THE UNIVERSITY *of* EDINBURGH

University Court
John McIntyre Conference Centre, Pollock Halls
Monday, 5 December 2022

AGENDA

OPENING ITEMS

1   **Senior Lay Member Extension of Term**   **A**
To _approve_ the paper presented by Leigh Chalmers, Vice-Principal
and University Secretary
Note: to be considered in a closed session for Court members

2   **Senior Leadership Team Remuneration Review 2023 – Proposed**   **B**
Approach
To _approve_ the proposed approach presented by Hugh Mitchell,
Convener of Remuneration Committee
Note: to be considered in a closed session for Court members

3   **Minute**   **C1, C2**
To _approve_ the minute of the meeting and note of the seminar held on
4 October 2022

4   **Matters Arising & Review of Action Log**   **C3**
To _raise_ any other matters arising and _review_ the Action Log

5   **Principal's Report**   **D**
To _note_ a report from Peter Mathieson, Principal

6   **Committee Business**
- Senior Lay Member's Overview   **Verbal**
- Policy & Resources Committee   **E1**
- Nominations Committee   **E2**
- Audit & Risk Committee   **E3**
- Remuneration Committee Annual Report   **E4**
- Knowledge Strategy Committee   **E5**
- Senate   **E6**

KEY ITEMS FOR DISCUSSION/DECISION

7   **People and Money**
- **People and Money and Strategic Change**   **F1**
To _consider_ a paper presented by Catherine Martin, Vice-Principal
Corporate Services and Co-Chair, Enactment Group

- **Senate Letter to Court on People and Money System**   **F2**
  Implementation
To _consider_ a paper presented by Shereen Benjamin and Richard Blythe,
Senate Assessors
Note: to be considered in a closed session for Court members

8   Student Experience Update   **G**
      To *consider* a paper presented by Lucy Evans, Deputy Secretary
      Students

9   Students' Association and Sports Union Reports
      To *consider* the reports presented by Niamh Roberts, EUSA President
      • **Students' Association Report**   **H1**
      • **Sports Union Report**   **H2**

10   Audit & Risk Committee Annual Report   **I**
      To *consider* the annual report presented by Douglas Millican, Convener of
      Audit & Risk Committee

11   Risk Management Post Year End Assurance Statement   **J**
      To *consider* the assurance statement presented by Catherine Martin,
      Vice-Principal Corporate Services

12   Finance
      To *consider* the papers presented by Lee Hamill, Director of Finance
      • **Director of Finance's Report**   **K1**
      • **Annual Report and Accounts 2021-22**   **K2**
      • **Letter of Representation**   **K3**
      • **Annual Report and Accounts 2021-22 – US GAAP**   **K4**

13   Performance Measures to Support Strategy 2030: 2021-22 Year-End   **L**
      Report
      To *consider* the paper from Rona Smith, Deputy Secretary Governance &
      Strategic Planning

14   Size and Shape: Update   **M**
      To *note* the paper from Rona Smith, Deputy Secretary Governance and
      Strategic Planning

ITEMS FOR NOTING OR FORMAL APPROVAL

15   Outcome Agreement 2022-23   **N**
      To *approve*

16   Court Internal Effectiveness Review 2021-22   **O**
      To *approve*

17   Donations and Legacies; Alumni Activities   **P**
      To *note*

18   Resolutions
      To *approve*:
      • **Resolution: Code of Student Conduct**   **Q1**
      • **Resolutions: Chairs**   **Q2**

19   Any Other Business
      To *consider* any other matters

20   Date of Next Meeting
Monday, 27 February 2023, Seminar and Meeting

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

5 December 2022

Senior Lay Member Extension of Term

Note: the Senior Lay Member will recuse herself from the meeting for the duration of this item. Court attendees (aside from the University Secretary and the Head of Court Services in their governance roles as Secretary to Court and Clerk to Court respectively) will also be asked to recuse themselves from the meeting for this item.

Description of paper
1. The paper invites Court to approve an extension of the term of office for the Senior Lay Member, as provided for in the relevant legislation and in the role description and appointment regulations previously agreed by Court.

Action requested/Recommendation
2. On the recommendation of the Nominations Committee, to approve an extension of the term of office of Janet Legrand as the Senior Lay Member of Court for a second and final period of three years from 1 August 2023 to 31 July 2026.

Background and context
3. The position of Senior Lay Member was established in August 2020 following the University's implementation of the Higher Education Governance (Scotland) Act 2016. The legislation includes the following:
- Every governing body of a Scottish university must include a Senior Lay Member (however an institution chooses to name the position);
- The Senior Lay Member is responsible for the leadership and effectiveness of the governing body and for ensuring that there is an appropriate balance of authority between the governing body and the Principal;
- Appointment criteria should be developed by a committee under delegated authority by the governing body (this is Nominations Committee in our case) and include the availability, skills and knowledge considered necessary or desirable to:
  - Exercise the functions of the role;
  - Command the trust and respect of the other members of the governing body, the Senate and the staff and students;
- The position must be publicly advertised and potentially suitable applicants interviewed by Nominations Committee;
- Interviewed candidates deemed to meet the criteria are entitled to stand for an election. An election cannot take place unless there are two or more suitably qualified candidates;
- All governing body members, staff and students can vote in the election;
- The winning candidate is appointed for a period of appointment specified by the governing body and the period of appointment may be extended if rules made by the governing body allow this;
- The winning candidate is eligible to request remuneration and allowances up to a level the governing body considers reasonable for the role;
- The postholder must not at any point become a member of staff or student of the institution; and,

- The postholder is subject at all times to terms and conditions specified by the governing body.

4. Having considered the legislation and an updated version of the Scottish Code of Good Higher Education, which reflected the new legislation, Court approved a role description in June 2019. This is copied below in full and contains the following sentence of particular relevance for this paper: "The Senior Lay Member is elected following an open recruitment and interview process for an initial period of 3 years which is renewable for a further period of 3 years subject to satisfactory performance."

<u>Role of the Senior Lay Member at the University of Edinburgh</u>

The Senior Lay Member's role is similar to that of Chair of institution and is responsible for the overall leadership of Court and must ensure that Court conducts its business in an effective and efficient manner with due consideration of the appropriate legal and compliance issues.

The Senior Lay Member should ensure that members of Court work well together and that members conduct themselves in accordance with accepted standards of behaviour in public life.

The Senior Lay Member acts as a critical friend to the University, the Principal and members of the senior team.

Through leadership of the Court the Senior Lay Member plays a key role in the business of the University but should not be drawn into the core day to day management which is the responsibility of the Principal and the senior management team.

The Senior Lay Member also has the responsibility, along with the Principal and others, to ensure that the institution is well connected and represented with its partners, stakeholders and other external bodies. This includes the Committee of University Chairs, Committee of Scottish Chairs and the Scottish Funding Council.

In addition to attendance at Court the Senior Lay Member will be the ex officio Convener of Exception Committee, a committee with delegated authority to make decisions which would otherwise require Court approval between meetings of Court. The Senior Lay Member will also contribute to the governance of the University in other significant areas such as membership of the Nominations Committee and the Remuneration Committee. There is also an expectation that the Senior Lay Member will participate in University ceremonial events such as graduations.

The commitment associated with the role of Senior Lay Member is a combination of time taken to undertake the formal tasks, such as attendance at Court and Committees, and the informal support and contact which are critical to the effective discharge of the responsibilities of the position.

The Senior Lay Member is elected following an open recruitment and interview process for an initial period of 3 years which is renewable for a further period of 3 years subject to satisfactory performance.

5. Court subsequently approved detailed [election and appointment regulations](#) in December 2019, which included the following: "Appointment to the position is for a period of three years and may be extended for a further and final period of three years by agreement of the Court on the recommendation of the Nominations Committee, without recourse to a further election." The position was then advertised and, following interviews, two candidates were deemed to meet the criteria and stood for election in spring 2020, with Janet Legrand elected as the winning candidate.

Paragraphs 6-11: Closed section.

Risk Management
12. The Senior Lay Member has a vital role in ensuring the good governance of the University as the position similar to Chair of the institution. This includes statutory responsibilities for the leadership and effectiveness of the Court and for ensuring that there is an appropriate balance of authority between the Court and the Principal. Nominations Committee considered risks, including risks to good governance, in making its recommendation to Court.

Equality & Diversity
13. Equality and diversity aspects played an important part in the recruitment process for the Senior Lay Member. An equality monitoring report was produced following the election and submitted to the Scottish Government and this is available upon request.

Next steps/implications
15. If approved, the Senior Lay Member's term will be extended to 31 July 2026 and this will be communicated to internal and external stakeholders.

Consultation
16. Feedback was sought from all Court members prior to Frank Armstrong's review meeting with Janet Legrand. Nominations Committee, with the Senior Lay Member absent, considered the matter at its meeting on 14 November 2022 and unanimously agreed to recommend to Court that a term extension be approved.

Further information
17. *Author*   *Presenter*
    Lewis Allan   Leigh Chalmers
    Head of Court Services   Vice-Principal & University Secretary
    22 November 2022

Freedom of Information
18. Open paper aside from paragraphs 6-11.

UNIVERSITY COURT

5 December 2022

Senior Leadership Team Remuneration Review 2023 – Proposed Approach

Note: All Court attendees (aside from the Director of Human Resources plus the University Secretary and the Head of Court Services in their governance roles as Secretary to Court and Clerk to Court respectively) will recuse themselves from the meeting for this item.

Description of paper
1. This paper outlines the Remuneration Committee's recommendations for the 2022 review of the Remuneration of the University's Senior Leadership Team (SLT), as well as that of the Principal.

Action requested/Recommendation
2. To endorse the approach to the review of SLT remuneration and the Principal's salary, which will be presented for approval by the Remuneration Committee at its January 2023 meetings.

Background and context
Senior Leadership Team – Annual Review, effective 1 January 2023
3. The Remuneration Committee is responsible for the annual review and approval of revisions to the remuneration of the University's senior leadership team, including the Principal, their direct reports and other senior staff. Approved increases are effective from 1 January.

4. In December 2018, Court approved revisions to the Committee's Framework for Decision Making to ensure compliance with the revised Scottish Code of Good Higher Education Governance (2017 edition), namely that 'prior to decision-making on the remuneration package of the Principal and the senior team, all Court members will be consulted on the overall proposed approach, with the key principles underpinning the proposal explained'.

Paragraphs 5-14: Closed section

Equality & Diversity
15. The recommendations reflect the principles that underpin the Remuneration Committee's decision making; specifically to ensure the process for reviewing the reward of senior staff reflects robust equality practice and that the reward of senior staff is fair, equitable and responsive in a highly competitive environment.

Paragraph 16: Closed section

Consultation
17. The proposed approach to the review of senior staff remuneration has been endorsed by the Remuneration Committee

Further information

18. *Author*   *Presenter*
    James Saville   Hugh Mitchell
    Director of Human Resources   Convener, Remuneration Committee

Freedom of Information

19. Closed paper.

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

4 October 2022, Laurie Liddell Clubhouse, Peffermill

Web Version

[DRAFT] Minute

Members Present:	Debora Kayembe, Rector
	Robert Aldridge, City of Edinburgh Council Assessor
	Douglas Alexander, General Council Assessor
	Frank Armstrong, Co-opted Member
	Shereen Benjamin, Senatus Assessor
	Richard Blythe, Senatus Assessor
	Alastair Dunlop, Chancellor's Assessor
	Perdita Fraser, Co-opted Member
	Ruth Girardet, Co-opted Member
	Tobias Kelly, Academic Staff Member
	Janet Legrand, Senior Lay Member
	Peter Mathieson, Principal & Vice-Chancellor
	Sarah McAllister, Professional Services Staff Member
	Douglas Millican, Co-opted Member
	Hugh Mitchell, Co-opted Member
	Kathryn Nash, Trade Union Academic Staff Member
	Niamh Roberts, Students' Association President
	Alistair Smith, Co-opted Member
	Isi Williams, Students' Association Vice-President Community
	Sarah Wolffe, General Council Assessor
Member Apologies:	Joyce Anderson, Trade Union Professional Services Staff Member
	Jock Millican, General Council Assessor
In Attendance:	Leigh Chalmers, Vice-Principal and University Secretary
	Kate Huang, Governance Apprentice
	Sophia Lycouris, Rector's Assessor
Presenters & Observers:	Lewis Allan, Head of Court Services
	Lucy Evans, Deputy Secretay Students
	Iain Gordon, Vice-Principal & Head of College
	Kim Graham, Provost
	Lee Hamill, Director of Finance
	Colm Harmon, Vice-Principal Students
	Gary Jebb, Director of Place
	Catherine Martin, Vice-Principal Corporate Services
	Gavin McLachlan, Vice-Principal, Chief Information Officer & Librarian to the University
	Theresa Merrick, Director of Communications & Marketing
	Sarah Prescott, Vice-Principal & Head of College
	James Saville, Director of Human Resources
	Rona Smith, Deputy Secretary Governance & Strategic Planning
	Alan Mackay, Deputy Vice-Principal International (for Item 10)

OPENING ITEMS

1   Minute   **Paper A1**

Debora Kayembe, Rector, noted apologies and welcomed new and continuing members and attendees to the first meeting of the academic year. New members are: Robert Aldridge, City of Edinburgh Council Assessor; Shereen Benjamin, Senate Assessor; Richard Blythe, Senate Assessor; and, Douglas Millican, Co-opted member. New attendees are: Christina Boswell, Vice-Principal Research & Enterprise; Iain Gordon, Vice-Principal and Head of College of Science & Engineering; Kate Huang, Governance Apprenticeship Programme 2022-23; and, Sarah Prescott, Vice-Principal and Head of College of Arts, Humanities & Social Sciences. In addition, Leigh Chalmers, Vice-Principal & University Secretary and Rona Smith, Deputy Secretary Governance & Strategic Planning, were welcomed to their first meeting in their new roles.

The minute of the previous meeting was approved.

2   Matters Arising & Review of Action Log   **Paper A2**

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

3   Principal's Report   **Paper B**

A summary of the Principal's main activities since the last Court meeting was noted, with the Principal commenting on the following:
- Death of Her Majesty The Queen and the Accession of King Charles III – the University was deeply involved in the ceremonial events held in the City of Edinburgh to mark the death of the Sovereign and accession of the new King. Letters of condolence had been sent by the Principal to the Royal Family and to the University Chancellor and warm responses received in return;
- The first Welcome Week for new students without public health restrictions since the onset of the pandemic took place with great success, with some alterations in respect of the ceremonial events mentioned above and the period of national mourning;
- While the student accommodation guarantee has been met and exceeded for the provision of University accommodation to first year undergraduates and new overseas postgraduates, a decrease in the supply and increase in the price for private accommodation has caused difficulties for many returning students. The University has worked with the Students' Association to help many of those in greatest difficulty, including providing temporary or permanent accommodation where possible;
- In response to increasing living costs for students, University hardship funds have been increased and stipends for postgraduate research students with University funding have been increased, matching a recent increase in the stipend for those postgraduate research students funded by UK Research & Innovation. All students in University-provided accommodation will continue to benefit from fixed energy charges for the duration of the academic year that will not be subject to the recent rises seen elsewhere; and,

- The sector is seeking to engage with the newly formed UK Government on key issues such as funding and immigration policy, as well as potential legislation relating to freedom of speech in higher education and national security.

Members raised the following points:
- Concerns with the new finance component of the People & Money System, including significant increases in the administrative workload for many staff, such as principal investigators on research projects and many professional services staff, and with making timely payments to students in receipt of funding and to suppliers. The importance of rapidly addressing identified problems and communicating these was raised, along with the wider issues of calculating staff workload implications of major strategic projects and learning lessons for future projects, such as the Curriculum Transformation Programme. In response, it was recognised that the implementation period has been difficult for many staff and a backlog has arisen given the closure of the previous system whilst data was migrated to the new system. This backlog is in the process of being cleared. An escalation mechanism is in place for urgent cases and rapid payments can be made to suppliers if required. Student stipend payments were made in September under the previous system and will be made in October under the new system. A communication is being prepared by the Enactment Group to respond to the concerns that have been raised;
- It was clarified that any potential UK Parliamentary legislation on freedom of speech in higher education would not apply in Scotland but may have indirect implications, while national security legislation would be expected to apply across the UK; and,
- All staff involved in managing arrangements on the University estate to accommodate the queue for members of the public to pay their respects at Her Majesty The Queen's lying in rest at St Giles' Cathedral were thanked for their work to facilitate this.

4 Committee Business
- **Senior Lay Member's Overview**

Janet Legrand, Senior Lay Member, thanked the Principal and Senior Leadership Team colleagues for the 'getting to know you' session held as part of the Court Seminar earlier in the day and provided an update on activities since the last meeting. The Senior Lay Member and the Vice-Principal & University Secretary have held individual review meetings with departing and continuing Court members and these will be summarised within a report to the next meeting. The Committee of Scottish Chairs has reviewed the Scottish Code of Good Higher Education Governance and an updated version has been transmitted to the Secretaries' Group for their consideration. An annual Court update stakeholder event will take place by videocall on 1 November and an invitation will issue after this meeting.

- **Exception Committee**   **Paper C1**

The following matters approved by Exception Committee on behalf of Court were noted:
- The acceptance of a replacement property insurer, a scheduled consortium led by Axa XL, and the annual premium for 2022/23;
- The appointment of Douglas Millican as the Convener of Audit & Risk Committee for an initial three year term of office from 9 September 2022, with David Law demitting office on 8 September 2022;
- The appointment of staff members to the following committees from 1 September 2022:
  Knowledge Strategy Committee
  o Richard Blythe appointed for a three year term
  o Joyce Anderson appointed for a two year term
  o Shereen Benjamin appointed for a three year term
    (with Kathryn Nash demitting membership of the Committee)
  Policy & Resources Committee
  o Kathryn Nash appointed for a two year term
  Exception Committee
  o Kathryn Nash appointed for a two year term
  Remuneration Committee
  o Toby Kelly appointed for a three year term
  Nominations Committee
  o Sarah McAllister appointed for a two year term;
- An extension of the term of office of Frank Armstrong to 31 July 2025 to enable Frank Armstrong to serve as the first Convener of Estates, Digital & Infrastructure Committee for a three year term to provide continuity of leadership; and,
- Consequential amendments to the Delegated Authority Schedule linked to the new approved terms of reference for the Estates, Digital & Infrastructure Committee.

- **Policy & Resources Committee**   **Paper C2**

The report was noted and the gender pay analysis considered by the Committee discussed, with a query on target setting. It was noted that there are targets to reduce pay gaps within the Equality Outcomes 2021-25, with imbalances within Grade 3 (with a greater number of posts with the potential for overtime and other supplementary payments held by men) and within Grade 10 (with a greater number of men at higher points on the Grade 10 pay scale, with Remuneration Committee considering this aspect in all relevant Grade 10 remuneration decisions) but with other grades not containing gender pay imbalances. There is an overall pay imbalance with a greater number of men in Grade 10 and a greater number of women in lower grades but the recent trends in the compositions of Grades 8 and 9 are positive.

- **Nominations Committee**   **Paper C3**

The report was noted.

- **Audit & Risk Committee**   **Paper C4**

The report was noted and an update to the Risk Management Policy and Risk Appetite Statement to reflect the use of EBITDA (Earnings Before Interest, Taxes, Depreciation, and Amortisation) as a key financial metric was approved.

- **Senate**   **Paper C5**

The report was noted, including Senate's decision to rescind an honorary degree previously awarded to Vyacheslav Nikonov.

KEY ITEMS FOR DISCUSSION/DECISION

5   National Student Survey Results 2022   Paper D

Results from the National Student Survey (NSS) 2022 and an update on actions to improve the student experience were considered. While the result for the overall satisfaction measure (72.81%) has given some encouragement in having improved upon the previous year and in comparison to the Russell Group average, it remains well below the University's aspiration. Survey question results relating to teaching are relatively strong, with survey question results relating to student and academic support less strong and survey question results relating to assessment and feedback very disappointing. Student and academic support is expected to be improved by the new student support model and new assessment and feedback principles and priorities will be introduced in the current and next academic year – it was cautioned that both may take time to flow through to survey results given that it is final year students who are surveyed and on the whole of their degree course. The survey itself is also likely to be revised for 2023, which may make trend comparisons difficult to make. The following comments were made in discussion:

- The Students' Association survey question result is linked to the provision of facilities and demonstrating that the student voice is being heard and acted upon at College/School level. The Association is working on engagement with students such that students better understand its role and activities;
- The impact on staff workloads of student experience projects and other strategic change projects have not been assessed and will be significant – this will be considered within the individual projects as they progress;
- In the context that the relevant survey results on the existing curriculum are generally positive, a risk that work on curriculum transformation could reduce time and resources deployed on work to improve assessment and feedback – curriculum transformation should be a complement and not a substitute to work in this area;
- Whether additional support is needed for a return to in-person assessment this year – the Students' Association are exploring student views on this and there is some student anxiety towards in-person assessment as it returns across the sector;
- There is desire amongst staff to improve the student experience but perhaps a lack of capacity and resourcing;
- Other measures outside of the National Student Survey find areas of strength that are more encouraging; and,

- Organisational acceptance of whether the survey results provide a clear and representative platform for understanding student experience and hence for determining actions and interventions for agreement by the relevant leads, with those responsible held accountable for delivery within a specific timescale. In discussion, it was emphasised that the intention is improve the student experience in a holistic way, which should over time improve measures of student satisfaction, including the National Student Survey. Leaders at all levels have responsibility, from the Principal and the Senior Leadership Team, Deputy Secretary Students and Heads of School and Directors of Professional Services.

6   Students' Association and Sports Union Reports   Papers E1-E2

Reports from the Students' Association and Sports Union were reviewed, noting in the Students' Association report the sabbatical officer objectives included as an appendix and that a section relating to work on the cost of living had been accidentally omitted from the main paper and would be circulated after the meeting. Other aspects highlighted included the success of Students' Association and Sports Union welcome events for new students, the work of the Association's Advice Place in assisting students with accommodation difficulties, a recent troubling incident of racial harassment of a student and increasing support for students who experience harassment. The Association's work to develop options to better support students at the King's Buildings campus was welcomed and work on supporting trans and non-binary students discussed.

7   Director of Finance's Report   Paper F

Updates on the draft (unaudited) Statement of Comprehensive Income and Expenditure for 2021-22, the estimated financial impact of recent UK Government announcements on utility costs and national insurance, and the long term debt position, including a recommendation to establish a long-term debt repayment vehicle, were received. Following review by the Investment Committee and Policy & Resources Committee, a proposal was approved to establish a long-term debt repayment vehicle overseen by the Investment Committee.

8   Student Recruitment – 2022/23 entry   Paper G

An overview of the likely outturn of the student recruitment cycle for 2022/23 entry was presented. It was noted that the main priorities had been to meet planned intake levels, having, in common with peer institutions, exceeded these during the pandemic, and to increase the number and proportion of students from widening access backgrounds. While figures are not yet finalised, indications are that planned intake levels will be met very closely, along with a significant increase in students from widening participation backgrounds. The following comments were made in discussion:
- The increase in widening participation student numbers and the meeting of overall planned intake targets was welcomed;
- Media commentary on widening participation was discussed, noting that: the overall number of places for Scottish domiciled undergraduate students is capped by the Scottish Funding Council; the University maintains minimum

entry levels on all courses; and, that a range of measures are used to identify applicants who may be from widening participation backgrounds. Support was reiterated for improving numbers of students from widening participation backgrounds, with further briefing information on measures used to identify widening participation applicants to be circulated;

- Ambitions for the next cycle in improving the speed of offer-making to applicants; and,
- Links between student experience and the growth in the student population in recent years – developing long-term planning for the desired future size and composition of the student population is underway and Court will be updated on this.

**9   Scottish Funding Council Research Excellence Grant uplift: Paper H
      Proposed Approach**

Court approved a proposal for the allocation of the University's expected share of the Scottish Funding Council's Research Excellence Grant over the next five years, which will increase following the University's strong performance in the Research Excellence Framework 2021. For the current year, allocations will remain as agreed to give certainty for Colleges and Schools in their planning. In the following years, the intention is to provide the existing 'core' allocation to Colleges and Schools plus an overall uplift and for the remaining expected uplift, use this to support strategic interdisciplinary investments in five themes aligned to Strategy 2030.

10   International Risk Mitigation   Paper I

An overview of the rapidly changing geopolitical climate in which the University operates and international aspects of student recruitment, institutional collaborations, research and commercial income, philanthropy and other sources of funding was considered, with scenario planning and the importance of diversifying international activities discussed.

ITEMS FOR NOTING OR FORMAL APPROVAL

11   Microsoft Agreement   Paper J

Court delegated authority to the Principal to approve the contract and to the Vice-Principal, Chief Information Officer & Librarian to the University to sign the contract for a new three year agreement to licence Microsoft services and software across the University.

12   Enhancement-Led Institutional Review (ELIR) Follow-up Report   Paper K

The follow-up report to the University's Enhancement-Led Institutional Review was endorsed prior to submission to the Quality Assurance Agency Scotland.

**13   Annual Report to the Scottish Funding Council on Institution-led   Paper L
       Review and Enhancement Activity 2021/22**

The annual report was approved for submission to the Scottish Funding Council and the signing of a supporting statement by the Senior Lay Member authorised.

14   Donations and Legacies; Alumni Activities   Paper M

Court noted legacies and donations received since the last meeting and an update on current alumni relations activities. The Principal commented on the benefits brought to the University by philanthropic giving and it was suggested that this could feature as a supplement to the Principal's Report in future.

15   Any Other Business

An update on the topic of academic freedom following discussion at the Court Seminar held in October 2021 was requested for a future meeting.

16   Date of Next Meeting

Monday, 5 December 2022

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

5 December 2022

Principal's Report

Description of paper

1.   The paper provides a summary of the Principal's main activities since the last meeting of the University Court.

2.   The activity noted supports our commitment to deliver on our vision and ambitions including all four key areas of focus highlighted in Strategy 2030: People, Research, Learning and Teaching and Social and Civic Responsibility.

Action requested/Recommendation

3.   Court is asked to note the information presented. No other specific action is required of Court, although members' observations, or comment, on any of the items would be welcome.

Background and context

4.   The report summarises key issues for the University and the Principal's engagement with regard to local, national, international and sector-wide developments and activity.

Discussion

5. Although I am aware that there are a number of formal papers addressing People and Money on the Court agenda, I wanted to give my perspective on the recent weeks.

6. Court are of course familiar with the programme and also with the difficulties that built during 2019. In early 2020 the Core IT Systems for HR & Finance Court Sub-Group was formed to consider and advise Court Exception Committee on the request for additional funding from the then Service Excellence Board. In February 2020, on the recommendation of the Sub-Group, Court approved the additional programme costs and a revised timeline. In October 2021, on mounting evidence of continued problems on delivery and costs, I recommended to Court that the Enactment Group be set up to strengthen and refresh the governance of the programme under the leadership of Professor Dave Robertson and Dr Catherine Martin, Vice-Principal Corporate Services. At this point we also brought an external perspective to the programme by asking Professor Anthony Finkelstein (current Vice-Chancellor at City University, an academic specialist in systems change of this order and author of an instructive and hard-hitting review of systems implementation at the University of Cambridge) to engage with us and offer advice on the effective implementation of this complex and high risk programme.

7. Since the launch of the Finance element of People and Money at the end of August 2022 frustration has built across the organisation for a number of reasons, many of them expressed at the recent staff/student sessions. These meetings were held with members of the senior team and comprised of 3 face to face meetings (one at each major campus) primarily with staff, an online meeting with our Post Graduate Research students and the bulk of the running time of a previously arranged all staff online "town

hall" with just under 1,000 staff. We learnt many things from those present with each having a slightly different slant.

8. Our initial response has been to bring increased focus to the backlog as this must be reduced in order to stabilise our finance functions and begin to approach business as usual for transactions. Measures here include: repurposing staff to bolster existing teams; setting up concentrated "sprint" sessions to attack specific areas, this method is being used in a range of circumstances including outstanding invoices, international payments and setting up Research Grants in the system; concentrated effort on stipend payments which were brought forward and paid successfully in November; a clear escalation route for stipend problems published to our PGR students.

9. I wish to apologise and record my thanks to staff, in all parts of the University, currently grappling with the system and working to help alleviate what is an unacceptable position for our University to be experiencing. I am also acutely aware that apologies are not enough in themselves and we have begun to take some additional steps. For those of our PGR students who did not receive their stipend payments in time in September and October, we will be making a one off £300 payment direct to them. In addition to the work on the backlog we have agreed two changes to the system configuration giving enhanced access to open up information in the system that was hidden on launch to key staff groups. For Research Projects, Professor Dave Robertson is leading on rolling out enhanced Project Administrator and Project Manager roles. All finance transactional information is being opened up to named colleagues so that they can see information needed to answer queries and help to pinpoint possible issues for finance colleagues. College Registrars are currently working through who will have this access, the segregation of duties will be maintained in the new setup.

10. All of the senior team understand that stabilising the University's financial systems will require relentless focus for many months to come. We are fully behind an external review and see this as an essential part of the immediate next phase.

11. Although it does not make the People and Money issues any less unacceptable and pressing there is a sense that a number of recent and current events such as the pandemic and associated workloads, cost of living and inflation concerns, the war in Ukraine all cause uncertainty and stress for people that are compounded by the work-based difficulties of People and Money. Concerns over pay and pensions, and the response in the form of industrial action, are also clearly in this bracket.

12. The University and College Union's (UCU) national campaign achieved a mandate for strike and action short of strike in a consolidated ballot, meaning all 150+ UCU branches at institutions across the UK are able to take joint action. The first of these actions was a continuous Action Short of Strike (ASOS) which commenced on 23rd November and will run continuously until the end of the mandate on 20 April 2023, unless agreement is reached sooner. ASOS is taking the same form as previously, and a threat of an additional marking and assessment boycott has been made for Spring 2023. Three days of strike action have been announced for 24th, 25th and 30th November and at the time of writing, agreement has been reached with UCU to defer pay deductions to January in exchange for not targeting graduations, encouraging good picket line behaviour and reporting participation via agreed channels.

13. Unison have announced a re-ballot of members in institutions which were close to a 50% turnout in their August ballot. Having reached 46% in Edinburgh, we received notification that a re-ballot will run from 30 November to 21 December for strike action on pay.

14. UCEA (Universities and Colleges Employers Association) opened a consultation with institutions on 2 November on a proposal to bring forward the 2023/24 pay negotiations which would normally start in early 2023. The proposal is to explore an 18 month deal which could be effective from February 2023. The details of the negotiation will be kept confidential until conclusion of the consultation and we will provide updates to the Executive as soon as possible.

15. Of course our staff are not the only people concerned about the [rising cost of living:](#) our student body is at the front line with increased costs of the necessities of accommodation, fuel and food. We have taken some immediate measures quickly including doubling our student support 'hardship' funding to £3m, which we believe will make more funds available to target those in most need. We have held our rents this year and not passed on any increased utility costs and have a low cost lunch option available in all University catering. That said we recognise that we need to keep actively engaged on this and will continue to work with our students and the Students' Association.

16. A few things to mention from a wider perspective. I was very pleased to co-host two events to mark the University's positive engagement with the Research Excellence Framework 2021 and our excellent results. An internal celebration to thank the many staff, both Academic and Professional Services involved, including short presentations from three of our many brilliant research areas:
- How research into young people and crime changed the criminal justice system by Lesley McAra, Professor of Penology and Director of the Institute for Advanced Studies in the Humanities, and Susan McVie, Professor of Quantitative Penology
- Reducing the environmental impact of beef production by Dr Rafael De Oliveira Silva, Chancellor's Fellow, Global Academy Agriculture & Food Systems
- Developing Sunamp, a residential heat battery that is creating jobs and helping those at risk of fuel poverty by Professor Colin Pulham, the then Head of the School of Chemistry

17. This was followed a week later by an external facing event at the Scottish Parliament sponsored by Daniel Johnson MSP, to highlight our research priorities and innovation. Co-hosted with Vice-Principal Research and Enterprise Professor Christina Boswell and with good attendance from partner organisations, including the Chair of the Scottish Funding Council, and MSPs. Mr Jamie Hepburn MSP, Minister for Higher Education and Further Education, Youth Employment and Training spoke on the impact of research and our research presentations this time were on:
- EAVE2 by Professor Aziz Sheikh, Director of the Usher Institute
- Data ethics/governance and responsibility for autonomous systems by Professor Shannon Vallor
- Edinburgh Earth Institute and sustainability/Earth observation combating climate change by Professor Iain Woolhouse

18. Following discussion at the last meeting of Court, I intend to highlight significant philanthropic and alumni activity which is of strategic importance to the University, to complement the detailed report that Court receives regularly listing specific gifts received, and alumni activity/events. For this initial report I wish to highlight to Court (in confidence) that final stage discussions for a major renewal of our Mastercard Foundation grant are close to complete. Those positive conversations are a testament to the outstanding way in which the team in Edinburgh Global, together with countless academic and wider professional services staff, have made such a success of the first grant received in 2017. It is also testament to the sheer brilliance of the students who joined us from various African countries in that first programme and the impact that they have already gone on to have in the world.   It is likely that we will be in a position to share full details of the agreement before Christmas in confidence, with carefully planned joint announcements following in the New Year.

19. Also to mention recognition for the strength of the University in recent league table announcements where we are now 15th in the world in the QS rankings, 29th in the Times Higher, 5th in the Times Higher assessment of contributions to the United Nations Sustainable Development Goals on industry, innovation and infrastructure and 4th in the QS rankings on environmental sustainability performance.

Selected meetings and events from end September to start of December
20. *University*
- Welcomed delegates and provided an introduction at the Advanced Care Research Centre symposium on 'Understanding ageing and reshaping health and care'.
- Welcomed attendees of the Edinburgh Futures Conversations on Climate Justice.
- Met with Chief Superintendent Sean Scott, Edinburgh City Division Commander at Police Scotland, for a general discussion.
- Participated in a roundtable dinner with colleagues from the Bank of England: Huw Pill, Chief Economist; Sarah Guerra, Head of Culture, Diversity and Inclusion; and Will Dowson, Scottish Agent.
- Welcomed Biotechnology and Biological Sciences Research Council colleagues for their visit to Edinburgh to discuss strategy, priorities, and current projects.
- Gave a brief presentation and answered questions at a session for staff who have recently completed the Edinburgh Leader and Edinburgh Manager programmes, alongside those who are just starting.
- Interviewed by Magnus Linklater, journalist, for an article in The Times. It covered issues that the University of Edinburgh and the higher education sector has faced over the past two years; multiply quoted since.
- Welcomed attendees of the Communications and Marketing internal conference.
- Welcomed attendees of the Head of School Development Programme.
- My Senior Team and I took time to participate in an informative away day on the theme of Transitions, Team-working & Transformation.
- Welcomed Russell Group Pro Vice-Chancellor's for Teaching and Learning colleagues to the University for their Autumn series of meetings.
- Participated in a reception for staff to celebrate the successful 2021 Research Excellence Framework outcome.

- Hosted a reception and thank you for the outgoing (Dorothy Miell, Dave Robertson, Jonathan Seckl, and Sarah Smith) and incoming (Kim Graham, Sarah Prescott, Iain Gordon, Leigh Chalmers and Christina Boswell) members of my Senior Leadership Team
- Welcomed attendees at the New College 2022 Book Festival.
- Participated in the Royal (Dick) School of Veterinary Studies' School accreditation visit by the Royal College of Veterinary Surgeons. Where we were pleased to see a positive result.
- Hosted a dinner for speakers and organisers of the Nyerere Centenary Celebration event.
- Welcomed staff at the Professorial Roll signing.
- Participated in meetings of the Development Trust Board and the USA Trust Development Board.
- Visited the new Nucleus building at King's Buildings, a hub for students and staff to learn, study and social in.
- Welcomed members of the Carlyle Circle (University legacy pledgers) to Old College for our annual thank you reception.
- Participated in the Old College Christmas Tree Lighting Ceremony, with singing by the University Choir and music from the Salvation Army Band and a record turnout of students and staff.
- Welcomed graduands, guests and honorary graduates to our seventeen winter graduations ceremonies.
- Participated in the Medical Research Council's Quinquennial review of the Human Genetics unit.
- Hosted a thank you reception for Recruitment and Admissions staff.
- After the Court meeting I will be hosting a reception for long serving members of staff.

21. *Edinburgh and Scotland*
- The Principals of Edinburgh's four universities continue to meet monthly to share progress on various activities.
- Participated in a meeting of the Edinburgh and South East Scotland City Region deal Leaders Group meeting, Joint Committee, and Annual Conversation – which involves the UK and Scottish Governments and the Deal partners. Also chaired a meeting of Higher Education - Further Education Strategy Group, which feeds into the Edinburgh and South East Scotland City Region Deal meetings.
- Participated in a discussion session on the 'Current Challenges and solutions of healthcare higher education' with Dr Katerina Kolyva, Chief Executive Officer, Council of Deans of Health, and Professor Alison Machin, Convenor, Council of Health Scotland, at the Council of Deans of Health Autumn Conference in Glasgow.
- Participated in the Four Nations College Alliance International conference on the theme of 'Creating an integrated Tertiary Education and Skills System, hosted by Cardiff University.
- Participated in a meeting of the Newbattle Abbey Trustees.
- Participated in a meeting on Edinburgh Festival issues.
- Participated in the Converge 2022 award, Scotland's annual celebration of academic innovation and entrepreneurship.

- Participated in a reception for Tim Gardam, Chief Executive Officer of the Nuffield Foundation, as part of his visit to the Smart Data Foundry.
- Participated in The Norwegian Consulate General's reception and concert to celebrate the arrival of the traditional Christmas Tree gifted by Vestland County Council to the City of Edinburgh.
- Participated in a reception to celebrate the unveiling of the United States Consulate General Edinburgh's Official Tartan Design.

22. *Sector and Public Affairs*
- Participated in a Russell Group Board meeting.
- Participated in Universities UK meetings and events including: the regular USS pension discussion; Members' meeting; mental Health Leadership toolkit.
- Participated in a Scottish Funding Council Board meeting hosted by Stirling University.
- Participated in various meetings on Security as part of my role as Lead for security issues in higher education for the Russell Group and Universities UK.
- Participated in Scottish Health and Industry Partnership Oversight Group meetings.
- Continue to co-chair with Dame Julia Goodfellow a working group for the Academy of Medical Sciences which will produce a report on the Sustainability of the UK Health Research ecosystem.
- Met with Deputy HM Trade Commissioner for China, Tom Duke, during his visit to the University for a discussion on the current position and future outlook in China.
- Participated in an event at the Scottish Parliament, sponsored by Daniel Johnson MSP, to promote the University's success the 2021 Research Excellence Framework exercise using case studies to highlight our research priorities and innovation.
- Welcomed the Deputy First Minister, John Swinney MSP, and attendees participating in the Financial Inclusion for Scotland Launch conference.
- Participated in the reception celebrating Sir Geoff Palmer receiving the Edinburgh Award 2022.
- Participated in an introductory meeting with the new Scottish Government Permanent Secretary John-Paul Marks.

23. *International*
- Participated in a National Day of Spain reception in Edinburgh at the invitation of the Consul General of Spain.
- Participated in a roundtable discussion at the British Ambassador's Residence in Berne on future positioning of UK and Swiss universities in relation to EU research, innovation, and education, particularly within the League of European Research Universities network.
- Participated in the Association of Commonwealth Universities Regional Committee meeting (online).
- Hosted a dinner for the President of Pontificia Universidad Católica de Chile, Professor Ignacio Sánchez, as part of his visit to the University.
- Participated in the League of European Research Universities Rectors' Assembly in Munich.

- Chaired a Universitas 21 Presidents' Peer to Peer meeting on the topic of "What does it mean to be a leader in crisis?" (online).
- Spoke at a Round table Consultation on Secure International Science Cooperation, organised by the British Embassy in Prague together with the Czech Ministry of Foreign Affairs (online).

Resource implications
24. There are no specific resource implications associated with the paper.

Risk Management
25. There are no specific risk implications associated with the paper although some reputational risk may be relevant to certain items.

Responding to the Climate Emergency & Sustainable Development Goals
26. As the paper represents a summary of recent news and general activity, it does not directly relate to the United Nations Sustainable Development Goals.

Equality & Diversity
27. No specific Equality and Diversity issues are identified.

Next steps/implications
28. Any action required on the items noted will be taken forward by the appropriate member(s) of University staff.

Consultation
29. As the content is a summary of recent news no consultation is required.

Further information
30. Peter will take questions on any item at Court or further information can be obtained from Ms Fiona Boyd, Principal's Office.

31. _Author & Presenter_
    Professor Peter Mathieson
    Principal and Vice-Chancellor
    November 2022

Freedom of Information
32. Open version.

UNIVERSITY COURT

5 December 2022

Policy & Resources Committee Report

Committee Name
1. Policy & Resources Committee

Dates of Meetings
2. 14 November 2022.

Action Required
3. To note the key points from the meeting.

Key points
People and Money System Update
4. An update on the implementation of the People & Money system was considered. Efforts are being concentrated on reducing a backlog of overdue payments to students, suppliers and other non-trade suppliers, improving research grants finance processes, and on budgeting and forecasting work. The following points were raised in discussion:

- Whether the situation is now improving and how this can be demonstrated and assurances given – upcoming milestones will show the extent of progress. Success with these will help restore confidence and be a clear indication of progress. Importantly, the new payroll system has continued to operate successfully since implementation earlier in the year;
- Whether the system governance and support in place is sufficient – the Enactment Group has been extended until the end of the calendar year having been originally scheduled to wind down and transition to a new 'business as usual' model at the end of October. There is support for a swift approach to resolve major issues;
- An independent review with Court involvement in determining the terms of reference should take place at the appropriate time. The present focus should be on rapid resolution of the immediate issues before turning to wider reflections, lessons learned and implications for other projects;
- The extent to which issues had been known prior to launch and if interventions could have been made at earlier points – the system was procured prior to the pandemic and the Committee is aware from previous discussions and papers of the disruption from the pandemic on the system's development. However, the system launched without critical defects. Some system issues have emerged post-launch and are being addressed. Other issues relate to changed processes as a result of the finance transformation programme rather than the system itself and these are being considered;
- The level of concern from many staff, which has led to an open letter from many elected members of Senate and communications to Court members and the media – this is very unusual and should be taken as an indication of the high level of concern; and,
- The scale of the challenge of implementing a major new HR and Finance system in a large and devolved organisation was recognised and that a

system of this type tends to realise benefits at an organisational-wide level over time rather than provide tangible immediate benefits to most users.

Director of Finance's Report
5. The Director of Finance's Report was reviewed, including a draft of the Annual Report and Accounts for 2021-22, an update on Asset Backed Security funds, a proposed investment strategy from the Trustees of the Staff Benefits Scheme and a Transparent Approach to Costing benchmarking exercise. Colleagues were thanked for their work in preparing the draft Annual Report and Accounts, with any comments on the draft to be submitted by email following the meeting.

Performance measures to support Strategy 2030: 2021-22 year-end report
6. The year-end report for the Strategy 2030 Key Performance Indicators was presented. Recognising that some elements remain to be finalised, the mixture of quantitative and qualitative measures and the visual representation used was welcomed. The indicators can be viewed in an interactive dashboard format but it was noted that, given the nature of higher education, many indicators update on an annual basis and are well suited to a year-end report format. Considering whether internal indicators of social impact can be developed was suggested, along with a brief 'elevator pitch' summary that could be used by senior staff to communicate progress.

Size and Shape: Update
7. An update on work to determine a framework for size and shape planning for the student population was considered. The work has been split into two phases, with Phase 1 the subject of the current report. Phase 1 has focused on full-time on-campus undergraduate and taught postgraduate students, which comprises the great majority of the student population, with Phase 2 ongoing and encompassing other student categories. Members discussed:
- The update has given a helpful and clear overview of the size and shape work and was supported;
- Whether there is an aspiration for the University to be a certain size – the focus is on ensuring any growth is planned and strategic, and on the mix of the student population and helping the student experience; and,
- The importance of Phase 2 and in giving institutional level consideration of the effects of local decision-making over time.

People Report
8. The standing update on staff-related matters, including an update on the development of a People Strategy, was presented. Planned and potential industrial action from a number of unions with staff membership at the University and the impact of continued industrial action on students and staff was discussed. Industrial action has become more common in the sector in recent years and risks to long-term student experience from this should be carefully considered. Pay and non-financial recognition for staff was also discussed, noting that work is underway to consider the grading scales to address pay scale compression and to help enhance recruitment and retention. Encouraging staff take-up of a new anti-racism online learning course was discussed. Ongoing work of the Staff Experience Committee in considering change management and identifying areas for improvement for staff benefit was noted.

Pollock Halls District Heating Pipework Replacement

9. A loan from the University to subsidiary company the University of Edinburgh Estates Services Company Limited to urgently renew the district heating pipework network on the Pollock Halls Campus was approved, with the loan to be repaid by income from the subsidiary's commercial activity. It was agreed that a contingency plan will be developed for accommodating students should there be a pipeline failure prior to or during the replacement work, with the intention that the new pipework will be operational for the next academic year.

Intentions for Planning and Budgeting for 2023-28

10. Intentions for the approach to planning and budget-setting to be undertaken during 2022-23 for the financial years 2023-2028 were noted.

Outcome Agreement 2022-23

11. A developed draft of the University's Outcome Agreement 2022-23 with the Scottish Funding Council was reviewed prior to further work to develop a final draft for submission to Court for approval.

Estates, Digital and Infrastructure Committee Report

12. The report was noted.

Estates, Digital and Infrastructure Committee – Name Amendment

13. An amendment to the name of the Estates, Digital and Infrastructure Committee was considered. Feedback that the Committee's acronym duplicated the pre-existing Equality, Diversity & Inclusion Committee and some confusion had been caused as both were being commonly referred to by their acronyms was noted. To resolve this and to simplify matters, it was agreed that the name should be changed to Estates Committee with immediate effect, with Estates taken to mean physical estate, digital estate and all infrastructure.

Further information

14. *Author*   *Presenter*
     Lewis Allan   Janet Legrand
     Head of Court Services   Convener, Policy & Resources Committee

Freedom of Information

15. Open version.

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

5 December 2022

Nominations Committee Report

Committee Name
1. Nominations Committee

Dates of Meeting
2. 14 November 2022.

Action Required
3. To note the key points from the meeting.

Key points
Senior Lay Member Extension of Term
[Note: Janet Legrand, Senior Lay Member, recused herself from the meeting for the duration of the item, with the University Secretary acting as Convener, as per the Committee's terms of reference.]
4. It was noted that the Senior Lay Member's term of office concludes on 31 July 2022 and that it can be renewed by Court on the recommendation of Nominations Committee for a further period of three years subject to satisfactory performance, without recourse to a further election. This is provided for in the relevant legislation and in the Court-approved role description and election and appointment regulations.

5. Frank Armstrong, in his capacity as Intermediary Member of Court with a responsibility for leading the appraisal of the Senior Lay Member, was invited to comment on a formal review meeting held on 13 September and other informal engagement. It was agreed to recommend to Court that a three year extension of term to 31 July 2026 be approved.

Court and Committee Memberships
6. Current and expected future vacancies on Court and its committees were reviewed.

Court Recruitment
7. A process for the recruitment of new Co-opted Members of Court was considered. It was agreed that:
- The Convener and the University Secretary will consider further the appointment of a suitable search agency, with a delegation of authority to make an appointment if desired;
- Skills and experience suitable for membership of the Audit & Risk Committee should be a particular priority for this recruitment round; and,
- The Selection Panel that will shortlist and interview candidates will comprise:
  i. Convener of Nominations Committee (chair) (Janet Legrand)
  ii. University Secretary (Leigh Chalmers)
  iii. Principal (Peter Mathieson)
  iv. General Council Assessor (Sarah Wolffe)
  v. Staff Member (Sarah McAllister)

     vi. Student Member (Niamh Roberts)
    vii. Convener of Audit & Risk Committee (Douglas Millican)

Equality & Diversity

8. The Committee reviewed in confidence the equality monitoring information provided by Court members to inform future recruitment. Increasing the diversity of the Court membership will be a key consideration in the forthcoming recruitment round.

Further information

9.   *Author*   *Presenter*
     Lewis Allan   Janet Legrand
     Head of Court Services   Convener, Nominations Committee

Freedom of Information

10. Open version.

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

Audit & Risk Committee Report

Committee Name
1. Audit & Risk Committee.

Date of Meeting
2. 21 November 2022.

Action Required
3. To note the key points from the meeting.

Paragraphs 4-18: Closed section

Equality & Diversity
19. There are no specific equality and diversity issues associated with this report.

Further information
20. *Author*   *Presenter*
    Kirstie Graham   Douglas Millican
    Deputy Head of Court Services   Convener of the Audit & Risk Committee

Freedom of Information
21. Closed paper.

UNIVERSITY COURT

5 December 2022

Remuneration Committee Annual Report

Description of paper
1. This is the annual report from Remuneration Committee to Court. In order to align with the University's financial year Court agreed that it be submitted to the last Court meeting of the calendar year and reflect the previous academic year.

Action requested/Recommendation
2. To note the contents of the report.

Background and context
3. This is the fourteenth annual report from Remuneration Committee to Court. It covers Remuneration Committee activity in the period from 1 August 2021 to 31 July 2022. The last report was submitted to Court in November 2021.

4. The Remuneration Committee[1] is responsible for the annual review and approval of revisions to the remuneration of the University's senior management, including the Principal, their direct reports and other senior staff. Approved increases are effective from 1 January.

5. In December 2018, Court approved revisions to the Remuneration Committee's Framework for Decision Making[2] to ensure compliance with the revised Scottish Code of Good Higher Education Governance (2017 edition), namely that, 'prior to decision-making on the remuneration package of the Principal and the senior team, all Court members will be consulted on the overall proposed approach, with the key principles underpinning the proposal explained'.

6. The key principles underpinning the Remuneration Committee Framework for Decision Making are to:
    *   ensure a transparent process
    *   ensure that the process reflects robust equality practice
    *   ensure that the process takes account of the quality and standing of the University of Edinburgh and to acknowledge that this quality and standing sets normal expectations of sustained high impact contribution from its senior staff
    *   describe and review the kinds of indicators that are used to identify sustained excellence beyond this expected level, and
    *   make use of appropriate comparative information on employee remuneration from established independent sources.

7. The Remuneration Committee meets at least three times per year. In the time period of this report, the committee met on 18 November 2021, 24 January 2022,

---

[1] https://www.ed.ac.uk/human-resources/pay-reward/remuneration-committee
[2] https://www.ed.ac.uk/files/atoms/files/20181203-remuneration_committee_framework.pdf

and 23 May 2022. Decisions relating to individual staff remuneration, for example appointment salaries, may be dealt with by electronic correspondence. These decisions are formally recorded at the next committee meeting.

8. Membership of the Remuneration Committee over the time of this report:
- Hugh Mitchell (Convener)
- Janet Legrand (Senior Lay Member)
- Frank Armstrong (Co-opted Member)
- David Law (Co-opted Member) (remitted post after May 2022 meeting)
- Ellen MacRae (EUSA President) (final meeting May 2022)
- Claire Phillips (Senatus Assessor) (final meeting May 2022)

In attendance:
- Peter Mathieson, The Principal and Vice-Chancellor[3]
- Sarah Smith, Vice-Principal Strategic Change and Governance and University Secretary[4] (final meeting May 2022)
- James Saville, Director of Human Resources
- Linda Criggie, Deputy Director of HR (Employee Relations, Employment Policy, Equality & Diversity and Reward) (final meeting January 2022)
- Jo Roger, Director HR Partnering Professional Services (from May 2022 onwards)
- Sheila Jardine, Senior HR Partner – Reward

Paragraphs 9-32: Closed section

Responding to the Climate Emergency & Sustainable Development Goals
33. This paper does not contribute directly to the Strategy 2030 outcomes or SDG goals as it is purely a summary of the past activities.

Equality & Diversity
34. Salary recommendations and decisions reflect the principles that underpin the Remuneration Committee's decision making, specifically to ensure the process for reviewing the reward of senior staff reflects robust equality practice and that the reward of senior staff is fair, equitable and responsive in a highly competitive environment.

Next steps/implications
35. Annual reports summarising the activity of the Committee will continue to be presented to Court in November/December each year.

Consultation
36. This paper has been written on behalf of the Convener of Remuneration Committee, Hugh Mitchell, who has agreed its content.

---

[3] The Principal's remuneration is considered at separate sessions of the Remuneration Committee, which the Principal does not attend.
[4] Withdraws when own remuneration under consideration.

Further information

37. *Author*   *Presenter*
      James Saville   Hugh Mitchell
      Director of Human Resources   Convener, Remuneration Committee

Freedom of information

38. Closed paper.

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

Knowledge Strategy Committee Report

Committee Name
1. Knowledge Strategy Committee

Date of Meeting
2. 18 October 2022

Action Required
3. To note the key points from the meeting.

Key points
Matters Arising
4. Updates on two matters arising were noted:

- In response to a query raised at the last meeting regarding payments for staff with guaranteed hours contracts undertaking mandatory training such as information security training, Human Resources have confirmed that staff with guaranteed hours contracts must be paid for training designated as mandatory by the University, as per an agreement reached with the Trade Unions;

- Strategic change projects and staff workloads – the Director of Strategic Change has met with the relevant committee member to discuss this topic. A paper on strategic change projects is planned for the next meeting of the University Executive, and Knowledge Strategy Committee will be updated following this. In discussion, the importance of managing and addressing any potential bottlenecks from multiple projects was raised, noting that offering local flexibility in implementation dates can help with this where possible, as seen in the staged and flexible introduction of the Learn Ultra Virtual Learning Environment covered later in the agenda.

Chief Information Officer Update
5. Key activities and updates since the last meeting were reported, including:

- New ways of working, with Information Services Group supporting hybrid meetings and hybrid working across the University, including standardising technology for hybrid meeting rooms – while there are often delays in receiving hybrid meeting equipment given supply chain shortages these are usually in the order of around two to three months and are manageable;

- Recruitment and retention of certain specialist IT staff is a continuing concern, with an increasing number of IT roles in other organisations in the UK and globally offering fully remote working. This can attract those in the Edinburgh labour market who would not have previously been able to work for these organisations without relocating. An increasing effort is being placed on recruiting to in-demand roles. Offering flexible hybrid working arrangements given the changing nature of work in these specialised fields can assist with this;

- The global shortage of computer chips continues and while the supply of laptops has improved, on-going shortages of networking equipment remain;
- Work is ongoing to finalise a Framework for Clinical Data with NHS Lothian – additional resource planned to enable adherence to polices and an update could be provided to the Committee on lessons learned from this when complete;
- An Information Governance short-life working group will shortly be established by the Chief Information Officer and the University Secretary.

Supporting the Curriculum

6. An update on the IT and Library work stream of the Curriculum Transformation Programme was presented. Projects to support the work stream have been identified and reviewed to assess whether they are mandatory for the programme or if they can be de-coupled and progressed separately in order to reduce dependencies. Mandatory projects include student record changes, course choices and integration between the student record system and other systems. Work packages that can be progressed separately include a new degree finder system, a new timetabling system and the upgrade of the Learn Virtual Learning Environment. Key risks and issues include staff resourcing given competing priorities and the cost and complexity of running parallel systems, which may run for five or more years. It was noted that while a small number of students may remain registered on courses for longer than five years, once a new system has been in place for a number of years students who are still registered under the previous system could be transferred to the new system.

University Digital Strategy

7. An update on the development of a Digital Strategy to support the overall University Strategy 2030 was presented. The draft strategy has been revised to be presented in the form of the four pillars of Strategy 2030: People, Research, Teaching & Learning, Social & Civic Responsibility plus an underlying enabling pillar of the digital estate and infrastructure. Topics within the pillars include:
- People: the importance of the digital estate being accessible in its widest sense, e.g. for those disabilities, for those without familiarity in using IT, for those using different devices; embedding equality, diversity and inclusion and data ethics in all aspects; the importance of human-centred design;
- Research: ensuring digital acts as an enabler for research excellence; ensuring digital research tools are visible and accessible to all researchers; establishing a roadmap for the future of digital research; adopting a strategic and coordinated approach to investment;
- Teaching & Learning: supporting hybrid teaching and learning; the digital transformation of student services; building an online digital community and sense of belonging; improving support for subtitling and other accessibility work;
- Social & Civic Responsibility: contributing to the Net Zero by 2040 goal with a continuous programme of green IT to reduce the impact digital has on the environment; contributing to global leadership in artificial intelligence and data ethics; ensuring the widest possible public global access and engagement through events, open research outputs, open educational materials & heritage collections; and,

- Digital Estate (hardware and software): improving user experience for all; protecting the digital estate from cyber threats and being secure by design; joining governance, strategy and vision for the physical and digital estate; considering Open Source alternatives as part of a programme to make a sustainable estate and support the Open Source community.

8. Nine projects to improve the digital estate over the next two years have been identified as immediate priorities and are being progressed: replacement of the EASE sign-in system and introducing multi-factor authentication; data resilience; proactive cyber protection; a new timetabling system; data centre capacity; online assessment systems; a continuing professional development short courses platform; Programme Course and Information Management & Degree Finder; and, an upgrade of the Learn Virtual Learning Environment.

9. Five subsequent projects to improve the digital estate in the three to five year period have been identified: estates facilities management; student systems; business intelligence reporting; supporting assessment and feedback; and, review of the MyEd student portal.

10. A number of items not present in the University's current digital estate that other peers may have will also be explored. These include a student engagement platform, central event management platform, an automated system for hardware and software asset management, and a School-level interface to University core data.

11. The following points were considered in discussion:
- Accessibility can be impeded by restrictions on certain hardware and software use – work on standard builds for University computing devices will assist with this;
- Timetabling is a key area where improving the links between the physical and digital estate could be of benefit, with a new system being procured at present; and,
- How oversight of the Digital Strategy will take place after its launch – Key Performance Indicators will be developed to monitor progress and the document will be reviewed and refreshed over time.

Network Replacement Programme Update and Prioritisation
12. An update on the Network Replacement Programme was reviewed. It was noted that deployment of the central technologies and installation in early adopter buildings has been completed and the majority of the University's WiFi network has been replaced, with ongoing work mainly consisting of replacing the in-building wired network across all buildings. While a large amount of equipment had been purchased in advance in anticipation of potential supply chain problems, and has been received, global shortages of networking equipment are expected to affect the remaining roll-out. In mitigation, the schedule for installing the remaining equipment has been assessed and prioritised, with new buildings that would otherwise not be networked set as a foremost priority, along with areas of high student use.

Digital Research Services Programme Investment
13. Proposed budget allocations for the Digital Research Programme were approved. Members discussed:
  * The inclusion of ongoing services within the investment programme, noting that this is in order to assess on an annual basis whether ongoing services might need more or less investment than previously forecast;
  * The location of much of the physical equipment at the Advanced Computing Facility and potential space constraints there; and,
  * The planned upgrade of Eddie, a research compute cluster.

Short Courses Platform
14. The proposed budget for procurement and implementation of the Short Courses Platform was approved.

Library Committee Convener
15. The appointment of Professor Sarah Prescott, Vice-Principal and Head of the College of Arts, Humanities & Social Sciences, as the new Convener of Library Committee to end July 2025 in the first instance was approved.

Open Monograph Publishing
16. Information on the current environment for open monograph publishing and options considered by Library Committee with regard to the response on the future Research Excellence Framework requirement for all eligible monograph outputs to be made accessible Open Access were noted.

Data Centre Capacity
17. A forward view of data centre capacity was reviewed.

Library Access and Facilities for Parents and Carers Accompanied by Children
18. A paper updating the Committee on recent negative feedback received from student parents and carers visiting libraries accompanied by children and actions taken in response, was noted. Actions taken include Library Committee approval of a revised Library Policy for Parents and Carers Accompanied by Children and plans to create a Family Room in the Main Library. The importance of undertaking further work to improve accessibility for student parents and carers was highlighted, noting positive examples in peer institutions, which the University should seek to learn from.

Information Security Update – MFA and IDAM Deployment
19. An update on ongoing planning and development work to deploy Multi-Factor Authentication (MFA) and scope a technical solution to replace and update Identity and Access Management (IDAM) was noted. It was agreed to recommend approval to the University Executive for the core design approach of:
  i. Utilising the existing Microsoft Campus licence which includes Active Directory Conditional Access as the core underlying technology supporting deployment of MFA; and,
  ii. Agreement that access to core University digital services, where technically feasible, will require all users to use MFA (options will be provided) unless, and only by exception, approved conditions cannot be met.

20. Incorporating role based access within the next phase of work, on IDAM, was encouraged.

People and Money System Update

21. An update on the implementation of the People and Money system to underpin the HR and Finance Transformation programmes was noted. Further updates from the Enactment Group following on from the all staff message of 6 October were encouraged, with another communication expected next week. Improving communications with students affected by delays in stipend payments was raised, with some students having to seek emergency loans given the delays. Extending the 'hypercare period' from the implementation partner InoApps was raised, noting that enhanced support from Oracle for an additional six months has been agreed.

Other items

22. An update on the implementation of the Enterprise Infrastructure Replacement Programme was reviewed, along with the regular Information Security update, information on the Information Services Group Capital Envelope 2021-2027 and regular committee reports from IT Committee, Library Committee and the Digital Research Services Steering Group. Progress reports on the Learn Ultra update and the Learn Ultra Early Adopter Programme were also reviewed and proposals for a refreshed approach to University strategic business intelligence, delivered via a 'hub and spoke' model, endorsed.

Further information

23. *Author*   *Presenter*
       Lewis Allan   Colm Harmon
       Head of Court Services   Interim Convener, Knowledge Strategy
                                                   Committee

Freedom of Information

24. Open version.

UNIVERSITY COURT

5 December 2022

Senatus Academicus Report

Committee Name
1. Senatus Academicus ('Senate').

Dates of Meetings
2. Meeting of e-Senate by correspondence from 14 - 28 September 2022. Ordinary Meeting of Senate held on 12 October 2022 by videoconference.

Action Required
3. To note the key points from the Senate meetings

4. This report is drawn from the confirmed report of e-Senate for 14-28 September 2022 and the unconfirmed minutes of the 12 October 2022 meeting.
The full record of meetings is available at Agendas, Papers and Minutes.
Senate will consider the minutes of the 12 October meeting at the next Ordinary meeting, to be held on 8 February.

5. Any substantive amendment to the record of the 12 October meeting will be included in Senate's routine report to be submitted to the next meeting of Court.

Key points
e-Senate meeting 14-28 September 2022
Annual Report to the Scottish Funding Council on Institution-led Review and Enhancement Activity 2019/20
6. Senate formally noted the report. Comments were received and these were passed to the paper author. These comments were reflected on before a final paper was submitted to Court.

Conferment of the title of Professor Emeritus / Emerita
7. Senate agreed to confer the title of Professor Emeritus / Emerita on those professors listed in the paper. A comment was received and this was passed to the relevant College.

Ordinary Meeting of Senate – 12 October 2022
8. The meeting was convened by the Principal, Professor Peter Mathieson, who opened the meeting and confirmed that Senate had reached quorum. Members were reminded of the etiquette for Senate meetings conducted online.

Convener's communications
9. The Convener noted the following points:
*   The Principal extended his thanks to Senate for the well wishes conveyed by Senate when he was unwell in August.
*   People and Money has generated a high level of concern among colleagues, which was acknowledged by the University Senior Leadership. Additional

resource has been focussed to help clear a backlog of invoices and there is evidence that this is starting to have an impact.

- A student occupation of the Gordon Aikman Lecture Theatre is currently underway, resulting in disruption to teaching and preventing Senate meeting in person. There is open communication between the students, Security, and the University and the occupiers are taking account of Health and Safety concerns.
- The Student Accommodation guarantee for first-year and overseas students has been met and exceeded by approximately 2000 students. The Convener understood that all students seeking emergency accommodation have received an offer.
- UK Research & Innovation (UKRI), who is a major funder of research, increased postgraduate research student stipends to take account of cost of living increases. The University has agreed to align with the UKRI by increasing levels of other postgraduate research student stipends
- The University has elected to implement the increased Real Living Wage immediately to reflect the cost of living crisis.
- Increased funds have been made available under the Student Hardship Fund to reflect the increased pressure resulting from the cost of living crisis.
- The Taras Shevchenko National University of Kyiv, who the University has a twinning agreement with, was recently subject to deliberate attacks. The University wrote a message of support for the partner University in response to the attacks.

10. In response to this update, the Students' Association President noted the Advice Place are still receiving enquiries from students awaiting emergency accommodation. The University Secretary agreed to look into this issue.

Update from Timetabling Unit
11. Deputy Secretary, Lucy Evans provided an update on behalf of the Timetabling Unit. She indicated that since the University has returned to full scale, in-person teaching, there have been challenges in scaling up operations, which the Unit is in the process of addressing. This has resulted in some key challenges, and there are plans in progress to address these, summarised as follows:
- The planning exercise began later than usual due to uncertainty regarding a return to in-person teaching. The Timetabling Unit are reviewing timelines for this process moving forward.
- There were a significant number of late submissions from Schools, likely related to uncertainty around in-person teaching, making it difficult to achieve a clash-free timetable. The Unit is reviewing the process for submission of timetabling information.
- A high volume of change requests (approximately 5000) were received at the start of the semester. Thought is being given to capturing change requests earlier in the process.
- A corruption of the database occurred in the first week of teaching and resulted in a full shut down and rebuild of the system. A process is underway to procure a new system.
- The forthcoming opening of the Nucleus at the Kings Building's campus will assistance with the capacity of the University Estate.

She thanked colleagues for their patience and support during a challenging period, and for the comments received prior to the meeting, and invited Schools to contact her if they wish to discuss the issue further.

Matters arising
Report of Curriculum Transformation Programme costs
12. Deputy Secretary, Lucy Evans provided an update on the Curriculum Transformation Programme costs. While it is too early in the project to provide a detailed assessment of costs, she reassured Senate that the project team are mindful of resourcing associated with Curriculum Transformation and taking this into account for planning purposes, and have been gathering information on what resource is needed and consulting with universities with similar programmes to gain an understanding of their resourcing experience. The team are conscious that staff with a key role in implementing Curriculum Transformation would also have a key role in other projects, such as the Student Support Model.

13. Senate members raised the following points:
- When initially raising this issue at the 9 February 2022, Senate asked for information on costs associated with the project, including consultancy costs.
- The College of Medicine & Veterinary Medicine is in the process of revising its Medicine curriculum, and it would be helpful to clarify the relationship between this review and Curriculum Transformation.
- Resourcing with regard to timetabling was raised, in relation to both sufficient staff capacity and sufficient teaching spaces.
- Academic staff require sufficient time to redesign teaching based on the spaces they are allocated.

14. Ms Evans thanked members for their comments and made the following point:
- Preliminary figures on Curriculum Transformation costs are not available at present. An update would be provided to Senate at a future meeting.

External examiner concessions associated with industrial action
15. Convener of Academic Policy and Regulations Committee (APRC), Dr Paul Norris confirmed that this would be covered under the Report of Concessions Approved by Senate Academic Policy and Regulations Committee.

Further Information on the Powers of Senate
16. This item was introduced by Tom Ward, Director of Academic Services. The paper sets out Legal Services' legal advice on the powers of Senate, and provides context for items later in the agenda. The Convener indicated that he accepts the advice.

17. Senate members raised the following points:
- The legalistic phrasing in the paper was difficult for some members to understand.
- Whilst the paper is specific to the Sustainable Travel Policy paper, the paper makes statements about the limitations of Senate's powers, which may pertain to other issues.
- The advice appeared based on a restrictive reading of the limits of Senate's powers.

- While one member had engaged in lengthy dialogue with Academic Services to clarify the legal powers of Senate, he feels that a number of their queries remain unanswered.
- The paper does not explain how the powers of Senate and Court intersect with the powers of University Executive.
- A paper outlining the interaction between Senate and Court's powers would be useful to develop shared understanding across Senate and Court.
- Senate is spending a lot of time discussing legal and procedural issues, which means that there is less time for substantive discussion and debate.

18. In general, Senate members indicated that they would find it useful to have an opportunity to ask Legal Services questions about the paper. The University Secretary indicated that, if members submit questions or concerns on the paper to Senate Support, she will be able to arrange for Legal Services to provide a response for the next meeting of Senate.

Senate Standing Committees – upcoming business
19. This paper was introduced by Professor Tina Harrison, Convener of Senate Quality Assurance Committee, on behalf of the Senate Standing Committee Conveners. She thanked Senate members for their useful engagement in the recent round of Committee business. Senate noted the paper. In response to queries, Tina Harrison and Lucy Evans (Deputy Secretary, Students) clarified that:
- Senate Quality Assurance Committee will have a role in determining how to approach the evaluation of the roll out of the Student Support Model, in conjunction with the project's Board.
- Student Experience Services is taking steps to address the backlog of cases for the Student Disability Service, and the Senate Education Committee is the appropriate Senate committee to oversee this.

Senate Standing Committees membership
20. This item was introduced by Tom Ward, Director of Academic Services. Senate approved the paper, subject to one amendment. In order to, where possible, achieve an even distribution of these additional members across the three Colleges, the three elected member positions are nominally assigned to each College. If vacancies remain following each College being assigned a position, any remaining positions will be allocated to interested nominees. If the number of nominees exceeds the number of places then the drawing of lots will determine who is assigned the position(s). Senate also approved one further amendment related to the membership of the committees:

Each Committee Convener is expected to propose for approval by the Senate Exception Committee and/or next Senate Meeting reasonable additions to their committee to improve BAME, student, and trade union representation.

21. Conveners were invited to present an update on how they intend to account for the views of underrepresented groups on their Committees to the February 2023 meeting of Senate. They made the following points:
- The composition of Standing Committees is reflective of the recruitment of post holders to College positions, which constrains the Conveners' ability to respond to the amendment.

- The composition of Standing Committees is to be considered by the externally facilitated review, and that full consideration of the composition of Standing Committees should be held over until the outcome of the review is available. There may be unintended consequences of a further expansion of membership without due consideration.
- Committees can seek input from underrepresented groups without requiring an expansion of the membership, for example, via consultation.

22. Senate approved the Terms of Reference for the Standing Committees. The Terms of Reference would be revisited once the outcome of the externally facilitated review was available, and once the newly-introduced arrangements for strengthening Senate's oversight of and engagement with the Standing Committees could be evaluated.

Curriculum Transformation Update
23. This item was introduced by Dr Jon Turner, Director of the Institute for Academic Development. The paper provided Senate with an update on the Curriculum Transformation Programme, including the development of a proposed curriculum framework which will be presented to Senate and relevant Standing Committees in early 2023. Members were invited to submit comments by email to Dr Jon Turner.

Draft Resolution – Code of Student Conduct
24. This item was introduced by Dr Kathryn Nicol, Head of Policy and Regulations, Academic Services. Senate were invited to comment on the paper, which will be submitted to Court for final approval in December. Comments received from members prior to the meeting would be taken into account prior to the final version being presented to Court.

25. Senate members raised the following points on the item:
- One of the offences under the Code is 'offensive' behaviour or language. Since there is variation in what individuals deem offensive, it would be helpful for the University to define what it means, to avoid impinging on freedom of speech.
- The Students' Association Vice-President Welfare read out a statement prepared in consultation with students who had experience of the Code process. The statement was critical of the current process and called for further work to be undertaken to revise the Code of Student Conduct, particularly with a view to strengthening the University's action in relation to gender-based violence, and included practical suggestions for taking this work forward.
- The Students' Association asked whether further changes could be made to the Code in advance of presenting the revised Code to Court for approval.

26. Dr Nicol made the following points in response:
- The Code of Conduct is one strand of support available to students who wish to disclose information about gender-based violence to the University.
- Academic Services receives specialist advice including legal advice when considering cases relating to allegations of 'offensive' behaviour or language, and use the University's Academic Freedom and Freedom of Expression Statement as a reference point.

- If the Code is approved by Court in December 2022, it will be implemented from January 2023 and accompanied by student-facing guidance to support the revisions. This will also be an opportunity to refresh awareness of the Code process among key stakeholders.
- There is insufficient time to make further significant changes to the Code in time for December 2022 in a considered and responsible manner. However, further work on the Code is planned, which will include consultation with the Students' Association, and Senate members' comments will feed into this longer term piece of work to improve the process.

Members were invited to submit further comments on the current or future revisions to the Code to Dr Kathryn Nicol.

Revision to the Sustainable Travel Policy

27. This item was introduced by Professor Diana Paton. The paper was a continuation of the discussion on the topic held at Senate in May 2022. The Principal confirmed that, while Senate does not have the power to make decisions on this item, he was content for Senate to express its views on the matters. He had asked the University Executive to delay consideration of a sustainable travel item until its meeting in November 2022 to allow the views of Senate to be fed into this discussion. He indicated that, in addition to these discussions at Senate, the University has taken other steps to gather feedback on how well the Policy is working in practice.

28. Senate were invited to comment on the paper. The following points were made:
- Senate members continue to have concerns that the travel policy is negatively affecting academic work at the University, including work associated with academic research time. The impact on postgraduate research students' ability to undertake their research within available budgets was highlighted as being of particular concern.
- In particular, colleagues raised concern regarding the impact of the single supplier booking requirement on staff and students conducting research.
- Senate members asked for more information on the terms of the contract with the supplier, including whether the contract stipulates a requirement for a single-supplier to be used for travel bookings.
- Concern was raised that the core ethos of the policy may be overshadowed by the practical difficulties experienced with the arrangements for travel bookings. It was noted that the primary issue should be to use the policy to positively change practices and attitudes to support more sustainable travel.

29. Senate endorsed the paper's analysis of the negative impact of aspects of the policy, and endorsed the proposals that those with primary executive oversight should seek to address these issues, including removing the single supplier rule for academic travel.

30. The Principal indicated that he and the senior leadership team recognise colleagues' concerns, and he confirmed that the views of Senate would be shared with the University Executive at their next meeting. Senate members were encouraged to continue sharing concerns and comments to their Head of School or Head of College. The University Secretary agreed to confirm the position on some specific elements of the contract with the supplier, including the date of expiry of the

contract, whether the contract includes any formal review points, and whether the contract stipulates a requirement for a single-supplier to be used for travel bookings.

Senate and its Standing Committees Internal Effectiveness Review 2021/22
31. This item was introduced by Tom Ward, Director of Academic Services. Senate noted its thanks to Academic Services for undertaking the Internal Effectiveness Review. Members were invited to submit comments on the feedback from the review and proposed actions in response to Tom Ward.

ITEMS FOR FORMAL APPROVAL OR NOTING
Senate Exception Committee Terms of Reference and Membership 2022-23
32. This item was presented to Senate for approval.

33. A Senate member (with appropriate seconders) introduced four amendments in relation to this item. Prior to making a decision on the amendments, Senate noted the following points:
- The meeting was close to its scheduled end and there was insufficient time to fully consider the amendments put forward.
- There may be unintended consequences and practical implications to adopting some of the amendments, and it would be appropriate for Senate to consider an analysis of the implications before making a decision.
- Notwithstanding these points, Senate decided to consider the amendments.

34. An amendment (Amendment 1) was moved and adopted without vote by Senate. It modified sections 2.3 and 3.4 as follows:
2.3 Unless otherwise represented, the membership of the Committee must also include two elected academic staff Senate members and a representative of the Edinburgh University Students' Association (normally the President).
3.4 Four members of the Committee shall be a quorum. This number must include the Principal or Vice-Principal Students and an elected academic staff Senate member.

35. An amendment (Amendment 2) was moved, seconded and passed by majority vote. It inserted the following in section 3.2:
3.2 The aim will be to circulate minutes, agendas and papers to members of the Committee at least five working days in advance of the meeting or prior to the conclusion of the consultation period. Notice of business shall be given to the Senatus to the extent possible, and papers made available upon request so that comments can be given to a member of the Committee. In cases of extreme urgency, which is likely to be the case given the nature of this Committee, and with the agreement of the Convener, papers may be tabled at meetings of the Committee. If being conducted by correspondence the consultation period may be no shorter than a 24 hour period.

36. An amendment (Amendment 3) was moved and adopted without vote by Senate. It inserted the following in section 4.1:
4.1 To consider any matter between meetings of the Senatus that cannot await the next such meeting and with the full delegated authority of Senatus to make a decision on the matter on behalf of the Senatus insofar as a decision cannot be deferred to a meeting of the Senatus.

37. An amendment (Amendment 4) was moved and adopted without vote by Senate. It modified section 2.3 as follows (with text from amendment 1 in italics):

2.3 Unless otherwise represented, the membership of the Committee must also include ~~two~~ six elected academic staff Senate members, including at least one such member from each College, and a representative of the Edinburgh University Students' Association (normally the President).
In addition to approving the four amendments, Senate approved the minor amendment to the Committee membership, as set out in the paper.

Senate Elections 2022/23 – key dates
38. Senate noted the paper.

Edinburgh University Students' Association Vice-President Education Priorities 2022-23
39. Students' Association Vice-President Education Sam Maccallum introduced this item. They emphasised that some students are very concerned regarding the return to in-person examinations, particularly since students in Years 3 and 4 have never taken in-person examinations during their degree programme. They also raised concerns regarding the timing of the Student Disability Service communicating Learning Adjustments through to teaching staff and other staff responsible for examinations.

40. Professor Tina Harrison indicated that the Senate Education Committee had recently approved new Assessment and Feedback Principles and Priorities, which encouraged staff to consider inclusivity through assessment design. She also reported that appropriate senior University staff are actively engaged in discussions with Schools regarding in-person exams.

Student Partnership Agreement
41. Senate noted the paper. Professor Tina Harrison invited members to contact her with any queries or comments on the paper.

Research Strategy Group update:
42. Senate noted the paper. It was noted that a paper is being prepared by the Provost for the University Executive, highlighting the University's excellent performance in the Research Excellence Framework 2021 and explaining how the University will utilise the additional Research Excellence Grant funding that the Scottish Funding Council allocated to the University. This paper would be made available to Senate in due course.

Report of Concessions Approved by Senate Academic Policy and Regulations Committee (APRC)
43. This item was introduced by Convener of APRC, Dr Paul Norris. The paper was provided to address the matter arising of the 25 May 2022 meeting of Senate. Senate noted the paper. Members were invited to raise comments with Dr Norris via email.

Full Agenda and Papers

44. http://www.ed.ac.uk/schools-departments/academic-services/committees/senate/agendas-papers

Equality & Diversity

45. All paper authors are asked to consider and identify equality and diversity implications. Senate adopted a revised composition of the Senate Standing Committees and the Senate Exception Committee, which will have resourcing implications. Senate adopted an amendment to the composition of Senate Standing Committees which may have implications for equality and diversity.

Further information

46. *Author*

Olivia Hayes
Academic Policy Officer
Academic Services

Presenter

Peter Mathieson
Principal & Vice-Chancellor

Freedom of Information

47. Open paper.

UNIVERSITY COURT

5 December 2022

People and Money Implementation and Strategic Change

Description of paper
1. This paper provides the University Court with an update on the implementation of the People and Money system and processes which underpin our HR and Finance Transformation programmes.

Action requested/Recommendation
2. To comment on and note the paper.

Paragraphs 3-67: Closed section

Provision of strategic change and continuous improvement support
68. In recognition that the University needs to improve its approach to the management of large-scale change, an initial paper was brought to the University Executive which set out recommendations for future provision of strategic change and continuous improvement support. These initial reflections and recommendations will necessarily require broader engagement and input from colleagues in different parts of our University, with those discussions helping us shape a more effective approach to strategic change and continuous improvement in the future.

69. The paper is attached as appendix 1 for information.

Paragraphs 70-78: Closed section

Further information

78. *Authors*
    Barry Neilson
    Director of Strategic Change

    Catherine Martin
    (Co-Chair of People & Money
    Enactment Group)
    Vice-Principal Corporate
    Services

    Dave Robertson
    (Co-Chair of People & Money
    Enactment Group)

    Lee Hamill
    Director of Finance

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

Presenter
Catherine Martin
(Co-Chair of People & Money
Enactment Group)
Vice-Principal Corporate Services

Freedom of Information
79. Closed paper – commercially confidential.

UNIVERSITY EXECUTIVE

8 November 2022

Recommendations for Future Provision of Strategic Change and Continuous Improvement Support

Description of paper
1. This paper sets out recommended actions to refine and enhance the provision of strategic change and continuous improvement capabilities and capacity, in terms of the central function and across the University, aligned to supporting effective delivery of Strategy 2030.

2. Throughout the paper we use the term 'strategic change projects' because this term is familiar within the University. We believe this term may be seen in some areas as a barrier in itself and alternative approaches to this are set out in the discussion section.

Action requested/Recommendation
3. The University Executive is asked to **comment on and endorse** the recommendations and the next steps set out in the paper.

4. In relation to these, the prioritised next steps will be:

   a. Work with the Senior Leadership Team and the Executive to identify enhancements that can be made to our strategic change planning process as our planning round process commences (recommendations set out in paragraph 8a and 8b);
   b. Work with colleagues to draft a terms of reference for the proposed strategic change delivery/portfolio board (recommendation set out in paragraph 8c);and
   c. In addition to the above, ask Gillian Richardson, the Head of Change Implementation, to work in consultation with colleagues to produce a redesigned approach/service proposal which will be brought to the University Executive when ready.

Background and context
5. There is significant disaffection with the way some of the larger initiatives under the banner of strategic change projects have been developed and delivered at the University in recent years, including current experience with the final phase of the implementation of the long-running People & Money programme. While lessons are being learned and applied, e.g. in areas such as student support and curriculum transformation, there is recognition that more needs to be done to improve significantly the quality of the journey to deliver strategic change projects as well as ensure the identified beneficial outcomes to be delivered from them.

6. We are a large, successful University with an ambitious strategy. We must continue to innovate and evolve to deliver clearly defined opportunities that will contribute to the delivery of strategic objectives through to 2030 and beyond. This is

reliant on a plan which sets out the clear actions we need to take to develop our capacity and capability as enablers to deliver on strategic priorities.

7. We have undertaken some benchmarking activity, initial review of lessons learned and sought feedback internally. A short discussion paper was developed in mid-2022 and sessions were held to gather feedback from senior managers across Colleges and Professional Service areas. While there are differences in view and emphasis in discussion, there are a number of areas where consistent points were made around areas for improvement. These include:

a. There is a large number of initiatives operating at the same time, at least in appearance without co-ordination or consideration of the cumulative impact on workloads, particularly those most involved in change initiatives. This is causing workload and capacity issues in our business-as-usual operations and impacts on our ability to deliver effective outcomes from strategic change projects. This is particularly acute where there is a dependency on a small number of roles – for example Directors of Professional Services, or specific teams for example HR, IT, process/functional experts.

b. The pace and/or effectiveness of strategic change projects is perceived as too slow and too expensive and we are often dissatisfied with the outcomes of our effort and the ability to deliver and embed the enhancements we set out to achieve – behaviours, leadership, capacity, capabilities are often mentioned as causes of this as well as an insufficiently deep understanding of business operations.

c. The financial/resource cost of these activities is often not well understood or only partially developed and expressed – for example the project team resource is 'counted' but not resource necessarily expended elsewhere.

d. While it is necessary to have visible sponsors and senior responsible officers (SROs), expectations of shared responsibility and leadership are not routinely set, applied and met.

e. There is often an absence of a clear link between our academic mission and any change programme being proposed, with the consequence that a compelling vision is often absent. The current set of priorities are not clearly defined, visible to colleagues, nor the links to delivery of Strategy 2030 evident.

f. Colleagues often think the planning round and development of change projects operate independently of one another. Further, the rationale for undertaking these activities and the inter-dependencies between them are often poorly understood, and we have an insufficiently clear pipeline of work for the coming years which is effectively linked to planning processes and our capacity. Examples of what colleagues categorised in this area include: People and Money and HR/Finance Transformation, Student Support Project, Curriculum Transformation, Student Recruitment & Admissions improvements, Growing Research Together, development of the Digital Strategy and the People Strategy, and scoping activities on communications and marketing services.

g. We do not have an effective categorisation of initiatives and nor do we reach a clear definition or scope of what we are delivering early enough.

h. We do not have an effective enough feedback loop from projects and initiatives undertaken in the past: specifically, collation of feedback, synthesis

of visible lessons learned, and - on the flipside - where successful delivery builds appetite to do more.

i. We can always do more to reflect on the impact on people within the organisation, consider their workload, as mentioned above, and improve their experience. We can also do more to ensure centrality of equality, diversity and inclusion imperatives and, now that we have them, alignment with the principles of our People Strategy.

Discussion

8. Discussion with colleagues also focussed on what recommendations could be made to improve the issues noted above. These recommendations were developed into a paper which was taken to Senior Leadership Team in late September 2022 and are set out below:

a. **Ensure a clear link between the strategic projects we undertake and how these support the delivery of Strategy 2030, the delivery of our academic purpose, contribute to our performance indicators, and align with the planning round.** This will require a combination of top down and bottom up planning but we can better align the planning for strategic project delivery and the planning round itself. Fundamentally, we should have a clear line of sight from academic purpose to the changes we undertake, even if these changes appear wholly embedded in areas which are not about direct academic delivery.

b. **This should lead to the identification of a small, clear, prioritised set of strategic change projects with clarity on the intended outcomes (pursuit of opportunity or risk avoidance) we are seeking to achieve. It is critical that we can see a pipeline/roadmap.** A pipeline/roadmap of visible strategic change projects approved or under consideration/feasibility spanning a number of years will provide better visibility and support planning. Ideally, the pipeline/roadmap, would not simply be a view of strategic change projects but also other large Estates, Digital, Colleges' initiatives tied to the planning process, clearly categorised to give visibility of the whole.

c. **A strategic project change delivery/portfolio board should exist.** This should define and have oversight of the whole portfolio of initiatives. This Board should have the capacity to look at the strategic change portfolio(s); drive prioritisation and provide better co-ordination of the dependencies and timing of strategic projects; have the capacity to start, stop, continue projects; ensure due diligence/feasibility is undertaken before launching; provide delivery rigour/challenge to help overcome challenges, mitigate risks, deliver on a more agile basis and provide effective quality assurance. **This should provide improved visibility of priorities** to the organisation, demonstrate co-ordination and prioritisation. **Convenorship of such a board will be sufficiently neutral in terms of budget area that it is clear that 'ownership' of change is broad.**

d. **Leverage and build the capacity, capability and experience within the organisation.** At the moment we do not have all the right skills in this

area and project and other teams operating in this space but independently of one another. This should include:

    i. An appropriately sized and skilled professional central team with key capabilities to deliver effective strategic change projects, programmes and portfolios, continuous improvement, delivery support to the SLT, Executive and budget areas; the effective planning, quality assurance and benefits management associated with that activity; and the delivery rigour and challenge associated with effective delivery units. There is a value is balancing these technical skills with operational knowledge and expertise. These resources should be available to support all areas of the University.

    ii. Senior level capacity in some/all of the six budget areas with a hub and spoke arrangement with the central team to ensure high-quality training, professional standards and alignment on agreed priorities, as well as the opportunity to build capacity across the organisation to 'just do it' particularly in relation to continuous improvement, service improvement and process improvement.

    iii. Use of internal academic expertise to enhance the delivery of strategic projects and the likelihood of success.

    iv. Drawing down as necessary externally on resources and capabilities that we so not have internally (and would not necessarily wish to have in-house on a permanent basis) but may be required from time to time.

e. **Build our capabilities.** Some of our capabilities need enhancement, including establishing a more consistent approach to internal consultation to ensure this adds value and is seen to add value; establishment and management of larger projects and initiatives; delivery in complex organisations; benefits management and delivery; and delivery of user-centred design/service design approach to professional services and our services, processes and systems.

f. **Build capacity and capability across managers by investing in a consistent approach to training and engagement.** We are asking more of managers in relation to strategic change and we have not necessarily been able to invest in the training and support that they may need to be effective – this could be for sponsors/senior responsible officers through to Directors/Managers implementing change in their local areas, and could include anything from HR policy refresher training to continuous improvement methodologies to change management approaches.

g. **Build a better explanation of what we are doing and why.** There is a gap in setting out clearly what work we are undertaking, what we expect to achieve, how it supports the delivery of Strategy 2030, why it matters to the academic mission, the inter-dependencies and expectations on how we work together to deliver. The strategic delivery/portfolio board can take a hold of a clear communication strategy to enable colleagues in the University to understand what we are doing at any one moment in time.

h. **Work with distributed leadership.** Work with the distributed leadership group to deliver effective change through empowered accountability, and prior to that ensure we engage and understand barriers or unintended consequences of change.

i. **How this work is undertaken.** A number of the points set out here are procedural/organisational changes and these are important. It is also important that we focus on how this work is undertaken. There is a need for a set of principles to which we can all subscribe. Areas covered may include: change done with people rather than to people; effective, defined consultation; approach to decision making and applying decisions; setting out leaders' accountabilities and responsibilities in a complex system of ownership.

j. **We need to be able to talk about failure and lessons learned.** Lessons learned are not always holistic, visible, shared or put effectively into practice. A number of the issues we run into are predictable but we do not or cannot always address these effectively. Lessons learned cannot just be retrospective; they need to be built in throughout the work being undertaken at key stages in decision making process and need to survive from one project to another.

k. We know there can be a reaction against terms such as 'strategic change projects' and 'transformation'. **A focus on project delivery/service improvement/enhancement** may land better in the University. Often programmes/projects are seen as a once in a decade opportunity to resolve particular business issues. This can lead to an overly ambitious scope and contributes to reduced project delivery. It also fails to recognise that organisations, like a University, are changing and innovating all the time, constantly needing to refine working to be competitive in an uncertain and challenging sector. Changing the balance in favour of seeing a project or initiative as the enabler for further improvement is likely to help with the perception of how change lands.

9. It will take time to implement these types of recommendations and it can be viewed as our capability and capacity moving through a maturity curve over the next few years.

Resources
10. The immediate set of actions set out in this paper under paragraph 4 can be accommodated within existing resources.

Risk Management
11. This paper includes some of the mitigations that have been recommended in relation to the strategic risk: 'Scope, pace and complexity of change negatively impacts both project success and staff wellbeing' which sets out the following:
    a. Risk causes: the volume and/or timing of change projects are not aligned with budget areas capacity or priorities to implement; and poor, partial or slower implementation of key strategic projects including People and

> Money, Student Support Project, Curriculum Transformation, and Growing Research Together; and
>
> b. Impact consequences: increased project costs and timelines; reduced benefits; negative impact on staff wellbeing; and lack of appetite for further change.

Responding to the Climate Emergency & Sustainable Development Goals

12. The recommendations would not hinder the achievement of any of the UN SDGs and may provide us with an opportunity to think through how we embed this thinking into our strategic change projects as we are doing with equality, diversity & inclusion.

Equality & Diversity

13. As part of the Adaptation & Renewal work we took steps to seek to embed ED&I within our strategic change activity and this has continued since, most notably in work on curriculum transformation and student support. The immediate actions and recommendations set out above provide further opportunity to embed EDI within strategic change.

14. In addition, an Equality Impact Assessment will be produced as part of the development of the work on the recommendations as we start to think through the steps to operationalise these.

Consultation

15. In February 2022 a discussion paper was shared with a small group of senior colleagues which contained a number of issues and recommendations covered in this paper.

16. In May 2022 two informal meetings were held following feedback on a further iteration of the paper developed in February 2022 and this included a number of colleagues including (roles at that point in time): VP Students; VP Corporate Services Group; VP, Chief Information Officer and University Librarian; VP Strategic Change and Governance and University Secretary; VP and Head of College of Science and Engineering; VP and Head of College of Medicine and Veterinary Medicine; Director of HR; Interim Deputy Secretary, students; 3 x College Registrars; Director of Edinburgh Research Office; Director of Legal Services; Head of School of Mathematics; Director Communications and Marketing; Director of Strategic Planning and Insights.

17. In September 2022 a paper was presented at SLT which contained most of the detail covered in this paper presented at the Executive. This further refined paper has been shared for comment between the Provost, VP Corporate Services and Director of Strategic Change.

Further information

18. *Author*   *Presenter*
    Barry Neilson   Catherine Martin
    Director of Strategic Change   Vice Principal, Corporate Services

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

5 December 2022

Senate Letter to Court on People and Money System Implementation

Closed paper aside from Appendix 1 and Appendix 2

THE UNIVERSITY *of* EDINBURGH

7 November 2022

Dear Principal, Rector, and Vice-Principal of Research and Enterprise,

We are writing as Elected Senate members to express our urgent and profound concern about the unsuccessful roll-out of the new "People and Money" system (P&M) and the devastating effect it is having on all aspects of business at the University of Edinburgh. The failure of the system is causing direct hardship to students and staff and doing significant long-term damage to the university community and partners while bringing our institution into public disrepute.

Senate has a direct legal interest in the roll-out's devastating effects on our research culture and effectiveness, as well as its effects on our ability to conduct teaching, support students, and maintain a healthy environment to work and study. We are alarmed not just by the financial and scholarly impacts, but also the human costs of the problematic implementation of P&M. These date back to well before the crisis of the last few months and have adversely affected academic and professional services staff and student mental and physical wellbeing.

As members of Senate, we wish to call attention to the following (non-exhaustive) list of concerns of which we are aware:

The University is failing to meet essential contractual obligations and the basic, routine needs of research and teaching.

- **Payroll.** Staff and students have been delayed in receiving contracted wages and stipends, in some cases for weeks or longer, jeopardizing their ability to make ends meet during a cost-of-living crisis. This has disproportionately affected students and staff with greater financial vulnerability, including those on casual contracts. This has financial effects on personal budgets and credit, as well as mental and physical health effects from stress and hard trade-offs for those living payday-to-payday. Our payroll obligations are fundamental to our contractual obligations with students, employees, as well as numerous external funders such as UKRI, for whom we act as financial intermediaries to funding recipients.
- **Expenses.** Problems with expense reimbursements have included long delays and processing errors, and departments have asked that claims not be submitted at all as they are too overloaded with other P&M crisis response. Our contractual obligation to provide timely reimbursement is especially important to our most financially vulnerable staff and students, who cannot be expected to bear essential work expenses on their personal credit. Frontline finance staff have been unable to support routine expensing and procurement activities while occupied with crisis-response, and such activities that they have been able to attempt have been impaired by the new P&M system.

1

- **Supplies and services.** Research supplies and materials, including those necessary for safety and for human and (especially in the College of Medicine & Veterinary Medicine) animal welfare, have been delayed or unobtainable due to problems with procurement and supplier payment. Schools are unable to maintain the basic stocks of materials that are necessary to the routine function of research and teaching on campus, from office paper to IT equipment to laboratory chemicals to library materials; they have been unable to hire vehicles, ship essential research equipment, or use other necessary services. Essential teaching expenses, from computing and software services to transportation, have also been disrupted or unmet.
- **Reporting and accounting.** New grants and projects have been delayed for lack of financial infrastructure, including on time-limited projects and partnerships where such delays can severely harm research effectiveness. Inaccessibility and discontinuities between old and new software and HR/accounting systems have created serious problems for holders of existing and completed grants in required routine and summative reporting to external funders.
- **Basic financial documentation requirements.** Staff have encountered challenges obtaining current and historical documentation for essential financial and tax matters. P&M does not currently allow a member of staff to show their income, hampering staff being able to move forward in life activities such as procuring a mortgage or renting a flat. The change-over to the system means that essential information about taxable income (P60 from 2021-22 staff year) is not available to staff without specifically raising an action and waiting for a response. The inability to download previous payslips and financial statements means that those members of staff dealing with the Home Office cannot get the financial information needed to support applications. This missing information has real-life consequences for all staff at the University of Edinburgh and is sorely felt by our migrant scholar community.

The University is creating unworkable demands on frontline PS and academic staff, both short-term and chronically, harming wellbeing and careers.

- **Frontline crisis response.** Frontline professional services staff and their immediate managers have been forced to undertake massive alterations in their work patterns to attempt to mitigate the P&M problems, both as part of the official crisis response and across the board in helping departments navigate associated challenges. This has affected morale, mental health, confidence, and capacity.
- **Career disruption to precarious research staff.** Research staff on fixed term contracts experience strong pressure to produce results in order to get their next position or funding source. Multiple months of delays and disruptions from the causes noted above can be devastating to careers at what is already a very difficult and uncertain stage. These challenges also affect the career development and funding success of staff more broadly, with greater effects on earlier career staff.
- **Broader disruption to research and teaching.** Having to delay or cancel some activities and find workarounds for others is not merely a matter of exercising patience; it fundamentally alters the pattern and progress of research and teaching activity, often in ways that reduce overall effectiveness or increase overall costs. The workload demands from rearranging work affected by the P&M transition adds to stress and takes away from time available for the scholarship we are meant to be doing and supporting. Having to prioritise administrative business mitigation has compromised the availability of

significant numbers of staff to engage in the University's core business of teaching and research, with effects including organizational and timetabling problems and larger class sizes.

- **Costly administrative processes**. The new approvals routes within P&M have disrupted existing approvals mechanisms for all areas of university business, whilst amplifying and increasing steps needed for approval. Workloads have substantially increased, and there was insufficient consideration of this for staff workload and well-being, at a time when most staff are exhausted after giving their all to this institution throughout the pandemic. Academic and professional services staff are both reporting huge levels of stress, caused by this system.
- **Demands of difficult software with inadequate training and support.** The structure and terminology in People and Money are geared towards those with financial training and is exceptionally difficult for most people to use. It is not intuitive, and staff are regularly dedicating several working hours to tasks which should take a few minutes. The ability to search for products or terms within the system is inadequate and is causing huge frustration to users. There has been no reworking of workloads, and no concern for staff wellbeing, as they try to navigate this poorly designed system. Research and teaching time is suffering as a result.
- **Devastation of staff morale and ambition**. Many research-active staff are foregoing external grant applications until they are sure that the university is capable of administering financial awards, as they cannot take the risk of having to PI grants under these conditions, given the reputational and personal financial damages that they are seeing from non-payment of invoices and expenses and failure to deliver research outcomes due to the sum of disruptions.
- **Loss of experienced staff.** Professional services staff are reportedly leaving the university, in part because of the stress caused by People and Money. This adds to staffing issues and means that experienced staff are no longer available to deal with the system, as well as being highly detrimental to the individuals who feel compelled to leave.

The University has damaged our reputation and good standing in the sector and public and with essential partners.

- **Student and staff recruitment and retention.** Public failures to pay staff and students (particularly PGRs) appears to be deterring applications, especially in fields (notably in STEM) where there are competing industry pathways that imperil the academic research pipeline. By failing to deliver timely pay to research fellows, demonstrators, markers, visiting speakers and others, we make it harder to retain experienced casual staff and to recruit workers to the wide range of essential roles involved in our academic mission. We must bear in mind that our international competitiveness is predicated on our ability to offer a stable point of arrival for top students and staff from around the world, who often take on considerable personal and financial risks to relocate to Scotland and commit their talent and effort to our university.
- **Loss of favourable status or good standing from goods and services suppliers.** Due to non-payment, many suppliers have suspended or cancelled provision for the university, and it will require significant additional work to restore or replace essential relationships, likely on less favourable terms when they can be restored at all.

- **Breaking of social contracts with the local economy.** Many suppliers are SMEs local to Edinburgh, and many do not have the financial capacity to weather late and non-payment from the university as a major customer. Local relationships that support resilience and dynamism in our city and region have been damaged for years to come at a time when the university has stated increased ambitions for its civic responsibilities.
- **Breaking of contracts with partners in the global south.** The current P&M crisis has exacerbated longstanding difficulties in meeting our obligations to partners in LMICs, contrary to our commitments to international engagement and raising serious questions about ethical research practise and our commitment to decolonisation and global economic justice.
- **Loss of good-will and good reputation as a partner and client.** Our public failures of payment are making it harder (and will make it harder for some time to come) to maintain and form new external relationships with institutions, corporations, and research partners, as well as with the myriad of individuals such as expert reviewers and industry speakers who contribute to teaching, knowledge exchange, and research.

The University has lost members' trust and confidence in our leaders' capacity to prioritise essential needs and manage central change processes.

- **Lack of contingency planning.** The lack of adequate contingency plans for non-negotiable obligations such as payroll and continuity of research and teaching speaks to unacceptable ignorance or reckless disregard of what the university requires to function, and to an insufficient commitment to the university's core mission and our obligations to our most vulnerable community members.
- **A pattern of highly disruptive 'growing pains' from central change projects.** The latest crisis forms part of a pattern of exceptionally poor planning and management that includes the earlier transition of HR systems, centralised timetabling and ESC processing, travel supplier and provisioning policy changes, and aspects of the new student support model, without adequate and timely attention to transition processes, contingency planning, resourcing, and quality assurance. Staff are rightly sceptical of current and future change projects, including digital strategy and curriculum transformation, whose potential disruptive impact appears to be taken no more seriously than the highly disruptive projects we have seen recently.
- **Lack of concerns and provision for Equality, Diversity, and Inclusion**. The university has legal and moral obligations towards its diverse population, including meeting the needs of its disabled members of staff. The inability to purchase equipment or to use services which have been agreed with Occupational Health to allow disabled members of staff to fully partake in university life means that the university is not meeting its social and legal obligations in supporting diversity and inclusion, because of the failures of a poorly executed IT system. Moreover, the design of People and Money does not meet EDI principles, and the online system has many poorly designed features which do not meet accessibility requirements. This means that a diverse cohort is being deprived of the ability to contribute fully to academic activities.
- **Lack of engagement from Senior Management**. At a time leading up to further industrial action, there is a sense from across the research community that the university leadership have abandoned them at a time of crisis. Enhanced communication and

relationship building is needed to prevent ongoing escalation, which will prove devastating to the academic culture at the University of Edinburgh.

We expect a better response from University leadership:

We have seen the latest communications about planned responses and we believe they are insufficient. Existing communications do not begin to address or acknowledge either the depth of distress, hardship, and extra work this system has created, or the effect it is having on the day-to-day business of the University of Edinburgh. We believe that there is more the Senior Management Team must do to support staff at the University of Edinburgh. We suggest the following actions:

1. The University of Edinburgh's Senior Leadership Team need to clearly and unequivocally **take responsibility** for the disruption and hardship caused to date. Repeatedly asking and thanking us for our patience is cold comfort. The absence of our leaders at a time of crisis is keenly noted;
2. Credible **urgent action on short-term and long-term staffing** levels for HR and Finance, beyond the measures announced. These plans must be fully communicated;
3. A **transparent sharing and accounting of complaints** received;
4. A **credible plan** to address complaints, review what went wrong, and hold responsible third parties and university leadership accountable where appropriate;
5. A credible and fair **timeline and process for compensation** for members of the university community affected. This might include:
   i. Financial compensation, beyond merely paying the amount owed, where individuals may have suffered financially due to delayed compensation or reimbursement. This should at minimum reflect the current high market rates of interest for consumer borrowing.
   ii. Additional leave entitlement (and carryover) for frontline staff contributing to crisis response.
   iii. Career consideration for researchers, including funding contract extensions for fixed term research staff whose projects have been delayed or slowed.
   iv. Grant support for researchers on the model of the Research Adaptation Fund, prioritising early career and fixed term staff who require additional resources to account for costs and delays from the P&M situation.
   v. A one-off flat payment to all staff and student workers as additional compensation and recognition for the extra work and hardship incurred.
6. Enabling **out of cycle promotion** applications for academic and PS staff who may have missed recent promotion application deadlines due to workload caused directly or indirectly by P&M issues;
7. A credible and fair **plan for external outreach, apology, and compensation** where appropriate to affected external partners, vendors, and other third parties, with special attention to small business and minority-owned/operated partners, and Global South partnerships;
8. A clear roadmap to **evaluate whether P&M is fit for purpose**, including what further work needs to be undertaken and on what timescales, what contingencies

and accommodations are required in the meantime, and whether alternatives to P&M should be pursued. This roadmap should be communicated by Senior Leadership to staff.

9. **A pause and reconsideration of approach to other transformation initiatives** (Curriculum Transformation, Digital Transformation, etc) until this financial transformation has been completed in a functional, professional, and acceptable manner and confidence can be restored in high-stakes transformation projects.
10. Ongoing plans must be accompanied by **regular and more effective communications** from the Senior Leadership Team.

We also believe **University Court** must lead in ensuring the necessary oversight and accountability that has not been in sufficient evidence to date. The fact that the P&M transition was allowed to proceed in the state we have witnessed is evidence of shortcomings in governance that require urgent attention and correction.

We note with reference to the University's guidance on Court's responsibilities that Court is expected to see to the interests of all stakeholders in the university's strategic direction (I.2), ensure adequate evaluation and management of performance and effectiveness (I.5, III.1-4), safeguard the university's reputation and values (I.6), monitor the Principal's performance and terms of appointment (II.1), ensure the university meets its legal and employer obligations (IV.1, IV.3), and ensure ethical and responsible action by the university (IV.10).

With this in mind, we call upon Court to **oversee and take all urgent measures necessary to enable** the necessary responses to the P&M crisis from the University Executive, and furthermore to:

1. Instigate a timely and rigorous inquiry into the choice, planning, and management of the P&M system and transition.
2. Ensure that the outcomes of the accountability process for the P&M crisis inform future decision-making and oversight for major change projects and system procurement and implementation in our university;
3. Consider the P&M planning and crisis response when carrying out its role to review and act upon executive compensation and retention.

We have copied this letter to the two Senate Assessors to Court, with the expectation that they will bring these matters to Court's attention at the earliest opportunity.

We recognise the situation is fast-moving. We will be looking to see timely action from the University Senior Leadership Team and Court, and we expect to bring a paper addressing unresolved and emerging points of action to our next ordinary Senate meeting. We give permission for this letter to be circulated widely within the University of Edinburgh community.

We look forward to responses, in both word and deed.

Dear elected members of Senate,

Thank you for your letter. We take it very seriously that you have taken the time to write to us in such detail and with such strength of feeling, and that so many staff have added their own names and comments in support. I also want to express my heartfelt appreciation for all the effort and dedication that so many of our colleagues have been making over the past few weeks to work through the backlog, provide support to staff and students and help to resolve these issues.

We are also acutely aware that our University is facing major disruption caused by the implementation of our new finance services underpinned by the People and Money system.

We have listened to how this is affecting our staff, students, suppliers and partners and we are sincerely sorry for the unacceptable position this has put people in. We recognise the extent to which this has affected the mental and physical wellbeing of our staff, the difficulties they face in these challenging economic times and the overall human cost of the issues with People and Money.

We value our staff as our greatest asset and we know only too well that for an organisation known for its world-leading research and teaching, priding itself on strong partnerships and looking after our people, this is a humbling situation. We are addressing it as our top priority.

We have already taken steps to pay any outstanding payments to students and to ensure that the upcoming student stipend processes operate smoothly, work through outstanding payments to suppliers and ensure continuity of supply of goods and services, address the backlog of research projects to be added to People and Money and ensure that the finance processes and reports associated with these operate effectively for project teams, and support budget management activity. This will help us to reduce the need for calls to the Finance Helpline and to resume normal service. We've set up task teams, bolstered by dozens of staff reallocated internally, to address these issues. We are monitoring progress daily at the highest levels of the organisation.

Below we have set out our response to each of the concerns you raise, bringing these together where our explanations, actions and commitments apply to more than one topic of concern. We have also detailed the affirmative actions that we are taking based on your feedback, with a number of significant lessons learned, including our commitment to an external review of the People and Money programme to inform our ongoing improvements.

1. The University is failing to meet essential contractual obligations and basic, routine needs of research and teaching.

Our commitment is to tackle the backlog as swiftly as we can and get payments, purchasing and our Finance Helpline working as they should. Once this is addressed, we will review the next set of priorities.

Payments

- We are committed to introducing a mechanism for a one-off payment to those students who we know received late stipend payments in September and/or October 2022. Other people who have experienced financial loss will be given access to hardship funding and processed as a priority.
- If any member of staff needs help with a payment that is or has become urgent, they can speak to a member of their local Implementation Group to escalate it. This is a team of managers who have been working on preparing for, and implementing, these changes in your area. Their details are on our People and Money webpages.

- As outlined below, we'll share an email address with PGR students shortly which they can use to escalate any problems with the upcoming stipend payments for resolution, as quickly as possible.

Stipends

- In September, we made the decision to pay student stipends 'off-system' through a contingency file to the bank, rather than through People and Money. Over 2,000 stipends were paid through this process as expected. A number of issues emerged following this payment, including a delay in payment for students who matriculated after the September stipend cut-off date where our process did not operate effectively enough, and due to issues which arose incorporating varied payment cycles and approach in different parts of the University (for example quarterly payment cycles in arrears/advance).
- In October, we successfully paid circa 2,000 PGR stipends, and the vast majority of these were processed through and paid into the student account on time through People and Money. There was an issue on Friday 28 October, where a payment for around 140 students was not made due to a technical error unrelated to People and Money or our University systems. Finance immediately engaged with the bank and these payments were made on the same day.
- Following that, several issues remained which were escalated either on an individual basis and/or through Colleges/Schools and these were paid as quickly as possible.
- We are putting in place revised plans to ensure that our next set of stipend payments in November and December, and beyond this, are paid successfully via People and Money. We are going to make the next stipend payments by the formal payday of Monday 28 November. We're making extra checks and contingency arrangements in case any issues are encountered. We will share a new email contact address with students and staff so that any problems can be escalated and resolved, on the same day where possible.

Payroll

- Our new payroll processes have been in operation since April 2022 along with payroll-related processes such as setting up new contracts.
- During September and October, we processed a very high volume of contracts (new starts transfers, secondments and additional posts) and where full and accurate information had been received on time, payroll transactions were processed to ensure payment.
- A small number of issues were raised relating to these. We're working with Schools to address these as soon as possible, and to improve our processes in the longer term.

Expenses

- The staff expenses system is operating as planned - these are progressing quickly through the system once line managers have approved any claims.
- We have paid out more than 800 student expenses and our payment rate for these has increased significantly over the past couple of weeks. We do still have a small backlog of student expense payments and, along with stipends, additional staff have been allocated to support the clearing of the backlog and get back to our normal payment routine.

Supplies and services

- We have paid out more than £100 million in invoices, expenses and other payments since our new finance services went live in People and Money. But there are delays in payments and some suppliers have paused supply to us while we work with them to resolve issues.
- We've set up four task teams, bolstered by dozens of staff reallocated internally, each focussed on buying goods and services for a dedicated category: estates; IT and telecoms; medics and labs; and campus and professional services.
- These teams are prioritising escalated issues from budget areas; targeting certain suppliers; and then working on the backlog. Structuring the task teams like this allows us to, for most suppliers, deal with payments and any issues within that from start to finish.
- Because Finance has reallocated staff to support supplier and student payments, this does mean colleagues are not getting the complete service they expect at present. We are trying to get through the backlog as quickly as possible so that they can focus on their day job again.
- Before our old finance system closed, we asked colleagues across the University to close off as many of the financial transactions as we could in eFinancials and prepared to migrate open invoices from the old to the new system. We put in place interim processes for the period of downtime between the old system closing and People and Money being implemented, which in the end was extended to a slightly longer than five-week period.
- We asked the business areas to suppress demand during that interim period, for example by ordering in advance or by delaying transactions where possible, but we knew there would be some activity that would have to carry on during that period and that there would then be a backlog of payments to process as a result.
- Despite the planning we put in place, the key areas we have highlighted have been a significant challenge since launch. The most challenging and complex supplier payments relate to processing payments which took place while our systems were closed, and from before the launch of our new finance services in People and Money.

Research grants finance processes

We are aware of increasing concern about the potential risk to our core activity unless there are some quick resolutions to outstanding issues with the finance processes which support our research activity, over and above those covered above. We are taking the following actions:

- We're making some changes to the Project Administrator role and have been in touch with the staff affected. We're working with the Colleges to reallocate the Project Manager system role, on an exceptional basis, within local areas, to reduce the number of system approvals going to Principal Investigators.
- We are making changes to the visibility of project information through reports which will give people an overview of the information for their projects and/or areas of responsibility.
- Since launch, we have created 86 research projects in People and Money with a further 175 in the set-up phase and 365 projects which need to be set up. We will run repeated, focussed 'sprint' sessions with colleagues from ERO, the Colleges and ISG to resolve this backlog. This will be done on a prioritised basis agreed with the Colleges, alongside regular progress monitoring.
- We know delays in opening projects on the system have had a knock-on effect on recording costs for Schools' unrestricted funds. Guidance and templates for moving costs between project and non-project codes will be shared in November to allow Schools to tackle this, and guidance on project-to-project fund movements will follow shortly.

Financial documentation requirements

- Previously, staff who also received stipends could view both their stipend and their salary on the payslip. This is no longer possible because, since the launch of our new payroll services in April 2022, scholarship and stipend payments are now made by bank transfer via our Accounts Payable team, rather than through the payroll.
- When stipend or expenses payments are made, a remittance advice will be sent by email. This provides assurance of the amount being paid monthly and that payment is on the way. This replaces any payslip that was received prior to April 2022.
- This means that the information about pay and any stipend or scholarship is still available, but in different documents.
- We realise that the information in these two sets of documents may not have been clear since our new finance services launched in August. We hope to have now addressed this so that, in future, staff in this position will get the information they need through these two sets of documents. We'll continue to monitor this and take action where needed to ensure information is clearly set out.
- Payslips and salary information can be found in People and Money. Payslips and P60s from before the launch of our new payroll services in April 2022 were available to view in the previous Oracle system until July 2022 – we issued communications in the months before with reminders to staff to download these in advance of the deadline.

2. The University is creating unworkable demands on frontline professional services and academic staff both short-term and chronically, harming wellbeing and careers.

Our colleagues work very hard to ensure that most of us don't have to be in the position of thinking in detail about back-office processes and systems. We know that we all need them to work smoothly so we can get on with our jobs, whether it's research and teaching or supporting these or other aspects of our core mission.

We're very sorry that the introduction of our new services and system have created such unsustainable pressure on staff at the frontline of our research, teaching and administration. The changes in processes and system have had an immediate impact on colleagues who purchase goods, pay for goods and support our key financial processes. We knew that would be the case, but this has been compounded in several ways, including through the much bigger than anticipated backlog and the fact we were unable to get the right training to all the right staff ahead of launch.

We are tackling some of these issues by putting in place dedicated teams to manage the most difficult issues - enabling us to cut rapidly across the University to solve them - and bringing in new staff where needed, but we recognise that this is a partial and temporary solution.

We've agreed a number of medium- and longer-term actions:

Promotions and career prospects

We are aware that some Schools have already closed their academic promotions submission window. The process and deadlines for submission have been published well in advance and staff have been encouraged to work towards these. However, if there are members of staff who have been working on their application but have not been able to submit on time due to additional work they have undertaken as a result of People and Money, they should raise this with their Head of

School or Dean. Under these circumstances, we will consider late submissions up to Thursday 15 December 2022.

Training and support

As well as the system changes and the processes they underpin, new teams have been formed to help with buying goods (Procurement Operations) and with the ways in which we get money into and out of the University (Finance Operations). This follows on from recent changes in how we support budget areas (Finance Business Partners). Fundamentally, the way we look at our financial information is also changing as we introduce a new Chart of Accounts.

We knew staff in all areas would need to get used to our new business processes and system and that this would take time. We also understand that in some areas, training has been compromised due to our tight timelines for delivery. We apologise for that and we are taking steps to provide further training where needed.

In the months before launch, we needed to complete user acceptance testing, start the implementation cutover activity, and train our staff. With limited time, we had to make difficult decisions about priorities.

Dedicated training was provided to finance specialists, Principal Investigators, and other staff, for example in administration and research support roles. Between 28 July and 30 September, we delivered 41 training sessions across the University to 2,820 attendees. Specific scenarios are being identified for improved training including additional 'how to' videos.

For wider staff, we ran a series of training sessions, including line manager and budget holder approvals; how to request goods and services (for both staff and students); and, for business support staff in Schools and departments, training for requesting invoices and non-PO payments.

Guidance, guides and videos have been accessible via our People and Money webpages since before launch, although there are still more to complete. Following feedback from support clinics we will provide additional training on the sales invoicing process and the purchasing and requisition process including specific requisition scenarios such as VAT, call off and value-based requisition. We will also follow up with Implementation Groups on further training requests. Drop-in sessions are also running on Mondays, Wednesdays and Fridays every week. Colleagues are on hand to answer questions related to the new finance system. A link to the schedule is available on our People and Money webpages.

We recognise that familiarity and confidence in using our new system and processes is crucial to get things moving again. Training and support will form a key plank of our ongoing support now and over the next couple of years.

Staff morale and ambition

It does take time to get used to our new system and we know this is slowing things down and making life harder. We understand that this is the last thing people need when they are so busy and under pressure. We are very sorry that it is causing so much disruption to your work.

We hope that current and future staff will see the steps we are taking, including those outlined in this letter, as positive evidence of our commitment to making the situation better and to ensuring that the University of Edinburgh will continue to be a prestigious and rewarding place to study and work.

Administrative processes

Our new financial approvals are carried out by every line manager in the People and Money hierarchy until the transaction reaches an approver with the required level of authority for the type of transaction. The one exception to this is for financial transactions approved within the Projects and Grants module, where approvals are initially routed to the Principal Investigator or Project Manager, or an optional requisition approver with a £10k approval limit.

90-95% of our transactions are of a value that only require one approval. We have always had the need to approve spend, but it's been inconsistently approached in the past, so for some colleagues the change will be disruptive for a period of time. It is, however, a key element of our financial controls which allows us to ensure the right people are sighted on and approving expenditure, so we are meeting our regulatory and auditing requirements around management of our finances.

Finance staffing

Finance is continuing to monitor short- and long-term staffing levels. We have hired new staff and seconded experienced staff from elsewhere in Finance to address the current backlog. We are also working with the wider University to second additional colleagues to work on priority areas. As we work through the backlog, we will return seconded staff to their original roles to minimise the impact on workloads in other areas. We will continue to monitor staff requirements across HR and Finance to ensure there are sufficient staff to support these key services.

3. The University has damaged our reputation and good standing in the sector and public with essential partners.

The University prides itself in fostering good relationships with suppliers, and we are doing our best to ensure all payments are processed as quickly as possible. We have apologised to any of our students, staff or suppliers who are experiencing a delay in payment.

A fundamental requirement for a University such as ours is of course for our processes to work effectively for those we employ, engage with, and for those who supply us. We hope to have outlined in the section above on Services and Suppliers that we are making every effort to regain our standing and reputation with our valued supplier and service partners.

Furthermore, we are aware of the potential impact the recent difficulties will have on our role as a partner in the local economy. We understand fully and recognise the goodwill we have been afforded in these trying circumstances and will make every effort to regain the trust and confidence of our community, including our business partners across the piece.

We are currently working through some challenges in paying international partners, with particular attention to those in the global south. We remain absolutely committed to our partnerships across the globe and appreciate that this issue exacerbates some already strained relationships with partners, particularly those previously affected by UKRI GCRF budget cuts. We are addressing individual issues as they are escalated and working across teams to ensure that all international partners are set up appropriately for payment in the future.

4. The University has lost members' trust and confidence in our leaders' capacity to prioritise essential needs and manage central change processes.

Throughout the planning and implementation of People and Money and other change projects, we have been carrying out a series of Lessons Learned sessions so that ongoing improvements can be made to planning and implementation.

We take contingency planning seriously and we did put measures in place to address risks and issues, however the impact of the backlog which built up during the interim period has been significantly greater than anticipated. Additionally, there were unexpected issues with the September and October stipend payments and student expenses which are now being rectified.

On addressing Equality, Diversity and Inclusion, we confirm that the People and Money system complies with the industry best practice Web Content Accessibility Guidelines. Our procurement process focussed on making sure our system is available to as many staff as possible and this continues to be a priority. Additional improvements will be made following the external review mentioned above as required.

We have held a number of open staff meetings over the past weeks to listen to staff concerns about People and Money and to provide an update on the actions that are being taken to resolve issues as quickly as possible. We have also held an open meeting for PGR students to address concerns around stipends and expenses. Senior managers are committed to updating staff and students more regularly on the actions that we are taking to address issues.

5. We expect a better response from University leadership.

The senior leadership team and University Executive, the Policy and Resources Committee - a key sub-group of Court - and the full Court itself have discussed People and Money extensively over the past few years. Although we don't generally make public announcements about such discussions, we accept that we should have communicated more fully the importance that has been accorded to the new system and the challenges it has posed to many of you. We are taking steps to improve the way senior leaders are listening to staff and students, and we are establishing more regular updates as issues are addressed.

Throughout the years we have been preparing for and launching each phase of the People and Money implementation, we have provided regular briefing calls for leaders and emailed staff and students directly with updates. We also provided an outline of the changes coming up, including guidance materials and demo videos, via a dedicated pre-launch SharePoint site which our communications directed people to for more information.

This is in addition to targeted briefings and engagement with local Implementation Groups, set up in each College and professional services group to plan for and deliver the changes in their area.

Addressing complaints

To show how we're responding to staff concerns, we have collated feedback from the recent staff and student open sessions and will be producing and sharing a series of FAQs as soon as we can to provide further updates on the steps that we are taking to address concerns raised by staff and students.

As mentioned above, we have committed to an external review of the People and Money programme to evidence and inform this continuous improvement.

Delivering strategic change

We are a large, successful University with an ambitious strategy, and so we must continue to innovate. Nonetheless, we are listening to our community and are now reviewing the ways in which we lead and manage major strategic change projects.

We realise there is dissatisfaction with the way some of these larger initiatives have been developed and delivered in recent times, and we fully recognise that this applies to the People and Money programme and in particular to its most recent, final phase.

While lessons are being learned and applied, we know that more needs to be done to significantly improve the quality of the way in which we deliver strategic change projects and realise their intended beneficial outcomes.

As mentioned above, a paper on 'recommendations for future provision of strategic change and continuous improvement support' was recently tabled at University Executive which reflects on a number of key issues that have been escalated. These initial reflections and recommendations will necessarily require broader engagement and input from colleagues in different parts of our University, with those discussions helping us shape a more effective approach to strategic change and continuous improvement in the future.

As part of this, we have, as noted above, committed to an external review of the People and Money programme to evidence and inform this continuous improvement.

Next steps

By way of conclusion, we note below the key actions and initiatives that we will undertake to address our current challenges:

- External review: we have committed to commissioning an external review of the People and Money programme with the intention of gathering evidence to inform recommendations which will focus on improvement.
- The Enactment Group will continue to meet weekly, subject to any further review. As well as overseeing the actions and priorities set out here, the Group will support the establishment of the new People and Money Operations Group. In turn, this will focus on embedding and enhancing the People and Money system and the finance and HR processes it underpins.
- Local Implementation Groups will continue to meet regularly, to listen to concerns and to respond with actions.
- We will improve our levels of engagement and communications both with the senior management of the University and the Operations Group recognising how critical user engagement is now and will be in the future. We are taking steps to improve the way senior leaders listen to staff and students and will establish more regular dialogue as issues are addressed. We will continue to engage with staff and students regularly over the coming weeks.
- ISG, Finance, HR and the remainder of the project team will continue to work together to help ensure resources are aligned to the agreed priorities. We will maintain support calls, Teams channels and other support and communication mechanisms during this period. We are also actively looking into how we can provide further training and refresher sessions.

- The Enactment Group set out a set of indicative priorities for the period from the start of November 2022 to the end of January 2023. Its highest priorities and areas of immediate focus are the backlog of supplier and student payments and stabilisation of those processes, research grants finance processes, budgeting and forecasting and any system defects impacting on these areas. We have previously set out the resources that are being prioritised to address the payments backlog and the projects backlog.

In addition to this, we are committed to the following:

- Complete the recruitment of a People and Money service team which will sit in ISG. Once operational, this team will work in partnership with the Colleges, professional services areas, HR and Finance to lead the ongoing performance, development and enhancement of the systems which underpin our University's HR and finance activities and operations.
- In addition to this, we are recruiting new roles to support enhancement and continuous improvement activity. This includes Finance functional leads and professionals to work on HR process improvement, business analysis and training.
- Extend the support provided by our implementation partner Inoapps and keep this under review, with a focus on tackling remaining finance system defects. We have also extended the time that a number of our Finance functional leads will remain dedicated to the post-launch work to the end of the calendar year. We have extended dedicated support from some of the programme team, change team, and business analysis support, as well as the accelerated customer support offered by Oracle.

In response to the questions of leadership and governance, the University Court has received regular updates on the progress of People and Money as part of ongoing business activities and are aware of their responsibility to hold to account the management of the University.

We hope this response goes some way to conveying the depth of our apology, our commitment to radical and urgent action to resolve the situation and to learning lessons for the future. Our thanks, again, to you and our wider colleagues for writing to us and we look forward to working with you as we address and radically improve this situation in both the short and longer terms.

Our work with you, Court and Senate will fundamentally underpin this effort.

I offer apologies again from myself and all members of the senior leadership team and from the very large number of colleagues involved with leading, planning and delivery of the People and Money programme for all the distress caused by recent difficulties. Please accept our shared commitment to ensuring that the situation improves as quickly as possible, and that lessons are learned. This spirit of continuous learning is fundamental to our University.

Peter, on behalf of the senior leadership team

Please note:

Your letter is addressed to me as Principal, to the Rector and to the Vice-Principal Research and Enterprise. I am replying in my capacity as Principal on behalf of the whole senior leadership team which I chair, also as Convener of Senate. The Rector is not a member of the senior team or indeed of the executive leadership of the University and she might wish to provide her own response: she is copied on this reply for her information. If you wish to copy Court on correspondence, it would be best to address the Senior Lay Member who is the de facto Chair of the University. Since this response is in the interest of the entire University community, we will be publishing on our Staff News webpages at the point of sending to you.

UNIVERSITY COURT

5 December 2022

Student Experience Update

Description of paper
1. This paper provides an update on Student Experience for the first three months of the academic year 2022/23.

Action requested/Recommendation
2. To note the update.

Background and context
3. A positive experience for our students, new and returning, at the commencement of a new academic year, has been a priority for us, as we returned to full campus delivery (except dedicated online degree programmes).

4. This year marks the operational launch of our new Student Support model, a University strategic priority programme that is expected to contribute to improved student satisfaction and wellbeing.

5. Following the discussion at a recent University Executive, the Vice-Principal Students and Deputy Secretary Students, have been working with University colleagues including the Provost and Heads of College on mechanisms to improve student experience and to move us towards a more clearly articulated student experience charter with Schools.

6. Work towards the Curriculum Transformation Programme has been progressing with dedicated updates to follow at future meetings of University Executive, Senate and Court.

Discussion
Student Support Model
7. Following University Executive and Court agreement, planning restarted post pandemic in October 2021, Phase 1 roll out of the Model has taken place.

8. A reminder that the new model has a team of people to support with different aspects of student life.

- Cohort leads to build a sense of community and belonging through supporting induction and transition and an academic vision for the programme.
- New professional services teams of student and wellbeing advisers; the student advisers provide the first point of contact and triage to other roles within the model. The wellbeing advisers provide support with wellbeing and personal matters, and to deal with the more complex cases. We have recruited c.80 members of professional services staff (student and wellbeing advisers).
- To build on and extend the already well-established Peer Assisted Learning and Support schemes (PALS) delivered across the University.
- Recognising and assuring the importance of teaching teams in supporting students to transition into and through their studies both within and alongside the taught curriculum.

9. Phase 1 is for first year undergraduates and postgraduate masters students (except in Economics where it is years 1-3 of the undergraduate programmes in addition to postgraduate taught), with postgraduate research students able to be supported by wellbeing advisers. This is in all Schools in the College of Science and Engineering, one in the College of Medicine and Veterinary Medicine and five in the College of Arts, Humanities and Social Sciences.

10. Implementation has been a partnership approach with a central project team supporting College implementation groups, aiming to deliver a baseline of consistent support within all Schools. This consistency has been delivered in the professional services roles of student and wellbeing advisers, and guidance for the role of cohort lead, whilst enabling Schools to have a flexible approach within their context.

11. This model is in the early stages and we have been gathering case studies; examples of where the new approach is working well to support students and also examples we can learn from.

12. Evaluation of the roll out is well advanced, through student and staff surveys and focus groups, supported by the Students' Association. Project leads have attended College and School meetings, as well as addressing immediate matters through the College implementation groups. This will inform Phase 2 planning and a longer term approach to continuous improvements when the model moves from project to 'business as usual'.

13. Data from these surveys and groups will be shared once analysis has taken place (this is currently in progress). We aim to provide Court with key findings at its meeting in February 2023.

14. Anecdotal feedback is resoundingly positive so far; students have commented how supported they feel and knowing where to go and who to ask for help. Staff have reported on being reassured that they can clearly refer students for direct professional support, indeed this has extended beyond the groups identified in phase 1.

15. Areas to work on at this stage are limited adjustments to the number of student advisers in some Schools, this is being monitored in regards embedding of a new approach and long term needs. Space constraints have been raised in a number of Schools and is a concern for Phase 2, noting the increasing need for confidential spaces for student and wellbeing advisers to meet with students. The work of the Student Advisers has also surfaced operational student administration issues that require urgent resolution e.g. course enrolments. These matters have been highlighted as priority areas to address through our forthcoming Continuous Service Improvement Programme for student experience.

16. We are implementing a student case management system (Symplicity), currently used in Careers and the Business School. This marks a significant step forward in how we manage case information for students providing a central record with appropriate permissions which will eliminate local spreadsheets and emails. A roadmap for implementation will be developed, the first service to make use of this platform will be the student wellbeing service.

17. Planning for the roll out of phase 2 for 2023/24 is well advanced with College leads, Schools and the Project Board. This will primarily focus on 1) improvements / learnings from Phase 1, 2) design and implementation, 3) Phase 2 readiness e.g. training, recruitment, 4) supporting structures e.g. communications, governance, policy and regulations, underpinning systems.

18. We have revised our governance approach in line with Phase 2 roll out and are working with College Registrars and others to ensure resourcing needs are captured in the upcoming planning round.

19. The second phase of student adviser recruitment will commence early December to have staff in post by April to ensure training and orientation takes place well in advance of the academic year 2023/24.

20. We look forward to providing more details of our review of Phase 1 and roll out of Phase 2 in our Student Experience presentation to Court early next year.

Vice-Principal Students Portfolio
21. The University Executive supported the next steps outlined in our paper on the National Student Survey (NSS) results 2022, as reported and discussed at the Court meeting on 4 October 2022. We have been working to progress this work as follows:

- Initial draft of a Student Experience compact or charter 'conceptual model' in collaboration with the Provost and Heads of College.

- Meetings underway with every Head of School by the end of the calendar year, taking a partnership approach to creating delivery plans for supporting improvements, with marked areas of focus, accountability and measures of success.

- The creation of two Vice-Principal Students Portfolio groups to assist with developing and delivering enhancements to the student experience: A Leadership Group (convened by the Vice-Principal Students) and Management Group (convened by the Deputy Secretary Students). These groups will shape, direct and operationalise the student lifecycle to focus improvements to the student experience across the university, enabling coherence between various initiatives and priorities through the student portfolio of activity. Crucially they will also ensure alignment to key institutional priorities such as the planning round and the progress towards achievement of key KPIs.

- The Student Lifecycle Group have identified a set of priority areas to commence work on as part of our Continuous Service Improvement Programme with a workshop taking place in December and task and finish groups set to commence early in the new year.

Curriculum Transformation Programme (CTP)

22. The CTP programme of work has continued throughout 2022 on the Student Vision and on the development of an institutional curriculum framework. The coming three months will clarify a proposed curriculum framework, readiness assessment and benefits case at Senate in February 2023.

Further information including plans and progress is at https://edin.ac/curriculum-transformation (open to external visitors) and the curriculum transformation hub: https://uoe.sharepoint.com/sites/CurriculumTransformation (internal audience – staff and students).

23. Undergraduate Programme Archetypes have been refined, including proposals for four core undergraduate disciplinary archetypes (Single, Double, Combined and Single-Restricted Honours).

   a) The Single Honours archetype includes flexibility in credit weightings between minimum and maximum set limits per year and at programme level. This includes flexibility to increase the disciplinary credit load in years 3 and 4. The single honours restricted archetype would only be available to disciplines with very tight external accreditation requirements.
   b) The Double and Combined Honours archetypes provide a route for students to spread their study across two main disciplines. The Double Honours archetype is based upon any permitted combination of two anchor disciplines with no prescribed integration between the disciplines. The Combined Honours archetype includes an enrichment element or other steps to connect the anchor disciplines. This could include tailored courses to link the two disciplines, recommendations for existing courses at the interface between the disciplines, or a combination of the two. The expectation is that there would be an opportunity for a capstone element that draws on both disciplines.

24. Challenge Courses, Experiential Learning and Enrichment Elements will be introduced and a key issue for discussion is how and in what form these elements form mandatory components of the degree structures as referenced in Paragraph 23.

25. We continue to work with Schools, Deaneries, members of the Curriculum Design Principles & Architecture and Supporting the Curriculum Workstreams to test, refine and further develop CTP rules and guidance. Key areas to add include approaches to admissions, transfers, progression and degree awards.

26. A full update on the progress in the CTP work will be the focus of a presentation to University Executive in December and Court in early 2023.

Resource implications
24. There are no specific resource requests in this paper. We note the ongoing work of colleagues in Schools and central services towards the delivery of the major initiatives discussed.

Risk Management

25. Failure to address student experience would mean we have not met our strategic ambitions as set out in Strategy 2030. It also carries reputational risk and continues to affect the University's standing in national league tables.

Responding to the Climate Emergency & Sustainable Development Goals

26. This paper would support the SDG "Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all" as part the strategic objective to improve student experience. The proposals would not hinder the achievement of any other UN SDGs or exacerbate the Climate Emergency.

Equality & Diversity

27. An Equality Impact Assessment will be required as plans are developed. The work undertaken will support greater equality, diversity and inclusion for students within our community.

Next steps/implications

28. This paper presents an update to note. Many areas of the update have next steps built into them.

Further information

29. *Authors*   *Presenter*

     Lucy Evans   Lucy Evans
     Deputy Secretary Students   Deputy Secretary Students

     Professor Colm Harmon
     Vice-Principal Students

Freedom of Information

30. Open paper.

UNIVERSITY COURT

5 December 2022

Edinburgh University Students' Association President's Report

Description of paper
1. This paper is to note developments at Edinburgh University Students' Association since the last meeting, and to provide an update on current work and initiatives.

2. The Students' Association's activities contribute to the following aspects of Strategy 2030: 'We will be a destination of choice, based on our clear "Edinburgh Offer". All of our staff and students will develop here, whether they are from Leith, Lisbon, Lahore or Lilongwe'.

3. The paper is accompanied by an appendix regarding proposed minor changes to the Association's Democracy Regulations.

Action requested/Recommendation
4. To note the report, and consider its contents as supporting other initiatives and projects designed to improve student satisfaction and enhance the student experience.

5. The Democracy Regulations changes are presented for Court ratification.

Background and context
6. This paper outlines current activity, notes current issues for students being worked on by our student representatives, and also outlines the organisation's financial and strategic developments. It is a regular standing item on the Court agenda.

Discussion
7. As we approach the end of the semester, I urge colleagues to not forget some strategic issues we have faced so far this year, in particular the impact which they have had on the student experience. Housing issues, finance systems, and poor communication around in-person exams have resulted in increased workloads for staff, and significant distress for students. It is positive that those at the University have been keen to work with the Students' Association on these matters and include us in these matters. I do hope that we can learn from these issues and not become complacent to these issues in future. I welcome any questions on our objectives, our updates, or our work in general. Finally, I thank Court members for engaging with student issues, and for continuing to advocate for the prioritisation of student experience.

Sabbatical Officer Updates
President – Niamh Roberts
8. I have been enjoying supporting mostly strategic projects and contributing the student perspective to a number of high-level meetings. Most recently, the Students' Association and University were both under scrutiny for not blocking two controversial figures from speaking at on-campus events. I have since provided

guidance to individual students wishing to create meaningful change on this issue at the Association level, and facilitated student membership onto the antisemitism guidance task and finish group. At University Executive, I criticised the University's hands-off approach to controversial speakers and their Freedom of Expression policy which consistently overrides the protection of marginalised identity groups, and the Dignity and Respect Policy. Colleagues have been receptive to this feedback and work to address this should begin soon.

9. Having attended two Scottish Sabbatical Officer away days since last meeting, I have learnt that many students' unions are providing free breakfasts, and some have negotiated one-off payments to students and staff. I am in the process of organising meetings with Presidents at various Student Unions to discuss this and other methods to tackle Cost of Living. Additionally, I have been thoroughly enjoying engaging with prospective students at our Open Days throughout October and November, learning about the concerns facing future students, such as accommodation.

10. With our current students, I have been liaising with our Marketing team to review our communications strategy and overall messaging, as well as our tone and outreach methods. I have also attended some student society events, including an event to mark Islamophobia Awareness Month.

11. Externally, we are soon to meet with Tommy Sheppard (MP for Edinburgh East) as a Sabbatical team, in an effort to use our expertise on student matters to remind political leaders that students are not a monolith. I am also in conversation with other Sabbatical officers in Edinburgh, and have written a response to the mini-budget for students to send on to their MP or MSP to be shared with students across the city.

12. With the exam season approaching and the availability of the Senior Leadership team proving difficult at this time of year, it has not been possible to organise a general all-student town hall this semester. I am beginning to organise this event for next semester and if effective, hope to embed this into senior staff calendars to improve transparency and communication between students and staff. Outside of this, I am coordinating an informative event for students to learn more about the Students' Association governance and finances.

Vice President Activities and Services – Natalia Ellingham
13. Natalia is continuing work to improve the student experience at King's Buildings and is on the new Nucleus oversight strategic group. The overall aim is to create a stronger sense of community at King's Buildings through the Nucleus acting as a hub for student activity. She will be bringing student feedback she has gathered and keep students central to discussions and she maintains frequent communication with students studying and working at King's Buildings. Natalia has also been in discussions with Heather (Sports Union President), Isi (Vice President Community), College of Science & Engineering and Estates staff on community and activity space at King's Buildings and will keep looking at various projects including more social spaces and a dedicated time each week to highlight student activities.

14. Natalia met with Robyn Woof (our trans and non-binary Liberation Officer) and senior University staff to discuss the inadequate provision of gender-neutral toilets

and period products. They had a productive conversation on the need to improve the accessibility and number of gender-neutral toilets, have more period products (including reusable options) and an upcoming survey and focus groups on this topic, which builds on the work conducted by Lauren. The follow-up action points include liaising with Estates to review the policy of gender-neutral toilets in new buildings to also include renovated buildings and improving signage of both gender-neutral toilets and period products.

15. As part of a larger project to improve communication and connectedness between students, the Students' Association and staff, Natalia wrote an article for the University's Journal on meaningful student engagement, highlighting how students can get involved in the publication, and student life as a whole. This will be released in January with physical copies available around central campus. Natalia is working with myself and the other Sabbatical Officers on our services campaign. This campaign highlights the Students' Association's offerings to students throughout their time at Edinburgh, to increase student engagement, and showcase and remind returning students of the support and opportunities available.

Vice President Community – Isi Williams
16. Isi Williams, Vice President Community, has continued working as the Students' Association's lead on tackling the Cost of Living Crisis. Isi and Lauren have continued to meet with MPs and MSPs, including Alex Cole-Hamilton, Daniel Johnson, Christine Jardine, Deidre Brock, and Ian Murray, to highlight some of the issues that students are facing and ensure they're represented at a government level. Isi also contacted the Minister for Higher Education, the Minister for Transport, the Minister for Tenants' Rights and the Cabinet Secretary of Housing in the Scottish Government - where she outlined the importance of financial support for commuter students, expanded hardship funding and legislation to tackle student homelessness.

17. Isi has been working with the University Senior Leadership on what actions they could take to support students through the Cost of Living and Housing Crises. Isi also created a 'Cost of Living Crisis' webpage on the Association website, found here, to outline the work that she is doing along with wider Association staff. This page also directs students to support that students can access from us or the University if they are struggling. Alongside Lauren, Isi is collaborating with the Sports Union and Charlie Waller Trust, raising awareness of isolation and improving mental wellbeing among students experiencing financial anxiety.

18. Isi is the Association's lead on sustainability and has run events that benefit and educate students on the climate crisis. Her Sustainable Christmas Craft Fair took place in Teviot and gave a platform to student creatives and student-run small businesses, allowing them to showcase their work and make money, all while promoting sustainable practices. Her Student Sustainability Workshop brought together students from all areas of the University, as well as representatives from the Social Responsibility and Sustainability Department, and colleagues from the Association and Isi gathered feedback on what sustainability initiatives students would like to see from the University's Social Responsibility & Sustainability department and the Association. Off the back of this she is setting up a more structured Sustainability Forum for students and the University to come together and discuss various projects.

19. Isi also attended COP27 in Egypt, representing the interests of the University by building relationships, raising awareness of our initiatives and contributing to valuable conversations about climate change.

Vice President Education – Sam Maccallum
20. Sam has been facilitating monthly School Representative Forums to share good practice from different Schools and identify shared issues that students have been facing this academic year. Since October, Sam has been raising concerns identified from Postgraduate Research School Representatives relating to delays in stipend payments, expense reimbursements, and issues ordering necessary research supplies. Sam led a Students' Association survey which closed in early November with 308 responses from current postgraduate research students who have been impacted by financial issues this academic year. Of these respondents, 35 had been owed either £4,000 or above by the University at any single point in the academic year, and 79.9% of issues had not been fully resolved at the time of completing the survey. Sam will continue to raise the importance of supporting PhD students and early career researchers within the University community.

21. Following concerns raised by students about returning to in-person examinations after pandemic mitigations, Sam ran a University-wide student survey in early October. They compiled the 799 responses into recommendations which they presented at the November Senate Education Committee, covering exam arrangements and appropriate support measures for students. Sam has lobbied for increased support and due consideration for student groups disproportionately affected by this decision, including disabled students, students with English as a second language, and students from widening participation backgrounds. Throughout semester one, Sam has worked with staff to improve communications with students about exam formats across all Schools, and increased signposting to academic and pastoral support ahead of the December exam diet; including additional student support information on the central exam diet webpage.

22. Sam has been chairing College Student-Staff Liaison Committees in both the College of Arts, Humanities & Social Sciences and the College of Science & Engineering. In the College of Science & Engineering, these meetings covered the impacts that the new finance system has been having on our research students, and the need for more community and study spaces for all Science & Engineering students in King's Buildings. Sam also worked with staff from the Institute of Academic Development to allocate funding to student and staff collaborative projects through the Student Partnership Agreement fund. Additionally, they represented the University and the Students' Association in a meeting with Quality Assurance Agency Scotland and University Senior Leadership, and addressed areas where the University could improve practice in relation to the Enhancement-Led Institutional Review recommendations identified from the previous enhancement review cycle, including student support, assessment practices, and academic appeals and complaints processes.

Vice President Welfare – Lauren Byrne
23. Lauren has been working to advocate for students in three priority areas: mental health and student support; equality, diversity and inclusion; and student welfare.

Following the prevalence of discussions around freedom of expression this month, Lauren has been conveying insightful conversations with students to senior staff at the University, emphasising the need to balance our commitment to freedom of expression with our Dignity and Respect policy. Lauren also hosted the first Widening Participation Student Steering Group Social, bringing students from similar backgrounds together and gathering feedback, which she then presented in the University's Widening Participation Strategy Group. In particular, she is advocating for greater literacy of Widening Participation issues amongst academic and support staff alike.

24. She has been writing to the Minister for Mental Wellbeing and Social Care, outlining the impact of the Cost of Living Crisis on student mental health, to raise awareness and ask for stronger commitment to funding mental health provisions. She joined a discourse about student and staff wellbeing on a panel with the Consent Collective, highlighting complex barriers to wellbeing such as systemic oppression and financial insecurity, and advocating for an institutional shift towards preventative support. This was recorded and will be used as part of the relaunch of the #Let'sTalk campaign. To establish a strong framework for developing our Student Mental Health Agreement, Lauren has been exploring student co-production, to ensure this piece of work is informed by students' voices.

25. Following work with the Student Conduct Team, Lauren will be facilitating the collection of feedback on the conduct process from students who have been through it, to continue to improve this important area. She was also invited to speak as part of a panel on gender-based violence in higher education, alongside academic colleagues and student activists and representatives, which provided a compelling space for conversation and reflections on the work we do.

26. Regarding wider student engagement, Lauren and I had the privilege of attending the Una Europa Student Congress in Kraków, to discuss building international universities of the future. This was an excellent opportunity and we look forward to raising the profile amongst students so more people can get involved. Additionally, Lauren, Natalia and I did outreach at the Holyrood campus this month to increase our engagement with satellite campuses, chatting to students and sharing more about what we do.

October elections
27. October sees us run Association elections for postgraduate taught, and postgraduate research students, as well as elections for positions on our liberation committees, delegates to represent University of Edinburgh students at the National Union of Students UK and Scotland policy conferences. In addition, we deliver elections for the Law School and were electing 5 new 1st year representatives. In total there were 108 seats available, across 69 positions, and 137 students put themselves forward for elections. For our Postgraduate positions in particular which are linked with each School within the University, we work closely with Schools to ensure the opportunity to take up these roles is actively communicated, although this can be challenging. This year we offered 1-2-1 candidate support via Teams, in addition to our usual candidate briefing session, and also brought postgraduate candidates together at mixer event which was well attended. The addition of the Law Student Council's Elections is an example where we are now undertaking the

elections management work and hosting the voting for a number of other 'local' student-facing elections via our elections system, when these have previously been managed by Information Services Group.

28. Our October elections are often more challenging to generate turnout, compared to the March elections (which includes the sabbatical officer elections), partly due to the specific roles being elected which each have a more limited constituency, although this year in October over 1600 students cast 6592 votes, which is the highest level of participation in these particular elections for 8 years. c60 candidates and supporters joined us in person to hear the results at our results celebration in Teviot Row House.

Student activity in semester 1
29. Semester 1 activity is in full swing, with over 2600 student group activities booked into our spaces this semester – 85% up on last year with a full return to campus and no restrictions. We have now delivered training to c1200 programme representatives, as well as hosting our calendar of training and development workshops for student leaders and volunteers.

30. Our buildings have been very popular since the start of semester as places to eat, drink, meet and study, with noticeably higher levels of footfall than last year.   As always, our buildings and spaces are welcoming warm spaces on campus, with continued access to free heat and eat provision at Teviot, Potterrow, and King's Buildings House, and also continuing our provision of everyday value in our catering and retail outlets to support students accessibility to affordable options given the current cost of living crisis. We are seeing this impact commercial night time activity particularly – whilst our regular Saturday Big Cheese nightclub remains a popular choice, average attendance is a little down on previous levels. We have also launched a new inclusive midweek club night, Hot Mess, collaborating with our student society performers to create an immersive experience. We anticipate this will take some time to build.

31. On 11th November we once again invited staff and students to join us in Bristo Square for the Teviot Christmas Lights Switch On. This was complemented by a Sustainable Festive Craft Fair in Teviot during the day, with several student makers and artists selling their work. The square was filled with around 3000 people who came to enjoy the festive atmosphere in the early evening with music, hot food and drinks, opportunities to visit real reindeer in Teviot Garden, and then watch Santa arrive and turn on the lights. This heartwarming gathering of our community is now firmly established as a staple of the annual calendar.

32. The sabbatical updates earlier in this paper present a rounded picture of the issues we are working on with and for our members, and it's also worth noting that some of these issues manifest through our Advice Place. Money issues remain a significant factor for many students and the service also continues to provide a route to emergency financial support through administering emergency loans (as we always have) for those in immediate need and often to bridge the gap where access to other support such as hardship funds will not quite come fast enough. In the current cost of living crisis it's not surprising that financial issues continue to be an area of growth, and we anticipate this will continue as the economic context

continues to impact students' access to funds from other sources – from accessing regular part time work, to limitations on parental support. We have also seen instances of students impacted directly by the well known implementation issues with People and Money – from students working in the University, to postgraduate students awaiting delayed stipend payments, or reimbursement of expenses. Accommodation continues to be a challenge in the city, and the competitive nature of the rental market is not only making it harder for students to find a home, but is also exacerbating financial concerns. The service supported more students this year who had not found accommodation prior to or during Welcome Week and Week 1, with the usual alternative options (for example accommodation owned/managed by other Edinburgh universities/colleges) also not available. All of this clearly impacts students' ability to settle in and get off to a good start with their studies. We anticipate this will be a continuous issue in future years, as well as also, more imminently for our January 2023 arrivals.

Semester 2 activity planning
33. We are now looking ahead to Semester 2, with some key core activities getting ready for launch.

34. These include **Give it A Go**, in week 1, which is our programme of society and sports tasters, and other activities and events to enable students to see what's available and re-engage, and this also enables the 500+ new Visiting students from abroad and new Postgraduates to easily settle into the student community and find students with similar interests. This year we are also embedding a cultural festival into the week, celebrating the diverse and multi-cultural community of students at the University of Edinburgh, and enabling our student groups to share their cultural highlights. The week runs from Monday 14th to Sunday 22nd January, with our very popular Student Opportunities Fair on Wednesday 18th.

35. Our annual **Teaching Awards** are also getting ready to launch, with nominations open until the spring – these continue to be a fantastic way for our students to share insights and experiences about academic and support staff and courses that have made a difference to their experience.

36. Our **March elections** will see a new sabbatical team elected to represent students from June 2023, as well as electing new liberation officers, School reps, and section representatives (who represent some specific cohorts including student parents, and mature students amongst others). Nominations will be open from mid January, and voting taking place from 6 – 9th March. We've begun to raise the profile of sabbatical positions during the year, to raise awareness of and increase interest in these positions to hopefully generate good candidate numbers which helps generate good voter interest. We are very keen to increase overall turnout which has been challenging during the last 2-3 years when activity and interest has been disrupted by the pandemic. What is interesting is that over the years, whilst the total number of voters might rise and fall, increasingly each year more students cast votes across a wider range of positions, suggesting those who do vote are more actively engaged in doing so, which is also positive.

37. Key areas of work on the elections will include:
- Candidate Support and Experience – maintaining our desire for a positive candidate experience and a sense of community amongst candidates
- Governance: new for 2023 - more detailed guidance on election complaints and appeals
- Elections promotion and awareness in the context of a full return to campus – with a view to boosting turnout.

Democracy changes

38. We have previously reported to Court on our 5-yearly review of our governance. One of the last actions from that work was to review our current Activities Representative roles, which have had some engagement challenges, and to develop alternative proposals. We have now agreed an alternative approach, necessitating a change in our Democracy Regulations at this point, in order for us to progress the role changes in time for the launch of our March elections. Appendix 1 outlines the work done on this point and the specific changes approved via the required Association routes. These require Court ratification.

Finance Update
September 2022 finalised figures
High Level Summary

£ 000's

	YTD			Current Month		
	Actual	Budget	Variance	Actual	Budget	Variance
Commercial net income	379	348	31	(76)	(201)	126
Block Grant	1,572	1,581	(9)	279	283	(5)
Total net income	1,951	1,929	22	203	82	121
Membership Engagement & People Development	(548)	(617)	68	(90)	(96)	6
Corporate Services	(580)	(569)	(11)	(103)	(103)	0
Marketing & Member Communication	(187)	(199)	12	(49)	(46)	(3)
Central Overheads	(334)	(254)	(80)	(65)	(44)	(21)
Total non-commercial expenditure	(1,649)	(1,639)	(10)	(307)	(289)	(18)
Surplus / (deficit)	302	290	12	(104)	(207)	103

Numbers shown in red & brackets denote a net expense or an adverse variance

Note: The budget was approved by the Trustee Board in March 2022 and gives a full year surplus of £156k.

Commentary & analysis

39. September marks the half way point in our financial year. The overall position is a deficit of £104k this month but this is about half of the deficit that was budgeted. Looking at the year to date position, the surplus of £302k is nearly exactly what was budgeted at this point in the year. These figures also reflect the return of students to campus, and a successful Welcome Week, including the GEM arena - a hub of student activity in the heart of Bristo Square, supported by a grant from the University and which supported record levels of student activity - 45,000 visits in addition to the events and activities in Teviot and Potterrow, as students connected with societies, sports clubs and other activities and entertainments.

40. **Festival** – in this particular financial report, the final costs are not yet settled, in relation to our festival partners. The full year position for the Festival is expected to

be a net contribution of £200-220k – adverse to budget but still a good result for the first post-pandemic Festival.

41. Semester-time trading has started relatively strong with sales volumes increasing. We are working hard to manage costs very closely although this remains challenging when supplier costs are now increasing regularly. Retail shops are also performing ahead of budget so far. The King's Buildings Shop and Wrap Bar has now relocated to a space in the Nucleus, which we anticipate will enable us to service far better the student levels of demand on this particular outlet.

42. We do also anticipate some levelling off of trading income as students face cost of living challenges. Cost of living certainly appears to be having an impact on our late night business with the most recent 2 Club Nights averaging 650 attendees rather than the normal 1000, and bar sales around 25% lower during the same period. Alongside lower than expected numbers on our new midweek inclusive club night, this all points to a challenging downward trend which we need to work to address. We are currently undertaking research with our membership regarding patterns of demand, spend, and customer preferences to inform future service development.

43. In other areas, some costs are still favourable to the budget, although where this is the case, this primarily reflects unanticipated (and in fact undesirable) staff cost savings due to turnover and vacancies remaining unfilled. There are also some project costs not yet spent partly due to the (temporary) reduced staff capacity and partly due to phasing.   In response to the current cost of living challenges, the organisation has agreed a higher than budgeted cost of living increase for staff (see below), and also faces the challenge of rising costs outwith our control – including higher than budgeted utilities costs which we anticipate increasing over the winter months, and also higher than budgeted loan interest, due to the wider economic context.

Organisational Development
44. We continue to deliver our core activities to members, and consider opportunities for future development, whilst also balancing this with a current strategic focus on our staff.

45. The Association agreed an annual cost of living increase for our staff this year of 3%, with a further 1.5% applied to all staff earning up to £30k, taking effect from 1 October. At the same time we have introduced a new suite of financial support measures (primarily some loan options), alongside our existing staff benefits and discounts, and these have been well received. We will be finalising the outcomes of a major project on Pay and Reward with our Trustee Board at the end of November. We have invested in consultancy support to review and develop options for this project, which include a new pay policy, pay framework (bands-based), and role evaluation programme. This is an important project to create better transparency on pay and pay decisions, provide for pay progression, and hopefully support recruitment and retention, and significantly boost morale and motivation. A key focus of the project is also to support our Real Living Wage strategy by better defining lower paid grades and pay differentials. However it comes with additional, and recurrent, staff cost increases, and in a context of rising costs, and some income

challenges, may ultimately require organisational savings in order to be sustainable. It is likely that implementation will be phased at least across the next financial year (beginning on 1 April 2023) in order for us to be able to begin to deliver the project outcomes and manage the cost. A concurrent project on Values and Behaviours is providing an opportunity for us to rebuild staff cohesion after the pandemic, and will underpin our approach to staff recruitment, development, performance management and reward.

Resource implications
45. This is a regular update report, there are no resource implications outlined.

Risk Management
46. Financial risks are highlighted in the report.

Responding to the Climate Emergency & Sustainable Development Goals
47. Several of the activities outlined do support a wide variety of the SDGs.

Equality & Diversity
48. Equality and Diversity considerations are implicitly included in this paper. EUSA represents the interests of a diversity of student groups and exists to maintain the equal representation of students and student groups.

Next steps/implications
49. There are no next steps to be taken as a result of this paper.

Consultation
50. Consultation on this paper was not required.

Further information
51. *Author & Presenter*
    Niamh Roberts
     President 22-23
     November 2022

Freedom of Information
52. Open paper

Democracy Regulations changes

As part of our strategic Democracy Review from 2015, and following a student referendum in March 2016, from 2017 the Students' Association introduced the 13 Activities Representative roles, with the aim of giving a voice to students involved in student groups, and introducing new voices to Student Council meetings.

Last year we took time to review the implementation of the full suite of changes introduced in our Democracy Review, and identified that this particular aspect would benefit from further change. Our Governance Subcommittee of the Trustee Board agreed alternative proposals should be developed and presented on this point. We highlighted the possibility of change to these roles when reporting on our 5-yearly constitutional review at University Court last year.

While many of our Activities Representatives have been engaged and impactful in their roles, recruitment has often been challenging and the Students' Association feels these roles are no longer meeting their intended purpose. The current Activities Representatives represent societies, but there is now a much wider range of student-led activity supported by the Students' Association.

Over Summer 2022, the Students' Association has undertaken a detailed review of the Activities Representative roles, and developed a proposal to replace them with two new roles:

- 4 Student Opportunities Representative roles, and
- 5 Campaign Representative roles.

The **4 Student Opportunities Representative roles** will each have a thematic remit focusing on an area of strategic development, including participation, wellbeing, promotion, and inclusion and accessibility; Student Opportunities Representatives would be responsible for engaging with all students who are active with the Student Opportunities area, including in societies, community volunteering, peer learning and support schemes, social enterprises, and global student activities).

The **5 Campaign Representative roles** will each have a thematic remit, focusing on an issue affecting University of Edinburgh students, dictated by the successful candidates' manifestos, and will campaign on that issue with the support of the Students' Association; 3 Campaign Representatives will be elected in the March Elections, and another 2 in October Elections each year, enabling first year and Postgraduate Taught students to stand.

We believe that these changes will greatly enhance the Students' Association's representation of students involved in student-led activity and the student community more broadly, enabling the Students' Association to better engage with and support student leaders, and respond to emerging issues impacting Edinburgh's 45,000 students.

Changes to our Democracy Regulations must be made through achieving a 2/3 majority at 2 successive meetings of Student Council, which is open to all students.

Our Association Executive were consulted on the proposals and agreed to present these for discussion and approval to the Student Council, in September and October, where they met the required thresholds for approval. The Governance Subcommittee of the Trustee Board has delegated authority for ratifying these changes internally, and it did this early in November. In addition, the University requires that changes to Student Democracy are subject to Court ratification, in line with the University's Ordinance on the Students' Representative Council and the Education Act 1994. We are seeking this at this meeting so that we may then make the new positions available in our March 2023 elections.

Our Democracy Regulations are available online in Section 4 of our Association Regulations [here](#)

The specific editing changes required are as follows:

a. In Section One:
    i. Remove "3.2.4 Activities Representatives", renumber the subsequent points, and insert "3.2.7 Campaign Representatives" and "3.2.8 Student Opportunities Representatives".

b. In Section Two:
    i. Remove "1.2.4 Activities Representatives (societies and volunteering)", renumber the subsequent points, and insert "1.2.5 Three Campaign Representatives" and "1.2.6 Four Student Opportunities Representatives".
    ii. Insert "1.5.1e Two Campaign Representatives".
    iii. Remove, "2.3.5 Only students who are current members of a society or volunteering group shall be eligible to stand in the election for the Activities Representatives", and renumber the subsequent points.

c. Replace all reference to "Activities Executive" with "Student Opportunities Executive"

UNIVERSITY COURT

5 December 2022

Edinburgh University Sports Union Report

Description of paper
1. This paper is to note developments at Edinburgh University Sports Union (EUSU) since the last Court meeting, providing updates on current work and strategic progress.

2. The Sports Union's activity and direction clearly contributes to the following aspects of Strategy 2030:
   i)   The undergraduate curriculum will support breadth and choice, preparing students, graduates and alumni to make a difference in whatever they do, wherever they do it.
   ii)   We will be leading Scotland's commitment to widening participation.
   iii) We will be a destination of choice, based on our clear "Edinburgh Offer". All of our staff and students will develop here, whether they are from Leith, Lisbon, Lahore or Lilongwe.
   iv)   We will have created opportunities for partners, friends, neighbours and supporters to co-create, engage with the world and amplify our impacts.
   v)   We will be on track to be a Carbon-Zero University by 2040.

Action requested/Recommendation
3. To note the report, recognising the wider benefit of sport and physical activity to the University community, and consider its contents as supporting other initiatives and projects designed to improve student satisfaction and enhancing the student experience.

Background and context
4. This paper outlines current activity and achievements of EUSU, alongside strategic developments for the future.

Discussion
Membership Trends
5. Now we are most of the way into the semester, we have been able to take stock of what our membership composition looks like. Our total membership across our 67 clubs is marginally down compared to this time last year, with a median change of -3 members. Overall sport at Edinburgh feels as busy as ever, with many clubs posting impressive increases such as Sailing, who have increased their membership number by 89%, and Squash who are up 79%. Our entries to British University and College Sport (BUCS) events are up in both team and individual events compared to last year, with more students committing to representing the university in competitions across all levels of sport.

6. The way students are engaging with the participation side of the Sports Union has changed, with many students opting to go for free or low cost options that don't require a membership (see points 7 and 12) instead of committing to join a club, which is possibly attributed to the current financial climate. Whilst many of our indoor

sports are operating at capacity due to hall space restrictions, we have identified several of the more mainstream clubs that have previously taken on more members and are working with them directly to try and engage more students for next semester. We are also planning additional events around the January Welcome to engage new and returning students across all our sports clubs and programmes.

Engaging International Students
7. After launching the Edinburgh University International Sports Club (ISC) in September, our engagement with International Students has gone from strength to strength. The club offers free sport sessions run by volunteers from our sports clubs, approximately once a week, targeted specifically at International Students. With help from University Communications and the ERASMUS Student Network, our Facebook group for the club has grown to over 300 members in less than 3 months. So far the club has had sessions in Ultimate Frisbee, Muay Thai, Korfball, Futsal, and session attendance has grown steadily over the course of the semester with around 30 attendees per session making the hall very busy. The club will be taking a trip to the Women's Hearts vs Hibs game on Saturday 27 November to introduce them to a local rivalry (and the growing sport of women's football).

8. The ISC sessions are funded using International Student participation special bid funding from the university. This has so far been our most successful project to engage International Students, primarily because it has a sustained impact by running regular events instead of one-off activity. This gives us a potential model to engage other underrepresented groups of students, such as postgraduates.

9. To keep students and staff staying in Edinburgh over the Festive Break active, we have organised a Festive 5s football tournament on 19 December, with entry fees going towards Volunteer Zambia.

Supporting our Athletes and Volunteers
10. We have introduced several initiatives this semester to showcase our incredible athletes and volunteers on a regular basis throughout the semester. We have livestreamed a different sport fixture every Wednesday to our YouTube channel, and have been awarding a 'Club of the Week' a feature on our social media based on performance, charity work, good sportsmanship, or anything else we see deserving of an award. This goes alongside our Coaching and Volunteering Academy Member of the Month, and our Movember special, Mo Member of the Month, for raising funds towards the Movember campaign to support Men's Mental Health, which our clubs and Intramural teams have been getting behind.

11. Our Coaching and Volunteering Academy is back in full swing and offering a mixture of in-person and online educational and upskilling opportunities for our coaches, staff and volunteers, with a particular focus on wellbeing and leadership. We also have new cohorts for both the Sports Union Volunteer and Leadership versions of the Edinburgh Award, giving club committee members the chance to focus on their personal development whilst in their roles. Our Inclusion committee is now up and running, and have recently reached over 1500 people on Instagram with their Rainbow Laces campaign. They are now working to highlight disabled people taking part in sport for the International Day of People with Disability which is 3rd December.

Edinburgh Winter Run: Sense of Belonging and Community

12. As part our work on participation and sense of belonging, the Edinburgh University staff and student contingent will be making a return to the Edinburgh Winter Run in Holyrood Park on 21 January. We are delighted with the enthusiasm shown by the University community - the 500 University of Edinburgh subsidised spaces (which included a University-branded t-shirt) sold out within 2 days of being released, and it is shaping up to be a great event to bring the University community together. We would like to thank the University staff who have supported us with this, particularly Lucy Evans, Professor Colm Harmon, and University Communications, without whom we would have not had this opportunity to place sport and physical activity at the forefront of the student and staff experience.

LimeCulture Report

13. In our last court report, we referenced a review into our procedures and culture around gender-based violence and sexual harassment that we had commissioned jointly with University Sport & Exercise. We have now received the report and recommendations, and are establishing two working groups with the focus of establishing clear policies aligned with the University, and the development of a robust training programme for staff and students. We are recognising the importance of the student voice in both groups, and involving colleagues from across the University and sector.

King's Buildings Campus

14. In collaboration with the Students' Association and Sport & Exercise Active Lives, we are working to try and increase the physical activity options for students and staff on King's Buildings campus. Currently the indoor facilities at the Students' Association's King's Buildings Fitness is closed, however we have identified opportunities for outdoor activity on campus. Active Lives have already started their Health Walks on the campus, and are looking to start Learn to Run programmes next semester. We are working with Estates to identify areas where we could place outdoor equipment (at the moment our preferred option is Table Tennis tables) and have applied for funding for this, with the aim of installing this in semester 2.

Athlete Recruitment

15. We have been reviewing admissions data, with regards to recruitment of top performance athletes. With grade requirements going up over the last two years, this has had a negative impact on our ability to successfully recruit these top athletes. Many of these athletes show strong academic potential by achieving impressive grades alongside training over 20 hours a week and competing at an international level, but are unlikely to achieve all A/A*s. Data on this will be shared with colleagues across the university in due course to look at any possible options to address this.

Planning Round, a Look Ahead

16. The current financial climate continues to be a challenge for students, and has also affected some of our core expenditure, with travel to BUCS competitions, insurance, and pitch hire all seeing significant increases. Travel in particular has been hit hard this year, with Arnold Clark bookings increasing in cost by almost 25%, and train strikes having an impact on the cost and availability of rail travel. We are

also reacting to trends in how students engage with sport, with a shift in preference towards low-cost and one off activity (for example Sport & Exercise Just Play, and the International Sports Club – ISC, see points 7,12,20). Alongside this, we are developing the Intramural programme next semester to offer cup/tournaments, with an opportunity for students who have engaged this year with ISC and one-off opportunities to enter for free.

17. In the last planning round we secured funding for a fixed-term Sport Activation Assistant to support our recreational sport programmes, an area where staff time is the most valuable asset. Our priorities for the next year will be to ensure our core offering is sufficiently funded in order to maximise the impact of staff time on participation and student development, and to maintain our top 4 position in BUCS.

Resource implications
18. This is a regular update report from the Sports Union; therefore, no resource implications are outlined.

Responding to the Climate Emergency & Sustainable Development Goals
SDG 3: Ensure healthy lives and promote well-being for all at all ages
By the very nature of the Sports Union, we work to promote healthy living and ensure our members are well. In particular, the Edinburgh Winter Run, physical activity at King's Buildings, and the International Sports Club promote this and reach a wide range of students and staff.

SDG 4: Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
By providing free personal development opportunities and workshops through the Coaching and Volunteering Academy, we upskill our coaches, volunteers, staff, and other students who engage in sport.

SDG 5: Achieve gender equality and empower all women and girls
By commissioning the LimeCulture report alongside Sport & Exercise, we seek to identify how we can become sector-leading in preventing gender-based and sexual violence within sport. This report also looks to address more subtle cultures that could

SDG 8: Promote inclusive and sustainable economic growth, employment and decent work for all
By closely monitoring trends in student engagement in sport and the current financial climate, we are able to adapt our activity to include more students whilst ensuring we have the financial means to continue to grow and develop our offering. By encouraging staff, students, and coaches to engage with our Coaching and Volunteering Academy (alongside other University programmes) we can increase their employability and improve their experience at work and in University.

SDG 10: Reduce inequality within and among countries
Our Inclusion Committee represents a variety of underrepresented groups, including LGBT+; Trans and Non-Binary; International Students; Disabled Students; Postgraduate Students; Ethnic Minorities; Women in Sport and Widening Access. Recent campaigns include the Rainbow Laces campaign, which reached over 1500

people on Instagram. Our International Sports Club actively seeks to increase participation in physical activity in International students, a group who traditionally have lower rates of engagement in sport at the University.

Equality & Diversity

19. Equality and Diversity considerations are implicitly included in this paper. EUSU are committed to offering opportunities to students regardless of their background, working alongside our Inclusion Committee to break down barriers to sport and physical activity for underrepresented groups. EUSU represents the interests of a diversity of student groups and must ensure we maintain the equal representation of students and student groups.

Next steps/implications

20. An implication of this paper which Court are asked to consider is the shift in how students are engaging with sport and physical activity in the current climate, and how as a Sports Union and University we can continue to support engagement in recreational sport and wellbeing opportunities in an affordable way, particularly looking ahead to next year.

21. We also continue to appreciate the high level support from the University on initiatives such as the Edinburgh Winter Run, and hope the University recognises the positive impact these can have on the University community by continuing to engage with projects such as this. The involvement of the Sports Union in University groups and discussions has helped maximise our impact on students, and we always appreciate the opportunity to be involved in conversations.

22. If any Court members would be interested in hearing more about the work of the Sports Union and meeting some of our incredible volunteers, please do not hesitate to get in touch on sports.president@ed.ac.uk.

Consultation

23. Consultation on this paper was not required.

Further information

24. *Author*
     Heather Gault
     Sports Union President
     November 2022

Freedom of Information

25. Open paper.

UNIVERSITY COURT

5 December 2022

Audit and Risk Committee Annual Report to Court

Description of paper
1. This paper addresses the requirement for the Audit and Risk Committee to provide an annual report to Court.

Action requested/Recommendation
2. To consider and note Audit and Risk Committee's Annual Report, to support approval of the financial statements.

Background and context
3. The terms of reference of Audit and Risk Committee include preparing and presenting to Court an annual report, in conjunction with the Annual Accounts, to provide assurances to Court covering the following areas:

- Membership of the Committee
- Annual Internal Auditor's Report
- Internal Audit Plan for subsequent year
- External Auditor's appointment and remuneration
- Comment on consideration of the Annual Reports and Accounts, External Auditor's opinion and Management Letter
- Statement on internal control environment
- Statement on fraud and irregularity
- Annual Report and Statement on economy, efficiency and effectiveness
- Annual Report of Risk Management Committee and Statement on risk management
- Statement on corporate governance arrangements
- Information Systems Annual Assurance Report'

Discussion
Membership of the Committee 2021/22
4. Membership of the Committee for 2021/22 was as follows:

David Law (Co-opted member of Court) Convener
Perdita Fraser (Co-opted member of Court)
Alastair Dunlop (Chancellor's Assessor)
Ruth Girardet (Co-opted member of Court)
Grant Macrae (External member)
Ross Millar (External member)

Throughout 2021/22, the Deputy Secretary Governance and Legal/Director of Legal Services was Secretary to the Committee and the clerking was provided by Court Services. Routinely in attendance at meetings of the Committee during 2021/22 were: the Principal, the Deputy Secretary Governance and Legal, the Vice-Principal Strategic Change and Governance/University Secretary, the Vice-Principal Corporate Services, the Director of Finance, the Deputy Director of Finance, the Head of

Internal Audit, the clerk to the Committee and representatives of the University's External Auditors PricewaterhouseCoopers (PwC).

From 1 August 2022, the membership of Audit and Risk Committee is:

David Law (Co-opted member of Court) Convener to 8 September 2022
Douglas Millican (Co-opted member of Court) Convener from 9 September 2022
Perdita Fraser (Co-opted member of Court)
Alastair Dunlop (Chancellor's Assessor)
Grant Macrae (External member)
Ross Millar (External member)

Paragraphs 5-14: Closed section

Resource implications
15. There are no resource implications associated with this paper. The Audit and Risk Committee is a central part of the University's governance arrangements and is comprised of voluntary members from the University Court or from professionals in the field: this will continue during 2022/23.

Risk Management
16. The University has a low appetite for risks in the areas of compliance and finance.

Responding to the Climate Emergency & Sustainable Development Goals
17. This paper does not contribute directly to the SDG goals as it is fulfilling a regulatory requirement.

Equality & Diversity
18. No major equality impacts have been identified.

Next steps/implications
19. This paper is part of the year-end report to Court for approval of the Annual Report and Accounts.

Consultation
20. The Audit and Risk Committee reviewed and approved this report at its meeting on 21 November 2022.

Further information
21. *Author*   *Presenter*
     Kirstie Graham   Douglas Millican
     Court Services   Convener, Audit & Risk Committee
     November 2022

Freedom of Information
22. Closed paper.

UNIVERSITY COURT

5 December 2022

Risk Management Post Year End Assurance Statement

Description of paper
1. This paper reports on Risk Management Post Year End Assurances in support of the Annual Report and Accounts 2021-22.

Action requested/Recommendation
2. To note the information presented.

Paragraphs 3-6: Closed section

Resource implications
7. There are no specific resource implications.

Risk Management
8. The University continues to manage the major risks as set out in the Strategic Risk Register and to monitor emerging issues.

Equality & Diversity
9. No specific Equality and Diversity issues are identified.

Next steps/implications
10. The paper provides assurances to Court as part of the process to enable it to sign off the Annual Report and Accounts 2021-22.

Consultation
11. Each College and Professional Services Group was contacted to obtain updates.

Further information
12. *Author*   *Presenter*
    Chris MacLean   Catherine Martin
    Risk Manager   Vice-Principal Corporate Services
    28 November 2022

Freedom of Information
13. Closed paper.

UNIVERSITY COURT

5 December 2022

Director of Finance's Report

Description of paper
Paragraph 1: Closed section

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

Action requested/Recommendation
3. To review and comment on the latest update. Court is also asked to approve, in accordance with the Delegated Authority Schedule, the award of the contract to Lloyds Bank (Cardnet) for Merchant Acquiring Services.

Background and context
4. The paper provides a regular update on finance related issues for Court.

Paragraphs 1-23: Closed section

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

Equality & Diversity
25. Specific issues of equality and diversity are not relevant to this paper as the content focusses primarily on financial strategy and/or financial project considerations.

Next steps/implications
26. We would welcome feedback as outlined in the discussion above.

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

Further information
28.   *Authors*   *Presenter*
        Rachael Robertson   Lee Hamill
        Deputy Director of Finance   Director of Finance

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

        22 November 2022

Freedom of Information
29. Closed paper.

UNIVERSITY COURT

5 December 2022

Annual Report and Accounts 2021-22

Description of paper
1. This paper presents the financial results for the University Group for the year ended 31 July 2022. The draft Annual Report and Accounts are attached as Appendix 1.

Action requested/Recommendation
2. To review the Annual Report and Accounts to 31 July 2022 with a view to its approval.

3. At its meeting on 21 November, Audit & Risk Committee recommended the approval of the draft Annual Report and Accounts by Court.

Background and context
4. The Annual Report and Accounts were presented to Audit & Risk Committee for comment on 21 November. PwC, the external auditors, presented the audit report to Audit & Risk Committee. This outlined key matters arising from the external audit of the Annual Report & Accounts for the year ended 31 July 2022 and any significant findings that PwC believed to be relevant to those charged with governance. PwC confirmed that they have issued an unqualified audit opinion.

Paragraphs 5-11: Closed section

Risk Management
12. A report, Understanding Our Risks, is included in the Annual Report and Accounts to 31 July 2022.

Responding to the Climate Emergency & Sustainable Development Goals
13. This Director of Finance and the Finance Team fully supports the outcomes of Strategy 2030 and the UN Sustainable Development Goals by working to secure the ongoing financial sustainability of the University. The University's approach to climate change is referenced in the 2021-22 Annual Report & Accounts. This is covered in Strategy 2030 through our commitment to Social and Civic Responsibility and via a number of individual case studies throughout the document.

Equality & Diversity
14. University funds are managed in accordance with its policies on equality and diversity. The Operational Review in the Annual Report and Accounts includes sections on social responsibility and sustainability and equality and widening participation.

Next steps/implications
15. The Annual Report and Accounts will be lodged with the Scottish Funding Council. A copy will be filed in due course, along with the annual return for 2021-22, with the Office of the Scottish Charity Regulator.

Consultation

16. The key reports have been drafted in consultation with stakeholders and the figures have been prepared and reviewed by our external auditors, PwC. The Annual Report and Accounts 2021-22 were presented to Policy & Resources Committee on 14 November 2022 and Audit & Risk Committee on 21 November 2022.

Further information

17. *Author*   *Presenter*
    Rachael Robertson   Lee Hamill
    Deputy Director of Finance   Director of Finance
    22 November 2022

Freedom of Information

18. Closed paper. The Annual Report and Accounts will be finalised, signed and then published in due course on the University's website.

THE UNIVERSITY *of* EDINBURGH

UNIVERSITY COURT

5 December 2022

**Letter of Representation – University of Edinburgh
Annual Report and Accounts 2021-22**

Description of paper
1. The draft letter of representation from PricewaterhouseCoopers LLP (PwC), in respect of the Annual Report and Accounts for the University Group for 2021-22.

Action requested/ Recommendation
2. To approve the letter of representation and its signing by the Principal and Senior Lay Member, noting the back to back Letter of Representation, provided by the Director of Finance to Court.

Background and context
3. The letter of representation will provide PwC with a written declaration that the Annual Report and Accounts are sufficient and appropriate and without omission of material facts.

Paragraphs 4-5: Closed section

Resource implications
6. There are no specific requests for resource in the paper.

Risk Management
7. A report, Understanding Our Risks, is included in the Annual Report and Accounts to 31 July 2022.

Equality & Diversity
8. University funds are managed in accordance with its policies on equality and diversity. The Operational Review in the Annual Report and Accounts includes sections on social responsibility and sustainability, equality and widening participation.

Next steps/implications
9. The University's letter of representation will be signed by the Principal and Senior Lay Member after the Court meeting. It will then be sent to PwC so that they have the assurances in place to allow them to sign the audit certificate for the University's Annual Report and Accounts for 2021-22.

Consultation
10. The letter of representation has been drafted by PwC and reviewed by the Audit & Risk Committee on 21 November 2022 who have recommended its approval by the Court.

Further information

11. *Author*   *Presenter*
     Rachael Robertson   Lee Hamill
     Deputy Director of Finance   Director of Finance
     22 November 2022

Freedom of Information

12. Closed paper. The letter is to be agreed by Court on 5 December 2022 for signature by the Principal and Senior Lay Member of Court. The Annual Report and Accounts will be finalised, signed and then published in due course on the University's website and the letter of representation will be also made available at that stage.

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

**United States Generally Accepted Accounting Principles (US GAAP)
Management Commentary and Financial Statements 2021/22**

Description of paper
1. The US GAAP Management Commentary and Financial Statements contain the financial results for the University Group for the financial year 2021/22 restated under US GAAP accounting rules.

Action requested/Recommendation
2.   To confirm approval of the US GAAP Management Commentary and Financial Statements to 31 July 2022, which are a restatement of the figures, and include an extract from the commentary, already reviewed in the Annual Report and Accounts to 31 July 2022 (Paper K2).

Background and context
3.   The US GAAP Management Commentary and Financial Statements were presented to Audit & Risk Committee for comment on 21 November 2022.

Paragraphs 4-6: Closed section

Risk Management
7.   A risk report is included in the US GAAP Management Commentary for 2021/22.

Equality & Diversity
8.   The University's commitment is detailed in the Social Responsibility and Sustainability section included in the US GAAP Management Commentary.

Next steps/implications
9.   The US GAAP Management Commentary and Financial Statements will be sent to the US Department of Education following approval by Court and PwC, in time to meet the US Department of Education deadline of 31 January 2023.

Consultation
10. The US GAAP Management Commentary and Financial Statements have been drafted in consultation with stakeholders and the figures have been prepared and reviewed by External Audit.

Further information
11. *Author*   *Presenter*
      Rachael Robertson   Lee Hamill
      Deputy Director of Finance   Director of Finance
      22 November 2022

Freedom of Information

12. Closed paper. The US GAAP Management Commentary and Financial Statements can be made available after submission to the US Department of Education.

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

Performance Measures to Support Strategy 2030: 2021-22 Year-end Report

Description of paper

1. This paper provides Court with an update on performance for our agreed Strategy 2030 Key Performance Indicators (KPIs), providing a year-end position on our agreed measures showing data on the direction of travel, alongside historical and benchmarking data, where available.

2. The Strategic Performance Framework (SPF) is an integral part of delivering on Strategy 2030, sitting alongside strategic change projects and staff engagement activities.

Paragraphs 3-23: Closed section

Consultation

24. To develop this set of Key Performance Indicators and prepare this progress report we have consulted across the University, and we will continue to engage as we refine the SPF measures, targets and milestones.

Further information

25. *Author*

Jennifer McGregor
Strategic Planning

Presenter

Rona Smith
Deputy Secretary and Director of
Strategic Planning and Insight

Freedom of Information

26. Closed paper.

UNIVERSITY COURT

5 December 2022

Size and Shape: Update

Description of paper

1. This paper provides an update on work to determine a framework for Size and Shape planning.

Paragraphs 2-17: Closed section

Further information

18. <u>*Author*</u>

Rona Smith, Deputy Secretary, Governance and Strategic Planning, on behalf of the Size and Shape Working Group

22 November 2022

<u>*Presenter*</u>

Rona Smith, Deputy Secretary, Governance and Strategic Planning

Freedom of Information

19. Closed paper – commercially confidential

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

Outcome Agreement 2022-23

Description of paper
1. This paper provides Court with a developed draft of the University's Outcome Agreement 2022-23 with the Scottish Funding Council (SFC).

2. The 2021-22 Outcome Agreement is framed by Strategy 2030, and therefore the actions in our Outcome Agreement are aligned with the aspirations articulated in Strategy 2030.

Action requested/Recommendation
3. To review and approve the University's Outcome Agreement and associated annexes to allow us to submit the suite of information required by the Scottish Funding Council. Court is asked to delegate authority to the Deputy Secretary and Director of Strategic Planning and Insight to make final amendments to the documents in light of discussion at Court and to submit these to SFC in December.

Background and context
4. Each year we are required to produce an Outcome Agreement between SFC and ourselves which captures, at a high level, contributions, impact and outcomes, and provides assurances on the use of allocated funding in academic year 2022-23.

5. On 3 October, SFC published guidance for the development of Outcome Agreements for Colleges and University for academic year 2022-23. Court is asked to note that the approach outlined by SFC for 2022-23 is broadly in line with the approach used in 2021-22, and hence can again be understood to be transitional.

Paragraphs 6-28: Closed section

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

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

Next steps/implications
31. Court is asked to agree the content of the Outcome Agreement and associated annexes and for the Deputy Secretary and Director of Strategic Planning and Insight

to make final amendments in light of discussions at Court for the final suite of information to be presented to SFC in December 2022.

Consultation

32. This paper and the accompanying documents have been reviewed by Rona Smith, Deputy Secretary and Director of Strategic Planning and Insight. Consultation for contributions to the Outcome Agreement and Self-evaluation Report from the wider University community have been crucial to allow us to produce this information in the timescale requested by SFC.

Further information

33.   *Author*   *Presenter*
        Jennifer McGregor   Rona Smith
        Strategic Planning   Deputy Secretary and Director of
        November 2022   Strategic Planning and Insight

Freedom of Information

34. Closed until publication of the Outcome Agreements by the Scottish Funding Council.
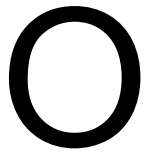
UNIVERSITY COURT

5 December 2022

Court Internal Effectiveness Review

Description of paper
1. This paper provides the internal review of Court's effectiveness for the 2021/22 academic year. This is part of our compliance with external requirements and general good governance practice.

Action requested/Recommendation
2. Court is invited to consider and approve the annual internal effectiveness review for 2021/22.

Background and context
3. The Scottish Code of Good Higher Education Governance ('the Governance Code') states that: 'the governing body is expected to review its own effectiveness each year and to undertake an externally facilitated evaluation of its own effectiveness and that of its committees, including size and composition of membership, at least every five years. As part of these processes or separately, the effectiveness of the academic board (also known as Senate, Senatus Academicus or academic council) is expected to be reviewed similarly.' It also adds that: 'Members' individual contributions are expected to be reviewed regularly, at a minimum every two years, through a standardised process with the active involvement of the member concerned.'

Discussion
Contents
4. The review consists of the following sections:
   1) Compliance with the Higher Education Governance (Scotland) Act 2016
   2) Compliance with the Scottish Code of Good Higher Education Governance
   3) Summary of annual discussions with Court members
   4) External effectiveness review
   5) Senate effectiveness reviews

Compliance with the Higher Education Governance (Scotland) Act 2016 ('the Governance Act')
5. Full compliance with the Act was achieved from August 2020 when the new compositions of Court and Senate came into effect. One additional change was made since then to reflect the new legislation – the updating of an Ordinance and a Resolution setting out the procedure for the removal of Court members and reflecting this in the Court's Standing Orders. This was completed in November 2021 when Court approved revisions to the Standing Orders and no further changes relating to Act have been sought since then.

Compliance with the Scottish Code of Good Higher Education Governance ('the Governance Code')
6. A review of compliance with the Governance Code over 2021/22 has been undertaken to provide assurance that the University has been compliant with the 7

high level principles and 83 underlying provisions in the Code. The Governance Code itself is being reviewed, having been considered by the Committee of Scottish Chairs and the Universities Scotland Secretaries Group, and an updated version is expected early in 2023. When this is published we will review compliance against the updated version and report to Nominations Committee and Court with an assessment.

Summary of annual discussions with Court members
7. The Senior Lay Member and University Secretary had individual discussions over the course of the summer with most Court members who have had a year or more of experience on Court.

8. These meetings were an opportunity for individual Court members to reflect on where they felt they were contributing most effectively; what challenges, if any, they had encountered; role; values; induction; understanding; where relevant, experience of Committees; relationships with senior team, staff, students and external stakeholders; individual interactions; and how Court is currently supported and run.

9. The following main points were made:
   - Positive appreciation of the return to in-person Court meetings, and appreciation of the flexibility of the Court Services team to pivot to hybrid meetings for smaller committees when required.
   - Positive feedback on the support provided by the Court Services team. The quality of the papers produced is excellent, with an emphasis on a desire for timely issue given the volume. It was suggested that further thought could be given to the length of papers and narrating past decisions in a succinct way.
   - Acknowledgement of the opportunities for the University that come from the changes in the senior team, recognising that this will take some time to bed in.
   - The informal one-off briefing sessions, Court seminars and update notes were all seen as very helpful. In particular the seminars/briefing sessions were seen as invaluable opportunities for Court members to have more in-depth discussions and greater engagement with each other and senior colleagues. The Director of Finance's briefings were particularly valued given the varied level of experience that Court members had in this area. It was felt important to ensure timely information flow on key issues.
   - Those members who provided feedback on the induction process were very positive about it, some comparing it favourably to induction processes at other institutions. It was noted that it is helpful to understand the experience of Court members to support collective decision-making.
   - It was recognised that, as charity trustees, Court members have legal obligations, as well as responsibilities relating to their roles on Court. It was suggested that at the start of each academic year Court members could be reminded of their roles and responsibilities as part of the welcome back following the summer break. Members should be clear that on joining Court they are signing up to a Code of Conduct they have to adhere to. This was covered within the Court Seminar held on 4 October 2022.
   - Awareness of what is happening at the University is important for Court members. Recognising that the number of events taking place across the campus, and online, is significant, it was felt that further thought could be given to appropriate communications.

- Court members expressed their appreciation for the members of University Executive who attend Court meetings. They were keen that these members are open about challenges within their business areas during meetings.
- To help build understanding of the student body, some members suggested an interest in hearing from a range of students on relevant topics, perhaps by attending student-led events. The session at the Court Seminar held on 4 October 2022 on sport, including presentations from student athletes and informal discussion over lunch, was an example of this.
- Court seminars were seen as a useful way of examining pertinent issues in closer detail. Members suggested topics for future seminars, for further consideration by the Senior Lay Member and the University Secretary.
- Some members encouraged continued consideration of the format and content of Court meetings.

10. Other, more individual comments, were:
- Giving Court members the opportunity to visit more "front-line" parts of the University could be valuable. This could take the form of visiting a School or a sports club or some of the student services.
- Improving Court awareness of the Carbon Zero by 2040 goals would help raise its importance more generally.
- Concerns about the process for some decisions taken outwith Court, which attract external scrutiny.
- Allowing some decisions to happen by correspondence has been good, such as the Andrew Grant Bequest.

External Effectiveness Review
11. David Newall, former Secretary to Court & Director of Administration at the University of Glasgow and current Chair of the Board of Management at Glasgow Clyde College, facilitated an external effectiveness review of Court in 2018/19. The report was approved by Court in February 2019 and is published in full on the University [website](). The overall position of the report states: 'In my view, the University's approach to governance is impressive. There are many areas of excellent practice, the relevant legal requirements are satisfactorily addressed, and the University complies with the guidance provided in the Governance Code.'

12. Court considered in November 2021 an update on actions following the review and this was further considered by Nominations Committee in January 2022, with a public update then published on the University website in February 2022 and available [here]().

13. A new external effectiveness review is due for the 2023/24 academic year and proposals to undertake this will be considered by Nominations Committee in the first instance and then submitted to Court to consideration.

Senate Internal Effectiveness Review – 2021/22
14. Under the Governance Code the University is required to carry out an annual internal review of Senate and its Committees which carry delegated responsibilities. At the 25 May 2022 meeting of Senate, Academic Services informed Senate of the plans for the annual internal review of Senate and its Committees. In summer 2022, Academic Services issued a short questionnaire to Senate members, and a short

questionnaire to Senate Standing Committee members. Responses to each of these surveys were collated and reviewed by Academic Services. A paper ([S 22/23 2 H](#)) outlining the feedback, analysis and proposed actions resulting from the Senate Internal Effectiveness Review was presented to the 12 October meeting. In this, Senate received a summary of comments, along with suggested actions intended to be proportionate to the scope of the annual internal effectiveness review, and the volume of feedback received. Senate also received a summary of responses received in relation to Senate Committees, for comment. Senate Committees will consider the results of the review at their next round of meetings (November-December), where proposed actions will be agreed. Any comments raised by Senate members will be fed into these discussions.

15. The internal effectiveness review was deliberately light touch, taking account of the forthcoming external effectiveness review to take place in 2022/23. A copy of the analysis received from members in relation to Senate will be made available to the external effectiveness review. This will highlight key issues for the review to consider. Academic Services will report to Senate at the first meeting of 2023/24 on progress against actions taken in response to the review.

Senate External Effectiveness Review – 2022/23
16. Under the Governance Code the University is also expected to undertake an externally facilitated review of Senate and its Committees at least every five years. The Code states that *externally facilitated reviews should be held following any period of exceptional change or upheaval (allowing suitable time to see the effects of changes made), the usual timetable for externally facilitated review being brought forward if necessary in these circumstances.*

17. The previous externally facilitated review of Senate and its Committees took place in 2018/19 with the next externally facilitated review due to be completed by 2023/24. Since the previous review, the composition of Senate membership was revised in line with the requirements of the Higher Education Governance (Scotland) Act 2016. The revised composition saw Senate move to a largely elected body, which was introduced in October 2019. The change in the composition of Senate has increased engagement of members with Senate processes. Whilst changes have been positively received, some members have expressed discontent with Senate processes and functions, including the composition of Senate Standing Committees. At its 25 May 2022 meeting Senate gave its unanimous support to bring forward the planned external review in 2023/24 by one year to 2022/23. This is intended to support reflection and provide opportunities for members to shape Senate business and operation thus addressing impairments.

18. At its 11 August 2022 meeting, Senate confirmed its support for the Terms of Reference and way forward. The University Secretary has engaged a standard tendering process, and this is expected to complete in November. An update will be provided to Senate members by email once available, to allow the externally facilitated review to advance prior to the next Ordinary meeting scheduled for 8 February 2023.

19. The externally facilitated review will be designed to ensure a breadth of inputs from a wide range of stakeholders, and will provide an opportunity to identify any

barriers to equality. The external reviewer is expected to produce a report, summary of findings and recommendations for presentation at the Senate meeting on 24 May 2023 and will be included in the routine Senate Report to Court following the May 2023 meeting.

Resource implications
20. There are no specific resource implications associated with this paper.

Risk Management
21. Best practice in governance arrangements, including an annual review of effectiveness, supports effective risk management.

Responding to the Climate Emergency & Sustainable Development Goals
22. This paper does not directly contribute in responding to the climate emergency or the Sustainable Development Goals but is fulfilling an external regulatory requirement.

Equality & Diversity
23. The effectiveness review includes consideration of compliance with the equality and diversity provisions in the Governance Code.

Next steps/implications
24. If approved, the paper will be published and any agreed actions followed-up.

Consultation
25. The paper has been reviewed by Leigh Chalmers, Vice-Principal & University Secretary.

Further information
26. *Authors*   *Presenter*
    Lewis Allan   Leigh Chalmers
    Head of Court Services   Vice-Principal & University Secretary

    Anda Nicolson
    Interim Projects Officer & Policy
    Adviser to the Vice-Principal and
    University Secretary

Freedom of Information
27. Open paper.

THE UNIVERSITY of EDINBURGH

UNIVERSITY COURT

5 December 2022

Donations and Legacies; Alumni Activities

Description of paper
1. A report on legacies and donations received by the University of Edinburgh Development Trust or directly by the University of Edinburgh from 10 September to 4 November 2022.

2. The paper also includes an update on current alumni relations activities.

3. All gifts contribute to different aspects of the University's goals under strategy 2030 and due diligence procedures ensure there is no conflict with the values summarised in the strategy.

Action requested/Recommendation
4. To note the legacies and donations received and the update on current alumni relations activities.

Background and context
5. This report sets out the legacies and donations received by the University of Edinburgh Development Trust or directly by the University of Edinburgh from 10 September to 4 November 2022.

Paragraph 6: Closed section

7. Upcoming global alumni events:

Mumbai, India St Andrews Day Reception hosted by Scottish Government at the Deputy High Commissioner's residence	December 2022
Washington DC, USA Alumni marching in the annual Alexandria Scottish Christmas Walk Parade	December 2022
Toronto, Canada Edinburgh University Club of Toronto Burns Event	January 2023
Mumbai, India University of Edinburgh Burns Supper Alumni Event	February 2023 tbc
New York, USA Scotland Week 2023 and the 25th Anniversary New York City Tartan Day Parade	April 2023
Haining, China Alumni event hosted by the University of Edinburgh-Zhejiang Alumni Association	Postponed due to Covid-19

Recent global events
8. A number of alumni events took place across the globe in October and November including in Paris, Lagos, Hong Kong, Mexico City, London, Bangkok, Jakarta, New York, Washington DC and Toronto.

Paragraphs 9-11: Closed section

Climate 75
12. To mark COP27, the University has created Climate 75 - a list of 75 alumni who are making an impact and contributing to positive change. A collaborative project between Development and Alumni and the Department for Social Responsibility and Sustainability, Climate 75 is a snapshot in time that explores different kinds of impact, action, and influence. Find out more and read the list in full at www.ed.ac.uk/c/climate-75

Sharing things, the podcast
13. The sixth season of the Sharing things podcast wrapped up in November with an episode featuring two of our alumni, Emily Aboud, a Trinidadian theatre director and Mechanical Engineering graduate, and Ed Patrick, a Edinburgh Medical School graduate, NHS doctor and comedian. This season features current students, class of 2022 graduates, alumni and staff. Recording took place in-person in Edinburgh and remotely, with guests calling in from as far afield as Massachusetts. You can listen to the current and earlier seasons here.

Student Engagement
14. Alumni volunteers have supported a number of important activities for current and prospective students this semester including a tailored employability session for the School of Mathematics and a series of 11 hybrid panel sessions for MSc students organised by the Business School Alumni Team, in collaboration with the School's Student Development Team.

15. This year's round of Student Experience Grants closed on 10 November. The Student Experience Grants, funded by alumni and friends, are one-off contributions of up to £5,000 to support innovative projects and initiatives that will enhance students' social, academic, entrepreneurial, sporting or cultural development. In advance of applications opening this year, the Alumni Engagement Team delivered an information session for students and staff to find out more about the scheme and application process.

Resource implications
16. There are no specific resource implications associated with this paper. The funds received will be appropriately managed in line with the donors' wishes.

Risk Management
17. There are policies and procedures in place to mitigate risks associated with funding activities including the procedure for the ethical screening of donations.

Responding to the Climate Emergency & Sustainable Development Goals
18. The preference of many donors to make a difference in the world through their support of our teaching and research ensures that a number of specific gifts tie in directly with the University's work across climate mitigation and the SDGs.

Equality & Diversity
19. There are no specific equality and diversity issues associated with the paper. Cognisance is however taken of the wishes of donors' to ensure these reflect the

University's approach to equality and diversity and that these comply with legal requirements.

Next steps/implications

20. The University is grateful for the support provided to enable it to continue to provide high quality learning and research.

Consultation

21. This paper has been reviewed and approved by Chris Cox, Vice-Principal Philanthropy & Advancement and Executive Director of Development & Alumni.

Further information

22. *Authors*

Gregor Hall, Finance Manager
Natalie Fergusson, Global Alumni Manager
Development & Alumni Office

Freedom of Information

23. Open version

UNIVERSITY COURT

5 December 2022

Resolution: Code of Student Conduct

Description of paper
1. This paper invites Court to approve a Resolution containing an updated Code of Student Conduct, following receipt of comments from Senate, General Council and any other interested party.

Action requested/Recommendation
2. To approve the proposed Resolution No. 117/2022: Code of Student Conduct.

Background and context
3. The Senatus Academicus ('Senate') has a formal responsibility to superintend student discipline at the University. The Code of Student Conduct provides the University's policy and procedure for handling allegations of misconduct against students of the University. Senate has delegated responsibility for the Code of Student Conduct to its Academic Policy and Regulations Committee (APRC). APRC has undertaken a periodic review of the Code of Student Conduct and approved amendments to the Code. The amendments are designed in particular to equip the Code to deal more appropriately with allegations of serious misconduct and are intended to make the process more robust for all parties involved.

4. The draft Resolution was presented to Court on 13 June 2022 (Paper V1). Comments from Senate, the General Council and other interested parties were then sought. The discussion in paragraphs 8-12 below notes and responds to comments received from Senate and the General Council.

5. Appendix 1 provides detailed information on the proposed changes. Appendix 2 is the final Resolution for approval with the full Code, marked up to show all proposed changes from the current Code, including proposed changes in response to the consultation with Senate and General Council.

Discussion
6. The key changes to the Code of Student Conduct, as proposed to Court in the draft Resolution on 13 June 2022, are as follows:
- Clarification that the Reporting Party in a case will be given the opportunity to respond to new evidence provided by the Respondent, where relevant;
- Where the Student Discipline Committee withdraws from a Respondent the right to cross-examine directly the Reporting Party (in order to safeguard the wellbeing of the Reporting Party), an amendment clarifies the arrangements for ensuring that the Respondent retains the right to challenge the evidence presented by the Reporting Party, in order to maintain a fair process;
- Clarification of the Reporting Party's right to complain about the way the discipline process has been conducted at the conclusion of the process;
- Clarification of the nature of the decision made by a Conduct Investigator when they refer a case to the Student Discipline Committee, in order to prevent confusion regarding the fact that it is the Student Discipline

Committee which makes the ultimate determination as to whether the allegations are proven;

- Extends the length of the notice period given to Respondents in advance of a hearing of the Student Discipline Committee to ten working days, in order to allow Respondents a more appropriate length of time to prepare for a hearing;
- Clarification that the Student Discipline Committee has discretion to decide which of the witnesses named by the Conduct Investigator should be invited to a hearing of the Committee;
- Establishes criteria for Respondents wishing to provide new evidence or bring forward new witnesses to the Student Discipline Committee, where such evidence or witnesses have not been presented or named during the Conduct Investigation process. This encourages more active engagement in the Conduct Investigation process by Respondents, and prevents the need for the Committee to have to carry out a frontline investigative process at the hearing, which imposes an unreasonable burden upon them;
- Adds provision for the Respondent to notify the Student Discipline Committee of any preliminary issues relating to a hearing five working days before the hearing. This will prevent procedural issues being raised on the day of the hearing, which can lead to adjournment, and cause delay for all parties;
- Extends the Student Discipline Committee's power to apply suspensions of specified privileges as a penalty to a student for up to the remainder of the student's studies (full suspension remains limited to one year). This may present the Committee with a reasonable alternative to permanent exclusion in some cases;
- Removes "requiring the Respondent to write an approved apology to any wronged party" from the range of penalties available to the Student Discipline Committee. This penalty is inappropriate in the kinds of serious cases considered by the Committee;
- Where the Student Discipline Committee upholds an allegation of misconduct against a Respondent who is on a programme which is subject to fitness to practise requirements, an amendment clarifies that the Committee will always refer the matter to the relevant Fitness to Practise Committee for consideration.

7. Comments from Senate and the General Council are discussed below under three headings:
- Comments on the revisions outlined in paragraph 6 above;
- Comments on the Code more broadly;
- Other minor or general comments.

Comments on the revisions outlined in paragraph 6 above
8. The General Council found the proposed key revisions to the Code largely sensible. Senate members suggested the following amendments in relation to the proposed revisions, and the draft Resolution has been updated to reflect these:
- Section 68: Penalties available to Student Discipline Officers. A Senate member suggested the option to require the Respondent to write an approved apology to a wronged party should be removed, on the basis that it has been proposed that this penalty option is removed for the Student Discipline Committee, and that it is not appropriate that the University compel a student

to apologise for something that do not admit to. This suggestion has been accepted, and approved by APRC via Convener's action.

- Section 81: A Senate member queried whether the reference to 'professional advice' was sufficiently clear on whether students could share information with University staff when seeking advice and support. This wording has been clarified to confirm that students may share information with University staff and the Students' Association, provided they agree to keep the information confidential. This change has been discussed with Legal Services, and approved by APRC via Convener's action.

Comments on the Code more broadly

9. The General Council recommended that once the revisions proposed in Resolution 117/2022 have been incorporated into the Code, there should be a further review of the entire Code.

10. Senate members representing the Students' Association were critical of the current process and called for further work to be undertaken to revise the Code of Student Conduct, particularly with a view to strengthening the University's action in relation to gender-based violence. They made practical suggestions for taking this work forward, including student focus groups and looking to practice in other institutions.

11. The currently proposed revisions are in response to feedback from students and staff, and are intended to make the process more robust for all parties involved. It is not recommended that approval of these revisions is delayed in order to allow more extensive review and revision of the Code and conduct process. However, further development work on the Code and conduct process will be considered, taking into account comments from Senate and General Council, and any review will include consultation with the Students' Association.

Other minor or general comments

12. Other comments received from Senate, and responses to these comments, are noted below:

- A question was raised about the relevant standard of proof. In response, it was confirmed that the balance of probabilities is the relevant and appropriate standard of proof.
- It was suggested that students should be free to make 'unfair and unjustified' criticisms of the University, in recognition of the educational goal of academic freedom and power disparities between students and the institution.
- Consideration of frontline resolution approaches and alternative justice frameworks was encouraged.
- Approaches to defining behaviour or speech as 'offensive' were queried. In response it was noted that the University's Academic Freedom and Freedom of Expression Statement is used as a reference point.
- Some suggestions for minor clarifications to wording.

Resource implications

13. APRC has considered in detail the resource implications associated with the proposed amendments to the Code of Student Conduct.

14. Further development of the Code and student conduct process would have resource implications.

Risk Management
15. APRC has considered in detail any risks associated with the amendments to the Code of Student Conduct, and regards the level of risk as acceptable.

Responding to the Climate Emergency & Sustainable Development Goals
16. N/A

Equality & Diversity
17. APRC has considered in detail the equality and diversity implications of the amendments to the Code of Student Conduct. These amendments have the potential to deliver a positive impact from an equality perspective.

Next steps/implications
18. If the Resolution is approved by Court, the revised Code and accompanying guidance will be published on the Academic Services website and publication of the Code will be communicated to Colleges, Support Services and the Students' Association by Academic Services.

Consultation
19. Academic Services have consulted widely on the amendments to the Code of Student Conduct among staff and the Students' Association. The University's Legal Services department have also provided legal advice on the amendments.

20. The draft Resolution has been consulted on with Senate, General Council and any other interested parties.

Further information
21. *Author*
     Dr Kathryn Nicol, Academic Services

Freedom of Information
22. Open paper.

Appendix 1

Proposals for amendments to the Code of Student Conduct, December 2022

	Subject matter	Section of Code	Amendment and rationale
A.	**Providing greater clarity around the role of the Reporting Party in the process**		A series of amendments and additions seek to provide Reporting Parties with more assurances around the extent to which the process will engage their input and that information will be shared with them as appropriate.
		51-55; 61; 67	*i) During the investigation* Sections 53 and 54 state that the Conduct Investigator will ask both the Respondent and Reporting Party to provide details of any witnesses whom they wish the Conduct Investigator to approach for evidence, and to bring forward any documentary evidence they feel is relevant to the allegations. Section 55 seeks particularly to ensure that Reporting Parties have the ability to respond to any challenge raised by the Respondent to their evidence, explaining that the Conduct Investigator will offer the Reporting Party the opportunity to comment on new evidence obtained during the course of the investigation, where it is appropriate to do so. The new section 61 confirms that the Conduct Investigator will notify the Reporting Party of their decision regarding any allegations which have been referred to a Student Discipline Officer or the Student Discipline Committee for disciplinary action to be considered, and where any allegations are not upheld. Section 67 adds confirmation that the Reporting Party will be informed, in the event that a Student Discipline Officer decides to refer a case to the Student Discipline Committee.
		81	*ii) Evidence brought to the Student Discipline Committee* The new section 81 complements section 55 by explaining, where the Respondent brings additional documentary evidence to the Student Discipline Committee, that the Committee will give the Reporting Party the opportunity to respond to this evidence, where it is reasonable to expect that they should have this opportunity. It is not possible to make a blanket commitment to provide to the Reporting Party all evidence supplied by the Respondent, since such evidence may

			be confidential to the Respondent, or to other witnesses, and there may also be no need (from an evidential perspective) for the Reporting Party to comment on such evidence. However, the principle must be that the Reporting Party is given enough information to respond to any evidence which, for example, calls into question their own evidence. The Code makes clear the requirement for the Reporting Party, like all other parties involved in the case, to avoid sharing such confidential information, except where this is necessary for the purposes of seeking professional advice. This will be emphasised by the Student Discipline Committee whenever such information is shared with the Reporting Party. Following feedback from Senate during the consultation period, the Code has been updated to provide further clarification of the persons with whom the Reporting Party may share confidential information provided to them by the Student Discipline Committee
		95	*iii) Asking questions of the Reporting Party and other witnesses at the hearing* At Student Discipline Committee hearings, the Committee can withdraw from the Respondent the right to cross-examine, or question directly, the Reporting Party, or other witnesses. This is the standard approach in cases relating to sexual and gender-based violence, where the Reporting Party and Respondent are also not normally present in the same (physical or virtual) space. However, it remains crucial to a fair process in all cases that the Respondent has the right to challenge any evidence against them put to the Committee. We have therefore amended section 95 to clarify that the Respondent or their representative can suggest questions for the Student Discipline Committee to put to the Reporting Party, or other witnesses (regardless of the nature of the allegations against the Respondent). The Committee will retain discretion not to refer these questions to the Reporting Party, or other witnesses, where it considers doing so would not be necessary to help them reach a decision in the case. Giving the Reporting Party the opportunity to respond to challenges raised to their evidence by the Respondent is consistent with the approach set out in sections 55 and 81, above. It remains incumbent upon the Committee, however, to put questions to the Reporting Party in a trauma-informed manner, and the Reporting Party would retain the right to decline to answer such questions.
		118	*iv) The right to complain about the process*

| | | | We have added clarification to section 118 to explain that the Reporting Party, at the conclusion of the process under the Code, has the right to make a complaint, if they feel that the process has not been followed appropriately. It remains the case that only the Respondent has the right to submit an appeal against penalty decisions taken under the Code, as they are the subject of the decision being taken.

In making this decision, we have had regard to advice from Legal Services that, in the context of regulatory decision-making and allegations of misconduct, and in particular in relation to complaints raised by students in the context of higher education, the courts have underlined the distinction between (i) the practice and procedures for the review and resolution of a wide range of student complaints under an independent scheme operated free of charge and largely as an inquisitorial process on a confidential basis (i.e., the Code) as against (ii) civil proceedings in a court of law which have been the product of rigorous adversarial judicial process and the application of legislation to proven facts and awarding legal remedies, such as damages (where a claimant would anticipate having the right to appeal against a decision of the court that they did not agree with).

Depending on the circumstances of the particular case, there may be alternate legal remedies set out in legislation and at common law which might allow a Reporting Party or complainer to take a legal challenge to any decision of the University to the lower courts or by way of judicial review in the Court of Session. However, it would not be appropriate to reference these in the Code as they exist independently of the Code and will be heavily fact-specific. |
| B. | **Clarifying the nature of the decision taken by the Conduct Investigator** | 60 | The previous wording of the Code stated that the Conduct Investigator, at the end of their investigation, can "conclude that the allegation (of misconduct) is proven". This has led to confusion when cases proceed to the Student Discipline Committee, since it is the Committee which makes the ultimate determination in those cases as to whether the allegation is proven, and in some cases this has led to an impression that the Student Discipline Committee is 'overturning' a previous conclusive finding upholding the allegations. The revised wording clarifies that the Conduct Investigator will refer the case where they have concluded that it is "more likely than not that the Respondent has breached the Code of Student Conduct". Conduct Investigators |

			will continue to refer less serious cases to a Student Discipline Officer, and serious cases to the Student Discipline Committee.
C.	**Notice period in advance of Student Discipline Committee hearings**	74	We are proposing to amend the period of notice given to Respondents in advance of Student Discipline Committee hearings from seven days to ten working days. The revised notice period allows Respondents a more appropriate length of time to prepare for the hearing, given the seriousness of the allegations brought before the Committee. Allowing a longer mandatory notice period will also reduce the likelihood of hearings being postponed, which can be administratively and psychologically challenging for the parties involved.
D.	**Calling of witnesses to the Student Discipline Committee**	76	Section 76 has been added to clarify the role of the Student Discipline Committee in deciding which witnesses named by the Conduct Investigator during the investigation should be invited to the hearing. Although it remains the case that the Committee cannot compel witnesses to attend a hearing, it may be necessary to invite some witnesses to the hearing in order to ensure that the Respondent has sufficient opportunity to challenge their evidence, especially where this evidence is controversial, and also to allow the Committee to question any such witnesses.
		96	Section 96 clarifies that the Student Discipline Committee can adjourn a hearing to request evidence from a witness who is not in attendance, where this evidence may be relevant to a decision they are making.
E.	**Arrangements for bringing forward new witnesses/evidence to the Student Discipline Committee; notification of procedural issues**	82-3	The Code currently offers Respondents in cases broad latitude to bring forward new witnesses or evidence to the Student Discipline Committee at a hearing, where they had not been named or presented during the conduct investigation stage. This can impose an unreasonable burden on the Committee by requiring them to carry out what is effectively a frontline investigative function on the day of the hearing. EUSA have also reported that this can leave Reporting Parties in cases feeling "ambushed" by the unexpected provision of new evidence at such a late stage in the process. While it remains necessary for procedural fairness to allow Respondents to bring forward new evidence in some circumstances, it is reasonable to place greater restriction around when this can happen to ensure that the Committee can properly discharge its function of reviewing evidence already presented and considered by the Conduct Investigator. The revised Code therefore

		84	encourages more active engagement by the Respondent in the conduct investigation stage by only admitting new witnesses or evidence at the hearing stage where there is a good reason the witness/evidence was not brought forward during the conduct investigation, and the witness/evidence is likely to provide information of relevance to the allegations. To ensure adequate preparation for hearings, the deadline for Respondents to provide the Committee with details of any witnesses to be brought forward, or new documentary evidence to be submitted, has been amended to five working days in advance of the hearing, as opposed to the current two working days. The new section 84 adds provision for the Respondent to notify the Committee five working days in advance of the hearing of any procedural or preliminary issues they would like to raise. This will serve to prevent situations where procedural issues are raised on the day of the hearing, imposing pressure to make decisions more quickly than is reasonable and sometimes leading to a temporary adjournment in order for the Committee to seek legal advice, which can be to the detriment of all parties involved in the hearing.
F.	**Suspension of specified privileges as a penalty**	101.3	We are proposing that the Student Discipline Committee's power to apply a suspension of specified privileges should not be limited to one year, except where they wish to apply a complete suspension from study. In some cases, it may be proportionate to suspend a student from accessing certain facilities for the remainder of their studies, rather than for an arbitrary period of one year or less. This may in some circumstances present the Committee with a reasonable alternative to applying a penalty of permanent exclusion to a student. Where a suspension of privileges is applied, this must not prevent a student from being able to engage with their studies at the University.
G.	**Requiring a written apology as a penalty**	101.8	We are proposing to remove "require the Respondent to write an approved apology to any wronged party" from the range of penalties available to the Student Discipline Committee, although it will be retained as a penalty for the Student Discipline Officer. Cases considered by the Student Discipline Committee relate to serious allegations, where requiring an apology is unlikely to be appropriate, and may lead to the University exposing the Respondent to unnecessary legal risk (for example where the apology may involve the admission of a criminal offence by the Respondent).

		68	Following feedback from Senate during the consultation period, "require the Respondent to write an approved apology to any wronged party" has also been removed from the range of penalties available to Student Discipline Officers (section 68).
H.	**Relationship with Fitness to Practise procedures**	106	Where the Student Discipline Committee finds that a student who is studying on a programme which is subject to fitness to practise requirements has breached the Code of Student Conduct, the Code currently allows the Committee discretion as to whether to refer the matter for consideration by the relevant Fitness to Practise Committee. We propose to amend the Code to state that, in these circumstances, the Student Discipline Committee will always refer the matter to the relevant Fitness to Practise Committee, and allow any Fitness to Practise process to conclude before the Student Discipline Committee reaches a decision on any penalty in the case. This is because it is not reasonable to expect the Student Discipline Committee to take an informed view on whether Fitness to Practise concerns may be raised by the misconduct, and this amendment ensures that these considerations will always be made by an appropriate Fitness to Practise panel.
I.	**Minor amendments**	Various	The following amendments are minor clarifications to ensure that the wording of the Code more accurately reflects existing practice: • 3: proceedings under the Code are not as formal as court proceedings; • 13.3: violent/offensive/indecent/threatening behaviour can include behaviour which takes place on social media; • 13.9: added clarification that failure to comply with a precautionary suspension applied under the Code may be treated as a potential breach of the Code; • 22.1.1; 41: Conduct Investigators will normally be drawn from Academic Services, and may also be external to the University; • 28: clarification added regarding the need to avoid conflict of interest; • 37: added clarification at the screening stage to note that, where allegations are received for investigation, they may be referred back for possible frontline resolution, where frontline resolution may be appropriate and has not yet been attempted; • 75: clarification added that hearings can be held with a mixture of physical and virtual attendees;

		• 80: the Conduct Investigator will be notified of the identities of any witnesses whom the Respondent intends to call to a hearing of the Student Discipline Committee, and provided with any new documentary evidence submitted by the Respondent; • 86: added clarification that the reference to "medical evidence of a student's fitness to study" relates specifically to the Respondent; • 92: members of the Student Discipline Committee have the right to question the Respondent or their representative directly; • 98: clarifies that the reasons for the Committee's decision must be given in writing to the Respondent; • 120: added clarification regarding where details of disciplinary penalties applied to individual students are held.

<u>UNIVERSITY OF EDINBURGH</u>

<u>Resolution of the University Court No. 117/2022</u>

<u>Code of Student Conduct</u>

At Edinburgh, the Fifth day of December, Two thousand and twenty two.

WHEREAS the University Court, on the recommendation of the Senatus Academicus, deems it expedient to amend the regulations governing student conduct:

THEREFORE the 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 4 of Part II of Schedule 2 to that Act, hereby resolves:

1.   The attached Code of Student Conduct shall become operative in the University of Edinburgh.

2.   On the date on which this Resolution comes into force, Resolution 7/2019 shall be repealed.

3.   This Resolution shall come into force with effect on 1 January 2023.

For and on behalf of the University Court

LEIGH CHALMERS

University Secretary

Code of Student Conduct

THE UNIVERSITY *of* EDINBURGH

Purpose of Policy

The primary purposes of the University are the advancement and application of knowledge and the education of its members; its central activities are teaching, learning and research. These purposes can be achieved only if the members of the University community have mutual trust and confidence and can live and work beside each other in conditions which permit freedom of thought and expression within a framework of respect for the rights of other persons. The University expects all students to conduct themselves in an appropriate manner in their day to day activities, including in their dealings with other students, staff and external organisations. Students are expected to comply with University policies and regulations. Where they do not comply with these requirements, and where they disrupt University activities, then the University will follow relevant procedures to resolve matters, including this Code of Student Conduct. Failure to comply with this Code will be treated as misconduct for the purposes of paragraph 12 below. The University aims to deal with all disciplinary issues in a fair and consistent manner. It recognises that, for the student and staff concerned, involvement in disciplinary procedures can be difficult and stressful. The University will therefore ensure that those involved are made aware of available guidance and support, and that disciplinary issues are dealt with as quickly as the specific circumstances allow.

Overview

The Code of Student Conduct states the University's expectations for student conduct; outlines examples of misconduct offences; and states how the University will handle such offences. It outlines specific responsibilities and actions for staff who investigate alleged offences and who apply disciplinary penalties. The Senatus Academicus (Senate) has responsibility for the Code of Student Conduct, which is governed by University Court resolution.

Scope

The Code of Student Conduct applies to all students of the University.

Contact Officer	Ailsa Taylor	Academic Services	ailsa.taylor@ed.ac.uk

Document control

Dates	Approved: 17.06.1905.12.22	Starts: 01.08.1916.01.23	Equality impact assessment: 14.06.19	Amendments:	Next Review: 2023/242025/26

Approving authority	Senate; CSPC APRC and the University Court for the associated resolution.

Consultation undertaken	The development of the Code was based on widespread consultation with the Discipline Committee, Authorised Officers, Standing Commission on Student Discipline, CSPC, EUSA, the University lawyers and those responsible for related procedures. Two senior judges commented as "critical friends". Benchmarking against other institutions. The University acknowledges, in particular, the relevant policies on student conduct and discipline of the Universities of Aberdeen, Glasgow and Sheffield. Academic Services have consulted widely on this version of the Code of Student Conduct amongst staff and the Students' Association. The University's Legal Services department have also provided legal advice on this version.

Section responsible for policy	Academic Services

Related policies, procedures, guidelines & regulations	The operation of the Code of Student Conduct relates to other student regulations and general policies in the University. These relationships are clarified in guidance which supports the Code of Student Conduct. www.ed.ac.uk/schools-departments/academic-services/staff/discipline/code-discipline

UK Quality Code	n/a

Policies superseded by this policy	This Code supersedes the General Statement on Student Discipline and Code of Student Discipline, covered by University Court Resolution 3/2009 23.2.09. This version of the Code of Student Conduct supersedes the 24.4.14 version. This version of the Code supersedes the 17.06.19 version.

Code of Student Conduct

Scope

1. The Code of Student Conduct applies to all students of the University. It applies to

    a. activities in which they engage in their capacity as students of the University; or

    b. services or facilities they enjoy by virtue of being a student of the University; or

    c. their presence in the vicinity of, or their access to, any premises owned, leased or managed by the University, the Edinburgh University Students' Association or the Edinburgh University Sports Union (EUSU); or

    d. any activity not covered by a), b) or c) above, which is considered to affect adversely the safety, interests or reputation of the University, its students, employees or authorised representatives, as outlined in this Code.

Basis of Jurisdiction

2. Under the Universities (Scotland) Acts all students of the University are subject to the jurisdiction of the Senate, for their studies and for their conduct. The Senate has primary responsibility for student discipline and recommends to the University Court the University's disciplinary procedure[1].

3. The processes set out in this Code of Student Conduct are internal processes and they do not have the same degree of formality as proceedings in a court of law. They are not adversarial in nature, but rather involve examination of available evidence as set out in this Code of Student Conduct. They task various members of the University community with responding to misconduct, including by investigating, determining and imposing penalties in respect of such misconduct.

3. 4. For students on programmes of study which are provided jointly between the University of Edinburgh and another institution, misconduct alleged to have been committed on the premises of either institution shall be dealt with under the relevant institution's discipline regulations. When the alleged misconduct is committed elsewhere, the University Secretary of the University and of the other institution, or their nominees, shall consult and decide whether the case shall proceed under the Code of Student Conduct of the University of Edinburgh or that of the other institution. Any alternative arrangements will be agreed in writing between the institutions.

Student Conduct

4. 5. The primary purposes of the University are the advancement and application of knowledge and the education of its members; its central activities are teaching, learning and research. These purposes can be achieved only if the members of the University community have mutual trust and confidence and can live and work beside each other in conditions which permit freedom of thought and expression within a framework of respect for the rights of other persons.

5. 6. All students of the University are required at all times to conduct themselves in an appropriate manner in their day to day activities, including in their dealings with other

---

[1] http://www.legislation.gov.uk/ukpga/1966/13

students, staff and external organisations. Students are required to comply with University policies and regulations.

6.7.   By matriculating, or by enrolling on any University course or programme, a student becomes a member of the University community and is subject to University discipline. The University may also take action under this Code when the individual concerned is no longer registered or enrolled at the University.

7.8.   Students' behaviour may be affected by some health conditions or disabilities. However, the University has a duty to ensure that members of the University community are not subjected to unacceptable behaviour and any allegations of inappropriate behaviour will be investigated. Where health conditions or disabilities may be a contributing factor, reports or evidence of these will be taken into account. Where student conduct is found to be unacceptable as a result of a health condition or disability, the University will endeavour to offer appropriate support to assist the student but may take action under the Code of Student Conduct.

University responsibilities

8.9.   The University aims to deal with all disciplinary issues in a fair and consistent manner. It recognises that, for the students and staff concerned, involvement in disciplinary procedures can be difficult and stressful. The University will therefore ensure that those involved are made aware of available guidance and support, and that disciplinary issues are dealt with as quickly as the specific circumstances allow.

9.10. Considering and using disciplinary action at an early stage can prevent more serious offences or issues arising. The University views the Code of Student Conduct and discipline procedures as a part of a welfare approach: misconduct may be the first indicator of underlying problems. The process can provide students with an opportunity for reflection and learning.

10.11. The University will:

10.1.1.11.1.1.   Make this Code and associated guidance material available to all students and staff www.ed.ac.uk/schools-departments/academic-services/staff/discipline/code-discipline

10.1.2.11.1.2.   Deal with student disciplinary issues in a proportionate and transparent way, as soon as issues become apparent

10.1.3.11.1.3.   Respect the need for confidentiality in relation to disciplinary issues

10.1.4.11.1.4.   Implement the Code of Student Conduct in line with all data protection legislation.

11.12. The Senate may devolve responsibility to relevant Senate committees, with appropriate student membership, for:

11.1.1.12.1.1.   Keeping the Code of Student Conduct under review, and proposing any amendments to the Senate and the University Court;

11.1.2.12.1.2.   Discussing, reviewing and approving appropriate student disciplinary procedures and guidance;

11.1.3.12.1.3.   Appointing members of the Student Discipline Committee and Student Discipline Officers (see paragraphs 2122 to 2728 for information about these roles; and

11.1.4.12.1.4.   Considering an Annual Report about the number, types and outcomes of cases of misconduct found to have been committed.

Misconduct Offences

12.13. Examples of student misconduct are provided below. This list is not exhaustive. The University may choose to investigate and take action on misconduct offences whether they take place on University, Edinburgh University Students' Association or EUSU premises or elsewhere, including online and in social media. Below, "Person", means any student of the University; any employee of the University; any visitor to the University; any subcontractor engaged by the University, or any other authorised representative of the University.

12.1.13.1.   Disrupting, or interfering with any academic, administrative, sporting, social or other University activities;

12.2.13.2.   Obstructing, or interfering with, the functions, duties or activities of any Person;

12.3.13.3.   Violent, indecent, disorderly, threatening or offensive behaviour or language towards any Person (whether expressed orally, in writing or electronically), (including via social media)), including sexual violence or abuse of any Person;

12.4.13.4.   Harassment of any Person whilst engaged in any University work, study or activity, including bullying and sexual harassment;

12.5.13.5.   Conduct which unjustifiably infringes freedom of thought or expression whilst on University premises or engaged in University work, study or activity;

12.6.13.6.   Fraud, deceit, falsification of documents, deception or dishonesty in relation to the University or its staff or in connection with holding any office in the University or in relation to being a student of the University;

12.7.13.7.   Behaving in a way likely to cause injury to any Person or to impair safety;

12.8.13.8.   Harassing, victimising or discriminating against any Person on grounds of age, disability, race, ethnic or national origin, religion or beliefs, sex, sexual orientation, gender identity, gender reassignment, pregnancy, maternity, marriage or civil partnership, colour or socio-economic background;

13.9. Failing to comply with any University rule, regulation or policy, including conditions issued under paragraph 45 of this Code of Student Conduct;

Code of Student Conduct

12.9 13.10.   Assessment offences, including making use of unfair means in any University assessment or assisting a student to make use of such unfair means;

12.10 13.11.   Misconduct in research;

12.11 13.12.   Damaging, defacing, stealing or misappropriating University property or the property of any Person, whether deliberately or recklessly;

12.12 13.13.   Misusing or making unauthorised use of University premises or items of property, including IT facilities or safety equipment;

12.13 13.14.   Deliberately doing, or failing to do, anything which thereby causes the University to be in breach of a statutory obligation;

12.14 13.15.   Behaving in a way which brings the University into disrepute (without prejudice to the right to fair and justified comment and criticism);

12.15 13.16.   Making false, frivolous, malicious or vexatious complaints;

12.16 13.17.   Failing, upon request, to disclose name and other relevant details to an officer or employee of the University in circumstances when it is reasonable to require that such information be given;

12.17 13.18.   Failing to comply with a previously-imposed penalty under this Code;

12.18 13.19.   Any misconduct prior to a student's enrolment at the University of Edinburgh which was not previously known to the University, which: raises questions about the fitness of the student to remain a member of the University community; suggests that the student poses a threat to any Person or the discipline and good order of the University; or raises questions about the student's fitness to be admitted to and to practise any particular profession to which the student's course or programme leads directly;

12.19 13.20.   Any other behaviour which: raises questions about the fitness of the student to remain a member of the University community; suggests that the student poses a threat to any Person or the discipline and good order of the University; or raises questions about the student's fitness to be admitted to and to practise any particular profession to which the student's course or programme leads directly.

13.14. Detailed regulations and policies are published separately about, for example, University examinations, libraries, the use of computing facilities, the use of automatically processed personal data (in connection with academic work), academic misconduct, fitness to practise in a particular profession and University managed accommodation. Breaches of any of these or other University regulations or policies which amount to misconduct as outlined above, may be dealt with under the Code of Student Conduct.

Misconduct and criminal proceedings

14.15. The University may report to the police any allegation that a criminal offence has been committed.

15.16. The University encourages any student who has been the victim of an alleged criminal offence to report this to the police, and, if relevant, to the University.

16.17. Where alleged misconduct constitutes a criminal offence, the University may investigate or take disciplinary action whether or not the matter has been referred to the police and whether or not criminal proceedings have begun or been completed.

17.18. The University may, at its discretion, suspend any internal investigation or disciplinary action on alleged criminal misconduct to await the outcome of any criminal proceedings. The decision whether or not to suspend the University's disciplinary process is taken collectively by the University Secretary or a Deputy Secretary or their nominee taking action with a designated Vice-Principal. The University Secretary or a Deputy Secretary or their nominee will inform the Secretary of the Student Discipline Committee of the decision to suspend an internal investigation or disciplinary action.

18.19. The University may investigate and take disciplinary action on alleged misconduct whatever the outcome of any external proceedings about the same matter and irrespective of whether external proceedings have been concluded.

19.20. Where a student is convicted of or cautioned or warned for an offence, this may be relied upon as evidence in any University proceedings provided that the circumstances leading to that conviction are relevant to those proceedings.

20.21. Any sentence or order pronounced by a court may be taken into account in the imposition of any disciplinary penalty.

Members of the University community involved in dealing with alleged misconduct cases

21.22. Members of the University community involved in dealing with alleged misconduct cases are:

    21.1.1.22.1.1. **Conduct Investigators**. Allegations of student misconduct are investigated by Conduct Investigators. Each School, Service, College and Support Group may have one or more Conduct Investigators, who are appointed by their respective College or Support Group.Conduct Investigators will generally be members of staff from Academic Services staff but may also be appointed from the relevant School, Support or Professional Services Group. External Conduct Investigators may also be appointed.

    21.1.2.22.1.2. **Student Discipline Officers** and **Student Discipline Committee.** University disciplinary action can be taken by Student Discipline Officers or by the Student Discipline Committee.

    21.1.3.22.1.3. **Secretary of the Discipline Committee**. The University Secretary appoints a number of administrative staff to have the role of Secretary to the Discipline Committee, to support the Student Discipline Committee. A lead Secretary of the Discipline Committee, with responsibility for the student disciplinary process, is appointed by the Director of Academic Services.

    21.1.4.22.1.4. **University Appeal Committee.** The University Appeal Committee deals with student appeals against a decision of a Student Discipline Officer or the Student

Discipline Committee. The grounds for appeal are specified in the University's Student Appeal Regulations.
www.ed.ac.uk/schools-departments/academic-services/staff/appeals/overview

22 23. The lead Secretary of the Student Discipline Committee maintains lists of current Conduct Investigators, Student Discipline Officers and members of the Student Discipline Committee, which are published on the University website.

23 24. The **Student Discipline Officers** are:

23.1.1 24.1.1. The Heads of the Colleges and Heads of Support Groups;

23.1.2 24.1.2. One or more members of the senior management in each College and Support Group, or their nominated representatives, to be appointed by the Curriculum and Student Progression Academic Policy and Regulations Committee on behalf of the Senate.

23.1.3 24.1.3. The University Secretary, Deputy Secretaries and College Registrars, and any deputies they nominate to act on their behalf.

23.1.4 24.1.4. Designated Vice-Principals.

24 25. The **Student Discipline Committee** consists of at least six members of staff of the University and at least six matriculated students of the University, who are appointed to the committee by the Curriculum and Student Progression Committee Academic Policy and Regulations Committee on behalf of the Senate. At least four of the staff members must be academics. The sabbatical officers of Edinburgh University Students' Association and current Student Discipline Officers are not eligible for membership of the Student Discipline Committee.

25 26. Student Discipline Committee members' period of office is three years. All members are eligible for re-appointment provided that no member serves for more than six years. The Curriculum and Student Progression Committee Academic Policy and Regulations Committee appoints the Convener and Vice-Convener from the staff members.

26 27. Meetings of the Student Discipline Committee must consist of not less than five members, including at least two staff members and at least two student members. All meetings must be attended by a **Secretary of the Student Discipline Committee**. The Convener, or in their absence the Vice-Convener, presides at all meetings, and has on all occasions both a deliberative and a casting vote.

27 28. No member of University staff involved in this procedure, and no student members appointed to the Student Discipline Committee, should have any conflict of interest in the matter, and should not take part if there is any reasonable perception of bias; and iIf a member of the Committee has been involved in a case at an earlier stage, they will not serve on the Committee when it considers that case.

Information regarding student cases

28.29. The University may share information provided by students, staff and other witnesses with people involved in the case, including the student under investigation, for transparency and to provide a fair process. This may be done at any stage of the process, paying due attention to confidentiality and data protection requirements (paragraph 10 above).

Reporting student misconduct allegations

29.30. With regard to reports of misconduct, these procedures distinguish between the following:

a) **Respondent**. This refers to the student who is alleged to have committed an act of misconduct under investigation via this Code.

b) **Reporting Party**. This is the individual (who may be a student, staff member, or member of the public) who has raised the allegation of misconduct against the Respondent.

Frontline resolution

30.31. Students and members of the public may report allegations of student misconduct to any member of staff. Where students or members of the public are aware of misconduct occurring in a Service or Support Group, they may refer it to a relevant point, for example the Student Information Point, or a helpdesk.

31.32. It is possible to resolve some misconduct allegations at an early stage. Staff who receive allegations may exercise their discretion on whether to seek to resolve matters locally, for example intervening to stop poor behaviour in University buildings. Where the staff member receiving the allegation considers localfrontline resolution is not possible or appropriate, they should advise the student that they can request an investigation.

Requesting an investigation

32.33. Staff may report allegations of student misconduct to their Head of School, Head of College or the Head of the relevant Service or Support Group (or their respective nominee). The relevant Head of School, Head of College, or the Head of the relevant Service or Support Group (or their respective nominee) will determine whether to pass the report to the University Secretary or a Deputy Secretary (or their nominee).

33.34. A student or a member of the public who wishes to request an investigation into an allegation of misconduct is encouraged to use the Complaint Handling Procedure:

http://www.ed.ac.uk/university-secretary-group/complaint-handling-procedure

34.35. Alternatively, students may wish to report allegations of student misconduct to their Student Support Team or Graduate School and request an investigation. The member of staff receiving the report will raise this with the University Secretary or a Deputy Secretary (or their nominee).

Screening of reports of alleged misconduct

35.36. On receipt of a report alleging misconduct, the University Secretary or a Deputy Secretary (or their nominee) will decide whether to initiate an investigation into the alleged misconduct.

37.   If the University Secretary or a Deputy Secretary (or their nominee) considers that the matter may be appropriately resolved under the frontline resolution process set out in paragraphs 31 and 32, and the matter has not already been considered under that process, they may refer that matter to frontline resolution rather than make a determination on initiating an investigation. Should frontline resolution fail to resolve the matter, the person who reported the allegation may subsequently request that the matter is re-considered for investigation under paragraph 36 above.

36.38. The University will initiate an investigation where:

   a) The report relates to an allegation which, if proven, could plausibly be regarded as a potential breach of the Code; and
   b) The information provided suggests that there is a realistic prospect that sufficient evidence will be available to determine whether or not the alleged incident has occurred.

37.39. Where the University Secretary or a Deputy Secretary (or their nominee) decides not to initiate an investigation, they will communicate the reasons for this to the Reporting Party.

Allocating the case to a Conduct Investigator

38.40. Where the University Secretary or a Deputy Secretary (or their nominee) decides to initiate an investigation, they will pass the report to a relevant Conduct Investigator and ask them to investigate the case.

39.41. The Conduct Investigator is usually a member of staff within Academic Services (but may also be a member of staff within the College in which the Respondent is a student, or of the relevant ServiceProfessional Services or Support Group., or be external to the University). Where there are multiple Respondents in a case who come from different Colleges or where the alleged misconduct applies to more than one area, the Heads of the relevant Colleges and/or Support Groups agree which Conduct Investigator should be asked to investigate the case.

40.42. The University Secretary or a Deputy Secretary (or their nominee) may appoint two Conduct Investigators in particularly complex cases. Where two Conduct Investigators are appointed, one will be designated as Lead Investigator. In the event that either Conduct Investigator is unable to conclude the investigation, the University Secretary or a Deputy Secretary (or their nominee) will determine whether to appoint another Conduct Investigator, or continue the investigation with the one remaining Conduct Investigator. Where two Conduct Investigators acting in a case are unable to agree a finding, the decision of the Lead Investigator is final.

Precautionary suspension

41.43. When initiating an investigation into an allegation of misconduct, the University will consider whether it is necessary to take any precautionary action to suspend the Respondent pending the conclusion of proceedings under this Code.

42.44. Suspension pending the conclusion of proceedings under this Code is not used as a penalty. The power to suspend is used to protect the members of the University community or a particular member or members, or members of the general public, or to ensure that a full

and proper investigation can be carried out. The power shall be used only where it is urgent and necessary to take such action. The University Secretary or Deputy Secretary (or their nominee) will record written reasons for the decision and send these to the Respondent.

43.45. In urgent situations, the University Secretary or a Deputy Secretary or their nominee, taking action with a designated Vice-Principal, may decide to immediately suspend a Respondent:

43.1.1.45.1.1. who is a danger to themselves or others; or

43.1.2.45.1.2. who is the subject of a misconduct allegation; or

43.1.3.45.1.3. against whom a criminal charge is pending; or

43.1.4.45.1.4. who is the subject of a police investigation.

The decision can be made at any stage of the University's student disciplinary process under this Code. This suspension may be a total or a selective restriction on attending the University or accessing its facilities or participating in University activities. It may also include a requirement that the Respondent should have no contact with named individuals.

44.46. Any Respondent suspended under the provisions of this section must be given an opportunity within five working days to make representations in person and/or through a member of the University community, including a member of Edinburgh University Students' Association staff, to the relevant University Secretary or Deputy Secretary (or their nominee) and the designated Vice-Principal. Where it is not possible for the Respondent to attend in person, they are entitled to make written representations.

45.47. Any decision to immediately suspend the Respondent is subject to review every twenty working days. Such a review will not involve a hearing or submissions made in person, but the student is entitled to submit written representations. Taking account of any written representations from the Respondent, and any other relevant factors, the University Secretary or Deputy Secretary or their nominee will decide whether it is reasonable and proportionate to retain the suspension, or to alter or remove it. The University Secretary or Deputy Secretary or their nominee will record their decision and inform the Respondent of the outcome in writing.

46.48. A decision to permit the Respondent's return following a period of suspension may be made subject to conditions. The University Secretary or Deputy Secretary or their nominee will provide the Respondent with information to support their reintroduction and any conditions which they need to meet.

Investigating student misconduct

49.   The Conduct Investigator will investigate the alleged misconduct, in accordance with this Code.

50.   As soon as practicable the Conduct Investigator will write to the Respondent to provide details of the alleged misconduct. The Conduct Investigator will give the Respondent the opportunity to respond to the allegations and will invite the Respondent to admit or deny responsibility.

51.   The Conduct Investigator will decide whether it is necessary to interview the Respondent and/or the Reporting Party (as applicable).

52.   At the Conduct Investigator's discretion, the investigation may also include interviews with the Reporting Party, members of staff and students of the University and, if necessary, members of the public. People may provide

53.   The Conduct Investigator will normally invite the Respondent and, separately, the Reporting Party (as applicable) to identify any persons from whom they would wish the Conduct Investigator to seek evidence to the . The Conduct Investigator has a discretion as to whether to seek evidence from persons identified to them.

54.   The Conduct Investigator will also normally invite the Respondent and the Reporting Party (as applicable) to submit any documentary evidence to them which they would wish the Conduct Investigator to consider.

47.55. Evidence may be taken by the Conduct Investigator in writing in addition to, or instead of, attending an by interview. The Conduct Investigator may decide to interview or request evidence in writing from any individual on more than one occasion, where this supports their the investigation. This may include speaking on more than one occasion with the Respondent and/or Reporting Party should the Conduct Investigator consider it is appropriate for them to comment on any new evidence obtained in the course of the Conduct Investigator's investigation.

48.1. As soon as practicable the Conduct Investigator will write to the Respondent to provide details of the alleged misconduct and, if appropriate, of the requirement to attend for interview. The Conduct Investigator will give the Respondent the opportunity to respond to the allegations and will invite the Respondent to admit or deny responsibility.

49.56. The Respondent is encouraged to contact Edinburgh University Students' Association, or the Secretary to the Student Discipline Committee for advice about the student discipline procedure.

50.57. Any person attending an interview as part of an investigation has the right to be accompanied and/or represented at any interview by a member of the University community, including a member of Edinburgh University Students' Association staff. A person attending an interview may in addition be accompanied by a specialist provider of health or wellbeing support with the agreement of the Conduct Investigator. The Conduct Investigator has the right to question the person directly, where necessary. Those accompanying or representing the person being interviewed will be given the opportunity to contribute at the Conduct Investigator's invitation. The Conduct Investigator invites the person being interviewed, or any representative, to make a statement. The Conduct Investigator may be assisted by a note-taker who will take a record of the meeting.

51.58. If the Respondent does not appear on the date appointed for their interview and the Conduct Investigator is satisfied that they have been given due notice to appear, the Investigator may deal with the alleged misconduct in their absence. However, the Investigator may not draw any adverse inference from the Respondent's failure to appear.

52.59. If the Respondent admits responsibility or if the Conduct Investigator is satisfied that the allegations are ~~well-founded~~proven and constitute a breach of the Code of Student Conduct then disciplinary action may be taken.

53.60. After investigation, the Conduct Investigator decides whether the alleged misconduct has occurred, and whether it constitutes a breach of the Code of Student Conduct. The Conduct Investigator writes a report setting out the case and their decision on the alleged misconduct. The length and detail in the report is appropriate to the nature or gravity of the case. The Investigator may:

53.1.1.60.1.1.   Dismiss the allegation of misconduct, in which case the Conduct Investigator writes to the Respondent to confirm this and sends the Respondent a copy of the report; or

60.1.2.   Conclude ~~that~~ in relation to the allegation of misconduct that it is ~~proven,~~more likely than not that the Respondent has breached the Code of Student Conduct and:

(i) where the Conduct Investigator assesses that the allegation relates to less serious misconduct, pass the report to a Student Discipline Officer for any disciplinary action to be ~~taken~~considered; or

~~Conclude~~(ii) where the Conduct Investigator assesses that the allegation ~~of~~relates to serious misconduct ~~is proven, and~~. pass the report to the Secretary to the Student Discipline Committee ~~for~~in order that the Student Discipline Committee can determine whether the alleged misconduct occurred and constituted a breach of the Code of Student Conduct and, if so, take any disciplinary action ~~to be taken~~.

61.   The Conduct Investigator will notify the Reporting Party of the decision they have reached under paragraph 60 after that decision has been communicated to the Respondent

Disciplinary action: Student Discipline Officers

54.62. The Student Discipline Officer receives the report of the case from the Conduct Investigator and sends the Respondent the Conduct Investigator's report. The Student Discipline Officer does not reinvestigate the case.

55.63. The Student Discipline Officer decides whether to take disciplinary action, and if so, what penalty to apply.

56.64. The Student Discipline Officer may decide to take disciplinary action without meeting the Respondent. Alternatively, the Student Discipline Officer may invite the Respondent to attend a meeting. The Respondent has the right to be accompanied and/or represented at the interview by a member of the University community, including a member of Edinburgh University Students' Association staff. The Respondent may in addition be accompanied by a specialist provider of health or wellbeing support with the agreement of the Student Discipline Officer. The Student Discipline Officer has the right to question the Respondent directly, where necessary. Those accompanying or representing the Respondent will be given the opportunity to contribute at the Student Discipline Officer's invitation. The Student Discipline Officer will be assisted by a note-taker who will take a record of the meeting.

57.65. The Student Discipline Officer will invite the Respondent, or any representative, to make a statement in explanation or extenuation of the misconduct or in mitigation of any possible penalty.

58.66. If the Respondent does not appear on the date appointed for the meeting and the Student Discipline Officer is satisfied that they have been given due notice to appear, the Officer may deal with the alleged misconduct and impose a penalty in the Respondent's absence. However, the Student Discipline Officer may not draw any adverse inference from the Respondent's failure to appear.

59.67. The Student Discipline Officer may (notwithstanding that a matter has been referred to them under paragraph 60.1.2 (i)) decide that due to the nature or gravity of the case it is more appropriate for the Student Discipline Committee to take disciplinary action. They will discuss this with the Secretary to the Discipline Committee and, if this is agreed, will refer the case to the Student Discipline Committee for a hearing and will inform the Respondent. In this situation the Student Discipline Officer takes no disciplinary action. The Reporting Party shall also be notified that the matter has been referred to the Student Discipline Committee, but only after the Respondent has been so notified.

60.68. Student Discipline Officers may impose penalties in line with those established by the relevant Senate committee. In deciding what penalties will apply, the Student Discipline Officer will consider the Respondent's disciplinary record. The penalties are some or all of:

60.1.1.68.1.1. a fine;

60.1.2.68.1.2. a reprimand;

60.1.3.68.1.3. suspension of specified privileges for a specified period that does not exceed three months (this may include suspension from the University Library, computing facilities, particular premises, placements);

60.1.4.68.1.4. require the Respondent to make good in whole or in part, the cost of any damage caused;

60.1.5.68.1.5. rescind the result of an assessment or examination diet, for academic misconduct offences;

60.1.6.68.1.6. impose an academic penalty in the case of an academic offence;

60.1.7.68.1.7. terminate the occupancy of University managed accommodation by any resident on giving a month's notice in writing. In the case of gross misconduct or misdemeanour, the Student Discipline Officer may order the termination of occupancy within 24 hours;

require the Respondent to write an approved apology to any wronged party;

60.1.8.68.1.8. place the Respondent "on probation" for a specified period not exceeding three months with relevant stated conditions (e.g. the requirement to attend specified training, which may be provided by the University).

61.69. If the Student Discipline Officer places the Respondent on probation, they will provide the Respondent with a statement outlining the conditions and length of their probation, and assign them to a key contact within the University, who will monitor their compliance with these conditions during the period of probation.

62.70. The Student Discipline Officer will inform the Respondent of the penalty decision within three working days of the decision and will remind them of their right of appeal (see paragraphs 95-99112-116).

63.71. The Student Discipline Officer will send a record of the offence and the penalty to the Secretary of the Student Discipline Committee. Any assessment penalty under paragraph 6068 is reported to the relevant Boards of Examiners.

Disciplinary action: Student Discipline Committee

Arrangements for Student Discipline Committee hearings

64.72. The Student Discipline Committee receives cases from Conduct Investigators under paragraph 60.1.1 (ii) and Student Discipline Officers under paragraph 67. The Secretary of the Student Discipline Committee must agree that the nature or gravity of the case justifies action by the Student Discipline Committee.

65.73. The Conduct Investigator provides the Student Discipline Committee with a report on the case, which includes copies of any documents referred to in, or pertinent to, the case. The Conduct Investigator also provides the Student Discipline Committee with the names and contact details of witnesses who may be called in support of the alleged misconduct.

66.74. The Secretary of the Student Discipline Committee writes to the Respondent, providing at least seventen working days' notice, requiring them to appear at a hearing before the Student Discipline Committee at a specified time and place. At the same time, the Secretary to the Student Discipline Committee sends the Respondent a copy of the Conduct Investigator's report, and a list of the witnesses that the Conduct Investigator plans to call to the hearing. Contact details of witnesses are not sent to the Respondent.

67.75. The Student Discipline Committee may hold physical hearings or virtual hearings (or a mix of both). The Convener and Secretary of the Student Discipline Committee will make a decision about the nature of hearings with due consideration of fairness, accessibility and the ability of all involved to participate fully. Where the Respondent waives the right to a hearing, the Student Discipline Committee may decide a case based on written representations without holding a hearing.

76.   Following receipt of the report provided by the Conduct Investigator, the Convenor of the Student Discipline Committee will determine which, if any, of the witnesses identified by the Conduct Investigator as persons who may be called in support of the alleged misconduct, ought to be invited to attend the hearing. Where the Student Discipline Committee decides to invite witnesses named by the Conduct Investigator, the Secretary to the Student Discipline Committee will contact those witnesses to invite them to attend the hearing.

68.77. If the Respondent wishes to admit the alleged misconduct in advance of the hearing, they may do so in writing to the Secretary of the Student Discipline Committee. They may then be required to appear before the Committee for the imposition of a penalty.

69.78. The Respondent may request a postponement of the hearing where they are unable to attend for good reason. Where possible, the Respondent should make their request for postponement at least one working day in advance of the hearing, providing their reasons and any relevant evidence to support their request. The Convener of the Student Discipline Committee will decide whether to postpone the hearing, taking account of the following factors:

i)   Whether there is evidence that the Respondent will be unavoidably unable to participate appropriately in the hearing on the appointed date due to ill health, lack of availability, or some other reason;

ii)   The likelihood that the Respondent will be able to participate appropriately in a hearing on a subsequent date; and

iii)   Whether it is likely to be possible to reschedule the hearing for a time at which the Respondent, the members of the Student Discipline Committee, the Conduct Investigator, and all witnesses (including the Reporting Party, where relevant) would be able to attend.

70.79. The Respondent may call witnesses to attend the hearing and, if intending to do so, must inform the Secretary of the Student Discipline Committee, at least two5 working days in advance of the hearing, of the names and contact details of their witnesses. The Respondent must also submit any documents which they wish to present to the Student Discipline Committee at least two5 working days in advance of the hearing.

80.   The identities of any witnesses whom the Respondent intends to call, and copies of any documents submitted by the Respondent will be shared with the Conduct Investigator.

Documents submitted by the Respondent will not be shared with the Reporting Party. However, where the Student Discipline Committee considers that the Respondent has provided evidence which it considers the Reporting Party should have the opportunity to respond to, or they wish to question the Reporting Party about such evidence, they will provide as much information as is reasonably required in order to facilitate this. Any evidence provided to the Reporting Party under this paragraph 81 is provided on a strictly confidential basis and the Reporting Party must not share it with any third party (other than for the purposes of seeking professional advice or as may be required by law). (other than for the purposes of: (i) seeking professional advice; (ii) seeking advice or support from members of University staff or the Students Association, provided they agree to keep the information confidential; or (iii) as may be required by law).

81.

71.82. Where the Respondent seeks to call a witness to attend the hearing who was not identified by them to the Conduct Investigator as a person from whom the Respondent would wish the Conduct Investigator to seek evidence pursuant to paragraph 53, that witness will not be permitted to attend the hearing, or to submit evidence to the Student Discipline Committee unless the Student Discipline Committee is satisfied that:

(i)   the Respondent could not reasonably have been expected to identify that person to the Conduct Investigator during the Conduct Investigator's investigation as a person who could provide potentially relevant evidence; and

(ii)   the evidence which the witness can be expected to provide is relevant to the issues to be considered by the Student Discipline Committee.

83.   Where the Respondent seeks to submit documentary evidence to the Student Discipline Committee which they did not submit to the Conduct Investigator pursuant to paragraph 54 ;

that documentary evidence will not be accepted or considered by the Student Discipline Committee unless the Student Discipline Committee is satisfied that:

(i)   the Respondent could not reasonably have been expected to submit that documentary evidence to the Conduct Investigator during the Conduct Investigator's investigation; and

(ii)   the documentary evidence is potentially relevant to the issues to be considered by the Student Discipline Committee.

84.   The Respondent must give at least 5 working days' written notice to the Secretary of the Student Discipline Committee of any procedural or preliminary issue (e.g. any issues relating to the procedure to be followed at the Student Discipline Committee) they wish to raise before the Student Discipline Committee.

72.85.   The Student Discipline Committee may extend the time for intimating names of witnesses or submitting documents, and may adjourn, continue, or postpone a hearing at its discretion.

73.86.   The Student Discipline Committee may request additional information, for example medical evidence of a student'sthe Respondent's fitness to study.

74.87.   The Respondent, the Reporting Party, or any witnesses (where they are in attendance) may be accompanied and/or represented at the hearing by another member of the University community, including a member of Edinburgh University Students' Association staff. The Respondent, the Reporting Party, or any witnesses (where they are in attendance) may in addition be accompanied by a specialist provider of health or wellbeing support with the agreement of the Convener of the Student Discipline Committee.

75.88.   The Convener of the Student Discipline Committee may agree to make special arrangements to allow witnesses to give evidence to the Committee from a separate location, e.g. via video link. Any evidence provided to the Committee via special arrangements will also be made available to the Respondent.

Student Discipline Committee: Procedure at hearings

76.89.   The Respondent (and any person accompanying or representing them) is entitled to attend for the duration of the hearing, except where the Convener of the Student Discipline Committee asks the Respondent to withdraw while the Committee deliberates. The Convener will invite any witnesses called, including the Reporting Party (where they are in attendance), to attend part of the meeting in order to give evidence, but they will not normally attend the duration of the hearing.

77.90.   The Convener of the Student Discipline Committee will open the hearing by outlining the procedure at the hearing. The Convener will then read out the allegation(s) against the Respondent and will invite them to state whether they admit or deny the charges.

78.91. If the Respondent does not admit the alleged misconduct, the case against them will be presented by the Conduct Investigator at the hearing. The Respondent, and the members of the Student Discipline Committee have the right to question the Conduct Investigator, where necessary. The Convener of the Student Discipline Committee will invite any witnesses named by the Conduct Investigator (including the Reporting Party, where they are in attendance) to comment on the allegation of misconduct.

79.92. The Convener of the Student Discipline Committee will then invite the Respondent (or their representative) to present their evidence. The Convener of the Student Discipline Committee will invite any witnesses named by the Respondent to comment on the allegation of misconduct. The members of the Student Discipline Committee have the right to question the Respondent and/or their representative directly, where necessary.

93. The members of the Student Discipline Committee and the Respondent and/or their representative may examine, cross-examine, and re-examine witnesses.

94. The Convener of the Student Discipline Committee may withdraw from the Respondent or their representative the right to examine, cross-examine, and re-examine certain witnesses, where it is reasonable and proportionate in the circumstances of the case. In cases relating to allegations of sexual misconduct, the Respondent or their representative will not normally be permitted to cross-examine the Reporting Party.

80.95. Where the Convener of the Student Discipline Committee withdraws from the Respondent or their representative the right to cross-examine a witness or witnesses (including the Reporting Party), the Convener will make alternative arrangements in order to allow the Respondent or their representative to challenge the evidence presented by the witnesses. The members of the Student Discipline Committee also have the right to question the Respondent and/or their representative directly, where necessary. This can include, but is not limited to, inviting the Respondent or their representative to suggest questions that the Student Discipline Committee should put to a witness or witnesses (including the Reporting Party). The Student Discipline Committee, subject to its obligation to ensure the hearing is fair, retains a discretion not to put such questions as suggested by the Respondent or their representative, if it considers them unnecessary in deciding the issues before it.

96. Where, the Student Discipline Committee considers that it wishes to hear from a witness who has not attended the hearing, the Student Discipline Committee may adjourn the hearing in order that that witness can be invited to attend, or to submit evidence.

81.97. The Conduct Investigator and the Respondent or their representative may make a final address, the Respondent or their representative having the last word.

82.98. The Conduct Investigator, the Respondent and any person accompanying or representing them, and any witnesses withdraw while the Committee considers its decision. The Committee's role is to decide whether the alleged misconduct has occurred, and whether it constitutes a breach of the Code of Student Conduct. The Secretary of the Student Discipline Committee records the Committee's decision and its reasons for reaching this decision. Those reasons must be provided in writing to the Respondent.

83.99. If the Committee decides that the alleged misconduct is proved, the Respondent, or any representative, is invited to make a statement in explanation or extenuation of the misconduct or in mitigation of any possible penalty, before a penalty is imposed.

84.100.	If the Respondent does not appear at the hearing on the date appointed and the Student Discipline Committee is satisfied that they have received due notice to appear, the Committee may deal with the alleged misconduct and, if it is found to be proved, impose a penalty in the Respondent's absence. However, the Student Discipline Committee may not draw any adverse inference from the Respondent's failure to appear.

Student Discipline Committee: Penalties

85.101.	The Student Discipline Committee may impose penalties in line with those established by the relevant Senate committee. Penalties may be imposed on a "deferred" basis. In deciding what penalties will apply, the Student Discipline Committee will consider the Respondent's disciplinary record. The penalties are some or all of:

85.1.1.101.1.1. a fine;

85.1.2.101.1.2. a reprimand;

85.1.3.101.1.3. suspension of specified privileges for a specified period ~~that does not exceed one year~~ (this may include suspension from the University Library, computing facilities, particular premises, placements; a bar on registering, matriculating, or graduating; or, for a period of no longer than one year, a complete suspension from study, research and attendance at the University) – see paragraphs ~~85~~102 and ~~86~~103;

85.1.4.101.1.4. require the Respondent to make good in whole or in part, the cost of any damage caused;

85.1.5.101.1.5. rescind the result of an assessment or examination diet or diets, for academic misconduct offences;

85.1.6.101.1.6. impose an academic penalty in the case of an academic offence;

85.1.7.101.1.7. terminate the occupancy of University managed accommodation by any resident on giving a month's notice in writing. In the case of gross misconduct or misdemeanour, the Student Discipline Committee may order the termination of occupancy within 24 hours;

85.1.8. ~~require the Respondent to write an approved apology to any wronged party;~~

85.1.9.101.1.8. in relation to research misconduct in a research degree, the Respondent may be deemed to have failed the degree where the misconduct applies and/or will not be permitted to submit work for this or any other research degree of the University;

85.1.10.101.1.9. place the Respondent "on probation" for a specified period with relevant stated conditions (e.g. the requirement to attend specified training, which may be provided by the University);

85.1.11.101.1.10.	immediate permanent exclusion from the University with no eligibility for re-admittance to the University on any course or degree programme.

86.102.	Where the Student Discipline Committee imposes a suspension of specified privileges or a complete suspension, it may require the Respondent to meet specified

conditions before the University ends the suspension. For example, in the event that medical circumstances formed part of the evidence of the case, the Student Discipline Committee may make it a condition of ending the suspension that the Respondent provide medical information confirming that they are fit to return to study. The Student Discipline Committee which imposes the suspension decides who (e.g. the University Secretary; a Deputy Secretary and a designated Vice Principal; the Student Discipline Committee) will decide whether the Respondent has satisfied any conditions.

87.103.   If the University considers it necessary to extend a student's suspension beyond a year then it is necessary to hold a new Student Discipline Committee hearing. This hearing does not need to take the same format as the original hearing, e.g. the membership could be different.

88.104.   If the Student Discipline Committee places the Respondent on probation, it will provide the Respondent with a statement outlining the conditions and length of their probation, and assigning them to a key contact within the University, who will monitor their compliance with these conditions during the period of probation.

89.105.   Any assessment penalty under paragraph 84101 is reported to the relevant Boards of Examiners by the Secretary of the Student Discipline Committee.

90.106.   In discipliningWhere the Student Discipline Committee finds that the alleged misconduct is proved in relation to a student pursuing a course or programme leading directly to a qualification which confers authorisation to practise a profession (such as in Medicine, Nursing, Teaching or Veterinary Medicine) the Student Discipline Committee may consider the relevance of the misconduct in relation to the student's fitness to practise that profession. The Committee maywill remit the case to the relevant Fitness to Practise Committee for action or advice. The Student Discipline Committee will notify the Respondent that they will adjourn the hearing for this purpose and will not determine the appropriate penalty (if any) for it to impose until the relevant Fitness to Practise Committee advises the Secretary of the Student Discipline Committee of its determination or advice.

91.107.   The Secretary of the Student Discipline Committee informs the Respondent of the Committee's penalty decision, with a written statement of the reasons for the decision, within three working days of the decision and reminds them of their right of appeal.

92.108.   A summary of the offence, proceedings and the evidence heard and the penalty decision is kept by the Secretary of the Student Discipline Committee.

Deferred Penalties

93.109.   A deferred penalty is one which does not take effect immediately but which is postponed for a period of time during which the Respondent's conduct will continue to be monitored. When the Student Discipline Committee imposes a deferred penalty then the written statement informing the Respondent about the penalty will specify the period of the deferral and explain what will happen if the penalty needs to be put into effect. During the period of the deferred penalty, if the Respondent's conduct is called into question then they will receive a statement in writing that this conduct is being reported to the Student Discipline Committee. This statement may come from a Conduct Investigator, Student Discipline Officer or the Secretary of the Discipline Committee. Evidence of the misconduct is sent to the Student Discipline Committee and the Secretary of the Student Discipline Committee will

offer the Respondent the opportunity to comment in writing on this evidence. The Secretary and Convener of the Student Discipline Committee decide whether the Student Discipline Committee needs to reconvene a meeting, with or without the Respondent, or whether the deferred penalty is put into immediate effect. If the penalty is put into immediate effect then the Secretary of the Student Discipline Committee will report this to the Student Discipline Committee. If the Respondent's conduct is not called into question during the period of the deferred penalty then, at the end of the period, the Secretary of the Discipline Committee will confirm to the Respondent that the penalty will not be imposed.

Standard of Proof

94.110.   An allegation of misconduct can only be upheld if there is proof that the Respondent has engaged in the misconduct alleged.

95.111.   The standard of proof that shall be used in all discipline cases is the balance of probabilities, which is the standard of proof that is used in civil law. This means that a Conduct Investigator, Student Discipline Officer or Student Discipline Committee will be satisfied that an event occurred if they consider that, on the evidence available, the occurrence of the event was more likely than not.

Appeals
www.ed.ac.uk/schools-departments/academic-services/staff/appeals/overview

96.112.   If an allegation has been upheld, the Respondent may submit an appeal on the decision of the Student Discipline Officer or the Student Discipline Committee within ten working days of the decision being issued. The Respondent should submit any appeal to the Secretary of the University's Appeal Committee. The grounds for appeal are specified in the University's Student Appeal Regulations.

97.113.   The appeal is handled under the University's appeal procedures.

98.114.   The decision of the Appeal Committee is final and there is no further opportunity for appeal against that decision within the University.

99.115.   If an appeal is upheld then the Appeal Committee will refer the student discipline case to either the Student Discipline Officer or Student Discipline Committee to review their decision.

100.116.   Any penalties imposed by the Student Discipline Officer or Student Discipline Committee remain in force until the outcome of any review of the decision.

Communication with the Reporting Party

101.117.   The University will endeavour to provide the Reporting Party with as much information about the status and outcome of an investigation as is reasonably possible, including relevant information regarding any precautionary suspension imposed upon the Respondent. In determining what information to provide to the Reporting Party, the University will take account of the need to balance the interests of the Respondent, the Reporting Party, and any other witnesses, and the University's obligations under relevant data protection legislation.

118. If the Reporting Party is dissatisfied with the way the Code of Student Conduct procedure has been followed, they may be able to raise a complaint using the University's Complaints Handling Procedure. More information about this procedure is available at https://www.ed.ac.uk/students/academic-life/complaints

Reporting and recording

~~102.~~119.   The lead Secretary of the Student Discipline Committee keeps a record of student misconduct offences and penalties and informs the relevant Senate committee annually of all cases considered by Student Discipline Officers and the Student Discipline Committee.

~~103.~~120.   Details of any discipline penalty imposed on a student are held ~~on the relevant student's record~~by Academic Services and will not appear on the ~~Respondent's~~EUCLID Student Record, except where the Respondent is subject to a complete suspension from study (under paragraph 101.1.3), or permanently excluded from the University (under paragraph 101.1.10).

Independent review

~~104.~~121.   Once the appeal has been completed, the Respondent is entitled to ask the Scottish Public Services Ombudsman (SPSO) to look at their appeal. The SPSO considers complaints from people who remain dissatisfied at the conclusion of the appeal process. The SPSO looks at issues such as service failure and maladministration (administrative fault) as well as the way the University has handled the appeal.   Information on how to complain to the SPSO will be provided to the student on completion of the appeal. Full information on the SPSO and on how it handles complaints can be found at the SPSO website: Scottish Public Services Ombudsman.

~~24 January 2019~~

~~X [Month]~~2022

UNIVERSITY COURT

5 December 2022

Resolutions: Chairs

Description of paper
1. This paper invites Court to approve Resolutions to establish Chairs and alter the title of a Chair (i.e. professorial positions) in accordance with agreed arrangements and the requirements set out in the Universities (Scotland) Act 1966. This paper contributes to the Strategy 2030 outcome 'We will be a destination of choice, based on our clear "Edinburgh Offer"'.

Action requested/Recommendation
2. To approve the following Resolutions presented in final format:
   - No. 118/2022: Foundation of a Personal Chair of Computational Medicine
   - No. 119/2022: Foundation of a Personal Chair of Data Arts and Society
   - No. 120/2022: Alteration of the title of the Personal Chair of Data Science

Background and context
3. The Universities (Scotland) Act 1966 enabled Court to exercise by Resolution a wide range of powers, including the creation and renaming of Chairs. The Act sets out the procedure for making Resolutions. This includes a period of consultation with the Senate, the General Council and any other body or person having an interest.

4. The circumstances leading to the creation of a Chair are typically either:
   i. the creation of a Personal Chair as a result of an individual's promotion, which has been approved by the Central Academic Promotions Committee; or,
   ii. the creation of a Personal Chair as a result of an approved recruitment exercise at a professorial level, where the new appointment will have input into their appropriate Chair title;
   iii. the creation of a substantive Chair, where the Chair title is not linked to an individual.

5. As Chair titles are approved by Resolution, they can only be altered by Resolution.

Discussion
6. The draft Resolutions were circulated to General Council and Senate for observations. There was one comment received on Resolution No.120/2022, concerning the alteration of the title of the Personal Chair of Data Science, as follows: 'I'm very curious to know the rationale for the alteration in question, as the relationship between statistics and data science is a matter of some controversy! Court should be aware in approving this title change that they are to some extent taking a side in this controversy'. In response to this comment a Professorial colleague who is an expert in these fields advised that, as the Chair holder's expertise includes applied statistics, this addition to her Personal Chair title is entirely appropriate and is likely to be more meaningful to corporate audiences.

Resource implications

7. Part of the approval process for new Chairs involved confirmation of the funding in place to support the posts.

Risk Management

8. There are reputational considerations, which are considered as part of the University's approval processes.

Responding to the Climate Emergency & Sustainable Development Goals

9. This paper does not directly contribute to the climate emergency or SDGs as it is fulfilling a legislative requirement.

Equality & Diversity

10. There are no specific equality and diversity issues associated with this paper. However equality and diversity best practice and agreed procedures are adopted in appointing individuals to Chairs.

Next steps/implications

11. Senate and the General Council will be informed of the approval of the final Resolutions. The list of approved Resolutions is annually reviewed and published on the University's website.

Consultation

12. Senate and the General Council are asked for observations on Resolutions and a notice is published online to enable observation from any other body or person having an interest to express observations.

Further information

13. _Author_
  Kirstie Graham
  Court Services Office
  November 2022

Freedom of Information

14. Open paper.

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 118/2022

Foundation of a Personal Chair of Computational Medicine

At Edinburgh, the Fifth day of December, Two thousand and twenty two.

WHEREAS the University Court deems it expedient to found a Personal Chair of Computational Medicine:

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 Personal Chair of Computational Medicine 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.   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 Computational Medicine 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 July Two thousand and twenty two.

For and on behalf of the University Court

LEIGH CHALMERS

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 119/2022

Foundation of a Personal Chair of Data Arts and Society

At Edinburgh, the Fifth day of December, Two thousand and twenty two.

WHEREAS the University Court deems it expedient to found a Personal Chair of Data Arts and Society:

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 Personal Chair of Data Arts and Society 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.   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 Data Arts and Society 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 twenty two.

For and on behalf of the University Court

LEIGH CHALMERS

University Secretary

UNIVERSITY OF EDINBURGH

Resolution of the University Court No. 120/2022

Alteration of the title of the Chair of Data Science

At Edinburgh, the Fifth day of December, Two thousand and twenty two.

WHEREAS the University Court deems it expedient to alter the title of the Chair of Data Science founded by Resolution 23/2022;

AND WHEREAS paragraph 5 of Part II of Schedule 2 to the Universities (Scotland) Act 1966, provides that the University Court may, after consultation with the Senatus Academicus and with the consent of the incumbent and patrons, if any, alter the title of existing professorships;

AND WHEREAS the Chair dealt with in this Resolution is in the patronage of the University Court itself:

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.   The Chair of Data Science shall hereafter be designated the Chair of Statistics and Data Science

2.   This Resolution shall come into force with effect from 1 August Two thousand and twenty two.

For and on behalf of the University Court

LEIGH CHALMERS

University Secretary