timetabling Project**

The Timetabling Project involves the purchase of software to achieve more effective timetabling and room booking. It is now entering the procurement and implementation phase. A Project Manager has just been appointed. For this phase, we will assess adherence to recognised project management good practices, and confirm that they are being applied from the outset. Ensure governance framework is adequate and takes into account lessons learned from other major change projects and the University's new approach to project management.

5	**Student Fee Finance Processes**	It is imperative that all student fees are invoiced promptly and accurately. The invoicing process changed when the new interface between EUCLID and the eFinancials customer accounts system went live in 2010-11. Finance and Registry staff have agreed that for the first year of operation manual checks on invoices would be carried out before they were issued. Objective is to assess current arrangements (for example, the above manual checks) and the effectiveness of integration between EUCLID and Finance systems around fees. Assess impact on speed of process and cash flow as result of the transition.
6	**Research Council Funding Changes**	There is a need to refine strategies in the lead up to the 2014 Research Excellence Framework (REF - successor to RAE). Research Councils are moving toward longer and larger grants as part of interdisciplinary consortia and we need to adapt to reflect this. There will be more Directed Mode (more prescriptive) opportunities and fewer Responsive Mode (generally more open) opportunities. Assess scope for more high quality high-volume bids. Wellcome Trust is also favouring fellowships over projects. Risk exists that a changed approach will result in a reduced contribution to indirect cost recovery and therefore impact on College Sustainability Funds. Also impact on overheads recovery if move to greater reliance on EU funding (FP8 positioning a prime objective). Need to demonstrate compliance with the Wakeham Report on financial sustainability and absorb squeeze on direct expenditure on grants through reduced indexation and efficiency savings. Overall, assess how effectively the University has responded to these changes.
7	**Review of Research Grant Administration**	Assess how or whether performance is measured in Research Grants Section (RGS) and the implications of any such measurements. For example, salary and other research codes need to be adjusted promptly such that budget monitoring problems are minimised. Promptness in setting up research codes; accuracy and timeliness of submissions to funding bodies; and times to process amendments to research codes are also potential parameters for measurement. Assess whether RGS works effectively with Principal Investigators to ensure submissions are accurate. Assess adequacy of oversight or supervision and of documented procedures. Assess the effectiveness of the interface between pre-award (ERI) and post-award (RGS) phases of grant administration.
8	**IT Security and Business Continuity**	Review of risks around security and business continuity on IT provision in a representative sample of Schools. (Internal Audit's approach to this review was agreed between the Knowledge Strategy Committee (KSC) and Risk Management Committee (RMC)).
9	**Password Policies**	Review password policies. The Information Commissioner has recently stated that "security breaches because of a lack of patching, poor password policy or badly configured software will not be tolerated." Best practice includes mnemonic password using first letters from memorable phrase or event, changing 3-4 times per annum and not sharing/leaving insecurely. Asses whether we identify and manage any badly configured software or networks effectively.
10	**Unidesk** (Replacement Call Management System)	Unidesk is increasingly a business–critical system in the context of the University-wide initiative to generate substantial increase in online distance postgraduate education provision. £5m of funding has been awarded over 5 years to support the development. Unidesk needs to be capable of handling new applications or services such as Distance Education and services for off-campus programmes. Provide assurance that Unidesk is capable of meeting such future challenges. Assess processes for management of contacts via email, phone, walk-ins at service desks and web forms. Assess measures of performance and role for new communication channels (Facebook, Twitter, etc) and use of third party to help provide 24/7 service support.

11	**Feedback to Students on Course Performance**	Student survey feedback found that students often do not get feedback on important issues such as the quality of course work in a timely manner. Student satisfaction is a University priority and the Risk Management Committee paper says good practice guidance is being developed on effective feedback practices. Assess what has been developed, the effect it has had and how is it being disseminated, enforced and monitored.
12	**Treasury Management**	Assess treasury management policies and procedures and how they are applied. Assess adherence to recognised good practice, effectiveness of oversight of managing the investment of surplus monies, limits for deposits, authorised deposit takers, etc.
13	**Space Management**	It is vitally important for the University to reduce the size of the estate. Concerns have been expressed in Schools about availability of space of the right size and quality for MSc teaching where University charge market-based fees and students have high expectations. A review is being led by Vice Principal for Resources and Research. Aim is to provide assurance that the issues are being addressed and that progress towards objectives is being monitored.
14	**Equality Act**	Review compliance with the Equality Act. The Act consolidates and streamlines previous anti-discrimination legislation, introducing a consistent basic framework of protection against direct and indirect discrimination, harassment and victimisation in work, education, services and public functions. Also introduces new measures and concepts that have implications for the University and both as employer and as provider of education and services. Key changes regarding staff recruitment. New requirements regarding issues such as discrimination based on association or perception, disability, positive action, third party harassment and gender reassignment. We will assess the arrangements in place to address the associated risks arising from the legislation.
15	**Stewardship of Philanthropic Gifts**	Do donors get timely information on how their support is being used? Is the expenditure timely? Failure of stewardship could make it harder to secure continuing support.
16	**Let Property and Service Charging**	There is a £1.5 million income stream to the University from lettings and services charges. Objective is to assess completeness and accuracy of transactions around the factors and leases database. Also assess whether all income is being received and accurately coded. Assess arrangements to pursue un-received income and insurance arrangements.

B	**Location based audits**	
17	**Physics**	School audit.
18	**School of Philosophy, Psychology and Language Studies (PPLS)**	School audit.
19	**HSS Postgraduate Office - Monitoring PhD Student Progression**	Assess role of College Postgraduate Office. Review existence of written policies, supervisor's obligations and whether adequate monitoring takes place. Assess whether arrangements are consistent across the College and whether procedures for dealing with complaints from PhD students are adequate.
20	**Business School**	School audit.
21	**School of Health in Social Science (HSS)**	School audit.
22	**MVM Postgraduate Office Recruitment Procedures**	Student surveys indicate concerns over taught postgraduates' (PGT) student experiences relating to assessment of work and the quality of the facilities. Assess all stages of the process (enquiry, application, offer, fee payment) and the wastage rates at each stage. Assess procedures from expression of interest to accepting an offer and whether they are effective in ensuring that the uptake is maximised. Assess roles and responsibilities and whether sufficient resources are available at peak times. Assess use of new Postgraduate Progression Management Development (PPMD) application. Assess adequacy and availability of up to date management information regarding postgraduate recruitment.
23	**Edinburgh University Press**	Increased revenue from e-books and selling through e-book vendors. Shift from print to electronic acquisition in academic libraries. Assess impact of new processes on controlling costs. Assess business models for new digital developments and also whether they help the University achieve environmental objectives via increased online materials. Also student experience may be improved with easier to access materials in the Library.

C	**Standing & other items for Internal Audit Plan**	
i.	Follow Up Programme	Annually
ii.	Severance Annual Return	Annually
iii.	Risk Management	Attend and contribute to the Risk Management Committee, and provide an annual opinion.
iv.	Planning, Management & Liaison	Internal Audit Planning and Annual Report.
v.	Audit Committee Support	Ongoing
vi.	*Contingency Allowance yet to allocate*	*Unallocated time to cater for issues arising during the year.*
vii.	Commercial Contracts *(additional resources funded from the income generated)*	National Trust for Scotland; Newbattle Abbey College.

D	**Reserve List**	
24	**Authorisation Controls**	Review new authorised signatory system in Finance that succeeds the Authorised Signatory Database. Assess the extent to which it is integrated with other key systems, how the systems tie together and any links to the Delegated Authority Schedule.
25	**New Accounting Standards**	The University needs to establish processes for producing its financial statements according to US "GAAP" Accounting Standards. These are required for continuing receipt of funding from the US for students and research. The University also needs to comply with the new IFRS accounting standards which will be in effect for 2013/14 and encompass a three tier framework.. The review involves assessment of arrangements in place to prepare for the new standards; for example around resources, timetabling, training and project management. [It is understood that Finance Department are providing a paper to this Audit Committee on this matter.]
26	**Equipment Procurement for Capital Projects**	Assess arrangements for procuring equipment and related assets as part of capital projects and avoiding unnecessary and inappropriate spend. Authority for committing expenditure on equipment and other items is assigned once capital projects are approved. Review recent Clinical Research Imaging Centre (CRIC) and Scottish Centre for Regenerative Medicine (SCRM) projects and assess quality of information provided to Project Boards. Assess adequacy of financial commitments and arrangements where there are other stakeholders in capital projects such as the NHS. Assess lessons to be learned and applied to future large projects.
27	**Overseas Activities**	Review and consider whether any control, reputational, governance or tax issues need to be addressed or pre-empted in overseas operations. The University has a China office in Beijing and an India office in Mumbai. Review and consider the recent agreements with governments in Kazakhstan and Iran to increase student recruitment. Review partnership with University of Alberta and the School of Education's programme in Singapore.
28	**Sabbaticals**	Assess policy and conditions in place for academic (and other) staff to request sabbatical leave. Assess the financial arrangements and whether the UoE has to honour them. Assess approval arrangements and arrangements to ensure sabbatical leave is aligned with University objectives. Also assess arrangements for hosting sabbaticals (including University hosting staff from other institutions).
	Reserve location based	
29	**Engineering**	School audit.
30	**Biomedical Research Resources**	Assess whether arrangements maximise benefit to the College and whether there is scope for operational efficiencies. This could potentially be extended to the Medical Research Council (MRC).
31	**Large Animal Hospital**	Assess protocols for charging fees. Assess arrangements to ensure all consumables are being charged for and that all income due from treating animals is received. Assess whether the "Tristan" patient management software is being used as intended.

Internal Audit Planning Methodology

Background

1. This appendix provides an overview of the University of Edinburgh Internal Audit planning methodology. The methodology is compliant with the appropriate required guidance (outlined below) and is founded on Risk Based Internal Auditing (RBIA). The guidance and the methodology are reviewed and updated year on year, so that the University of Edinburgh continues to be aligned with perceived best practice.

2. The concept of risk maturity is introduced and an explanation is provided to support our continued classification of the University of Edinburgh as being *risk defined*. The impact of this classification on audit planning is that the audit reviews performed are a *blend of assignments drawn from the risk management process, complemented by our ongoing cycle of location-based audits*.

3. The steps involved in drafting the Internal Audit Plan, in particular the identification and then selection of potential reviews, are also outlined.

Required Guidance and Scope

4. The methodology was originally developed in line with the SHEFC Code of Audit Practice (1999) however the Scottish Funding Council (SFC) has now withdrawn the Code and has included their audit requirements in their Financial Memorandum (2008).

5. The mandatory requirements section suggests institutions will find it useful to take account of good practice in the relevant parts of IIA (2011) CUC (2008 and 2009) documents. We therefore continue to review and revise our planning methodology in line with current guidance from IIA, HEFCE, CIPFA, CUC and with reference to the Smith Report (now updated by the Financial Reporting Council's revised Guidance on Audit Committees in December 2010), and in the context of the University's risk management infrastructure.

6. In terms of scope, the mandatory requirements of the Financial Memorandum require that the internal audit service must extend its review over all the financial and other management control systems identified by the audit needs assessment process. It must cover all activities in which the University has a financial interest, including those not funded by the SFC. It should include review of controls, including investment procedures, that protect the institution in its dealings with organisations such as subsidiaries or associated companies, students' unions and collaborative ventures or joint ventures with third parties.

Perceived Best Practice: Risk Based Internal Auditing (RBIA)

Institute of Internal Auditors (IIA) Professional Guidance - An Approach to implementing Risk Based Internal Auditing (2005)

7. The IIA continues to regard RBIA as best practice and defines the concept as a methodology that links Internal Auditing to an organisation's overall risk management framework. RBIA allows Internal Audit to provide assurance to the Court / Audit Committee that risk management processes are managing risks effectively, in relation to the risk appetite. This approach is endorsed in the 2011 IIA Professional Standards.

8. There are varying degrees of *risk maturity* that organisations can achieve (see Annex A). The approach to implementing RBIA is based on an assessment of the University's risk maturity. The conclusion of this assessment governs the extent to which Internal Audit planning can be driven from the University's risk register(s) and the kind of assurance strategy that can be undertaken by Internal Audit. The IIA Position Statement on Risk Based Internal Auditing (2003) states that "Internal Audit needs to adopt a risk based approach compatible with that adopted by their organisation."

Implication for the Internal Audit Plan of the University of Edinburgh

9. Our view of the University's risk maturity is that the University can be classified as *risk defined* as described in the IIA guidance (see Annex A). This was our assessment when we first applied the IIA guidance in 2005-06 and we continue to hold this view following subsequent re-assessments.

10. An organisation classified as being *risk defined* is not in a position to support a fully risk based approach to Internal Auditing. Internal Audit is not able to provide its assurance strategy solely based on the risk management processes, management of key risks and reporting of risks; although it may be able to identify risk management policies or pockets of risk management excellence and plan to provide assurance on these elements. Additionally, Internal Audit should plan to provide assurance that control processes are working according to the objectives or standards that have previously been set.

11. Therefore, the Internal Audit Plan consists of a *blend* of assignments drawn from the risk management process and our ongoing cycle of location-based audits.

HEFCE – A Guide to Risk-Based Internal Audit in Higher Education (2004)

12. HEFCE commissioned guidance to assist institutions in applying the IIA Standards in a higher education environment. It is not intended to be prescriptive but to outline a generic application of a risk-based audit methodology. The term risk-based applies both to the development and maintenance of the overall audit plan, and to the approach for individual audit assignments.

13. The guidance provides a number of useful insights into developing the audit planning process. Some relevant excerpts are listed below:

> a. Audit Plans need to be dynamic to reflect the fast-changing nature of most organisations. It is best to think in terms of planning no more than one year ahead. Even with this short horizon, it will be necessary to review the plan to consider the inclusion of emerging business issues and to drop audits that have reduced in priority. Changing levels of priority may be driven by:
>
> - The HEI's risk management process
> - The outcomes of other audits completed during the period
> - General discussions between the auditors, management and the audit committee.

b. Where the HEI has a comprehensive risk register, and where these risks clearly link to business objectives, that register may serve as the audit universe, although the auditor always retains a professional duty to satisfy him or her self that the list is comprehensive. Many HEIs limit their risk register to their top 10 or 20 significant risks and as such operational areas such as payments and receivables might never be audited. In such cases, the auditor may wish to compile their own audit universe.

c. Where the auditor has compiled the list of auditable entities, it will need to be annotated to highlight links with key institutional risks identified by the risk management process. Annotating the document to show previous and potential future coverage may also assist the auditor, management and the audit committee to maintain a long-term view of audit coverage within the organisation: although this will need to stop short of evolving into a long-term Audit Plan.

d. In practice, many of the areas listed will never be audited as they are not considered material in the level of risk that they pose to the University or because assurance can be drawn from other sources. For example, academic audit, health and safety processes.

e. Basing the audits around processes or risks will help ensure the audit takes a holistic view of how the institution manages its risks. Departmental audits are most likely to be useful for subsidiaries or other autonomous units that follow their own local procedures.

f. The institution's risk management process will be a key driver for the proposed audit programme and will have particular credibility where the risks identified link demonstrably to key business objectives.

g. The key risks identified by management may include some topics that Internal Audit can usefully explore in further detail. Equally, there may well be some risks that do not lend themselves to audit.

h. The draft Audit Plan will probably be a blend of assignments drawn from the risk management process, and assignments that relate to the ongoing periodic review of core operating processes and systems – such as student registration/records, payroll, debtors, creditors and so on. Risks exist at strategic and operational levels, and Internal Audit has a role to play in offering assurance at both levels. The balance of effort between strategic and operating risk is a matter for the internal auditor's professional judgement, combined with the expectations of internal and external stakeholders.

i. The auditor may consider investing resource into the audit of new system projects. Auditing new applications (and proposed surrounding processes) at the design stage can help line managers to design-in good control (and avoid the cost of over control). This can save both management and auditors' time and cost in the long run, and ensure systems do not have a period when control is poor.

CUC - Handbook for Members of Audit Committees in Higher Education Institutions (2008)

14. This handbook provides (non-prescriptive) guidance to help audit committees and stresses that "practices that work best for one organisation may not be ideal for another". It states that: "Internal auditors should adopt a risk based approach when planning their audit work" and "if they are confident about risk management and if the risk management arrangements effectively mitigate a risk, then that risk should not merit additional audit attention."

Internal Audit Quality Assessment

15. The IIA standards suggest that the effectiveness of an Internal Audit Service should be assessed at least every five years. Accordingly, in 2007 we engaged with the Universities of Durham and Newcastle in a reciprocal peer review under which our entire methodology, including planning, was scrutinised. We repeated this review in 2008 and included the University of Strathclyde; again in 2009 as a 5-way peer review including the University of West of Scotland and again in 2010 but without Durham University. The Audit Committee has since agreed that the frequency of such a review can drop to at least once every four years.

16. Each year the review has concluded that the University of Edinburgh's internal audit planning methodology achieved 'best practice'. The latest IIA professional standards (2011) continue to require an external assessment at least every 5 years, and present practice more than achieves those standards.

17. In 2009 and 2010 a selection of the University's senior managers undertook an appraisal of Internal Audit. Their findings were generally very positive, and were presented to the Audit Committee.

Elements of the Internal Audit Plan

18. The University's annual planning submissions are reviewed and items or topics are selected for inclusion in the Internal Audit Plan. The aim is to ensure that the annual Internal Audit Plan is in harmony with the business objectives of the University for the year.

19. The latest University, College and Support Group risk registers are examined and relevant senior managers consulted to identify any new or significant risks and particular areas of concern. Issues raised by them can be added as potential items to the annual Internal Audit Plan. Often, however, the issues raised do not add an entirely new risk, system or activity to the Internal Audit Plan; rather, they provide a relevant fresh perspective to existing risks, systems or activities.

20. Internal auditors, in the course of their year's work, encounter situations which could merit audit attention. They also become aware of potential audit topics, for example from reading guidance from professional bodies, from networking with Internal Audit peers in other HEIs, and from scrutinising relevant press coverage. Our staff maintain a record throughout the year of all such items, which then feed into the annual audit planning process.

21. In order to appraise the University's risk management process itself, the annual Internal Audit Plan may include a review of how selected documented risks are being managed. Otherwise, we review the risk registers, attend the Risk Management Committee and ensure that the Internal Audit Plan addresses a selection of acknowledged risks.

Determination of the Internal Audit Plan

22. The combination of elements listed above produces a list of potential audit assignments. We use a recognised scoring methodology (see Annex B) and each member of the audit team applies professional judgement and local knowledge to score items in terms of importance, sensitivity, inherent risk and known control weaknesses. This results in a prioritised list of the potential audit assignments.

23. Professional judgement by the Chief Internal Auditor is applied to determine the resources needed in terms of audit days and skills to tackle the top-scoring assignments.

Income generated from selling our services to outside clients allows us to buy-in specialist expertise to undertake high scoring specialist assignments.

24. The first version of the draft Internal Audit Plan then consists of as many of the highest scoring assignments as can be accommodated within Internal Audit's annual resources.

25. The resulting Internal Audit Plan is presented to the Audit Committee for endorsement, along with the top-scoring 'reserve' assignments. Consistent with recognised good practice, the Internal Audit Plan includes an element of flexible capacity which allows us to respond to unforeseeable situations arising during the year without disrupting the approved Internal Audit Plan. Any unallocated resource remaining unused is applied to picking up reserve items towards the end of the year.

26. A diagram illustrating the various sources of assurance to the Audit Committee and University Court, including Internal Audit, is provided in Annex C.

Assessing the University's risk maturity

This assessment was made by considering the University's practices, processes and relevant supporting documentation such as the risk management strategy, policy and risk registers. The Chief Internal Auditor attends the Risk Management Committee. Cognisance was also made of earlier Internal Audit work (such as the risk management checklist and risk assessment management assignments). While we have updated our own comments, we have not altered any ☑ from last year's assessment.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							UoE Internal Audit Comment
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
Key characteristics.	No formal approach developed for risk management.	Scattered silo based approach to risk management.	Strategy and policies in place and communicated. Risk appetite defined. ☑	Enterprise approach to risk management developed and communicated.	Risk management and internal controls fully embedded into the operations.		
Process							
The organisation's objectives are defined.	Possibly.	Yes but may be no consistent approach.	Yes ☑	Yes ☑	Yes ☑	Check the organisation's objectives are determined by the board and have been communicated to all staff. Check other objectives and targets are consistent with the organisation's objectives.	University Strategic Plan 2008-2012 is in place. Progress against the plan is regularly monitored and documented.
Management have been trained to understand what risks are, and their responsibility for them.	No	Some limited training. ☑	Yes	Yes	Yes	Interview managers to confirm their understanding of risk and the extent to which they manage it.	Not all managers have received training.
A scoring system for assessing risks has been defined.	No	Unlikely, with no consistent approach defined.	Yes ☑	Yes ☑	Yes ☑	Check the scoring system has been approved communicated and is used.	In place.
The risk appetite of the organisation has been defined in terms of the scoring system.	No	No	Yes ☑	Yes ☑	Yes ☑	Check the document on which the controlling body has approved the risk appetite. Ensure it is consistent with the scoring system and has been communicated.	The University states its approach to risk in the Risk Management Strategy. Risk review process challenges whether the level of residual risk is acceptable.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							UoE Internal Audit Comment
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
Processes have been defined to determine risks, and these have been followed.	No	Unlikely	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Examine the processes to ensure they are sufficient to ensure identification of all risks. Check they are in use, by examining the output from any workshops.	Risk Management Guidance Manual.
All risks have been collected into one list. Risks have been allocated to specific job titles.	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Examine the Risk Register. Ensure it is complete, regularly reviewed, assessed and used to manage risks. Risks are allocated to managers.	All corporate and College & Support Group risks have been collated. A series of risk registers for the top risks exists.
All risks have been assessed in accordance with the defined scoring system.	No	Some incomplete lists may exist.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Check the scoring applied to a selection of risks is consistent with the policy. Look for consistency (that is similar risks have similar scores).	In place for University, College, Support Groups, subsidiaries and many operational areas and projects.
Responses to the risks have been selected and implemented.	No	Some responses identified.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	Examine the Risk Register to ensure appropriate responses have been identified.	Yes, but may not apply to the whole organisation. Not always clear what work has been carried out between reviews.
Management have set up methods to monitor the proper operation of key processes, responses and action plans (monitoring controls).	No	Some monitoring controls.	Yes, but may not apply to the whole organisation. ☑	Yes	Yes	For a selection of responses, processes and actions, examine the monitoring control(s) and ensure management would know if the responses or processes were not working or if the actions were not implemented.	The normal internal audit process assists management in providing assurance that monitoring controls are adequate.
Risks are regularly reviewed by the organisation.	No	Some risks are reviewed, but infrequently.	Regular reviews, probably annually. ☑	Regular reviews, probably quarterly.	Regular reviews, probably quarterly.	Check for evidence that a thorough review process is regularly carried out.	RMC review process.
Management report risks to directors where responses have not managed the risks to a level acceptable to the board.	No	No	Yes, but may be no formal process.	Yes ☑	Yes ☑	For risks above the risk appetite, check that the board has been formally informed of their existence.	A formal risk review process is in place overseen by the RMC. RMC reports to Audit Committee and CMG.

The Institute of Internal Auditors UK and Ireland - An approach to implementing Risk Based Internal Audit - Assessing the Organisations risk maturity							UoE Internal Audit Comment
Risk Maturity	**Risk naive**	**Risk aware**	**Risk defined**	**Risk managed**	**Risk enabled**	**Sample audit test**	
All significant new projects are routinely assessed for risk.	No	No	Most projects.	All projects ☑	All projects ☑	Examine project proposals for an analysis of the risks which might threaten them.	Estates Development project procedures routinely include risk assessment, as do IT projects. All Committee papers are prompted for evidence of risk assessment. A toolkit for the governance of major university projects has been developed and is being piloted on the Timetabling Project.
Responsibility for the determination, assessment, and management of risks is included in job descriptions.	No	No	Limited ☑	Most job descriptions.	Yes	Examine job descriptions. Check the instructions for setting up job descriptions.	Will be for some defined roles such as project directors / managers.
Managers provide assurance on the effectiveness of their risk management.	No	No	No	Some managers ☑	Yes	Examine the assurance provided. For key risks, check that controls and the management system of monitoring, are operating.	Some managers.
Managers are assessed on their risk management performance.	No	No	No	Some managers ☑	Yes	Examine a sample of appraisals for evidence that risks management was properly assessed for performance.	Some may be informally assessed.
Internal Audit approach	Promote risk management and rely on alternative Audit Planning method	Promote enterprise-wide approach to risk management and rely on alternative Audit Planning method.	Facilitate risk management / liaise with risk management and use management assessment of risk where appropriate. ☑	Audit risk management processes and use management assessment of risk as appropriate. ☑	Audit risk management processes and use management assessment of risk as appropriate. ☑		There is a programme of reviews of recognised risks. This provides the Court, through the Risk Management Committee, assurance that each risk is being adequately managed. Internal Audit is able to assess the effectiveness of the mitigating controls identified in these reviews.

Scoring model for use with audit assignments and themes

1. Our risk scoring model recognises four elements:

   - Importance
   - Sensitivity
   - Inherent Risk
   - Control Risk

2. Importance

   This reflects the effect that failure of the system or activity would have on management's ability to achieve their objectives. It also includes consideration of the financial exposure (e.g. expenditure as % of total University expenditure) of the activity. An activity scores high if it is either (a) critical to the functioning of the University, or (b) an area in which income or expenditure is high proportionate to other activities.

3. Sensitivity

   This reflects the sensitivity or confidentiality of the data held or processed, or service delivered by, the system/area. It also covers the sensitivity or confidentiality of decisions influenced by the system / area, and any legal or regulatory compliance requirements.

   An activity scores high if (a) it holds or processes sensitive or confidential data, (b) it influences the outcome of sensitive or confidential decisions, (c) it is subject to specific legislative or regulatory compliance regulations, or (d) it is the subject of internal political sensitivities.

4. Inherent Risk

   This reflects the level of risk that is inherent in the system / area by virtue of its nature. Specific considerations include (a) complexity, (b) pace of change, and (c) dominant external influences. The 'inherent risk' involved in any system can only be mitigated by the presence of adequate and effective internal controls.

   Activities that score highly will be activities that are complex, subject to regular or sudden changes, or sensitive to external influences.

5. Control Risk

   This reflects past results of Internal Audits of the area under review. It also takes into account the operating history and condition of systems and processes, and knowledge of existing management controls. Information fed into the process from senior management assists in the assessment of control risk.

   Areas which score high will be areas where known control weaknesses exist, where the system has a known poor operating history, where systems used are known to be in poor condition, or where management controls are known (or suspected) to be inadequate or ineffective.

6. Audit Risk Score

   The total audit score for the system, activity, or process is then calculated according to the following index:

Figure 1 – Audit Score Calculation

Source: Adapted from NHS Executive
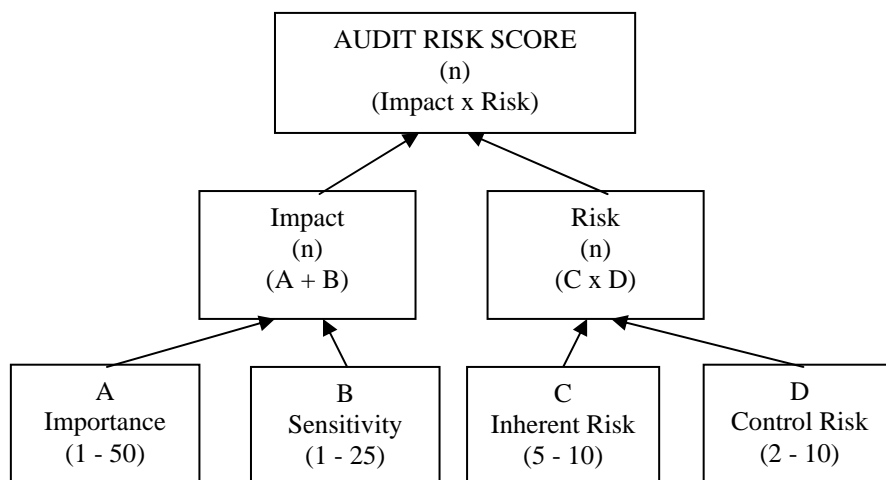
Criteria A and B are set at 1-50 and 1-25 respectively (1 representing low importance or sensitivity, and 50/25 as high). Inherent risk is assessed on a scale of 5-10 to reflect 'imperfect knowledge' in assessing this risk. Control risk is assessed on a scale of 2-10, and is assessed on the basis of existing audit knowledge and input from senior management.

University of Edinburgh Assurance Model

Figure 1: Structure

Reporting   Communication
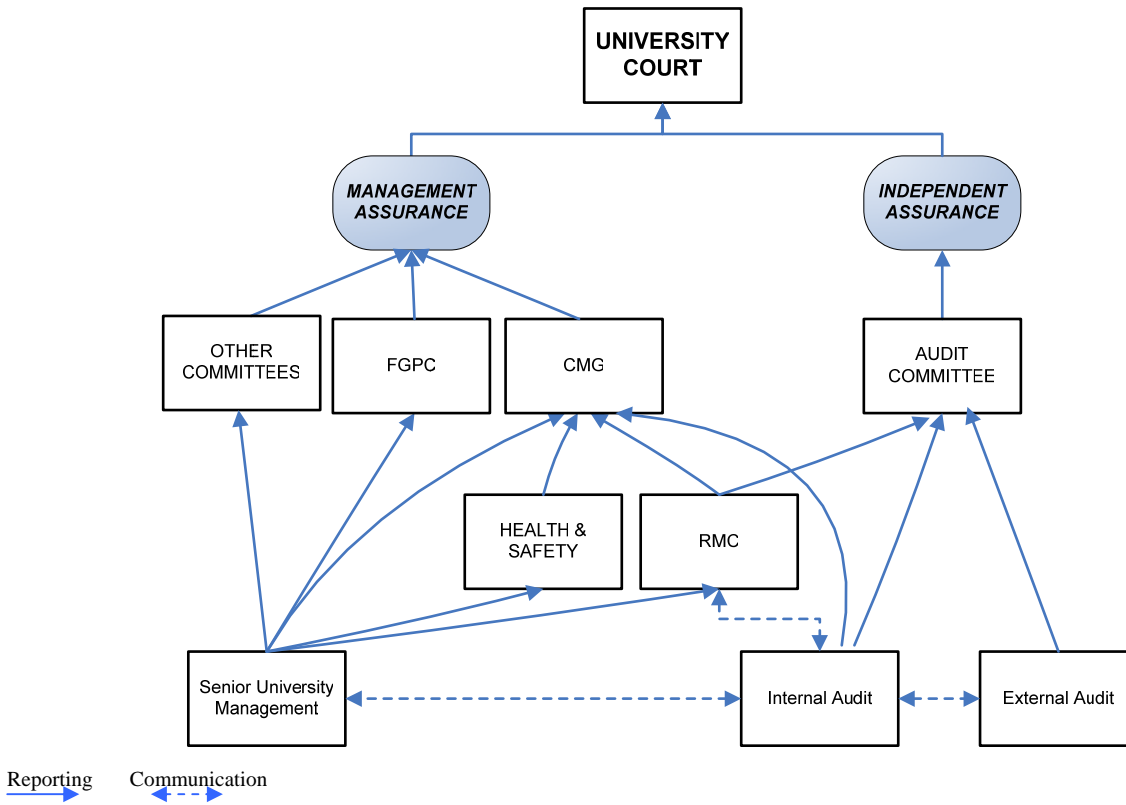
Figure 2: Interdependencies

INTERNAL AUDIT

Internal Audit's main role is to evaluate the adequacy and effectiveness of:

1. Governance processes;
2. Internal Control;
3. Risk management;
4. Operations.

In doing so we evaluate and assess:

5. Value for Money (VfM);
6. Compliance;
7. Safeguarding of assets;
8. Integrity of financial and other information.

CMG

Internal Audit provides reports outlining significant or pan-University issues.

AUDIT COMMITTEE

Provide Court with an Annual Report containing their opinion on effectiveness of the:

1. Corporate governance arrangements;
2. Internal control environment;
3. Financial systems;
4. Risk management arrangements.

Review the audited financial statements.

MANAGEMENT

Assurance on risk and internal control in own areas of responsibility.

EXTERNAL AUDIT

External Audit provides:

1. An opinion on the financial statements;
2. Management Letter highlighting significant accounting and control issues.

RMC

1. Identify and evaluate key risks;
2. Identify key controls in place to manage them;
3. Monitor satisfactory operation of risk controls over risk;
4. Report regularly to Court via CMG and Audit Committee.
5. Produce an annual Risk Assurances Map for the Corporate Risk Register showing evidence of how assurance has been provided.

Bibliography

The following best practice guidance was consulted when designing the University Internal Audit Planning Methodology:

AUTHOR	TITLE
Bayer (1999)	Risk-Based Auditing – a new approach
CIPFA (1997)	It's a Risky Business: The Auditor's Role in Risk Assessment and Control
CIPFA (2001)	Risk Management in the Public Services
CIPFA (2004)	The Risk Management Journey – How far down the road are you? A self-assessment and audit checklist.
CUC (2008)	Handbook for Members of Audit Committees in Higher Education Institutions
CUC (2009)	Guide for Members of Higher Education Governing Bodies in the UK
HEFCE (01/28)	Risk Management: A guide to good practice for HE Institutions
HEFCE (2002)	Audit Code of Practice
HEFCE (2003)	Institutional Audit and Accountability, Consultation Draft
HEFCE (2004)	Risk-based Internal Audit in Higher Education
HEFCE (2005)	Accountability and Audit: HEFCE Code of Practice
HM Treasury (2001)	Government Internal Audit Standards
HM Treasury (2001)	Management of Risk: A Strategic Overview (Orange Book)
HM Treasury (2002)	Government Internal Audit Standards: Good Practice Guide Audit Strategy
ICEAW (2000)	Risk Management and the value added by Internal Audit
IIA (2002)	Position Statement: The role of Internal Audit in Risk Management
IIA (2003)	Position Statement: Risk Based Internal Auditing
IIA (2004)	Position Statement: The role of Internal Audit in Enterprise-wide Risk Management
IIA (2005)	Professional Guidance: An approach to implementing Risk Based Internal Auditing
IIA (2011)	Definition of Internal Auditing, Code of Ethics, International Standards for the Professional Practice of Internal Auditing
ISACA (2001)	Use of Risk Assessment in Audit Planning
Mc^2 Consulting	Changing the Paradigm (research on behalf of the IIA)
NHS Executive (1998)	Internal Audit Practitioners Group Technical Paper, Audit Risk Assessment
SHEFC (1999)	Code of Audit Practice
SFC (2008)	Mandatory requirements of the Financial Memorandum at http://www.sfc.ac.uk/effective_institutions/financialmemorandum/mandatory_requirements.aspx

External Auditor's Fees

The Audit Committee is asked to approve the audit fee proposed by KPMG for the 2011 audit. The fees proposal is in line with the KPMG response to the 2008 tender exercise following which KPMG were re-appointed as external auditors to the University.

	Actual* 2009-10 fee £	Proposed 2010-11 fee £
University of Edinburgh*	50,150	52,250
The University of Edinburgh Development Trust	5,300	5,510
UoE Utilities Supply Company Limited	2,150	2,235
UoE HPCX Limited	2,150	2,230
Edinburgh Research and Innovation Limited	6,950	7,225
UoE Accommodation Limited	3,800	3,950
Edinburgh University Press Limited	7,700	8,000
Edinburgh Technology Fund Limited	2,150	2,230
Edinburgh Technology Transfer Centre Limited	2,150	2,230
SSTRIC Limited	**3,500**	**2,230**
Research into Results Limited	**-**	**
Flowave TT Limited	**-**	**
Old College Capital Limited	**-**	**
Total	**86,000**	**88,090**

*This was based on the fee quoted in the 2008 tender which amounted to £80,600 including the Edinburgh Technology Transfer Centre Limited but excluding SSTRIC Limited.

The proposed fee for 2011 audit is £88,090 exclusive of VAT.
Fees for 2010 reflected an increase for each entity in line with the annual increase in the Retail Price Index as at April 2009 of 2.4%. Fees proposed for 2011 include a further increase restricted to 4% at April 2010 compared to an increase of 5.3% in RPI. CPI annual inflation stood at 3.7% at April 2010 and 4.5% at April 2011. Under the 2 year extension to the tender CPI increases will apply to the 2012 and 2013 fees.

** Fees for Research into Results Limited, Flowave TT Limited and Old College Capital Limited have still to be agreed.

The University of Edinburgh

The University Court

20 June 2011

Knowledge Strategy Committee Report

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

Report from the Knowledge Strategy Committee on business conducted during the period January to May 2011.

Action requested

For information.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk analysis? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Any other relevant information

Jeff Haywood (Vice Principal of Knowledge Management and Planning) will present the paper.

Originator of the paper

Jo Craiglee
Head of Knowledge Management & IS Planning
08-06-2011

University of Edinburgh

Knowledge Strategy Committee

Report to the University Court

This paper presents a summary of the major items concerning Knowledge Strategy Committee over the past 5 months.

Committee papers are available online at:

http://www.committee.kmstrategy.ed.ac.uk/index.cfm

Knowledge Strategy Committee (KSC) has oversight of the University's knowledge management activities, in particular those areas concerned with Library, Information Technology, e-Learning, Management Information and e-Administration (hereafter described as the University's 'Information Space')[1].

Research Infrastructure

⚲ **Research Data Management and Research Data Storage –** As part of the work plans for IT and Library Committees, it was recognised that work needed to be done to look at the management and storage of research data within the University. At its meeting on 16 May 20911, the University Court approved the Policy for the Management of Research Data. This has attracted enormous attention from the higher education community and has also been praised as a "well crafted" document. There are no other comparable policies, certainly within the UK, covering this particular area.

The working group on research data storage has produced a business case and is consulting on how the university might resource a common research data store for all academics and researchers.

Distance Education and *e*Learning

⚲ **Distance Education Initiative -** The Distance Education Initiative (DEI) has now moved into the second phase of its activity, having established a governance and management structure, carried out awareness-raising and some background research.   The first tranche of funding was allocated in January to two fast-track projects, one from MVM and the other from HSS. The second tranche is currently being finalised and 7 projects will be funded, starting August 2011.

The Call documents and details of the College and Support Group representatives on the DEI Steering Group can be found on the DEI wiki (UoE staff EASE password):

https://www.wiki.ed.ac.uk/display/DistanceEducationInitiative/DEI

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[1] The following committees report to KSC: Library Committee; IT Committee; and University Collections Advisory Committee

🌲 **Collaboration Tools –** KSC considered a set of recommendations on service developments to support collaboration. It was agreed that the main area of focus should be online meetings for both the academic and administrative functions. Additionally, it was agreed that IS would provide a set of tools that would help staff to assess the risk of data storage in the cloud.

Projects

🌲 **Shared Academic Timetabling Project –** KSC noted the draft policy for the management of room bookings and timetabling following the implementation of the software. It was noted that the tender for the software would be issued on 20 May with the evaluation taking place mid to late July. KSC asked that the Project Board ensure the lessons from EUCLID are taken on board, in particular an awareness of the risks associated with customisation of any of the products under consideration.

KSC noted that, in keeping with the agreed governance framework for major projects, there would be an external assessment of the implementation phase by Valuta over the period 15/16 July 2011.

KSC was concerned that governance of the project should focus across both areas rather than lie within a specialist function.   To this end it was proposed that KSC should have oversight of the initial stages as it is a neutral body with interest across both areas.

Policies and Strategies

🌲 **IT Strategy Away Day –** Following on from a very successful Away Day session, KSC will re-run the IT Strategy sessions inviting a wider community of people from IT Committee, College offices and those with a particular interest in IT strategy. A similar session on Library Strategy will be run for KSC in September.

Governance

🌲 **Transfer of e-learning committee to Learning & Teaching Committee**
🌲 **University Wide IT Risks –** KSC approved the extension of the annual IT audit to include the Schools. It was emphasised that this should be a constructive process, giving guidance to Heads of Schools on the questions they should be asking of their local IT provision. Members welcomed the offer from the Schools of Physics and Law to be included in the first round of audits.

🌲 **Leadership and Governance of Major Change Projects –** Following on from the governance framework developed through KSC, HR have produced an outline proposal for preparing teams taking on the responsibility for major projects. It was agreed that clear guidance is required, to include: governance of projects; points when reviews should be done; and when externals should be brought in. It was also recognised that the roles of Project Board members need to be made explicit.

🌲 **Library Committee TOR –** The changes earlier in the year to the Knowledge Strategy Committee required a few small changes to the Terms of Reference (TOR) of the Library Committee. These were approved by the University Court on 16 May 2011.

Other

- **Professional Fora –** KSC met with members of the 3 professional fora[2] in February 2011. The purpose of the meeting was two-fold: to inform KSC on the work undertaken by each Forum over the past year; and to share thoughts on the areas covered by KSC that comprise the University's "Information Space". It was agreed that this format of meeting should be included in the round of annual planning consultations.

  It was agreed that KSC, through the Convenor should explore with the fora how they could expand their respective memberships to involve more of the university's support professionals in the discussions which concern their area of operation. Following a number of subsequent meetings with senior forum representatives, it has been agreed that IS will consider how the fora could be supported better; and how they might be more useful to their respective communities, perhaps by using more senior level support from IS to help encourage wider participation.

Jeff Haywood
Vice Principal of Knowledge Management, CIO and University Librarian

Jo Craiglee
Head of Knowledge Management and IS Planning

10-June-2011

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[2] The 3 fora are Information Technology Professionals' Forum; eLearning Professionals and Practitioners' Forum; and Library, Archive and Museums Professionals' Forum.

The University of Edinburgh

University Court

20 June 2011

Annual Report on Quality Enhancement, 2010/11

<u>Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant</u>

In the Report from the Court Effectiveness Review Group, Court Paper C3 on 21 June 2010, it was suggested, and subsequently agreed by Court, that there should be an annual report on quality enhancement activities. This complements the Annual Institutional Statement to the Scottish Funding Council on Internal Subject Review Activity, which is also presented to Court. This paper is the first annual report on quality enhancement. Quality enhancement is relevant to a number of the strategic goals, enablers and themes in the University Strategic Plan, but in particular to "excellence in learning and teaching" and "enhancing our student experience".

<u>Action requested</u>

Court is invited to note the report.

<u>Resource implications</u>

Does the paper have resource implications? No.

<u>Risk assessment</u>

Does the paper include a risk assessment? No. Specific risk assessments will be detailed in papers or proposals which arise from relevant activities.

<u>Equality and diversity</u>

Does the paper have equality and diversity implications? No.

<u>Freedom of information</u>

Can this paper be included in open business? Yes.

<u>To be presented by</u>

The paper will be presented by Professor Dai Hounsell, Vice Principal Academic Enhancement.

<u>Originator of the paper</u>

Professor Dai Hounsell
Vice Principal Academic Enhancement
9 June 2011

Annual Report on Quality Enhancement, 2010/11

In the Report from the Court Effectiveness Review Group, Court Paper C3 on 21 June 2010, it was suggested, and subsequently agreed by Court, that there should be an annual report on quality enhancement activities. This complements the Annual Institutional Statement to the Scottish Funding Council on Internal Subject Review Activity, which is also presented to Court. This paper is the first annual report on quality enhancement. Quality enhancement is relevant to a number of the strategic goals, enablers and themes in the University Strategic Plan, but in particular to "excellence in learning and teaching" and "enhancing our student experience".

Court is invited to note the report.

1   The University's Strategic Approach to Enhancement

In this, the first annual report on quality enhancement, it is essential to articulate our strategic approach to enhancement as well as to outline an overview of university-wide enhancements. This report makes reference to the work of the Senate committees, which is outlined in the Annual Report of the Senate Committees 2010/11, which is a separate item on the Court's agenda for its 20 June 2011 meeting; and draws on extracts from the University's Enhancement-Led Institutional Review (ELIR) Reflective Analysis, which is available to Court members.

The University has sought to develop and embed a strategic approach to enhancement which is consonant with our ethos and devolved structure. The goal has been to put enhancement at the heart of our processes, while reconfiguring the structures and mechanisms through which enhancement can take firm root. Four key dimensions of our current approach to enhancement can be highlighted: organisational, strategic, facilitative, and the articulation of guiding assumptions. These are outlined below.

Organisationally, the major changes in 2009 in senior positions and in the structure of Senate committees have sustained robust oversight of quality assurance (QA) and also injected significant additional resource into the leadership and management of enhancement. Oversight of enhancement is now focused in the work of the Senate Learning and Teaching Committee (LTC), while at the same time there are close working relationships between the Senate committee convenors and academic policy managers to ensure that the four committees work in synergy, that responsibility for taking forward strategic and policy priorities is clearly assigned, and that agendas do not become overloaded.

Strategically, there has been a much sharper intensity of focus on pinpointing institutional priorities for strengthening and updating learning-teaching practices as well as the wider student experience. This is being achieved in various ways: greater emphasis on identifying strategic priorities within and across the committees; pursuing these with the aid of task groups; reviewing progress and updating priorities in joint awaydays, prior to endorsement by Senate; and developing University and college enhancement strategies.

The **facilitation** of enhancement has taken several forms, including pump-priming innovation, trialling new ways of promulgating good practices, and establishing a new Institute for Academic Development (IAD) to coordinate and underpin staff and student development.

There are **guiding assumptions** around which the evolving approach to enhancement pivots; 'evolving' since the approach was not firmly set in stone at the outset, but has been progressively developed through experience, dialogue and interaction. The following three guiding principles are that:
• every member of staff involved in learning and teaching has a role to play in enhancing as well as assuring teaching quality;
• enhancement can and should occur at every level within the University community (individual, programme, school, college, institution-wide), and is valued whether it is modest in scope or large-scale;

- the stimuli to enhancement can be bottom-up as well as top-down, internal or external, practice-focused or policy-led; and that both staff and students have a worthwhile role to play in initiating and implementing enhancements.

Our approach to enhancement also reflects and embodies our devolved structure. Enhancement roles and responsibilities do not solely reside centrally, nor are they wholly devolved to colleges, but are by design shared.

This means that the onus is on the University to:
- set the framework within which developments in learning and teaching take place (primarily through the current Strategic Plan and other emerging policy developments and initiatives);
- take policy and strategic initiatives that have an impact on learning and teaching across the University, and monitor the progress of the colleges in implementing these initiatives;
- provide fora in which developments in learning and teaching that raise issues for the University as a whole can be consulted upon and discussed;
- encourage and support developments at the college level, while at the same time leaving scope wherever feasible in University-wide initiatives for tailoring to college and school processes and practices.

For their part, each college is responsible for:
- implementing University policy and strategic initiatives, utilising the scope these afford it to tailor procedures and practices to local needs and circumstances;
- identifying and pursuing complementary enhancement initiatives that meet the specific needs of its schools and subject areas;
- monitoring the implementation by schools of University-wide and college-specific initiatives;
- providing fora for college-wide consideration of relevant developments in learning and teaching;
- alerting the University to college developments that have wider implications.

2   University-wide enhancements

A large number of enhancements take place across the University. Figure 1 provides an overview of the principal instances of these. For reasons of space, the figure does not include enhancements that have chiefly been college or school-focused. However, the latter also need to be considered in constructing a more complete picture of enhancement at the University, since our approach prizes bottom-up as well as top-down enhancements.

3   Enhancement activity in 2010/11

As can be seen from figure 1, enhancement activity is widespread across the university. This section highlights some of the particular activities from 2010/11.

3.1   Learning and Teaching Enhancement Strategies

This year the Learning and Teaching Committee (LTC) approved and endorsed the progress on the University Learning-Teaching Enhancement Strategies and related College Learning and Teaching Strategies. These are available from the LTC web homepage: www.ed.ac.uk/schools-departments/academic-services/committees/learning-teaching A common approach has been taken, mirroring that in the sector: a broad design which provides scope for Schools to choose how best to enact the enhancement strategy in a local context. LTC will review College strategies and progress annually. The University Learning, Teaching and Enhancement Strategy set the following institutional priorities for 2010-2012: employability; assessment and feedback; student guidance and support; and enhancement infrastructure.

Figure 1: University-wide enhancements: an overview
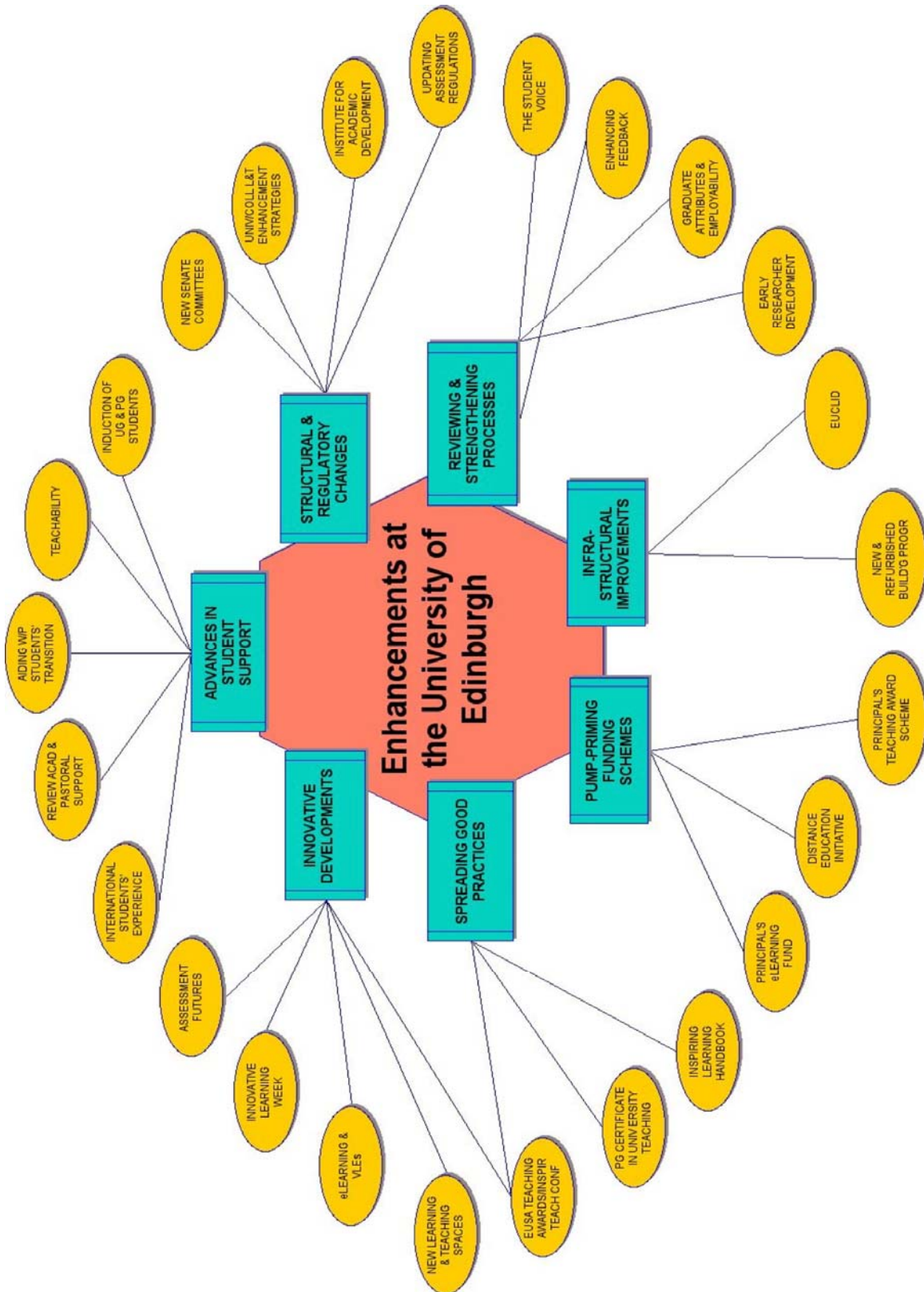
The **College of Humanities and Social Science** strategy sets out eight strategic priorities to focus and support schools to further improve the student learning experience:

1. Students as independent learners
2. Supportive student environment
3. Research and enquiry
4. Communication skills
5. Assessment and feedback
6. Collaborative approaches to learning
7. Students as partners
8. Staff development

The new **College of Science and Engineering** strategy document sets out the overarching aims of the College and the strategic principles by which the College strives to achieve these aims. It also sets challenging targets in a number of areas including: staff development; recognition and reward for excellence in teaching; significant review of assessment practices; development of collaborative and distance learning programmes; and further improvement of the estate to support innovative teaching methodologies and changing ways of learning. In addition to the formal Strategy document, a version has been created for dissemination to, and discussion with, students. This version is written in more student- and staff-friendly language, and it is intended that schools will be able to utilise it in a variety of different settings with students, as part of their QA and enhancement processes.

The **College of Medicine and Veterinary Medicine** Learning and Teaching Strategy is founded in the recognition that the College's students embark on their degree programmes with a commitment to careers in medicine, veterinary medicine and medical science, together with a rich variety of skills and attributes. The broad aim is therefore "to develop these abilities through challenging curricula, with an ethos of respect and support for our students, and to ensure that our graduates are caring, competent, confident and reflective, equipped for high personal and professional achievement." The Strategy is focused around six core principles:

- an educational experience of the highest quality;
- student-aligned curricula and teaching-learning environments;
- learning through enquiry in a research rich environment;
- use of a blended approach to support a range of learning styles;
- ensuring that students are well-prepared for entry to the professions;
- valuing and sustaining staff expertise in learning and teaching.

3.2   Surveying the student experience

LTC considered a variety of student surveys in which the University participates with the aim of making our use of surveys more effective. This led to the development of the Student Voice project by Governance and Strategic Planning, which aims to use a Business Intelligence System to generate analyses which can better underpin decision-making, planning and strategic activity. This supports one of our strategies in the Strategic Plan 2008-12 for "Enhancing our student experience" theme, to "standardise analysis of, and action taken in response to, internal and external student feedback".

In 2011/12, the Quality Assurance Committee plans to establish a Task Group on Assuring the Quality of the Student Experience. There is a need for the University to derive greater value and insight from its core quality assurance activities, while also rationalising and simplifying its surveying of students. Working in collaboration with the Student Voice project, a task group will propose core content for monitoring activity and explore means by which the administration of surveys can be managed most effectively, and usefulness and consistency of data maximised. The outputs of this work will inform follow-on work by LTC on enhancements based on evaluations of the student experience.

3.3 Institute for Academic Development

The work of the recently established Institute for Academic Development (IAD) will be integral to embedding the institution's strategic approach to quality enhancement. IAD priorities and activities are being designed to support University and college strategic priorities around the enhancement of learning and teaching, skills development and student support, together with other relevant University-level policy initiatives, including the Internationalisation Strategy and the Distance Education Initiative.

The work of IAD is overseen by the IAD Advisory Board, chaired by the Vice Principal Academic Enhancement and with a membership that includes senior college representatives, Senate committee Convenors, heads of support services and representatives from EUSA. The IAD Director is a member of the Senate Committees Convenors' Forum to ensure that there is a close operational as well as strategic connection between the activities of the IAD and the development and implementation of University Strategy (including annual reporting against key University Strategic Plan targets). IAD staff and secondees are also well represented on Senate and college committees and task and working groups.

Embedding of enhancement is fostered by the commitment to collaboration which lies at the heart of the IAD ethos. Collaboration spans work with schools and support services, both on specific priority areas (e.g. working with the Careers Service and other members of the Employability Strategy Group to support employability and graduate attributes) and specific programmes and projects (e.g. the HEA funded ScotPID (Scottish Personal Development Plan Institutional Development) project). EUSA is another key partner, on collaborative projects such as the Inspiring Teaching Conference and the Postgraduate Festival.

3.4 Enhancement activities of the Senate committees

The Senate Committees' Annual Report 2010/11 outlines the work of the committees, which encompass a number of themes, including enhancement activities. These include:
- Producing new taught assessment regulations and guidance, which merge undergraduate and taught postgraduate assessment regulations and separate the document into regulation, guidance and links to other sources of advice;
- Developing and recording graduate attributes, where a number of issues were considered: employability and the development of appropriate graduate attributes for University of Edinburgh students; 21st century graduates, the Quality Assurance Agency's 2009/10 enhancement theme; Higher Education Achievement Report; and Colleges' personal development planning initiatives;
- Enhancing the quality assurance processes, support and guidance, including delivery of a major redesign of the Quality presence on the University's website, followed by activity underway to roll out core, consistent Quality content across Schools and Colleges, with the assistance of the University's web project team; http://www.ed.ac.uk/schools-departments/academic-services/quality-unit
- Approving the recommendations of the Concordat Implementation Task Group, which achieved HR Excellence in Research Award for the University and a dramatic increase in appraisal reporting in CROS; and
- Activity to implement and embed the recommendations of task groups from the first year of operation of the new Senate committees, 2009/10.

4 Effectiveness of our approach to quality enhancement

The effectiveness of our strategies for enhancement is assessed via a range of quantitative and qualitative indicators. There is annual monitoring of progress against the 33 quantitative targets in the Strategic Plan, with the resulting report being sent to the Scottish Funding Council following

approval by Court. As of October 2010 (last Annual Report) the University was 'on track' to achieve 26 of the 33 targets in the Strategic Plan. The only remaining target which directly relates to enhancement is that of raising student satisfaction in the assessment and feedback section of the National Student Survey (NSS) to a level equivalent to the upper quartile of institutions surveyed. The Court received a presentation from the Vice Principal Academic Enhancement at its May 2011 meeting on "Improving our performance in the National Student Survey" and is aware of the continuing work in this area.

A further source of evidence on effectiveness is initiative-driven. It is standard practice to monitor the implementation of a significant new policy or other strategic measure, and so (to take one enhancement example) the Standards and Guiding Principles on Academic and Pastoral Support which were introduced in autumn 2010 will be formally reviewed by LTC in autumn 2011.

Progress across the three colleges on the implementation of the college Learning and Teaching Strategies is monitored by the LTC and reported through the annual reporting process to the Senate Quality Assurance Committee (QAC).

Given the far-reaching changes which have been instituted over the last two years in the University's strategic engagement with enhancement, it is too early to be able to judge with confidence the effectiveness of their impact – and especially so bearing in mind that they seek not just to remould structures and fine-tune processes but also to bring about a transformation in attitudes, values and strength of engagement. Although the initial signs are overwhelmingly positive it will be crucial to remain alert to what emerges from the range of indices of impact currently in place, while also trying to develop new and more fine-grained sources of evidence.

5   Use of external reference points for quality enhancement

Making good use of external reference points, benchmarks and frameworks to guide effective practice plays an indispensable part in pursuing and refining our approach to sustaining and enhancing excellence. It entails being ready to actively seek out what can be learned from experiences and insights elsewhere rather than simply being alert to wider developments and, reflecting our high international standing, putting a premium on global as well as national reference points and advances in practice.

Our track-record in benchmarking our enhancement work against national and international examples is a good one. Our shared-ownership approach to enhancement gives us scope to further develop the showcasing of school-led initiatives to promulgate enhancements institution-wide. The measures that we make use of include:
- External surveys, such as the National Student Survey, the Postgraduate Taught Experience Survey, the Postgraduate Research Experience Survey and the International Student Barometer, by which we can benchmark the student experience, our services and our facilities;
- Membership of international networks such as Universitas 21, the League of European Universities, and the Network for Enhancing Teaching and Learning in Research-Intensive Environments, which brings Vice Principals/Pro-Vice-Chancellors for Teaching and Learning and Heads of Academic Development together annually to reflect on shared strategic challenges and opportunities;
- National reference points such as:
  o   the Higher Education Academy (HEA): we are taking part in the ScotPID programme and the Developing an Inclusive Culture in Higher Education programme, to further our own internal work on accessibility of the curriculum,
  o   the Quality Assurance Agency Enhancement Themes: in 2010/11 this was *Graduates for the 21st Century*, where the Vice Principal Academic Enhancement's role as QAA Scotland consultant has ensured that our graduate attributes framework has been enriched through familiarisation with cognate frameworks in many other universities within and beyond the UK,
  o   sparqs (Student Participation in Quality Scotland): where, during 2009/10 and 2010/11, EUSA and the University, overseen by the Director of Academic Standards and Quality

Assurance, have been exploring ways of further improving and streamlining the student representation system, and

o Vitae: where the Vitae Scotland and Northern Ireland Hub is hosted within the IAD, providing a route to engaging effectively with national and international policy and practice in supporting researchers; and

- The sector-wide initiative on teaching awards, where Universities Scotland in partnership with NUS Scotland and the HEA have sponsored a project to spread more widely the establishment of student-led Teaching Award schemes. This builds on the groundbreaking schemes launched at Edinburgh and Heriot-Watt Universities, and both institutions have enthusiastically committed themselves to supporting the initiative, which has already expanded from some six universities in its first year (2009/10) to double that number in 2010/11.

6   Identifying, disseminating and implementing good practice

In recent years, we have been progressively devoting greater efforts to identifying, celebrating and sharing examples of good practices, whether internally or externally generated, and whether they represent tried-and-tested approaches or are more explicitly innovative in nature. These efforts abound both at college level and University-wide, where the main methods of dissemination are: promulgation through committee structures; monitoring processes; enhancement initiatives and support for projects; EUSA Teaching Awards and Inspiring Teaching Conference; IAD activities and resource materials and a handbook and database.

Committee structures: the extended Senate discussions are a productive means of collating and sharing evolving good practices on a designated theme; recent themes have included employability, e-learning, postgraduate taught programmes and feedback. The Academic Strategy Group meetings perform a similar function for school-led initiatives. The four Senate committees also enable interchange on a range of topics, in tandem with the Senate committees' annual awayday, which typically focuses on a single strategic enhancement theme.

Monitoring processes: as an integral part of Teaching and Postgraduate Programme Reviews schools are asked to identify instances of good practice which can then be documented in subsequent reports and highlighted in committee discussions. School and college annual monitoring reports perform a similarly important function through QAC, where good practices can be highlighted and commended for wider emulation.

Enhancement initiatives: a valuable means of spreading good practices has been via major enhancement initiatives, where there can be both designated resources to identify relevant local and wider innovative practices and a timely focus around which to take stock of current and changing practices. Examples include:

- the Assessment Futures initiative on extended-prose exam answers, where information is being collated on what strategies schools are contemplating or have already been trialling;
- the Innovative Learning Week, where students can engage in a variety of novel learning experiences - each school has been invited to draw up plans that best meet the needs of its particular student constituencies, and as plans take firmer shape, these will be more widely promulgated through face-to-face discussions and a wiki;
- the Enhancing Feedback work, where both internally generated and globally sourced innovative feedback strategies have been disseminated in various forms, including an IAD website that assists individuals and groups to reappraise and improve the provision of feedback within a course unit, programme of study or subject area: www.tla.ed.ac.uk/Feedback

Support for projects: three instances of strategic support are the Principal's e-Learning Fund (PeLF) the Principal's Teaching Awards Scheme (PTAS) and the Distance Education Initiative (DEI). PeLF helped lay the foundation for a thriving network, the eLearning Professionals and Practitioners Forum (eLPP). Through its annual IT Futures Conference and other activities, the eLPP plays an influential role in disseminating and implementing good practice in the use of learning technology. PTAS outputs are disseminated via a website and regular fora. The DEI is likely to follow a similarly proactive approach.

EUSA Teaching Awards and Inspiring Teaching Conference: The EUSA Teaching Awards recognise and reward those academics who are committed to delivering excellence in teaching. This is the first fully student created and run university teaching award scheme in the UK. In 2011, 777 members of staff were nominated by a total of 5,168 students; the nominations spanned 277 courses and 73 subject areas. It has been evident that the Awards highlight those who might not have come to light through more traditional methods. The University has been very receptive to this and has worked in collaboration with EUSA to identify a pool of good teachers to enable the collection and sharing of good practice. In addition, EUSA and the IAD jointly organise an Inspiring Teaching Conference for staff and students of the University. This annual conference includes presentations and workshops from teaching award winners and nominees as well as an exhibition where schools and support services share examples of learning and teaching practice that they are particularly proud of. The links between this event and student perspectives on learning and teaching, all organised under EUSA's banner, provides an excellent forum for sharing practice with a focus on enhancing student engagement and experience.

IAD activities and resource materials: The establishment of the Institute for Academic Development provides an opportunity to boost the dissemination and wider sharing of good practice. Secondments to the IAD (begun during 2010/11) are already proving to be a valuable way of stimulating and supporting the exchange and implementation of practice and increasing the involvement of colleagues from a range of disciplinary backgrounds and roles. One secondee is playing an active role in University PDP and graduate attributes projects (linked to the ScotPID project) whilst another is supporting the roll out of on-line peer feedback mechanisms. Our aim is for the new central physical home of the IAD to become an important location for exchange and discussion across the University. The IAD also has an extensive range of resource materials, part externally sourced, part developed in-house and tailored to Edinburgh practices.

Handbook and database: Inspiring Learning is a novel University-wide initiative, led by the Vice Principal Academic Enhancement and the IAD, which is wholly geared to the more effective promulgation of innovative learning-teaching practices. Its aims are:

- to celebrate advances in all aspects of learning and teaching at Edinburgh that enhance the quality of students' experiences of university study;
- to showcase these advances more widely across the schools, colleges, and support services, so that all can learn from them, whether by example, emulation or adaptation;
- to contribute to public understanding of how learning and teaching in universities are evolving to engage with new opportunities and challenges.

The first step in the initiative will be the production in autumn 2011 of an IAD Inspiring Learning Handbook, laying the foundations for a longer-term database that can be regularly updated and enlarged. The Handbook will focus around a cluster of themes which align to strategic goals, including new spaces for learning and teaching; enhancing feedback to students; interconnections between learning and research and scholarship; collaborative learning; engaging with student diversity; and bridging the academy and the graduate workplace. The Handbook also draws upon the EUSA Teaching Awards. Entries are being compiled from edited face-to-face interviews, yielding accounts of initiatives which can serve as exemplars for the subsequent database, where entries will be self-reported.

In a University the size and scale of Edinburgh, strengthening mechanisms through which to surface and share good practices is challenging, but we have recently been making great strides forward, even though evidence of impact thus far is inevitably limited. The next step in addressing the challenge will be to facilitate more proactive, school-led documentation of advances in practice and here we see the role of the pending handbook and database as pivotal.

Professor Dai Hounsell
Vice Principal Academic Enhancement
9 June 2011

The University of Edinburgh

The University Court

20 June 2011

Reflective Analysis for the Enhancement-Led Institutional Review

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The University will undergo an Enhancement-Led Institutional Review (ELIR) by the Quality Assurance Agency (QAA) in October and November 2011. This follows on from out last institutional review which was held in October and November 2006. The main focus of the ELIR method is to review an institution's approach to improving the student learning experience. It also examines an institution's ability to secure the academic standards of its awards and to manage the quality of the learning opportunities it provides for its students.

In preparation for this review the University needs to supply to the QAA, by the end of August, its Reflective Analysis which summarises its approach to these issues and gives some commentary on them. This document is not intended to be comprehensive but rather to highlight key strategic priorities, ethos and processes.

This document is accompanied by Case Studies chosen to:
- highlight key developments in our strategic development of the student learning experience;

- demonstrate our approach to the strategic management of enhancement and the student learning experience, consistent with our devolved structure;

- provide an opportunity for each college to highlight a key priority within its enhancement strategy, thereby providing us with examples of good practice to share across the University.

The contents pages of the Reflective Analysis, together with its introduction and conclusion sections, are appended. The entire document, including appendices and case studies, is about 200 pages long. It is available on request from the Director of Academic Standards and Quality Assurance.

Action requested

Court is invited to endorse this document, which was approved by the Senate Quality Assurance Committee on 25 May and by Senate on 8 June 2011.

Resource implications

Does the paper have resource implications? Yes

Preparing for ELIR takes significant staff time. There are some financial costs, e.g. in preparing and printing the Reflective Analysis and in catering.

Risk assessment

Does the paper include a risk assessment? No

It would not be appropriate to include a risk assessment in the Reflective Analysis itself. However the risks associated with a report from the ELIR review that was perceived to be poor, and the steps to

mitigate against this, have been reported on to the Risk Management Committee.

Equality and diversity

Does the paper have equality and diversity implications? Yes

Addressed in relevant section of the paper.

Freedom of information

Can this paper be included in open business? No

 Its disclosure would substantially prejudice the effective conduct of public affairs

For how long must the paper be withheld? The final version will be published when the Reflective Analysis it is sent to the ELIR review team.

Originator of the paper

Dr Tina Harrison, Director of Academic Standards and Quality Assurance, June 2011.

The University of Edinburgh

The University Court

20 June 2011

**Ordinance 210: Election of Chancellor, General Council Assessors and
Chairing of General Council Meetings**

Court at its meeting on the 21 February 2011 approved the commencement of a consultation period on draft Ordinance 210: Election of Chancellor and General Council Assessors. The Senatus Academicus and the General Council offered no observations and no observations were received from any other party. However the draft Ordinance was formally submitted to the Privy Council for observations and further suggested amendments to the Ordinance were received from the Privy Council.

The Privy Council suggested it may be more appropriate to amend the title of the Ordinance to confirm that it also covered chairing of meetings as well as the elections and suggested very helpful rewording to paragraph 3 (1). The other comments related to clarification of paragraph 3 (3) and paragraph 4 and in both cases the provision as set out was as desired and therefore required no further amendment. The remaining comment was in respect of the casting vote by the chair of a General Council meeting and this will be taken forward as appropriate.

The General Council has confirmed acceptance of the amendments suggested by the Privy Council and the attached revised Ordinance is now presented for formal approval by Court. It is anticipated that the Ordinance will be considered expediently by the Privy Council.

Court is invited to consider and approve the attached Ordinance which incorporates the further suggested amendments from the Privy Council and to request that this Ordinance be submitted to the Privy Council for approval.

Dr Katherine Novosel
June 2011

UNIVERSITY OF EDINBURGH ORDINANCE No. 210

ELECTION OF CHANCELLOR AND GENERAL COUNCIL ASSESSORS AND
CHAIRING OF GENERAL COUNCIL MEETINGS

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the Universities (Scotland) Act 1966, Schedule 2, Part I, paragraph 1 empowers the University Court to amend the composition, powers and functions *inter alia* of the General Council and Schedule 2, Part I, paragraph 3 of that Act empowers the University Court to fulfil the purposes *inter alia* of section 14 of the Universities (Scotland) Act 1889 and section 14(4) of that Act includes as one of the purposes *inter alia* to regulate the time, place and manner of presenting and electing University officers:

AND WHEREAS the University Court on the recommendation of the General Council deems it expedient to alter the arrangements for the election of the Chancellor and for the election of Assessors nominated by the General Council to serve on the University Court as presently governed by University of Edinburgh Ordinance No. 198 as amended by University of Edinburgh Ordinance No. 205;

THEREFORE the University Court, in exercise of the powers conferred upon it by Sections 3 and 4 of the Universities (Scotland) Act 1966, and with particular reference to paragraphs 1 and 3 of Part I of Schedule 2 to that Act, hereby statutes and ordains:

Meetings of the General Council

1.   At the meetings of the General Council, the Chancellor, whom failing the Rector, whom failing the Principal, whom failing the Chancellor's Assessor shall preside; and in the absence of all the said Officials the Chair shall be elected by the meeting, provided that, at any meeting of the Council held in furtherance of electing an Assessor or Assessors to the University Court, no member of the Senatus Academicus, member of staff of the University of Edinburgh or matriculated student of the University of Edinburgh shall preside. The Chair shall have a deliberative and a casting vote, and in case of an equality of votes, the Chair or any one appointed by the University Court to act for the Chair as hereinafter provided, shall have a casting vote. The Chair of the meeting shall decide all points of order.

Election of a Chancellor

2.   (1) The Chancellor shall be elected for life by members of the General Council whose details are contained within the General Council Register by means of a single transferable vote system. The election shall be conducted in accordance with this Ordinance and arrangements determined from time to time by the Business Committee of the General Council.

(2) When a vacancy occurs in the office of Chancellor, the Business Committee of the General Council shall fix the date by which nominations for a successor shall be received, hereinafter called the nomination day, such date to be no fewer than 90 days from the date of the vacancy. The Secretary of the General Council shall intimate the nomination day and the conditions for the nomination of candidates in accordance with the arrangements determined from time to time by the Business Committee of the General Council. No person who is a member of staff of the University of Edinburgh or who is a matriculated student of the University of Edinburgh shall be eligible for nomination for election as Chancellor.

(3) The result of the election shall be transmitted to the Secretary of the University Court as soon as it is established and the said Secretary shall disseminate the said result within the University.

Election of General Council Assessors

3. (1) In the ordinary course and rotation, Assessors shall be elected every two years by members of the General Council whose details are contained within the General Council Register, other than those who are also members of the Senatus Academicus of the University of Edinburgh. The Assessors shall be elected in accordance with this Ordinance and arrangements for the election of General Council Assessors as determined from time to time by the Business Committee of the General Council.

(2) Only members of the General Council can be nominated for election as a General Council Assessor. No member of the Senatus Academicus or member of staff of the University of Edinburgh or a matriculated student of the University of Edinburgh shall be eligible for nomination for election as a General Council Assessor not withstanding that they may be a member of the General Council.

(3) Assessors shall be elected to serve for a period of office of four years and while eligible for re- nomination shall only be eligible for re-nomination for one consecutive period of office.

(4) In the case of a vacancy arising from the resignation, death or legal incapacity of an Assessor or upon an elected Assessor becoming a member of the Senatus Academicus, a member of staff of the University of Edinburgh or a matriculated student of the University of Edinburgh, the Business Committee of the General Council shall determine the appropriate course of action.

(5) The result of an election shall be transmitted to the Secretary of the University Court as soon as it is established and the said Secretary shall disseminate the said result within the University.

Validity of an election

4. The validity of any election held in terms of this Ordinance shall not be affected by any defect in the procedure carrying out such election unless on the application of a candidate or an individual designated by the candidate to represent them to the Secretary of the General Council prior to the results of the election being declared, the Convener or Acting Convener of the Business Committee of the General Council shall after due enquiry declare the election invalid.

Incapacity of Chair or Secretary

5. If the Chair of a meeting or the Secretary of the General Council is incapacitated by illness or otherwise from discharging the duties in reference to an election imposed by this Ordinance, or if the office of Secretary becomes vacant, the University Court in the case of the Chair of the meeting, and the Business Committee in the case of the Secretary, shall appoint a person to discharge such duties and the person so appointed shall, so far as the purposes of the election are concerned, act as, and be deemed to be, Chair of the meeting or Secretary, as the case may be.

Revocation of Ordinances

6.   On the date on which this Ordinance comes into force, Ordinance No. 198 (Election of Chancellor and General Council Assessors) and Ordinance No. 205 (Election of General Council Assessors - Amendment of Ordinance No. 198) shall be revoked.

Effective date

7.   This Ordinance shall come into force on the date on which it is approved by Her Majesty in Council.

IN WITNESS WHEREOF these presents are sealed with the Common Seal of the University Court of the University of Edinburgh and subscribed on behalf of the Court in terms of the Requirements of Writing (Scotland) Act 1995.

Professor Sir Timothy O'Shea

Member of the University Court

Dr Kim Waldron

University Secretary

The University of Edinburgh

University Court

20 June 2011

Rectorial Election 2012

The Rector's three year term of office ceases at the end of February 2012 and Court will therefore require to consider arrangements for the election of a new Rector. The election will be conducted in accordance with Ordinance 197: Rectorial Election.

Detailed arrangements will be presented to the first Court meeting in the new academic session for approval, including a timetable of the key election dates, Regulations based on those approved for the 2009 election and the Statement on the Role of the Rector made available to prospective candidates. In the meantime Court is invited to approve the approach and set the dates of the election to allow the planning process to commence.

The 2009 election was conducted using an on-line voting system for students and an on-line and postal voting system for staff; counting was undertaken electronically. Students and staff were able to access the voting system on the MyEd portal. It is proposed that a similar approach is adopted for the 2012 election and Court is invited to consider holding the on-line voting from 9.00 am on Wednesday, 8 February 2012 until 7.00 pm on Thursday, 9 February 2012; subject to consultation with the Senatus Academicus as required by Ordinance. This will avoid a clash with the Student Association's Elections held late February/early March.

Court is further invited to approve the appointment of Lord Cameron as the Returning Officer. Lord Cameron has carried out this task at previous elections and his advice has been most helpful. Court is further invited to endorse the appointment of Dr Alexis Cornish as Deputy Returning Officer.

As in previous elections the University will seek the services of the Electoral Reform Society during the planning stage and invite its representative to be in attendance when postal votes are opened and when the count is performed.

Court is invited to approve on-line voting for students and staff with postal voting available to staff in specific circumstances, approve the dates for the election of 8 and 9 February 2012 subject to consultation with Senatus Academicus and approve the appointment of Returning Officer and Deputy Returning Officer.

Dr Katherine Novosel
Head of Court Services
June 2011

The University of Edinburgh

The University Court

20 June 2011

Academic Report

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper is the Academic Report to Court providing information on the discussion which took place at the most recent meeting of the University Senate on 8 June 2011, and of the business dealt with by the electronic Senate of 17-25 May 2011.

A copy of the full minute of the Senate meeting, together with related papers, can be found as always on the Senate webpages at:
http://www.ed.ac.uk/schools-departments/academic-services/committees/senate/agendas-papers
Copies of presentation slides are available upon request from the Senate Secretariat.

Action requested

No action is requested. The report is for information to update Court on Senate activities.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Jane McCloskey
Senate Secretariat
9 June 2011

1. Summary Report of the Senatus Meeting on 8 June 2011

Part One: 'Enhancing the Student Experience – Routes to Improving Academic and Pastoral Support'

The meeting began as usual, with presentations and discussion around a particular theme. The strategic theme for the June meeting was *'Enhancing the Student Experience – Routes to Improving Academic & Pastoral Support'.* The aim of the session was to consider the progress made in strengthening academic and pastoral support for students, to share good practice from different areas of the University, and to consider possible future initiatives in this area.

(a) Introductory Remarks

Professor Hounsell reflected on what was meant by the 'student experience' at the University. He highlighted some of the challenges to be faced in seeking to identify ways to strengthen the student experience. These included considering the question of what constitutes an effective support framework, taking account of local needs and practices and understanding what works well for different areas, and addressing the changing nature of the University / student relationship. He argued that high quality learning requires the student to exist as partner and not customer, since effective learning is a partnership endeavour rather than simply a transaction.

(b) Thoughts from the Colleges

Dr Morag Donaldson provided a helpful insight into the system of Student Support Officers (SSOs) within the College of Humanities and Social Sciences. SSOs had first been introduced in 2007-8 and all schools within the College now employed at least one SSO. The main motivation behind the initiative had been to remove the administrative burden from Directors of Study (DoS) freeing up time to focus on academic advice and support. Dr Donaldson reflected on the benefits of the SSO network, including, easier and quicker access to support, the existence of an ever increasing bank of staff with expertise on a wide range of relevant issues, and an improvement in the quality and the consistency of support provided to students.   However she noted the potential for negative consequences, specifically a possible distancing of the DoS from the student and the weakening of that relationship. Dr Donaldson talked about the College's plans to take steps to mitigate that potentiality by seeking to focus increasingly on the role of the DoS as the academic mentor.

Dr Michael Rovatsos, Progamme Director, Informatics Masters Programmes, gave an engaging presentation considering how an effective support structure might be built around the traditional Director of Studies system. Dr Rovatsos highlighted some of the measures introduced by his own School to improve its student support system. This included a restructuring which resulted in the integration of the Teaching Organisation and the Grad School, both sitting under the auspices of a Student Services Administrator and with a common administrative support structure. The School had introduced an online form allowing students an easy route to raise any issues or questions, and had made improvements to the physical environment for learning. Dr Rovatos concluded by suggesting five key attributes of effective support for students, these being support which is: accessible, comprehensible, comprehensive, timely, and appropriate.

Dr Fred Pender, Fellow in Medical Education, College of Medicine and Veterinary Medicine, delivered an interesting presentation on the impact of his research project on the experience of 1st year medical students. He had set out to capture the experience of a sample cohort of first year medical students to develop a better understanding of the transitional issues faced when adapting to the medical school. Dr Pender explained that in general in weeks 1-6 the

students had struggled to keep on top of the workload and to develop appropriate study habits, had found the lecture sequence unclear and were puzzled by 'out of context' learning However the situation improved markedly in weeks 7-11 when the students felt they were less overwhelmed by work, became more engaged and began to embrace self-test activities. Dr Pender went on to explain how the 1st semester 1st year medical programme had been reshaped and rebuilt as a result of the findings of the project so that from September it would include, amongst other things, a greater rational of small to large group teaching, more interactive lectures, and clearer signposting of learning points.

(c) Related Support Activities

Ms Daphne Loads and Dr Jon Turner of the University's Institute for Academic Development (IAD) outlined the role of the Academic and Pastoral Support Network. Ms Loads summarised some key learning points from her work with the Network. Dr Turner highlighted relevant planned future activities at the IAD and invited Senate input into those.

(d) Discussion & Questions

In discussion members talked about the value of viewing the student support system as having two strands, one relating specifically to academic support and the second to other aspects of the student experience, with the each working to complement the other. Concern was expressed that currently there was something of a 'patchwork' of provision across difference schools and that there was need to continue to improve the consistency of the quality and level of student support provided across the University. A concern was also expressed about an apparent lack of any effective support mechanism to deal with students experiencing serious mental health problems but who do not recognise themselves as being ill and / or are not willing to seek medical assistance. The University Secretary was asked to consider this point and to review what support is available to students in that category.

Several members expressed an interest in the transferability of the research project carried out by Dr Pender to other areas of the University. Dr Pender felt that it would be relatively straight forward to implement a similar project in other subject areas.

There was discussion on the importance of avoiding 'over assessment' in the first year. It was recognised that testing can play a helpful role in helping students to develop confidence, but that it was crucial to ensure an appropriate balance between formative assessment and summative assessment in the early stages of the student's University career. It was also noted that the weighting and the nature of assessment can be a key factor in generating stress, rather than just the sheer volume of assessment. An increased use of peer assessment and peer teaching were suggested as possible ways to allow progress to be measured without generating unnecessary stress.

The importance of managing student expectations was highlighted. It was noted that undergraduate entrants often have unrealistic expectations of the marks they are likely to achieve at University and a flawed perspective of what constitutes a 'good mark'. In addition, the study skills they have been led to develop at school will frequently not be appropriate for learning at University level. This in turn highlighted the important of ensuring the provision of study skills training for undergraduate entrants.

Part Two: Formal Business

Annual Report from the Senate Committees

Senate received the annual report from the four Senate Committees; Learning and Teaching Committee, Quality Assurance Committee, Researcher Experience Committee, and Curriculum and Student Progression Committee. Members were pleased to note the steady progress made by each of the Committees during the 2010/11 academic session and that the committee structure had bedded in successfully in its second year of operation, allowing the committees to work together constructively and in a strategic way. Senate noted and approved the Committee's strategic priorities and related planned activities for 2011/12.

A full copy of the Senate Committees Annual Report is provided to the Court for its information (Paper D2).

Enhancement-Led Institutional Review (ELIR)

Senate considered and unanimously approved the final draft of the key documents to be published in advance of the ELIR which will take place in Oct/Nov 2011, these being the draft Reflective Analysis, Appendices and Case Studies.

Report from the Honorary Degrees Committee

Senate approved the recommendations as presented for the awarding of Honorary Degrees at summer and winter graduation ceremonies in 2012.

Senate Assessor

Senate congratulated Professor Lesley Yellowlees on her appointment as Vice Principal and Head of the College of Science and Engineering. Members noted that in light of her new position, Professor Yellowlees will resign from her role as Senate Assessor on the University Court from 1 August 2011. Nominations for a new Senate Assessor to Court will be sought over the summer.

2. Summary Report of Senate Business Conducted Electronically

The Senate conducted electronic business between17-25 May 2011. This included consideration of the following items:

- **Report from the Court meetings of 21 February and 16 May –** Senate noted the content of the Court report, including revised terms of reference for the Library Committee. No comments were submitted on draft Ordinance 210 in the election of Chancellor and General Council Assessors.

- **Report from the Central Management Group meetings of 26 January, 9 March and 20 April –** Senate noted the content of the report.

- **Report from the Central Academic Promotions Committee –** Senate noted the approval of 28 nominations for the award of the title of Personal Chair.

- **Draft Chair Resolutions –** No comments were received in relation to 33 draft chair resolutions presented by Court.

- **Revised Core Employment Policies –** Senate noted the agreement on revised policies on staff discipline, grievance, capability, absence management, and redundancy avoidance, and the removal of any need for associated tribunals and committees and for Senate nominees to sit thereon.

- **Appeal Committee Membership –** Senate approved membership of the University Appeal Committees for 2011-12.

- **Student Discipline Committee –** Senate approved the membership of the Standing Commission on Discipline and the Student Discipline Committee for 2011-12.

- **College Academic Management Structures –** Senate noted the College Academic Management Structures for 2011-12.

June 2011

The University of Edinburgh

The University Court

20 June 2011

Annual Report of the Senate Committees

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

The paper is the Annual Report of the Senate Committees. This year marks the second year of operation of a revised Senate Committee Structure and attached is the second joint Annual Report of the four newly constituted Senate Committees. The Annual Report summarises the main achievements of each of the Senate Committees during 2010-11 and sets out their strategic priorities and related planned activities for 2011-12.

The Report was considered by Senate at its meeting on 8 June. Senate was pleased to note the progress made during 2010-11 and approved the planned activities for 2011-12.

Action requested

No action is requested. The report is for information only to inform and update Court on the activities of the Senate Committees.

Resource implications

Does the paper have resource implications? No

Risk assessment

Does the paper include a risk assessment? No

Equality and diversity

Does the paper have equality and diversity implications? No

Freedom of information

Can this paper be included in open business? Yes

Originator of the paper

Jane McCloskey
Senate Secretariat
9 June 2011

Annual Report of the Senate Committees 2010/2011

Introduction

1. This is the second annual report of the four Senate committees: Curriculum and Student Progression, Learning & Teaching, Quality Assurance and Researcher Experience. It proposes strategic priorities and activities for 2011/12. These proposals arose in committee discussions and at the May 2011 Senate Committees Away Day, which included participants from the committees, EUSA, Court, Colleges and student services.

2. Senatus is invited to note the major items of committee business from 2010/11 and to approve the strategic issues proposed by each of the four committees for discussion during the next academic session.

3. There was clear consensus at the Senate Committees Away Day that the committee structure had bedded in successfully in its second year of operation, and that the committees had again worked strategically and in a collegiate and constructive way, contributing significantly to the enhancement of both the taught and research student experience.

4. The committees recognise the importance of following through the recommendations and decisions of the Task Groups and committees to ensure their effective implementation and to maximise enhancement, and that time and resources will need to be balanced between undertaking new work on forward agendas and implementing and following up on the work already done by Task Groups and in committees.

Strategic Priorities

5. Discussion at the Senate Committees' Away Day in May gave the committees the opportunity to reflect on the current year's work and to plan for the future. The Away Day this year was themed around Employability. The committees discussed how best to align their activities and contribute to the development and then the delivery of the next Strategic Plan. The work of the committees makes a significant contribution towards enhancing the student experience, and will continue to maintain the quality of the learning experience while remaining flexible and open to new initiatives.

6. In addition to these over-arching aspects, each Committee has a plan of activity 2011/12. These are set out by committee below, together with a short summary of key achievements from the 2010/11 academic session.

Senate Curriculum and Student Progression Committee

1.   Curriculum and Student Progression Committee (CSPC)
www.ed.ac.uk/schools-departments/academic-services/committees/curriculum-student-progression

CSPC aims to take a systematic and holistic approach to regulation, policy and guidance, adopting the principle of the golden copy and enhancing staff and student experience by greater clarity in our documentation. Work to communicate and implement new developments is an important part of the work of the committee, its task groups and the functional areas which support activities.

A key aspect of the committee's work is oversight of the academic regulatory framework and consideration of requests where exemptions and concessions from the standard rules should be granted. CSPC exercises a strategic focus, which is influenced by operational factors.

2010/11 Achievements

 The committee progressed a number of significant issues in 2010/11:

- CSPC agreed that it should be the norm within the University for our awards and degree programmes to be consistent with the Scottish Credit and Qualifications Framework (SCQF). Colleges reviewed all awards to ensure this, and to clarify the reasons for variation in a very small number of cases. Work on mapping SCQF levels was begun and will continue in 2011/12.

- New templates and guidance for degree programme specifications were produced to include information on graduate attributes, social responsibility and sustainability. Schools are now using the new documentation.

- CSPC approved new awards and qualifications for implementation from 2011/12, including foundation programmes in HSS and CSE; the Master of Public Policy in HSS; and the BSc in Biomedical Sciences, the Master of Public Health and Master of Surgery (General Surgery) in MVM. It also considered articulation arrangements with certain overseas institutions for specified degree programmes, to support the strategic aim of advancing internationalisation.

- Work with Governance and Strategic Planning, on focusing our consideration of degree classification data and the analysis of exit awards, began and will continue in 2011/12.

- Policies and regulations were developed or revised in a number of areas, including: work to support the merger of the University and Edinburgh College of Art from 1 August 2011; the annual revision of the *Degree Regulations and Programmes of Study*; recognition in degree programmes of credit-bearing postgraduate continuing professional development courses; revision to the pattern of teaching blocks in semesters; professional or practice based doctorates, where CSPC agreed that proposals will be approved on a case by case basis; a performance sport policy; academic appeal regulations; and postgraduate assessment regulations for research degrees.

In 2010/11 CSPC has had two Task Groups: one on **Taught Assessment Regulations** and one looking at **Guidance for Boards of Examiners (Phase 2)**, which reported periodically throughout the year. CSPC approved the new taught assessment regulations and guidance

and a revised Code of Practice for Boards of Examiners, both for use from 2011/12. These will be publicised to staff and students.

Activities for 2011/12

CSPC activity will focus on the following main areas in 2011/12:

- Continuing our work on the clarification and use of exit award data.

- SCQF work, including mapping of levels and developing level descriptors.

- Developing the way the committee interacts with Boards of Studies, to enable optimisation of curriculum design, development and maintenance. This work was carried forward from 2010/11.

- Review of the opt-outs approved by CSPC (and its predecessors).

- The business of the committee in supporting the enhancement of the academic regulatory framework and the development of the curriculum, which will accommodate factors like embedding graduate attributes and working with external developments, e.g. the next QAA enhancement theme, "Developing and Supporting the Curriculum", which will run for three academic years from summer 2011. CSPC intends to enhance the communication and implementation of new developments and will explore methods such as news-sheets, the web and training events.

CSPC plans to have the following Task Groups in 2011/12: **Special Circumstances**; **Postgraduate Research Assessment Regulations**, which will draw on the restructuring model of the taught assessment regulations; and, time permitting, will review the University and College regulation sections of the *Degree Regulations and Programmes of Study*. We will also reserve sufficient time to support Enhancement-Led Institutional Review activities and subsequent development work.

2. Learning and Teaching Committee (LTC)
www.ed.ac.uk/schools-departments/academic-services/committees/learning-teaching

In 2010/11 the Learning and Teaching Committee structured its meetings around particular themes, which were set at the start of the year. This enabled Colleges and EUSA to organise relevant work to inform their contributions to the themed discussions. The themes were: Surveying the Student Experience; Developing and Recording Graduate Attributes; Enhancing Student Engagement; and Strategic Enhancement and Priorities for 2011/12. Work related to a number of strategic goals, enablers and themes in the University Strategic Plan, and in particular to "excellence in learning and teaching" and "enhancing our student experience".

2010/11 Achievements

In 2010/11 the committee made progress on the following main issues:

- Surveying the student experience. As part of this work the Committee considered a variety of student surveys in which the University participates with the aim of making our use of surveys more effective. This led to the development of the Student Voice project by Governance and Strategic Planning, which aims to use a Business Intelligence System to generate analyses which can better underpin decision-making, planning and strategic activity. This supports one of our strategies in the Strategic Plan 2008-12 for "Enhancing our student experience" theme, to "standardise analysis of, and action taken in response to, internal and external student feedback".

- Developing and recording graduate attributes. A number of issues were considered under this theme: employability and the development of appropriate graduate attributes for University of Edinburgh students; 21st century graduates, the Quality Assurance Agency's 2009/10 enhancement theme; HEAR; and Colleges' personal development planning initiatives. LTC approved the University's Employability Statement. Work on this will be taken forward by the Employability Strategy Group (ESG), which reports to LTC.

- Enhancing student engagement and fostering students as active participants in their learning and development. Discussion on this theme was led by the student Vice-Presidents for Academic Affairs and Societies and Activities. Colleges shared information on a variety of methods of enhancement in these areas and EUSA reported on methods of peer and informal support which are available to students. There are links to Innovative Learning Week work. LTC commended the work of the Student Co-ordination Induction Group, which takes a strategic and proactive approach to student induction issues and reports annually to LTC.

- Developing and integrating School, College and University Learning and Teaching Strategies. LTC approved and endorsed the progress on these strategies, which are available via the LTC web homepage. A common approach has been taken, mirroring that in the sector: a broad design of strategy which allows Schools to choose how to enact the enhancement strategy in a local context. LTC will review College strategies and progress annually. The University Learning, Teaching and Enhancement Strategy set the following institutional priorities for 2010-2012: employability; assessment and feedback; student guidance and support; and enhancement infrastructure.

- Distance Education Initiative. LTC provided input on updates on the Distance Education Initiative which aims to substantially expand our provision of taught postgraduate distance education.

LTC has had two Task Groups in 2010/11: **Assessment Futures,** and the **Higher Education Achievement Record (HEAR**[1]**)**. Assessment Futures organised a consultation with Colleges on examinations and the word processing challenge. This revealed a variety of existing practice and potential future needs and will be used to guide next steps over the coming academic year. LTC approved the recommendations of the HEAR Task Group on what will initially be included in the HEAR, the proposed protocol to amending and developing the non-credit bearing inclusions in HEAR and endorsed the establishment of a central repository for degree programme specifications. In a significant enhancement of the student experience, all undergraduate and taught Masters students will get a HEAR from the end of academic year 2011/12. This includes students leaving with an undergraduate or postgraduate Certificate or Diploma and visiting students. This is ahead of our original target and ahead of much of the sector, where HEARs may be issued on graduation to students first matriculating in 2011/12. LTC also received an update on work on enhancing feedback, which was the theme of a task group in 2009/10.

Activities for 2011/12

LTC activity will focus on the following main areas in 2011/12:

- The nature and coherence of our degree programmes, the pedagogic underpinning of our provision and the relationship to entry and exit points and flexible routes through our degrees.

- The strategic management of teaching. This has been brought forward from 2010/11. Issues to examine include recognition and reward for teaching, where LTC will work with the Staff Committee and HR to further develop work in this area; and cultivating the creative spark: capitalising on, communicating and spreading existing and innovative excellent practices.

- Standards and Guiding Principles for Academic and Pastoral Support and for Enhancing Feedback were approved by Senate in June 2010. LTC will review the activity which underpins their delivery.

- LTC's meeting themes will be the University Learning, Teaching and Enhancement Strategy institutional priorities for 2010-2012: employability; assessment and feedback; student guidance and support; and enhancement infrastructure.

- LTC and ESG will consider how graduate attributes develop and are built up as students progress through a degree programme, including use of different forms of learning, teaching and assessment to deliver graduate attributes.

- Other enhancement activity includes ongoing work on the development of an Inspiring Learning handbook and database; support for Innovative Learning Week; and input to the development of the University's next Strategic Plan.

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[1] HEAR is an extended degree transcript which includes information on students' non-credit bearing activities

LTC plans to have the following Task Groups in 2011/12: a task group on **Assessment**, which will conclude the follow-up to the recent Assessment Futures consultation and will also review the University's Assessment Principles, which were last reviewed in August 2004; and a separate task group which will review **support for Tutors and Demonstrators**. If sufficient time and resources are available, and the timing of the work coordinates with a related task group of QAC, the committee will also consider setting up a task group to review **enhancements from evaluation of student experience**. Student surveys are a key element of the Quality Assurance Framework and also relate to the Student Voice work. To ensure that surveys add value and lead to enhancement outcomes the task groups will build on one another. LTC has a role in ensuring that the surveys address the key elements of the student experience, while QAC has a key role in the mechanisms used and the reporting in annual monitoring and periodic review processes. LTC will also reserve sufficient time to support Enhancement-Led Institutional Review activities and subsequent development work.

3.   **Quality Assurance Committee (QAC)**
http://www.ed.ac.uk/schools-departments/academic-services/committees/quality-assurance

The theme of enhancing the student experience has informed much of the committee's activity in2010/11, for example through the Teachability task group focusing on accessible learning for all students, the focus on the quality of the student experience in the University's existing remit for internal subject reviews and the forthcoming innovative method for support service reviews, and work with EUSA and Sparqs on increasing student engagement through student representation structures. Quality Assurance Committee activity continues to be central to the Senate committees' aim to establish and capture baselines on which to monitor the University's activities, and further development is planned in this area. Preparation for the Enhancement-Led Institutional Review (ELIR) in 2011/12 is led by the Director of Academic Standards and Quality Assurance, who convenes Quality Assurance Committee

2010/11 Achievements

The Committee made progress on the following areas in 2010/11:

- Implementation of the recommendations of the 2009/10 task group on student support service review, through the development of detailed process and guidance for an enhanced framework of student support service reviews, with the first reviews taking place in 2011/12.   Presentation by the Director of Academic Standards and Quality Assurance of well-received workshop on the University's new review method at the 5th European Quality Assurance Forum in Lyon and the 8th annual Enhancement Themes Conference in Edinburgh.

- Creation of a database Register of Accreditations by Professional, Statutory and Regulatory Bodies, available from August 2011 via the University's Quality web pages at http://www.ed.ac.uk/schools-departments/academic-services/quality-unit/quality-assurance/accredit-collaborative

- Participation in a workshop programme in collaboration with sparqs (Student Participation in Quality Scotland) which has informed work by EUSA and Quality staff on the University's class representation structure and associated guidance.

- Delivery of a major redesign of the Quality presence on the University's website, followed by activity underway to roll out core, consistent Quality content across Schools and Colleges, with the assistance of the University's web project team; http://www.ed.ac.uk/schools-departments/academic-services/quality-unit

- Provision of enhanced briefing and support for subject areas undergoing internal subject review; embedding common core elements of the review process across Teaching Programme Review and Postgraduate Programme Review; greater collaboration with and involvement of PSRBs in internal subject reviews, where appropriate; dissemination of good practice from internal subject review through the Inspiring Teaching Conference and separate good practice event which is intended to run on an annual basis.

- Arising from discussions among attendees at the TPR good practice event, agreement to establish an interest group on 'transition to professional practice' across a range of University disciplines.

- Review of University Quality framework and associated policies to ensure fitness for purpose for post-merger ECA.

- The University's Equality and Diversity Committee and the Disability Committee reported to QAC for the first time in 2010/11, a reporting route welcomed by the two

committees as a means of further supporting the University's strategic theme of promoting equality, diversity, sustainability and social responsibility.

- The Director of Academic Standards and Quality Assurance led a successful project bid under the major new Scottish Personal Development Planning institutional development programme provided by the Higher Education Academy, QAA Scotland and the Centre for Recording Achievement. The programme will help individual higher education institutions identify, understand and resolve key issues affecting personal development planning (PDP) in ways which directly enhance the quality and effectiveness of the student learning experience. The University's project is INTEGRATE: INTegrating and Embedding GRaduate ATtributes at Edinburgh. Links to professional practice at undergraduate, taught postgraduate and research levels are being explored through project areas in Divinity, Nursing Studies and the first cohort of 50 Principal's Career Development PhD Scholarship holders. Embedding graduate attributes through the medium of PebblePad (the University's e-portfolio) is a central theme, and complements existing University initiatives in embedding our graduate attributes and using PebblePad as a tool for reflection.   It complements other University work as part of the QAA enhancement theme Graduates for the 21st Century, Employability and LTW2.

- Piloting, in collaboration with CHSS, a database of committee decisions.

- The Director of Academic Standards and Quality Assurance has led Scottish-sector workshops on the SCQF and on the review of the External Examining system. In June 2011 The Director of Academic Standards and Quality Assurance, the Convener of the Teachability task group and the Director of the Disability Office will lead a national Higher Education Academy workshop on enabling staff engagement in the inclusive curriculum.

- The University's quality framework is attracting growing interest from the international sector. Quality staff have hosted or will host in the coming months visits by senior quality practitioners from a group of Danish universities and from the universities of Leeds, Queensland, Malta and Woolongong, and have also presented to a group of senior Dutch quality administrators.

QAC has had two task groups in 2010/11. A task group on **Teachability (Accessible Learning)** took forward work on ensuring that the University policy and practice in Teachability align with the Quality Assurance Agency's Code of Practice (Disabled Students) and outputs of the national Teachability project. The group's recommendations cover a range of activity aimed at making the curriculum accessible, including podcasting, blogging and recording of lectures, field trips, year abroad placements, visiting lecturers, School audits of accessible learning, the auditor role, documentation for students and the University's Assessment Regulations. A second task group on **Quality Assurance of Collaborative Provision** has reviewed existing provision and guidance, mapping these against the QAA Code of Practice precepts. A range of key University material has been updated as a result, including templates for Memoranda of Agreement and Understanding, and a revised guidance framework has been proposed. Detailed implementation work, including the preparation of guidance, will follow in a second phase of work (within the 2011/12 Collaborative Provision and Distance Learning task group).

Of potential areas of activity noted for 2010/11, Peer Observation of Teaching will in future come under the remit of Senate Learning and Teaching Committee. The role of QAC will be to assure the quality of practice taking place within processes and guidance developed by Senate Learning and Teaching Committee. The quality assurance and enhancement of preparation for University study will be addressed through annual quality assurance reporting and periodic internal subject reviews.

Activities for 2011/12

QAC will focus on the following main areas in 2011/12:

- **Enhancement-Led Institutional Review (ELIR).** A key priority is the successful delivery, under the leadership of the Director of Academic Standards and Quality Assurance, of the Enhancement-Led Institutional Review in October and November 2011. The Committee will allocate follow-up responsibility to relevant University authorities and will monitor progress against recommendations one year on from the review. A successful outcome to the review will support the University's Strategic Goal of "excellence in learning and teaching".

- **Quality Assurance of Collaborative and Distributed Learning Task Group**. Given the substantial expansion underway of the University's provision in on-line distance learning, it is timely to ensure that University policies and procedures support the delivery of high quality provision in this area and, more broadly, in terms of distributed learning and employer engagement. Building on the work of the Collaborative Provision task group, a task group will be set up to assess the extent to which the University's current practice maps onto the QAA precepts for flexible and distributed learning (in particular collaboration with employers and online distance learning), revise procedures and guidance where necessary, and will consider how students studying remotely are involved in processes developed for on-site provision. This work will support the University's Strategic Themes of "engaging with our wider community", "advancing internationalisation" and "enhancing our student experience". [Strategic Plan 2008-12].

- **Assuring the Quality of the Student Experience Task Group**. There is a need for the University to derive greater value and insight from its core quality assurance activities, while also rationalising and simplifying its surveying of students. Working in collaboration with the Student Voice project being undertaken by Strategic Planning, a task group will propose core content for monitoring activity and explore means by which the administration of surveys can be managed most effectively, and usefulness and consistency of data maximised. This supports one of the strategies in the University's Strategic Plan 2008-12 within the "Enhancing our student experience" theme, namely "[to] standardise analysis of, and action taken in response to, internal and external student feedback". The outputs of this work will inform follow-on work by Senate Learning and Teaching Committee on enhancements based on evaluations of the student experience.

- **"Placeholder Task Group"**. The committee has designated a placeholder task group slot in order to be able to respond rapidly and within existing resources to emerging, urgent priorities. These may include emerging priorities from ELIR, recommendations from the UUK/Guild HE review of external examining arrangements, and the review of the Academic Infrastructure.

From 2011/12 all task groups of QAC will include an implementation plan to accompany their recommendations. The engagement of task group members with the practical aspects of delivering the recommendations, including risks and possible barriers to progress, will provide a more robust basis for implementation.   QAC commends this approach for wider adoption by the committees of Senate.

Other activities planned for 2011/12

- Delivery of training to support review teams and support services in the new student support service review method.

- Review of the University's Code of Practice on External Examining in the light of forthcoming QAA changes to its Code of Practice following the publication in March of the UUK/Guild HE Review of External Examining in the UK.

- Development of principles for the operation of staff-student liaison committees and their interaction with the University's committee structure (with EUSA).

- Development of principles for the role of School Director of Quality.

- Contribution on the quality assurance aspects of the next Enhancement Theme.

- Development of a University strategy following the outcome of the QAA consultation on Key Information Sets, due in July 2011.

- Development of standards and guiding principles on Accessible Learning.

4.   Researcher Experience Committee
http://www.ed.ac.uk/schools-departments/academic-services/committees/researcher-experience

2010/11 Achievements

In 2010/11 the Researcher Experience Committee has:

- Supported closer relationships between EUSA and PGR students, particularly with the successful EUSA Postgraduate week in February 2011

- Set up Task Groups – these have worked well and include people from across the University, joining academic and support service staff

- Received Defining the Edinburgh PhD Task Group final report which was also reported to CMG

- Continued supporting the Principal's Career Development Scholarships

- Received Concordat Implementation Task Group final report. This task group achieved HR Excellence in Research Award for the University and dramatic increase in appraisal reporting in CROS

- Managed Roberts changes – IAD has embedded these in University systems

- Supported PIs – work begun by Concordat Implementation Task Group is continuing with Research Staff Management & PI Support task group.

REC had four Task Groups in 2010/11: Defining the Edinburgh PhD, Concordat Implementation, Improving Conversion and Research Staff Management & PI Support (this task group will continue its work into 2011/12).

The **Defining the Edinburgh PhD Task Group** focused on key elements of the Edinburgh PhD experience including; branding, PGR recruitment, needs of international students, PhD programmes and governance, study and learning space, transferable skills, Careers Service, scholarships and alumni feedback. REC approved it recommendations on enhancing the PhD experience.

REC approved the recommendations of the **Concordat Implementation Task Group** including addressing issues raised by CROS, especially in relation to Strategic Plan targets and accreditation reviewing for the HR Excellence in Research Award.

REC approved the recommendations of the **Improving Conversion Task Group** which considered declined offers and failure to matriculate. The recommendations can be read as a charter covering the Edinburgh experience from "cradle to grave".

The **Research Staff Management and PI Support Task Group** continues to review current available support currently across the University and identify gaps. It is also considering ways to improve signposting of support available and raise awareness amongst PIs and will make use of CROS-RL and forthcoming PIRLS data in recommending courses of action.

Researcher Experience Committee

Activities for 2011/12

REC activity will focus on the following main areas in 2011/12:

- **Communications Strategy.** REC will develop a communications strategy with allocated responsibilities to REC members. This is a two way process with feed up and feed down where channels will be identified and communication implemented.

- **Task Group recommendations follow up**: keeping track of completed task groups.

- **Postgraduate Research Experience Survey (PRES), Careers in Research Online Survey (CROS),** Principal Investigators and Research Leaders Survey **(PIRLS).** REC will receive survey reports, review what action can be taken and disseminate via its agreed Communications Strategy.

- **Higher Degree Regulations**. The existing regulations require review and to take account of the increasing examining burden of higher degree applications.

- **Collaborative Provision.** REC will receive the report of the Collaborative Provision Task Group when complete for information and to discuss whether any specific PGR follow up is necessary.

REC plans to have the following Task Groups in 2011/12:

- **Non-Traditional PhDs.** This task group, which starts work in May/June 2011, will cover distance, e-learning, part-time, learning away from Edinburgh, and professional doctorates. It will consider how increasing industry engagement can impact on postgraduate training and the increasing pressure of numbers seeking training and quality of applicants.

- **PGR Study Space** (agreed 2010/11)**.** Some successful examples already exist in Schools, often initiated and run by students. This task group will investigate case studies and involve Estates & Buildings in its membership.

- **Facilitated inter, cross and multi-disciplinary research.** This task group will consider how best to facilitate this and examine the barriers and benefits.

- **Career development for early career researchers.** This task group will gather practice from across the University, for example on work shadowing and mentoring links. This area is also beneficial for knowledge exchange, teaching and public engagement in research.

Vice Principal Professor Mary Bownes (REC),
Director of Academic Standards & Quality Assurance, Dr Tina Harrison (QAC),
Vice Principal Professor Dai Hounsell (LTC),
Assistant Principal Dr Sue Rigby (CSPC).

<u>The University of Edinburgh</u>

The University Court

20 June 2011

Draft Resolutions

No observations having been received from the General Council, the Senatus Academicus or any other body or person having an interest and in accordance with the agreed arrangements for the creation and renaming of Chairs, the Court is invited to approve the following Resolutions:

Resolution No. 4/2011:	Institution of new postgraduate Degree: Master of Public Health
Resolution No. 5/2011:	Institution of new postgraduate Degree: Master of Surgery (General Surgery)
Resolution No. 6/2011:	Merger with Edinburgh College of Art
Resolution No. 7/2011:	Foundation of Chairs associated with merger with Edinburgh College of Art
Resolution No. 8/2011:	Merger with Edinburgh College of Art: Institution of new postgraduate Degrees
Resolution No. 9/2011:	Merger with Edinburgh College of Art: Institution of new undergraduate Degrees
Resolution No. 10/2011:	Revocations associated with the merger with Edinburgh College of Art
Resolution No. 11/2011:	Foundation of the Handa Chair of Japanese-Chinese Relations
Resolution No. 12/2011:	Foundation of a Chair of Veterinary Immunology
Resolution No. 13/2011:	Foundation of a Chair of Resilience Biology
Resolution No. 14/2011:	Foundation of the Anne Rowling Chair of Tissue Regeneration
Resolution No. 15/2011:	Amendment to Resolution No. 45/2006
Resolution No. 16/2011:	Institution of new postgraduate Degree: Master of Public Policy
Resolution No. 17/2011:	Postgraduate Degree Programme Regulations
Resolution No. 18/2011:	Undergraduate Degree Programme Regulations
Resolution No. 19/2011:	Foundation of a Personal Chair of Dependable Systems
Resolution No. 20/2011:	Foundation of a Personal Chair of Systems Neurobiology
Resolution No. 21/2011:	Foundation of a Personal Chair of Extragalactic Astrophysics
Resolution No. 22/2011:	Foundation of a Personal Chair of Tissue Stem Cell Biology
Resolution No. 23/2011:	Foundation of a Personal Chair of Politics
Resolution No. 24/2011:	Foundation of a Personal Chair of Psychology of Language and Cognition
Resolution No. 25/2011:	Foundation of a Personal Chair of Coordination Chemistry
Resolution No. 26/2011:	Foundation of a Personal Chair of History
Resolution No. 27/2011:	Foundation of a Personal Chair of Reproductive Neuroendocrinology
Resolution No. 28/2011:	Foundation of a Personal Chair of Systems Immunology
Resolution No. 29/2011:	Foundation of a Personal Chair of Software Systems Modelling
Resolution No. 30/2011:	Foundation of a Personal Chair of Student Learning (English for Academic Purposes)

Resolution No. 31/2011: Foundation of a Personal Chair of Molecular and
Experimental Neuroimaging
Resolution No. 32/2011: Foundation of a Personal Chair of Social Psychology
Resolution No. 33/2011: Foundation of a Personal Chair of Primary Care E-Health
Resolution No. 34/2011: Foundation of a Personal Chair of Architectural Practice
Resolution No. 35/2011: Foundation of a Personal Chair of Forest Science
Resolution No. 36/2011: Foundation of a Personal Chair of Communications, Arts and
Religion
Resolution No. 37/2011: Foundation of a Personal Chair of Glaciology
Resolution No. 38/2011: Foundation of a Personal Chair of Health Geography
Resolution No. 39/2011: Foundation of a Personal Chair of Scottish Private Law
Resolution No. 40/2011: Foundation of a Personal Chair of Microbial Pathogenesis
Resolution No. 41/2011: Foundation of a Personal Chair of Ecology
Resolution No. 42/2011: Foundation of a Personal Chair of Public Policy and
Citizenship
Resolution No. 43/2011: Foundation of a Personal Chair of Signal Processing and
Communications
Resolution No. 44/2011: Foundation of a Personal Chair of Web Informatics
Resolution No. 45/2011: Foundation of a Personal Chair of Paediatric
Gastroenterology and Nutrition
Resolution No. 46/2011: Foundation of a Personal Chair of Ion Channel Physiology
and Pharmacology

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 4/2011

Institution of new postgraduate Degree: Master of Public Health

At Edinburgh, Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Public Health:

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The University of Edinburgh may confer the degree of Master of Public Health (MPH) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Public Health.

2.   The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Public Health, and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3.   The degree of Master of Public Health shall not be conferred honoris causa.

4.   All candidates for the degree of Master of Public Health must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of Master of Public Health.

6.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 5/2011

Institution of new postgraduate Degree: Master of Surgery (General Surgery)

At Edinburgh, Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Surgery (General Surgery):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The University of Edinburgh may confer the degree of Master of Surgery (General Surgery) (ChM (General Surgery)) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Surgery (General Surgery).

2.   The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Surgery (General Surgery), and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3.   The degree of Master of Surgery (General Surgery) shall not be conferred honoris causa.

4.   All candidates for the degree of Master of Surgery (General Surgery) must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of Master of Surgery (General Surgery).

6.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 6/2011

Merger with Edinburgh College of Art

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS, the University Court and the Governing Body of Edinburgh College of Art have each agreed that Edinburgh College of Art should merge with the University on 1 August 2011; and

WHEREAS, the Scottish Parliament has approved the Edinburgh College of Art (Transfer) (Scotland) Order 2011, which makes provision for the merger of Edinburgh College of Art with the University of Edinburgh and the consequent reconstitution of Edinburgh College of Art as part of the University of Edinburgh, including provisions regarding the continuance of the office of Principal of Edinburgh College of Art, the academic disciplines to be included within the reconstituted Edinburgh College of Art, Edinburgh College of Art's continuing situation on the Lauriston Place campus and other such buildings as the University may determine from time to time, and the arrangements for the Andrew Grant Bequest and Edinburgh College of Art Prize Fund; and

WHEREAS the University Court considers it essential to the success of the merger and to the continued academic strength of the merged institution that an academic entity known as 'Edinburgh College of Art' should be established to which will be assigned staff of the University providing instruction and education in, and students of the University studying or carrying out research into, design, art, architecture and landscape architecture and such additional subjects as the University shall determine from time to time, and which would continue to benefit from the endowments known as the Andrew Grant Bequest and Edinburgh College of Art Prize Fund; and

WHEREAS the University Court further considers it essential to the success of the merger and to the continued academic strength of the merged institution that the identity, ethos, learning, teaching and assessment practices and studio-based culture of design, art, architecture and landscape architecture in Edinburgh College of Art are able to develop and flourish within the University of Edinburgh in the future; and

WHEREAS the University wishes to recognise that Edinburgh College of Art's heritage assets are integral to its identity, ethos, learning, teaching and assessment practices and studio-based culture, and to ensure that following merger, staff and students assigned to Edinburgh College of Art after merger continue to have access to these resources and to have an important role in their curation; and

WHEREAS the University's academic governance arrangements are prescribed in Resolution of the University Court No. 19/2001, including the principles of Collegiality and Delegation; and

WHEREAS the University Court considers it expedient to promulgate this Resolution setting out changes to those academic governance arrangements consequent upon the merger:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland)

Act, 1966, with special reference to paragraph 8 of Part II of Schedule 2 to that Act, hereby resolves that the following arrangements will apply:

1. There shall be within the University a new academic entity designated 'Edinburgh College of Art', to which will be assigned staff of the University providing instruction and education in, and students of the University studying or carrying out research into, design, art, architecture and landscape architecture and such additional subjects as the University shall determine from time to time in accordance with the University's existing decision making processes.

2. The University has determined that the present activities of the University's School of Arts, Culture and the Environment (that is to say architecture, history of art and music) will be merged with the academic activities currently located in Edinburgh College of Art, (that is to say, design, art, architecture and landscape architecture), to become the new academic entity designated 'Edinburgh College of Art'.

3. There shall be a Principal of Edinburgh College of Art, appointed by the Court on the recommendation of the Principal of the University: he or she shall be designated *ex-officio* a Vice Principal of the University and in that capacity shall report to the Principal of the University, and shall be a member of the University's Central Management Group with a remit relating to all aspects of the creative industries and performing arts. The Principal of the University shall recommend to the Court, as the first person to be appointed as Principal of the reconstituted Edinburgh College of Art, the person identified by the recruitment process ongoing as at the date of introduction of this Resolution.

4. For the purposes, and within the constraints, of Resolution of the University Court No. 19/2001 (Academic Governance Arrangements), unless modified by this Resolution, Edinburgh College of Art shall have the responsibilities, authorities and functions of a School within the College of Humanities and Social Science, with a designated budget. The Principal and Head of Edinburgh College of Art shall for those purposes be managerially responsible to the Head of the College of Humanities and Social Science. The internal academic leadership, management and organisation of Edinburgh College of Art shall be determined by its appointed Principal and Head after consultation with staff of that College and with relevant senior College of Humanities and Social Science staff and senior University staff.

5. Arrangements made for the admission of students, the courses to be taught, the methods of teaching, instruction and pedagogy generally, branding and public presentation, alumni relations and academic quality assurance for programmes within Edinburgh College of Art shall take full cognisance of the importance of its distinctive academic character and identity being conserved and enhanced and shall be consistent with University policies. Where the University's policies as at the date of adoption of this Resolution are inconsistent with the ongoing objective of conserving and enhancing the distinctive academic character and identity of Edinburgh College of Art, the University shall consider amending those policies to give full expression to this clause.

6. Endowments held by the former Edinburgh College of Art or by the former Trustees or any successor Trustees of the Andrew Grant Bequest shall continue to be used within Edinburgh College of Art in support of the activities for which they were intended.

7. The heritage assets currently in the ownership or possession of Edinburgh College of Art, including without limitation, its cast collection, its collection of paintings and drawings, its sculpture, silver and furniture collections, its collections of rare books and archives, and its teaching collections, shall be curated in accordance with the

University's general policies in regard to its collections and heritage assets, by the University's Director of University Collections and appropriate staff in Edinburgh College of Art to ensure that the relevant assets continue to be available to staff and students assigned to Edinburgh College of Art for teaching, research and other purposes and continue to support the identity and ethos of Edinburgh College of Art. Policies relating to collections are approved by University Collections Advisory Committee (UCAC) or University Library Committee, on which Edinburgh College of Art will have appropriate representation, and thence approved by University Court.

8. This Resolution shall come into force on 1 August 2011.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 7/2011

Foundation of Chairs associated with merger with Edinburgh College of Art

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University of Edinburgh and Edinburgh College of Art will merge on 1 August 2011;

WHEREAS Resolution No. 6/2011 creates an academic entity known as 'Edinburgh College of Art' in the University with effect from 1 August 2011; and

WHEREAS in light of the principles underpinning the merger and agreed by the University Court and the Board of Governors of Edinburgh College of Art, the University Court deems it expedient to found 8 Chairs for temporary periods:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 5 of Part II of Schedule 2 to that Act, hereby resolves:

1.   Eight new Chairs shall be created in the academic entity known as 'Edinburgh College of Art' in the University of Edinburgh, each of which shall be established solely for the period of tenure of the Professor initially appointed to it.

2.   The Chairs mentioned in paragraph 1 shall be entitled, respectively: Chair of Visual Theory and Scottish Art, Chair of Landscape Architecture, Chair of Architectural History and Theory, Chair of Art, Chair of Documentary Film, Chair of Architecture Research, Chair of Interdisciplinary Arts, and Chair of Design.

3.   When a Professor initially appointed to such a Chair ceases to hold that office, that Chair shall thereupon cease to exist.

4.   When, by virtue of paragraph 3, all of the eight new Chairs have ceased to exist, the provisions of this Resolution shall thereupon cease to have effect.

5.   The patronage of the Chairs shall be vested in and exercised by the University Court of the University of Edinburgh.

6.   Notwithstanding the transient nature of these Chairs, the terms, conditions and arrangements which by Statute, Ordinance and otherwise apply to other Chairs in the University shall be deemed to apply in like manner to these Chairs together with all other rights, privileges and duties attaching to the office of Professor.

7.   This Resolution shall come into force on 1 August 2011.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 8/2011

Merger with Edinburgh College of Art: Institution of new postgraduate Degrees

At Edinburgh, Twentieth day of June, Two thousand and eleven.

WHEREAS the University of Edinburgh and Edinburgh College of Art will merge on 1 August 2011;

AND WHEREAS the University Court deems it expedient to institute new postgraduate Degrees as a consequence of this merger:

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The University of Edinburgh may confer the following Degrees and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the following Degrees:

>   Master of Art (eca)
>   Master of Fine Art
>   Masters in Architecture
>   Master of Architecture
>   Master of Architecture (Studies)
>   Master of Landscape Architecture

2.   The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the Degrees referred to in section 1 of this Resolution, and in particular to register candidates for these Degrees and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates. Compliance with the appropriate regulations of Edinburgh College of Art prior to the date of merger with the University of Edinburgh shall qualify for the purposes of this section.

3.   The Degrees referred to in section 1 of this Resolution shall not be conferred honoris causa.

4.   All candidates for the Degrees referred to in section 1 of this Resolution must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates. Compliance with the appropriate regulations of Edinburgh College of Art prior to the date of merger with the University of Edinburgh shall qualify for the purposes of this section.

5.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the appropriate Degree referred to in section 1 of this Resolution.

6. This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 9/2011

Merger with Edinburgh College of Art: Institution of new undergraduate Degrees

At Edinburgh, Twentieth day of June, Two thousand and eleven.

WHEREAS the University of Edinburgh and Edinburgh College of Art will merge on 1 August 2011;

AND WHEREAS the University Court deems it expedient to institute new undergraduate Degrees as a consequence of this merger:

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The following Degrees may be conferred by the University of Edinburgh:

Bachelor of Arts
Bachelor of Arts with Honours
Bachelor of Architecture
Bachelor of Architecture with Honours

2.   Unless granted a concession or exemption, every candidate for the above Degrees must attend courses of instruction in the subjects prescribed by regulations as agreed by Senatus Academicus and pass the Degree examinations similarly prescribed. Attendance on such courses of instruction at Edinburgh College of Art prior to the date of merger with the University of Edinburgh shall qualify for the purposes of this section.

3.   The Senatus Academicus, with the approval of the University Court, may from time to time make regulations determining the subjects of study, the courses of instruction, the Degree examinations, the conditions under which candidates may be exempted either from attendance or from examination, or both, in respect of any course of instruction, and all other matters relating to the award of the Degrees referred to in section 1 of this Resolution. Compliance with the appropriate regulations of Edinburgh College of Art prior to the date of merger with the University of Edinburgh shall qualify for the purposes of this section.

4.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the appropriate Degree referred to in section 1 of this Resolution.

5.   The Degrees referred to in section 1 of this Resolution shall not be awarded honoris causa.

6.   This Resolution shall come in to force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 10/2011

Revocations associated with the merger with Edinburgh College of Art

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS Section 3 of the Universities (Scotland) Act, 1966 empowers the University Court to vary or revoke Resolutions passed in accordance with that Act;

AND WHEREAS Section 5 of the Universities (Scotland) Act, 1966 empowers the University Court to vary or revoke Ordinances, not being Ordinances listed in Schedule 3 to that Act, by Resolution passed in accordance with Section 6 of that Act;

AND WHEREAS certain such Resolutions and Ordinances are now obsolete as a consequence of the merger with Edinburgh College of Art;

AND WHEREAS the University Court of the University of Edinburgh has resolved that it is expedient that such Resolutions and Ordinances should be formally revoked:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, hereby resolves:

1.   The following Resolutions are hereby revoked:

Resolution No. 1/2006: Edinburgh College of Art: Institution of new Undergraduate and Postgraduate Degrees;

Resolution No. 12/2007: Edinburgh College of Art: Institution of new Postgraduate Degree; and

Resolution No. 1/2009: Edinburgh College of Art: Institution of new Undergraduate and Postgraduate Degrees.

2.   The following Ordinance is hereby revoked:

Ordinance No. 248 – Edinburgh, No. 84: Regulations for Degrees in Arts, Supplementary to Ordinance No XXII (Edinburgh No 11).

3.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 11/2011

Foundation of the Handa Chair of Japanese-Chinese Relations

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to found the Handa Chair of Japanese-Chinese Relations:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act, 1966, with special reference to paragraph 5 of Part II of Schedule 2 to that Act, hereby resolves:

1. There shall be a Handa Chair of Japanese-Chinese Relations in the University of Edinburgh.

2. The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

K A WALDRON

University Secretary

<u>UNIVERSITY OF EDINBURGH</u>

<u>Resolution of the University Court No. 12/2011</u>

<u>Foundation of a Chair of Veterinary Immunology</u>

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to found a Chair of Veterinary

Immunology:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act, 1966, with special reference to paragraph 5 of Part II of Schedule 2 to that Act, hereby resolves:

1.   There shall be a Chair of Veterinary Immunology in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 13/2011

Foundation of a Chair of Resilience Biology

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to found a Chair of Resilience Biology:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act, 1966, with special reference to paragraph 5 of Part II of Schedule 2 to that Act, hereby resolves:

1.   There shall be a Chair of Resilience Biology in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 14/2011

Foundation of the Anne Rowling Chair of Tissue Regeneration

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to found the Anne Rowling Chair of Tissue Regeneration:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act, 1966, with special reference to paragraph 5 of Part II of Schedule 2 to that Act, hereby resolves:

1.   There shall be an Anne Rowling Chair of Tissue Regeneration in the University of Edinburgh.

2.   The patronage of the Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   This Resolution shall come into force with immediate effect.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 15/2011

Amendment to Resolution No. 45/2006

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to amend the provision of Resolution 45/2006 (First Degrees in Medicine and Medical Sciences);

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to the Act, hereby resolves;

1.   Sections 5, 6 and 8 of Resolution No. 45/2006 shall be amended to include the Degree of Bachelor of Science in Biomedical Sciences which may be conferred by the University of Edinburgh as an Ordinary Degree or as a Degree with Honours.

2.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 16/2011

Institution of new postgraduate Degree: Master of Public Policy

At Edinburgh, Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to institute a postgraduate degree of Master of Public Policy:

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 2 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The University of Edinburgh may confer the degree of Master of Public Policy (MPP) and those engaged in postgraduate studies by coursework in the University of Edinburgh shall include candidates for the degree of Master of Public Policy.

2.   The Senatus Academicus has the power to make Regulations under this Resolution governing the studies undertaken for the degree of Master of Public Policy, and in particular to register candidates for the degree and ensure their satisfactory supervision and to discontinue registration of unsatisfactory candidates.

3.   The degree of Master of Public Policy shall not be conferred honoris causa.

4.   All candidates for the degree of Master of Public Policy must be registered postgraduate students of the University of Edinburgh. The Regulations made by the Senatus governing registered postgraduate students apply to all candidates.

5.   A candidate who has satisfied the conditions prescribed by or under this Resolution shall be entitled to receive the degree of Master of Public Policy.

6.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 17/2011

Postgraduate Degree Programme Regulations

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it desirable to produce one comprehensive set of General Postgraduate Degree Regulations, including Assessment Regulations (2011/2012) applicable to all postgraduate qualifications subject to additional specific College regulations;

AND WHEREAS the University Court considers it expedient to promulgate this Resolution to set out these Regulations in full to give effect to the essential elements contained within these Regulations including Assessment Regulations (2011/2012):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraphs 2 and 8 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The General Postgraduate Degree Regulations are hereby set out:

Introduction

This programme contains the full Regulations for all categories of postgraduate study in the University of Edinburgh. Please consult the Table of Contents for details. Postgraduate students should read these regulations together with the approved Assessment Regulations for the current academic session (which form part of these Regulations) and either the Code of Practice for Supervisors and Research Students or the Code of Practice for Taught Postgraduate Programmes. In the case of any appeal, a student will be deemed to have read the Regulations and the relevant Code of Practice. These documents can be found at the following URL: www.ed.ac.uk/schools-departments/academic-services/policies-regulations

Where relevant, the University's awards and degree programmes are consistent with the Scottish Credit and Qualifications Framework (SCQF, http://www.scqf.org.uk/). Any exemptions need to be approved by the Curriculum and Student Progression Committee.

Powers of delegation

Acting under the delegated authority of the Senatus Academicus, Heads of Colleges have the authority to admit, examine and withdraw students and to grant permissions, concessions and exemptions. This authority is often delegated by the Heads of College to appropriate nominees or committees in the Colleges or Schools.

(For the MD and DDS, see Section E, Regulation 6, for the DVM&S, see Section E, Regulation 7)

1.   **General Regulations DD, DLitt, LLD, DSc, DMus**

1.1   Candidates for these higher degrees of the University must:

 (a) be graduates of The University of Edinburgh of not less than seven years standing, **or**

 (b) be graduates of other approved Universities of not less than seven years standing who

  (i) have served as members of staff (ordinary or honorary) of the University of Edinburgh for a continuous period of not less than four years, **or**

  (ii) in the case of the DMus have been awarded the degree of MMus by The University of Edinburgh, **or**

 (c) have been for four years Postdoctoral Fellows of the University.

1.2   Candidates must apply to the Higher Degrees Committee of the relevant College for approval of their candidature before submitting themselves to examination. The appropriate form of application for approval may be obtained from the Secretary to the relevant College Higher Degrees Committee.

1.3   Candidates, save those submitting compositions for the DMus, must submit published work in support of their candidature. Since the contents of a submission are liable to vary considerably, the format of submissions is not prescribed. Books should be submitted as published. Submissions comprising published papers and similar items should, as far as is practicable in the circumstances, be bound together in a manner that conforms to the Regulatory Standards for the Format and Binding of Theses and Portfolios of Musical Compositions (see the Research Degree Assessment Regulations). The submission must be accompanied by (a) a typed list of its contents, (b) the declaration required in Regulation 1.4 and (c) six copies of an abstract (see the Research Degree Assessment Regulations). The form for the abstract is obtainable from the College Office. The list of contents, declaration and text of the abstract must be incorporated at the beginning of each copy of a bound submission.
Candidates for the DMus may submit work as musicologists or composers. Compositions submitted for the DMus may be published or unpublished works. Unpublished compositions must conform to requirements as detailed in the Research Degree Assessment Regulations for Portfolios of Musical Compositions.

1.4   All works submitted must be accompanied by a statement, signed by the candidate:

- giving full details of any other degree or postgraduate diploma for which the works, in whole or in part, may have been submitted. Work submitted for another degree will not, in itself, contribute to the award. Earlier work may be submitted only when subsequent work develops from it, and assists the examiners in their overall assessment.

- certifying, for each piece of work submitted, either that the work is the candidate's own or, if he/she had been a member of a research group, the

precise contribution made by the candidate to each of the works in terms of initiating or leading the research and in writing up the material.

1.5 Submissions (three copies) should normally be lodged 12 months before the expected announcement of the award and must be submitted within 12 months of the acceptance of candidature. Two copies of successful submissions will remain the property of the University and one will be returned to the candidate.

1.6 At the time of lodging a submission, the examination fee must be paid. Candidates must also matriculate, but no matriculation fee is charged. When they are not already graduates of the University of Edinburgh, they must also, before graduating, pay the Registration Fee for membership of the General Council.

1.7 The University shall, in the case of each submission, appoint one internal, and, with the agreement of the University Court, two external examiners. Each external examiner should be of recognised eminence in the subject of the submission. For each submission there shall be at least three examiners of recognised eminence in the subject of the submission.

1.8 The degree shall be awarded only if the relevant committee of Senatus, on the recommendation of the examiners, is satisfied that the submission represents both an original and a substantial contribution to advancement of knowledge of the subject and that it constitutes work of high distinction in scholarship and/or research in respect of qualities such as erudition, insight, imagination, innovation and critical balance, such that it has established or confirmed the candidate as a recognised authority in the relevant field. In the case of candidates submitting compositions for the DMus, the degree shall be awarded only if the relevant committee of Senatus, on the recommendation of the examiners, is satisfied that the submission constitutes both an original and a substantial contribution of high distinction.

1.9 A candidate whose work has not been considered worthy of the degree may not again offer himself/herself for the degree within five years of his/her first candidature unless the period is specially reduced by the relevant committee of Senatus on the recommendation of the examiners.

1.10 Candidates for higher degrees may, at the discretion of the University, be permitted to graduate in absentia.

Regulations: Postgraduate Degrees

2. **Application and Registration of Postgraduate Students**

2.1 Application may be made for registration in one of the following categories:

(a) as a candidate for the PhD, MPhil, DClinPsychol, DPsychotherapy, EdD or EngD in SLI (see Regulation 2.2)

(b) as a candidate for a postgraduate masters degree (MArch, MArch (Studies), LLM, LLM by Research, MBA, MCouns, MEd, MMus, MSc, MSW, MTeach, MTh, Master of Chinese Studies, Master of Clinical Dentistry, MSc by Research, MTh by Research, MMedSci by

Research or MVetSci by Research), Master of Fine Art, Master of Art (eca), Master of Landscape Architecture

    (c)   as a candidate for a University postgraduate diploma

    (d)   as a candidate for a University postgraduate certificate

    (e)   as a visiting postgraduate student

    (f)   as a special course postgraduate student working for a period of at least three months attending a University course unrelated to a specific University qualification.

2.2 Registration

2.2.1   All candidates applying for registration for the PhD, MPhil, DClinPsychol, DPsychotherapy, EdD or EngD in SLI will be registered for the degree of their choice.

2.2.2   Re-registration as a candidate for a particular degree will depend on satisfactory progress and on meeting any conditions specified at the time of admission or subsequently.

2.2.3 University Staff
Members of the University staff and candidates holding a research appointment under the auspices of the University may only be registered for part-time study.

2.3   Except in the case of registered special course postgraduate students (see Regs. 2.9 and 2.10), applications for registration as a postgraduate student must be made on a form approved by the University.

2.4   All applicants must be graduates of the University of Edinburgh or graduates of another approved University, or must hold academic or professional qualifications, or their equivalent, accepted by the Senatus Academicus as equivalent.

2.5 Conditions of Offer
The College may impose appropriate conditions before agreeing to register an applicant. These conditions may include, amongst others:

    (a)   study of languages

    (b)   study in any special field pertinent to the work that will be carried out

    (c)   examinations, written, practical or oral

    (d)   the preparation of a critical survey of relevant literature

    (e)   the extension of the normal minimum period of study, and

    (f)   restrictions on authorised leave of absence from Edinburgh (see Regulation 4).

In the case of candidates registered for part-time study, the College will normally impose such conditions as to ensure adequate academic contact between the student and the appropriate University School.

2.6 **Conflicting Studies**

2.6.1 With the exception of those to whom special permission has been granted by both the College and the relevant committee of Senatus to pursue studies with a view to obtaining a professional qualification, candidates must not, during the period of their registration, take courses or pursue studies in this or in any other institution with a view to obtaining any degree, diploma or professional qualification other than the one for which they are registered in this University.

2.6.2 Candidates who have been registered for a postgraduate degree immediately prior to their proposed period of study at the University of Edinburgh may be admitted on the assumption that all written work for that postgraduate degree will be submitted for examination before the start of Week 0 in the year of entry to the Edinburgh degree. Candidates admitted on this basis who do not provide evidence of such completion by the end of Week 4 of Semester 1 will be formally withdrawn from their studies at the University of Edinburgh.

2.7 No candidate may be awarded more than one qualification for the same work.

2.8 **Transfers in Candidature**
The College may permit the following transfers in candidature from MPhil to PhD or to a postgraduate degree, or from postgraduate diploma or postgraduate degree to MPhil, or from postgraduate diploma or postgraduate degree to PhD. When such permission is granted, the candidate shall, in addition to satisfying the requirements for the degree to which transfer is made, pursue such further course of study as the College may require. Candidates transferring from registration for a postgraduate diploma or postgraduate degree to MPhil or to PhD will be required to remain in Edinburgh for such further period of study as the College deems necessary. Save in exceptional circumstances, this further period of study shall be not less than 12 months for the MPhil and 24 months for the PhD.

2.9 Special course postgraduate students are admitted by the School or organisation responsible for running the special course concerned. It is the duty of the Head of School or director of the organisation to notify the appropriate College Postgraduate Studies Committee of the names of those who have been admitted.

2.10 The Head of School or director of the organisation concerned will ensure, on behalf of the College, that all special course postgraduate students satisfy Regulations 2.1-2.7 and 3-4.

3. **Admission, Matriculation and Payment of Fees**

3.1 Students must matriculate at the beginning of their period of study and thereafter in September each year of their registration or until graduation and must on the occasion of each matriculation pay the fee due, at the date of payment, for the session concerned. If fees are not paid within one month of the effective date of admission or of the letter of admission, whichever shall

be the later, and annually thereafter within one month of the due date, then registration will lapse. It will be restored if payment of a late fee is made within three months of the due date; thereafter it will be restored only with the express consent of the College.

3.2 Alteration in the effective date of admission may be made only with the permission of the College.

4. Residence Regulation

4.1 **Residence in Edinburgh**
All candidates, with the exception of candidates registered for the Master of Chinese Studies or for recognised distance learning programmes, must remain in residence in Edinburgh throughout the period of study prescribed unless authorised leave of absence has been granted. Residence in Edinburgh is taken to mean (a) residence in, or in the immediate environs of, the city, or (b) a candidate's proximity to Edinburgh so as readily to allow face-to-face supervision and study as directed by the supervisor and approved by the College. Leave of absence is not normally permitted in the case of candidates for most postgraduate diplomas and taught masters degrees.

4.2 **Residence elsewhere**
PhD and MPhil candidates, with the written approval of the Head of School, may be absent in order to carry out fieldwork and necessary academic research for periods not exceeding 15 months in total. Such periods of absence may not fall in the first three months of study, and all candidates must be resident in Edinburgh for at least nine months of their prescribed period of study distributed throughout the prescribed period as directed by the candidate's supervisor so that regular and frequent contact is maintained. Authorised leave of absence, for reasons other than carrying out fieldwork, in the first three months of study or for a longer period than 15 months may only be granted, in exceptional circumstances, by the College.

4.3 **Reduction in Residence Requirements**

4.3.1 Part-time PhD and MPhil candidates who are not resident in or near Edinburgh may be registered on the basis that (a) they spend an initial period at the University of not less than three months; (b) they spend a total period of not less than nine months at the University over the period of study; (c) there is a maximum period of nine months between visits to the University for supervision; (d) there is demonstrable evidence of suitable facilities where they are normally resident and/or employed; and (e) there are appropriate reliable means of communication through which the candidate can maintain regular and frequent contact with his/her Edinburgh supervisor(s).

4.3.2 In exceptional circumstances, and when strongly supported by a particular School, the College may reduce the residence requirements for part-time candidates for the PhD degree to a total period of not less than two months, provided:

(a) it is demonstrated that the subject of study fits particularly well with the research interests of the Edinburgh School and supervisor(s)

(b)   it is clearly demonstrated that a suitable research project has been devised without the need to spend several months residence in Edinburgh

(c)   there is demonstrable evidence of suitable research facilities where the candidate is normally resident and/or employed

(d)   there are appropriate and reliable means of communication through which the candidate can maintain regular and frequent contact with the supervisor(s) in Edinburgh, and

(e)   the candidate already meets any requirements for doctoral training normally required of a PhD candidate in that subject.

Regulations: Degrees by Research

5.   **PhD and MPhil**

5.1   All registered postgraduate students must satisfy the Regulations 2-4.

5.2   **Supervision**

5.2.1   Each candidate will work under the guidance of at least one University supervisor appointed by the College. The University supervisor must be either (a) a salaried member of the academic staff of the University or (b) a member of staff employed by the University, not being one of the academic staff, who has appropriate expertise in research or (c) an honorary member of staff. The nomination of individuals in categories (b) or (c) to act as University supervisor for a stated period must be specifically approved by the College. In appropriate cases one or more other supervisor(s), who need not be members of the staff of the University, may be appointed by the College.

5.2.2   Candidates, including those studying on a part-time basis and those registered as continuing students, must report in person to their supervisors as and when required and at least twice in each three month period; candidates who are absent from the University must report to their supervisors in writing.

5.3   **Annual Reports**
The supervisors report to the College on the work of the candidate each academic year. For full-time students, the University supervisor in consultation with any other supervisor(s) makes a special report to the College not later than 9 months after the date of the candidate's registration. For part-time students, the report is submitted not less than 12 months and not more than 18 months after the initial registration. For practice-led PhD students in ECA these reports are made not later than 18 months after the date of the candidate's registration (and equivalent for part-time students). These reports are used as the basis, amongst other things, for:

(a)   confirming that any conditions of registration (see Regulation 2.5) have been met

(b)   confirming registration as a candidate for one particular degree or transferring registration as a candidate for a (different) degree

(c)   discontinuing registration. When discontinuation is recommended by a supervisor, he/she must obtain the comments of the Head of School, who is responsible for notifying the candidate that discontinuation has been recommended. The candidate is then given an opportunity to submit his/her views to the College before it reaches a decision as to whether or not the candidate's studies should be discontinued.

(d)   confirming or proposing the precise area in which a student's work is developing.

5.4   **The Prescribed Period of Study**
The College shall prescribe the duration of each candidate's minimum period of full-time or part-time study at the time of the candidate's admission.

5.4.1   **Prescribed Period of Study: PhD**
The normal period of study prescribed for full-time PhD candidates is 36 months. Full-time PhD programmes which are designed to be longer than 36 months require the approval of the Curriculum and Student Progression Committee.
The period of study prescribed for part-time PhD candidates is 72 months. Part-time PhD programmes which are designed to be longer than 72 months require the approval of the Curriculum and Student Progression Committee.
Members of the University staff and candidates holding a research appointment under the auspices of the University may be registered for a minimum period of 36 months part-time. Members of staff of Associated Institutions who can devote the whole of their period of study to research and who have regular and adequate involvement in the work of the University School may also be registered for a minimum period of 36 months part-time.
Reductions to the prescribed period In the case of a specific recommendation in the first-year report (Regulation 5.3), or subsequently, the College may reduce the prescribed period by up to 36 months for part-time PhD candidates. Reductions to the prescribed period are not available to those members of staff who are registered for the minimum period of 36 months.

5.4.2   **Prescribed Period of Study: MPhil**
The period of study prescribed for full-time MPhil candidates is 24 months
The period of study prescribed for part-time MPhil candidates is 48 months.
Members of the University staff and candidates holding a research appointment under the auspices of the University may be registered for a minimum period of 24 months part-time. Members of staff of Associated Institutions who can devote the whole of their period of study to research and who have regular and adequate involvement in the work of the University School may also be registered for a minimum period of 24 months part-time.
Reductions to the prescribed period In the case of a specific recommendation in the first-year report (Regulation 5.3), or subsequently, the College may reduce the prescribed period by up to 24 months for part-time MPhil candidates. Reductions to the prescribed period are not available to those members of staff who are registered for the minimum period of 24 months.

5.4.3   **Transfers from another Institution**
The research studies of candidates who apply to transfer from another institution in order to study for the PhD or MPhil degree of this University may

be counted towards the prescribed period of study for the degree. In such cases the prescribed period of study at this University shall be not less than 12 months. Candidates whose prescribed period of study has concluded shall thereafter be registered as continuing students during the remainder of their permitted period of study.

5.5   **Authorised Interruption of Study**
Registration during the prescribed period of study may be interrupted by the College for a specified period, if good cause is shown. The total period of authorised interruption of study for any candidate may not exceed five years. No fees are payable during any full year in which authorised interruption of study has been continuous.

5.6   **Submission of Thesis**
Candidates must submit their thesis as soon as possible after the end of their prescribed period of study (typically 3 years for full time PhD and 2 years for full-time MPhil, excluding any periods of authorised interruption of studies). The thesis must be submitted within a maximum period of 12 months after the completion of their prescribed period of study unless, in exceptional circumstances, an extension is granted by the College.

5.7   **Failure to Submit a Thesis**

5.7.1   Students who fail to submit a thesis and/or other materials as specified in the relevant assessment regulations by the deadline specified in the Regulations will be deemed to have withdrawn and will have their registration recorded as lapsed. Prior to lapsing a student the College will write to the student to inform them of the proposed course of action and to invite them to provide any comment on the lapsing of their studies.

5.7.2   **Lapsed Registration**
A student whose registration has lapsed in this way will be entitled to ask the College to reinstate his/her registration at a later date to permit examination of a completed thesis. A decision as to whether or not a candidate should be reinstated will be taken by the College, and factors such as the passage of time and its implications for the topic of study will be taken into account. If, exceptionally, reinstatement is approved, the candidate's thesis will be examined in the normal way, subject to payment of a reinstatement and examination fee.

5.7.3   During the period between lapse of registration as a student and reinstatement, the candidate ceases to be a student and is accordingly not entitled to any supervision or access to University facilities.

5.8   **The grounds for award of the degree of PhD by Research** are:

(a)   The candidate must have demonstrated by the presentation of a thesis and by performance at an oral examination (unless, due to exceptional circumstances, this is waived) that the candidate is capable of pursuing original research in the field of study, relating particular research projects to the general body of knowledge in the field, and presenting the results of the research in a critical and scholarly way.

(b)   The thesis must be an original work making a significant contribution to knowledge in or understanding of the field of study and containing material worthy of publication; show adequate knowledge of the field of study and relevant literature; show the exercise of critical judgement with regard to both the candidate's work and that of other scholars in the same general field; contain material which presents a unified body of work such as could reasonably be achieved on the basis of three years postgraduate study and research; be satisfactory in its literary presentation; give full and adequate references and have a coherent structure understandable to a scholar in the same general field with regard to intentions, background, methods and conclusions.

(c)   **Length of Thesis**
Within the Colleges of Humanities and Social Science and Medicine and Veterinary Medicine, the PhD thesis must not exceed 100,000 words. The thesis for the PhD in Fine Art must not exceed 50,000 words. The thesis for the PhD in Design must not exceed 50,000 words Within the College of Science and Engineering the PhD thesis must not exceed 70,000 words. In exceptional circumstances, on the recommendation of the supervisor, permission may be granted by the College to exceed the stated length on the ground that such extension is required for adequate treatment of the thesis topic. The thesis must include a lay summary, which is not counted in the word-court.

(d)   **For the award of PhD in Fine Art**, in addition to the above, the candidate will be required to submit other material(s) as specified in the relevant assessment regulations.

(e)   **For the award of PhD in Design**, in addition to the above, the candidate will be required to submit other material(s) as specified in the relevant assessment regulations.

5.9   **The grounds for the award of Doctor of Education (EdD)**
The general regulations for Taught Professional Doctorates (Regulation 8, Section B) will also apply.

(a)   The degree of EdD is awarded in the Moray House School of Education.

(b)   The degree of EdD may be awarded on the basis of successful completion of assessed essays, a research project and a thesis.

(c)   The prescribed period of study is normally 48 months part-time. The maximum period of study is 72 months part-time, unless, exceptionally, an extension is granted by the College.

(d)   The thesis will normally be between 45,000 and 75,000 words in length; students are encouraged to aim for a total of 60,000 to 65,000 words. The thesis must deal with one or more of the subjects of study of the curriculum of the taught stages of the degree or with subjects arising directly from contemporary practices and policies in education.

(e)   Candidates should normally be resident in or near Edinburgh during the taught elements of the degree. In exceptional circumstances and when strongly supported by a School, the College Postgraduate

Studies Committee and the relevant committee of Senatus may reduce the residence requirement for part-time candidates for the degree to a total period of two and a half months, provided that the conditions set out in Section B, Regulation 4 are met.

5.10 **The grounds for award of the degree of PhD in Composition in Music** are:

(a) The candidate must have demonstrated by the presentation of a portfolio of compositions and by interview at an oral examination (unless, in exceptional circumstances, this is waived) that the candidate is capable of original composition to a high creative level.

(b) The portfolio of compositions must comprise original work suitable for professional performance and worthy of publication; must show competence in the ancillary technical skills appropriate to the chosen style; must contain material which presents a body of work such as could reasonably be achieved on the basis of three years postgraduate study; must be satisfactory in its presentation and intelligible to any musician who might have to use it.

(c) The portfolio of compositions should normally include at least one major and extended work. A shorter submission may be accepted in the case of electronic compositions.

(d) The portfolio of compositions should be the result of work done mainly while the candidate is registered for this degree. If a substantial part of the portfolio was completed before registration for the degree, the candidate should indicate this in the declaration (see the Research Degree Assessment Regulations) and identify the part of the portfolio so completed.

5.11 **The grounds for award of the degree of MPhil by research** are:

(a) The candidate must have demonstrated by the presentation of a thesis and by written and/or oral examination that the candidate has acquired an advanced level of knowledge and understanding in the field of study, is capable of relating knowledge of particular topics to the broader field of study involved and of presenting such knowledge in a critical and scholarly way.

(b) The thesis must be a significant work comprising a satisfactory record of research undertaken by the candidate, or a satisfactory critical survey of knowledge in the approved field of study; show competence in the appropriate method of research and/or an adequate knowledge of the field of study; exhibit independence of approach or presentation; be satisfactory in literary presentation and include adequate references.

(c) Within the Colleges of Humanities and Social Science and Medicine and Veterinary Medicine, the thesis must not exceed 60,000 words. Within the College of Science and Engineering the thesis must not exceed 50,000 words. In exceptional circumstances, on the recommendation of the supervisor, permission may be granted by the College to exceed the stated length on the ground that such extension

is required for adequate treatment of the thesis topic. The thesis for the MPhil in Fine Art must not exceed 30,000 words

(d) **For the award of MPhil in Fine Art**, in addition to the above, the candidate will be required to submit other material(s) as specified in the relevant assessment regulations.

5.12 **The grounds for award of the degree of MPhil for Musical Composition** in the School of Arts, Culture and the Environment are:

(a) The candidate must have demonstrated by the presentation of a portfolio of compositions and by oral examination that he or she is capable of original composition to a high level.

(b) The portfolio of compositions must comprise original work suitable for professional performance; must show competence in the ancillary technical skills appropriate to the chosen style; must be satisfactory and intelligible in its presentation.

(c) The portfolio of compositions should include at least one extended work. A shorter submission may be accepted in the case of electronic compositions.

6. PhD (by Research Publications)

6.1 Applicants who are graduates of the University of Edinburgh or who are current members of staff of the University of Edinburgh, or of one of the University's Associated Institutions, may, at the discretion of the College, be allowed to apply for the award of the degree of PhD (by Research Publications).

6.2 Applicants must be either graduates of the University of Edinburgh of at least five years' standing; or members of staff of the University of Edinburgh or of an Associated Institution of not less than three years' standing.

6.3 Applicants should have been active postgraduate researchers in their field of expertise for a minimum of five years before seeking permission to register for this degree, and they should not submit material published more than ten years prior to the date when they are given permission to register for the degree.

6.4 Permission to register will not normally be granted to applicants who are in a position to submit for the PhD by dissertation or who already possess a PhD.

6.5 Applicants must first apply to the appropriate College to seek approval for their candidature before they can submit their work for formal examination. At the same time as lodging their application, applicants will be expected to submit their published work and a 500-word synopsis outlining the extent, range, quality and coherence of their submission.

6.6 When an applicant has notified a College of a desire to register for this degree, it will appoint a suitably qualified member of staff to advise it on whether there is a prima facie case for registration to be approved.

6.7   On registration, an adviser will be appointed to advise the candidate on the selection, coherence and quality of the portfolio of research work to be submitted and on the nature of the accompanying abstract and critical review.

6.8   The grounds for the award of PhD (by Research Publications) are

(a)   The submission of a portfolio of published work judged satisfactory by the examiners and a satisfactory performance at an oral examination.

(b)   The submitted portfolio of published research must add up to a substantial and coherent body of work which would have taken a diligent student the equivalent of three years of full-time study to accomplish, which makes a significant contribution to knowledge in or understanding of the candidate's field of study, and which is of a scholarly standard normally expected of a candidate who submits a PhD dissertation.

(c)   The portfolio of published work must consist of either one or two books or at least six refereed journal articles or research papers, which are already in the public domain. The total submission, including the critical review (see the Research Degree Assessment Regulations) should not normally exceed 100,000 words.

(d)   Candidates must either be the sole author of the portfolio of published work or must be able to demonstrate in the critical review of the submitted work that they have made a major contribution to all of the work that has been produced by more than one author.

Regulations: Postgraduate Degrees (involving Coursework and Thesis)

7   Taught Professional Doctorates

7.1   All registered candidates must satisfy Regulations 2.1-2.7 and 3-4, and 5.2-5.8.

7.2   The College will impose such conditions on part-time candidates as to ensure regular and frequent academic contact between the candidate and his or her supervisor.

7.3   The University supervisor in consultation with other supervisor(s) must make annual reports in terms of Regulation 5.3.

7.4   The grounds for the award of degree are:

(a)   The candidate must have demonstrated by the presentation of a thesis and by written and/or oral examination that the candidate has acquired an advanced level of knowledge and understanding in the field of study, is capable of relating knowledge of particular topics to the broader field of study involved and of presenting such knowledge in a critical and scholarly way;

(b)   The thesis must be a significant work comprising a satisfactory record of original research undertaken by the candidate, or a satisfactory critical survey of knowledge in the approved field of study; show

competence in the appropriate method of research and/or an adequate knowledge of the field of study; exhibit independence of approach or presentation; be satisfactory in literary presentation and include adequate references.

7.5 Additional entrance requirements, curriculum and examination arrangements will be held in relevant Degree Programme Tables and programme handbooks.

Regulations: Postgraduate Masters Degrees

8. **One year full-time Postgraduate Degrees General Regulations MEd, MMus, MSc, MTh, LLM, LLM by Research, MBA by full-time study, MCouns, MSc by Research, MTeach, MTh by Research, MMedSci by Research and MVetSci by Research** (For MBA in International Business see Section C, Regulation 11, for MSc in System Level Integration see Section D, Regulation 16, for Master of Clinical Dentistry see Section E, Regulation 8, for Master of Teaching see Section C, Regulation 14, for Master in Counselling, see Section C, Regulation 17.)
These regulations govern all one-year full-time (and equivalent part-time) postgraduate masters degrees. They may, however, be superseded by certain programme-specific regulations for degrees offered in collaboration with other institutions.

8.1 **Part time study**
Some postgraduate degree programmes may be pursued by part-time study on either a continuous or intermittent basis. Requirements for progression through individual programmes of study are shown in the relevant Degree Programme Table and/or programme handbook.

8.2 **Admission and Registration**

8.2.1 All registered candidates for postgraduate degrees must satisfy Regulations 2.1-2.7 and 3-4.

8.2.2 **Concurrent registration**
Where a postgraduate degree, diploma and certificate have common coursework candidates may initially be registered concurrently for this shared postgraduate degree/diploma/ certificate programme. Candidates who after the common coursework examination are invited to submit the independent work will continue with concurrent registration until the assessment of the independent work. After this assessment the candidates will be registered either for the postgraduate degree or for the postgraduate diploma as appropriate. Candidates who after the common coursework examination proceed to graduate for the postgraduate diploma or who are invited to resit postgraduate diploma examinations will be registered for the postgraduate diploma.

8.2.3 **Consecutive Registration**
Masters by Research candidates may, on the recommendation of their School and at the point of offer of admission to the University and/or by the point of first matriculation on the Masters by Research, be registered (either full time or part time) for consecutive Masters by Research, followed by PhD, study within the same School. Progress is assessed by the end of semester two of

the Masters by Research and, depending on the outcome, the student will be invited to follow one of three routes:

(a)   submission of a dissertation for the Masters by Research at the end of the first year followed, if successful in the Masters by Research, by registration in the next academic session on the first year of the PhD programme;

(b)   no submission of a dissertation for the Masters by Research at the end of the first year but transfer of candidature to the PhD such that the next academic session will constitute the second year of the PhD programme;

(c)   submission of a dissertation for the Masters by Research at the end of the first year and permanent withdrawal.

Candidates following route (a) above, may, subject to exceptional academic performance, with the recommendation of the supervisor and the approval of the appropriate College Postgraduate Studies Committee, submit their PhD thesis up to 12 months before the end date of the PhD prescribed period of study. Any such candidate who is subsequently successful in the PhD examination and who is not in receipt of funding (including tuition fees) for the four years of study (including the Masters by Research year), is eligible for a tuition fee refund equivalent to one twelfth of the annual tuition fee for each whole calendar month between the date of thesis submission and the end date of the PhD prescribed period.

This fee concession cannot be applied retrospectively. Candidates who are not registered for consecutive Masters by Research/PhD study at the point of being made an offer of admission to the University and/or by the point of first matriculation on the Masters by Research, but who register solely for the Masters by Research, will not be eligible for this concession. Such students, if undertaking PhD study following their Masters by Research study, continue to be liable for the full 4 years of tuition fees. Given that candidates must be recommended for consecutive registration by their School, this option may not be available in all Schools.

8.2.4   The period of study is 12 months, full-time. This period may not be reduced, and may be extended only in exceptional circumstances. No candidate will be admitted to a postgraduate degree or diploma programme after the date of opening without the express permission of the relevant College Dean acting on the advice of the programme director.

The period of study for degrees studied on a part-time continuous basis should be 36 months. The College may reduce this period by up to 12 months. For those degrees available on a part-time intermittent basis, the maximum period of study is 72 months.

Registration for part-time study will be permitted only to suitably qualified candidates who can show to the satisfaction of the College that they will be able to attend the prescribed courses, and devote adequate time to the necessary study. Registration will date from September except in the cases of the MBA part-time, where registration will start during late September, and specified MSc or MEd programmes by part-time intermittent study, where registration will date from the start date of the first course. Registration for

masters by research programmes which consist primarily of a single dissertation or thesis may commence in any agreed month. No candidate will be admitted to a postgraduate degree, diploma or certificate programme after the date of opening without the express permission of the relevant College Dean acting on the advice of the programme director.

Candidates must work in a School of the University, or in an institution in or near Edinburgh specifically approved by the College, unless granted leave of absence in terms of Regulation 4.

Candidates following degrees on a part-time basis must be resident in or near Edinburgh (see Regulation 4). Candidates following degrees which are available on a basis which does not require them to be at the University continuously throughout the period of study must be present in the University for the periods specified and according to the periodic basis specified.

8.3 **Authorised Leave of Absence, Authorised Interruption of Study or Discontinuation**

Authorised leave of absence is not normally permitted, but may be granted on special application to the College by the candidate's University supervisor (See Regulation 4).

Registration may be interrupted by the College, if good cause is shown, for not more than 12 months. No fees are payable during any full year in which authorised interruption of study has been continuous.

On the recommendation of the supervisor and Head of School, and after seeking the views of the candidate, the College may discontinue a candidate's studies.

8.4 **Examination**

8.4.1 **All Masters Degrees**

Regulations relating to examination and assessment (including progression and awards) are detailed in the Postgraduate Assessment regulations which are available via:- www.ed.ac.uk/schools-departments/academic-services/policies-regulations/regulations/assessment

Candidates will be formally examined on the course of study laid down (see relevant Degree Programme Table). An oral examination may be required. Candidates, in addition to being examined on coursework, will be required to submit their independent work for examination by a date to be announced. Submission dates for all assessed work, including the dissertation, will be specified in the relevant programme handbook. Extension will be granted by the College in exceptional circumstances only. The submission of independent work may consist of a dissertation and/or other material(s) as specified in the relevant assessment regulations. (Two typewritten copies of each dissertation must be submitted).

For those degrees studied on a part-time continuous basis, coursework should be completed within 24 months of first registration before progression to the dissertation. Registration may be interrupted by the College, if good

cause is shown, for not more than 24 months. No fees are payable during any full year in which authorised interruption of study has been continuous.

The assignment of independent work will take place before 31 March in the year in which it is to be examined, except for those candidates studying on a part-time intermittent basis.

Candidates will pursue their dissertation studies under the direction of University supervisors nominated by the Head of School and appointed by the College. The College may appoint additional supervisors from outwith the University.

Candidates who are required to resubmit any components may exit, if successful, with a postgraduate diploma.

A candidate who fails to reach the standard required for the degree may be permitted, on the recommendation of the examiners, to transfer to antedated candidature for an appropriate postgraduate diploma or certificate, where one exists, in terms of the Regulations for that postgraduate diploma or certificate.

The General Postgraduate Certificate may be attained by students who do not fulfil the requirements for a specific diploma or certificate award but who have attained a minimum of 60 credit points gained from passes in University courses which count towards graduation. At least 40 of the credits attained must be at level 11.

The degrees may be awarded with distinction.

8.4.2 **Masters by Research degrees only**
In addition to any requirements as detailed in the relevant Degree Programme Table the following grounds for award will apply to all Masters by Research Degrees:-

(a)   The certified completion of research training plus other designated projects and/or assignments and/or course work, and the completion of a dissertation. The assessed work, including the dissertation, should be equivalent to but not exceeding 30,000 words. The dissertation, which may comprise the total of the assessed material, or a part only, in which case that part must be worth at least 60 points out of the total 180 points required for the award of the degree. Assessments of the various elements may be made separately or together at the end of the programme.

(b)   The completion of any required research training and demonstration by the presentation of work specified above that he/she has acquired an advanced level of knowledge and understanding in the field of study and is capable of undertaking independent research.

(c)   The portfolio of projects or dissertation submitted should comprise either a satisfactory record of research undertaken by the candidate, or a satisfactory critical survey of knowledge in the field of study, or both combined with a satisfactory plan for a more advanced research project; and show competence in the appropriate method of research and an adequate knowledge of the field of study. The work must be

satisfactory in its literary presentation and include adequate references.

8.5 **Recognition of Prior Learning** (RPL) (For specified MBA, MCouns, MSc and MEd programmes (see relevant Degree Programme Table/programme handbook))

The College shall have power to recognise attendance and examinations passed at this and other universities or institutions of comparable standing recognised for this purpose by the University Court. If credit-bearing courses, for example, from continuing professional development, contribute to the learning outcomes in core or optional courses, they can contribute to subsequent postgraduate qualifications. Decisions on this are made by the relevant Programme Director and the convener of the relevant Board of Studies.

All applications for RPL must be supported by evidence that the applicant's prior learning:

- is closely similar in content to the course(s) from which exemption is sought

- is at the same SCQF academic level as the course(s) from which exemption is sought

- is sufficiently recent that the student's knowledge remains active and up to date. Normally the time elapsed since completing the prior learning should not exceed five years.

- has been undertaken at other universities or institutions of comparable standing recognised for this purpose by the University Court.

For programmes owned by the College of Humanities and Social Science, the maximum number of credits for which RPL may be granted is one-third of the amount necessary to complete the programme applied for. Thus students applying for a certificate programme may apply for up to 20 credits' worth of recognition; for a diploma programme, 40 credits; for a master's programme, 60 credits. For programmes owned by the College of Science and Engineering, students applying for a master's programme may apply for up to 40 credits' worth of recognition; no RPL credits will be granted for programmes below master's level. For programmes within the College of Medicine and Veterinary Medicine, a maximum of 60 credits' worth of RPL may be granted.

Applications for RPL must conform to the guidelines above and must be approved by the relevant Programme Director and the convener of the relevant Board of Studies. Written confirmation of this support must accompany the application submitted by the School for approval at College level. College approval will normally be forthcoming on such applications.

9. **Postgraduate Diploma and Certificate Regulations**
(For Postgraduate Diploma in System Level Integration see Section D, Regulation 16; for the Postgraduate Diploma in Educational Leadership and Management see Section C, Regulation 17)

9.1 These Regulations apply to postgraduate diplomas and certificates in all Colleges. Additional requirements and course descriptions are given in the relevant Degree Programme Table/programme handbook.

9.2 **Admission and Registration**
Candidates must satisfy the Regulations for registration of postgraduate students, numbers 2.1-2.7 and 3-4.

Where a postgraduate diploma/certificate and a postgraduate degree have common coursework Regulation 8.2 will apply.

With the exception of the Diploma in Legal Practice, the minimum period of study for a diploma is one year full-time. No candidate may take longer than two academic years full-time to complete a postgraduate diploma. The period of study for postgraduate diplomas studied on a part-time continuous basis should be three years. The College may reduce this period by up to 12 months. For those postgraduate diplomas available on a part-time intermittent basis, the maximum period of registration is four years.

The minimum period of study for a certificate is one semester full-time. Where part-time study is available, the minimum period of study is one academic year. No full-time candidate may take longer than one year, or, in the case of a part-time candidate, three years to complete a certificate.

Any exceptions are given in the relevant Degree Programme Table/programme handbook.

9.3 **Curriculum**
Candidates must satisfactorily fulfil the requirements of the curriculum for the postgraduate diploma or certificate as approved by the College.

9.4 **Authorised Interruption of Study or Discontinuation**
On the recommendation of the supervisor and Head of School, and after seeking the views of the candidate, the College may interrupt or discontinue a candidate's studies.

Examination
Regulations relating to examination and assessment (including progression and awards) are detailed in the Postgraduate Assessment regulations which are available via: www.ed.ac.uk/schools-departments/academic-services/policies-regulations/regulations/assessment

Candidates will be examined by written papers on the subjects in the curriculum and may be required to submit a dissertation. Oral and practical examinations may be required.

Candidates must satisfy the assessment requirements of each course. Resit requirements for candidates who fail courses are set out in the assessment regulations.

All postgraduate diplomas may be awarded with distinction with the exception of those in the School of Law.

10. **Registration of Postdoctoral Fellows**

10.1 **Registration of Postdoctoral Fellows**
Postdoctoral Fellows are graduates who already hold the PhD degree, or who have qualifications and experience accepted by the University as equivalent in seniority. Registered candidates and University diploma students are not eligible for registration in this way.

Posthumous Degrees and Diplomas

11. The Senatus may authorise the conferment of posthumous degrees and diplomas. Each such conferment requires a positive proposal from the College concerned and the Senatus Curriculum and Student Progression Committee. Normally a posthumous degree is conferred only where the student was qualified to receive the degree at the time of death.

Aegrotat Degrees and Diplomas

12. In special circumstances the Senatus may authorise the conferment of *aegrotat* degrees and diplomas to taught postgraduate students. Each such conferment requires a positive proposal from the College concerned and the Senatus Curriculum and Student Progression Committee. Normally an *aegrotat* degree or diploma is conferred only where the student was nearly qualified to receive the degree and on the grounds of ill health was unable to complete it. Before any proposal is referred to the Senatus, the College must check that the student is willing to receive the degree *aegrotat*.

2. These Regulations, including Assessment Regulation (2011/2012), shall apply to degrees as set out in appendix 1 of this Resolution.

3. This Resolution shall supersede those parts of all previous Resolutions and Ordinances dealing with postgraduate regulations for degrees set out in appendix 1 and specifically revokes Resolution 52/2010.

4. This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

Degrees covered by these Regulations

Research Degrees

Doctor of Philosophy (PhD)
Master of Philosophy (MPhil)
MSc by Research (MScR)
Master of Research (MRes)

College of Humanities and Social Science
Master of Letters (MLitt)
Doctor of Education (EdD)
Doctor of Clinical Psychology (DClinPsychol)
Doctor of Psychotherapy and Counselling (DPsychotherapy)
Master of Theology by Research (MTh by Research)
Master of Laws by Research (LLM by Research)

College of Medicine and Veterinary Medicine
Master of Medical Sciences by Research (MMedSci by Research)
Master of Veterinary Science by Research (MVetSci by Research)

College of Science and Engineering
Doctor of Engineering (EngD) in System Level Integration

Higher Degrees

Doctor of Science (DSc)

College of Humanities and Social Science
Doctor of Divinity (DD)
Doctor of Laws (LLD)
Doctor of Letters (DLitt)
Doctor of Music (DMus)

Higher Professional Degrees

College of Medicine and Veterinary Medicine
Doctor of Medicine (MD)
Doctor of Dental Surgery (DDS)
Doctor of Veterinary Medicine and Surgery (DVM&S)

Postgraduate degrees (by coursework)

Master of Science (MSc)

College of Humanities and Social Science
Master of Architecture (MArch)
Master of Art (eca) MA (eca)
Master of Fine Art (MFA)
Masters in Architecture (MArch)
Master of Architecture (Studies) (MArch (Studies))
Master of Landscape Architecture (MLA)

Master of Architecture (Design) (MArch (Design))
Master of Architecture (Digital Media) (MArch (Digital Media))
Master of Architecture (Digital Media Studies) (MArch (Digital Media Studies))
Master of Business Administration (MBA)
Master of Counselling (MCouns)
Master of Chinese Studies (MCS)
Master of Education (MEd)
Master of Laws (LLM)
Master of Music (MMus)
Master of Public Policy (MPP)
Master of Social Work (MSW)
Master of Teaching (MTeach)
Master of Theology (MTh)

College of Medicine and Veterinary Medicine

Master of Clinical Dentistry (MClinDent)
Master of Public Health (MPH)
Master of Surgery (General Surgery) (ChM (General Surgery))

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 18/2011

Undergraduate Degree Programme Regulations

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it desirable to produce one comprehensive set of General Undergraduate Degree Regulations, including Assessment Regulations (2011/2012), applicable to all undergraduate qualifications subject to additional specific College regulations;

AND WHEREAS the University Court considers it expedient to promulgate this Resolution to set out these Regulations in full to give effect to the essential elements contained within these Regulations including Assessment Regulations (2011/2012):

THEREFORE the University Court, on the recommendation of the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraphs 2 and 8 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The General Undergraduate Degree Regulations are hereby set out:

Introduction

These general regulations apply to all undergraduate study within the University. Students must also refer to the specific College degree programme requirements, to the appropriate Degree Programme Table, and to the approved Taught Assessment Regulations for the current academic session.

Where relevant, the University's awards and degree programmes are consistent with the Scottish Credit and Qualifications Framework (SCQF, http://www.scqf.org.uk/). Any exemptions need to be approved by the Curriculum and Student Progression Committee.

A concession is required wherever a student's programme deviates from the prescribed norms. Minor concessions are indicated in the Regulations and may be approved by the Head of College.* Where a concession is not allowed by these Regulations it must be approved by the College and the Senatus Curriculum and Student Progression Committee. A concession is the granting of explicit permission by the relevant University authority to permit the deviation of a student's programme of study from the prescribed norm.

* Throughout these regulations, the Head of College is referred to as having the authority to grant permissions, concessions and exemptions. This authority may in practice often be delegated by the Head of College to appropriate nominees in the College or Schools. It is vital that students consult their Director of Studies as to the appropriate point of contact, and do not approach the Head of College in the first instance.

Compliance

1.   Every undergraduate student studying in the University must comply with these regulations. In exceptional circumstances a concession to allow relaxation of a specific regulation may be granted by the appropriate Head of College*.

2.   The courses of instruction in each subject of study shall be as approved by Senatus, on the recommendation of the appropriate Head of College*.

3.   Assessment is subject to the provisions of the University's Taught Assessment Regulations for the current academic session.

Degree Programme Curricula

4.   Every student must, unless granted a concession in respect of them, comply with the detailed requirements with regard to the curriculum for the degree as set out in the appropriate Degree Programme Table, the courses of study, the order in which courses are attended and the assessment for the programme, which have been approved by the Senatus and published in the University Degree Regulations and Programmes of Study.

5.   Except with the permission of the Head of College* responsible for the course, when selecting courses, students must comply with the pre-requisite, co-requisite and prohibited combination requirements shown in the Schedules of Courses. A 'pre-requisite' to Course X is a course, or a category of courses or relevant experience, that must be successfully completed before the student can undertake Course X. A 'co-requisite' course must be undertaken in the same Academic Year as Course X. A 'prohibited combination' exists where the content of two courses overlaps substantially; students may be given credit for only one or other course from a prohibited combination during their programme of study. Students must also comply with any additional requirements specific to their degree programme as set out in the appropriate School Programme Guide. No student will be admitted to a course that is part of their degree programme more than two weeks after the start of the semester in which the course is taught without the permission of the Head of College*.

6.   **Courses and Credits**
      Each year of study of an undergraduate programme is composed of courses. Each course is a unit of teaching and learning formally offered within the University, and carrying credit expressed as a number of credit points in accordance with the Scottish Credit and Qualification Framework [http://www.scqf.org.uk/] (usually 10, 20 or 40 credit points) that may contribute towards a University award (Certificate, Diploma or Degree), such that a normal load for each year of full-time study is a set of courses that total 120 credit points . Credit points are awarded to students who satisfy the assessment criteria for a course. Credit loadings on certain programmes may be in excess of those stipulated above (e.g. MBChB). The Degree Programme Table for each degree programme sets out the credit points required.

7. **Credit Levels**
   Each course has a specified credit level. For full-time undergraduate programmes, normally, courses undertaken in years 1 and 2 have a SCQF credit level of 7 or 8; courses undertaken in year 3 have a SCQF credit level of 9 or 10; courses undertaken in year 4 have a SCQF credit level of 9, 10 or 11; and courses undertaken in year 5 have a SCQF credit level of 10 or 11. A minimum number of credit points at each level, within the total required for each year of study, is stipulated for each degree programme. To gain a specific degree award, students must achieve the credit point and levels requirements of the particular programme, as set out in the appropriate Degree Programme Table.

8. **Transitional arrangements**
   Where changes are being made to particular programmes of study, details of any transitional arrangements that apply can be found in the appropriate College section and School Programme Guide.

9. **Substitution of equivalent courses within one degree programme curriculum**
   The Degree Programme Tables and School Schedules set out the regulations governing each degree programme and course. In a limited number of cases an alternative approved course equivalent in credit value, level and appropriateness of content may be acceptable within degree programmes or as pre-requisites for other courses. These courses may be substituted only with the permission of the Head of College* owning the degree programme, or his/her nominee.

10. **Permissible credit loads and progression**

10.1 Students are normally expected to attain passes totalling 120 credit points in each year of study.

10.2 In the pre-Honours years, after receiving appropriate academic advice, a student may be allowed to take level 7 and 8 courses additional to the normal 120 credits, subject to the approval of the Director of Studies.

10.3 Exceptionally, if there are sound pedagogical reasons, an Honours student may take a small amount of additional level 7 or 8 credit and, more rarely, up to 10 credits at levels 9-11 in the Honours years. These cases require College concessions.
   Note: specific College regulations on courses taken in the Honours years apply in the College of Medicine and Veterinary Medicine and the College of Science and Engineering: see College regulations.

10.4 The Taught Assessment Regulations for the current academic session describe the detailed procedures for progression and final classification of degrees.

Note: Regulations 10.5 – 10.8 do not apply to students taking the MBChB or BVM&S, where the relevant College regulations apply.

10.5 In order to ensure continuation from one year of study to the next without the need for an extension to the total period of study, a full-time student must achieve a minimum of:

- 80 credit points by the end of Year 1
- 200 credit points by the end of Year 2
- 360 credit points by the end of Year 3
- 480 credit points by the end of Year 4
- 600 credit points by the end of Year 5 for Integrated Masters

10.6   Where the required credit points have not been attained by the relevant stage, the student will have "failed to make adequate progress" and will be reported to the Head of College* and may be required to suspend studies and to take resit exams or additional courses to make good the deficit. Illness or other extenuating circumstances will receive special consideration.

10.7   Part-time students must attain a minimum of 40 credit points in any two year period, or a minimum of a third of the total credit points for courses taken in any two year period, whichever is greater.

10.8   Credit points awarded for entry with advanced standing will not contribute to adequate progress status.

11.   Recognition of prior learning

11.1   The Head of College* shall have power to recognise prior certificated learning and on this basis to admit a student to the second or later years of a programme of study. Such recognition shall be given only where the College is satisfied that the learning to be recognised provides an adequate basis for the programme or courses within the programme to be undertaken at the University of Edinburgh, as set out in the appropriate Degree Programme Table and Schedule of Courses.

11.2   For a student admitted with recognition of prior learning, either (a) credit points will be transferred from prior certificated learning, or (b) 60 points will be credited for each semester of recognition of prior learning awarded, towards the requirement for a University of Edinburgh Degree.

11.3   A student admitted with recognition of prior learning will not be allowed to count in a qualifying curriculum any course passed at the University of Edinburgh that has a substantial curriculum overlap with any of the courses passed elsewhere that contributed to the admission with recognition of prior learning.

12.   Normal minimum period of study for students transferring from another institution
For the award of a University of Edinburgh degree a student must study in Edinburgh for a minimum period of two years or the pro-rata equivalent in the case of part-time study. This regulation does not apply to intercalating medicine and veterinary medicine students.

13.   Transfer to/from another University of Edinburgh programme

13.1   A student may be allowed to transfer to a different degree programme from another within the University by permission of the Head of the receiving College*.

13.2   Unless granted a concession by the Head of the receiving College* in respect of them, students must comply with the pre-requisite and co-requisite

requirements of the new programme shown in the Schedules of Courses. The total credit points required for the award of the degree is that shown in the Degree Programme Table for the new programme.

14. **Models for qualifications**

14.1 The University offers the following types of undergraduate degrees, with the credit points required as listed below. The credit levels required for each programme are specified within the appropriate Degree Programme Table:

A. Single Honours in a named subject/discipline (480 credit points)
B. Single Honours with a subsidiary subject (480 credit points)
C. Combined Honours in two disciplines (480 credit points)
D. Group Honours, typically drawing on more than two disciplines (480 credit points)
E. Non-Honours degrees, awarded at the end of the third year of study (360 credit points)
F. General (360 credit points) and Ordinary (360 credit points)
G. Intercalated Honours degrees, see the appropriate Degree Programme Table for credit and level requirements
H. Integrated Masters with Honours in a discipline, Integrated Masters with a subsidiary subject Integrated Masters with Combined Honours in two disciplines, Honours in Fine Art (600 credit points)
I. MBChB (5-year programme: 720 credits, 6-year programme: 840 credit points)
J. BVM&S (600 credit points)

14.2 Transitional arrangements are in place for certain degree programmes, or parts thereof, and students should refer to the appropriate College information in the DRPS for further details and to the relevant School Programme Guide(s).

Undergraduate Certificate and Diploma

15. The Undergraduate Certificate or Undergraduate Diploma of Higher Education may be attained by students who leave the University without completing a degree programme, where the student meets the requirements of one of these qualifications as set out below.

16. Students for the Undergraduate Certificate of Higher Education must have attained a minimum of 120 credit points gained from passes in courses of this University which count towards graduation.

17. Students for the Undergraduate Diploma of Higher Education must have attained a minimum of 240 credit points. At least 120 credit points must be gained from passes in courses of this University counting towards graduation and at least 90 of the 120 credit points gained from courses passed at this University must be in courses at level 8 or above.

General/Ordinary Degree (Types E and F in Regulation 14 above)

18. Students should refer to the appropriate College information.

MBChB and BVM&S (Types I and J in Regulation 14 above)

19.   Students should refer to the College of Medicine and Veterinary Medicine Degree Regulations and Degree Programme Tables for details of the credit points and levels to be attained for these programmes.

Degree with Honours (Types A, B, C, D, G and H in Regulation 14 above)

20.   Entry to Honours in any degree programme is by achievement of the requirements stipulated within the Degree Programme Table for that programme.

21.   The award of Honours shall be based on the student's performance in assessment in the Honours year(s). For information on the award of Honours see the Taught Assessment Regulations for the current academic session.

22.   A student who satisfies the examiners in the Final Honours assessment shall be awarded Honours in one of three grades to be denominated respectively First Class, Second Class and Third Class, of which the Second Class shall be divided into Division I and Division II. The names of the students shall be arranged for publication in each class or division in alphabetic order.

23.   A student who has been assessed, classed or failed for Honours may not present him/herself for re-assessment in the same programme, or assessment in a closely related programme as determined by the Head of College. Exceptionally, subsequent attempts to satisfy specific professional requirements may be permitted, see the Taught Assessment Regulations for the current academic session.

24.   During a single period of continuous registration, a student may be awarded only the qualification with the highest status for which he/she has qualified.

25.   **Honours Degree after Graduation with Ordinary/General Degree**
       This Regulation applies only to degrees of types E (Non-honours) and F (General and Ordinary).

25.1   A candidate who already holds an Ordinary or General degree (Types E & F) may be permitted by the appropriate Head of College* to present him/herself for the degree with Honours, provided that not more than 5 years have elapsed between his/her first graduation and his/her acceptance as a candidate for the subsequent degree with Honours. Such a candidate will normally be required to achieve a further 240 credit points, or credit points as deemed appropriate by the Head of the receiving College*, at the levels stipulated in the appropriate Degree Programme Table.

25.2   In each case the Head of College* shall decide what further courses, if any, the student shall be required to complete before entering Honours and shall determine the period within which the student must complete his/her curriculum and present him/herself for the final Honours assessment. A student is permitted to retain only the award with the highest status for which he/she has qualified.

26. **Honours in a further subject/discipline**

26.1 A student who already holds a University of Edinburgh degree with Honours in one subject may be permitted by the appropriate Head of College* to present him/herself for a degree with Honours in a different subject. Such a student may be considered for recognition of prior learning (RPL) up to a maximum of 240 credit points at levels 7 and/or 8 in subjects which he/she has passed as part of his/her first Honours curriculum, provided that not more than 2 years have elapsed between his/her first graduation and his/her acceptance as a student for the degree in a second subject. Acceptance with RPL after a longer period will be at the discretion of the Head of College*.

26.2 Such a student will be required to take the full Honours programme in the second subject/s as stipulated in the appropriate Degree Programme Table, involving a normal minimum of a further 240 credit points. Any Honours courses which he/she may have taken in his/her previous studies must be replaced by suitable courses of equivalent weight but significantly different content.

27. **Suspension from an Honours Course**
A student undertaking an Honours year is not permitted to suspend his or her studies before the completion of the year and of the assessment relating to it except by permission of the Head of the College* and on the production of satisfactory evidence of illness or other circumstances beyond the student's control which justify such a measure. If a student is given permission to suspend studies, he or she shall be told in writing whether part of or the whole of the year, including any material counting towards the assessment of courses which has been already submitted, will have to be repeated. In cases where the Head of the College* considers that a significant amount of assessment has already taken place, the student will be considered under the terms of the regulation on "Failure to complete assessment adequately" in the Taught Assessment Regulations for the current academic session.

28. **Unclassified Honours**
Not withstanding any existing Resolutions to the contrary, the University may confer all existing Honours degrees with unclassified Honours if insufficient information is available to the relevant Examination Board to classify those degrees. Conferment of an unclassified Honours degree will be an interim measure: such degrees will automatically be withdrawn when the classified Honours degree is conferred, following sufficient information becoming available to relevant Examination Board to enable it to classify the Honours awarded.

29. **Award of General or Ordinary Degree when insufficient information to award Honours**
Where an Examination Board has insufficient information to enable an Honours degree to be conferred on a candidate for Honours, a General or Ordinary degree may be awarded to that candidate where he or she has qualified for such a degree under the existing Regulations. Conferment of a General or Ordinary degree under these circumstances will be an interim measure: such degrees will automatically be withdrawn when the classified Honours degree is conferred, following sufficient information becoming available to the relevant Examination Board to enable it to classify the Honours awarded.

Posthumous Degrees and Diplomas

30.   The Senatus may authorise the conferment of posthumous degrees and diplomas. Each such conferment requires a positive proposal from the College concerned and the Senatus Curriculum and Student Progression Committee. Normally a posthumous degree is conferred only where the student was qualified to receive the degree at the time of death.

Aegrotat Degrees

31.   In special circumstances the Senatus may authorise the conferment of *aegrotat* degrees, which are unclassed. Each such conferment requires a positive proposal from the College concerned and the Senatus Curriculum and Student Progression Committee. Normally an *aegrotat* degree is conferred only where the student was nearly qualified to receive the degree and on the grounds of ill health was unable to complete it. Before any proposal is referred to the Senatus, the College must check that the student is willing to receive the degree *aegrotat*.

Duration of Study

32.   **Normal length of study period**
       A full-time student must normally complete the requirements of the degree programme within the time period laid out in the Degree Programme Table.

33.   **Normal length of study period (longer study period)**
       With the permission of the Head of College*, a student may be permitted to undertake an Ordinary, General or Honours degree programme over a longer period, provided that a minimum of 40 credit points are undertaken in each year of study. The maximum period for completion of an Ordinary or General degree programme is 8 years. The maximum period for completion of an Honours degree programme is 10 years. Certain elements of a degree programme may require full-time attendance, and a student given permission to undertake study over an extended period must comply with any such requirements where specified for a particular degree programme. See also Regulation 36, Authorised Interruption of Study.

34.   **Part-time study**

34.1   A full-time student is not normally allowed to change to part-time status after the end of the first week of Semester 2 in any year of study. A part-time student will be required to accept approved changes within a degree programme as it evolves during this period, or to transfer to another degree programme if the programme of study on which he/she originally enrolled is withdrawn.

34.2   Part-time study is not offered for the degrees of MBChB and BVM&S.

34.3   With the permission of the Head of College*, a student undertaking an Ordinary, General or Honours degree programme over a longer period may be permitted to transfer to full-time status. A part-time student is not normally

allowed to change to full-time status after the end of the second week of Semester 1.

35. **Attendance and participation**
Students are expected to be available to participate as required in all aspects of their programme of study. This includes being available for assessment and examination during the semester time.

36. **Authorised Interruption of Study**
A student may be allowed a period of Authorised Interruption of Study by the Head of College* for good reason and may be re-admitted thereafter to complete the requirements for a degree. A period of Authorised Interruption of Study will not normally exceed one academic year, and the total period of Authorised Interruption of Study, which may be granted throughout the programme of study, will not normally exceed three academic years. A period of Authorised Interruption of Study does not automatically extend the maximum permitted duration of study as stipulated in Regulation 29.1. During Authorised Interruption of Study no fees are due to the University. Credit from any study undertaken at another institution during the period of Authorised Interruption of Study will not be credited to a student's programme of study at the University of Edinburgh. See also Taught Assessment Regulations for the current academic session.
Note: This regulation excludes students registered for the MBChB or BVM&S who may elect to take an intercalated Honours year, or undertake a PhD or other research programme during their period of enrolment.

37. **Contact with the University during absence**
During any period of absence from the University, it is a student's responsibility to provide a current postal contact address and to ensure that any legal requirements imposed by his/her funding or grant authority are met. Current students must check their University email account regularly for communications from the University.

38. **Vacation study**
Students on certain degree programmes may be required to undertake special reading or other work during the vacations. Students are referred to the appropriate College regulations, Degree Programme Table and School Programme Guide(s) for more information.

39. **Authorised Leave of Absence for Study Elsewhere**
Students attending another institution for not more than one academic year on a recognised exchange scheme or other approved programme of study require the approval of the relevant Head of College*. Students must obtain the approval of their School/s to ensure that they will satisfy any requirements relating to prerequisite courses for entry to the following year of study. Students seeking entry to a profession such as Law must satisfy the requirements of the appropriate professional body.

Assessment

40. **Assessment Regulations**
The University's Taught Assessment Regulations for the current academic session provide the regulatory context for assessment of undergraduate students.

41. **Common Marking Scheme**
    For information on the University's Common Marking Scheme see the Taught Assessment Regulations for the current academic session.

42. **Failure to complete degree assessment**
    For information on failure to complete degree assessment see the Taught Assessment Regulations for the current academic session.

43. **Withdrawal and exclusion from study**
    The procedures covering all forms of withdrawal and exclusion from the University for academic reasons, together with procedures for appeal and for re-admission where this is allowed, should be consulted. These can be found on the University's website and should be read in conjunction with the Taught Assessment Regulations for the current academic session.

2.   These Regulations, including Assessment Regulations (2011/2012), shall apply to degrees as set out in appendix 1 of this Resolution.

3.   This Resolution shall supersede those parts of all previous Resolutions and Ordinances dealing with undergraduate regulations and assessment regulations for degrees set out in appendix 1 and specifically revokes Resolution 53/2010.

4.   This Resolution shall come into force with effect from the commencement of the 2011/2012 academic session.

For and on behalf of the University Court

K A WALDRON

University Secretary

Degrees covered by these Regulations

College of Humanities and Social Science

General Degree of Master of Arts
General Degree of Master of Arts with Honours
Degrees of Master of Arts with Honours
Bachelor of Arts in Humanities and Social Science
Bachelor of Music
Bachelor of Music with Honours
Bachelor of Music Technology
Bachelor of Music Technology Honours
Bachelor of Arts (Health Studies)
Bachelor of Arts (Health Studies) with Honours
Bachelor of Nursing with Honours
Bachelor of Science (Social Work)
Bachelor of Science (Social Work) with Honours
Bachelor of Arts
Bachelor of Arts with Honours
Bachelor of Architecture
Bachelor of Architecture with Honours
Master of Arts (Architecture) with Honours
Master of Arts (Architecture in Creative and Cultural Environments) with Honours
Bachelor of Divinity
Bachelor of Divinity (Honours)
Bachelor of Arts (Divinity)
Master of Arts (Divinity) with Honours
Bachelor of Arts Religious Studies
Master of Arts Religious Studies with Honours
Bachelor of Arts (Community Education)
Bachelor of Arts (Community Education) with Honours
Bachelor of Arts (Education Studies)
Bachelor of Arts (Childhood Practice)
Bachelor of Education (Design and Technology) with Honours
Bachelor of Education (Physical Education) with Honours
Bachelor of Education (Primary Education) with Honours
Bachelor of Science (Applied Sport Science)
Bachelor of Science (Applied Sport Science) with Honours
Bachelor of Science (Environmental Archaeology) with Honours
Bachelor of Science (Sport and Recreation Management)
Bachelor of Science (Sport and Recreation Management) with Honours
Bachelor of Science (Psychology) with Honours
Bachelor of Laws
Bachelor of Laws with Honours
Bachelor of Medical Sciences with Honours

College of Science and Engineering

Bachelor of Science: General Degree, Ordinary degree in a designated discipline and Honours degree

Bachelor of Engineering with Honours
Degrees of Master of Arts with Honours
Master of Chemistry with Honours
Master of Chemical Physics with Honours
Master of Earth Science with Honours
Master of Engineering with Honours
Master of Mathematics with Honours
Master of Physics with Honours
Master of Informatics with Honours
Bachelor of Medical Sciences with Honours

College of Medicine and Veterinary Medicine

Bachelor of Medicine and Bachelor of Surgery
Bachelor of Veterinary Medicine and Surgery
Bachelor of Science (Medical Sciences)
Bachelor of Science (Medical Sciences) with Honours
Bachelor of Science (Biomedical Sciences)
Bachelor of Science (Biomedical Sciences) with Honours
Bachelor of Science (Oral Health Sciences)
Bachelor of Science (Oral Health Sciences) with Honours
Bachelor of Science (Veterinary Science)
Bachelor of Science (Veterinary Science) with Honours
Bachelor of Medical Sciences
Bachelor of Medical Sciences with Honours

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 19/2011

Foundation of a Personal Chair of Dependable Systems

At Edinburgh, the Twentieth day of June, Two thousand and eleven.

WHEREAS the University Court deems it expedient to found a Personal Chair of Dependable Systems:

THEREFORE the University Court, after consultation with the Senatus Academicus and in exercise of the powers conferred upon it by Section 3 of the Universities (Scotland) Act 1966, with special reference to paragraph 5 of Part II of Schedule 2 to the Act, hereby resolves:

1.   There shall be a Personal Chair of Dependable Systems in the University of Edinburgh, which shall be established solely for the period of tenure of the Professor appointed, and on the Professor ceasing to hold office, the provisions of this Resolution shall cease to have effect, and the said Personal Chair shall thereupon cease to exist.

2.   The patronage of the Personal Chair shall be vested in and exercised by the University Court of the University of Edinburgh.

3.   Notwithstanding the personal nature of this Chair, the terms and conditions of appointment and tenure which by Statute, Ordinance and otherwise apply to other Chairs in the University shall be deemed to apply in like manner to the Personal Chair of Dependable Systems together with all other rights, privileges and duties attaching to the office of Professor.

4.   This Resolution shall come into force with effect from 1 August Two thousand and eleven.

For and on behalf of the University Court

K A WALDRON

University Secretary

Resolutions 20 to 46 follow a similar format.

The University of Edinburgh

University Court

20 June 2011

Donations and Legacies to be notified

Brief description of the paper, including statement of relevance to the University's strategic plans and priorities where relevant

A report on legacies and donations received by the University of Edinburgh Development Trust from 1 May 2011 to 1 June 2011, prepared for the Meeting of Court on 20 June 2011.

Action requested

For information

Resource implications

None

Risk Assessment

n/a

Originator of the paper

Mrs Liesl Elder
Director of Development

Freedom of information

Can this paper be included in open business?

No, its disclosure would substantially prejudice the effective conduct of public affairs.