

**PLANNING & MANAGEMENT EXECUTIVE  
Minutes of the meeting on 23 September 2010**

**Present:**

Prof S Chapman, Principal and Vice-Chancellor (Chair)	Mr P G Kerr, Director of Estates Services
Ms S Campbell, Director of People & Organisational Development	Ms L Kirkwood-Smith (Clerk to PME)
Prof R J M Craik, Deputy Principal (DP) (Learning and Teaching) and Convener of the Learning & Teaching Board (LTB)	Mr R McGookin, Director of Planning
Ms A-M Dalton, Secretary of the University Designate	Mr P McNaull, Director of Finance & IS/IT
Prof P De Wilde, Head, School of Mathematical & Computer Sciences (MACS)	Prof A Miller, Deputy Principal (DP) (Research & KT) and Convener of the Research Co-ordination Board
Prof D Greenhalgh, Head of School, Engineering & Physical Sciences (EPS)	Ms T Merrick, Director of Corporate Communications
Prof A Harley, Head of School, Textiles and Design (TEX)	Ms R Moir, Director of International Development
Prof G Hogg, Head of School, Management & Languages (SML)	Prof A Prior, Acting Head of School, Life Sciences (SLS)
Prof J Jones, Vice-Principal	Prof S Stewart, Head of Institute, Petroleum Engineering (IPE)
Prof A Kaka, Vice-Principal (Dubai)	Mr P Wilson, Secretary of the University and Convener of the Infrastructure Board (IB)

**Apologies:**

Ms J Forster, Director of Development	Prof A Walker, Deputy Principal
Prof G Pender, Head of School, The Built Environment (SBE)	Prof K Lumsden, Director of Edinburgh Business School (EBS)
Mrs K Patterson, Academic Registrar & Deputy Secretary	

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	ACTION	With
	Who	whom
	when	
<b>M4513 MINUTES OF THE MEETING HELD ON 28 AUGUST 2010</b>		
Approved the minutes of the meeting of PME held on 26 August 2010.	LKS	
	24 Sep 10	
<b>M4514 MATTERS ARISING AND ACTION LOG</b>		
Noted actions and related updates as reported in the PME Action Log.		
There were no matters arising.		
<b>M4515 BUSINESS REPORTED BY THE CHAIR</b>		
SCOTTISH BUDGET/HE FUNDING		
The Principal updated PME on the focus of work by the Universities Scotland Funding Policy Group ahead of the Scottish Budget announcement in November 2010.		
<b>M4516 INFORMATION GOVERNANCE AND SECURITY</b>		
Noted and discussed presentations and a report on Information Governance provided by the University Archivist/Information Security Officer and a Senior Associate of Dundas & Wilson. Noted that the report presented by University Archivist/Information Security Officer highlighted the scope of the REALISM project to address the University's Internal Auditors' Management		

Action Plan associated with the Internal Audit of Information Security. The report set out progress made within the project and actions planned over the period ahead.

The presentation from Dundas & Wilson set out current information law, including FOI and DPA legislation, implications for organisations and highlighted the imperative to reduce risks through good information management practices.

PME agreed support for effective information security management to include:

- promoting awareness and compliance with the relevant policies, procedures and good practice;
- nominating one or more information governance co-ordinators for each School/Service;
- arranging a briefing session with the Information Security Officer;
- mandating and supporting information governance co-ordinators to carry out a risk assessment to identify the most important and most sensitive records;
- agreeing an action plan with the Information Security Officer to address priority information security issues and manage the risks identified; and
- ensuring that operational information security risks are reported on risk registers.

PME  
Early  
2010/11

Noted that the REALISM Project Board would submit a progress report to PME in November 2010 and monthly thereafter until completion of all of the Audit Action points.

AE Jones  
from Nov 10

Discussed risk areas, further guidance on which would be provided to Schools/Sections in the context of the REALISM project. These included: management of electronic communications; records retention management; FOI exemptions/ management of potentially exempt information; and information management across international boundaries.

#### **M4517 STUDENT POPULATION UPDATE**

Received and noted an update report, presented by the Director of Planning, which set out details of the enrolled or part-enrolled population of students (UG, PGT, PGR), as at 22 September 2010 and highlighted position against targets in each category. Heads of Schools were invited to comment at the meeting on the status quo and estimated final enrolment numbers in their respective Schools following late registrations, and to provide more solid estimates of likely movements in enrolled student numbers in the coming period. Noted anecdotal evidence of student visa problems as well as other registration delays and likely genuine shortfalls against target.

HoS  
Sep/Oct 10

Agreed that a report including as up-to-date and accurate figures as possible should be presented to PME at its meeting in October 2010, noting that at that stage it should be possible to ascertain potential impact, if any, on the 2010/11 budget.

RMcG/JJ  
14 Oct 10

#### **M4518 PURSUING EXCELLENCE THROUGH PDR: IMPLEMENTATION UPDATE**

Noted and discussed a summary report, presented by the Director of POD, which outlined the proposed timeline and implementation arrangements for the revised PDR process as agreed at the meeting of PME in August 2010.

The Director of POD agreed to circulate the final PDR documentation incorporating the proposed changes to PME. Agreed that any further comments should be relayed to the Director of POD with a view to PME approval being confirmed by correspondence. PME members were asked to note that a "no response" to the invitation to comment / approve will be assumed to signify agreement.

SCC  
end Sep 10

PME

PME members discussed the need for clarity in relation to the necessarily 'soft' link between PDR and promotion processes, and noted assurances from the Director of POD in relation to drafted PDR guidance for staff.

Noted the proposed timetable following PME sign-off of the final PDR documentation:

- week beginning 4 Oct - delivery of documentation to Schools/Sections;
- 11 to 15 Oct – briefing of School/Section teams on the revised process;
- 11 Oct to early Dec – PDR training for Reviewers and Countersignatories;
- Jan 2011 - PDR review meetings.

#### **M4519 INTERNATIONAL DEVELOPMENT COMMITTEE QUARTERLY REPORT**

Received and noted a report presented by the Director of International Development on behalf of

the International Development Committee. The report outlined the activities of the International Development Committee over the period from June to September 2010. Discussion centred around the International Strategy document (M4520 below).

**M4520 INTERNATIONAL STRATEGY UPDATE**

Received and discussed a report on the International Strategy presented by the Director of International Development. The report provided a summary of the key issues identified through reviews, meetings and discussions on the International Strategy, an update on progress on underpinning requirements for its delivery, and the aims and objectives of the strategy and overview plans in relation to markets.

PME was invited to agree a timetable and the actions necessary to present the completed strategy document to Court for approval at its meeting in December 2010.

Agreed:

- need to develop the linkage between the University's International Strategy and supporting School strategies and operational planning;
  - need to adopt a common planning approach across international activities designed to share risks;
  - a significant amount of work should be undertaken, working with Schools and utilising the market intelligence the University currently holds, to develop the detail of the strategy; enumerating strategic aims and setting clear targets and costs/income in relation to potential campus development, ALPs and student numbers, with a view to the International Strategy being presented to PME for approval at its meeting on 17 November 2010; and
  - operational plans in support of the International Strategy should be considered by the Court in the context of the University's 5-Year Plan at its meeting in May 2011.
- RJM / HoSs  
Sep-Nov 10
- JJ et al  
May 2010

**M4521 ACADEMIC DEVELOPMENTS FOR A NEW CAMPUS**

Noted a report presented by the Deputy Principal (Learning & Teaching) the content of which was considered in the context of discussion on the International Strategy (M4520 above).

**M4522 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD**

Received and approved a report relating to the meeting of the Research & Knowledge Exchange Board on 8 September which was presented by the DP(Research & KT) for onward presentation to the Senate at its next meeting.

AM/RCKE  
Oct 10

RCKE  
Clerk

PME noted and emphasised in discussion the action necessary on Heads of Schools to satisfy themselves that robust processes are in place to manage properly and report to POD on their respective populations of RA staff, in particular in relation to contract status and funding arrangements.

HoSs  
from Sep 10

The Director of Finance recommended that the RKEB continue to monitor and report on the performance of Schools' awards and proposals activity and seek to identify actions to improve performance.

**M4523 REPORT FROM THE INFRASTRUCTURE BOARD**

Received and approved a report relating to the meeting of the Infrastructure Board held on 7 September which was presented by the Secretary of the University for onward presentation to the Senate at its next meeting.

PLW  
Oct 10

IB Clerk

Noted Item 1 of the report presented for approval. This item was dealt with under M4529 below.

**M4524 REPORT FROM THE LEARNING AND TEACHING BOARD**

Received and approved a report relating to the meeting of the Learning and Teaching Board held on 9 September 2010 which was presented by the DP (Learning & Teaching) for onward presentation to the Senate at its next meeting.

RJMC  
Oct 10

LTB  
Clerk

**M4525 STUDENT SURVEY RESULTS**

Received and noted summary reports, presented by the DP(Learning & Teaching), on results of student satisfaction surveys. These included:

- NSS results 2007 to 2010 (bank questions);
- International Student Barometer Survey, Autumn 2008, Summer 2009 and Summer 2010 results; and
- Postgraduate Taught Experience Survey (PTES) 2010

Noting the intention of the DP(Learning & Teaching) to hold follow-up discussions with Schools to receive confirmation on actions being undertaken to address the issues highlighted.

**M4526 TRIBAL BENCHMARKING EXERCISE**

Noted an update from the Secretary of the University Designate confirming the recent commission of Tribal to undertake a finance-focused benchmarking review of the University's Professional Support Services, the results of which would help inform the ongoing review. Heads of Schools/Services were asked to note that fieldwork involving meetings with Heads would be undertaken during the week commencing 4 October 2010.

AMD  
w.b. 4 Oct  
10  
Heads

**M4527 CONSULTATIONS LOG**

Received and noted a report of consultations communicated to the University with deadlines up to October 2010 and noted arrangements for co-ordination of the University's responses.

**M4528 REPORTS FROM THE INTERNAL AUDITOR**

**INTERNAL AUDIT ANNUAL REPORT 2009/10**

Received and noted the Annual Report 2009/10 from the University's Internal Auditor presented by the Director of Finance & IS/IT. Noted that a few minor corrections with some key comments on issues to be addressed had been relayed by the Director of Finance & IS/IT to the Internal Auditor.

Noted that the report would be relayed by the Internal Auditor for consideration by the Audit Committee at its meeting on 5 October 2010.

PGM  
27 Sep 10

**INTERNAL AUDIT REPORT OPERATIONAL PLANNING**

Received and noted an Internal Audit Report, 'Operational Planning – High Level Review' presented by the Director of Finance & IS/IT. Noted that the audit, which focused on review of the processes in place for developing, implementing and monitoring operating plans, was intended to inform the review of Professional Services being led by the Secretary of the University Designate. Noted that the management responses to the internal audit recommendations had not been incorporated in the paper mailed to the PME membership ahead of the meeting. The Secretary of the University Designate tabled at the meeting an updated version of the Report under the title 'Operational Planning – Professional Services' which incorporated management responses.

Noted that the revised version of the report including management responses to the audit recommendations would be relayed by the Internal Auditor for consideration by the Audit Committee at its meeting in October 2010.

PGM  
27 Sep 10

**INTERNAL AUDIT ACTION MONITOR SUMMARY: PROGRESS ON INTERNAL AUDIT RECOMMENDATIONS 2006/07-2009/10**

Received and noted a report, presented by the Director of Finance & IS/IT, which detailed progress on implementation of individual recommendations made by the University's Internal Auditors for the four years from 2006/07 to 2009/10.

Noted that the report would be relayed by the Internal Auditor for consideration by the Audit Committee at its meeting in October 2010.

PGM  
27 Sep 10

**M4529 STRESS AWARENESS POLICY AND PROCEDURES**

Received and approved for dissemination and implementation draft 'Stress Awareness Policy and Procedures' presented by the Director of POD, with a recommendation for minor change to wording in the policy in relation to the responsibility of managers vis-à-vis staff holiday entitlement. It was agreed that managers should be responsible for *encouraging* staff to take their full holiday entitlement rather than *ensuring* that they do so.

SCC  
Sep 10

Noted the requirement on organisations by the HSE to have, and to demonstrate adherence to, a policy on stress. Noted that the draft policy and procedures had been approved previously by the Infrastructure Board and that consultation had also involved the membership of the Occupational Health & Safety Committee.

Noted also the planned launch of a Mental Health Policy in the coming period: both policies designed to be closely linked.

**M4530 INSTITUTIONAL STATEMENT ON QUALITY ASSURANCE AND INTERNAL SUBJECT REVIEW**

Received and approved a report presented by the DP(Learning & Teaching) for onward presentation to the Court for approval at its meeting on 4 October 2010. The report included the University's 'Institutional Statement on Quality Assurance in Internal Subject Review' as required to be submitted annually to the Scottish Funding Council with the endorsement of institution's governing body.

RJMC  
27 Sep 10  
Court  
Clerk

**M4531 MARKET RESEARCH STRATEGY 2010-12**

Received and approved a Market Research Strategy 2010 – 2012 document presented by the Director of Corporate Communications for immediate implementation.

TM et al  
from Sep 10

Noted that the aim of the Strategy was to inform marketing and recruitment decisions in support of the business aims of the University. Key objectives of the Strategy were to manage and better co-ordinate the provision of market research and intelligence information, provide a market research project management service and general advice to Schools and Professional Services and to develop procedures to monitor, evaluate and improve the market research function. Associated work would be prioritised in accordance with the University's objectives.

**M4532 ANNUAL REPORT OF THE ESTATE OFFICE**

Received and approved, for onward presentation to the Court at its meeting on 4 October 2010, the Annual Report of the Estate Office 2009/10 presented by the Director of Estate Services. The Director confirmed that minor updates would be made to the report prior to its submission to the Court.

PGK  
27 Sep 10

The Director drew attention to main achievements in the year, projects planned in 2010/11 and performance indicator information as detailed in the report. Attention was drawn also to the timeliness of a review of the Estate Strategy which was approved by the Court in 2008.

In relation to the Residences Project, the Director also confirmed that planning consent had been granted in relation to the planned residences at Scottish Borders Campus. This had come with 16 associated conditions a number of which required sign-off. The Director reported that the conditional requirements were not expected to have a significant impact on the scale, cost or timescale of the project. The Director confirmed also that plans were on target in relation to tendering for construction and a closing date of 25 November 2010 had been set for receipt of tenders.

The Director of Finance & IS/IT confirmed in relation to the Residences Project that 5 banks had submitted tenders in relation to the related finance facility. Loan costs appeared broadly in line with the University's earlier estimations. PME noted also the opportunity, being considered by the Director of Finance & IS/IT, to agree altered terms of the current credit facility to reduce borrowing costs.

Noted plans to provide a tour of Hugh Nisbet Building developments for members of Court on 4 October. The Secretary of the University Designate requested that, if possible, the agreed HNB signage should be installed by that date.

PGK et al  
4 Oct 10

**M4533 ANNUAL REPORT OF THE UNIVERSITY HEALTH SERVICE**

Received and approved the annual report of the University Health Service for 2009/10 presented by the Secretary of the University.

Agreed that a brief summary of the report should be relayed by PME to the Court as part of a larger annual report on Health & Safety which should incorporate a report from the University's Occupational Health & Safety Committee.

PLW  
Dec 10  
Court Clerk

An observation was made in relation to reference in the report to the Healthy Working Lives Award, which the University holds at Gold level, that the University could do more to publicise this achievement. It was suggested that Corporate Communications should give this matter further consideration.

TM  
autumn 10

**M4534 ANNUAL REPORT OF THE UNIVERSITY COLLECTIONS COMMITTEE**

Received and endorsed the annual report on University collections for 2009/10 and a summary of the University Collections Management and Development Plan for 2010/11 presented by the Secretary of the University. PME endorsed forwarding of the report for onward consideration and approval by the University Collections Committee and subsequently the Court.

A Jones  
Nov 10  
Court Clerk

**M4535 SAS PROJECT UPDATE**

Received and noted an update report on implementation of the SAS project presented by the Chair of the SAS Steering Group.

Noted that the SAS system was operational and that the expected teething problems had successfully dealt with by the SAS team. Noted a brief summary of key progress and outstanding issues. Noted that the SAS Steering Group would meet in a few weeks' time to consider the remaining issues and to review readiness of the system to meet the requirements of the Semester 1 diet of examinations.

Thanks were conveyed to all staff in central services and in Schools who had contributed to the successful launch of the new system.

Approved an upward revision to the expenditure budget for the project in 2010/11 from £1.011 m to £1.176 m as requested, and approved the requested revised budget for 2010/11 with implementation to be taken forward by the Deputy Principal.

ACW  
from Sep 10

Noted that the final outcome for the financial year 2009/10 was an under-spend on the project of £465 k. While some of the saving could be banked, some of the anticipated costs had been carried forward into the current financial year (final year 5 of the project). PME noted however that total project costs would be reduced from £4.7 m, as approved by PME in 2009, to £4.4 m.

**M4536 RISK REGISTER UPDATE**

Received and discussed update risk reports presented by the Director of Finance & IS/IT including:

- a report of the meeting of the Risk Management Strategy Group which took place on 24 August 2010;
- an updated 'Guide to the Operational Risk Register';
- a graphical overview of the University's Anti-Fraud Policy;
- a report on updates to their risk register of the IT Leadership Team;
- a Risk Management Heat Map providing an overview of the current status of the University's strategic risk factors; and
- an updated 'Horizon Scanning' report

PME members were invited to direct any comments on the report to the Director of Finance & IS/IT. Comments would be welcomed especially on the assessment of IT risks (Appendix 4) and the assessment of risks included in the 'Risk Heat Map' (Appendix 6).

PME  
Sep 10

Agreed that the Risk Heat Map and current Risk Register should be referred for further consideration by the Audit Committee at its next meeting and by the Court.

PGM  
Oct/Nov 10

In response to a point raised by a Head of School in relation to Appendix 1, the Director of

PGM  
Oct 10

Finance & IS/IT agreed to amend the wording of the Assurance Statement by the Head of School/Service to reflect the objective that Heads make all "reasonable endeavours" to assure themselves and PME of the risks within their respective Schools and Sections.

**M4537 MANAGEMENT ACCOUNTS FOR THE PERIOD 31 AUGUST 2010 (PERIOD 1)**

Received and noted Management Accounts for the period to 31 August 2010 (period 1) presented by the Director of Finance & IS/IT.

The Director of Finance & IS/IT drew attention in particular to the budgeted surplus for the year of £1 m, highlighting the need for prudence in spend: expenditure above budget would only be permitted where larger than budgeted contributions were being achieved in the year.

- (Reserved section: Ref Section 30, FOI(S)A).

**M4538 RESEARCH GRANTS & CONTRACTS – PROPOSALS AND AWARDS – AUGUST 2010 (PERIOD 1)**

Received and noted a report from the DP(Research & KT) and Technology & Research Services on Research Grants & Contracts: Proposals and Awards for the period to the end of August 2010. The report highlighted closing figures including:

- a value of awards so far in the year of £4.4 m, against a total for the previous year of £19.8 m and a current full-year target of £22.2 m; and
- a value of proposals in the year of £13.3 m against a total for the previous year of £86.2 m.

The DP(Research & KT) agreed to reconsider the new format of reporting with a view to re-introducing month-by-month awards and proposals data.

AM  
Oct 10

**M4539 RESEARCH GRANT AWARDS: FORWARD LOOK – AUGUST 2010 (PERIOD 1)**

Received and noted a Forward Look report on Research Grants & Contracts awards presented by the Vice-Principal for the period to the end of August 2010. The report, based on a revision of the Forward Look database, indicated the evolution of research "order books" at both University and School level, spreading the value of each research award on an equal monthly basis across the period of its life-span.

Particular attention was drawn to a general downwards drift in the value of Research Council grants across each of the forward look measures, while growth was highlighted in other income source areas, in particular from industry and European sources. While Heads of Schools were reminded of the need to target increased Research Council funding, the potential high value to the University of properly negotiated industrial contracts was also emphasised.

PME agreed with the proposal that future Forward Look reports should be presented alongside the monthly Research Grants and Contracts: Proposals and Awards report by the DP(Research & KT).

AM  
Oct 10

**M4540 ANY OTHER COMPETENT BUSINESS**

**OFFICIAL OPENING OF THE POSTGRADUATE CENTRE**

PME members were reminded of, and encouraged to attend, the official opening of the Postgraduate Centre in the early evening of 23 September.

PME  
23 Sep 10