

**THE UNIVERSITY EXECUTIVE**

**Minutes: 5 September 2016**

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- In the Chair: Professor Julian Jones, Vice-Principal
- Present Also: Professor Robert Craik, Vice-Principal (Malaysia)  
Professor Ammar Kaka, Vice-Principal (Dubai)\*  
Professor Duncan Hand, Interim Deputy Principal (Research and Knowledge Exchange)  
Professor Gill Hogg, Deputy Principal (External Relations)  
Professor John Sawkins, Deputy Principal (Learning and Teaching)  
Professor Stephen McLaughlin, Head (Engineering and Physical Sciences)  
Professor Beatrice Pelloni, Head (Mathematics and Computer Sciences)  
Professor Gareth Pender, Head (Energy, Geoscience, Infrastructure, and Society)  
Professor Fiona Waldron, Head (Textiles and Design)  
Ms Ann Marie Dalton-Pillay, Secretary of the University  
Mr Andrew Menzies, Director of Finance
- In Attendance: Mr Brett Dodgson, Clerk
- Apologies: Professor Richard A Williams, Principal and Vice-Chancellor  
Professor Robert MacIntosh, Head (Management and Languages)  
Mr Richard McGookin, Director of Planning

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\* Indicates member participating remotely

**MINUTE REF  
M16/288**

**WELCOME AND ANNOUNCEMENTS**

The Chair welcomed to the meeting the members of the UE.

**M16/289**

**BLUE PAPERS**

The UE received the Blue Papers for the meeting.

**M16/290**

**MINUTES OF THE LAST MEETING**

The UE received the minutes of the meeting held 29 August 2016 and approved them as a correct record. There were no matters arising from the minutes that were not already on the agenda as circulated.

**M16/291**

**REPORT FROM THE CHAIR**

In a verbal report the Chair, on behalf of the Principal and Vice-Chancellor, thanked the members of the UE for their contributions to the University Leadership Forum held 2 September 2016. It was noted that the event had been well received and that there had been a real sense of progress being made. Arising from a discussion at the Forum on the proposed Transformational Initiatives it was noted that the Principal and the Secretary of the University would work with theme and project leaders to define objectives and develop full project plans. A report on the scope of each project and the agreed project teams would be presented to the UE at its next meeting. It was agreed that there would be a need to involve end users at an appropriate point in each project and that academic colleagues should be involved in each Transformational Initiative including that relating to systems and processes.

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### **M16/292 FINANCIAL POSITION: LEADING INDICATORS FOR 2016-17**

The UE considered the leading indicators in respect of the University's financial position relative to the 2016 Five Year Financial Plan. It was noted that this included revised forecasts with respect to student recruitment at the Malaysia campus.

**[Reserved Section – Ref. FOI(S)A, s.30 and s.33]**

### **M16/293 FINANCIAL REGULATIONS**

The UE considered the revised Financial Regulations.

It was noted that:

1. the Financial Regulations would provide control over the totality of the University's resources and afford assurance to the Court and the UE that resources were being properly applied for the achievement of the Strategic Plan; the business objectives, financial viability, and safeguarding of assets of the University; value for money; effective financial controls over the use of public funds; and compliance with all relevant legislation, including that relating to the University's charitable status;
2. the revised version of the Regulations addressed the issues raised by the UE when it had considered an initial draft in May 2016 [minute 16/177];
3. the Financial Regulations would, in due course, be complemented with approved corporate regulations such as directions on the procedures to be followed in setting up a subsidiary company, procedures relating to the management of University records, or procedures for the use of the common seal of the University; corporate regulations would normally be approved by the UE, the most appropriate Court committee (depending on the subject of the Regulation), and the Court; and
4. the Regulations would apply to all members of the Heriot-Watt Group and all members of the Group would be subject to same overall requirements with, in some cases, variations in practice between different members of the Group; where the constitutional documents of any member of the Group identified delegations of powers that differed from the delegations set out in the Regulations, the delegations would be as identified in the constitutional documents and the Regulations should therefore be read in conjunction with the constitutional documents.

The UE agreed that the Financial Regulations should be presented to the Audit and Risk Committee and that the Audit and Risk Committee should be invited to endorse the Regulations and recommend their approval to the Court.

### **M16/294 INSTITUTIONAL ACADEMIC ACTIVITIES PROFILE**

The UE considered a report on initial work to develop a representative profile of the activities that might be undertaken by an individual member of academic staff with the agreement of their line manager.

It was noted that:

1. the representative profile would inform the development of a standard academic curriculum vitae and the refinement of academic promotions criteria and was also a requirement for Athena SWAN Charter status;

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2. the adoption of a representative profile would provide a benchmark for considering staff performance through the Performance and Development Review process and support a consistent and equitable approach across the University; it was not proposed that there should be changes to the ways in which academic staff managed their time on a day-to-day basis;
3. it was recognised that the activities undertaken by any individual member of academic staff would be influenced by discipline-specific variations, and the career stage and personal situation of the member of staff; and
4. the starting point in developing the representative profile was the established convention that academic workloads reflected a distribution of 40% to teaching, 40% to research, and 20% to indirect support of teaching and research through administration and management – recognising that different distributions would be required in specific cases and more generally, such as for different campuses.

It was noted that further consideration was needed as to how scholarship should be defined and incorporated within a representative profile. It was noted that the current academic role descriptors included a definition of scholarship and that any new definition not consistent with this could give rise to a requirement to change the conditions associated with teaching and scholarship contracts. Similarly there could be a need to define academic citizenship and consider how this might be incorporated within a representative profile.

It was agreed that the first stage in developing a representative profile would be to develop the component parts relating to teaching and to research. This would involve agreeing (1) a portfolio of the specific activities/duties which a member of academic staff might be expected to undertake in relation to teaching/research; and (2) how each specific activity/duty might be quantitatively assessed – for example by a measure of achievement or of input effort. It was agreed that this work should be undertaken by the Learning and Teaching Board and the Research and Knowledge Exchange Board respectively. It was agreed that both Boards should ensure that they facilitated the involvement of colleagues from the Dubai and Malaysia campuses in this work. It was agreed that, given the need to demonstrate progress by the date at which the University would submit its application for the renewal of its Athena SWAN Charter status, this work might need to be undertaken outside of the ordinary meetings of the Boards and conducted by correspondence as needed. It was agreed that the Boards should, by the end of September 2016, have agreed the enumeration of specific activities/duties and made some progress towards agreeing how these might be quantitatively assessed.

It was agreed that the second stage in developing a representative profile would involve all members of the UE, and particularly the Heads of Schools, and would aim to agree principles with respect to variations in how the representative profile would be applied. It was agreed that the Secretary of the University and the Principal should agree and confirm the overall timeframe within which the representative profile would be approved and implemented [see minute 16/291].

### **M16/295 INTERNAL AUDIT REPORT: EDINBURGH BUSINESS SCHOOL**

The UE considered the scope of the audit, its findings, and the management actions arising. The UE approved the recommended management actions.

#### **[Reserved Section – Ref. FOI(S)A, s.30 and s.33]**

It was noted that the School's new Executive Dean had agreed that all actions arising from the audit would be implemented by 31 July 2017 with specific implementation dates agreed through a quarterly review process.

It was noted that, following circulation of the report, the auditors had amended the wording in section 4.1 and that this would be reflected in the version of the report that would be presented to the Audit and Risk Committee.

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**M16/296 INTERNAL AUDIT REPORT: MALAYSIA CAMPUS FINANCIAL CONTROLS**

The UE considered the scope of the audit, its findings, and the management actions arising. The UE approved the recommended management actions.

**M16/297 PRIVACY AND ELECTRONIC COMMUNICATIONS REGULATIONS: IMPLICATIONS FOR FUNDRAISING AND ALUMNI ACTIVITIES**

The UE considered a proposal to obtain from potential recipients consent to the sending of communications relating to fundraising and alumni activities.

It was noted that the University, in accordance with guidance from the UK Information Commissioner’s Office, had not previously systematically obtained from potential recipients with whom the University had an existing relationship consent to the sending of communications relating to fundraising and alumni activities. Such consent was now a requirement following amendments to the UK Privacy and Electronic Communications Regulations.

The UE agreed that the University should implement systems to systematically obtain from potential recipients consent to the sending of communications relating to fundraising and alumni activities. It was agreed that communications relating to fundraising and alumni activities should not be suspended in the interim. It was agreed that such an approach would be proportionate and consistent with the approach that other universities were believed to be taking. The UE agreed that any additional costs arising from the implementation of systems to systematically obtain consent from potential recipients should be met from existing budgets.

**M16/298 FACE-TO-FACE: CORE BRIEF SEPTEMBER 2016**

The UE received and agreed the proposed topics for the September 2016 Face-to-Face core brief.

**M16/299 INTERNAL AUDIT STRATEGY AND PLAN 2016-17 TO 2018-19**

The UE received and noted the internal audit strategy and plan for the period 2016-17 to 2018-19.

**M16/300 STRATEGIC PROJECTS REGISTER**

The UE received the Strategic Projects Register as at August 2016. The UE noted the status of the strategic projects and changes to the Register since it had last been presented to the UE [minute 16/273].

**M16/301 DATE OF NEXT MEETING**

The UE noted that its next meeting would be a strategy meeting and would be held 12 September 2016.

Signed by Chair .....

Date .....