

THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 27 September 2012

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Prof R J M Craik, Vice-Principal (Malaysia)

Ms A-M Dalton, Secretary of the University

Prof J T Ford, Acting Head of Institute, Petroleum Engineering (IPE)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Prof A Kaka, Vice-Principal (Dubai)

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Business Director, Edinburgh Business School

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (DP) (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof A Walker, Senior Deputy Principal

Present also:

Mr Michael Bates, Director of Recruitment & Admissions, for item M145

Ms R J Moir, Director of International Development for items M139 and M140

Ms Janice Yew, Chief Operating Officer and Registrar, HWUM

Mr R McGookin, Director of Planning

Mr Stuart Wilson, Recruitment Analyst, for item M145

Apologies:

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

M126 WELCOME/ ANNOUNCEMENTS

The Principal welcomed Janice Yew and Ursula Boser and conveyed thanks to Prof John Ford who was attending his last meeting of the UE in the capacity of Interim Head of IPE. The Principal confirmed that Prof Dorrik Stow had been appointed as the new Head of the Institute of Petroleum Engineering.

M127 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 23 August 2012.

M128 ACTION LOG AND MATTERS ARISING

ACTION LOG

The UE noted actions and related updates as reported in the Action Log. The Senior Deputy Principal confirmed that the action confirmed under M118 had been undertaken and that arrangements were being made to recruit to the planned new positions.

MATTERS ARISING

There were no matters arising.

M129 BUSINESS REPORTED BY THE CHAIR

129.1 Sunday Times University Guide

The Principal updated the UE on anticipated accolades to be published in relation to HWU in the Sunday Times University Guide due to be published on 30 September. The Principal confirmed that arrangements would be put in place to celebrate the University's achievements in the year, in particular achievements related to the 2012 NSS.

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

M130 CONSULTATIONS AND PUBLICATIONS LOG

The EU received and noted a report on external consultations communicated to the University with deadlines dates up to December 2012, noting arrangements for the co-ordination of the University's responses. The UE received and noted also a summary of recently published higher education-related publications.

M131 UNIVERSITY STRATEGIC PLAN

The UE received, discussed and approved the University Strategic Plan and underpinning key performance indicators and agreed to recommend this to the Court for consideration and approval at its meeting on 1 October 2012.

M132 HWU/SFC PRELIMINARY OUTCOME AGREEMENT

The UE discussed and approved the HWU/SFC Preliminary Outcome Agreement, August 2012 and agreed to recommend this to the Court for consideration and approval at its meeting on 1 October 2012.

The UE noted that the Scottish Funding Council (SFC) had introduced in 2012 a new requirement that each institution it funds should, as a condition of funding, enter into an 'Outcome Agreement' with the SFC on certain topics and in a form specified by the SFC. During May to July 2012, University and SFC officials had negotiated an initial Outcome Agreement between the University and SFC. It was noted that the Agreement, which was in accord with the University's new Strategic Plan, had been recommended for approval at the Council meeting of SFC on 28 September, subject to approval of Heriot-Watt University Court.

It was noted that the Preliminary Outcome Agreement confirmed the activities and outcomes mainly in the areas of Knowledge Exchange and Widening Access to Higher Education, in response to the SFC's indication of its interests in these areas. It was noted that these priorities were distributed across 6 Outcomes which were accompanied where relevant by metrics that the University will adopt to measure performance against Outcome aims:

- Outcome 1: Improved university/industry collaboration and more effective exploitation of research;
- Outcome 2: Enhanced the international competitiveness of research at Heriot-Watt University (for further discussion and commentary on this outcome at the next iteration of the Outcome Agreement);
- Outcome 3: Access to University for people from the widest possible range of backgrounds;
- Outcome 4: Efficiency of the learner journey and improved retention (for the time-being focused exclusively on the objective of improved retention and completion rates);
- Outcome 5: Equality and Diversity: to improve and enhance equality and diversity for students and staff at the University (further iteration of this Outcome due later in 2012); and
- Outcome 6: A more coherent pattern of provision in the Higher Education sector (contributing to the objective of the SFC to deliver more coherent provision in line with the Government's 2011 Green Paper on post-16 Education).

M133 NATIONAL STUDENT SURVEY 2012 RESULTS

The UE received and noted an update on the University's National Student Survey (NSS) 2012 results, noting that these would form a prominent element in the nationally published Key Information Sets (KIS). KIS had just

been made available publicly available for use by prospective students and it was anticipated that the University's NSS results would have a positive impact in the forthcoming student recruitment cycle.

M134 (Reserved section: Ref Sections 30, 33, FOI(S)A).

M135 TUITION FEES 2013/14

The UE discussed and approved the schedule of Tuition Fees for 2013/14 and recommended that these be forwarded by the Fees Working Group to the Finance Committee for approval at its next meeting.

The Vice-Principal highlighted the complication arising in relation to fees for postgraduate RUK students where SFC grant support for RUK places has been discontinued. A straight forward response of setting a fee level which fully compensates this loss, could impact very negatively on demand and the Scottish sector as a whole was considering how best to respond to the situation. Pending emergence of wider consensus the University had deferred setting 2013/14 fees for this group. The Vice-Principal confirmed that he would present a recommendation at a forthcoming meeting of the UE.

The UE noted reported market sensitivities associated with Dubai and differential increases in fees across Schools for 2013/14. It was noted that a larger review of fees for Dubai from 2014/15 will be required to ensure that fee levels properly reflect the University's market position.

M136 JAMES WATT STUDENTSHIP SCHEME

The UE received and noted a report from the Vice-Principal which confirmed the allocation of proposed studentships across Schools. The UE confirmed its agreement of the allocation of 81 studentships in 2012/13.

The Vice-Principal confirmed that a recommendation will be presented to the UE at its meeting in November or December 2012 in relation to a smaller number of studentships (possibly around 50), which will be planned for in 2013/14. Heads of Schools were advised that, in the meantime, they could take forward development of School plans on the basis that their School should receive at least half of their 2012/13 allocation.

M137 ORAL UPDATE FROM HEADS OF SCHOOLS, V-PS (DUBAI/MALAYSIA)

The UE received and noted oral updates on news and developments in their respective Schools/Campuses from the relevant Heads and Vice-Principal (Malaysia) who were present.

The UE noted a report from the Head of SBE confirming that it was unlikely that the Eco Village project will be feasible for investment and that closure of the project will be considered in the coming week.

M138 STUDENT ENROLMENTS UPDATE

The UE received and noted a summary update, presented by the Director of Planning, which set out the level of UG and PGT student enrolments as at 25 September 2012, 15 days following the registration deadline.

The UE noted variable performance across Schools within an overall picture which included forecasts of:

- targets being met across each of Scottish, RUK and Overseas UG categories;
- a shortfall against target across PGT numbers, narrow in relation to UK/EU numbers but larger in relation to Overseas numbers; and
- targets being met at the Dubai Campus

It was noted that final numbers would be affected by late student registrations were ongoing.

M139 REPORT FROM THE VICE-PRINCIPAL (MALAYSIA)

The UE received and considered a report presented by the Vice-Principal (Malaysia).

139.1 HWUM Foundation Programme

The University Executive discussed and approved in principle a proposal for the introduction of an 18 month (3 semester) Foundation Programme to be offered at Heriot-Watt University Malaysia and the establishment of a small working group which will agree the curriculum and prepare the paperwork for formal approval by the Undergraduate Studies Committee and the Senate and, thereafter, the Malaysia Qualifications Agency with a view to the relevant papers being submitted to the MQA in December 2012.

The University Executive agreed that the proposal, as submitted to the UE at its 27 September meeting, should be presented by the Deputy Principal (Learning & Teaching) for approval in principle by the Senate Business Committee at its meeting on 4 October 2012 and the Senate at its meeting on 10 October 2012.

In the context of the plans to be developed in further detail, the UE endorsed the view expressed by the Deputy Principal (Learning & Teaching) on the need to maintain academic coherence so, for example, the structure of the curriculum in Malaysia does not interfere with students' opportunities for transfer across different campuses of the University, and also that the University should not lose any of the key brand features that the University seeks to promote in Malaysia.

The UE agreed also:

- consultation will be required with Schools to ascertain in each case whether the required academic progress can be achieved within the proposed 18 month long foundation level course, noting that the test of this will be found in the readiness of students who have successfully completed the course to advance into level 2 of courses provided in any School and at any campus;
- external academic expertise should be commissioned to assist the University in developing the proposed framework;
- the option of a two semester foundation course should remain on the table as a study route for further consideration;
- further investigations/work will need to be carried out to ensure that the finally agreed academic structure will not cause difficulties in relation to required professional accreditations;
- a new business plan will need to be developed for HWUM based around the proposed new model and incorporating cost-saving and new income opportunities. The UE noted the time imperative driven by the planning round process;
- that the Deputy Principal (Learning & Teaching) should consult further with the Vice-Principal (Dubai), to ensure that opportunities are considered to facilitate consistency, cohesion and inclusivity in relation to the Dubai Campus.

139.2 HWUM: Portfolio to be offered in 2013/14

The EU approved a proposal, presented by the Vice-Principal (Malaysia), for the following programmes to be offered at HWUM from September 2013, noting that some courses previously proposed for autumn 2013 launch would be delayed while the MSc in Petroleum Engineering would be advanced in the schedule:

- MSc in Energy
- MSc in Renewable Energy Engineering
- MSc in Construction Project Management
- MSc in Quantity Surveying
- MSc in Petroleum Engineering
- MSc in International Business Management (under discussion)

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

The UE noted the very recent withdrawal of plans to progress quickly with the introduction of at HWUM with the BA in Accountancy and Finance and noted that there was an opportunity to further fill the portfolio of courses to be planned for launch in 2013. The UE agreed that the Vice-Principal (Malaysia) should consult further with Heads of Schools to identify courses for which planning can be advanced with the aim of launching in September 2013.

M140 HWUM PROJECT UPDATE REPORT

The UE received and noted an update report on the HWUM project which had prepared for the Malaysia Oversight Board on the HWUM project and was presented by the Senior Deputy Principal.

The report highlighted recent progress in relation to campus premises; student accommodation; project finances; company governance; licensing and accreditation; staff appointments/HR developments; marketing; management accounts; and the timetable of key steps through to the launch of undergraduate programmes in September 2014.

M141 REPORT FROM THE SENIOR DEPUTY PRINCIPAL

The UE received and approved a proposal presented by the Senior Deputy Principal which set out a revised academic staff time allocation scheme for implementation in replacement of the University's HAST survey.

It was noted that the proposal took account of the preferences expressed at the meeting of PME in February 2012, in particular the view that the academic staff time allocation process should be described separately from PDR procedures. It was agreed that the new scheme, based on work allocations and agreed academic plans from 2012/13. It was noted that the new process would meet the requirements also of the annual financial performance review for Schools.

M142 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report from the International Strategy Board relating to the meeting of the Board held on 14 September 2012.

All items were presented for information.

M143 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted the Secretary's Board Bulletin dated September 2012 which was presented by the Secretary of the University.

In addition to the items reported in the bulletin, the Secretary of the University also drew attention to audit work / actions progressing in relation to the autumn 2012 UKBA audit, and highlighting the importance of maintaining momentum to complete the related work plan.

The Secretary of the University also advised on the effectiveness of contingency plans in relation to the new student residences at SBC and Edinburgh campuses, reporting that students were now all settled in the new accommodation.

The Secretary of the University also highlighted lessons learned in relation to the type of construction contract agreed in relation to the residences. A report with recommendations will be presented to the UE in due course.

M144 REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report from the Secretary's Board relating to the meeting of the Board held on 3 September 2012.

All items were presented for information.

M145 RECRUITMENT, ENQUIRIES AND ADMISSIONS LIFECYCLE (REAL) RECOMMENDATIONS

The UE received, discussed and approved in principle, subject to further development of the detail in each case, recommendations presented by the Secretary of the University in relation to the Recruitment, Enquiries and Admissions Student Lifecycle (REAL) project, and endorsed the REAL principles, aims and delivery objectives.

The UE approved in principle the following recommendations which would require investment in systems, training and modernisation of the University's practices to achieve cohesion and co-operation:

1. Enquiries:

- Agree who is best placed to respond to all student enquiries (short term aim)
- All enquiries dealt with at a single point of entry (medium term aim).

- *A 'virtual' enquiry centre to be established through focused co-ordination of effort at key times of the year*
2. Recruitment Events:
- All prospects and applicants offered an invitation to attend future events (long term aim).
 - *All Schools participate in centrally co-ordinated Applicant Visit Days, to include both School visits and University level events*
3. Delivering Excellent Customer Services:
- Enquiry training for all front line staff (short term aim)
 - Service Level Agreement to be produced for enquiries and admissions (short term aim)
 - Each area of Professional Services to have input to on-campus recruitment events and to know how Professional Services contribute to student numbers (medium term aim)
4. Live data / recruitment intelligence:
- Acquire a CRM system (medium term aim)
 - Assess and categorise each programme according to whether it is a "selecting" or "recruiting" programme (short-term aim).
 - *Review processes for the timely approval of new programmes.*
 - *Identify the key owner responsible for signing off (on behalf of the School) the entire integrated offers process (academic and administrative)*
5. Academic intervention / decision-making:
- Admissions Tutor role description to be revised (short term aim)
 - Heads of School to be invited to identify key academic colleagues during key periods to support the recruitment and admissions cycle (short term aim)
 - Administrators to be trained and authorised to make decisions on applications for taught programmes (medium term aim).
 - *95% of decisions to be made without further referral.*
 - *Schools agree entry criteria and standards for each programme.*
 - *Recognise where fine judgements are required e.g. in the context of 'Outcome Agreement' targets.*
 - *Streamline the roles of academics and administrators in Schools*
6. Recruitment planning:
- Recruitment and Admissions "key conversion weeks" widely published and understood (short-term aim)
 - Consider moving student number planning meetings to pre-Christmas in order to inform recruitment targets earlier (medium term aim)
 - Training for Admission Tutors and all colleagues involved in the full range of REAL activities (medium term aim)
7. Systems:
- Replacement of shadow systems to be achieved with enhancements to Banner and clear identification of the timescales to achieve this (long term aim)
 - All staff to have an IT training plan agreed for their start and continuing development (short term aim)
 - Development of SharePoint for staff usage (intranet) (short term aim)
 - Improvements required in SAS (list not exhaustive) (medium term aim)
8. Process:
- A common process to be agreed and deployed across HWU for all admissions processing to agreed standards and targets according to whether "selecting" or "recruiting" status of the programme (short term aim).
 - *Consensus has been achieved from Schools that a common process for different modes of study is the way forward.*
 - *Focus groups for ALP's (now established)*
 - Agree that all applications that meet minimum standards are issued an offer within "xx" working days (xx still to be defined) (short term aim)
9. Fees:
- Improve visibility of fees and payments for applicants to allow colleagues to check easily (medium term aim)
 - *Address and significantly improve the current mechanism used by Finance for notifying Schools of applicant payment of advanced instalments of fees.*
 - *Advance instalment process to be reviewed and published*
 - Simplify the fee structure for all programmes so that staff and prospects can understand it easily and allow an online fee calculator to be made available (long term aim)

M146 ORACLE R12 IMPLEMENTATION UPDATE

The UE received and discussed an update report on implementation of OracleR12, progress and next steps,

which was presented by the Group Financial Controller. The UE noted the current top priority for the Finance Office team to produce the Annual Accounts and Financial Statements, with management reporting remaining a high priority over the period ahead. The UE noted also the intention of the Finance Office, as a matter of priority, to produce a plan of action in relation to delivery of basic functions of the system for the Malaysia campus.

The UE agreed with the reported need to ensure more effective user engagement underpinned by effective communications and recommended that it would be helpful to receive communications from the Finance Office, setting out at any one time the top priority task(s) so that the attention/efforts of staff in Schools/Professional Services can be focused to greater effect.

In terms of shorter term priorities, it was recommended that on-line expenses functionality and other non-essential functions of the system should be prioritised to follow after core functions of the system are fully implemented. It was also recommended that the Finance Office consult fully with Schools to determine how Purchase Cards are currently used before attempting to implement new processes.

M147 STAFF ENGAGEMENT SURVEY

The UE received and discussed a paper setting out a range of options for seeking, recording and tracking the views and level of engagement of staff through the HWU Staff Engagement Survey.

The UE agreed to advise HRD that the full Staff Engagement Survey should be run on a three-yearly rather than biennial basis with the next full survey therefore occurring in 2014, rather than 2013, and the subsequent one taking place in 2017, and that planning should be taken forward on this basis. The UE agreed that it would be helpful for a single light-touch (pulse) survey to be undertaken in 2013, with the results of this reported to the UE along with an update on actions undertaken within the University since the 2011 survey.

M148 REPORT FROM THE DEPUTY PRINCIPAL(LEARNING AND TEACHING)

The UE received and noted a report presented by the Deputy Principal (Learning and Teaching).

All items were presented for information.

M149 REPORT FROM THE LEARNING AND TEACHING BOARD

The UE received and approved, for onward presentation to the next meeting of the Senate, a report from the Learning & Teaching Board relating to the meeting of the Board held on 13 September 2012.

All items were presented for information.

M150 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KNOWLEDGE TRANSFER)

The UE received and noted a report from the Deputy Principal (Research & KT) which was presented for information. The report incorporated the August (period 1) report of Research Grants & Contracts: proposals and awards. The report highlighted:

- a value of awards in the year of £1.72 m against a comparable total of £0.69 m in the previous year and a year-end target for 2012/13 of £26.07 m; and
- a value of proposals in the year of £9.97 m against a comparable total of £5.3 m in the previous year.

M151 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the next meeting of the Senate, a report from the Research & Knowledge Exchange Board relating to the meeting of the Board held on 10 September 2012.

All items were presented for information.

In relation to REF preparations – specifically related to staff contracts – the Principal requested that a full update be provided to the UE at its next meeting on 14 November 2012.

M152 DRAFT RISK REGISTER

The UE received and noted a draft revised presentation of the University Risk Register which was presented by the Secretary of the University.

It was noted that the Risk Register was not fully complete and the Deputy Principal was invited to consult with the Head of Risk and Audit Management in relation to reporting in the area of Learning and Teaching and a few errors identified in the report.

M153 FEES WORKING GROUP: TERMS OF REFERENCE

The UE received and approved, for onward presentation to the Finance Committee for approval, draft Terms of Reference for the Fees Working Group with the addition to the agreed membership of the Group of the Secretary of the University.

THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 2 November 2012

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Business Director, Edinburgh Business School

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (DP) (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof A Walker, Senior Deputy Principal

Present also:

Mr Andy Downie, Group Financial Controller, for item M155

Mr Richard McGookin, Director of Planning

Apologies:

Prof R J M Craik, Vice-Principal (Malaysia)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof A Kaka, Vice-Principal (Dubai)

M154 BUSINESS REPORTED BY THE CHAIR

Reserved section: Ref Sections 30, 33, FOI(S)A.

M155 ANNUAL ACCOUNTS & FINANCIAL STATEMENTS 2011/12

The UE received, discussed and approved Annual Accounts & Financial Statements for the year ended 31 July 2012 for onward presentation to the Finance and Audit and Risk Committees and the Court at their meetings to be held in November and December 2012.

It was noted that the University's External Auditor had not yet concluded their review of the Accounts and, therefore, further revisions should be expected.

The Group Financial Controller confirmed that, when ready, the Auditor's Management Letter would be provided to the UE for comment by correspondence prior to submission to the Court.

M156 Reserved section: Ref Section 30, FOI(S)A.

THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 14 November 2012

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Prof R J M Craik, Vice-Principal (Malaysia)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Business Director, Edinburgh Business School

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof A Walker, Senior Deputy Principal

Present also:

Ms L Dean-Stevens, Director of Development & Alumni Relations for item M162

Mr M Deans, Director of Campus Services for item M162

Ms T Merrick, Director of External Affairs for item M162

Mr R McGookin, Director of Planning

Mr M Adderley, Director of Human Resource Development for items M163 and M164

Mr A Downie, Group Financial Controller for item M165

Apologies:

Prof A Kaka, Vice-Principal (Dubai)

M157 WELCOME/ ANNOUNCEMENTS

The Principal welcomed Professor Dorrik Stow who was attending his first meeting of the UE since taking up the position of Head of the Institute of Petroleum Engineering.

The Principal welcomed the Director of Campus Services, the Director of External Affairs, the Director of Development & Alumni Relations, the Director of Human Resource Development and the Group Financial Controller who were attending for specific items in the agenda.

M158 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meetings held on 27 September and 2 November 2012.

M159 ACTION LOG AND MATTERS ARISING

159.1 Action Log

The UE noted actions and related updates as reported in the Action Log.

159.2 Matters Arising

There were no matters arising reported.

M160 BUSINESS REPORTED BY THE CHAIR

160.1 Dubai Campus

The Principal updated the UE on the resignation of Dr S Reddy as Chairman of Eikon International, the University's infrastructure partner company in Dubai.

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

RUK Fees

The Principal updated the UE on recent intelligence gathered in relation to RUK student recruitment at Scottish sector level in 2012/13.

Commonwealth Games

The Principal updated the UE on discussions aimed towards Heriot-Watt becoming a host venue, offering accommodation for a country team participating in the 2014 Commonwealth Games.

Senior appointments

The Principal advised that he would update the UE and the Court at their December 2012 meetings on forthcoming new appointments within the Principal's senior executive team.

160.2 Strategic Plan: Staff open meetings

The Principal updated the UE on recent staff open meetings on the Strategic Plan.

160.3 Reserved section (Ref: sections 30, 33, FOI(S)A).

M161 CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a report on external consultations communicated to the University with deadlines dates up to December 2012, noting arrangements for the co-ordination of the University's responses. The UE received and noted also a summary of recently published higher education-related publications.

M162 GATEWAY PROJECT

The UE received and discussed a presentation on the 'Gateway' project which was proposed as the focus of a major new £15-20 m University fundraising campaign. It was noted that the project aimed to deliver a new University front-of-house in time to meet two important anniversary dates for the University coming up in 2016 and 2021.

The UE noted activities over the past year, which had culminated in the choice of an architectural team's design following selection of architect firms who were commissioned to prepare a concept proposal in accordance with a prepared design brief.

It was noted that a fundraising feasibility study formed the subsequent silent phase of the project, running from autumn 2012 until February 2013. Following this it was hoped to reach the stage where the University will formally confirm its support for the campaign as a priority project.

The UE noted planned steps in the early part of 2013 as advised by the presenting team, i.e.: review the outcome of the Feasibility Study; progress with the OJEU process for design team appointment; and make recommendations to the Court. It was also proposed to make progress with design development to Stage D by early July 2013 at an estimated cost of £500 k.

The UE membership was invited to comment on the project proposal. Key observations and comments emerging included:

- the proposed project was one of a number of potential capital projects of importance to the University and the UE will need to review each of these and agree an order of priority by the time of the spring planning round;
- there was no uncommitted capital budget in the current financial year and, once it has been determined that un-utilised contingency may be released in the current year, a decision will need to be made on its use

following review of the competing priorities. It could not therefore be confirmed at present whether the £500 k fees required to achieve design development Stage D would be available before 1 August 2013;

- the outputs of the planned learning and teaching strategy consultation in the first three months of 2013 need to feed into Gateway project planning. Key questions are: will the Gateway project advance the University's academic purpose, and in what ways?
- need to address the design, quality and use of the long narrow space running between the University's front entrance and the entrance to Schools;
- importance of the proposed new space as an academic showcase, e.g. through an "innovation gallery" as well as providing new teaching space; and
- all academic subject areas of the University's portfolio should be included in promotional materials and briefings to optimise support and fundraising opportunities.

The UE indicated broad support in principle for a University front-of-house development to be the focus point for the University's fundraising activity and for the initial design concept presented.

The Principal recommended that references to the University being the 10th oldest HEI in the UK in communications associated with the project should be removed.

M163 BIENNIAL REPORT FROM HUMAN RESOURCE DEVELOPMENT

The UE received and discussed a biannual report from Human Resource Development (HRD) which was presented by the Director. All items were presented for information.

The discussion touched on the case for investment in a new People Management System with a reported current estimated cost of £1.8 m. The Principal highlighted that recent experience suggested the likelihood of a final project cost substantially higher than the current estimate. This would therefore represent a considerable investment for the University and the case should be considered in due course within the wider group of competing projects for investment.

In relation to HRD priorities, the Principal encouraged HRD to focus, as a key priority, on ensuring that basic HR functions are well delivered.

The UE received and noted also a report on academic appointments (new appointments and promotions) made under *Ordinance 16: Appointment of Academic Staff, Professional Services Staff and of the Librarian* from 1 February 2012 until 31 July 2012.

The UE noted, in terms of the Ordinance, that a report of these appointments would be relayed from the University Executive to the Senate and the Court for information at their forthcoming meetings.

M164 SENIOR REMUNERATION, PROMOTION AND PROBATION PROCESSES

The UE received and discussed outline proposals, presented by the Director of Human Resources Development, which were aimed at improving the University's processes for remuneration, promotion and probation. The UE was invited to comment on the outline proposals. Key comments and recommendations emerging in the course of discussion included:

- disagreement voiced by several members of the UE to the proposed requirements in relation to senior academic internal promotions which would align these to requirements for new external appointments. This was viewed by some as unnecessary and burdensome. In general there was support for "lighter-touch" processes where possible;
- need for clarification on benchmarks that should be adopted;
- need to be explicit on the link between staff reward and achievements in accord with the University's strategic ambitions;
- need for further clarity on the function of HERA and the issue to be addressed of perceived lack of transparency in the operation of the HERA process within the University;
- whether sign-off of probationary targets by Deans should be seen as necessary part of the process. Views differed on this point;
- discomfort with the proposal that the current promotion procedures for Grades 1-7 might be extended to include opportunities for promotion as far as including Grade 9 to Grade 10. It was recommended that the proposed extension of the procedures should be capped at a lower level of post. If not, then the most senior level promotions should require the endorsement of the Secretary of the University;
- need to ensure parity of esteem between senior academic staff and the equivalent level Professional

Service staff;

- need to ensure equivalence across international campuses;
- need for further clarity in relation to the association with the PDR process, while ensuring that the debate that has already taken place within the University on completion of the PDR process as a pre-requisite for consideration for promotion is not re-opened;
- need for further consultation on the outline proposals. It was noted that the Senior Deputy Principal and the University Deans did not appear to have been included in the consultation process thus far; and
- a flow-chart method of explaining the processes involved would be helpful.

It was requested that the UE membership is supplied with information including the names of Professional Service staff who are appointed on grade 10.

The UE agreed that further consultation should take place with the Vice-Principal, the Senior Deputy Principal, the Secretary of the University and the Deans with a view to presenting revised proposals to the UE in December 2012 for approval for onward presentation to the trade unions through the CJNCC (Combined Joint Negotiating and Consultative Committee).

M165 ORACLE R12 UPDATE

The UE received and discussed a report, presented by the Group Financial Controller, on the Oracle R12 implementation plan and issues arising. It was noted that the current top priority of the finance team was on achieving production of reliable first quarter Management Accounts.

The UE noted the estimated final level of overspend against the agreed Oracle R12 project budget in the region of £800 k and it was agreed that a formal request for approval for the revised budget should be presented at the next meeting of the UE in December 2012.

The Principal emphasised his expectation that recent experience will not be repeated with a similar type of project in the future, i.e. project costs under-estimated and key processes jeopardised through system implementation.

M166 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted the Secretary's Board Bulletin dated October 2012 which was presented by the Secretary of the University.

In addition to the items reported in the bulletin, the Secretary of the University confirmed that implementation of the print strategy involving the distribution of Multi-Function Devices across Schools had not gone as well as expected. Reports from individual Schools would be invited in the very near future with a view to identifying and resolving problems being experienced.

M167 REPORTS FROM THE SECRETARY'S BOARD: MEETINGS HELD ON 2 OCTOBER AND 5 NOVEMBER 2012

167.1 Support for the Commonwealth Games 2014

The UE received and noted a recommendation, presented by the Secretary's Board, that the University should support staff volunteering at the 2014 Commonwealth Games. It was noted that the minimum level of volunteer commitment would be eight days (up to a likely maximum of eleven) plus a further commitment of three to four days of training and development. The specific recommendation of the Board was that the University should match half of the minimum commitment (of eight days), subject to the agreement of the relevant line managers.

The UE approved the recommendation in principle with the stipulation that volunteering arrangements must not interfere with the obligations of any employee who is required on the given dates to be on campus to deliver a particular service.

167.2 Health & Safety training

The Secretary of the University asked members of the UE to encourage their staff to complete the recently released compulsory online Health & Safety training.

167.3 Disposal of pathogens

The Secretary of the University and the Head of the School of Life Sciences updated the UE on a recent case within the School involving disposal of pathogens and advised that further work will be undertaken to ensure the correct procedures for pathogen disposal are widely communicated and understood across the University.

M168 PROPOSAL TO THE SCOTTISH FUNDING COUNCIL FOR ADDITIONAL STUDENT PLACES

The UE noted and discussed the University's proposals for additional funded student places which had been submitted for consideration by the Scottish Funding Council (SFC). It was noted that the proposals had been informed by preliminary consultation with Schools, initial discussions with FE College partners and negotiations with the SFC in the context of the Outcome Agreement process.

The UE noted that confirmation of the allocation to the University of additional places for new starts in 2013 was expected in November 2012.

The UE noted the imperative to at least fill to optimum levels the additional funded places that the University will be allocated, and noted also implications in relation to resource planning to support the additional student numbers including, inter alia, pastoral support.

M169 SCHOOLS' FINANCIAL PERFORMANCE AND PREPARATIONS FOR THE PLANNING ROUND

The UE received and discussed a presentation, delivered by the Vice-Principal, which set out Schools' financial performance in 2011/12 and consistency with strategic objectives. This was set in the context of likely external changes and a proposed provisional overall budget envelope for the 2013 Five-Year Plan.

The UE endorsed the provisional planning budget envelope presented noting that a revised envelope would be presented for the approval of the UE in January 2013. In the meantime there remained areas of uncertainty, for example, the net impact of the additional SFC funded student places allocated as part of the Outcome Agreement widening access initiative, and expected revisions to the Malaysia Campus business plan.

The UE endorsed alignment of the Five-Year Plan with the University Strategic Plan, the key aims of which were to achieve:

- +6% p.a. real-terms growth;
- £40 m p.a. research income by the last year of the Plan;
- Central Professional Services expenditure at 25.5% of academic income by the last year of the Plan;
- approximately £4.5 m p.a. for academic investments and growing provision for capital investment to approx. £5m p.a.;
- a surplus of > 7% by the last year of the Plan; and
- adequate annual contingency sufficient to cover incidental income shortfalls against budget in teaching and research.

The UE endorsed the proposal to delay a decision on release of the unutilised element of contingency within the current year budget until a robust First Quarter budget forecast is available.

The UE noted and endorsed proposed areas of focus in the November/December 2012 and spring 2013 planning round meetings.

M170 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and noted a report presented by the Deputy Principal (Learning & Teaching). All items were presented for information.

The UE received a set of Learning and Teaching Briefing papers which had been developed with the aim of providing a concise and informative overview of key learning and teaching related processes. The University Executive commended the approach adopted in the design of the briefings and recommended that this model be adopted more widely in the University. In particular there were HR related processes for which this style of presentation would be advantageous. The Principal encouraged sharing of the examples provided with the Director of HRD.

M171 REPORT FROM THE LEARNING AND TEACHING BOARD

The UE received, discussed and approved, for onward presentation to the Senate at its next meeting a report from the Learning & Teaching Board relating to the meeting of the Board held on 11 October 2012.

171.1 Annual Strategic Review 2011/12

The UE approved the Annual Strategic Review: Report on 2011/12 as presented for formal receipt, noting that the report would be presented also for the approval of the Quality & Standards Committee.

Other items presented for information

The UE noted other items presented in the report for information.

M172 ACADEMIC REVIEWS: MECHANICAL ENGINEERING AND EDINBURGH BUSINESS SCHOOL

The UE received and noted reports of:

- an Academic Review of the Mechanical Engineering discipline which took place in March 2012, noting that the School of Engineering & Physical Sciences would provide a one year progress report in April 2013; and
- an Academic Review and Internal Audit review which took place within the Edinburgh Business School in May 2012, noting that the School had been invited to submit a one year progress report in May 2013.

M173 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH AND KT)

The UE received and discussed a report presented by the Deputy Principal (Research & KT). All items were presented for information.

In relation to the REF2014 update included in the report:

- it was agreed that the UE should consider a report on REF related staff contract (eligibility) matters at its meeting on 13 December 2012;
- it was noted that work was ongoing in relation to impact case studies and environment statements. The Principal advised that he would welcome the opportunity to review draft textual submissions which are under preparation;
- the Principal conveyed his continuing dissatisfaction with the lack of prominence of research on the University's front web page and his view that resolving this matter quickly should be uppermost as a priority in the University's web development work.

M174 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the Senate at its next meeting, a report from the Research & Knowledge Exchange Board a report relating to the meeting of the Board held on 17 October 2012.

M175 HWUM MANAGEMENT, PLANNING AND FINANCIAL REPORTING

The UE received and discussed a report presented by the Vice-Principal and the Senior Deputy Principal for information and comment:

- accounting arrangements for HWUM across the University;
- an overview of the business relationship between HWU and HWUM, outlining the planning and accounting framework which will be the requirements of the HWUM Board, the University Executive and the Court;
- a summary outlining the way in which charges will be managed between HWU and HWUM, in particular in the context of service and royalty charges.

The UE agreed that the Senior Deputy Principal and the Vice-Principal (Malaysia) should consult further with Heads of Schools – through one of the regular School Heads' meetings to consider in greater detail how future income earned will be accounted for between Schools and the Malaysia Campus. It was agreed that the UE should receive an update report at its meeting in December 2012.

M176 HWUM REVISED PORTFOLIO DEVELOPMENT

The UE received and noted a report presented by the Senior Deputy Principal which set out in summary the current key assumptions adopted in relation to development over a 10 year plan period of the portfolio at HWUM. The report included indicative student entry and staff numbers.

No comments were raised in relation to the report and it was noted by the UE that the details were being discussed between the Vice-Principal (Malaysia) and Schools with the aim of firming the plan assumptions up by late November 2012.

M177 HWUM PROJECT UPDATE

The UE received and noted an update report on the HWUM project which had prepared for the Malaysia Oversight Board on the HWUM project and was presented by the Senior Deputy Principal.

The report highlighted recent progress in relation to campus premises; student accommodation; project finances; company governance; licensing and accreditation; staff appointments/HR developments; marketing/market research; issues and risks; and the timetable of key steps through to the end of the Project Phase in December 2014.

M178 ORAL UPDATE FROM HEADS OF SCHOOLS, V-PS (DUBAI/MALAYSIA)

The UE received and noted oral updates on news and developments in their respective Schools/Campus from the relevant Heads and Vice-Principal (Malaysia) who were present at the meeting.

M179 REPORT FROM THE RISK MANAGEMENT STRATEGY GROUP

The UE received and noted a report from the Risk Management Strategy Group relating to the meeting of the Group held on 9 October 2012.

M180 UNIVERSITY RISK REGISTER

The UE received and discussed a revised University Risk Register, agreed at the meeting of the Risk Management Strategy Group held on 9 October 2012, and approved this for onward presentation to the Audit and Risk Committee for consideration at its next meeting.

The UE noted School/ Professional Service Red/Amber Risks which had recently been escalated to the Strategic Risk Register.

The Deputy Principal (Learning & Teaching) advised that he will be arranging for Learning and Teaching related risk assessments to be considered and approved by the Learning & Teaching Board. The Secretary of the University confirmed that, as it was not possible to consult all Boards/Committees on the Risk Register at the same time, the Register was very much a live document which could be updated on a rolling basis.

The Secretary of the University and the Senior Deputy Principal confirmed that further development of the Risk Register in relation to international activities had been identified as a priority.

THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 13 December 2012

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Prof R J M Craik, Vice-Principal (Malaysia)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof A Walker, Senior Deputy Principal

Present also:

Mr M Adderley, Director of Human Resource Development for item M188

Mr A Downie, Group Financial Controller for item M189

Mr R McGookin, Director of Planning

Mr A Menzies, Director of Finance for item M189

Apologies:

Prof A Kaka, Vice-Principal (Dubai)

Mr A Kitchin, Business Director, Edinburgh Business School

M181 WELCOME/ ANNOUNCEMENTS

The Principal welcomed the Director of Human Resource Development who was attending for item M188.

The Principal welcomed the Director of Finance and the Group Management Controller who were attending for item M189.

M182 MATTERS ARISING AND ACTION LOG

182.1 Action Log

In relation to M175 of the last meeting, the Senior Deputy Principal confirmed that an initial meeting had been held with Heads of Schools and further discussion involving the Vice-Principal (Malaysia) would take place in the coming week.

182.2 Matters arising

There were no reported matters arising.

M183 MINUTES OF THE MEETING HELD ON 14 NOVEMBER 2012

The UE approved the minutes of the meeting held on 14 November 2012.

M184 BUSINESS REPORTED BY THE CHAIR

184.1 Appointment of Deputy Principal (External Affairs)

The Principal sought and received the endorsement of the UE for the appointment of Professor Gill Hogg to the position of Deputy Principal (External Affairs). It was noted that this appointment will replace the appointment of the Senior Deputy Principal when he leaves the University in September 2013.

The UE noted that progress would be made early in 2013 towards appointment of a new Head for the School of Management & Languages in replacement of Professor Hogg.

184.2 Assistant Principal

The Principal sought and received the endorsement of the UE for a change in role title for the Director of International Development to Assistant Principal. It was noted that the title was commensurate with the current level of responsibilities of the Director whose responsibilities would continue to grow in relation to the Malaysia Campus.

184.3 Outcome Agreement: additional funded student places allocation by the Scottish Funding Council (SFC)

The UE noted and discussed an update on recent news and planned next steps in relation to the allocation of additional funded student places by the SFC which was provided jointly by the Principal and the Director of Planning.

It was noted that the first round of Outcome Agreements had recently been published with a summary of selected actions and commitments relating to individual universities published on Universities Scotland webpages.

It was noted that Heriot-Watt University had secured 145 of some 2,000 additional undergraduate places to be funded by the SFC. On the basis of sustained recruitment meeting target over 4 years the additional resource associated with these student places would grow by 2016/17 to a value of £3.5 m recurrent per year, accounting for some 13% of the University's total SFC teaching funding.

The Principal reminded the UE that the funding was not entirely additional; the new places being funded partly through re-allocated funding relating to RUK students and partly by a 2% efficiency saving imposed on the general teaching grant. In the context of efficiency savings, the Principal also highlighted SFC's mandate to achieve a 2% efficiency saving on the Scottish main grant for research and knowledge exchange.

The UE agreed that further work will be required through the current year's planning round to determine the extent of additional professional service support that may be required to support growing widening access student numbers, the exact nature of this and the split between Schools and central support. It was noted that additional resources might extend also to a means-tested bursary scheme. The Deputy Principal (Learning & Teaching) agreed to consult with the relevant bodies and to provide a report setting out the student experience and financial case for additional investment, for consideration at the January 2013 meeting of the UE.

M185 CONSULTATION AND PUBLICATIONS LOG

The UE received and noted a report on external consultations communicated to the University with deadlines dates up to November 2012, noting arrangements for the co-ordination of the University's responses. The UE received and noted also a summary of recently published higher education-related publications.

M186 UNIVERSITY EXECUTIVE TERMS OF REFERENCE

The UE received and noted the Terms of Reference which were presented for annual review with a view to these being re-presented for approval at the meeting of the UE in January 2013.

UE members were invited to submit any comments to the Chair, via the clerk, by 10 January 2013. No comments / suggestions were made at the December 2012 meeting.

M187 CONSTITUTIONAL FRAMEWORK: DEFINITIONS

The UE received and approved, for onward presentation to the Court for approval, recommendations presented by the Secretary of the University in the form of proposed definitions to be applied to key components of the University's constitutional framework.

The UE noted the background to, and rationale for, the development of a commonly agreed set of definitions to be established with the aim of providing direction and support to enable good order to be achieved in the University's constitutional framework. In the shorter term the definitions would guide tidy up work to address areas of lack of clarity and/or anomaly; however, the definitions would also serve to support any fundamental review that may be progressed in the future.

The UE noted that the draft definitions, as presented, had previously been approved by: the Ordinances & Regulations Committee; the Senate Business Committee; the Senate; and the Learning & Teaching Board.

M188 REF2014 REVIEW OF CONTRACTUAL ARRANGEMENTS

The UE received and discussed a report, presented by the Director of HRD, which set out for clarification the eligibility status of staff groups in relation to REF2014. The report set out against each category of academic staff member: current and target REF2014 eligibility status; proposed actions in preparation for REF and the eligibility evidence required; and recommended longer term actions.

In relation to discussion on the process of review of individuals' employment contracts, Schools were advised that they should contact their HR Partner in the first instance if they consider a member of staff is on an inappropriate contract in relation to their research activity and/or REF2014, and were reminded of the arrangements for selection set out in University's REF Code of Practice.

The Director of HRD confirmed that there remained sufficient time to make any required contractual changes in support of REF eligibility. The Director also advised that, where research no longer forms a part of the role of a member of staff but remains explicit in their contract of employment, arrangements should be made to either negotiate a revised contract which removes the requirement for research outputs or to take appropriate steps to ensure that the role undertaken reflects the contractual terms. It was noted however that these arrangements need to be carefully considered against earlier agreement which encouraged flexibility within academic role descriptors.

The UE noted and approved the current plans, as set out, to be completed to meet the relevant REF deadlines.

M189 ORACLE R12

The UE received and discussed a report, presented by the Group Financial Controller and the Director of Finance, which set out the budget for the Oracle R12 project, as approved by the University Executive, and the estimated final completion cost of implementation.

The UE noted and approved an estimated cost over-run against budget of not more than £1.09 m in relation to the project. It was noted that, on the basis of the forecast completion cost, annual depreciation charges (over a five year period) will amount to an annualised figure of £462 k compared to the originally forecast £244 k.

The Vice-Principal confirmed that the additional project costs will be met in the current year from the Professional Services budget, the originally agreed budget having been contained within the Finance Office cost centre.

Reserved section (Ref Section 30, FOI(S)A)

In response to points raised in the course of the UE discussion, the Group Management Accountant

agreed to provide a brief report setting out the benefits of Oracle R12(functionality and reporting over and above that provided by the previous system). The UE viewed this as an important step in building the confidence of the University community in the Oracle R12 investment.

M190 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted the Secretary's Board Bulletin dated November 2012 which was presented by the Secretary of the University. All items were presented for information. No comments were raised in relation to the report.

M191 REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and noted a report presented by the Secretary of the University on behalf of the Campus Services Management Board. All items were presented for information.

In the course of discussion attention was drawn, inter alia, to the matter of the reported shortfall in Long Term Maintenance (LTM) spend in the current year. The report confirmed the intention of the Board to review LTM budget provision over the past five years. The Vice-Principal highlighted that the current year's LTM budget allocation was not at the level planned for in the 2011/12 planning round and advised that steps will need to be taken to re-instate an adequate budget.

M192 REPORT FROM THE SENIOR DEPUTY PRINCIPAL

The UE received and noted a report, presented by the Senior Deputy Principal, which set out details of arrangements for implementation of a new approach to the Academic Time Survey, as agreed by the UE in September 2012.

The UE agreed that the relevant forms should be provided to Heads of Schools for further dissemination and co-ordination within their respective Schools with the new form survey to be implemented with immediate effect. The Senior Deputy Principal advised that the deadline for submissions will be end of February 2013. It was noted that there would be an opportunity, at the discretion of Heads of School, to align the process with the annual PDR round for academic staff. It was noted also that the survey will not apply to HWUM staff for the time-being.

M193 MALAYSIA PROJECT UPDATE

The UE received and noted an update report on the HWUM project which had prepared for the Malaysia Oversight Board on the HWUM project and was presented by the Senior Deputy Principal.

The report highlighted recent progress in relation to campus premises; student accommodation; project finances; the business plan; licensing and accreditation; staff appointments/HR developments; marketing and publicity; and recent thinking in relation to the timetable for the start of different degree programmes, student recruitment/numbers and academic staff requirements.

UE discussion focused in particular on the matter of meeting resource quotas as advised by the Malaysian Authorities. It was noted that, in the process of reviewing the business case, due consideration was being given to the resources that can be made available at least in the shorter term from the Edinburgh Campus. The Principal emphasised the need in the business plan to calibrate investment in new additional resources at HWUM to income earned through recruited student numbers.

The Secretary of the University advised on plans to develop Service Level Agreements (SLAs) for Professional Services to be provided to help support the Malaysia Campus.

In relation to the timing of development of an updated Business Plan for HWUM, the Vice-Principal confirmed the requirement that this will satisfy the current year's planning round.

M194 PARTNERSHIP WITH BAKU HIGHER OIL SCHOOL IN AZERBAIJAN

The UE received, noted and approved a proposal, presented by the Senior Deputy Principal, for a partnership with the Baku Higher Oil School for the delivery of dual degrees in BEng Chemical Engineering and BEng Petroleum Engineering. The UE noted that it was intended that the University would sign-off the agreement in the course of the coming week.

The UE noted that the programmes for delivery under the Collaborative Agreement had been approved by the Undergraduates Studies Committee, the Agreement itself had been reviewed by the University's solicitor and the Vacancy Management Group had approved the business case, authorising the relevant staff appointments for delivery of the project. The ten year financial plan presented to the UE confirmed the expectation that the collaborative arrangement would generate a surplus from the first year of operation.

M195 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report presented by the Senior Deputy Principal on behalf of the International Strategy Board. The report related to the meeting of the Board held on 1 November 2012. All items were presented for information.

M196 STUDY GROUP: INTERNATIONAL STUDY CENTRE, HERIOT WATT UNIVERSITY

The UE received and discussed a report which was presented jointly by the Senior Deputy Principal and the Deputy Principal (Learning & Teaching) on behalf of the International Strategy Board.

The UE was invited to consider the report with a view to recommending a course of action to be taken in forthcoming negotiations over the future relationship and agreement between Heriot-Watt University and Study Group.

It was noted that, under the terms of the current Agreement between the two bodies, a formal review of the relationship should be undertaken in December 2012, to include a "*recommendation about the continuation of the relationship and recommendations for the further development of the relationship for the benefit of both parties.*"

The UE noted relevant extracts from the original agreement between the University and Study Group.

The Deputy Principal (Learning & Teaching) highlighted key areas for consideration when determining how the University should approach the negotiations with Study Group:

- **Reserved section (Ref Sections 30, 33 FOI(S)A).**

M197 FIVE-YEAR PLAN UPDATE

The UE received and discussed an update report presented by the Vice-Principal on development of the 2013 Five-Year Plan. The report focused in particular on current assumptions in relation to changes over the 2012 plan, consistency of the Plan with strategic targets, a proposal for use of academic investment provision; and a proposal for the framework for planning envelopes. The provisional envelope was based, inter alia, on best guess estimates in relation to the SFC preliminary announcement of main grants for 2013/14 which would be released on 19 December 2012.

The UE endorsed the updated envelope which incorporated:

- Professional Services: no change in overall envelope;
- core based on 2012 Plan overlaid with SFC additional funded student places pro-rata, continued RUK over-performance, continued UG overseas over-performance sustained;
- School investments based on defined numbers of additional academic appointments with 300K p.a. per head income achieved by year three of each appointment;
- provision for the PhD Studentship scheme;
- sufficient contingency to support any shortfall relative to plan in research income;
- replacement of SFC 'capital grant';
- assumed 1.5% increase in pay costs in 2013/14, as against 1% in previous plan;
- revised preliminary figures for Malaysia, pending completion of review of business case and

- assumption of returns being made one year later than the original plan;
- provisions for restructuring and spend to save projects; and
- envelope for 2017/18 defined by the Strategic Plan.

The UE discussed the impact of new academic appointments on physical space. While it was not possible to predict space requirements in details ahead of appointments being made, Heads of Schools were encouraged by the spring planning round to have considered likely general/office space needs through the planning period and to have developed an options appraisal across the whole spectrum of potential future space needs.

The UE noted that a further iteration of budget envelopes would be presented to the UE for approval at its meeting in January 2013. In the next iteration, it was intended to increase the percentage surplus on the University's bottom line to at least 3% in 2013/14.

The UE discussed and expressed its support for the planned refresh and re-launch of the Global Platform advertising initiative to generate new academic appointments. It was intended to adopt a more focused approach including local advertising within Schools highlighting specific areas of research strength and staff recruitment interest.

M198 PHD STUDENTSHIP ALLOCATIONS 2013 / 14

The UE discussed a report, presented by the Vice-Principal, which set out proposals for numbers of James Watt Studentships to be allocated to each School in 2013/14 and preliminary allocations for 2014/15. These included proposed joint allocations with the University of Edinburgh (UoE) and allocations in support of Centres for Doctoral Training (CDT) proposals which would be relevant in 2014/15.

The UE approved the proposal to increase the number of Studentships from 50 to 60 in 2013/14 and, in principle, to repeat this allocation in 2014/15, budget permitting.

The UE endorsed a further proposal by the Principal and agreed that a round total of 50 joint Studentships between the University and the University of Edinburgh would enhance promotion of the new strategic alliance. The pattern of allocation for 2013/14 was thereby agreed to be: Schools – 35 and HWU/UoE – 25. No CDT allocations will be required in 2013/14, however a preliminary allocation of 20 will be made in 2014/15 with a commensurate reduction being made against the overall Schools' allocation.

The UE agreed that a proposal should be presented to the UoE in accord with the above decision.

The UE approved the proposed allocation of studentships for general use to individual Schools, to be reduced slightly on a pro-rata basis in the light of the UE's decision to reduce the total number by five and transfer this number to the proposed joint HWU/UoE Scholarship allocation.

M199 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and discussed a report, presented by the Deputy Principal (Research & KT), which provided updates on: the value of research grants and contracts awards and proposals up to end October 2012; REF2014 preparations; and Heriot-Watt Crucibles IV and V.

The Deputy Principal drew attention to the relatively strong position achieved in the first four months of the financial year in relation to research grants and contracts with the value of awards standing at £10.1 m and value of proposals standing at £67.7 m, both values substantially above the comparable figures for 2011/12.

The UE approved a proposal, as recommended by the REF Steering Group, for the inclusion of a Heriot-Watt REF submission to the UoA 'Agriculture, Veterinary and Food Science', thereby increasing to twelve, the number of UoAs against which the University will make a submission.

The Deputy Principal (Research & KT) confirmed that draft REF 3a and REF5 submissions will be made available for review by a small group of colleagues, including the Principal, Vice-Principal, Senior Deputy Principal and Deputy Principal (Learning & Teaching). It was also proposed that the Principal will have the opportunity to discuss submissions with the relevant individuals.

The UE agreed that proposed research output quality selection criteria should be presented to the UE for approval at its meeting in January 2013.

M200 RESEARCH AND KNOWLEDGE EXCHANGE INCOME REVIEW

The UE received and noted a paper presented by the Deputy Principal (Research & KT) for information. This reported on the University's performance across the key indicators of research intensity, the purpose of which was to provide a platform for the development of operational plans underpinning the University's strategic aims for research set out in the Strategic Plan.

M201 RESEARCH AND KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Research & Knowledge Exchange Board which related to the meeting of the Board held on 9 November 2012.

The UE raised no comments in relation to the report of the Board.

M202 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and noted a report presented by the Deputy Principal (Learning & Teaching). All items were presented for information.

The DP drew attention in particular to the proposal to purchase a 'Programme and Course Repository Approvals System' which had previously been approved by the Secretary's Board. The existing system had been judged no longer fit for purpose.

The UE noted that PAG had been invited to consider the proposal in the context of bids against the release of unused contingency element of the budget in the current year. The Vice-Principal highlighted the dual nature of the proposed investment with Heriot-Watt University Malaysia needs prominent as a driver for the new system.

M203 SCHOOL ANNUAL MONITORING AND REVIEW / KPI MEETINGS 2012

The UE received and noted a report which was submitted by the Deputy Principal (Learning & Teaching) on behalf of the Quality & Standards Committee and the Learning & Teaching Board.

The report summarised key issues emerging from discussions with Schools in relation to Schools' Annual Monitoring and Review (AMR) reports from 2010/11, Learning and Teaching Key Performance Indicators from 2011 and a proposed process and action plan for AMR in the future.

M204 HWUM KEY ACADEMIC AND MANAGEMENT PROCESSES: THE ROLE OF HEADS OF SCHOOL INSTITUTE (HWU) AND ACADEMIC HEADS (HWUM)

The UE received and discussed a briefing report presented by the Deputy Principal (Learning & Teaching) which summarised the proposed respective roles of HWU Heads of Schools and Academic Heads in HWUM which had been endorsed by the HWUM Project Board for onward presentation to the UE.

In the course of discussion UE members formed the view that the reported proposals should be developed in more detail. Particular comments highlighted concern to avoid the addition of a further tier of review to current procedures for handling student appeals and complaints, and the need for effective procedures which serve the requirements of both HWU Heads of Schools and HWUM Academic Heads in relation to student admissions requirements given the factor of student transferability.

The UE agreed to invite the Deputy Principal (Learning & Teaching) and the Vice-Principal (Malaysia) to consult further with a small group of School Head representatives to further develop the underlying detail of the proposals for presentation at a future meeting of the UE.

M205 REPORT FROM THE LEARNING AND TEACHING BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Learning & Teaching Board which related to the meeting of the Board held on 14 November 2012.

The UE raised no comments in relation to the report of the Board.

M206 ORAL UPDATES

The UE noted oral news updates from attending Heads of School and the V-P (Malaysia).

Signature

Date

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 23 January 2013

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)	Prof J Jones, Vice-Principal
Prof U Boser, Acting Head of School, Management & Languages (SML)	Ms L Kirkwood-Smith, (Clerk to the UE)
Prof R J M Craik, Vice-Principal (Malaysia)	Mr A Kitchin, Business Director, Edinburgh Business School
Ms A-M Dalton, Secretary of the University	Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)
Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)	Prof D Stow, Head of Institute, Petroleum Engineering (IPE)
Prof A Harley, Head of School, Textiles and Design (TEX)	Prof A Walker, Senior Deputy Principal
Prof D Hopkins, Head of School, Life Sciences (SLS)	

Present also:

Mr R McGookin, Director of Planning	Ms Shirley Smillie, Executive Officer, Principal's Office (observing)
Mr A Menzies, Director of Finance for item M18	

Apologies:

Prof A Kaka, Vice-Principal (Dubai)	Prof G Pender, Head of School, The Built Environment (SBE)
Prof A Miller, Deputy Principal (Research & KT)	Prof J W Sawkins, Deputy Principal (Learning & Teaching)

M01 WELCOME / ANNOUNCEMENTS

The Principal welcomed Andrew Menzies, Director of Finance, who was attending for item M18.

The Principal introduced Ms Shirley Smillie, Executive Officer, Office of the Principal, who was attending as an observer.

M02 MINUTES OF THE MEETING HELD ON 13 DECEMBER 2012

The UE approved the minutes of the meeting held on 13 December 2012.

M03 ACTION LOG AND MATTERS ARISING

3.1 Action Log

The UE noted actions and related updates as reported in the Action Log.

3.2 Matters arising

There were no reported matters arising.

M04 BUSINESS REPORTED BY THE CHAIR

4.1 Business Director, Edinburgh Business School:

The Principal sought and received approval from the UE for a change of job title for the Business Director, Edinburgh Business School to 'Joint Head of School'.

4.2 British Geological Survey:

Reserved section (Ref Sections 30, 33 FOI(S)A).

4.3 Undergraduate student applications:

The Principal and the Director of Planning provided the UE with a presentation which summarised the current level of undergraduate student applications for 2013 entry.

The UE noted the University's overall highly positive position, reflected in an overall 11% increase in applications to Heriot-Watt compared with the same period in 2012. This represented three times the comparable average growth across the UK and double the average growth in Scotland. Increases were noted in each of the key student categories and, most notably, in the level of Rest of UK (RUK) applications. Although highly variable, increased numbers of applications were reported for every School. It was noted, at the time of reporting, that approximately 90% of anticipated total UK and EU applications had been received with approximately 60% of anticipated total overseas applications having been received.

It was agreed that UE members would be provided with a copy of the Director of Planning's presentation following the meeting.

The Director of Planning confirmed that information on PGT student applications would be included in a more detailed updated presentation to the UE at its meeting on 28 Feb 2013.

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

M05 CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a report on external consultations communicated to the University with deadline dates up to December 2012, noting arrangements for the co-ordination of the University's responses.

The UE received and noted also a summary of recently published higher education-related publications.

M06 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING AND TEACHING)

The UE agreed to defer consideration of this item until the next meeting of the UE at which the Deputy Principal (Learning & Teaching) will be present.

M07 MASS OPEN ONLINE COURSES (MOOCS)

The UE agreed to defer consideration of this item until the next meeting of the UE at which the Deputy Principal (Learning & Teaching) will be present.

It was noted that a discussion report on MOOCs will be presented at the March 2013 meeting of the Court.

M08 REPORT FROM THE LEARNING & TEACHING BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Learning & Teaching Board which related to the meeting of the Board held on 13 December 2012. All items were presented for information.

M09 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

In the absence of the Deputy Principal (Research & KT) this item was removed from the agenda. It was noted that the UE would receive a report at its next meeting to be held on 28 February 2013.

M10 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Research & Knowledge Exchange Board which related to the meeting of the Board held on 12 December 2012. All items were presented for information.

M11 REF SELECTION CRITERIA

This item was removed from the agenda, because of absence due to illness of the Deputy Principal (Research & KT).

(Addendum: UE consideration and approval of this item was conducted by correspondence following the 23 January 2013 meeting.)

M12 REPORT FROM THE SENIOR DEPUTY PRINCIPAL: HWUM MANAGEMENT, PLANNING AND FINANCIAL REPORTING

The UE received and discussed a report, presented by the Senior Deputy Principal, which set out the ways the University planned to report on Malaysia Campus finances at different levels across the University. It was noted that the report represented a further development, following further consultation with Heads of School, of outline proposals considered by the UE at its meeting in November 2012.

The UE was noted that it was intended that the report would be a working document, subject to change in accordance with evolving circumstances. The UE therefore approved the proposals while recognising that relatively minor alterations may be required to the operational detail.

The UE recommended for clarity that, under 6.5 (page 6) the wording should be changed from "... consistent with the original plan..." to "... consistent with the agreed plan ..."

It was noted that the HWUM Board will be responsible for approving the annual company accounts and for ensuring that these are submitted at the correct time to the Finance Committee and the Court for prior comment. It was clarified that in references to HWU Group accounts this should be taken to include EBS activities as well as all HWUM activities The Five-year plan approved by the Court in June each year will incorporate the plan for HWUM.

M13 HERIOT WATT UNIVERSITY MALAYSIA: UPDATE

The UE received and discussed an update report, presented by the Senior Deputy Principal. The report highlighted recent progress in relation to campus premises; student accommodation; business plan update; licensing and accreditation; staff appointments/HR developments; and marketing and publicity. Key matters of note included matriculation of 17 students to the MBA programme and the first classes being held at the campus at the start of January. The UE noted that the updated HWUM business plan was approaching completion.

The UE discussed work in progress towards submission of accreditation documentation to the MQA according to the agreed programme portfolio and priorities for 2013/14 and 2014/15.

It was noted that in order to give the Malaysian Authorities as much time as necessary to process the relevant submissions, acceleration of, and prioritisation within, the University's internal approval processes will be essential. It was noted that both short-term and long-term solutions will need to be implemented to meet time challenges; the latter involving consideration of supporting new software.

The Principal requested that Heads of Schools give priority in the meantime to ensure swift as possible processing of the relevant course documentation and internal approvals.

M14 UPDATE ON HWUM BUSINESS PLAN

The UE noted and discussed a report, tabled by the Senior Deputy Principal, which provided a first working draft summary of student number and financial planning assumptions in relation to the revised

HWUM business case under development. Comparisons against the original business case, as presented to the Court in October 2011, were included. The UE agreed that the report should be considered, as a first working draft, by the Malaysia Project Oversight Board at its meeting on 24 January 2013 and noted that the draft plan will form the basis of the review to be conducted by the appointed external consultants over the course of February 2013.

It was noted that the results of the review by the consultants would be presented for consideration by the UE in March 2013, ahead of presentations to the Finance Committee and the Court and inclusion in the University's 2013 Five-Year Plan.

The UE noted that the emerging revised plan demonstrated that HWUM will provide returns on the University's investment, albeit at a lower rate than originally envisaged and represented a sustainable enterprise over the longer term.

The Vice-Principal asked UE colleagues to ensure that all resources provided by the Edinburgh Campus to support HWUM are accounted for in the developing Five-Year Plan as soon as possible.

It was agreed that contingency budget associated with HWUM should form part of the University's group contingency rather than be set as a separate element. It was noted that the Vice-Principal and the Senior Deputy Principal would consider the required level of HWUM-related contingency, and agreed that the Malaysia Oversight Board be advised of plans.

M15 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report presented by the Senior Deputy Principal on behalf of the International Strategy Board which related to the meeting of the Board held on 11 December 2012. All items were presented for information.

M16 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a bulletin report dated December 2012 which was presented by the Secretary of the University.

On the invitation of the Secretary of the University the UE discussed the purpose and usefulness of the regular monthly bulletin forming the Secretary's report. It was noted that the bulletin was designed as a news update resource aimed at the University community at large. The monthly report of the Board the UE provided the account of the work of the Board and the Secretary of the University advised that fundamental strategic level problems only would be highlighted in reports for consideration by the University Executive.

UE members were invited to submit any further comments to the Secretary.

M17 REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report presented by the Secretary of the University on behalf of the Secretary's Board which related to the meeting of the Board held on 4 December 2012. All items were presented for information.

The UE received and noted for information updated Display Screen Equipment Procedures as part of the University Health & Safety Policy which were appended to the report of the Board for information

M18 ORACLE R12 UPDATE REPORT

The UE noted and discussed an update report on Oracle R12 implementation which was provided by the Director of Finance.

The Director of Finance advised that detailed information on total project costs would be available to senior management in March 2013. It was noted that the UE, at its meeting in December 2012, had approved additional budget costs for Oracle R12 implementation of up to £1.09 m.

The UE noted that the primary focus of the Finance Office was to continue to provide reliable management accounts and in the near future this would include mid-year accounts. The Finance Office team were also working hard on research grant and contract reporting and while there might be remaining presentational issues, the key aim will be to ensure that the data is reliable. It was aimed to run reports for January 2013 and release these to Schools by the end of the week ahead. The UE noted that an all staff email had been released updating the University community on implementation progress.

In response to a question raised about system support, the Director of Finance confirmed that up-skilling of the internal support team will be an essential factor in forward plans to support the system and the required external technical support will be available.

It was agreed that further discussion between the Head of School, EPS and the Director of Finance in relation to IT support for research grants and contracts conciliation work should be taken off-line.

M19 FIVE-YEAR PLAN UPDATE

The UE noted and discussed a presentation on the developing Five-Year Plan (2013-2017), presented by the Vice-Principal, and approved the proposed methodology for calculating planning envelopes based on the 2012 plan with certain modifications:

In summary these incorporated:

- no change in the overall envelope for Professional Services and Hospitality Services except with the addition of additional investments for student support and 'spend to save' investments;
- Schools: core teaching grant/additional funded places; academic staff, PhD studentship and other investments; and pro-rata increased contributions for investments;
- EBS: based on 2012 Plan, but work-in-progress;
- inclusion of the agreed level of capital investment;
- achievement of a minimum 3% surplus in the early years; and
- 2017–2018 envelope defined by the University Strategic Plan

It was noted that key areas of uncertainty in the draft Plan included later year SFC grant income; REF impact on core Research funding; and the revised Malaysia Campus business plan still under development.

It was noted that revised assumptions would be reported to Schools in March 2013, (for example, Knowledge Transfer Grant information was awaited); however, planning envelopes would be adjusted to make revisions neutral.

It was noted that, in the summer months, it was intended to review the University's formula for core teaching grant distribution across schools. A forecast would also be undertaken of post-REF Research Excellence Grant income. It was noted also that the Plan had yet to be tested against existing bank covenants. It was intended to re-negotiate these by summer 2013.

The Vice-Principal confirmed that he would follow up his presentation with a paper for distribution to the UE membership.

M20 REPORT FROM THE RISK MANAGEMENT STRATEGY GROUP

The UE received and noted a report from the Risk Management Strategy Group relating to the meeting of the Group held on 15 January 2013. The UE endorsed the report. The Secretary of the University highlighted the importance of regular attendance at Risk Management Strategy Group meetings by the relevant senior colleagues.

M21 UNIVERSITY RISK OVERVIEW AND REGISTER

The UE received, discussed and approved an updated Group Risk Overview and Register for onward presentation to the Audit & Risk Committee at its meeting on 7 February 2013, noting the following:

- highlighted red risks which had been considered and reported on by the Risk Management Strategy Group;

- in relation to REF readiness the UE agreed that, once the University has been able to run data through the REF financial modelling tool, any risks at both UoA and University level will become more clear;
- the new strategic risk incorporated in the Register relating to capital projects; and
- agreement by the Secretary of the University to investigate with the Head of Risk and Audit Management the reason for the absence from the Register of submissions from the School of Management & Languages; and

M22 INTERNAL AUDIT REPORT: PROCUREMENT

The UE received and noted an Internal Audit Report on 'Procurement', undertaken as part of the 2012/13 Internal Audit Plan.

No comments were raised in relation to the proposed management actions, therefore these were endorsed by the UE. It was noted that the report will be presented for consideration by the Audit & Risk Committee at its meeting to be held on 7 February 2013.

M23 INTERNAL AUDIT REPORT: STUDENT RECRUITMENT AND ADMISSIONS

The UE received and noted an Internal Audit Report on 'Student Recruitment and Admissions', undertaken as part of the 2012/13 Internal Audit Plan.

No comments were raised in relation to the proposed management actions, therefore these were endorsed by the UE. It was noted that the report will be presented for consideration by the Audit & Risk Committee at its meeting to be held on 7 February 2013.

M24 ORAL UPDATES FROM HEADS OF SCHOOLS AND VICE-PRINCIPAL (MALAYSIA)

The UE received and noted oral updates on news and developments in their respective Schools/Campus from the relevant Heads and the Vice-Principal (Malaysia) who were present at the meeting.

M25 ANNUAL REPORT OF THE COLLECTIONS COMMITTEE AND COMMITTEE TERMS OF REFERENCE

The UE received and approved, without comment, the following for onward presentation to the Finance Committee:

- the Annual Report for 2012 as approved by the Collections Committee for formal receipt and information; and
- revised Terms of Reference of the Collections Committee presented for approval of the University Executive and the Finance Committee.

M26 UNIVERSITY EXECUTIVE: TERMS OF REFERENCE

The UE received and approved revised Terms of Reference for the University Executive in the context of the regular programme of annual review of Terms of Reference.

It was noted that the reference in the composition to the 'Senior Deputy Principal' had been superseded by a reference to 'All Deputy Principals'. It was recommended for consistency that other relevant committee Terms of Reference be updated likewise.

M27 RISK MANAGEMENT STRATEGY GROUP: TERMS OF REFERENCE

The UE received and approved, without comment, revised Terms of Reference for the Risk Management Strategy Group.

**THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 21 March 2013**

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Professor Gill Hogg, Deputy Principal (External Affairs)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Present also:

Mr M Adderley, Director of HR for item M64

Mr R McGookin, Director of Planning

Mr A Menzies, Director of Finance for items M62 and M63

Apologies:

Prof R J M Craik, Vice-Principal (Malaysia)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof A Kaka, Vice-Principal (Dubai)

Prof A Walker, Senior Deputy Principal

M55 WELCOME / ANNOUNCEMENTS

The Principal welcomed Mark Adderley, Director of Human Resources, and Andrew Menzies, Director of Finance, who were attending for items M62, M63 and M64.

M56 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 28 February 2013.

M57 MATTERS ARISING AND ACTION LOG

57.1 Action Log

The UE noted actions and related updates as reported in the Action Log.

57.2 Matters arising

There were no matters arising.

M58 BUSINESS REPORTED BY THE CHAIR

58.1 NSS

The Principal updated the UE on NSS response rates, highlighting where response rates were highest and areas which required further input from Schools to increase the response rate.

58.2 UE effectiveness

The Principal sought the views of the UE membership on the UE's effectiveness in relation to the established annual schedule of business and structure of meeting agenda.

Feedback from members suggested that there was insufficient time for topical strategic discussions in the year. Ways to resolve this would include use of twice yearly away days and frequent inclusion of strategic items in UE meeting agenda.

It was also suggested:

- time could be saved by avoiding oral repetition of information already reported in writing;
- discussion focused on key issues arising, e.g. HR issues, would be of greater value than receiving a biannual report from HRD, as currently. Associated with this there was a gap in relation to industrial relations and some form of reporting to the UE from the Combined Joint Negotiating & Consultative Committee should be established; and
- there ought to be close involvement of Schools in the developing Professional Services Plans; however engagement via Heads of Schools' meetings rather than via the UE would be a more most effective way to achieve this.

58.3 Executive team development events

The Principal sought the views of the UE membership on future executive team development events. The broad view was that greater value would be gained from opportunities via April and October away days to engage in topical strategic discussions.

58.4 UE Strategy Away Day

The UE noted that an agenda was being developed for the UE 'Away Day' to be held on 25 April 2013. It was noted also that there would be an opportunity to include an October strategic discussion meeting in the annual schedule.

UE members were asked to advise the UE clerk if they have suggestions for topics which ought to be included in the programme for either the April or an October 2013 meeting. It was noted that the following had been included in a draft agenda for April: space planning; equality & diversity; and horizon scanning.

M59 CONSULTATION AND PUBLICATIONS LOG

The UE received and noted a report on recent publications relevant to the higher education sector.

M60 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and noted a report prepared and presented by the Deputy Principal (Research & KT). All items were presented for information. The Deputy Principal drew attention in particular to the highly positive period 7 report which confirmed the accrued value of research grants and contracts proposals and awards compared to financial year 2011/12.

The report included a list of the names of individuals who had been appointed over the past three years under the Global Platform initiative. Heads of Schools were asked to check the information reported for completeness and accuracy.

The Deputy Principal also highlighted current efforts across the University in development of planned Doctoral Training Centre applications.

The UE received and discussed two further papers which were tabled at the meeting by the Deputy Principal:

- a summary report of the University's progress, as known at 18 March, in completing the text-based forms for the REF 2014; and
- a summary report of the outcomes of the third round of REF2014 Unit of Assessment (UoA) Selection Panel Meetings as of 21st March 2013 which confirmed numbers within each UoA designated as selected, excluded and decision pending.

The UE noted the challenge reported by the Deputy Principal in terms of volume of work to complete the text based forms for REF submission including the collation of reliable supporting data.

In relation to REF selection decisions, the Deputy Principal highlighted that efforts would continue over the next few weeks to resolve as many "decision pending" cases as possible. Firm decisions would not be confirmed without review of all the relevant supporting evidence. The UE noted that it appeared unlikely that the volume of staff returned would meet the RAE2008 level; however the overall quality of the submission will be higher in REF2014.

It was noted that the Court Away Day in May 2013 will be entirely focused on research and it was agreed that, as part of the information presented, the Court should receive a brief (5 minute) update on the University's REF2014 preparations which is sufficient to assure the Court that the University is managing these effectively and plans remain on-track. A key message that the University will want to convey is the strong focus on the University's quality profile – for both reputational and financial reasons.

M61 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Research & Knowledge Exchange Board which related to the focus meeting of the Board held on 11 February 2013. The report was presented for information.

The Deputy Principal (Research & KT) confirmed that the draft research and knowledge exchange strategy document will be presented at the next meeting of the UE.

M62 MANAGEMENT ACCOUNTS FOR THE PERIOD TO 31 JANUARY 2013 (HALF-YEAR)

The UE received and noted Management Accounts for the period to 31 January 2013 which were presented by the Director of Finance.

It was noted that the currently reported year-end forecast was a surplus of £2.6 m, i.e. £0.5 m worse than budget. However, it was noted that the reported figure assumed full release of the unused portion of the contingency budget while a decision has yet to be made on the amount which will actually be releasable.

It was noted that there had been two unexpected hits against budget in the year relating to a payment made to the Lothian Pension Fund and another significant item of expenditure to write-off a piece of unidentified construction in progress work. Work remained outstanding in relation to forecasting associated with several Schools.

The Principal asked that the Finance Office, working with Schools and with the Vice-Principal, should move as quickly as possible to a forecast which brings the University's year-end position back into line with budget, and so that the level of releasable contingency fund can be determined and allocated to projects swiftly. School Heads were advised that they should focus in the next week to reach a point where they can confirm their revised forecasts complete with mitigation plans where these are required.

M63 ORACLE R12 UPDATE

The UE noted and discussed an update on Oracle R12 implementation from the Director of Finance and issues arising.

It was noted that the University expected completion by the external contractors at the end of March 2013 with a suite of reporting having been developed. Internal resources would be deployed to take forward further development of the system.

The UE discussed the need to refresh efforts to engage and properly equip staff as potential users of the system, especially the relevant colleagues in Schools.

M64 BI-ANNUAL REPORT FROM HUMAN RESOURCES DEVELOPMENT

The UE noted a six monthly report on Human Resources Development activities which was presented by the

Director of HR.

All items were presented for information only with the exception of Appendix 4 of the report which set out appointments (new appointments and promoted positions) made under *Ordinance 16: Appointment of Academic Staff, Professional Services Staff and of the Librarian* in the period 1 August 2012 to 28 February 2013. In terms of the Ordinance, the UE is responsible for onward reporting of this information to the Senate and to the Court.

M65 EFFICIENT GOVERNMENT RETURN

The UE received the draft Efficient Government Return (outturn year 2011/12) to the SFC which was presented by the Secretary of the University.

UE members were asked to advise the Secretary of the University of any contributions made to efficient government objectives which were not already included in the draft return. It was noted that the deadline date for final submissions is 5 April 2013.

M66 REPORT FROM THE SECRETARY OF THE UNIVERSITY: HWU EQUALITY OUTCOMES

The University Executive received and approved draft HWU Equality Outcomes (2013 to 2017) for University-wide consultation and subsequent publication by 30 April 2013 in compliance with the Equality Act 2010.

The UE noted the aims of 'equality outcomes' to achieve results to further one or more of the three main needs associated with the general duty under the Act. It was noted that following publication by 30 April 2013, the University will be required subsequently to review and publish a report on progress against equality outcome aims by 30 April 2015.

M67 REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report, presented by the Secretary of the University on behalf of the Secretary's Board, which related to the meeting of the Board held on 5 March 2013. All items were presented for information and no comments or questions were raised in relation to the topics reported.

M68 REPORT FROM THE DEPUTY PRINCIPAL LEARNING & TEACHING

The UE received and noted a report prepared and presented by the Deputy Principal (Learning & Teaching). All items were presented for information. The Deputy Principal reminded UE members that the open consultation period on the Learning & Teaching Strategy will end on 29 March 2013.

The Principal drew attention to the very useful and informed discussion on MOOCs which had taken place at the Court on 11 March 2013 led by the Deputy Principal (Learning & Teaching).

M69 Reserved section: ref Section 30 FOI(S)A).

M70 Reserved section. Ref Sections 30, 33, FOI(S)A).

M71 STUDENT APPLICATIONS AND OFFERS UPDATE

The UE received and noted a report on Scottish campus student applications and offers as at mid-March 2013 which was presented by the Director of Planning.

The UE noted that undergraduate applications overall had continued to run ahead of the same period in the previous year by similar margins to those which were reported to the UE at its meeting in February 2013. The UE noted variability between Schools across all the relevant student categories while the overall picture remained very positive.

It was noted that all applicants by 15 January were scheduled to receive an offer or a rejection by the end of

March 2013. The UE noted the report of the current status of applications and offers in relation to SIMD 20/40 candidates.

Reserved section.

M72 ATHENA SWAN APPLICATION

The UE noted and discussed a working draft of the University's Athena SWAN Bronze university award application which was presented by the Head of EPS as Chair of the Athena-SWAN Self-Assessment Team. It was noted that the application would be developed further following a process of consultation within the University. It was noted that a final draft would be presented for UE approval ahead of the submission deadline of 30 April 2013.

The UE broadly endorsed the approach taken in development of the application but raised the following comments:

- there was an absence of vision in the document describing what future success will look like;
- the necessary actions arising from the plan must be embedded in all the relevant processes across the University with alignment of University policies and procedures in ways which support Athena SWAN aims;
- need to heighten awareness across the University generally about Athena SWAN aims and to manage different perceptions among staff;
- need for double-checking of the supporting data in the application;
- need to explain further the impact on gender balance that occurred in the executive change from the PME to the UE;
- strong linkage of Athena SWAN aims to the University's Equality Outcomes. Equality & Diversity will be a topic led by the Secretary of the University for discussion at the UE Strategy Discussion day on 25 April; and
- it is possible that the outcome of the University's application will not be known ahead of the REF submission date.

It was agreed that UE members should direct any further comments on the application to the Head of EPS.

M73 ORAL UPDATES FROM HEADS OF SCHOOL

The UE received and noted oral updates from the relevant Heads who were present on news and developments in their respective Schools.

M74 INTERNAL AUDIT REPORT: FEES STRATEGY

The UE received and noted an Internal Audit Report on review of the University's Fees Strategy which was presented by the Secretary of the University. It was noted that the objective of the review of the Fee Strategy process, which formed part of the Internal Audit plan for 2012/13, was to review the impact of the changing fees landscape on the strategy and recruitment mix.

It was noted that the Report would be considered by the Audit and Risk Committee at its meeting in April 2013. No comments were made in relation to the proposed management actions set out in the report.

The UE noted that further work remained to be undertaken with Schools to set proposed future fees for the Dubai Campus and to resolve inconsistencies in the fees applicable to students transferring between the Dubai and Scottish campuses; hence the withdrawal of this item from the March UE agenda. It was noted that recommendations on Dubai fees would be presented for UE approval in the near future.

M75 INTERNAL AUDIT REPORTS (HWUM)

The UE received and noted two reports commissioned from Ernst & Young in relation to the Malaysia Campus business plan:

- Red Flag Report dated 8 March 2013 (summarising key findings, references to supporting analysis and presentation of conclusions on the key assumptions in the HWUM forecasts and impact on the Heriot-Watt group facilities); and

- Review of Financial Model dated 8 March 2013 (providing an opinion on the logical integrity and arithmetic accuracy of the HWUM financial model).

The UE noted that work was continuing of the financial modelling underlying the figures reported in last three pages appearing in the Review of Financial Model report (showing as appendixes B and C in the report). This report would not be fully complete until this work had concluded and any necessary revisions had been made. The Vice-Principal confirmed that the developing Five-Year Plan was largely aligned to the revised business case assumptions. A key exception lay in evaluating the impact of the revised peak cash demand figures on the University's borrowing capacity against other capital projects.

It was noted that the final revised HWUM business case would be presented for approval by the UE at its meeting on 30 May and presented subsequently to the Court for approval at its meeting on 24 June 2013. It was agreed also that, following Court approval, the final business plan should be presented to the HWUM Board for information.

M76 PRINCIPAL'S ADVISORY GROUP TERMS OF REFERENCE

The UE noted and approved revised Terms of Reference for the Principal's Advisory Group which were presented in the context of the annual programme of review of committee Terms of Reference.

M77 ANY OTHER BUSINESS

77.1 Reserved Section.

77.2 Borders College: services provision

The Deputy Principal (External Affairs) highlighted continuing discussions with Borders College in relation to services provision. It was noted that discussions would continue with the aim of ensuring delivery of appropriate levels of service and consistency in the communications of these to all students.

M78 DATE OF NEXT MEETING

Thursday 25 April 2013 (Away Day).

THE UNIVERSITY EXECUTIVE

Notes of the strategy discussions and minutes of the interim meeting held on 25 April 2013

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof U Boser, Acting Head of School, Management & Languages (SML)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof A Miller, Deputy Principal (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching) from M82

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof A Walker, Senior Deputy Principal

Present also:

Mr M Dean, Director of Campus Services (for item SD 1)

Prof R MacIntosh, Head of SML designate

Ms Sharan Virdee, Equality & Diversity Adviser (for item SD 3)

Apologies:

Prof R J M Craik, Vice-Principal (Malaysia)

Prof A Kaka, Vice-Principal (Dubai)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Professor G Hogg, Deputy Principal (External Relations)

SD 1 HORIZON PLANNING (STRATEGIC DISCUSSION)

The UE received and discussed the following presentations:

- Presentation by the Vice-Principal which illustrated the University's progress against Strategic Plan targets and against sector comparators over a ten year period. The presentation also highlighted the impact of global platform appointments on the delivery of against planning targets.
- Presentations from each School / PGI which highlighted respective key teaching and research initiatives; research income / research student growth projections; academic staff appointments; and future space / infrastructure needs.

1.1 Campus-wide Space Optimisation Project

In support of the Horizon Planning discussion, the UE received and noted a paper, presented by the Director of Campus Services, which set out the terms of reference of a planned 'Campus-wide Space Optimisation Project'. It was noted that this space analysis study, running from April to October 2013, would inform a space management strategy, the objective of which will be to create a more agile and "future focused" estate. The study aimed to identify ways to adapt the existing campus to create environments which are aligned with delivery against the University Strategic Plan.

It was noted that a review would be undertaken to assess how physical space is used currently to support the diverse range of working, learning and teaching activities on campus.

The UE noted the proposed key areas of focus for exploration and recommended, for the purposes of the planned study, that the University Library ought to be considered a key learning space and therefore should fall within the scope of the study. The Director of Campus Services agreed to incorporate this change in the terms of reference for the project.

The following key comments and observations arose in the course of the discussion:

- the outputs of the Space Optimisation Project should inform future decisions on space usage and investment except where progress must be made on more urgently needed work spaces. The Vice-Principal highlighted the need, therefore, for both short and long term planning. As regards the short term, it will be necessary to seek Finance Committee approval for the full scale of capital expenditure in the next budget year by mid-June 2013. Subsequently, by the end of summer 2013, the actual projects to be provided for within this budget should have been confirmed. In the meantime critical factors and priorities must be identified as quickly as possible;
- a full inventory of the nature and current condition of all laboratory spaces in Schools, as well as future laboratory space needs (refurbished/new), will form an important element of the survey. High quality useful survey outputs will depend on full engagement with and high quality consistency of input to the survey from Schools;
- a variety of options should be considered in relation to staff working spaces; for example, certain functional roles could be accommodated beneficially in open plan working environments;
- a fresh look should be taken of the central teaching timetabling process with a view to streamlining, transparency and optimisation. It was noted that achieving optimal teaching use of the James Watt Centre by Schools will be of particular importance;
- the Senior Deputy Principal agreed to consult further with the Deputy Principal (Learning & Teaching) to determine the group(s) being consulted in relation to learning and teaching space needs; and
- there may be potential for development in the option of broadcasted delivery of lectures.

The UE agreed that:

- the Head of Campus Services should consult with Heads of Schools to ensure that all new staff appointments over the coming months with associated requirements for the creation or reconfiguration of new working space have been logged for action;
- Heads of Schools should provide an update to the University Executive on their experience of the space survey process mid-way through the survey period.
- The incoming Head of SML and the Deputy Principal (Research & KT) should consult further with the Edinburgh Business School to explore areas of common interest, in particular in relation to the Business School's plans to develop applied research activities in the short- to mid-term.

SD 2 CROSS-CUTTING ISSUES (STRATEGIC DISCUSSION)

The UE noted and discussed a presentation on cross-cutting support issues which was presented by the Head of SBE on behalf of Heads of Schools. The presentation highlighted proposals for improved approaches to:

- the processes supporting programme and course approvals;
- learning and teaching quality assurance; and
- central support for research.

with a view to streamlining and achieving greater coherence and clarity while maintaining the appropriate quality checks and balances.

It was noted that the Deputy Principal (Learning & Teaching) was already involved in review of some of the relevant learning and teaching support processes.

The UE endorsed a proposal to establish a short life working group including Deputy Principals, Head of School/Professional Service representatives to progress an action plan developed by Secretary of the University, Deputy Principals and Heads of School.

SD 3 EQUALITY AND DIVERSITY (STRATEGIC DISCUSSION)

The UE noted and discussed a presentation provided by the Secretary of the University and the Equality & Diversity Adviser. This provided an overview of Equality Act 2010 requirements, the role and responsibilities of the UE and an outline of the relevant data sources, and described how the data is informing the University's activities, in particular in relation to structured frameworks such as the mainstreaming project; Athena SWAN; and the GREAT (Gender in Research, Equality, Action, Transformation) EU project.

Key comments and observations arising in the course of discussion included:

- in relation to the student profile, requirements as set out in the University's Outcome Agreement with the SFC overlapped with Equality Act compliance aims;
- the need to progress the equality and diversity agenda by means of a key strategic change initiative, not piecemeal;
- Heads will have particular responsibilities, working with the Athena SWAN/Equality and Diversity champion, to raise awareness and to support short- and long-term equality and diversity initiatives fully. This will include examination of cultural and behavioural issues reflected in the currently reported statistics;
- priorities should be focused first in those areas where Heriot-Watt falls greatly short of aspirational targets;
- suggested ideas for further consideration in relation to staff: e.g. extension of mentoring beyond the current probationary period mentoring arrangements, gender neutralised employment applications process, using special advertising messages to encourage female applicants;

The UE noted and approved equality and diversity information sets for publication by 30 April in accordance with Equality Act 2010 legislation (Ref M81 below).

M79 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 21 March 2013.

M80 ACTION LOG AND MATTERS ARISING

80.1 Action Log

The UE noted actions and related updates as reported in the Action Log.

80.2 Matters arising

There were no matters arising.

M81 EQUALITY OUTCOMES

The UE discussed and approved (with a recommended change as noted below) draft information sets for publication by the end of April 2013 in compliance with the Equality Act 2010.

These included:

- a Mainstreaming Report which outlined how the University was integrating equality throughout its day-to-day activities;
- Equality Outcomes based on relevant evidence related to persons with protected characteristics (updated post-consultation version on the report approved by the UE in March 2013); and
- pay gap information and an Equal Pay Statement.

The UE requested that references to "permanent" contracts, which appeared a few times in the

documentation should be changed in line with agreed University terminology to "open-ended".

Discussion relating to this item is recorded in Strategic Discussion item SD 3 above.

M82 HWUM: UPDATED BUSINESS PLAN

The UE received and noted the following reports:

- HWUM Business Plan Update representing the near-final Malaysia Campus Business Case;
- Financial Model Assumptions (Version 31a, March 13);
- Addendum to the Red Flag Report of 8 March 2013: draft report from Ernst & Young; and
- HWUM Project Update, as at 18 April 2013

The UE approved the near final HWUM business plan noting that minor revisions had been made to the plan following review and sign-off by Ernst & Young of the business model, business case and underpinning assumptions. The findings of this review were reported in the 'Red Flag Report' received by the UE in March. The supplementary 'Addendum' to the Red Flag Report was noted.

The UE noted that reported library book expenditure remained to be revised in the plan through transfer from the capital to the revenue spend line. The Principal confirmed that no further material changes to the plan were anticipated.

The UE approved onward presentation of the revised business plan to the Finance Committee, the Malaysia Campus Oversight Board and the Court for approval at their meetings in June 2013.

The Senior Deputy Principal drew attention to a supplementary tabled paper which set out management responses and progress update information in response to the Red Flag Report. UE members were invited to direct any questions about the information in this report to the Senior Deputy Principal.

The UE noted a reported lack of clarity as to how the "dotted line" responsibility between academic staff at the Malaysia Campus and School management structures based in Scottish campuses will operate in practice. It was agreed that early communications between Heads of School and newly appointed HWUM academic staff would be vital, as would ensuring that messages relayed to those staff by senior management from the different campuses are entirely consistent. The Deputy Principal (Learning & Teaching) and the Head of the School of the Built Environment were invited to consult further with the Vice-Principal (Malaysia) to agree a set of protocols.

In relation to the general Project Update report it was noted that there had been recent Malaysian press coverage on the HWUM. It was agreed that copies of the press articles should be provided to the UE membership.

M83 RESEARCH & KNOWLEDGE EXCHANGE STRATEGY

The UE received and noted a draft Research & Knowledge Exchange Strategy presented by the Deputy Principal (Research & KT).

The UE endorsed the proposal that the draft plan should be presented for discussion at the Court Away Day on 13 May 2013 with the recommendation that the University's Strategic Plan Key Performance Indicator targets for Research Intensification and Knowledge Exchange should be replicated in the Research and KE strategy document.

The UE discussed the challenges associated with cross-School collaborative research programmes. The success of such initiatives was largely dependent on the quality of the leadership in place and there were successful examples to learn from. Such initiatives were also dependent on suitably configured flexible administrative support.

In relation to the Strategy, the UE noted the requirement for University-wide synchronisation of planning for global platform appointments and associated capital investment.

The UE noted that the draft Strategic Plan would be presented also to the Learning & Teaching Board for consideration.

M84 **Reserved Section (Ref sections 30, 33, FOI(S)A.)**

M85 **ATHENA SWAN BRONZE AWARD APPLICATION**

The UE discussed and approved a near final draft Athena SWAN Bronze application for onward presentation to Athena SWAN by the due deadline of 30 April 2013. It was noted that further minor presentational changes only would be made to the application up to the submission point.

The UE approved the appointment of a dedicated post-holder with particular responsibility for promoting and embedding Athena SWAN principles across the University - as reported in the letter of endorsement from the Vice-Chancellor which would accompany the submission. It was intended that the appointed individual would report to the Deputy Principal (External Relations). The Deputy Principal (External Relations) and the Vice-Principal, who will secure the budget resource required to fund this post, were invited to make progress with recruitment plans as quickly as possible, liaising with the Principal and the Equality and Diversity Adviser.

M86 **ANY OTHER BUSINESS**

School of Textiles and Design publication

The UE received and noted copies of a new publication: 'The Scottish Book' produced in collaboration with the artisanal team of the WORK design studio, Singapore.

M87 **DATE OF NEXT MEETING**

The next meeting will be held on Thursday 4 July 2013.

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 30 May 2013

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Ms A-M Dalton, Secretary of the University

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Prof A Harley, Head of School, Textiles and Design (TEX)

Professor G Hogg, Deputy Principal (External Relations)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

Prof A Miller, Deputy Principal (Research & KT)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE) (for items M107, 109, 110)

Prof A Walker, Senior Deputy Principal

Present also:

Mr M Adderley, Director of HR (for items M107 and M109)

Mr R McGookin, Director of Planning

Mr A Menzies, Director of Finance (for item M93)

Ms K Patterson, Academic Registrar & Deputy Secretary (for item M110)

Mr M Roch, Director of Information Services (for item M107)

Apologies:

Prof R J M Craik, Vice-Principal (Malaysia)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof A Kaka, Vice-Principal (Dubai)

Prof R MacIntosh, Head of School, Management & Languages

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

M88 WELCOME AND ANNOUNCEMENTS

The Principal welcomed the following individuals to the meeting:

- Director of Finance, who was attending for item M93;
- Director of Human Resources, who was attending for items M107 and M109;
- Director of Information Services, who was attending for item M107; and
- Academic Registrar & Deputy Secretary, who was attending for item M110.

M89 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 25 April 2013.

M90 MATTERS ARISING AND ACTION LOG

90.1 Action Log

The UE noted actions and related updates as reported in the Action Log.

90.2 Matters arising

There were no matters arising.

M91 BUSINESS REPORTED BY THE CHAIR

There was no business to report other than that covered elsewhere in the agenda.

M92 CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted also a summary of recently published higher education-related publications.

M93 FIVE YEAR FINANCIAL PLAN

The UE received, discussed and approved a draft Five-Year Financial Plan: 2013-18 which was presented by the Vice-Principal. The UE agreed that the Plan should be presented to the Finance Committee, and subsequently to the Court, for approval at their meetings in June 2013.

The Vice-Principal reminded the UE of the five year strategic targets, as elucidated in the Strategic Plan, which would be developed in more detail over the summer period.

The UE noted the following key assumptions underpinning the Plan which represented changes over the 2012 Plan:

- increased income streams from the Scottish Funding Council;
- In the latter, post REF years, Research Excellence Grant (REG) income assumed at pre-REF levels. Further work would be required to develop estimates for post-REF REG income; flat-cash contribution from Research Councils;
- reductions in overseas PGT and other income;
- increasing investment in academic staff, PhD students and capital /infrastructure. The UE noted the envelope within the Plan for capital; investments, noting where provision for particular projects (both confirmed and unconfirmed/subject to future planning) had been made;
- increased NI and pension contribution costs;
- the impact of the revised Malaysia Campus plan (based on "stressed" Ernst & Young worst case figures);
- increasing contingency provision through all years of the Plan to cover tuition fee income, research income (net of direct costs) and the Malaysia Campus; and
- a minimum 3% surplus rising to 7% by the final year of the Plan.

It was noted that projects within the existing arrangements, i.e. covered by available capital and consistent with current banking covenants included HWUM (Ernst & Young "stressed case"), the Centre for Earth & Marine Technology project (assuming a low estimate of available SFC funding) and the immediate costs associated with the Aptuit building acquisition. Other projects would be considered when more detailed financial information is available by the time of the June 2013 meeting of the Finance Committee.

The Principal highlighted the need for prudent planning covering the period beyond the next Government Spending Review which would set a revised budget for Scottish Higher Education from 2015/16.

The Vice-Principal advised that he would provide the UE with a full paper on the Five-Year Plan in the near future.

M94 STUDENT APPLICATIONS AND ADMISSIONS UPDATE

The UE noted and discussed an update presentation and report on the current status (as at 15 May 2013) of UG and PGT applications, offers and acceptances which was presented by the Director of Planning.

Following discussion the UE agreed that messages should be prepared and issued to each School by the Director of Planning. These should provide clear guidance on required actions in response to the current situation for each School vis-à-vis the School's position against target across all categories of student intake. It was agreed that the guidance should be distributed widely across the relevant members of staff in Schools and each School's note of guidance should be copied to the rest of the UE membership.

It was agreed also that the Director of Planning should meet with the Heads of Schools who were not present at the 30 May UE meeting.

Reserved section. Ref section 30, 33 FOI(S)A).

M95 DUBAI CAMPUS FEES

The UE received, discussed and approved, with the exceptions as noted below, proposals for Dubai Campus fees in 2014/15 and 2015/16, which were presented by the Vice-Principal. The UE also approved proposed fees for PhD study beginning in 2013/14 and 2014/15 respectively, subject to further work to be undertaken to reach agreement on the division of the fee between Heriot-Watt and Eikon.

The following were excepted from UE approval:

- the reported 2014/15 postgraduate taught course fee relating to the School of MACS was advised by the Head of School to be at variance with what the School had agreed. This figure should be reviewed and revised before being presented to the Finance Committee;
- as regards the proposed arrangement relating to discounting of fees in particular fourth (honours) years, the UE noted a request, relayed by the Deputy Principal (External Affairs) on behalf of the School of Management & Languages, that the proposals and their impact should be considered further in consultation with the School. The UE therefore endorsed the full proposal in principle, pending the outcome of these further discussions.

The UE observed that, as fee increases are agreed on a one year at a time basis, the proposals for 2015/16 will be subject to review before they are considered again next year by the Fees Working Group. They should not therefore be considered final at this stage.

The UE agreed, subject to the above, that the Dubai Campus fees should be presented by the Fees Working Group to the Finance Committee for approval at the meeting of the Committee in June 2013.

M96 NATIONAL PERFORMANCE CENTRE FOR SPORT

The UE received, noted and approved a recommendation, presented by the Vice-Principal, that the University should make a submission to the Scottish Government of a Second Stage proposal to host and operate the planned National Performance Centre for Sport (NPCS) to be opened in 2016. The recommendation was made on the understanding that, should the University be successful in being named as the preferred site of the NPCS, the University would wish to accept, thereby making the agreed level of financial commitment. The UE received and noted a summary business plan for the NPCS and noted that the University's Five-Year Financial Plan, made sufficient provision to meet the currently expected cost to the University of the project. It was noted that the business plan remained under development and the level of contribution towards the total cost of the venture that the University would be required to make from its own funds remained to be confirmed and agreed.

It was agreed that a recommendation for approval should be presented to the Finance Committee and the Court for consideration at their meetings to be held in June 2013, allowing the University to proceed to make a Second Stage bid.

M97 APTUIT BUILDING ACQUISITION

The UE received, noted and approved a recommendation that the University should confirm with Aptuit, on 31 May 2013, its interest in accepting the gift of the Aptuit Building A. The UE noted that Aptuit, who have withdrawn from the Research Park, had offered the building on the basis of partial surrender in the ground leased on the Research Park by the company from the University. The reduction in the ground rent would be £36k per annum with no impact on the remaining part of the ground lease through this partial surrender. It was noted also that a potential rate liability of £72 K per annum would apply. The UE noted that a legal process was in train to assign the lease following the sale of the Aptuit company which operated on site to a new Aptuit subsidiary underwritten by a parent company guarantee.

The UE approved the required expenditure, as set out as an estimate in the supporting paper, to prevent further deterioration of the building, until such time as a business case for refurbishment of the building is developed for the future approval of the UE, the Finance Committee and the Court. It was noted that the

basement of the building had been offered as archive storage space to the British Geological Survey as part of the Centre for Earth and Ocean Technology joint venture. The refurbished building would also provide significant new space for University Professional Service staff, freeing up currently used space to meet growing need for academic space within the University.

It was agreed that the recommendations of the UE, as described above, should be relayed to the Finance Committee and to the Emergency Committee of the Court for approval for the University to proceed further against Aptuit's offer on 31 May 2013.

M98 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and noted a report presented by the Deputy Principal (Learning & Teaching). Item 1 of the report was presented for approval. The UE noted other items in the report which were presented for information.

The UE noted and endorsed the draft Learning and Teaching Strategy 2013-18, noting proposed next steps in the process of completion and implementation including full development of the underpinning Operational Plan. The Deputy Principal advised that the final draft of the Strategy would be presented to the UE for approval at its meeting on 4 July 2013.

Reserved section. (Ref: sections 30, 33 FOI(S)A).

The Deputy Principal confirmed also that he was consulting with the Director of Campus Services in relation to refitting of James Watt Centre 1 for teaching use from 2013/14.

M99 REPORT FROM THE LEARNING AND TEACHING BOARD

The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching) on behalf of the Learning & Teaching Board, which related to the meeting of the Board held on 9 May 2013.

Item 2 of the report: draft Learning & Teaching Strategy 2013-18 was considered under the Report from the Deputy Principal (Learning & Teaching) (M98 above).

The UE approved the report for onward presentation to the Senate at its next meeting.

M100 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report, presented by the Senior Deputy Principal on behalf of the International Strategy Board, which related to the meeting of the Board held on 18 April 2013.

No comments or questions were raised in relation to the items reported.

M101 HERIOT-WATT MALAYSIA (HWUM) CAMPUS PROJECT UPDATE

The UE received and noted an update report, presented by the Senior Deputy Principal, on the Malaysia Campus Project.

The Senior Deputy Principal drew attention in particular to the current visit to the Malaysia and the Dubai Campus by the Chairs of the HWUM Oversight Board and the Audit and Risk Committee. The supporting schedule included planned meetings with a wide range of individual and group associates and stakeholders including, inter alia, government figures.

The Senior Deputy Principal also drew attention to the reported results of the Malaysian General Election held in May 2013 in which the ruling coalition had been returned to government.

M102 CONFUCIUS INSTITUTE APPLICATION

The UE received and discussed a report, presented by the Deputy Principal (External Relations), which outlined the case for an application by the University for a Confucius Institute for Business and

Communication at Heriot-Watt.

The EU noted the supporting case for the proposed application and endorsed the recommendation that the application should be further progressed alongside fuller development of the underpinning five-year financial plan for future presentation to the University Executive.

The UE noted that information was in the process of being collected from Schools and the relevant Professional Services about the University's relationships with China. The Joint Head of the Edinburgh Business School advised that, given the variety of interactions that EBS has with China, he would wish to actively contribute to the planning and preparation work supporting the application.

M103 ATHENA SWAN ACTION PLAN

The UE received and noted a report, presented by the Deputy Principal (External Relations), which summarised the current position and agreed priorities in relation to the University's Athena SWAN aims and set out an Action Plan for 2013 - 2016.

In relation to recent progress, the Deputy Principal (External Relations) drew attention to work being undertaken to review Academic Advancements and Senior Promotions, highlighting the importance of receiving the requested data from Schools which will provide information on the processes by which all cases have been considered.

The UE noted also a copy of the Action Plan, as submitted to the Equality Challenge Unit in April 2013, and a draft job description for a new post of Athena SWAN Officer which related to the new post approved by the UE at its meeting in April 2013.

The UE endorsed the Athena SWAN Action Plan and approved the recommendation that School-level Self-Assessment Teams (SATs) should be chaired by the respective Heads of School.

In relation to the new post, the Principal highlighted his expectation that the appointed individual will have prior experience and expertise specifically in the area of Athena SWAN.

The UE acknowledged with thanks and appreciation the significant contribution made by Sharan Virdee, Equality and Diversity Advisor in support of the University's Athena SWAN aims.

M104 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and noted a report presented by the Deputy Principal (Research & KT). All items were presented for information.

The Deputy Principal (Research & KT) drew attention in particular to the highly positive reported levels of both research grants and contracts income and proposals for the period to 30 April 2013 (period 9).

The UE also noted the current status in relation to REF2014 preparations including, inter alia, progress made in determining staff REF status. It was noted that "decision pending" cases were not yet resolved for a variety of reasons but a material number of these should be expected to move to the "include" category in due course. The Senior Deputy Principal highlighted the aim to minimise as far as possible the number of these unresolved cases by the time of the fourth and final round of UoA Selection Panel meetings over the summer.

The UE noted also the schedule in relation to meeting with the University of Edinburgh and planned joint submissions and work continuing towards final lock down of submissions in the PURE REF system.

The Principal commended the work involved by all the relevant colleagues to ensure that the University's REF preparations remain on track.

M105 REPORTS FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and noted reports, presented by the Deputy Principal (Research & KT) on behalf of the Research & Knowledge Exchange Board, which related to the meetings of the Board held on 19 March, 10 April and 15 May 2013. All items in the reports were presented for information. It was noted that the

April discussions had had a specific focus around the theme of 'impact'.

The UE approved the reports for onward presentation to the Senate at its next meeting.

M106 REPORTS FROM SCHOOLS/ POSTGRADUATE INSTITUTES

This item was withdrawn from the agenda due to the level of absence of the relevant members.

M107 PEOPLE MANAGEMENT SYSTEM PROPOSAL

The UE received and discussed a paper, presented by the Director of HR, which set out the case for a phased approach to the development and implementation of a new Oracle HR 'People Management System'. It was noted that current HR systems were not fit for purpose and the key aims in developing a new system will be that it supports key business requirements, such as the need for integrated interfaces with other systems, full people management / workforce management functionality, self service functions, international capabilities and statutory reporting to external bodies.

The UE approved the commencement of the project, which would involve detailed planning and the start of required data consolidation, and approved the proposal to allocate £121 k (from financial year 2013/14) which would cover the cost of Implementation Phase 0 (project planning and data consolidation), as set out in the proposal document.

The UE noted advice from the Vice-Principal who drew attention to IT infrastructure investment provision within the new Five Year Financial Plan amounting to up to £1 m per annum. It was noted that this would provide for Phase 0 and 1 of the People Management System project and could provide for subsequent phases, only by delaying procurement of an estate management IT system. The UE noted the estimated full implementation costs of the system at £1.966 million.

The UE agreed, in terms of prioritisation between competing IT investment plans, that a People Management System must be made the top priority, although it was appreciated that a compelling case could also be made in support of investment in an estate management IT system.

The UE agreed that its future decision to invest further to progress with Phase 1 of the project will be contingent the UE being satisfied with the outcomes of Phase 0. It was agreed; therefore, that a report on Phase 0 should be presented to the UE before consideration is given to the subsequent Phase(s) of the project.

In relation to a question about costs associated with development of reports, the Director of HR advised that it was expected that the University's reporting needs would by and large be served by core reporting functionality of the system.

A UE member highlighted the view that support for staff recruitment should be of uppermost priority. This ought to be reflected in any future plan in support of system procurement and implementation.

M108 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a bulletin report dated May 2013 which was presented by the Secretary of the University.

No comments or questions were raised in relation to the items reported.

M109 REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report, presented by the Secretary of the University on behalf of the Secretary's Board, which related to the meeting of the Board held on 7 May 2013. All items in the report were presented for information.

The UE noted and discussed three human resources policies which had been approved by the Secretary's Board at its May meeting and which were presented for information, namely:

- Long Service Policy
- Staff Scholarships and Remission of Fees Policy & Procedures
- Fixed Term Contracts Policy & Procedures

In relation to the Staff Scholarships and Remission of Fees Policy, the following were raised as matters on which further clarification and guidance would be useful: tax implications (would there be instances where this provision would be classed as benefit in kind?); circumstances to be managed in relation to staff member access to the records of fellow students; the current scale of staff scholarship and fees remission across the University.

In relation to the Fixed Term Contracts Policy, comments emerging from discussion focused on the need for timely forward planning and co-operation between Human Resources Development and individual Schools in order to manage fixed term contracts appropriately towards the end of their respective terms.

M110 REPORT AND RECOMMENDATIONS FROM THE SCOAIR WORKING GROUP

The UE received and discussed a paper, presented by the Academic Registrar & Deputy Secretary, which set out the proposal and the supporting case for the establishment of a small central co-ordinating unit with the aim of improving co-ordination, effectiveness and efficiency of the University's activities in this area. The UE noted that the recommendation was presented in the context of the report of the short-life working group established to consider the 'Strategic Co-ordination of Operations for ALP and IDL Relationships' (SCOAIR). Contingent on agreement to establish a central unit, a range of further recommendations were presented by the SCOAIR Working Group.

The UE noted and approved the specific recommendations of the Group, as set out in the paper; however, in relation to the main recommendation which related to the central co-ordinating unit, the UE agreed:

- support for the establishment of a co-ordinating unit within the University;
- staff resources associated with this unit should be drawn from existing resources already deployed to supporting ALP/IDL activities and which are currently dispersed within the University. The staff resource impact of the new developments ought therefore to be neutral;
- there may be an equally compelling case for the co-ordinating unit to be located within a School. The most effective option for location should be determined following further consultation with Schools;
- discussions with all Schools will be essential, including Edinburgh Business School, with whom there should be effective linkage and co-ordination of activities;
- the co-ordinating unit should have clearly defined roles and responsibilities, operating seamlessly alongside and supporting School activities without creating unnecessary layers of administration or duplication;
- the importance of linkage with student recruitment strategies; and
- the Deputy Principal (External Relations) should have overarching responsibility for leading the next phase.

The UE agreed that the Deputy Principal (External Relations) should lead further consultation and liaison with Schools, working with the Academic Registrar & Deputy Secretary and, in due course, should present options/proposals to the UE on the most effective ways of implementing the agreed plan for a co-ordinating unit and respective roles and responsibilities of the unit and individual Schools.

The Secretary of the University requested that the Director of Governance & Legal Services should be involved in the next steps from the perspective of legal compliance. The Senior Deputy Principal also drew attention to further senior staff support available in the area of international development.

M111 REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and noted reports, presented by the Secretary of the University on behalf of the Campus Services Management Board, which related to the meetings held on 15 January, 12 March and 7 May 2013. All items were presented for information.

No comments or questions were raised in relation to the items reported.

M112 BOARD / COMMITTEE TERMS OF REFERENCE

112.1 Learning & Teaching Board

The UE received and noted Terms of Reference relating to the Learning & Teaching Board which were presented in the context of the annual process of review of Board/Committee Terms of Reference.

The UE approved the recommendation of the Board that the Terms of Reference remain unchanged for the time-being.

112.2 TRAC Development & Resources Modelling Working Group

The UE received and noted Terms of Reference relating to the TRAC Development & Resources Modelling Working Group which were presented in the context of the annual process of review of Board/Committee Terms of Reference.

The UE approved the recommendation of the Group that the Terms of Reference remain unchanged for the time-being.

M113 ANY OTHER BUSINESS

Academic Staff Time Allocation Survey

The Principal and the Senior Deputy Principal requested that Heads of Schools ensure the completion of Academic Staff Time Allocation Surveys within their respective Schools as quickly as possible and relay the relevant information to the Senior Deputy Principal.

Attendance at meetings

The Principal reminded colleagues of the importance of regular attendance of UE members at its meetings and advised that further consideration should be given to including a minimum number of Heads of Schools in the UE quoracy requirements.

DATE OF NEXT MEETING

The next meeting will be held on Thursday 4 July 2013.

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 4 July 2013

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Ms A-M Dalton, Secretary of the University

Prof R J M Craik, Vice-Principal (Malaysia) (by Skype)

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Professor G Hogg, Deputy Principal (External Relations)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Ms L Kirkwood-Smith, (Clerk to the UE)

Prof R MacIntosh, Head of School, Management & Languages

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching) (for items M120 to M122)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof F Waldron, Head of School, Textiles and Design

Present also:

Mr M Adderley, Director of HR (for item 124)

Mr G Lancaster, Financial Controller (for item M123)

Mr R McGookin, Director of Planning

Apologies:

Prof A Kaka, Vice-Principal (Dubai)

Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

Prof A Walker, Senior Deputy Principal

Prof A Miller, Deputy Principal (Research & KT)

M115 ANNOUNCEMENTS

The Principal welcomed the following to the meeting:

- The newly appointed Head of the School of Textiles & Design, Professor Fiona Waldron, who was attending her first meeting of the University Executive
- George Lancaster, Financial Controller, who was attending for item M123
- The Director of HR, who was attending for item M124

M116 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 30 May 2013.

M117 MATTERS ARISING AND ACTION LOG

Action Log

The UE noted actions and related updates as reported in the Action Log.

Matters arising

The Secretary of the University advised that the action relating to item SD2: 'Cross-cutting issues' of the 25 April 2013 meeting would be taken forward jointly by the Secretary of the University working with Deputy Principals and Heads of Schools.

M118 BUSINESS REPORTED BY THE CHAIR

The Chair highlighted the recent highly successful Chancellor Installation and Graduation Ceremony events.

M119 CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a report on recent publications relevant to the higher education sector.

M120 LEARNING AND TEACHING STRATEGY

The UE approved a final draft of the Learning and Teaching Strategy 2013-18 which was presented by the Deputy Principal (Learning & Teaching). The UE noted that the Strategy, which had been the subject of widespread collaboration and consultation, had been endorsed by the Senate and the Court at their meetings held in May and June 2013.

M121 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and noted a report from the Deputy Principal (Learning & Teaching).

Item 1 of the report: Learning and Teaching Strategy was presented and approved separately (item M120 above).

The Deputy Principal drew attention to an update on the agreement with Study Group and the decision reached to extend the agreement for a further year.

The UE noted plans to present a proposal at the August meeting of the UE for development of an in-house Foundation Programme utilising SCHOLAR materials. The UE would be asked to give its approval in principle to the proposal at that meeting.

In response to a question raised by the Deputy Principal (External Relations), the Head of the School of Management & Languages agreed to check within the School whether the English language programme had been included in the developing proposal.

M122 REPORT FROM THE LEARNING & TEACHING BOARD

The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching) on behalf of the Learning & Teaching Board, which related to the meeting of the Board held on 13 June 2013. The UE approved the report for onward presentation to the Senate at its next meeting.

Item 1 of the report: Learning and Teaching Strategy was presented and approved separately (item M120 above).

M123 MANAGEMENT ACCOUNTS FOR THE PERIOD TO 31 MAY 2013

The UE noted and discussed Management Accounts for the period to 31 May 2013 (period 10) which were presented by Mr George Lancaster, Financial Controller.

The attention of the UE was drawn to the surplus position which was better than budget for the year to date, with a year-end forecast of a surplus figure £1.0 million better than budget. This was the result of increased activity partially offset by additional depreciation, and the impact of lower financing costs.

The UE noted that PI (Principal Investigator) reports would be issued at the end of July 2013.

The Vice-Principal drew attention to the high value of expenditure in the year on items which fell outwith budgeted core business. The Principal emphasised that 2013/14 financial year will be first which correlates with the University's new Strategic Plan. This will bring with it renewed expectations that requests for spend must be matched to Strategic Plan outcomes and must be appropriately budgeted for in the Planning Round budget setting process.

M124 INTERIM STAFF SURVEY RESULTS

The UE received and discussed a report on results of the Interim Staff Survey, conducted in spring 2013, which was presented by the Director of HR.

The UE was invited to propose any amendments to the reported results, prior to the document being disseminated to all staff; to agree to communicate the results to staff teams within Schools and Professional Services before the beginning of Semester 1; and to agree that HRD should further review the management/leadership development opportunities currently available and identify any improvements/gaps required and to report back to the UE with any further recommendations.

In response to a request which emerged in the course of discussion, the Director of HR advised that he would supply external data as a means to compare Heriot-Watt staff perceptions of the performance/development review process with similar experience elsewhere.

The UE discussed staff perceptions of performance review processes in general and also perceptions relating to the HWU PDR process. The Secretary of the University advised that the UE should dedicate agenda time for discussion on PDR in the context of the internal audit review of the University's PDR process currently underway. A report on the review findings would be submitted for consideration through the normal channels in due course, including the UE.

The UE agreed:

- support for discussions on the results with the Trade Unions, including ascertaining the Unions' views on survey frequency;
- further consideration should be given to slimming down the survey if possible; and
- further consideration should be given to reducing the frequency of surveys. It was considered by a number of UE members that there was insufficient time between one survey and the next to review results and to implement tangible change. One option might be to eliminate interim survey points.

The UE recommended that University staff should be advised before spring 2013 of changes made in the PDR process and future changes planned in the light of the findings of the internal audit.

M125 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University.

In relation to Research and Enterprise Services, the Secretary of the University advised that it was not intended to merge the RES and Finance Directorates following the retirement of the Director of RES. A recommendation on the future structure would be developed for consideration by the UE in due course.

M126 REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report, presented by the Secretary of the University on behalf of the Secretary's Board, which related to the meeting of the Board held on 4 June 2013. All items in the report were presented for information.

The Secretary also updated the UE on recent discussions in relation to employment of students and adherence to Tier 4 (General) requirements which restrict the number of hours students may be contracted to paid employment. The Secretary advised that further work will be carried out in conjunction with Schools to consider mechanisms to support student compliance. At the core of this will be the development of a single timesheet ("work passport") for students employed within the University.

Following in principle support from the Principal for the suggestion, the Secretary of the University confirmed that a proposal would be developed to hold an event in March 2014 to mark International Women's Day and celebrate the successes of female staff at Heriot-Watt.

M127 REPORTS FROM HEADS OF SCHOOLS AND V-P MALAYSIA

The UE received and noted oral updates from Heads of School and the Vice-Principal (Malaysia).

The UE discussed and endorsed the proposal that the UE should engage in further strategic discussion focused on the student experience at the Dubai Campus. The UE noted a comparatively high staff:student ratio at the campus which posed particular challenges.

M128 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and discussed a report from the Deputy Principal (Research & KT). All items were presented for information.

The UE observed an exceptionally strong position in terms of the value of Research Grants & Contracts: proposals and awards. The report highlighted research awards to date at the highest ever value of £33.5 million, with the value of proposals also at an all-time high of £142 million.

It was noted that year end spend was not yet fully estimated and this would fall potentially a little short of the target. Account allocation and spend against some awards had not yet started and work was continuing to tidy up old accounts.

M129 REPORT FROM THE JOINT RESEARCH & KNOWLEDGE EXCHANGE BOARD AND LEARNING AND TEACHING BOARD MEETING HELD ON 12 JUNE 2013

The UE received and noted a report from the joint Research & Knowledge Exchange and Learning & Teaching Board which related to a meeting held on 12 June 2013.

Item 1 of the report (reported below) was presented for approval. All other items were presented for information.

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

M130 FIVE YEAR FINANCIAL PLAN

The UE received and noted the final Five-Year Financial Plan as approved by the Court at its meeting on 24 June 2013.

M131 OUTLINE PROCEDURE FOR APPROVAL FOR DEVELOPMENT OF CAPITAL PROJECTS

The UE noted and approved a proposed process by which School capital investment projects are to be authorised, which was presented by the Vice-Principal. It was noted that the process would apply to projects whose purpose is to provide the infrastructure to support new academic appointments made under the Global Platform scheme, making use of the specific capacity for such investments identified in the Five-Year Financial Plan.

It was noted, within the approved process, that the Executive would delegate authority to the Vice-Principal:

- to authorise the Head of School and Director of Campus Services to obtain detailed costings;
- to allocate investment funds to cover expenditure required in obtaining the costings; and
- if the costings are materially within the original estimates, to authorise the project itself.

It was noted that the Vice-Principal would report to each University Executive meeting any projects approved to either the initial ('obtain detailed costings') or full go-ahead states, and (if requested by the relevant Head of School) would report any projects for which approval had been declined in order that they could be discussed by the Executive.

The UE noted that it would be the responsibility of the Director of Campus Services to update the Campus Services Management Board at the earliest stage of capital project plans.

M132 STUDENT APPLICATIONS UPDATE

The UE received and discussed an update on 2013/14 student recruitment outlook to the Scottish, Dubai and Malaysia Campuses as at June 2013 which was presented by the Director of Planning.

As recommended, the UE endorsed the positions relating to SIMD40 recruitment through Clearing, potential need to penalise/compensate for over-/under-recruitment, and potential re-allocation of any unutilised PGT Additional Funded Places. The UE endorsed the reported actions agreed with each School as reported in the update paper which covered each category of applicants.

The UE reconfirmed the importance of Schools as far as possible fine-tuning to specific target numbers as discussed.

The UE agreed in principle that the Vice-Principal and the Director of Planning should manage resource allocation in such a way as to ensure overall optimisation of recruitment to target while protecting the longer term interests of individual Schools.

The UE noted work still in progress within the School of Engineering & Physical Sciences to refresh/renew its taught course portfolio.

M133 UNIVERSITY RISK REGISTER

The UE received and noted reports including an updated Risk Overview and supporting detailed Strategic and Operational Risk Register, following consideration of the Risk Register by the Risk Management Strategy Group at its meeting held on 13 June 2013.

The UE approved the reports for onward presentation to the Audit and Risk Committee at its next meeting in September 2013. It was noted that by then the Register would be updated to reflect recently changed circumstances surrounding Hearts FC.

In the course of discussion particular risks were highlighted: namely the impact of civil unrest in international market areas and potential risks associated with a post-referendum independent Scotland.

M134 REPORT FROM THE RISK MANAGEMENT STRATEGY GROUP

The UE received and noted a report, presented by the Secretary of the University on behalf of the Risk Management Strategy Group, which related to the meeting of the Group held on 13 June 2013.

M135 INTERNAL AUDIT REPORT: BUSINESS CONTINUITY MANAGEMENT

The UE received and noted a draft report, presented by the Secretary of the University, which related to the Edinburgh Campus Business Continuity Simulation table-top exercise which was carried out in May 2013. The report provided details of the background to the simulation, scope of the work undertaken and the key findings, observations and recommendations as agreed by the Emergency Management Group.

The UE noted the management comments which had been agreed in response to the Auditor's recommendations and made no further comments or suggestions in relation to these. It was noted that the report would be presented for consideration by the Audit and Risk Committee at its next meeting in Sep 2013.

M136 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report of the International Strategy Board which related to the meeting of the Board held on 13 June 2013. The report was presented on behalf of the Board by the Deputy Principal (External Relations).

The UE discussed two matters which were drawn to members' attention by the Deputy Principal; namely non-delivery of email correspondence to overseas applicants (the Board had agreed that this

matter should be reported to the UE for further discussion); and annual review of the Terms of Reference of the Board. These would be considered at the September meeting of the Board, following consultation with Heads of Schools, prior to being presented for approval by the UE.

In relation to the first item for discussion, UE members suggested that practice should be adopted of sending two emails to applicants, one of which should replicate the message in simple plain text within the body of the email. It was also recommended that the Assistant Principal (International Development) be invited to raise this problem at sector level in order to learn of any examples of helpful good practice elsewhere.

The Deputy Principal confirmed that an annual report on West London College (WLC) operations would be presented to the September 2013 meeting of the UE. The Deputy Principal also updated the UE on dialogue with WLC in relation to associate campus status and aims to achieve harmony between WLC and the University in terms of quality of the HWU student experience.

M137 MALAYSIA CAMPUS UPDATE

The UE received and noted an update report on the Malaysia Campus project which was presented on behalf of the Senior Deputy Principal by the Deputy Principal (External Relations). The report provided updated information on: main campus construction and fit-out ; campus contingency planning; initial premises; student accommodation; Business Plan; accreditation and student recruitment; appointment of HWUM staff and HR developments; and the recent Malaysian elections.

M138 TITLES OF UNIVERSITY SCHOOLS/INSTITUTES

The UE noted an invitation from the Ordinances & Regulations Committee (ORC) for the UE to consider the current titles of the University's Schools and Institutes, to ensure that these remain appropriate and reflect the academic provision and structure of each School/Institute. The matter had been raised by ORC when considering the proposed merger of Ordinance 47: Schools, Institutes and Departments of Study and Regulation 27: Schools and Institutes.

The UE agreed not to make any recommendations for change.

M139 VACANCY MANAGEMENT GROUP: TERMS OF REFERENCE

The UE received and approved revised Terms of Reference relating to the Vacancy Management Group which were presented in the context of the annual process of review of Board/Committee Terms of Reference.

The UE noted that a vacancy would be created on the Group following the retirement of Professor Andy Walker and approved the recommendation that Professor Gill Hogg be invited to join the membership of the Group.

M140 SECRETARY'S BOARD: TERMS OF REFERENCE

The UE received and approved revised Terms of Reference relating to the Secretary's Board which were presented in the context of the annual process of review of Board/Committee Terms of Reference.

The UE approved the recommendation that the Board Terms of Reference remain unchanged for the time being.

M141 ANY OTHER BUSINESS

141.1 Centre for Earth & Marine Technology (CEMT)

The Vice-Principal advised that the School of Life Sciences and the Institute of Petroleum Engineering had developed business plans involving staff presence in the planned co-location CEMT building. Schools with a requirement for future space in the building should confirm this as soon as possible with

the Vice-Principal.

It was advised that proposals relating to the governance of the CEMT project should be presented for consideration at the next meeting of the University Executive.

**THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 22 August 2013**

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)

Prof R J M Craik, Vice-Principal (Malaysia)

Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)

Mrs V Hallows (Clerk for the meeting)

Professor G Hogg, Deputy Principal (External Relations)

Prof D Hopkins, Head of School, Life Sciences (SLS)

Prof J Jones, Vice-Principal

Prof A Kaka, Vice-Principal (Dubai)

Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

Prof R MacIntosh, Head of School, Management & Languages

Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)

Prof G Pender, Head of School, The Built Environment (SBE)

Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Prof F Waldron, Head of School, Textiles and Design

Prof A Walker, Senior Deputy Principal

Present also:

Mr L Allen, Head of Health & Safety Services (for item M172)

Mr M Bates, Director of Recruitment & Admissions (for item M152)

Mr Andrew Downie, Group Financial Controller (for item M168)

Professor P John, Senior Dean of the University (for item M152)

Ms Ruth Moir, Assistant Principal (International Development) (until after item M151)

Mr R McGookin, Director of Planning

Mr A Menzies, Director of Finance

Mrs K Patterson, Academic Registrar & Deputy Secretary (for item M161)

Apologies:

Ms A-M Dalton, Secretary of the University

Prof A Miller, Deputy Principal (Research & KT)

Ms L Kirkwood-Smith, (Clerk to the UE)

1. ANNOUNCEMENTS

The Principal welcomed the following to the meeting:

- Mrs Kathy Patterson, Academic Registrar and Deputy Secretary who was attending for item M161;
- Professor Phil John, Senior Dean and Mr Michael Bates, Director of Recruitment & Admissions who were attending for item M152
- Mr Les Allen, Head of Health & Safety Services, who was attending for item M172; and
- Ms Ruth Moir, Assistant Principal (International Development), who was in attendance for the items above and M143 to M151.

2. MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 4 July 2013.

3. MATTERS ARISING AND ACTION LOG

Action Log

The UE noted actions and related updates as reported in the Action Log.

Matters arising

The UE noted actions and related updates as reported in the Action Log.

4. BUSINESS REPORTED BY THE CHAIR

Senate

The Principal announced that Senate had indicated that it would be helpful to receive 15 minute presentations on the work of each School / Institute by the respective Head over the course of future Senate meetings during this academic year. Heads of Schools/ Institutes were invited to contact the Clerk to the Senate in order to schedule their presentation on to a Senate agenda.

Job Advertisements

The Principal sought UE's view on how the University currently advertises for staff and how best to encourage applications from underrepresented areas of the population. UE proposed that statements, similar to those used by Exeter and Oxford Universities, could be included in University advertisements to encourage applications from underrepresented areas but tailored to specific school requirements. UE agreed that the Director of HRD should be invited to propose a way forward.

5. CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a report on recent publications relevant to the higher education sector.

INTERNATIONAL

6. HWUM: ACADEMIC STRUCTURES ACROSS MULTIPLE CAMPUSES

The UE noted and approved the proposals for a revised academic management structure set out to streamline the current academic structure to achieve greater coherence and clarity across the University, whilst maintaining the appropriate quality check and balances. Full implementation by all Schools and Institutes across all campuses (with the exception of the Edinburgh Business School) was expected by the start of the academic year 2014/15 (September 2014). The key aspects of the proposal are:

1. Directors of Studies be appointed to lead academic programmes (or groups of programmes within disciplines) at each of the campuses.
2. A Senior Director of Studies be appointed from among the Directors of Studies by the relevant Head of School.
3. Boards of Studies be created for individual programmes or groups of programmes within disciplines. Boards of Studies to be chaired by the Senior Director of Studies with all other Directors of Studies as members of the Board.
4. The Deputy Principal (L&T) through the Learning and Teaching Board be responsible for drafting a new Board of Studies regulation and terms of reference for approval by UE and Senate.
5. Schools (except EBS) to appoint both a Director of Learning and Teaching and a Director of Academic Quality.
6. Schools (except EBS) to operate either one or two committees (depending on scale) named, School Learning and Teaching Committee and School Studies Committee. The former to be chaired by either the Head of School or School Director of Learning and Teaching; the latter to be chaired by either the Head of School or School Director of Academic Quality.
7. The Deputy Principal (L&T) through the Learning and Teaching Board be responsible for drafting exemplar terms of reference for School Learning and Teaching and School Studies Committees for approval by UE.

The UE noted that further work was being undertaken on the remit of the proposed 'Senate Councils'. The UE emphasised the role of the Senate as the primary decision making body for academic matters and recommended that this be taken into account when considering the future remit, membership and title of the 'Senate Councils'. The Deputy Principal (Learning & Teaching) confirmed that there was further work to be undertaken and that he would bring back the final version of the detailed remits and terms of reference as specified in the paper to the UE in due course for approval.

7. HWUM: MANAGEMENT, PLANNING AND FINANCIAL REPORTING

The UE noted that the paper presented by the Senior Deputy Principal, containing the HWUM Annual Accounting and Planning Process across the University, HWUM Service and Royalty Charges and EBS Arrangements for the EBS Programme at HWUM had not changed since its original presentation to the UE in February 2013, and had been issued as a reminder of the arrangements currently in place.

No further comments were received.

8. HWUM GOVERNANCE ARRANGEMENTS

The UE received and noted a briefing paper on the governance arrangements relating to HWUM, presented by the Assistant Principal (International Development). The paper included:

- the management and governance arrangements within the context of the university's committee structures;
- the project management arrangements and defined project roles and responsibilities; and
- the legal and constitutional agreements which have been set up between Heriot-Watt University (HWU) and its branch campus, Heriot-Watt University Malaysia (HWUM).

Attention was drawn to the clarification on the payment of Royalty payments by HWUM to HWU on page 3 of the paper. Agreement had also been reached on what direct and indirect services would be supplied to the HWUM and the associated review process.

9. HWUM: OPERATIONAL UPDATE AND RISK REGISTER

The UE received and noted an operational update on the development of HWUM campus together with the key risks, presented by the Vice-Principal Malaysia (V-P M). The report contained updates on student recruitment, staff appointments, staff development, research, and campus build developments. The V-P M highlighted that student recruitment for September 2013 had not reached target numbers, and discussions were underway with Schools to consider increases in the January intake. The UE noted that a full analysis of the reasons for under-recruitment would be carried out by the team in Malaysia and a lessons-learned document was being prepared by the Marketing and Recruitment team.

The Senior Deputy Principal reported that tendering for fit-out costs for the main campus were now at an advanced stage and were expected to be in the region of £1.7m rather than the £2.2m previously reported, leaving a balance of £1.3m in the level of contingency agreed by Court.

The Principal opened up UE discussion on the pass and progression rates for students from HWU degree entry programmes, onto full degree programmes. The UE considered how these could be improved whilst maintaining the flexibility the market demands and continuing to be attractive to students. The UE discussed benchmarking against other Institutions in this area, and the required entry level for Mathematics for specific engineering degree courses. The UE agreed that this work should be taken forward by the Deputy Principal (Learning & Teaching) through the Learning and Teaching Board and that in the first instance Heads of Schools should discuss any issues with their Directors of Teaching and Learning. The UE noted that this was primarily in relation to degree entry programmes being run at the Malaysia Campus.

10. SCOAIR RECOMMENDATIONS (STRATEGIC CO-ORDINATION OF OPERATIONS FOR ALP/IDL RELATIONSHIPS)

The UE received and approved the recommendations presented by the Deputy Principal (External Relations) set out in order to take forward the recommendations presented in the SCOAIR Report to the UE in July 2013 to streamline the approach to the management of ALP business. The recommendations are as follows:

1. that Marc Quinn currently Director of International Programmes in SML, be seconded for 50% of his time to enable the core recommendations in the SCOAIR report to be progressed, from 1 September 2013 and for 6 months in the first instance. He will work with Kathy Patterson, Gill Hogg and Professional Services colleagues and the international coordinators in schools, working through the recommendations, prioritizing actions and providing implementation plans. Several recommendations in

the report have further resource implications. Scoping and costing the recommendations will be part of the remit for the secondment;

2. that an Off-campus Education Management Forum be established, to continue the work of the SCOAIR working group in progressing a cohesive approach to achieving academic and operational efficiencies;
3. HoS welcomed the offer from the Joint HoS of EBS to provide insights into their approach to ALP development and management. It was also agreed that a session for schools to share their current and future ALP/IDL strategy would be useful. This has been arranged for Thursday 26th September. It was also proposed that schools be invited to present their international strategies at the ISB and to discuss with the Director of International Development how these individual school strategies can be supported in the light of the University International Strategy; and
4. It was noted that several recommendations in the report are being progressed by other routes, eg the establishment of a Legal and Regulatory Advisory service providing due diligence advice on new partnerships, and the review of the ALP contract. These developments are to be welcomed and it is important that Schools are aware of how to access these.

The UE looked forward to receiving a further report once all the recommendations had been prioritized.

LEARNING AND TEACHING

11. INTERNATIONAL FOUNDATION PROGRAMME

This item was taken as the second item of business.

The UE received and noted a paper presented by the Senior Dean of the University, setting out the strategic considerations and proposed management structure and framework for a HWU International Foundation Programme. The UE noted that with the termination of the one year contract with Study Group/ International Student Centre in August 2014, the proposal was to provide an International Foundation programme and a pre-Masters programme, managed and delivered by the University, on Edinburgh Campus from that date. The UE was invited to approve the establishment of an HWU Foundation Programme at SCQF levels 6 & 7 and the introduction of a pre-Masters Programme for overseas students (non UK/EU).

Discussion raised a number of questions around the links with Schools and agreeing target numbers, entry levels and the proposed timeline, the financial model, links to the English Language Programme and capacity to assist, and the relationship with the Scholar Unit.

The Deputy Principal (Learning & Teaching) acknowledged that there were further detailed discussions to be had with the Heads of Schools and the Vice-Principal and sought approval in principle to proceed with the establishment of an HWU Foundation Programme at the Edinburgh Campus.

The UE approved in principle to proceed and would welcome further updates in due course.

12. ANNUAL REPORT TO THE SFC ON INSTITUTION-LED QUALITY REVIEW 2012/13

The UE received and approved the annual report to the Scottish Funding Council on Institution-Led Quality Review 2012/13 and noted that Court will be invited to give final endorsement of the Annual Report at its meeting in 30 September 2013.

No comments or questions were raised in respect of the Report.

13. QUALITY ASSURANCE AGENCY SCOTLAND, ENHANCEMENT-LED INSTITUTIONAL REVIEW (ELIR) 3

The UE received and noted a paper presented by the Deputy Principal (Learning & Teaching), providing an overview of the University's third Enhancement-Led Review (ELIR) which will be undertaken by the Quality Assurance Agency Scotland (QAAS) in 2014/15.

The UE's attention was drawn to two major issues that emerged from the University's ELIR 2 in 2011, and which would be picked up on in ELIR 3, these were:

- Inconsistency of practice between ALP and on-campus provision which seemed to undermine the principle of equivalency in the student learning experience;
- Incomplete understanding across the institution of the University's strategic approach to quality

enhancement.

The UE noted that the University can demonstrate some progress through SCOAIR working group and the new Learning and Teaching Strategy.

The UE also noted that HWU's international activity will continue to be a major area for review, especially ALP's; and West London College could also be an area of focus.

The Principal emphasised the imperative of the engagement of all relevant staff in managing and preparing for the visit. The key dates are:

- HWU's ELIR Review Visit will take place in early 2015; there will be 2 parts: Part 1: 28-29 January 2015; Part 2: week 16 March 2015 (likely to be 5 days)
- Documentation to QAAS (Reflective Analysis, Case Study, Advance Information Set): 15 November 2014
- 2013/14: preparations (documentation, engagement across all campuses, progressing key issues)

14. ACADEMIC/ACADEMIC RELATED REVIEWS AND INTERNAL AUDITS 2012/13

The UE received and noted the review and audit reports, responses and action plans in relation to the following Academic and Academic Related areas:

1. Careers Service;
2. Institute of Petroleum Engineering Dubai;
3. School of Electrical, Electronic and Computer Engineering;
4. Construction Project Management and Quantity Surveying;
5. Psychology;
6. Institute of Petroleum Engineering.

No comments or questions were raised from the items reported.

STRATEGY & RESOURCES

15. BRITISH GEOLOGICAL SURVEY (BGS) PROJECT GOVERNANCE

The UE received and noted a paper summarising the governance arrangements for the British Geological Survey Project, presented by the Vice-Principal. The governance structure reflected the collaborative nature of the project with a Joint Venture Science Project Board and a Joint Venture Project Property Board comprising of BGS members and HWU members reporting through their respect governance structures to a Project Client Combined Project Board chaired by the Principal.

The UE noted that in terms of HWU governance, the two joint venture boards will report to the HWU Planning Group chaired by the Vice-Principal who will report on the project to the UE. Oversight of the project will be through the Campus Committee, reporting through the Finance Committee and ultimately to the University Court.

The UE indicated it was content with the proposed structure.

16. UNION FACILITY TIME BUDGET

The UE received and discussed a paper, presented by the Vice-Principal, which set out the case to continue with the current method of calculating facility time, cost and spread, and the principle of acknowledging and agreeing backfill or cover for the individuals concerned. The UE noted that the impact of trade union facility time was not excessively disproportionate on any one School or Service.

The UE noted that discussions at a recent CJNCC had focused on the possibility of time being required by union representatives, over and above that allocated. It was noted that should any additional time be required, it should be negotiated through line managers and Heads of School / Professional Services.

The UE approved the proposal to continue with the current model, and with the principle of agreeing and implementing appropriate backfill. The UE agreed that given the costs involved, it was not necessary to adjust budgets.

17. STUDENT RECRUITMENT UPDATE

The UE received and noted a paper presented by the Director of Planning, giving an update on 2013/14 student recruitment outlook to the Scottish, Dubai and Malaysia Campuses as at 20 August 2013. The Director of Planning confirmed that Scottish students were continuing to apply through clearing and more definite figures would be available for the September meeting. Key aspects featured in the report included:

- SIMD40 entrants forecast at or above target;
- a substantially exceeded RUK target to which all Schools had contributed and was seen as a demonstration of the popularity of the University;
- it is expected that the University would meet the Outcome Agreement target for additional Scottish entrant PGT numbers;
- Non-UK EU entrants were significantly higher than target which would be in breach of the consolidation limit. However, it was reported that management of this issue would be with the objective of maintaining maximum stability with an adjustment of targets across the Institution;
- Dubai Campus UG and PG applications continued to be ahead of target. It was noted also that flexibility / agility might be required in terms of matching student intake to staff resources should actual intake be substantially in excess of target;
- a significant overall increase in PGT acceptances with a variability across schools but overall applications running under target.

18. NATIONAL STUDENT SURVEY (NSS) INITIAL RESULTS

The UE received and noted a report on the initial National Student Survey (NSS) results which was presented by the DP (Learning & Teaching) and the Director of Planning. The UE noted that a limited set of overall sector benchmarks for UK HEIs and Scottish institutions and the upper quartile boundary for all institutions (ie HE & FE) had also been received. However, specific results for other institutions, including by subject, would not be available until 29 August 2013.

The UE noted a summary report showing that overall 90% of students were satisfied with their experience at HWU (compared to 91% last year), and initial indications show that the University should be placed 2nd in Scotland and remain in the upper quartile when benchmarked against UK institutions. The UE agreed that given the volatility of the survey, to remain in the upper quartile and to be in the top two or three in Scotland, would be ample to sustain the Institution's buoyant recruitment figures.

The Principal conveyed his appreciation to the Heads of School and their staff who had contributed to the positive results.

The UE noted that that the results will be considered by the Learning & Teaching Board with a view to NSS action plans being developed across Schools and good practice being identified and shared across the University. The Principal confirmed his intention to visit each School, accompanied by the DP (Learning & Teaching, to discuss their respective NSS results.

19. PGT EXPERIENCE SURVEY RESULTS

The UE received and noted a report presented by the Deputy Principal (Learning and Teaching) and the Director of Planning, on the initial analysis of the Postgraduate Taught Experience Services (PTES) 2013 results, covering HWU responses by School and Campus. UE noted a response rate of 35.6% a vast improvement on the previous year and a favourable comparison with the average response rate of 24.7% and upper quartile of 34.8%. The UE acknowledged the huge contribution of Em Bailey and the Survey Management Group to the increase in numbers taking part.

UE noted that the results would be considered further by the Learning & Teaching Board which would focus on areas where there was evident good practice that could be shared across the University. The information would also form one of the key data sets used in the Annual Monitoring and Review process.

The UE noted that the initial report would be followed by further work to summarise and analyse the results across all questions and comparison against benchmark groups, which will be produced in early autumn. Schools would be contacted by the Planning Office to see what drill down information would be most helpful to them in terms of their recruitment agenda.

20. PROFESSIONAL SERVICES COMPLAINTS POLICY AND PROCEDURES

This item was taken as the first item of business.

The UE received and approved the new Complaints Policy and Procedures, presented by the Academic Registrar and Deputy Secretary. The UE noted that there was a legal requirement upon Scottish HEIs to have a model in place by 30 August 2013, which reflected the model provided by the Scottish Public Services Ombudsman (SPSO), whilst taking account of the recently updated UK-wide QAA Code of Practice on Appeals and Complaints.

The Academic Registrar and Deputy Secretary highlighted the key changes within the new Policy and Procedures namely:

- A reduction from 4 stages to 2 stages in consideration of a complaint (probably no bad thing all round so long as the first stage is effective; any complex complaint requiring investigation will go straight to stage two as the final stage);
- A reduction in the time permitted for dealing with a complaint internally at both Stage 1 and Stage 2 (this is going to be challenging);
- Every member of staff approached must be aware that they have a responsibility to deal with any complaint raised with them (wide promotion of the P&P will be required!);
- Every complaint must be recorded and reported annually to the SPSO (developments to the current systems are being made to accommodate this).

The Academic Registrar and Deputy Secretary confirmed that in order to be ready for implementation, an information leaflet for students will be published and a recording system will be introduced as soon as possible and that each School will have its own Complaints Officer and, in some cases, the larger Schools more than one.

The Academic Registrar and Deputy Secretary emphasised that the Policy would be operational from 30 August 2013, and must be applied across all HWU campuses and to all services provided by HWU. The UE recommended that the documentation should be more explicit to reflect that the Policy and Procedures (P&P) cover all HWU activities including Malaysia, Dubai and EBS, and that the P&P do not apply to academic judgement matters.

21. MANAGEMENT ACCOUNTS FOR THE PERIOD TO 31 JULY 2013

The UE noted and discussed the Management Accounts for the period to 31 July 2013 (full year) which were presented by the Director of Finance.

The Director of Finance drew attention to the currently reported surplus for the year end which was better than budget by £1.8m, and the factors contributing to this. However, it was confirmed that there were a small number of favourable adjustments to be made prior to the presentation of the management accounts to the Finance Committee in October. The attention of UE was also drawn to variations in reporting within the School commentaries and SML was highlighted as an exemplar.

One Head of School raised some specific queries in relation to the numbers for his School and it was agreed that these would be reviewed outwith the meeting.

UE complimented the Director of Finance on the production of a good set of accounts.

22. REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University, presented by the Director of Finance. The Director of Finance highlighted the work currently going on in Schools in preparation for the new academic year, and the go-live of the system for automatic enrolment for existing colleagues who were not currently members of a pension scheme.

No comments or questions were raised from the items reported.

23. REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report, presented by the Director of Finance, on behalf of the Secretary's Board, which related to the meetings of the Board held on 1 July and 6 August 2013. All items in the report were presented for information.

A member of the UE drew attention to section 12 of the Report and indicated that the final paragraph relating to the University's surplus percentage target should be checked for accuracy and amended.

No further comments or questions were raised from the items reported.

24. REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and noted a report from the Campus Services Management Board meeting held on 25 June 2013, presented by the Director of Finance. All items were for noting. The Report highlighted progress with capital projects and planning including the CEMT, NPCS, Conversion of JWC, and Residences 2012. The UE noted that there has been positive outcomes for all posts identified at risk through the conversion of JWCI into additional teaching space and that announcements on the additional teaching space would soon be made. The UE suggested that to maximise impact, the President of the Student Union should be invited to make a statement on the additional and be included in a photograph to sit alongside the published article.

25. REPORTS FROM HEADS OF SCHOOLS, V-P DUBAI AND V-P MALAYSIA

The UE received and noted oral updates from the Heads of Schools, Vice-Principal Dubai and the Vice-Principal Malaysia present at the meeting.

AUDIT AND RISK MANAGEMENT

26. UNIVERSITY RISK REGISTER AND REPORT FROM THE RISK MANAGEMENT STRATEGY BOARD MEETING HELD ON 7 AUGUST 2013

The UE received and noted the University Risk Overview and Registers and Report from the Risk Management Strategy Group meeting of the 7 August 2013, presented by the Principal. It was noted that the Report and Risk Register would be presented for consideration to the Audit & Risk Committee at its meeting on 19 September 2013.

No comments or questions were raised from the items reported.

27. INTERNAL AUDIT REPORT: ORACLE POST-IMPLEMENTATION REVIEW

This item was taken as the fourth item of business.

The UE received and noted the Report of the Internal Audit of a post implementation review of the Oracle financial system, introduced by the Director of Finance in the absence of the Secretary of the University. The Group Financial Controller presented the findings within the Report and highlighted a number of key recommendations and agreed actions in relation to business functionality, training, tracking of issues and building user confidence, all of which were being taken forward by the the Finance team. The UE noted that the implementation date for the majority of the outstanding actions was no later than December 2013, with the exception of future work around the review of the contracts with delivery partners which should be completed by April 2014.

The UE was reminded that the primary persuader when permission was given for the go-ahead for the project was that implementation would produce some savings and greater efficiencies. The Principal requested a report giving some indication of the benefits of the system, sometime in the near future.

28. INTERNAL AUDIT REPORT: PERFORMANCE MANAGEMENT REVIEW

The UE received and noted the Report of the Internal Audit of the Performance Management Review, presented by the Director of Finance in the absence of the Secretary of the University. The report provided

details of the background and key events, the scope of the work undertaken by Ernst & Young, the key findings, recommendations and agreed management actions. Of particular note was the undertaking to conduct a review of the PDR process which would include discussions with TUs and staff on how to bring improvements to the process with a view to a refresh of the PDR in January 2014, and a revision of existing training.

The UE made no further comments or suggestions in relation to the Report. It was noted that the Report would be presented for consideration by the Audit & Risk Committee at its meeting on 19 September 2013.

RESEARCH AND KNOWLEDGE TRANSFER

29. REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and discussed a report from the Deputy Principal (Research & KT). All items were presented for information.

The UE observed an exceptionally strong position in terms of the value of Research Grants & Contracts: proposals and awards. The report highlighted that the research awards received by 31 July 2013 were at the highest ever value of £35.3 million, £10m higher than 2012/13, with the value of proposals also at an all-time high of £153.7 million.

The Principal reported that he was absolutely delighted the University had received this record level of funding, and in particular, with the exceptional performance by EPS being awarded a total of £24m. The Principal asked the Head of EPS to relay his appreciation to all the staff concerned.

The UE noted that the Report would be presented to the Finance Committee in October and agreed that it presented a very positive message and endorsement of the University's Global Platform recruitment strategy

30. REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD MEETING HELD ON 3 JULY 2013

The UE received and noted a report from the Research & Knowledge Exchange Board which related to its meeting held on 3 July 2013. All items were for noting. The UE approved the Report for onward presentation to the Senate.

GOVERNANCE

31. ANNUAL REPORT FROM THE HEALTH & SAFETY COMMITTEE

This item was taken as the third item of business.

The UE received and approved the Annual Report from the University Health and Safety Committee for the academic year ending 31 July 2013, presented by the Head of Health and Safety Services. The UE noted that the Report contained an overview of the work of the University Health and Safety Committee (UHSC) and the specialist working groups supporting the business of the UHSC, including progress on the processes and procedures around the Health and Safety Management Framework, Training, Fire Safety and support for Health and Safety development at the Dubai and Malaysia campuses.

The UE complimented the Head of Health and Safety on an excellent report and had no hesitation in recommending it to the Court for formal approval.

32. ANY OTHER BUSINESS

Policy on Transfer between Campuses (Academic Matters): Taught Programmes

The Deputy Principal Learning & Teaching informed the UE of the intention to revise the Policy on Transfer between Campuses (Academic Matters): Taught Programmes, in order to facilitate the increasing number of students who wish to transfer between campuses (and excluding ALPs, IDL and WLC students at this time) whilst maintaining academic standards and the quality of the student learning experience. UE agreed that there should be no barriers to transfers and was supportive of the revision while emphasising the imperative to consult with Heads of Schools each year on the number and mix of transfers. The UE noted that further

work on the Policy would be progressed through the Learning & Teaching Board and the Directors of Learning and Teaching and that the final version of the Policy would be presented to UE in due course for formal approval.

The Vice-Principals Dubai and Malaysia wished to have sight of the revised policy in order to consider its impact on HWUD and HWUM student recruitment policies. It was agreed that the revised policy would be circulated to all UE members so that further comments could be submitted to the Deputy Principal L&T.

Director of Finance

The UE endorsed the recommendation from the Chair that an invitation should be extended to the Director of Finance to attend meetings of the UE.

Senior Deputy Principal

The Principal expressed his appreciation to the Senior Deputy Principal, who was retiring from the University, for his contribution to the work of the Committee and for being a stalwart member of the Senior Management Team and invited the UE to acknowledge his contribution to the wider University. The UE concurred.