THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 26 September 2013

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)  
Prof R J M Craik, Vice-Principal (Malaysia) (via Skype)  
Ms A-M Dalton, Secretary of the University  
Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)  
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)  
Prof F Waldron, Head of School, Textiles and Design

Present also:

Mr M Adderley, Director of HR (for items 178–180)  
Mr R McGookin, Director of Planning  
Ms C McAllister, Head of Sport and Exercise (for item M181)  
Mr A Menzies, Director of Finance

Apologies:

Professor G Hogg, Deputy Principal (External Relations)  
Prof D Hopkins, Head of School, Life Sciences (SLS)  
Prof A Kaka, Vice-Principal (Dubai)

1. MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 22 August 2013 and the item dealt with by correspondence on 17 September 2013.

2. ACTION LOG AND MATTERS ARISING

Action Log

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

Matters arising

There were no matters arising.

3. BUSINESS REPORTED BY THE CHAIR

Athena SWAN
The Principal highlighted the University's recent success in re-gaining Athena SWAN Bronze status and acknowledged with thanks and appreciation the work of Steve McLaughlin, Gill Hogg, Sue Collier and Sharan Virdee in particular in supporting development of the University's application. The Principal highlighted the future opportunity to work towards a Silver award at School/academic department level.

Centre for Earth and Marine Technology
The Principal updated the UE on the outcomes of the first Centre for Earth & Marine Technology Combined
Project Board meeting at which, inter alia, the proposed governance arrangements and Heads of Terms associated with the project were agreed.

**Malaysia Campus**

The Principal updated the UE on a recent visit to Malaysia and the successful outcomes of a meeting held with Putrajaya Holdings to resolve slippage in the Malaysia campus building programme.

**Dubai Campus**

The Principal updated the UE on the recent official opening of the second phase of the Dubai Campus.

4. **AUTO-ENTROLMENT UPDATE**

The UE received and discussed an update report, presented by the Director of HRD, which confirmed the arrangements that the University had in place for auto enrolment of staff not already in pension schemes into a scheme from 1 July 2013 and making employer pension contributions.

The UE noted that there were a small number of staff for whom auto enrolment into schemes already deemed to be qualifying schemes did not apply, i.e. they were not contributing members to the Universities Superannuation Scheme (USS), the Lothian Pension Fund (LPF) or the Teachers' Pension Scheme (TPS). To meet the University's obligations under automatic enrolment, it had been agreed by the Short Life Working Group established to oversee compliance that an alternative Government-established National Employee Saving Trust vehicle be adopted.

The UE was invited to and agreed ratification of Heriot-Watt employee and employer contributions for NEST for implementation.

The UE noted employer contribution costs associated with NEST which would rise over time. It was noted that the costs would not fall disproportionately in any School, but could have a larger impact on Professional Services. It was agreed that the costs should be considered again over the course of the coming year.

5. **BI-ANNUAL REPORT FROM HUMAN RESOURCES DEVELOPMENT (HRD)**

The UE received and noted a biannual report which was presented by the Director of HRD. The report provided an update on organisation wide people issues, HRD activities and a workforce data and commentary.

The attention of the UE was drawn in particular to recent progress across a range of fronts, a proposal for the staff survey dates, the Workforce/HRD Scorecard and Management Information and progress on the Professional Service Review recommendations.

It was noted that the Deputy Principal (Learning & Teaching) would confer further on PGCAP revisions following the meeting with a view to ensuring that all Deans and Heads of Schools fully understand the agreed new arrangements. The new arrangements were agreed in response to Recommendation 212 of the Professional Services Review.

The UE received and noted academic promotions and appointments made in the period from 1 March to 31 August 2013, agreeing that, in terms of Ordinance 16, the UE should report these for information to the Senate and to the Court at their forthcoming meetings.

6. **iHR PROJECT UPDATE**

The UE received and discussed a recommendation, presented by the Director of HRD, seeking release of a further phase of funding of £560k in the current financial year in order to progress to the second (development) phase and secure an 'Implementation Partner' on a fixed price basis, in line with the business case and Project Initiation Document. It was noted that spend against this further allocation of project funds would be subject to approval by the Project Board.

The UE noted and was satisfied with progress made to date – a condition which had been agreed by the UE when it approved the initial phase of the project in May 2013.
7. NATIONAL PERFORMANCE CENTRE FOR SPORT

The UE received and discussed a report on the University's bid to host the National Performance Centre for Sport (NPCS) which was presented jointly by the Vice-Principal and the Head of Sport and Exercise.

The UE approved a recommendation, following the announcement of Heriot-Watt University as the preferred bidder following its Stage two bid, that the NPCS project should proceed to Design States D and E in the period up to February 2014. It was noted that this phase would also involve concluding negotiations with SportScotland and in parallel, engaging with Edinburgh Council over their contribution, the planning application, and instigating the procurement process for selection of contractors.

The UE agreed that the above recommendation should be relayed to the Court for consideration and approval at its meeting on 30 September 2013, conditional on approval also by the Finance Committee which would meet to consider the case for further progression of the project at its scheduled meeting on 8 October 2013.

In looking ahead to the point of delivery of the Centre, the UE noted opportunities and expectations in relation to student scholarships for prospective students with sporting talent, as well as catering for potential student transfers to Heriot-Watt for reason of this new facility. Reserved section: Ref Sections 30, FOI(S)A.)

8. ATHENA SWAN UPDATE

The UE received and noted an update report, presented by the Deputy Principal (External Relations), which provided an update Athena SWAN Action Plan and the establishment of Self-Assessment Teams in Schools.

The UE noted that interviews for the post of Athena SWAN Officer were scheduled to take place in the coming week with the aim of appointing an individual with directly relevant background experience.

The Principal requested that the Deputy Principal (Research and Knowledge Transfer) and the Director of External Affairs, respectively, ensure that the University's REF Statements are updated and consistent in the light of the Athena SWAN Bronze Award news and also that the relevant Athena SWAN branding is included in the University's website as soon as possible.

9. MALAYSIA CAMPUS UPDATE

The UE received and noted an update report on the Malaysia Campus which was provided by the Vice-Principal (Malaysia). The report included updated information on student and staff recruitment and campus developments. The UE noted the accompanying Malaysia Campus Operational Risk Register, updated as at 20 September 2013.

10. UPDATES FROM HEADS OF SCHOOL

The UE noted oral news updates from Heads of Schools present at the meeting.

11. REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted an update report from the Secretary of the University by way of the September 2013 edition of the Secretary's Board bulletin.

12. REPORT FROM THE SECRETARY'S BOARD: MEETING HELD ON 3 SEPTEMBER

The UE received and noted a report of the meeting of the Secretary's Board held on 3 September 2013 which was presented by the Secretary of the University. All items were presented for information.

The Secretary of the University sought and gained the approval of the UE on the following policies which had been previously approved by the Secretary's Board and which were appended to the Board's report:

- IT and Communications Facilities Acceptable Use Policy
- Information Security Policy Framework
Information Security Incident Management Policy (This was accompanied by Information Security Incident Management Procedures)

The UE discussed the difficulty of raising the required level of awareness of the policies of all staff of the University and ensuring that the key information points are picked up. It was recommended therefore that a very brief summary is prepared to help support broad staff awareness and understanding of the key points.

The UE discussed what were broadly viewed as very significant compliance challenges associated with the IT and Communications Facilities Acceptable Use Policy and the Information Security Policy Framework. For example, in terms of common usage of mobile devices which cannot be encrypted. Difficulties were also noted in relation to MAC use. Concerns were also expressed in relation to the potential impediment to work and ultimately competitiveness, albeit that the policies were reported to in line with those of other institutions.

The UE requested that the policies should be accompanied by brief summary guidance to staff including relevant do and don't tips and advice with the aim of making compliance with the policies as easy as possible for all staff.

13. REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and noted a report from the Campus Services Management Board meeting held on 27 August 2013 which was presented by the Secretary of the University. No particular comments were raised in relation to the report.

14. STUDENT UNION CODE OF PRACTICE AND FREEDOM OF SPEECH CODE OF PRACTICE

Student Union Code of Practice

The UE received and approved a draft Student Union Code of Practice which had been prepared to ensure compliance with Article 22 of the Education (Scotland) Act 1994 on the operation of the Student Union.

The UE recommended that an addition be made to the Code to provide clarity on the scope of the Code given the context of the University's multi-campus composition and that the Code should be presented to the Court for approval at its meeting on 30 September 2013.

Freedom of Speech Code of Practice

The UE received and approved a draft Freedom of Speech Code of Practice for onward presentation to the Court for approval at its meeting on 30 September 2013. It was noted that the Code of Practice had been drafted in cognisance of the long standing common law recognition of the general right to free speech in Scots Law. A variety of pieces of legislation covered other aspects such as the requirement to eliminate discrimination, harassment, victimisation or any other prohibited conduct.

15. HEALTH AND SAFETY POLICY STATEMENT AND POLICY

The UE received and approved without comment a revised Health & Safety Policy Statement and Health and Safety Policy for onward presentation to the Court. It was noted that the revised Policy and Statement were approved by the University Health and Safety Committee at its meeting held on 15 August 2013.

The paper invited the UE to take particular note of the responsibilities and obligations placed on members of the senior management team including members of the University Executive which were detailed in the Policy.

16. COLLECTION MANAGEMENT POLICY, STANDARDS AND PROCEDURES AND COLLECTIONS COMMITTEE TERMS OF REFERENCE

The UE received and approved without comment an updated Collection Management Policy, Standards and Procedures and Collections Committee Terms of Reference, for onward presentation to the Finance Committee for consideration and approval at its meeting to be held on 8 October 2013.
17. **RESEARCH & KNOWLEDGE EXCHANGE STRATEGY 2013-18**

The UE received and noted an updated Research and Knowledge Exchange Strategy 2013-18 which had been presented for consideration and approval.

The UE agreed to postpone consideration of this item until the next meeting at which the Deputy Principal (Research & Knowledge Exchange) will be present.

In relation to the University level Strategic Plan it was noted that the Strategic Plan page on HWeb contained paraphrased extracts of the Strategic Plan in which the wording within the Plan had been altered. The Vice-Principal was authorised to liaise with the External Affairs Directorate to resolve any inconsistencies.

In relation to REF preparedness and accessibility of information via the relevant web pages, the Principal requested that a systematic check is carried out to ensure that all the URLs are working as they should.

18. **REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KNOWLEDGE EXCHANGE)**

The UE received and noted a report which had been submitted by the Deputy Principal (Research & Knowledge Exchange). In the absence of the Deputy Principal the paper was presented by the Vice-Principal.

The UE approved the recommendation, as set out in the report, of a fully specified threshold level for the joint B10 (Mathematics) REF Unit of Assessment.

19. **REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD: MEETING HELD ON 9 SEPTEMBER 2013**

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 September 2013.

All items in the report were presented for information.

20. **2013/14 STUDENT RECRUITMENT: UPDATE AS AT MID-SEPT 2013**

The UE received and discussed an update report on enrolled full-time student numbers by category/campus location as at 20 September 2013 which was presented by the Director of Planning.

It was noted that recruitment over the capped limit of Scottish/EU students would attract a penalty claw-back. The UE endorsed the recommendation that the penalty should be distributed post-Q1 across Schools in proportion to their respective levels of excess, net of excess SIMD40 recruitment.

Recruitment of new RUK/OS UG students was above target, however these numbers were offset by lower than expected retention rates, such that the overall population only achieved rather than exceeded target; thus there was no surplus available to offset any shortfall elsewhere. It was noted that areas of potential saving would be considered in the autumn planning round and there could be no early release of contingency funding.

The Director of Planning offered to assist Schools with more detailed analysis of the numbers wherever required.

21. **TUITION FEES 2014/15**

The UE received and discussed proposed tuition fees for 2014/15 which were presented by the Vice-Principal on behalf of the Fees Working Group.

The UE approved onward recommendation of the proposed fees to the Finance Committee for consideration at its next meeting on 8 October 2013.

The UE noted that there had been misallocation of a few SBE courses to other Schools in the fees table and agreed that these errors should be corrected prior to the report being submitted to the Finance Committee.
It was noted that the proposed standard fee increases, while above the previous year’s increase, would position the University’s fees at a median level in the sector with the intention of keeping pace with this level further into the future.

The UE noted and discussed the anomalous position of RUK postgraduate taught (PGT) course fee levels which continued to be at variance with RUK undergraduate fee levels both within the University and sector-wide in Scotland. In general the Scottish sector has not been moving quickly to close this gap. The Vice-Principal confirmed that the Fees Working Group will be giving further consideration to future plans for RUK PGT fees in the course of the year.

22. FEES WORKING GROUP: TERMS OF REFERENCE

The UE received, noted and approved updated Terms of Reference for the Fees Working Group and agreed that these should be relayed to the Finance Committee for consideration and approval at its meeting to be held on 8 October 2013.

23. CONFUCIUS INSTITUTE FOR BUSINESS AND COMMUNICATIONS

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

24. REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

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

The report provided an update on:

- organisational arrangements relating to the planned review of UK Transnational Education in the United Arab Emirates by the Quality Assurance Agency from 1 – 12 February 2014. The review team would visit the Dubai Campus on 2 and 3 February 2014; and
- use of the James Watt Centre1 suite for student learning and teaching activities during semester time and the benefits achieved by the additional facilities.

25. 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 18 September 2013.

The UE noted and approved item 1 of the report which presented a revised policy on Campus Transfers Policy to come into effect from 2014/15. It was agreed that the Policy should be implemented in replacement of the existing Policy on Transfer between Study Locations. The Vice-Principal highlighted the importance of timely communications between Campus V-Ps and Heads of Schools and that arrangements in the year are agreed before the autumn planning round.

All other items in the report were presented for information.

26. RESEARCH AND KNOWLEDGE EXCHANGE BOARD: TERMS OF REFERENCE

The UE noted and approved updated Research & Knowledge Exchange Board Terms of Reference for implementation.

27. ANY OTHER BUSINESS

Future UE discussion topics

The Principal requested that a refreshed campaign for new academic appointments be included in the agenda for the UE Away Day to be held on 24 October 2013.
The Principal requested that an update report on the Heriot-Watt / University of Edinburgh Strategic Alliance be included in the agenda for discussion at the UE meeting date on 12 November 2013.
1. **BUSINESS REPORTED BY THE CHAIR**

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

2. **RESEARCH AND KNOWLEDGE EXCHANGE STRATEGY 2013-18**

The UE received and approved the final version of the University Research and Knowledge Exchange Strategy 2013-18 which was Presented by the Deputy Principal (Research & Knowledge Transfer).

It was noted that work would proceed to reproduce the document in published form.

3. **EDINBURGH BUSINESS SCHOOL: PANMURE HOUSE BUSINESS CASE**

The Principal sought and gained the unanimous endorsement from the UE for the proposal, presented on behalf of the Edinburgh Business School (EBS), that the School should spend up to £3.25 million from School reserves to develop the Panmure House building in Edinburgh. The UE noted that the Business Case for the project, which had the support of the EBS Board, would be presented at the forthcoming meetings of the Finance Committee and the Court for consideration and approval.

In determining its support the UE noted the Business Plan and noted that the Plan would not impact negatively on the wider University Five-Year Financial Plan either in scale or pace of spend, and would have no effect on the University’s future borrowing requirements.
It was noted that the aim of the Panmure House project was "to establish a living memorial to Adam Smith through the conservation, adaptation and running of Panmure House as a world class centre for education, debate and understanding of Smith’s works, the Scottish Enlightenment and current economic, philosophical and scientific issues." It was planned that all University Schools would have access to use the facility when it is complete in the latter part of 2015.

The UE recommended that the Business Case should include clarification on the value of the Panmure House asset on completion of the building. It was understood that the value would equate to the total capital investment cost.

4. ANY OTHER BUSINESS

Heriot-Watt University Malaysia (HWUM) Business Plan

The Deputy Principal (External Relations) advised Heads of Schools of plans to undertake a minor update of the HWUM Business Plan. Heads were asked to provide quick responses to requests for information on future course plans for delivery at HWUM and also information on the components of Schools' non-pay spend in the Plan.

The Principal reminded colleagues of the expectation of UE members' unity of purpose, through shared aims and shared responsibilities, including in relation to delivery against the agreed Business Plan for the Malaysia Campus.

5. ANY OTHER BUSINESS

Lead Governor / "Buddy" suggestion

The Secretary of the University outlined a suggestion to develop 'lead governor'/'buddy' roles across the independent membership of the Court. This would involve individual governors acquiring deeper understanding of the work of a particular School in the University, being available to offer independent advice to that School and being in a position to offer advice to other Court members on the basis of their acquired more detailed knowledge.

The suggestion was mooted that should the suggestion be taken forward, alignment of governors to cross cutting themes might be considered as an alternative to alignment with individual Schools.

The Secretary of the University advised that she would develop a proposal with the intention that this will be considered by the Governance & Nominations Committee. In the meantime, she encouraged Heads of Schools to give further thought to the suggestion and to feed any further comments back to her.
THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 12 November 2013

Present:
Prof S K Chapman, Principal and Vice-Chancellor (Chair) Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)
Prof R J M Craik, Vice-Principal (Malaysia) (via Skype) Prof R MacIntosh, Head of School, Management & Languages
Ms A-M Dalton, Secretary of the University Prof S McLaughlin, Head of School, Engineering & Physical Sciences (EPS)
Professor G Hogg, Deputy Principal (External Relations) Prof A Miller, Deputy Principal (Research & KT)
Prof D Hopkins, Head of School, Life Sciences (SLS) Prof G Pender, Head of School, The Built Environment (SBE)
Prof J Jones, Vice-Principal Prof J W Sawkins, Deputy Principal (Learning & Teaching)
Ms L Kirkwood-Smith, (Clerk to the UE) Prof D Stow, Head of Institute, Petroleum Engineering (IPE)

Present also:
Mr L Allan, Head of Health & Safety Services (for item M206) Mr R McGookin, Director of Planning
Professor P John, Senior Dean (for item M207) Mr A Menzies, Director of Finance

Apologies:
Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS) Prof F Waldron, Head of School, Textiles and Design
Prof A Kaka, Vice-Principal (Dubai)

1. MINUTES OF THE PREVIOUS MEETINGS
The UE approved the minutes of the meetings held on 26 September and 24 October 2013.

2. ACTION LOG AND MATTERS ARISING

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

Matters arising
There were no matters arising.

3. BUSINESS REPORTED BY THE CHAIR

Athena SWAN
The Principal requested that Heads of Schools should arrange display of the University's Athena SWAN trophy in prominent locations within their Schools on a monthly hand-over basis. It was agreed that the School of Engineering & Physical Sciences should display the trophy first, from November 2013, passing over the School of the Built Environment in January 2013.

Confucius Institute for Business and Communication
The Principal updated the UE on recent developments leading to the agreement to establish a Confucius Institute for Business and Communication at Heriot-Watt University.
The potential to utilise space in the Postgraduate Centre to accommodate the Institute was highlighted and the Secretary of the University, with the endorsement of the Principal, agreed to consider this option further.

Orkney Campus

The Principal updated the UE on development plans in relation to the Orkney Campus. It was noted that space requirements were being considered to deliver against a developing strategy for the Campus in both the short and medium term. A Business Plan incorporating proposals concerned with accommodation, would be developed over the near future.

National Performance Centre for Sport

The Principal updated the UE on recent developments in relation to the National Performance Centre for Sport (NPCS) project. Progress was noted in relation to discussions on governance arrangements associated with the project. It was noted also that agreement had been reached with Edinburgh City Council on the manner of imbursement of the Council’s contribution to the NPCS.

Industrial Action

The Principal updated the UE on the local and national impacts of the day of strike action by UCU, UNISON and Unite on 31 October 2013.

Court Away Day

The Principal and the Secretary of the University updated the UE on the outcomes of the Court Away Day held on 11 November 2013 which had focused predominantly on performance against Key Performance Indicators and Risk Appetite.

4. CONSULTATION AND PUBLICATIONS LOG

The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until November 2013 and recently released publications.

5. ENGAGING WITH HEALTH AND SAFETY

The UE received and discussed a presentation provided by the Head of Health and Safety Services which summarised developments in relation to the University’s Health and Safety framework.

The presentation focused on progress achieved over the last eighteen months against the OSHAS18001 Standard for occupational health and safety management systems which had been enabled through the development of a new framework.

The framework developments had included review/revision of overarching policies and procedures, a revised governance framework, a revised system to support the management of risks, development of an e-learning programme (with a high level of take-up achieved), targeted training programmes, and integration of health and safety developments across international campuses (with compliance confirmed at the Dubai and Malaysia campuses).

The Head of Health and Safety Services drew the attention of the UE to the Service’s Intranet Web pages which included a wide range of information resources and reporting tools (e.g. hazard and accident reporting). UE members were reminded also of the accountability of Heads and Directors for leading and managing health and safety matters in compliance with the University’s Health and Safety Policy, and the ultimate personal criminal liabilities associated with health and safety breaches.

The UE noted development underway in relation to specialist group training with potential for training packages and refresher training to be designed for different staff groups and PhD students. Heads of Schools were encouraged to discuss their individual School needs further with the Head of Health and Safety Services.
6. **HWU INTERNATIONAL FOUNDATION PROGRAMME**

The UE received and discussed an update report on the proposal to provide an International Foundation and a pre-Masters Programme at the University's Edinburgh Campus from 2014/15.

The UE noted the status quo in relation to curriculum developments, approval processes, accommodation, staffing, and further action involving development of a financial plan. In relation to accommodation options, the Principal expressed his view that students of the Programme should, if possible, be situated at close quarters to the main body of the University's other students.

The UE noted the following planned actions:

- the Deputy Principal advised that he would consult further with the Senior Dean with a view to reducing the number of pathway entry routes to the Programme;
- the Vice-Principal advised that he would work with the Senior Dean in the development of the business case;
- to consider establishing a budget unit within the School of Management & Languages to hold the budget;
- in the longer term, following a review point within the next year or two, to take a wider view of the University's several Degree Entry Programmes and develop proposals to standardise these; and
- presentation of a business case for the Programme for UE approval.

The UE noted, in relation to staff resources to support the Programme, remaining uncertainty as to the University's potential obligations under TUPE requirements to existing staff employed by International Study Centre. It was agreed that this matter should be resolved as quickly as possible and it was agreed that the Secretary of the University would consult further with the Director of HRD to assist progress with this aspect.

7. **REPORT FROM THE DEPUTY PRINCIPAL (LEARNING AND TEACHING)**

The UE received and noted a report presented by the Deputy Principal (Learning & Teaching). The items, which were each presented for information, included updates on:

- revisions to the Academic Management Structure which reflected a decision to change the name of the Senate Council (Dubai / Malaysia) to Academic Council (Dubai / Malaysia) (with a further application of the title in Academic Council (West London College));
- a planned visit to and review of provision at the Dubai Campus by the Quality Assurance Agency on 2 and 3 February 2014 as part of a wider review of UK Transnational Education in the United Arab Emirates; and
- the outcomes of an Equality Impact Assessment of the University's Contextual Admissions Policy, with confirmation that the Policy should not result in any adverse impact on applications with ‘Protected Characteristics’.

8. **REPORT FROM THE LEARNING AND TEACHING BOARD**

The UE received, discussed 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 23 October 2013. Item 1 in the report was presented for approval. All other items were presented for information.

**Remits and Terms of Reference**

The UE noted and approved the six remits and terms of reference (and associated titles) relating to the University-wide academic management structure (with the exception of the Edinburgh Business School) for implementation from September 2014, subject to review for further clarity as noted below:

The following were approved:

- School Studies Committee: Terms of Reference
- School Learning and Teaching Committee: Terms of Reference
• School Board of Studies: Terms of Reference
• School Director of Learning and Teaching: Remit (already in existence; updated remit produced)
• School Director of Academic Quality
• School Senior Director of Studies/Programme Director of Studies

It was agreed that, in order to provide greater clarity, the Deputy Principal (Learning & Teaching) would add in a reference to the School Studies Committee terms of reference clarifying its role in relation to reports from overseas accreditation bodies which would come via the Malaysia Academic Council.

'Identical Quality and Academic Standards; Diversity of Student Learning Experiences'

The UE endorsed the key principle endorsed by the Learning & Teaching Board to encapsulate the University's position vis-à-vis the wide spectrum of modes and locations of study offered by the University: 'Identical Quality and Academic Standards; Diversity of Student Learning Experiences'. It was noted that the Board had agreed that all members should actively use this strapline and that the concept represented by it should be widely promoted across the University.

Learning environment / Learning space

The Deputy Principal (Learning & Teaching) drew attention to agreement by the Learning & Teaching Board to establish a Learning Environment Committee and a Learning Spaces Management Group reporting to the Board. It was intended that the considerations of these bodies would be quite distinct from School-level space planning progressed through the Planning Round and also the work of the Campus Services Management Board (CSMB) which does not provide for a detailed focus on learning and teaching needs. It was envisaged; however, there would be linkage with the CSMB and the Space Optimisation Group within the reporting line to the University Executive.

9. HERIOT-WATT REF2014 SUBMISSION

The UE noted and approved the University's proposed REF2014 submission under twelve REF Units of Assessment for planned submission by 15 November 2013, noting that the following changes would be made prior to the submission:

• updated information relating to recent CDT and Confucius Institute successes; and
• an additional named individual will be added to the Earth Systems and Environmental Sciences list of staff to be submitted. It was agreed that the Deputy Principal (Research & KT) would re-issue the paper presented with this update included.

The Principal advised that thanks and appreciation should be relayed to all colleagues within Schools and through the professional support team deployed to support REF who had contributed to the successful completion of the University's submission.

10. RESIDENCES PHASE II: 2016

The UE received and approved an Outline Business Case for a Residences 2016 (Phase 2) Project.

It was agreed to recommend to the Finance Committee that the Outline Business Case be progressed such that a proposal is presented to the University Court for approval at its meeting on 16 December 2013.

It was agreed also that further steps should be taken to conclude a satisfactory agreement with the company identified in the report as the preferred bidder by 20 December 2013. It was noted that negotiations were continuing with this company on the design detail and contract issues in order to reach agreement on firm cost and an agreed set of contract data. The University had external legal and professional consultancy assistance in place to support his process.

The UE noted that funding for the 2016 phase of student residences at the Edinburgh Campus was fully provided for within the portfolio of capital investment in the 2013 Five-Year Financial Plan with an indicated requirement for £30 million borrowing which had equated to the capital expenditure forecast for the new residences.

It was noted that, since approval of the 2013 Plan, the capital expenditure estimate had been lowered
substantially, reducing the anticipated borrowing requirements and the consequent costs of servicing that borrowing. The Outline Business Case confirmed an investment in the region of £20 million to procure 450 new bed spaces, replacing existing Residences II (comprising 161 spaces), which was due to be demolished in 2015. The net increase in bed spaces accorded with projected student demand. It was noted that the break-even point for positive project cash-flow was expected in year five, two years after the opening of the building.

The UE noted that the ten year project indicated positive cash generation was substantially improved from the outputs achieved and forecast from Phase I of the Residences programme. Key drivers for this change were reduced per room costs and consequent decreases in capital and interest repayment costs. Borrowing was expected to fit within currently agreed limits without the need for re-negotiation with the Bank.

11. SCHOOLS’ FINANCIAL PERFORMANCE 2012/13

The UE received and noted a report, presented by the Vice-Principal, which summarised the financial performance of Schools (excluding EBS) during the financial year 2012/13. It was noted that the data were based on Period 12 Management Accounts and therefore would be subject to revision reflecting the finalised Annual Accounts.

The Vice-Principal highlighted in particular:

- the performance of each School relative to their respective plans which highlighted a significant level of resilience in plans with the exception of MACS. In this regard unanticipated additional costs relating to exchange rates had contributed to an anomalously low contribution and estimated surplus;
- an overall successful year for academic operations with sustained growth in overall income and exceptional growth in particular in research income;
- the imperative of sustaining the Global Platform campaign in order to meet future growth research income growth targets; and
- summary analyses of School's individual operational positions, past current, and future which highlighted a high degree of variation across Schools and indicated matters to be addressed in the current planning round.

12. 2014 FIVE-YEAR FINANCIAL PLAN: AN INITIAL SCENARIO

The UE received and discussed a paper, presented by the Vice-Principal, which set out for discussion initial assumptions to guide preparation of the 2014 Five Year Financial Plan.

The UE agreed the following underpinning assumptions in the form of recommended changes to the 2013 Plan:

- a 6% growth in School and Hospitality Services income 2018–2019 relative to 2017–2018 and a 4% increase in expenditure (both in cash terms, i.e., not scaled by inflation). 4% increase in net Professional Services expenditure. In Malaysia, conformance to the existing business plan, subject to any agreed changes;
- the plan should satisfy the criterion that the percentage surplus in each year should be either no smaller than in the 2013 plan or greater than 7%, whichever is the smaller;
- in years where it is necessary to satisfy the criterion for minimum surplus, the contribution/net expenditure in School/Professional services budgets should be improved relative to the 2013 plan for the years 2014–2015 and 2015–2016 by approximately 1.3% and 0.7% respectively; and
- Table 7 in the report presented should be adopted as an initial basis for the 2014 Plan.

The UE discussed the required level of improvement (contribution/net expenditure) to meet the criterion on overall surplus, in particular in relation to the target improvement in 2014/15 of 1.3%. This was considered potentially challenging, however options could be identified which would serve to reduce figure and there might be potential to spread improvements more evenly across the two years. It was agreed that in presenting information to the Finance Committee, the identified options ought to be
presented for discussion.


   The UE received and noted a report, presented by the Vice-Principal, which confirmed the current status of the James Watt Studentship scheme and the requirement for individual Schools to report 2013 starts to the Vice-Principal before the end of November 2013.

   The UE approved proposed allocations for 2013–2014 studentships, noting the possibility that some studentships will remain available for this year and that some are likely to be available for redistribution next year.

   Heads of School were invited to advise the Vice-Principal if they would wish to be allocated any additional studentships and were reminded to advise the Vice-Principal of the name of the student before December 1 of the year in which the award is to be paid.

   It was noted that it was unlikely that the allocation of Studentships allocated in connection with Centres for Doctoral Training will be required.


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

   SLS:- The Secretary of the University agreed to follow up with relevant service an issue raised by the Head of SLS in relation to AV facilities in one of the School's lab spaces.

15. **REPORT FROM THE DEPUTY PRINCIPAL (EXTERNAL RELATIONS)**

   The UE received and noted a report, presented by the Deputy Principal (External Relations), which provided an update on the successful application to establish a Confucius Institute in Business and Communications (SCIBC) at Heriot-Watt.

   The UE noted that detailed discussions would take place with Hanban in relation to the support that Hanban will provide for the SCIBC. It was noted that the agreement stated Hanban’s authorisation of the use of the Confucius Institute title, logo etc., provision of books and courseware, start-up funding and Chinese instructors to support teaching. Heriot-Watt’s obligations will include provision of office and teaching facilities, required administrative staff support, assistance with Visa applications for Chinese teachers and annual matching funding which can be in kind funding.

   It was noted that a detailed business plan will be presented to the UE once the negotiations with Hanban are complete.

16. **REPORT FROM THE INTERNATIONAL STRATEGY BOARD**

   The UE received and noted a report from the International Strategy Board which related to the meeting of the Board held on 12 September 2013. All items in the report were presented for information.

   In relation to item 7 of the report the Secretary of the University agreed to follow up with the Director of Information Services on the information that the International Strategy Board awaited from that Service on the topic of ALP tutor access to library resources – required actions and costs.

17. **HWUM PROJECT BOARD REPORT**

   The UE received and noted an HWUM Project Board update report which was presented by the Deputy Principal (External Relations).

   The report provided an update of the status quo in relation to the; short term review of the Business Plan; review of Marketing and Student Recruitment; main campus construction and fit out; options appraisal on student residences; approval of programmes; staffing and appointments; and risks.
Heads of Schools were thanked for their contribution to the Business Plan review, the key outcome messages and action plan for which were set out in the report. These were to be reported at the Project Board at its meeting on 27 November 2013.

18. ANNUAL ACCOUNTS AND FINANCIAL STATEMENTS 2012/13

The UE received and approved draft Annual Accounts and Financial Statements 2012/13 for onward presentation for approval to forthcoming meetings of the Audit and Risk Committee, Finance Committee and the Court in November and December 2013.

UE approval was given notwithstanding further work the UE noted required to be undertaken. This included:

- further work to complete analysis of fixed asset/deferred capital grants (unlikely to materially affect the results);
- finessing and completion of the narrative sections of the document;
- audit clearance by the University's external auditors. The Accounts were presented subject to final audit clearance, including any amendments or revisions that may result from the Auditor's work; and
- an introduction from the Principal yet to be drafted.

19. REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted reports presented by the Secretary of the University including:

- a bulletin from the Secretary's Board for October 2013; and
- an oral update on developments relating to the Scottish Code of Good Higher Education Governance, the review of the Charter and Statutes, which will be concluded by April 2013, and development of a revised Court Statement of Primary Responsibilities of the Court which reflected the requirements of the Scottish Code.

20. REPORT FROM THE SECRETARY'S BOARD

The UE received and noted a report from the Secretary's Board which related to the meeting of the Board held on 1 October 2013. All items were presented for information.

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

21. INTERNAL AUDIT REPORT: INTERNAL AND EXTERNAL INFRASTRUCTURE TEST

The UE received and noted a report from the University's Internal Auditor, Ernst & Young on the outcomes of a security assessment undertaken in August 2013. The time-limited security assessment tested the University's IT infrastructure from both the perspective of an attack targeting the externally accessible perimeter systems and an attack with physical access to the internal network.

No comments were received on the report which incorporated management responses against the audit recommendations along with implementation dates. The Secretary of the University highlighted that each of the actions against identified high level risks had been completed.

The UE noted that the report had been considered by the Audit and Risk Committee at its meeting held on 23 October 2013.

22. ANY OTHER BUSINESS

Report from the Research & Knowledge Exchange Board

The Deputy Principal (Research & KT) advised that the report of the meeting of the RKEB would be presented to the UE at its meeting in December at which point an update on Research Grants and Contracts: Proposals and Awards would also be provided.
23. **DATE OF THE NEXT MEETING**

It was noted that the next meeting of the University Executive would take place on 12 December 2013.
Heriot-Watt University

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 12 December 2013

Present:

Prof J Jones, Vice-Principal (Chair)  
Prof R J M Craik, Vice-Principal (Malaysia) (via Skype)  
Ms A-M Dalton, Secretary of the University  
Professor G Hogg, Deputy Principal (External Relations)  
Prof D Hopkins, Head of School, Life Sciences (SLS)  
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 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 F Waldron, Head of School, Textiles and Design  
Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)  
Mrs V Hallows, Clerk for the meeting

Present also:

Mr M Adderley, Director of Human Resource Development (for item M233)  
Mr R McGookin, Director of Planning

Mr M Roch, Director of Information Services (for item M242)

Apologies:

Prof S K Chapman, Principal and Vice-Chancellor  
Ms L Kirkwood-Smith

M225 MINUTES OF THE PREVIOUS MEETING
The UE approved the minutes of the meeting held on 12 November 2013.

M226 ACTION LOG AND MATTERS ARISING

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

226.2 Matters arising
There were no matters arising.

M227 BUSINESS REPORTED BY THE CHAIR

Chancellor’s Autumn Statement
The Chair drew UE’s attention to the Government’s Autumn Statement and the plan to abolish the cap on UK student numbers; raising the cap by 30,000 in 2014/15 and removing the cap altogether in 2015/16, highlighting the impact of this significant change on the UK HE sector as a whole and in particular, the University’s RUK recruitment and long-term planning. The Chair suggested that Schools should consider the implications of these changes in the context of the forthcoming planning rounds.

M228 CONSULTATION AND PUBLICATIONS LOG
The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until November 2013 and recently released publications.

**M229 MANAGEMENT ACCOUNTS FOR THE PERIOD TO 31 OCTOBER 2013 (FIRST QUARTER)**

The UE received and discussed Management Accounts for the period to 31 October 2013 (First Quarter) which were presented by the Director of Finance.

The Director of Finance highlighted in particular:

- (Reserved section: Ref Section 30, FOI(S)A and
- That the Finance team continued to experience improved reporting though Oracle.

**M230 REPORT FROM THE SECRETARY OF THE UNIVERSITY**

The UE received and noted a report presented by the Secretary of the University in the form of the Secretary's Board Bulletin: November 2013 issue. The Secretary highlighted that a report on the findings of the recent Recruitment and Admissions review of the University's student recruitment CRM project will be published in the New Year and reported to a future meeting of the UE.

The Secretary of the University informed the UE that the Project Support Office would be submitting a proposal on the function of the PSO and the plans to monitor strategic level projects to a future UE meeting.

All items were presented for information and no comments were made in relation to the report.

**M231 REPORT FROM THE SECRETARY’S BOARD: MEETING HELD ON 5 NOVEMBER 2013**

The UE received and discussed a report from the Secretary's Board which related to the meeting of the Board held on 5 November 2013. Item 1 of the report in relation to Information Security Do's and Don'ts was presented for endorsement.

The UE noted and endorsed the proposed summary 'Do's and Don'ts' guidance for staff which it was intended should accompany recently approved information security policies and aid implementation of the policies. This development had been in response to a specific request made by the UE at its meeting on 26 September when considering the policies for approval.

The UE suggested that it might be helpful to academic colleagues for the University to produce some advice on the use of 'cloud services' which is being increasingly used to store and share academic work.

All other items were presented for information and no further comments were raised in relation to the report.

**M232 REVIEW OF THE ETHICAL BUSINESS: BRIBERY PREVENTION POLICY**

The UE received and noted a revised Ethical Business: Bribery Prevention Policy which was presented by the Secretary of the University.

It was noted that it had been confirmed at the point of approval in 2011 that the Policy would be reviewed on a biennial basis. The revisions to the Policy, which were relatively minor in nature, had emerged from the review exercise. No changes had been made to the legislation since the introduction of the Policy.

The most notable change to the Policy was the addition of a section which explicitly set out the penalties that could be incurred through breach of the Act.

The UE approved the revised policy for onward presentation for consideration by the Audit and Risk Committee at its next meeting.
**HUMAN RESOURCES PROPOSALS**

This item was taken as the second item of business.

The UE received and discussed human resource related proposals which were presented by the Director of HR.

### 233.1 Holiday Carry Forward

The UE approved a proposal for a change to the University’s agreed Annual Leave arrangements (Policy on Auditing the Arrangement, Taking and Monitoring of Annual Leave) such that staff will be allowed to carry forward the currently agreed level of up to 7 days from one holiday year to the next for a slightly longer period. The current deadline of 31 December has now been extended up to and including the Friday in January immediately preceding the start of the new semester.

It was noted that the recommendation had emerged at a meeting of the Combined Joint Negotiating and Consultative Committee (CJNCC) following reported staff difficulties in meeting the end of calendar year deadline and had been approved by the Secretary’s Board at its meeting in December 2013.

### 233.2 PDR Process

The UE discussed and endorsed recommendations, presented by the Director of HR, which related to the PDR process, i.e.:

1. run further focus Groups over a longer period to give a wider cross-section of Reviewers and Reviewees at all levels the opportunity to be heard;
2. ongoing mechanisms for staff to feed in to the process review. Set up, for example, by way of an ideas box, SharePoint discussion site, or a dedicated PDR email address for feedback or ideas;
3. FJP meetings to be held earlier for Senior Management. This will allow a quicker cascade of information and ensure all PDR meetings are completed within a sensible timescale. This action is already underway;
4. develop skills and confidence in Reviewers allowing them to actively manage staff performance and development; have regular management interaction through the year; and focus less on a formal interim point. This will be achieved through the development of toolkits (managers’ 100-day), briefings (Development Fair Jan 2014), induction support and other development initiatives. This work has already started within HRD, 2-way communication;
5. emphasis on the need for two-way communication throughout the annual performance and development cycle;
6. ongoing dialogue about objectives, performance and development should be encouraged throughout the Performance Cycle. It is preferable that an interim PDR meeting still takes place; however the Guidance will recommend regular meetings and, as an absolute minimum, meetings with managers once every six months;
7. support Counter Signatories and the role they play in the PDR process. Signing off on the PDR forms provides a better overview of the overall department’s performance and objectives set. The PDR process would then only count as ‘complete’ if the Counter-signatory had signed;
8. enhance the development discussions within the PDR meetings, ensure it is clear that (particularly) Academics have an understanding of how they would progress from Lecturer to Professor, and have a ‘what do I need for promotion’ discussion annually. This would support the Athena Swan principles and general career development;
9. instead of the 5 current ratings which are – Exceptional Performance, Good Performance, Satisfactory Performance, Under Performing and Not Performing it is recommended that this be changed to Satisfactory to Good Performance and Good Performance to Very Good Performance. The UE invited the Director of HRD to consider further refinement to the wording within the proposed rating categories for discussion with the CJNCC prior to implementation of the changes in 2015.

Taking into account the new recommendations above encouraging two-way communication throughout the year, the UE considered a proposal on whether interim PDR meetings should continue to be part of the process. Subsequently, it was agreed that interim PDR meetings would no longer be required from 2014.
M234 UNIVERSITY COMPLAINTS: QUARTERLY REPORT

The UE received and discussed a report, presented by the Secretary of the University, which summarised the complaints received by the University for the first quarter since the introduction of the new Complaints Policy: 1 September to 30 November 2013. It was noted that the style of reporting accorded with Scottish Public Services Ombudsman requirements.

The UE agreed that the report should be presented for information to the Court at its meeting to be held in March 2014.

M235 REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and noted a report from the Campus Services Management Board, presented by the Secretary of the University, which related to the meetings of the Board held on 8 October and 26 November 2013.

All items were presented for information but of particular interest to the UE was the update on the Space Optimisation Project and the Secretary of the University reported that the Director of Campus Services would meet with Heads of Schools to discuss individual pinch points, future trends and requirements before coming back to UE with the full report.

The UE also discussed individual Schools’ experiences in respect of arrangements for students with special needs in light of increasing numbers and the increase in support required which raised questions in relation to corporate and school responsibility. The UE agreed with the Campus Services Management Board’s recommendation that a corporate policy should be developed, and suggested that advice be sought from the Deputy Principal (Learning & Teaching) in respect of associated academic issues. It was also suggested that the University might wish to seek Senate’s views during the development phase of the policy. In the meantime, it was recommended that Schools consider future resource implications as practically as possible, and include in discussion at future planning round meetings.

M236 REVIEW OF RESEARCH AND ENTERPRISE SERVICES

The UE received, discussed and endorsed outline proposals in relation to a planned review of Research & Enterprise Services (RES), noting plans to complete the review by 20 February 2013 and thereafter to provide a report for further consideration by the UE.

It was noted that the review panel, under the chairship of the Head of the School of the Built Environment, would focus on review of the structure, location, management and leadership needs of RES in the context of professional service delivery of support against the broad range of the research and knowledge exchange agenda and in relation to future plans and priorities.

M237 REPORT FROM THE RISK AND PROJECT MANAGEMENT STRATEGY GROUP

The UE received and noted a report from the Secretary of the University on behalf of the Risk and Project Management Strategy Group which related to the meeting of the Group held on 29 October 2013.

The UE noted in particular the comments of the Risk and Project Management Strategy Group following its review of the earlier UE Risk Appetite session and outcomes, namely;

- Members of the UE had the opportunity to score the top 20 risks in terms of impact and likelihood. The group noted the difference in some of the results produced from this exercise against the current strategic risk register. The Group felt that the UE scores were a useful indicator and should be retained alongside the Risk Register. However they were comfortable that the differences were explained by the more detailed knowledge the members of R&PMSG of the relevant projects and mitigating factors. Risk should continue to be assessed by R&PMSG. A further assessment of the UE scores against the Risk Register would be undertaken to determine if there were any major discrepancies that should be drawn to the attention of this group for further consideration;
• It was noted that there was room for further improvement in the articulation of some of the risks. In particular, the risk relating to pensions required further clarity. The risk of failure to identify further international partnerships also required further refinement;
• It was noted that some risks lie completely outwith the University’s control, and for these a different type of mitigation needed to be considered;
• The Group commented on how helpful the KPI presentation had been in informing the Risk Appetite discussion. The KPI status should be added to the risk profile to assist with quantification;
• It would also be very useful to look at other data produced by the Planning Office and link this to the risk profile.

Following the discussion on Risk Appetite at the Court Away Day in November, Court requested that further work be carried out through the Audit and Risk Committee (ARC) and the Secretary of the University. [Post meeting note: At its meeting in November, the ARC concluded that before it could work on the development of a proposal for a Risk Appetite Framework/Statement, University Management should review the current statements and provide ARC with further proposals for consideration and endorsement by the Committee before being recommended to the Court for approval.]

M238 RISK AND PROJECT MANAGEMENT STRATEGY GROUP: TERMS OF REFERENCE

The UE received and approved revised Terms of Reference (and name change) for the Risk and Project Management Strategy Group presented by the Secretary of the University. It was noted that the Terms of Reference for the former Risk Management Strategy Group had been updated with explicit reference to extended responsibilities of the Group in relation to project management.

M239 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and noted a report presented by the Deputy Principal (Research & KT) which included reports for October and November 2013 of Research Grants & Contracts: Proposals and Awards. The report also contained an update on the REF 2014 submission and the EPSRC funded RCUK Doctoral Training Centres. Of particular note was the reference to an audit by the REF Audit Team requiring more information on some aspects of the submission, possibly requiring assistance from HR, Finance, Library, and/or Registry, and colleagues were asked to inform appropriate individuals within their Schools and Services and to stress the 10-day timescale for a response.

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

The UE wished to record its thanks and appreciation to all members of staff who had contributed to the University’s REF submission, with particular acknowledgement of the contribution made by those members of academic staff who had been involved in multiple submissions.

M240 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and noted reports presented by the Deputy Principal (Research & KT), which related to the meetings of the Research & Knowledge Exchange Board held on 17 October and 8 November 2013. The Deputy Principal (R&KT) drew UE’s attention to RKEB’s recommendation that the University should have an Open Access Policy encompassing all aspects of research and outputs to ensure compliance with the RCUK policy on Open Access. All items were presented for information and no further comments were raised in relation to the items presented.

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

M241 ORAL UPDATES FROM HEADS OF SCHOOLS AND THE VICE-PRINCIPALS MALAYSIA AND DUBAI

The UE received and noted oral School/Campus news updates from Heads of Schools and the Vice-Principal Dubai who were present at the meeting. Unfortunately, the Vice-Principal Malaysia was prevented from joining the full meeting due to a technological problem with the Skype link and, therefore, was not able to provide an update to his meeting.
At this point in the meeting, the UE received a tabled paper from the Head of IPE presenting and update on the Oil and Gas Innovation Centre proposal, stating that the submission of the revised implementation plan to SFC was imminent and that the business plan was nearing sign-off and the role and responsibilities of the University in the running of the Oil and Gas Innovation Centre required approval.

The UE approved the OGIC proposal in principle recommending that authority be delegated to the Principal and Vice-Principal to oversee the completion of the implementation for submission to the SFC and to report back to UE in due course.

M242 ELECTRONIC JOURNAL LICENSING

This item was taken as the first item of business.

The UE received and discussed a briefing presented by the Director of Information Services on electronic journal licensing arrangements.

The key points highlighted in the presentation were:

- A reminder of the background to the review of library resources, and that following the review it had been determined that Information Services offered access to more than 20,000 e-journals and databases which involved over 90 distinct licenses with an annual cost of around £1.3m.
- The challenges and risks should misuse of particular journals/databases be detected by the publisher.
- ALP students had access as they were registered as HWU students, ALP Tutors did not have automatic access as they were not staff members.
- IS had consulted Legal Services who had reviewed all licenses and concluded that around 4,000 journals/databases (20%) permit use by ‘Teachers of Authorised Users’, 200 journals (1%) restrict use to ‘Students and Staff’ and approximately 16,000 journals had ambiguous provisions which required individual discussions with publishers. Information Services had published a categorized list of access to journals;
- During initial discussions with some publishers the University had been advised that they would extend the licence to ALPs for a sum of money per ALP but the cost implications of supporting such access would need to be balanced against the level of need and demand.

The UE considered and was content with the interim response which had been to publish information for ALP tutors which included an index of which category each journals falls by license terms and guidance to ALP Tutors who were advised to consult the appropriate Subject Librarian should there be any resources which they were unable to access. Any Schools wishing to extend access were also advised to approach their Subject Librarian in the first instance.

The UE discussed and approved the proposed longer term strategy to ensure that the resources required by every course were made available legally to HWU campuses, ALP campuses and IDLs, and that IS must have earlier involvement in programme design to minimise problems relation to access.

The Chair thanked the Director of IS for his presentation and acknowledged the considerable work involved in pulling together all the relevant information. However, the presentation had highlighted the potential longer-term financial consequences associated with ALP agreements that care must be taken to ensure that additional resources were recognised and made available at the approval process stage.

UE recommended that the ISB and LTB would find the presentation helpful in consideration of the future ALP strategy.

M243 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE noted a report which was presented by the Deputy Principal (Learning & Teaching).

Following a period of consultation since the presentation to the UE in August 2013, of an entry programme at the Edinburgh Campus, the Deputy Principal (Learning & Teaching) reported that
there had been a change of direction of the plans. He was currently working on the development of
proposals for international foundation pathways and that he would be liaising with Heads of Schools,
HR and Recruitment and Admissions on this with a view to making a recommendation to a future
meeting of the UE as soon as possible.

243.1 MOOCs

The UE agreed to defer discussion on this item of business until its January 2014 meeting.

243.2 QAA Review – Dubai Campus

The UE noted that a review of UK Transnational Education in the United Arab Emirate by the Quality
Assurance Agency would take place from 1 February to 12 February 2014 with the review team
visiting the Heriot-Watt Dubai Campus on 2 and 3 February.

M244 REPORT FROM THE LEARNING & TEACHING BOARD

The UE received and noted reports, presented by the Deputy Principal (Learning & Teaching), which
related to meetings of the Learning & Teaching Board held on 13 November 2013. All items were
presented for information.

The Deputy Principal (Learning & Teaching) drew UE’s attention to the progress with Academic
Management Structures at Multiple Campuses and that the various associated remits and terms of
reference for the Schools posts and committees had been revised and circulated across the
Institution for further feedback with a view to being presented to the UE at its January meeting for
approval. In the interim, further discussions would take place with the Vice-Principals Dubai and
Malaysia on this matter.

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

M245 SCHOOL ANNUAL MONITORING AND REVIEW / KEY PERFORMANCE INDICATORS
MEETINGS, 2011/12

The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching), which
summarised the outcomes of the Annual Monitoring and Review process for academic session
2011/2012 (undertaken during 2012/2013) and the related University-level Action Plan. The Deputy
Principal (Learning & Teaching) highlighted the following key points;

- 3.2 Learning Space – the lack of learning space and timetable pinch points in respect of a
lecture theatre for around 160/170 students, and a computer laboratory large enough to allow
double teaching; and
- 3.10 Professional Services – a lack of knowledge within the Schools of the services provided
within the Professional Services, emphasizing the importance for Professional Services to
communicate the services they can provide in support of Schools.

Members of the UE commented that they had found the report very helpful and congratulated the
Deputy Principal (Learning & Teaching) on making excellent progress against KPIs and setting out a
clear and concise action plan for the University.

M246 ACADEMIC PROMOTION AND PROBATION PROCEDURES

This item was taken as the third item of business.

The UE received and discussed a report, presented by the Deputy Principal (External Relations),
which proposed changes to the following policies and procedures documentation, for further
consultation:

- Senior Promotions Procedures (Academic) Grade 8-9 or Grade 9-10
- Academic Advancement Board Policy
- Academic Probation Procedures
- Senior Academic Promotion CV template
• Proposed Senior Academic Promotion Publication List.

The main changes proposed were:

1. The Interview Process – interviews for straightforward senior promotions to Grade 9 have now been removed;
2. References – these will now need to be taken up prior to the first meeting of the Promotions Board in order for promotion decisions to be taken at the time;
3. External Assessors – clarification around the role of assessors has been added in to the procedure;
4. Timing of the Board – the Board will now meet two months earlier in the year, than in the past;
5. HERA job evaluations – the requirement to complete a job overview form has been removed and greater emphasis has been made on the agreed Role Profiles.

The UE approved the proposed changes to the policies and procedures for onward consultation with the Heriot-Watt trade unions through the Combined Joint Negotiating and Consultative Committee, subject to further consideration being given to the future use of PG Cap certification.

M247 REPORT FROM THE DEPUTY PRINCIPAL (EXTERNAL RELATIONS)

The UE received and noted a paper presented by the Deputy Principal (external Relations), containing a proposed definition of an Associate Campus and the difference between an Associate Campus and Approved Learning Partner. Members of the UE were invited to provide written comments to the Deputy Principal (External Relations) with a view to the paper coming back in its final form to the UE for approval in early 2014.

M248 HWU MALAYSIA PROJECT BOARD REPORT

The UE received and noted a report from the HWUM Project Board which was presented by the Deputy Principal (External Relations).

The report provided an update on the short term review of the business plan including planning meetings with the Schools, a review of marketing and student recruitment, the main campus construction and fit out, campus contingency planning, student residences, approval of programmes and student recruitment, staffing and appointments, and risks.

The Deputy Principal (External Relations) highlighted the Project Board’s views on a number of options considered as part of the draft contingency plan in the event of a delay in the completion of the main campus. Turner & Townsend were reasonably confident of delivery of the building in June. However, the Project Board was concerned that the risks to reputation and to the quality of student experience were too great to consider partial occupation or moving into the new building for a late start to the academic year. A visit to the site took place on 22 November 2013, and another meeting is scheduled for January 2014.

M249 ANNUAL REPORT FROM THE EXECUTIVE MANAGEMENT COMMITTEE OF WEST LONDON COLLEGE

The UE received and noted the Annual Report from the Executive Management Committee West London College, presented by the Deputy Principal (External Relations). The Report included the Terms of Reference of the Committee, the Risk Register and the statistics in relation to the total student numbers at WLC by HWU programme. All items were for information.

M250 DATE OF THE NEXT MEETING

It was noted that the next meeting of the University Executive was scheduled to take place on 30 January 2013. The date was discussed and UE agreed that it should be reviewed and brought forward by a week to facilitate the presentation of any specific papers, etc., in preparation for the visit to Dubai in early February by the Secretary of the University and the Deputy Principal (Learning and Teaching).
Signed ............................................................

Date .............................................................
M14/1  MINUTES OF THE PREVIOUS MEETING

The minutes of the meeting held on 12 December 2013 were not available to be approved and remain to follow.

M14/2  ACTION LOG AND MATTERS ARISING

2.1  Action Log:

The Action Log of the meeting held on 12 December 2013 was not available for the UE to note. This report remains to follow.

2.2  Matters arising:

Staff PC Server slow down

The Director of Information Services updated the UE on the possible causes of the recent Staff PC Server slow down which had caused disruption. He outlined steps that had been taken to ameliorate the situation in the immediate term and plans in place in the short term to minimise,
as far as possible, the chance of a similar problem in the future.

It was noted that new IS fileservers had been procured and would be installed in the current year. The servers would be duplicated, based in two data centres and linked for resilience. In addition, staff PCs would be set up in such a way as to reduce the impact of system faults.

M14/3  BUSINESS REPORTED BY THE CHAIR

3.1  Heriot-Watt University Fundraising Campaign 2011 – 2021

The UE noted and approved, for onward reporting to the Court at its next meeting, an outline of the planned HWU Fundraising Campaign 2011 to 2021 which was presented by the Principal.

The UE was reminded that the University had embarked on the research phase of the Campaign in 2011. It was noted that the proposal was to run the Campaign over a 10 year period spanning two key anniversaries: the 50th anniversary, in 2016, of gaining university status and the bicentenary celebration in 2021.

The UE noted and endorsed key themes and projects which were proposed only in outline at this stage. The list, which was not exhaustive and remained subject to further scoping and additional proposals, was centred around three key themes: global platform for research leaders; global scholarship programme; and learning and teaching and the student experience. The UE noted the intention to work towards a formal launch of the Fundraising Campaign in late spring / early summer 2014.

Reserved section (DPA exemption).

Principal & Vice-Chancellor remuneration

The Principal updated and provided background information to the UE which was pertinent to recent press coverage on his remuneration.

3.2  SPACE OPTIMISATION SURVEY MAIN REPORT

The UE received and discussed a presentation by Antonia Cairns of Realm ISD Ltd on the outcomes of a space survey conducted on behalf of the University by the company in 2013.

It was noted that the aim of the Space Optimisation Project was to identify opportunities for improved space utilisation and efficiency and to develop options that will provide for a more agile and future focused estate at the Edinburgh Campus, supporting improved service delivery, academic excellence and commercial success.

The UE noted and discussed key findings and recommendations set out in the report and approved the following:

- that, as an early priority, to address apparent under-use of the Postgraduate Centre and, as part of measures to improve utilisation of the Centre a proposal should be developed as quickly as possible with a view to accommodating the Confucius Institute for Business and Communication within the Centre;
- the recommendation that opportunities should be further explored through a feasibility study to develop the James Watt Centre as a student centred learning hub, increasing utilisation rates and social study use of the facilities;
- the recommendation that work should progress with a view to substantially increasing centralisation of the timetabling of teaching spaces across the University. It was noted that there were sufficient teaching spaces across the University; however, current practices would need to change to improve efficiency and to make suitable teaching spaces accessible;
- the recommendation that feasibility studies and options appraisals are progressed to consider the three potential options presented (or a hybrid of these) to create the
capacity to accommodate academic growth - consideration to be given to the best financial and non-financial value outcomes; and
- development of an overall property strategy including, inter alia, workspace guidelines to achieve spatial and organisational benefits. The report included recommendations across a range of options.

In the course of discussion the following points were also raised:

- flexibility of approach in terms of space requirements for undergraduate and postgraduate student populations. The needs of these two groups were not the same and therefore blended solutions should be considered. Each School will therefore require some space over which they have control and can utilise to optimum benefit, suited to the needs and expectations of different student groups.

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

M14/5

GOVERNANCE STRUCTURES

The UE received and discussed a presentation delivered by the Secretary of the University that outlined the University’s committee and governance structure (including governing body, executive, academic structures and international structures).

The Vice-Principal (Malaysia) questioned why the HWUM Board was illustrated reporting alongside the HWUM Executive Committee to the University Executive rather than directly to the Court. The UE agreed that it was likely that at least the HWUM Executive Committee should report directly to the University Executive, while it may well be appropriate that the Board reports directly to the Court via an Annual Report. It was noted also that if the HWUM Executive Committee has a reporting line to the University Executive, then appropriate Terms of Reference need to be developed for the Committee for UE approval. It was agreed that arrangements should be clarified and Terms of Reference developed for the HWUM Executive Committee.

The Secretary of the University highlighted the significant governance obligations and interests of the Court and it was proposed in future that a copy of the draft Court Agenda should be provided as a matter of course to the membership of the University Executive.

The Secretary of the University highlighted that, although there was a degree of commonality across Schools’ committee structures, more could be done to achieve consistency across terms of reference and titles, achieving a more uniform approach to School governance.

The Secretary of the University also highlighted the skills’ development needs of committee clerks around the University, especially in the light of the freedom of information environment and the need to pay appropriate attention to the provisions of the Freedom of Information (Scotland) Act, both in terms of what information must be published and what may be legitimately withheld. The Secretariat would be active in co-ordinating advice and support for clerks through a clerks’ network, handbook guidance and training.

M14/6

IHR PROJECT UPDATE

The UE received and noted an update report, presented by the Secretary of the University, on recent developments in relation to the iHR Project. This followed approval by the UE 2013 for the draw- down of funds in 2013/14 towards the introduction of an Oracle HR Self Service facility across the University. A total draw down of £681k had been approved by the UE to cover Phase 2 of the project.

The UE noted reported progress of the Project to date:
- establishment of a cross-representational Project Board;
- establishment of a project team to lead and deliver the project;
- successful completion of a requirements gathering phase;
- agreement on a supplier, with the contract expected to be signed by end of January 2014;
- agreement on key project milestones and payment schedule with the supplier; and
approval to the Project Board to proceed to delivery.

The Vice-Principal, highlighted that, in accordance with the terms of the UE’s earlier agreement, future requests for funding in support of further developments within the phased project (Phase 3 and beyond) will be presented to the UE for consideration, where they should be evaluated against other IT priorities in calls against the IT investment funds set aside in the Five-Year Financial Plan.

M14/7 ORAL UPDATES FROM HEADS OF SCHOOLS AND THE VICE-PRINCIPAL (MALAYSIA)

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

The Head of the School of the Built Environment confirmed that Prof Martin Chrisp had been involved in the development of a proposal for a pathway entry programme to be managed by the School of the Built Environment which would be presented for consideration by the UE at its meeting in February 2014.

M14/8 SCOTTISH FUNDING COUNCIL / HERIOT-WATT UNIVERSITY OUTCOME AGREEMENT 2014/15

The UE received, noted and approved a draft Scottish Funding Council (SFC)/ Heriot-Watt University Outcome Agreement 2014/15 document which had been developed through a process of consultation with the SFC.

The UE agreed that the Outcome Agreement document should be forwarded to the Court, noting that the Court had agreed, at its meeting in December 2013, to accept the document for consideration and approval by correspondence.

M14/9 REVIEW OF THE INSTITUTE OF PETROLEUM ENGINEERING

The UE received noted and approved recommendations which were presented by the Deputy Principal (External Relations) in relation to the review of the Institute of Petroleum Engineering undertaken in autumn 2013.

The UE approved proposals relating to the timetable for consultation and implementation following the review, namely:

- 14 February - final date for feedback on the Review;
- 28 February - decision by the Principal about how to proceed; and
- 31 March - implementation of any changes

The UE noted that the timetable will overlap with the preparation of the Five-Year Plan, and approved the proposal that, until the review is complete and any proposed changes are implemented, the responsibility for signing-off the Five-Year Plan on behalf of the Institute of Petroleum Engineering should rest with the Deputy Principal (External Relations).

The UE noted and approved a recommendation that the Head of the School of Life Sciences should assume immediate responsibility for reviewing the Aquatera/ICIT business plan, space requirements and budgets. It was noted that this decision was necessary in order to enable timely review of the Aquatera’s business plan and input into a feasibility study being undertaken by Highlands & Islands Enterprise.

M14/10 HWUM PROJECT REPORT AND BUSINESS PLAN

The UE received and noted an update on the HWUM Project which was presented by the Deputy Principal (External Relations) on behalf of the HWUM Project Board.

The UE received and approved the outcomes of the review of the HWUM Business Plan which took place according to approved terms of reference between September and December
The UE noted changes to the Plan, as set out in the revised Business Plan Assumptions document.

The UE noted reported areas of continuing risk or uncertainty and which would be considered through normal ongoing planning processes. These were: ongoing review of the HWUM reward packages and establishment of benchmarked salary scales; the programme portfolio which has been approved up to 2015/16 and remained to be firmed up for 2016/17 and 2017/18 through further discussions with Schools; the cost of student accommodation, which has been added in as an initial estimate; and increased uncertainties by the end of the Five-Year Plan, where a contingency had been added.

The UE agreed that the revised Business Plan should be presented for consideration by the Malaysia Oversight Board at its next meeting to be held in February 2014.

In response to a point raised by a member of the UE, the Deputy Principal agreed that a double-check would be made to ensure that the Business Plan assumptions relating to the timing of new programmes coming on stream correlated with agreements arrived at with Schools.

M14/11 REPORT FROM THE LEARNING AND TEACHING BOARD

The UE received 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 December 2013.

11.1 Academic Management Structures

The UE noted and approved modifications to guidance on ‘Academic Management Structures at Multiple Campuses’ noting that minor revisions to the documentation had been made since the version considered by the UE in autumn 2013. It was noted that, following UE approval, the Deputy Principal (Learning & Teaching) would arrange dissemination of the guidance across the University.

11.2 Other items presented for information

The Deputy Principal (Learning & Teaching) drew attention in particular to the report of the forthcoming QAA Review at the Dubai Campus as part of a wider review of UK transnational education that the QAA will undertake in the United Arab Emirates. The Heriot-Watt review would take place on 2 and 3 February 2014 with the Deputy Principal, the Secretary of the University joining other colleagues in advance of that date to prepare for the visit.

M14/12 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and noted an oral update from the Deputy Principal (Research & KT) on:

- current performance of Research Grants & Contracts: proposals and awards and plans to present a paper to the next meeting of the UE in February for debate. While the value of award success was substantially above that of the same time last year, the value of proposals was substantially reduced from last year and further consideration should be given to the factors influencing this.
- plans to submit a statement on the REF submission process for 2020 for the view of the UE at its meeting in February 2014.

M14/13 REPORT FROM THE RISK AND PROJECT MANAGEMENT STRATEGY GROUP

The UE received a report from the Risk and Project Management Strategy Group which related to the meeting of the Group held on 13 January 2014.

13.1 Strategic Risk Register

The UE received noted and approved the updated Strategic Risk Register for onward
presentation to the Audit and Risk Committee subject to the risk owner assigned to HWUMO2 being changed to the Vice-Principal (Malaysia).

13.2 New format Strategic Risk Register

The UE received and approved a proposed new format for the Strategic Risk Register for onward presentation to the Audit and Risk Committee subject to further discussion between the Head of Risk and Audit Management and the Head of MACS who suggested a few proposed changes associated with the method used in the risk matrix to sum risk x impact.

The UE noted that the new format had been informed by feedback from University Executive and Court risk appetite workshops held in November 2013. The enhanced reporting was intended to provide better oversight and management of the University’s key strategic risks linked to the aims of the Strategic Plan. It was noted that it was not proposed to institute the same changes to the current operational risk management reporting which would continue to monitor and escalate operational risks in line with the existing process.

Strategic Project Master Register

13.3

The UE received and discussed a Master Register for Strategic Projects which listed key projects with relevant information about project start/end dates, ownership, approval status etc. It was noted that the Register would be maintained by the Project Support Office and kept under review by the Risk & Project Management Strategy Group. It was intended that the Register will provide the University Executive and the Court with information to demonstrate capacity to manage strategic projects and to report on progress.

The Secretary of the University confirmed that the UE would receive an update of the Register at each of its meetings.

In the course of discussion it was agreed that Athena SWAN should remain on the Register until such time as the post implementation review phase has been completed and reported.

It was agreed that the Project Master Register should be reported regularly to the Audit and Risk Committee and annually to the Court.

M14/14 INTERNAL AUDIT REPORT: HEALTH AND SAFETY

The UE received and noted the final report of an Internal Audit (IA) which was conducted on Health & Safety and endorsed the management responses to the IA recommendations contained within the report.

It was noted that the scope of the review encompassed the effectiveness of the current Health & Safety Management System in operation with regard to key Health & Safety Risks, the effectiveness of the Health & Safety compliance function; effectiveness of controls to manage compliance with University policies; the operation of key controls; and for the IA to recommend any potential improvement opportunities in line with leading practice. It was noted that overall the report had been rated ‘green’ category low, with only low level risks having been identified.

It was noted that the report would be presented for consideration by the Audit and Risk Committee at its meeting to be held in February 2014.

M14/15 ANY OTHER BUSINESS

15.1 Athena SWAN

The Deputy Principal (External Relations) confirmed plans to bring an item of Athena SWAN governance arrangements to the UE for discussion at its next meeting.

M14/16 DATE OF NEXT MEETING

It was noted that the next meeting of the UE will take place on 27 February 2014.
Signed .......................................................... 

Date .............................................................
Heriot-Watt University

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 27 February 2014

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

Prof R MacIntosh, Head of School, Management & Languages (SML)  
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 F Waldron, Head of School, Textiles and Design (TEX)

Present also:

Mr Mark Adderley, Director of HRD (for item M14/41)  
Prof Malcolm Chrisp, Director of Learning & Teaching, SBE (for item M14/23)  
Mr R McGookin, Director of Planning  
Ms Theresa Merrick, Director of Corporate Affairs (for item M14/42)  
Mr M Roch, Director of Information Services (for item M14/40)

Apologies:

Prof R J M Craik, Vice-Principal (Malaysia)  
Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)

M14/17 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of the meeting held on 23 January 2014.

M14/18 ACTION LOG AND MATTERS ARISING

18.1 Action Log:

Ref M15: The Deputy Principal (External Relations) confirmed that a paper setting out Athena SWAN governance arrangements would be presented at the meeting of the UE to be held on 27 March 2014.

Matters arising:

18.2 University Executive Away Day

The Principal invited UE members to suggest discussion topics to be included in the programme for the UE Away Day to be held on 24 April 2014. The following topics were proposed for further planning and preparation:

a) Tribal update report launch  
b) Off-campus teaching and partnerships  
c) research intensification
The UE agreed that the Deputy Principal (Learning & Teaching) and the Deputy Principal (External Relations) should confer further to develop the off-campus teaching and partnership discussion themes.

It was agreed also that further consideration should be given to preparations for the Court Away Day in May 2014 for which, in part, the UE Away Day will be a rehearsal.

M14/19 BUSINESS REPORTED BY THE CHAIR

No other business was reported by the Chair.

M14/20 CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until March 2014 and recently released external publications.

M14/21 REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and discussed a report which was presented by the Deputy Principal (Learning & Teaching).

21.1 MOOCs

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

21.2 QAA Review: Dubai Campus

The UE noted and discussed a report on the Review of UK Transnational Education in the United Arab Emirates by the Quality Assurance Agency which took place in February 2014 with visits to the Heriot-Watt Dubai campus undertaken on 2 and 3 February.

The UE noted that a draft report on the outcomes of the visit to the HWU Dubai Campus was expected from the QAA in April 2014. This would not contain any formal judgements, but was expected to include recommendations and to highlight positive features. The University would have an opportunity to review the draft report and correct any factual errors or misunderstandings prior to publication by the QAA.

21.3 Enhancement Led Institutional Review (ELIR) 2015

The UE noted and discussed preparations in relation the planned third ELIR, to take place at the University in January and March 2015. It was noted that all documentation required ahead of the review should be submitted by 14 November 2014. It was noted that an ELIR Steering Group had been delegated responsibility for oversight of preparations by the Learning & Teaching Board. This included production of the Reflective Analysis and co-ordination of the Institutional Presentation. The Steering Group had held its first meeting in February 2014.

In response to a question about priority areas, the Deputy Principal (Learning & Teaching) confirmed that one area signalled for attention ahead of the review was the fragmented physical location of staff and student learning support facilities.

The Deputy Principal confirmed that he would keep the UE regularly briefed on preparations in the run up to the ELIR.

M14/22 REPORT FROM THE LEARNING & TEACHING BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Learning & Teaching Board relating to the meeting of the Board held on 22 January 2014.

All items in the report were presented for information.

M14/23 INTERNATIONAL FOUNDATION PATHWAYS
M14/24 ACADEMIC REVIEWS AND AUDITS

The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching), which confirmed the outcomes of the following reviews and related agreed actions:

- Academic Reviews undertaken on the Degree Entry Programme in Dubai and the School of Engineering & Physical Sciences in Dubai which had been undertaken in 2013; and
- Internal Audit of the School of Mathematical & Computer Sciences which had been undertaken in 2013.

The UE noted that no University-level action was required in relation to the outputs of the reviews.

M14/25 REPORT FROM THE DEPUTY PRINCIPAL (EXTERNAL RELATIONS)

25.1 The UE received and noted an update report on development of the Confucius Institute for Business and Communication which was presented by the Deputy Principal (External Relations).

The UE noted that the Chinese Partner for the SCIBC has been confirmed as Tianjin University of Finance and Economics (TUFÉ). Heriot-Watt is TUFÉ’s first and only Confucius Institute. An agreement would be signed by the University at an event at Hermiston House in April. It was noted that Prof Gill Hogg is the acting Director of the SCIBC and a TUFÉ Co Director would join the SCIBC for four years.

The report confirmed planning underway to map out the work of the SCIBC which would fall under two main themes expected by Confucius Headquarters – Hanban: Chinese language and cultural activities (operational) and projects or the activities that are undertaken by the University to promote its distinct Confucius Institute. It was noted that the SCIBC will have a strong research focus and funding for PhD studentships will therefore form a key part of the University’s bid to Hanban for funding.

The Deputy Principal provided a further brief (oral) update on an overall positive Combined Joint Negotiating and Consultative Committee meeting held earlier in the week where the key topic for discussion had been senior academic promotions.

M14/26 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report, presented by the Deputy Principal (External Relations) on behalf of the International Strategy Board which related to the meeting of the Board held on 13 February 2014.

All items in the report were presented for information.

M14/27 MALAYSIA CAMPUS UPDATE: REPORT FROM THE MALAYSIA CAMPUS PROJECT BOARD

The UE received and discussed a report on recent progress of the Heriot-Watt University Malaysia project which was presented by the Deputy Principal (External Relations).

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

M14/28 HERIOT-WATT UNIVERSITY MALAYSIA: PHASE II DEVELOPMENT

The UE received and noted a report, presented by the Deputy Principal (External Relations), which set out the timing and costs associated with the planning and delivery of Phase 2 of the Heriot-Watt University Malaysia campus development.

The report drew attention to the need for critical review and decision dates in relation to the future space growth requirements of the campus. The timing of the second phase had been planned for 2018, dependent on actual growth against plan to reach capacity in 2017/18. It was noted that negotiations and planning on Phase 2 will need to be undertaken with PjH in 2015.

The UE agreed on the need to establish critical review dates in relation to the timeline and actual growth
against plan in order to inform decisions on the timing and nature of future space requirements. It was noted that the report presented to the UE would be considered further by the HWUM Project Board but was already under active consideration by the Malaysia Oversight Board.

M14/29 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and discussed a report presented by the Deputy Principal (Research & KT):

29.1 Marine Alliance for Science and Technology for Scotland Articles of Association

The UE noted and endorsed a recommendation for the University’s support for the development of the Marine Alliance for Science and Technology for Scotland (MASTS) as a legal entity, to become ‘MASTS-Scotland’. The paper presented set out the rationale for this development, principally the extension of opportunities for the MASTS consortium to generate additional research income.

Pure: Phase 2 proposal

29.2 The UE noted and endorsed a project outline which set out the case for the further development of a proposal for the installation of a phase 2 Pure full Current Research Information System (CRIS). It was agreed that the proposal should be further developed in the context of the current planning round.

Other items presented for information

The UE noted and discussed other matters which were presented for information and comment.

29.3 Research Grants and Contracts: proposals and awards: February report:

The Deputy Principal drew attention in particular to an extended analysis of Research Grants & Contract proposals and awards which was presented with the usual format monthly report for February 2014. The Deputy Principal highlighted, as reported, areas of concern identified for further investigation which related to the value of research proposals.

The UE noted that analysis of activity in the first six months of 2013/14 showed that the average value of proposal had decreased significantly over the previous year. Possible causes of this reduction set out in the report were noted. Key amongst those were issues associated with the current RCUK and EU funding environment, and issues had been identified that applied sector wide, e.g. increased competition and therefore falling success rates against proposals.

The UE noted continuing work will be necessary in terms of gaining understanding of and responding to influencing factors.

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

M14/30 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 10 January 2014

All items were presented for information

M14/31 RESEARCH MANAGEMENT INFORMATION SYSTEM (RMAS) PROCUREMENT

The UE received, noted and approved a recommendation for Research Management Information System (‘RMAS’) procurement, which was presented jointly by the Deputy Principal (Research & KT), the Director of Planning and the Director of Finance.

The UE approved the recommendation for additional budget, over and above the initially approved budget of ~£150 K, with the aim of increasing the scope of RMAS functionality to include both pre-award and academic project management post-award capacities. Approval provided for an increase in budget to £195.4 K (including a contingency element) and budget to cover an additional £20K annual recurrent cost to
be met in Research & Enterprise Services.

M14/32 ORAL UPDATES FROM HEADS OF SCHOOLS AND V-Ps (DUBA)

32.1 International Centre for Island Technology (ICIT)

The UE noted and discussed an update of ICIT in the context of ICIT/Orkney Campus future developments. UE members were reminded of the agreement by the UE in January 2014 that the Head of School of Life Sciences would assume immediate responsibility for reviewing the Aquatera/ICIT business plan, space requirements and budgets, in order to enable timely review which, in turn, would inform a feasibility study being undertaken by Highlands & Islands Enterprise.

It was agreed that a decision on the future alignment of ICIT with a University School is intrinsically linked to ongoing work by the School of the Built Environment and the Institute of Petroleum Engineering in developing a proposal for the joint creation of a new School. It was proposed; therefore, that a proposal for alignment of ICIT should be developed in parallel to the SBE/IPE proposal and formally proposed at the same time; i.e. presented for consideration and approval in the first instance by the UE at its meeting to be held on 27 March 2014.

It was agreed, in the meantime, that communications to ICIT staff should confirm that no decision can be made before the SBE/IPE joint proposal emerges.

M14/33 JAMES WATT STUDENTSHIPS

The UE received, noted and approved proposals for James Watt Studentship which were presented by the Vice-Principal. The UE noted that the report was an update of the one approved by the UE in November 2013 in that it included the addition of proposed allocation of studentship in support of Research Council Centres for Doctoral Training (CDT) awarded since then and included other minor adjustments.

The UE approved for implementation the proposed Studentship allocations for 2013/14 and approved the proposed administrative procedures which were proposed for the adjustment of School budgets arising from the allocation of studentships. Provisional allocations of the Studentships up to 2018 were noted.

M14/34 STUDENT APPLICATIONS UPDATE

The UE received and noted a report and supporting presentation, provided by the Director of Planning, which provided an update as at February 2014 of student applications for 2014/15 entry. It was noted that the report presented was the first of a regular series which will provide for enhanced reporting of recruitment indicators across all campuses at the most appropriate times of the year.

The attention of the UE was drawn in particular to:

- UG applications to Scottish Campuses overall were comparable with the previous year; however, this incorporated positive increases in UG applications in widening access, RUK and overseas categories, while EU applications were reduced;
- continuing positive impact on average entry scores;
- Postgraduate course (PGT) applications to Scottish Campuses roughly level with the same period in the previous year;
- challenges and opportunities in the RUK market arising out of uncapping of student places in England; and
- in terms of extrapolated projected income growth, the UG level of applications showed evidence of supporting delivery of the 2014 Five-Year Financial Plan.

M14/35 FIVE YEAR FINANCIAL PLAN

The UE received discussed a presentation by the Vice-Principal which set out the proposed planning perimeters and assumptions underpinning the developing 2014 Five-Year Financial Plan.

The UE approved the following proposed key planning assumptions:
• the Plan will be consistent with strategic targets to achieve by 2017/18:- 7% surplus and 8% p.a. growth (total and research), and Professional Services expenditure contained within the limit of 25.5% of academic income (it was noted, in practice the proportion continued to remain at around 27% and within acceptable boundaries of error);
• the 2014/15 surplus to be >= to that in 2013/14;
• the Global Platform initiative should be sustained at +20 p.a. with James Watt Studentships sustained at 50 starts p.a.;
• the Plan will be based on the 2013 Five-Year Plan, modified to take account of changes (improvements) to the Scottish Funding Council grant funding:- Global Platform appointments made since the 2013 Plan +JW; capacity for infrastructure developments (growing demand); a variety of further combined changes which will impact on the Plan;
• SFC income improvements will be shared between School expenditure infrastructure and investment to support ‘initiative’ funding and on the basis of a 70% apportionment of additional funding to Schools and 30% to central investments;
• Infrastructure investment, excluding already committed large infrastructure projects will be included to the amount of approximately £30 million;
• no major restructuring costs anticipated for the next three years; and
• the Plan will include increased tuition fee contingency allowance in 2014/5, partly in response to uncapping of places in England.

The UE noted further work to do to develop the budget outline for Edinburgh Business School and Hospitality Services. Interest payment levels were currently included in the draft Plan as estimates.

M14/36 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University in the form of the Secretary’s Board Bulletin dated January 2014.

M14/37 REPORTS FROM THE SECRETARY’S BOARD

The UE received and noted reports from the Secretary’s Board, presented by the Secretary of the University, which related to the meetings of the Board held on 3 December 2013, 14 January 2014 and 11 February 2014.

37.1 Secretary’s Board Terms of Reference

Approval by the UE of this item is recorded in M46, below.

37.2 Public Interest Disclosure (Whistleblowing) Policy

Approval by the UE of this item is recorded in M44, below.

M14/38 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, which related to the meeting of the Board held on 21 January 2014.

All items in the report were presented for information.

M14/39 STRATEGIC PROJECTS REGISTER

The UE received and noted an updated Strategic Project Register, as at 18 February 2014, which was presented by the Secretary of the University.

M14/40 ESTATES INFORMATION MANAGEMENT SYSTEM
The UE received, discussed and approved a request, presented by the Director of Information Services, for approval to advance with re-tendering of the proposed Estates Information Management System (EIMS) during 2013/14. It was recommended that the installation and data development of the EIMS should follow in 2014/15. The estimated total cost was £360K (238K in year 1 and £121K in year 2). It was noted that this investment lay within uncommitted capacity set aside in the Five-Year Plan for IT infrastructure investment. However it was noted that the proposal would carry with it an additional staff cost to the Estate Office on a continuing basis. This would need to be considered by the Director of Campus Services in the context of forward planning and management of the Service’s budget.

The proposal was noted for procurement of a proprietary EIMS package from a major supplier who will work in partnership with the University to implement this system. It was noted that the comparative three supplier un-tendered application costs dated from December 2012 and the costs would therefore need to be revisited. These were based on an intranet or cloud-hosted application software; however, costs for a University server hosted application would be equivalent.

The Principal requested that the proposal be developed on the basis of options which are evaluated on the basis of whole life costs and exploration of all the relevant hidden costs associated with a third party provider. The full cost of training should be included in whole life costs.

**M14/41 TALENT MANAGEMENT**

The UE noted and discussed proposals, presented by the Director of HR, to pilot a more systematic approach to succession planning and talent development at senior staff levels across the University.

The UE discussed and agreed the following for incorporation into the proposals:

- to adopt the principle of a more active approach to succession planning within the University;
- a pilot exercise should be undertaken of the proposed revised approach, following which a review of outcomes should be undertaken prior to any further roll-out. The Head of the School of Management & Languages volunteered his School for the pilot exercise;
- the principle of openness, transparency and the “best person for the job”. In practice this will mean that no colleague’s expectations should be raised in relation to a particular future vacancy, other than they should be encouraged, where appropriate, to participate in a competitive process; and
- the principle of encouraging and providing development opportunities for staff members to enable them to recognise opportunities and to develop/advance in their careers in a more general sense. The PDR process provided the most appropriate mechanism for this.

**M14/42 INTERNAL COMMUNICATIONS SURVEY RESULTS**

The UE received and discussed a presentation provided by the Director of External Affairs which reported on the key outcomes of the Internal Communications Survey which was conducted in autumn 2013. The UE noted that a response rate of 34% was achieved in the survey which was intended to assist evaluation of performance of internal communication methods, identify levels of interest and how well informed staff felt about various University topics, and to identify gaps and opportunities for improvement.

The UE noted key recommendations emerging from the findings of the survey: broadly, increased manager accountability for communications; increase opportunities for open dialogue led by senior managers/managers; and improvements to existing internal communication channels (content, frequency, delivery methods).

The Director of External Affairs confirmed that more detailed survey outcomes data would be distributed in due course to Heads of Schools and Directors of Professional Services and that School/Professional Service Communications Champions would be engaged to help implement the recommendations that had emerged from the survey, and improve communications at a local level.

Suggestions emerging from the UE discussion included review of communications with a view to reducing the volume but making communications more impactful.

The Director confirmed also that the list held of communication champions for respective Schools and Professional Services would be circulated with a request for confirmation that this includes the correct
nominated individual.

M14/43  INSTITUTE OF PETROLEUM ENGINEERING AND SCHOOL OF THE BUILT ENVIRONMENT

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

M14/44  PUBLIC INTEREST DISCLOSURE (WHISTLEBLOWING) POLICY

The UE received noted and approved revisions to the University's Public Interest Disclosure (Whistleblowing) Policy which was presented by the Secretary of the University. The revised Policy was for onward presentation to the Audit and Risk Committee and the Court for approval.

It was noted that recent changes to the law had necessitated review and amendments. Coincidentally, there had been an opportunity to review the policy guidance against the requirements of the Scottish Code of Good Higher Education Governance and ensure it was compliant also with the requirements of the Code.

M14/45  UNIVERSITY EXECUTIVE TERMS OF REFERENCE: ANNUAL REVIEW

The UE noted and approved proposed changes to the Terms of Reference of the University Executive Terms of Reference subject to the change noted below. It was noted that the revisions had been proposed in the context of the programme of annual review of committee Terms of Reference.

It was agreed that reference to the HWUM Executive Management Committee should be removed until such time as reporting structures are formally agreed.

It was noted that the main changes which were designed to create more clarity around the approval processes for corporate policies. This was reflected in recommendations that would be considered also by the Governance & Nominations Committee at its meeting in March 2014.

M14/46  SECRETARY’S BOARD TERMS OF REFERENCE

The UE noted and approved for implementation a proposed a minor change to the Terms of Reference of the Secretary's Board. It was noted that the revision had been proposed in the context of the programme of annual review of committee Terms of Reference.

M14/47  ANY OTHER BUSINESS

47.1  Recording of out of hours presence in University buildings

The Secretary of the University highlighted that a recent incident in one of the Edinburgh Campus Schools had revealed laxity in the process for recording those present in the building outside of normal working hours.

The Secretary requested that Heads of Schools review their processes and procedures to ensure that these support reliable record-keeping of out of regular hours presence of staff and students within their respective School buildings.

M14/48  DATE OF NEXT MEETING

The UE noted the date of the next meeting: 27 March 2014.
Signed ..............................................................

Date ..............................................................
Heriot-Watt University

THE UNIVERSITY EXECUTIVE
Minutes of the meeting held on 27 March 2014

Present:
Prof S K Chapman, Principal and Vice-Chancellor (Chair)
Prof R J M Craik, Vice-Principal (Malaysia) (via Skype)
Ms A-M Dalton, Secretary of the University
Prof P De Wilde, Head of School, Mathematical & Computer Sciences (MACS)
Prof F Waldron, Head of School, Textiles and Design (TEX)
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) (via Skype)
Ms L Kirkwood-Smith, Clerk to the UE
Mr A Kitchin, Joint Head of School, Edinburgh Business School (EBS)
Prof R MacIntosh, Head of School, Management & Languages (SML)
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)

Present also:
Mr Malcolm Deans, Director of Campus Services
Ms Catriona McAllister, Head of Sport & Exercise

Mr R McGookin, Director of Planning
Mr A Menzies, Director of Finance

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

M14/49 MINUTES OF THE PREVIOUS MEETING
The UE approved the minutes of the meeting held on 27 February 2014.

M14/50 ACTION LOG AND MATTERS ARISING

50.1 Action Log:
The UE noted the Action Log report relating to the meeting held on 27 February 2014.

50.2 Matters arising:
There were no reported matters arising.

M14/51 BUSINESS REPORTED BY THE CHAIR

51.1 Pay dispute and marking boycott
The Principal updated the UE on the current status of the continuing pay dispute and the threatened marking boycott. The Principal reported on the potential for a resolution to be reached in the coming month in relation to both the 2013 and the 2014 pay rounds.
CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until March 2014 and recently released external publications.

ORAL UPDATES FROM HEADS OF SCHOOLS AND V-Ps (Dubai and Malaysia)

The UE received and noted oral updates of local news provided by Heads of Schools present at the meeting and the Vice-Principal (Dubai and Malaysia).

REPORT FROM THE DEPUTY PRINCIPAL (EXTERNAL RELATIONS)

54.1 Student Transfer between international campuses

The UE received and discussed recommendations, presented by the Deputy Principal (External Relations), which was intended to clarify the policy that should apply in the case of undergraduate student transfers between campuses in the course of students’ studies. It was intended that the same principles should apply also to any postgraduate student wishing to spend a semester of their studies at another campus of the University.

The UE noted current arrangements: for transfers of one year or less, students pay the fees of the campus at which they are registered; for transfers of more than one year, the fees payable at the receiving campus would apply and for single semester/exchange transfers no transfer of revenue applied. It was noted that a large proportion of transfers were from the Dubai to the Scottish Campus, creating a revenue imbalance. The aim of the proposed policy was therefore to establish a fees policy which takes account of teaching costs, is fair to all campuses, and also provides a clear statement for students advising on transfer opportunities.

The UE discussed and approved the following:

- Schools at the Scottish Campus should agree a minimum number of transfer places on a programme-by-programme, year-by-year and annual FTE basis, via the annual Planning Round each year for the forthcoming academic year. Dubai and Malaysia Campuses will publicise the transfer opportunities to enable students there to plan their academic careers;
- the split of the usable transfer allocation between the Dubai and Malaysia campuses will be decided by the Head of School in consultation with the Vice-Principal Dubai and Malaysia, and all campuses will advertise a set closing date in January each year for applications to transfer between campuses;
- where the number of students wishing to transfer exceeds places available, criteria shall be required including demonstration of academic standing and a supporting case presented (as set out in the paper). The principle of transparency and openness shall apply to the selection of students;
- the decision to approve a student transfer remains ultimately with the HoS;
- transfer students will pay the fee appropriate to the campus they are transferring to;
- Scottish/EU students transferring to Dubai/Malaysia will not pay fees but a transfer of resource equivalent to the local fee will be made;
- students transferring for 1 semester will pay 50% of the annual fee; and
- students transferring permanently will continue to pay the fee of the receiving campus.

The UE endorsed the principles of encouragement of Scottish based students to spend part of their degree overseas and proactive marketing of the associated benefits, and that all campuses should ensure that appropriate support is available for transfer students, preparing them culturally for going abroad and helping incoming students to assimilate.

The UE also endorsed the principle that more degrees should include a year abroad as part of the curriculum and where the curriculum proscribes a year abroad, support by way of bursaries or discounting of fees.

The UE noted that all transfers would be subject to the usual visa restrictions and the normal rules applying to transfer between different programmes of study.
The UE agreed that the proposals should be incorporated into annual fee tables which will be considered in due course by the Fees Working Group.

Heads of Schools were advised to update their respective representatives on the Fees Working Group on the proposals ahead of the next scheduled meeting of the Group.

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

54.2 Confucius Institute for Business and Communication

The Deputy Principal (External Relations) provided an oral update on plans underway for a formal launch of the Confucius Institute for Business and Communications involving VIPs from China and Scotland. The UE noted the intention to announce the launch of a few new MOOCs at the launch event.

The Principal requested that information be collated on the University’s activities in collaboration with Chinese institutions for use in relation to planning and preparation for the launch event.

M14/55 REPORT FROM THE MALAYSIA CAMPUS PROJECT BOARD

The Deputy Principal (External Relations) provided an oral update on recent developments in relation to the HWU Malaysia project. This included:

• very recent positive discussions with PjH and Turner & Townsend on positive progress on the main campus building construction;
• contingency plans were being developed as current premises would be insufficient for Foundation student recruitment from mid-July 2014 – too tight a deadline from a risk perspective (it was anticipated that the Certificate of Compliance and Completion would be received by the end of June). One stream of contingency would therefore be for the immediate period following the July intake. This was being led by the Vice-Principal (Malaysia). A separate contingency plan for September 2014 was also under development, led by the project team in Edinburgh; however, this was much less likely to be required as confidence was high that a September move in date would be achievable;
• discussions were progressing positively in relation to student residency accommodation plans; and
• the Audit and Risk Committee would receive an update report at its meeting on 3 April 2014.

M14/56 NATIONAL PERFORMANCE CENTRE FOR SPORT

The UE received and discussed a paper and supporting presentation detailing the business case for the National Performance Centre for Sport project which was presented by the Director of Campus Services and the Head of Sport and Exercise. The UE was invited to consider the business case with a view to recommending progression of the project to the Finance Committee and the Court at subsequent meetings to be held in April 2014.

The UE noted work continuing with sportscotland and the University’s solicitor on the conditions of award and associated schedules.

The UE noted:

• Stage C of the design had been concluded with a move into Stage D which incorporated beneficial design changes agreed through stakeholder consultation. The business plan remained contained within the overall (revised by the Scottish Government) project funding envelope of £29,750,000;
• the assumptions on which the business case was based were reported by the Director and Head to be conservative. The business case showed a bottom line which approximated current subsidised operating costs of the University’s sports facilities;
• governance arrangements associated with the project clarified the direct reporting line from the NPCS Project Board to the University Executive. The Heriot-Watt Services Ltd Board would comprise a majority of Heriot-Watt directors;
• the lengthy process which remained underway to review and agree conditions of award. These had been received from sportscotland in January 2014 and work continued with the
involvement of the University’s solicitor and sportscotland on the offer of award and associated schedules. As anticipated (and reported), the situation represented in the paper presented to the UE had progressed a little;

• in consequence of the University’s request to have the award made directly to Heriot-Watt Services Ltd (the SPV), sportscotland required a guarantee from the University in favour of sportscotland for all sums and obligations due by the company under the offer of award. It had been agreed with sportscotland that the guarantee would only be exercised after sportscotland has exhausted all other enforcement procedures against the company. The University would provide a guarantee for the obligations of the SPV up to a maximum of the grant amount. There would be specific provision within the guarantee that it cannot be called upon until reasonable steps have been taken to either voluntarily deal with the sale of the SPV’s assets or the security had been enforced. Attention was drawn to the Event of Default schedule which outlined a range of circumstances in which sportscotland would have recourse to exert the required securities. The UE noted ongoing negotiations in relation to appropriate stepped reductions in the amount of the award secured over the 25 year term and that there will be specific provision within the guarantee that it cannot be called upon until reasonable steps have been taken by the University to either voluntarily deal with the sale of the SPV’s assets or the security had been enforced;

• the business case had been updated with reviews having been undertaken of pricing - in line with benchmarks; accuracy of income assumptions; staffing structure and associated costs; rates; and expenditure assumptions;

• the business plan rested on the assumption of 80% rates relief being obtainable. The rates adviser had confirmed their belief that the University will be able to demonstrate to the satisfaction of the Lothian Joint Valuation Board that the NPCS is a rateable part of the University. The option also remained open should this be required for conversion of Heriot-Watt Services limited to charity status in order to secure charitable rates relief.

• construction costs had been developed using industry-standard cost planning techniques by experienced cost consultants and were reported at as high a degree of accuracy as possible at this stage. The Design and Build model being adopted would transfer risk to the contractor. The UE noted the reported risk mitigation measures and the protection afforded to the University should tender prices exceed the budget envelope and these cannot be revised downwards within budget restrictions;

• ‘The Union’ branding company had been appointed to work with all of the key stakeholders to develop the brand architecture for the NPCS. The Principal confirmed his expectation of appropriate visibility of the ‘Heriot-Watt’ brand.

The Principal requested that the Chair of Court be advised as soon as possible, when it becomes available – and ahead of the April Court meeting, of the letter being prepared by the University’s solicitor in relation to the rates and VAT position and the advice of the University’s collective advisers that both exemption of VAT associated with construction costs and 80% rates relief will be achievable.

The UE approved the business case for the National Performance Centre for Sport for onward presentation for consideration and approval by the Campus Committee, Finance Committee and the Court at forthcoming meetings to be held in April 2014.

M14/57 STUDENT RECRUITMENT OVERVIEW

The UE received and noted a Student Recruitment Overview Report which was presented for information by the Director of Planning. The report provided a summary of 2014/15 student recruitment (applications, offers, acceptances) at Scottish, Dubai and Malaysia campuses, such as were available at March 2014.

The Director of Planning drew attention to the variations in activity levels as RAG highlighted in the report for the general awareness of the respective Heads of School. No questions or further comments were raised in relation to the report.

M14/58 STRATEGIC PROJECTS REGISTER

The UE received and noted the Strategic Projects Register as at mid-March 2014 which was presented by the Secretary of the University.
Material changes to the Register since the last report in February 2014 were highlighted, including changes to the status of previously reported projects and removal of projects which had reached end of life or end of the project phase defined in the Register. It was noted also that the report had been augmented with further columns of information in accord with recommendation made by the Audit and Risk Committee. New additions to the register included the Athena SWAN action plan, the Confucius Institute for Business and Communication, RCUK Open Access Compliance, and RCUK Open Data Compliance.

**M14/59 CREATION OF A NEW SCHOOL**

The UE received and discussed a proposal, presented jointly by the Head of the School of the Built Environment and the Head of the Institute of Petroleum Engineering, for the disestablishment of the School of the Built Environment and the Institute of Petroleum Engineering and the creation of a new School. It was proposed that the new School would encompass all of the activities of both bodies with the exception of those located at the International Centre for Island Technology (ICIT). It was proposed that ICIT will move to the School of Life Sciences.

The UE approved onward submission of the proposal for the creation of a new School to the Senate for approval and onward recommendation to the Court.

Recommendations emerging from the discussion included:

- the presentation to the Senate should be made jointly by the Heads of SBE and IPE;
- further and wider consultation should take place to consider the name of the new School (to include non-academic staff and the student body). The UE did not generally consider that the finally agreed name should have any significant impact on student recruitment; and
- the need to consider planning for REF 2020 in the context of the new School as early as possible.

The UE noted and discussed ongoing planning, including, inter alia, planning around campus space recruitments associated with the ICIT and required next steps.

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

The Head of the School of SLS advised that an open meeting involving ICIT staff had been planned to take place in the coming week.

**M14/60 REPORT FROM THE RISK & PROJECT MANAGEMENT STRATEGY GROUP**

The UE received and noted a report presented by the Secretary of the University on behalf of the Risk & Project Management Strategy Group which related to the meeting of the Group held on 18 March 2014. All items in the report were presented for information and no questions were raised in relation to the items reported.

**M14/61 STRATEGIC RISK REGISTER AND PROGRESS TO DATE**

The UE received and noted the University Strategic Risk Register which had been updated following review by the Risk and Project Management Strategy Group at its meeting held on 18 March 2014. The accompanying report confirmed the outcomes of continuing work and further steps with the aim of improving the University’s approach to the identification and mitigation of key strategic risks. It was noted that the Audit and Risk Committee had welcomed development in the approach and had endorsed the new format of reporting.

The UE noted an update of new and increasing strategic risks in accordance with discussion at the March meeting of the Risk and Project Management Strategy Group, and details of general progress to date on the Strategic Risk Register.

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

**M14/62 INTERNAL AUDIT REVIEW REPORTS**
The UE received and noted a report from the University’s Internal Auditor on a review of ‘Oracle Data Analytics’, which was undertaken in January / February 2014.

The UE endorsed the management responses included in the report which was proposed for onward consideration by the Audit and Risk Committee at the next meeting in April 2014.

In relation to future development of central policies and procedures documentation, the Secretary of the University highlighted that early priority would be given, inter alia, to the planned substantial revision to the University Financial Regulations. The University’s Travel and Expenses Policy had also been identified as an early priority. Revised regulations and policies would be presented, as appropriate, to the University Executive for approval.

The UE endorsed the management responses included in the report which was proposed for onward consideration by the Audit and Risk Committee at its next meeting in April 2014.

The UE received and noted a report from the University’s Internal Auditor on a review of ‘Fundamental Financial Controls’, which was undertaken in January / February 2014.

The UE received and noted a report from the University’s Internal Auditor on a review of ‘Strategic and Operational Planning’, which was undertaken in January/ February 2014.

The UE endorsed the management responses included in the report which was proposed for onward consideration by the Audit and Risk Committee at the next meeting in April 2014.

The UE received and noted a report from the University’s Internal Auditor on a review of ‘Budgetary Control’, which was undertaken in January / February 2014.

The UE endorsed the management responses included in the report which was proposed for onward consideration by the Audit and Risk Committee at the next meeting in April 2014.

The UE received and noted a report presented by the Deputy Principal (Research & KT). The report provided updates in the following key areas:

- research grants and contracts - value of proposals and awards for the period to the end of February 2014. The UE noted reported influencing factors on the value of proposals which were highlighted: e.g. the gap between the EU FP7 programme and the Horizon 2020 programme - proposals for which were currently in preparation, impact of CDT/DTC activities, and delay in the impact of Global Platform appointment. Attention was drawn also to the imbalance evident through the dominance represented by the data of the School of EPS;
- the recent launch of the Oil and Gas Innovation Centre, and EPSRC announcement of ‘third layer’ CDT funding;
- PGR student supervisor development programmes recommended by the Research & Knowledge Exchange Board;
- opportunities for research collaboration with Brazil including the planned signing of a collaboration agreement with the state of São Paulo funding agency FAPESP in April;
- a planned Department of Business, Innovation and Science (BIS) consultation on a science capital investment of £1.1 billion p.a.;
- and planned review by the Scottish Funding Council of the REG (and Research Postgraduate Grant) mechanisms in 2014 to allow refreshed arrangements to be in place for AY2015-16, following REF2014.
The UE received and noted a report presented by the Deputy Principal.

64.1 QAA review of the Dubai Campus

The UE received and noted a summary report of the review of UK Transnational Education in the United Arab Emirates by the Quality Assurance Agency (QAA). As part of the Review, the team visited the Dubai Campus on 2 and 3 February 2014. The Deputy Principal (Learning & Teaching) advised that draft reports would be made available to the University in early April 2014 and that the University would have the opportunity to check these for accuracy before their publication by the QAA.

64.2 Enhancement-led Institutional Review (ELIR)

The UE received and noted a presentation by the Deputy Principal (Learning & Teaching) on the planned ELIR review to be undertaken at the University in 2015. The Deputy Principal highlighted in his presentation the scope, focus and impact/influence of the ELIR. The UE also noted the following key dates for ELIR team visits: Part 1: 28-29 January 2015; and Part 2: week commencing 16 March 2015 – likely to be five day visit).

The Deputy Principal emphasised the importance of timely responses by the relevant Heads and for all of the relevant other key staff members to be available during the periods of the Review.

It was noted that ELIR visit dates would clash with UE and Senate meeting dates. Steps were being taken to reschedule meeting dates.

M14/65 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 relating to the meeting of the Board held on 5 March 2014. Item 1 of the report was presented for approval; all other items were presented for information.

65.1 Academic Structures at Multiple Campuses: Terms of Reference for the School Collaborative Board of Studies

The UE noted and approved for implementation proposals approved by the Learning and Teaching Board for academic structures at multiple campuses and the remit and Term of Reference of School Collaborative Board of Studies. It was noted that, in the context of academic structures approved by the UE in January 2014, this area had been highlighted for future development.

M14/66 ASSOCIATE CAMPUS BRIEFING

The UE received and discussed a briefing paper, presented jointly by the Deputy Principals (Learning & Teaching) and (External Relations), which outlined the key features of an “Associate Campus” partnership.

The UE agreed that the advice contained within the paper should form part of a larger document which: clarified the criteria for awarding the status of Associate Campus and the mechanism/routes by which Associate Campus status is approved; and provides a sufficiently clear definition to enable differentiation of collaborative partnerships, such as the one with Baku Higher Oil School.

The UE approved the paper pro-tem as a working document, but agreed that a more substantial paper should be developed taking account of UE comments, and submitted in due course for UE consideration and approval.

M14/67 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University in the form of the Secretary's Board Bulletin dated February 2014.
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 March 2014.

Item 1 of the report ‘Information Governance Policies and Procedures’ was presented for approval; all other items in the report were presented for information.

The attention of the UE was also drawn to an appended report which provided summary information on Freedom of Information Requests which had increased by 40% from 2012 to 2013.

68.1 Information Governance Policies and Procedures

The UE received and approved for implementation a revised Information Governance and Records management Policy.

The UE received and noted the following Procedures documents which were forwarded by the Secretary's Board for information:

- ‘Procedures for responding to requests for personal data’ (in support of the Data Protection Policy)
- ‘Procedures for obtaining informed consent for recordings and images of people’ (in support of the Data Protection Policy)
- ‘Procedures for police liaison at the Edinburgh Campus’ (in support of the Data Protection policy and the Protecting Vulnerable Groups Policy)

REVIEW OF RESEARCH AND ENTERPRISE SERVICES

The UE received, discussed and approved recommendations presented in a paper by the Head of the School of the Built Environment on behalf of the review group which had been charged with undertaking and reporting on a review of Research and Enterprise Services (RES).

It was noted that the Review had been conducted in the context of a) the retirement of the Director of RES, b) a new University strategic plan with research intensification as a priority, c) HWU commitments on R&KT within the Scottish Funding Council Outcome Agreements, d) continuation or otherwise of the Converge Project activities beyond the ERDF funding period, e) planning for REF2020 with the increasing emphasis on impact, f) building research within our foreign campuses, and g) the changing external environment for R&KT funding (risks and opportunities) nationally and internationally.

The UE approved the following eight key recommendations of the review group, noting that implementation of the first of these would be subject to identifying the required financial resources by the Vice-Principal and the Director of Finance on completion of the spring 2014 Planning Round and incorporation in the Five-Year Financial Plan.

1. to appoint a senior line manager to oversee RES activities as early as practicable in the next financial year;
2. (when appointed the senior line manager to review and increase the level of resource allocated to post award contract negotiation and agreement;
3. (when appointed, senior line manager to review allocation of staff resource to support development of EU opportunities, develop and track research impact;
4. (Head of Enterprise Services to review management of BDEs and develop a model that accommodates direct line management by schools with the benefits of coordination;
5. remove the requirement for the RES Development Team to double check cases for support and costing for EPS and SBE proposals;
6. when appointed senior line-manager for RES to review staff resource allocated to technology transfer and enterprise creation;
7. Director of Planning and Deputy Principal (Research and Knowledge Transfer) to review the potential benefit of creating a single university planning office; and
8. Research & Knowledge Exchange Board (RKEB) to review and clarify the respective roles of RKEB, the Postgraduate Research Student Co-ordinators (PGRSC), Director of Research and PGRSCs in progress monitoring and QA for PGR student supervision.
The recommendations were approved for implementation.

M14/70 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, which related to the meeting of the Board held on 11 March 2014.

All items in the report were presented for information and no questions or comments were raised in relation to the items reported.

M14/71 IHR ORGANISATIONAL STRUCTURE

The UE noted and approved, subject to the amendment noted below, the proposed high level organisation structure upon which the planned iHR system should be built. It was noted that the structure represented the current business groups of the University and aligned with the current finance system, while lower organisational levels would be defined within the system by Schools and Professional Services. It was noted that the purpose of the structure was to enable securities within the iHR system to be defined and to facilitate reporting.

It was agreed that the reference to “Other Principals” in the Professional Services column should be amended as appropriate.

M14/72 UNIVERSITY COMPLAINTS: QUARTERLY REPORT

The UE received and noted a report, presented by the Secretary of the University, which provided a record of complaints received and logged by the University for the first quarter, 1 December 2013 to 28 February 2014. The report highlighted a total of 19 complaints received in the period. Three complaints had been carried over from the previous quarterly report which had since been closed.

It was noted that work was underway to categorise complaints under category headings in future reporting to assist in the identification of trends.

M14/73 ANY OTHER BUSINESS

73.1 Athena SWAN project governance

The UE noted the intention of the Deputy Principal (External Relations) to present a paper on Athena SWAN project governance arrangements, which will include Terms of Reference for the Athena SWAN Project Board, at a forthcoming meeting of the University Executive.

73.2 Athena SWAN action plan implementation support

The UE discussed the expected route for securing additional administrative support for Athena SWAN action plan implementation (nominally 0.2 FTE per School), where this cannot be found through re-allocation of resources. It was expected that plans for 2014/15 and beyond would be developed and agreed through the planning round process with applications made to VMG in accordance with normal requirements.

73.3 Outstanding Overseas Partner University

The Deputy Principal (External Relations) updated the UE on the Outstanding Overseas Partner University award received by the University from the Chinese Service Centre for Scholarly Exchange (CSCSE).

M14/74 DATE OF NEXT MEETING

The UE noted the date of the next meeting: 24 April 2014 (UE Away Day).
Signed .............................................................................

Date .................................................................................
Minutes of the meeting held on 24 April 2014

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)  
Prof R MacIntosh, Head, Management & Languages (SML)

Ms A-M Dalton, Secretary of the University  
Prof S McLaughlin, Head, Eng. & Physical Sciences (EPS)

Professor G Hogg, Deputy Principal (External Relations)  
Prof A Miller, Deputy Principal (Research & KT)

Prof D Hopkins, Head, Life Sciences (SLS)  
Prof J W Sawkins, Deputy Principal (Learning & Teaching)

Prof J Jones, Vice-Principal  
Prof D Stow, Head, Petroleum Engineering (IPE)

Mr A Kitchin, Joint Head, Edinburgh Business School (EBS)  
Prof F Waldron, Head, Textiles and Design (TEX)

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

Present also:

Mr R McGookin, Director of Planning  
Mr A Menzies, Director of Finance

Apologies:

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

Prof P De Wilde, Head, Mathematical & Comp. Sci (MACS)  
Prof G Pender, Head, The Built Environment (SBE)

M14/75 MATTERS ARISING

75.1 International Foundation Pathways

The Vice-Principal updated the University Executive on a minor change to the planning assumption relating to additional staff resources required to support the International Foundation Pathways proposal approved by the UE at its meeting in February 2014. It had since been determined that the administrative support required will be a full FTE post, rather than the 0.5 FTE indicated in the original proposal. The potential for increase, following further assessment of needs, had been raised at the February UE meeting; however, this was not formally minuted. The UE noted that the business case remained sound and the required resource was accounted for in the School of the Built Environment five year plan.

M14/76 ACADEMIC PROMOTION AND PROBATION PROCEDURES

The UE received, discussed and approved the following academic promotion and probation policies and procedures which were presented by the Deputy Principal (External Relations):

- Senior Promotions Procedures (Academic) Grade 8-9 or Grade 9-10
- Academic Advancement Board Policy
- Academic Probation Procedures

The UE noted a summary report of the trade union consultations and the outcomes of these. This had followed agreement by the UE in December 2013 to consult on the proposed changes to the senior promotion and academic advancement and probation procedures. In addition to trade union consultation, consultations had been undertaken with Heads of School and academic staff and, additionally, guidance had provided to Heads of School on the operation of local School Panels for
Senior Promotions.

It was noted that Human Resources & Development, the Deputy Principal (External Relations) and the Deputy Principal (Learning and Teaching) continued to work on the supporting procedures and guidance, in particular those which relate to probation.

In response to a point raised in discussion, the Deputy Principal (External Relations) confirmed that the composition of the Academic Advancement Board had been designed to bring together a wide range of relevant experience which could be applied to assessing academic progress, as opposed to assembling representatives from each School.

M14/77 DATA PROTECTION POLICY

The UE received, noted and approved, for onward recommendation to the Court, a revised Data Protection Policy which was presented by the Secretary of the University. It was noted that the Policy had been revised to take account of significant developments in the University’s legal, internationalisation and risk environment.

The UE noted ’Procedures For Responding To Requests For Personal Data’ presented in the support of the Policy, noting also that the Policy will be supported by revised privacy notices for students, staff and alumni, updated guidance on student references and also ‘Procedures for Managing Data Processor Agreements, which will supersede the Policy for Approving, Managing and Monitoring Data Processor Agreements.

M14/78 REPORT FROM HERIOT-WATT UNIVERSITY MALAYSIA PROJECT BOARD

The UE received and noted two reports presented by the Deputy Principal (External Relations) on behalf of the Heriot-Watt University Malaysia Project Board.

78.1 Report on Contingency Plan for July to September 2014

The UE noted and discussed the reported contingency plan put in to place to provide additional accommodation ahead of the move into the new campus building. It was noted that there had been higher than forecast recruitment to the HWUM Foundation Programme which would have both April and July 2014 intake points. Current accommodation would be sufficient until the July 2014 intake.

It was noted that the Project Board had agreed a two stage contingency plan: the first from 14 July to 1 September 2014 and the second from 1 September onwards. Following a review process, it has been agreed to book the Putrajaya International Conference Centre (PICC) as contingency space for July 2014, with a possible extension of use into September 2014, should this be required. The alternative option to re-design current 2C2 space carried a risk against completion in time that would in turn require a back-up contingency plan, besides being costly.

The UE noted details, including costs associated with the contingency booking of PICC, noting the requirement for full costs to be factored in which equate to the working assumption of use over a period of six weeks and cancellation fees payable should the move to the new campus be achieved by mid-July. It was noted that, for 1 September onwards, the option of developing the current premises at 2C2 would not meet requirements and further additional space would need to be booked externally. The option of PICC facilities for an extended period was being investigated further.

The UE noted current advice from Turner and Townsend that physical completion and the ‘Certificate of Compliance and Completion’ would be achievable by the end of June 2014 pending unforeseen issues with compliance inspections by the relevant authorities; however, cosmetic snagging works and defect rectification should be expected to continue during July and potentially August 2014. It was noted that the advice confirmed the requirement for a contingency from mid-July to 1 September 2014. The UE noted the key milestones which would need to be met in order to achieve the end of June 2014 completion date.

78.2 Programme Accreditation: Statement of Roles and Responsibilities

The UE noted a report on the roles and responsibilities for Malaysian programme accreditation at
the Edinburgh and Scottish Border Campuses. This included the role and responsibilities of the central Accreditation Policy Officer and programme contacts in each School. Heads of School were invited to share the guidance with colleagues involved in the accreditation process.

78.3 **Other matters reported**

The UE noted that a paper would be presented at a forthcoming meeting of the Malaysia Project Oversight Board and a subsequent meeting of the UE which will include include a proposal for approval of a mechanism for transferring funds into Malaysia Campus operations as per the five-year financial plan.

**M14/79 PROPOSAL TO CREATE NEW SCHOOL OF EARTH SCIENCE, ENERGY AND THE BUILT ENVIRONMENT**

The UE noted and approved recommended changes to the paper considered previously at its meeting in March 2014 on the proposal to create a new School through joining of activities of the School of the Built Environment and the Institute of Petroleum Engineering. The edit changes were recommended ahead of the meeting of the Senate in May 2014 at which the proposal would be considered.

**M14/80 DATE OF NEXT MEETING**

The UE noted the date of the next meeting: 3 June 2014.

Signed ..............................................................

Date ...............................................................
Heriot-Watt University

THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 3 June 2014

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)  Mr A Kitchin, Joint Head, Edinburgh Business School (EBS)
Prof R J M Craik, Vice-Principal (Malaysia)  Prof R MacIntosh, Head, Management & Languages (SML)
Ms A-M Dalton, Secretary of the University  Prof A Miller, Deputy Principal (Research & KT)
Prof P De Wilde, Head, Mathematical & Comp. Sci (MACS)  Prof G Pender, Head, The Built Environment (SBE)
Professor G Hogg, Deputy Principal (External Relations)  Prof J W Sawkins, Deputy Principal (Learning & Teaching)
Prof D Hopkins, Head, Life Sciences (SLS)  Prof F Waldron, Head, Textiles and Design (TEX)
Prof A Kaka, Vice-Principal (Dubai)  Ms L Kirkwood-Smith, (Clerk to the UE)

Present also:

Mr R McGookin, Director of Planning  Mr A Menzies, Director of Finance
Dr M King, Head of Academic Quality  Ms R Moir, Assistant Principal (International development)
(for item M14/87)  for item M14/87
Mr M Adderley, Director of Human Resources  Mr M Cockshoot, Head of Information Infrastructure Services
(for item M14/91)  (for item M14/91)
Mr R Scott, Project Manager  (for item M14/91)
(for item M14/91)

Apologies:

Professor J Jones, Vice-Principal  Prof S McLaughlin, Head, Eng. & Physical Sciences (EPS)
Professor D Stow, Head, Petroleum Engineering (IPE)  

M14/81  MINUTES OF PREVIOUS MEETINGS

The UE approved the minutes of the meetings held on 12 December 2013, 27 March 2014 and 24 April 2014.

M14/82  MATTERS ARISING AND ACTION LOG

82.1  Matters arising:

There were no matters arising.

82.2  Action log:

The UE noted the Action Log report relating to the meeting held on 23 April 2014.

M14/83  BUSINESS REPORTED BY THE CHAIR

The Principal updated the UE on continuing work towards the appointment of a new Head of School of Mathematical & Computer Sciences in succession to Professor Philippe De Wilde. An interim Head of School will be appointed in the period following departure of the current Head and the new appointment.
The UE received and noted a Consultations and Publications Log which reported on a current consultation with a deadline date for a response of March 2014, and recently released external publications.

The UE received and noted a report presented by the Deputy Principal (Learning & Teaching). The report provided an update on the overall positive outcome of the QAA review of the Dubai Campus which took place in February 2014 as part of a wider review of UK Transnational Education in the United Arab Emirates. The UE noted key recommendations emerging from the review which would be implemented by the University, noting work already underway and planned next steps towards implementation.

The UE noted also recent notification from the QAA of a planned review of higher education activities in the West Indies in November 2014 and noted also that preparations for the ELIR in 2015 were well underway. The Deputy Principal (Learning & Teaching) advised that he had been in communication with the QAA about phasing of the planned programme of reviews to encourage a more joined up approach as overlapping preparation phases for the different reviews presented particular resource challenges.

The UE received and noted reports from the Learning & Teaching Board which related to the meetings of the Board held on 2 April and 7 May 2014.

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

The UE approved the Learning & Teaching Board Terms of Reference which had been presented in accordance with the agreed process of annual review. It was noted that the Board had agreed not to propose any amendments to these following review at its meeting in May 2014.

The UE received and discussed a report, presented by the Deputy Principal (Learning & Teaching), which invited the UE to consider issues associated with the operation of the University Common Assessment and Progression Scheme (CAPS) system. The report provided background information on CAPS and how assessment arrangements are governed within the University.

The particular points raised for discussion, prompted by the Vice-Principal (Malaysia) were: the separation of the criteria for pass from the criteria for progression; differing arrangements in relation to resit opportunities; and impact of arrangements specific to the Malaysia Campus. The Vice-Principal (Malaysia) highlighted his view that current arrangements have the potential to give rise to unintended consequences and to be viewed by students as unfair.

The UE also noted that the higher education system in Malaysia did not recognise “exit awards”. The UE agreed that, while this particular matter was one that the University should be mindful of, it was separate from the core CAPS issues raised for discussion. It was noted also that this matter was the subject of external discussion involving the Malaysia authorities and the University on which the University should maintain a watching brief.

There followed extensive discussion during which a variety of views were expressed with broad-based consensus on the positive impact of current arrangements on student motivation and achievement, in meeting the expectations of professional bodies and in preparing students for employment. The wider UE noted no evidence currently that students viewed the arrangements in place as unfair. The discussion highlighted the varying practices within the regulations across Schools which were tailored to particular circumstances and which perceived to be fair and in the interests of students and maintenance
of the required standards. Nevertheless, UE members agreed that a review should be undertaken to ensure that that agreed practices do not give rise to unintended consequences. These are as set out below.

The UE endorsed the principle of ensuring full, transparent and clear information is provided to students at the right time, and agreed actions to include arrangements to review:

- the information relating to (post assessment) progression rules that students in each School/Programme receive, and the time that this is provided;
- the information given to prospective students to ensure that this includes information relating to progression, at the pre-registration stage (e.g. prospectus information) to ensure that it is always clear and unambiguous;
- the terms under which applicants "sign up" to become a matriculated student. These should be predicated on awareness and understanding of, amongst other things, progression rules which are associated with their chosen programme of study;
- the information relating to progression contained in student handbooks, with particular attention being given to accuracy, clarity and consistency of the information and the timing of distribution of handbooks. The Director of Governance & Legal Services should be invited to comment on this documentation and the processes for ensuring that the information is accurate, complete and not misleading;
- the assessment and progression arrangements across Schools and programmes in order to identify anomalies and consider where there are reasonable opportunities to facilitate greater consistency in practice;
- as part of the Senate-initiated review of retention and progression, the impact of progression regulations on student retention taking into account factors of particular relevance at the Dubai and Malaysia campuses to ensure that specific groups of students are not disadvantaged;
- and to explore the potential for offering alternative routes through to honours as part of the programme portfolios at the Dubai and Malaysia campuses (e.g. Combined Studies).

The UE agreed that, following consideration by the Learning & Teaching Board, a report on the outcomes of review work and issues for further consideration should be presented for consideration at a future meeting of the UE.

M14/88 REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University in the form of the Secretary’s Board Bulletin dated May 2014.

M14/89 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 meetings of the Board held on 31 March and 6 May 2014. All items within the reports were presented for information and the UE accepted the report.

The attention of the UE was drawn in particular to approval by the Board of a new Intranet Policy at its meeting held in May 2014.

M14/90 HWU STUDENT UNION CONSTITUTION

The UE received and approved a revised Constitution for the Heriot-Watt University Student Union which was presented by the Secretary of the University. The Constitution will be due for subsequent review by 18 March 2019.

The UE noted that, at its meeting in May 2014, the Senate considered a report from the Secretary’s Board on a review of Ordinance 3: Student Union, Regulation 21: Student Union, and the Constitution of the Student Union.

This followed a recommendation from the Ordinances & Regulations Committee that Ordinance 3 should regulate the provisions of the Student Union Constitution and should set out procedures for its approval,
the remit of the Student Union and its membership. It was agreed that Regulation 21 should be rescinded as it duplicated the Constitutional document. A review had since been undertaken of Ordinance 3 alongside the Constitution which was last reviewed in 2012.

The UE agreed to recommend approval of the revised HWU Constitution by the Court at its meeting in June 2014, noting that the Senate would also make a recommendation to the Court and had referred the revised Ordinance 3 to the Ordinances & Regulations Committee.

M14/91 IHR PROJECT: PHASE 2

The UE received, noted and approved a recommendation, presented by the Director of HR, for the drawdown of a further £653k in funds to support the next phase of the iHR project in 2014/15. This accorded with the decision of the UE for a phased approach to implementation of the new HR system based on satisfactory completion of each preceding phase. It was noted that the first phase was on track and within budget. The UE received and noted the report of a Gateway 3 Review of the project which had been conducted in May 2014 by the Project Support Office.

It was noted that the next phase would include roll out across the University of self-service HR functionality, further integration with other systems, and delivery of an integrated recruitment support. The next phase of funding excludes the cost of an additional project support post in 2014/15.

The UE noted also that any future funding requests for further improvements against the original project scope will be drawn from the annual IT capital funding element included in the Five Year Financial Plan.

M14/92 STRATEGIC PROJECTS REGISTER

The UE received and noted the Strategic Projects Register, as at late May 2014, which was presented by the Secretary of the University.

The Strategic Project Register has been updated to reflect the current progress towards successful delivery of the desired benefits. Changes from the report presented to University Executive on 14 April 2014 were highlighted, notable amongst these including;

- the Estates Information Management System project has moved from Proposal Phase into Start-up Phase;
- removal of Orkney Campus from the report; and
- progress to the ‘Pipeline of Proposed projects’ report of REF “2020”, RCUK Open Access Compliance and RCUK Data Compliance.

M14/93 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, which related to the meeting of the Board held on 5 May 2014.

All items in the report were presented for information and the UE was content to accept the report.

M14/94 REPORT FROM THE RISK AND PROJECT MANAGEMENT STRATEGY GROUP

The UE received and noted a report, presented by the Secretary of the University on behalf of the Risk and Project Management Strategy Group, which related to the meeting of the Group held on 13 May 2014.

The attention of the UE was drawn in particular to the highlighted risk relating to timely feedback to students due to delays in the assessment process and release of grades, as reported in the ‘Matters Arising’ section of the report. It was proposed that, this flagged risk should be taken back to Schools by the respective Heads for further consideration.
All items in the report were presented for information and the UE was content to accept the report.

**M14/95 STRATEGIC RISK REGISTER AND OVERVIEW**

The UE received and noted the University Strategic Risk Register and Overview Report which had been updated following review at the meeting of the Risk & Project Management Strategy Group on 13 May 2014.

The UE accepted the report as it stood and approved it for onward presentation to the Audit & Risk Committee at its meeting on 5 June 2014.

The UE noted work underway to transfer the University's operational risk registers into the new format template for annual reporting to the Audit & Risk Committee and the Court from November 2014.

**M14/96 INTERNAL AUDIT REPORT: DUBAI CAMPUS REVIEW**

The UE received and discussed a draft report from the University's Internal Auditor on a review of the University's Dubai Campus.

The aim of the review, in broad terms, had been to assess the ability of the Dubai Campus to react to, and manage, any event or incident resulting in serious interruption of business operations and continuation of the business during any emergency situation. The work formed part of a larger programme of work in progress which centred on future arrangements for the operational management of the Campus. In this regard it was noted that the current contract with Eikon would expire in 2020 and discussions with Eikon would progress further in relation to a new contract as part of a renewed business case for the Dubai Campus. It was observed that the contract between the University and its service provider should maintain appropriate demarcation between academic and service/facility provisions.

A point was raised in the discussion about inclusion of quoted opinion in the report which struck as being an unusual approach in an audit review report.

The UE endorsed the management responses to the Internal Auditor's recommendations, as set out in the report, noting that the report would be considered by the Audit & Risk Committee at its meeting to be held on 5 June 2014.

**M14/97 INTERNAL AUDIT REPORT: TRANSPARENT APPROACH TO COSTING (TRAC) REVIEW REPORT**

The UE received and noted a final report from the University's Internal Auditor on a review of ‘Transparent Approach to Costing (TRAC)’.

The aim of the review, in broad terms, had been to consider the University’s arrangements to comply with TRAC requirements and to review processes and controls in place to assure data accuracy, to compare the control environment with best practice and to monitor progress against actions identified as part of the Financial Assurance Plan review.

The UE endorsed the management responses to the Internal Auditor’s recommendations, as set out in the report noting that the report would be considered by the Audit & Risk Committee at its meeting to be held on 5 June 2014.

**M14/98 INTERNAL AUDIT COVERAGE: PLAN FOR 2014/15 TO 2018/19**

The UE received, discussed and approved a report, presented by the Secretary of the University on behalf of the University's Internal Auditor, which set out the proposed future coverage of internal audit reviews.

The Secretary of the University drew attention to the total number of proposed audit days which, for 2015/16 and 2016/17, were unusually high compared with sector norms. The Secretary advised that she would raise this matter for discussion at the forthcoming meeting of the Audit & Risk Committee.
In response to a question about the proposed biennial reviews in the broad field encompassing the student experience, recruitment, admissions, wider access and the Outcome Agreement, the Secretary of the University confirmed the intention that reviews will be rotational within those headings and guided by identified prevailing risks.

The UE approved the Internal Audit plan for 2014/15 for onward presentation to the Audit & Risk Committee for consideration at its meeting on 5 June 2014, and noted the proposed schedule of review for the following four years. The internal audit plan for 2015/16 and beyond remained for further future development in the light of expectations changes to the environment and consequent risk profile.

**M14/99**

**FIVE YEAR FINANCIAL PLAN**

The UE received and approved, for onward presentation to the Finance Committee, an updated draft Five Year Financial Plan for 2014/15 – 2018/19 which was presented by the Director of Finance.

The following were highlighted in the course of presentation and discussion on the Plan:

- the draft Plan was consistent with the University’s published key strategic objectives encompassing in the final year of the plan income generation of >£235 m in the year, >£40 m p.a. research income, a >7% surplus and professional services expenditure contained within the limit of 25.5% of academic income;
- incorporation within the Plan of a strong investment programme including capital investments, Global Platform academic appointments and James Watt PhD scholarships;
- discretionary elements in potential capital investments with future decisions contingent on achieving planned growth. An early projected figure of £55m had been set against the outcomes of space planning and estate options appraisal exercises with the capacity for such investment predicated on surpluses generated at the rate set out in the Plan;
- strong growth of income and surplus in the later years of the Plan will be heavily dependent on performance against target of the Heriot-Watt Malaysia Plan;
- inclusion of significant discretionary elements reflecting, notably, uncertainty over the Research Excellence Grant pending results of the 2014 REF in December 2014. These also included explicit contingency against failure to achieve planned tuition fee and net research income; and
- provision for potential increases in pension contributions.

The Director of Finance provided advice to the UE on the nature of the University’s two loan facilities with Barclays and with Clydesdale banks and borrowing capacity. It was noted that the banks’ financial covenants were met in full in the updated Five-Year Plan.

In response to a question from a member, the Director of Finance confirmed that the earliest point in the Plan at which investment in capital projects emerging from the space optimisation project without recourse to further borrowing will be 2017/18. However, there would be borrowing capacity should the University decide it wishes to invest in any infrastructure project sooner. In this context the Principal had highlighted potential for future investment to meet growing demand in relation to Library facilities.

The Principal invited and received the approval of the UE for the Five-Year Financial Plan to be presented at the June meetings of the Finance Committee and the Court by the Director of Finance.

**M14/100**

**2014/15 STUDENT RECRUITMENT OVERVIEW**

The UE received and discussed a Student Recruitment Overview report as at mid-May 2014 which was presented by the Director of Planning. Attention was drawn to the report’s summarised highlights:
Scottish Campuses:
- Foundation Programme: approval pending, recruitment about to start
- Undergraduates: attention is now at the acceptance stage. Overall on track with variances across Schools;
- Taught Postgraduates: overall applications level-pegging with last year; Effective offer making is driving significant increases in Acceptances though most are still conditional at present;
- Research Postgraduates: to be reported in the next update;

Dubai Campus:
- Degree Entry Programme: applications trend is positive (+35%);
- Undergraduates: applications trend generally positive (+12%);
- Taught Postgraduates: applications trend generally positive (+15%);

Malaysia Campus:
- Foundation Programme: July 2014 intake Science Programme – Acceptances ahead of target with more offers in the pipeline. Slower progress in the Business Programme;
- Undergraduates and Taught Postgraduates: for Sept 2014 intake: significant interest evident (via offer-making);

Independent Distance Learning:
- data was provided for the first time and as a baseline for the future.

**M14/101 2014/15 STUDENT RECRUITMENT: UNDERGRADUATE ENROLMENT FORECAST**

The UE received and noted a report, presented by the Director of Planning, which provided a forecast of Scottish Campus undergraduate entrants in 2014/15 compared to target as at the end of May 2014. The report highlighted forecast over- and under-recruitment across the various categories of undergraduate applicant.

The likelihood of a breach of the cap on Scottish/EU numbers was noted with lessons to be learned for the future. It was noted that a rigorous approach must be maintained in rejecting “near miss” conditional entry applicants to control intake. Heads of Schools were advised that optimum flexibility should be applied to help secure target SIMD 40 student numbers which were forecast to be achieved close to target overall, but with variations across Schools. It was noted that Schools which are lagging in progress towards their individual targets for SIMD students, should in the meantime maintain a focus on their targets, regardless of reported University overall performance. It was noted that the University would enter clearing in relation to RUK recruitment.

The Director of Planning advised that specific recruitment guidance will be prepared for individual Schools in consultation with respective Heads.

**M14/102 HWUM FUNDING STRUCTURE**

The UE received and noted a report, presented by the Director of Finance, which set out available options in relation to release of funding to support Heriot-Watt University Malaysia (HWUM) operations including the fit out of the main campus development and to meet ongoing working capital requirements as business operations develop and expand. The funding requirements were included in the HWUM business Plan previously approved by the UE and the Court and the Plan indicated a peak borrowing requirement of £11.81 million in financial year 2015/16.

The UE approved, for onward recommendation to the Finance Committee and the Court at their meetings in June 2014, the option to increase Authorised Ordinary Share Capital, noting that advice on optimum funding arrangements had been sought from KPMG UK and Malaysia (a copy of the KPMG report was provided), as well as from HWUM corporate lawyers. It was noted also that the proposal had been considered and approved by the HWUM Oversight Board.

The key driver for the funding structure proposed was to ensure that arrangements were flexible, costs minimised and that arrangements can be made to remit future surplus funds back to the HWU as required. It was noted that the current MYR/£ rate was favourable with advantages in terms of advance funding in excess of identified need. The prevailing high interest rates on bank deposits in Malaysia...
provided the opportunity to generate interest income to support business operations and reduce future funding requirements. It was noted also that the HWU Group had sufficient available finances to fund HWUM peak borrowing requirements without recourse to further external financing.

It was noted that the initial set up funding for HWUM was established through the issue of share capital in the form of Ordinary Shares, of which a proportion were issues and fully paid up. Funds to purchase the shares remitted from HWU to HWUM had provided sufficient resources thus far to finance HWUM during the initial development period.

The UE noted the reported other options which included provision of a non-repayable grant, and arrangement of a loan with specified repayment and interest terms.

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M14/103 MALAYSIA CAMPUS UPDATE

The UE received and discussed a presentation on the Malaysia Campus provided by the Vice-Principal (Malaysia). The following were highlighted:

- student recruitment: applications and progress against target;
- staffing: Foundation Programme staff had been appointed and required School staff with a few exceptions. Part time staff had been appointed to fill gaps;
- the main campus building was progressing and contingency arrangements were in place. The agreed hand-over date for the building was 4 August 2014;
- Research: two PhD students had been recruited and there were encouraging early signs in relation to staff engagement and development of research partnering opportunities; and
- current areas of concern and risk centred on future plans by the Ministry of Education (MOE) in Malaysia to cap university fees applicable to Malaysian students. It was reported that key programmes had not yet to achieve approval. Approval of MEng programmes by the Engineering Accreditation Council was expected at a very late point and MOE approval of business programmes was being affected through application of a policy to restrict provision in certain areas and reduce fee levels. The Vice-Principal (Malaysia) highlighted plans to discuss with Ministry officials in the coming week. In the meantime there signals that some prospective students were being lost. The Vice-Principal (Malaysia) highlighted the requirement for the coming year to build in more planning time, as established in a revised timetable, which more accurately reflects the required approval stages and timescales in the light of experience.

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M14/104 REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and noted a report from the Deputy Principal (Research & KT). The Deputy Principal drew attention in particular to:

- research grants and contracts awards income which was on track to meet the target for the year. While awards and proposals were higher by number, the combined value of these was lower than the same period in the previous year, due to the gap between the end of EU Framework 7 and the launch of EU Horizon 20/20 calls, together with a reduced number of larger RCUK calls during a period of concentration on CDTs. EU proposals had contributed in large part to the sharp rise in the value of proposals over the previous month’s report;
- progression of the Oil and Gas Innovation Centre against the milestones agreed by the Scottish Funding Council;
- planning underway in relation to the Textiles Futures Forum;
- the success of School of Engineering & Physical Sciences colleagues in securing three of the five Scottish Government RSE Personal Fellowships. It was proposed that this item of news should be included in the Principal’s/UE next briefing to the Court.
- the signing of a contract with a supplier in relation to the RMAS research management information system. The system was expected to meet a roll out date to users of May 2015;
- a first call for applications had been announced for funding under the collaboration agreement between FAPESP (Sao Paulo Research Foundation) and Heriot-Watt which was signed in April 2014;
- growth in Converge Challenge applications in 2014 by 85% in the year and recent press coverage of the heightening importance and profile of the programme as part of the innovation agenda in Scotland;
- the 6th Scottish Crucible which had completed two recent “Labs” with a third to be hosted by the
University of Glasgow in June. The events were attracting high quality individuals;
- a recent successful pilot Roadshow for ‘Early Career Researchers in Engineering’; and
- news that the University had recently regained EPSRC strategic partner status. This had been lost
  three years ago and continues to be subject to triennial review.

M14/105 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and noted a report, presented by the Deputy Principal (Research & KT) on behalf of the
Research & Knowledge Exchange Board, which related to the meeting of the Board held on 15 May
2014.

All items in the report were presented for information and the UE was content to accept the report and
approve it for onward presentation to the Senate at its next meeting.

M14/106 REPORTS FROM SCHOOLS, DUBAI AND MALAYSIA CAMPUSES

The UE received and noted oral updates of local news provided by Heads of Schools present at the
meeting and the Vice-Principals (Dubai and Malaysia).

In relation to the merger between the Institute of Petroleum Engineering and the School of the Built
Environment it was agreed that an all-staff email should be released updating staff on next steps in the
process and associated timescales.

M14/107 ANY OTHER BUSINESS

No other items of business were raised.

M14/108 DATE OF NEXT MEETING

The UE noted the date of the next meeting: 3 July 2014.

Signed ..............................................................

Date ..............................................................
The Principal updated the UE on the presentation provided to the Court at its June meeting on the outcomes of the Principal’s Management Review conducted in spring 2014. The presentation had been in the form of an interim report, drawing out key findings of the review which had been conducted by an external consultancy. The Principal advised that it was intended to present the final report to the Court complete with management responses at its meeting in October 2014. The report will be presented first to the University Executive in August or September 2014. No significant concerns had emerged from the review, although a range of recommendations were
CONSULTATIONS AND PUBLICATIONS LOG

The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until June 2014 and recently released external publications.

STUDENT RECRUITMENT OVERVIEW

The UE received and discussed a ‘Student Recruitment Overview’ report, as at mid-/late June 2014, which was presented by the Director of Planning. The UE was invited to note the report.

The UE noted that, for the most part, the report was consistent with the previous report presented to the UE in June 2014. It highlighted that a main focus of current attention lay with recruitment of taught postgraduate course students to Scottish campuses where a risk of an overall shortfall of overseas fee paying entrants was indicated.

It was noted that care should be taken in relation to reporting for the Malaysia Campus Foundation Programme July 2104 entry where numbers will both significantly underperform against the revised business plan target number but significantly outperform original target numbers. It was expected that HWUM will be implementing the necessary financial planning changes to reduce concomitant costs towards rebalancing of the budget. It was noted in the meantime that the number of acceptances were increasing each day and while these were not expected to reach the revised target figure, it was anticipated that the final number would fall in the region of 120.

It was noted that it remained too early in the process to determine whether the International Foundation Pathway will launch in 2014/15. An update on numbers would be sought from the Director of Recruitment and Admissions.

It was noted that the electronic copy of the paper provided had been incomplete. The clerk agreed to arrange dissemination of the complete paper to members.

MANAGEMENT ACCOUNTS FOR THE PERIOD TO 31 MAY 2014 (PERIOD 10)

The UE received and discussed a Management Accounts report for the period to 31 May 2014 (Period 10) which was presented by the Director of Finance. The UE was invited to note and comment on the report which was supplemented by a Group Financial Summary Dashboard report for the period.

It was noted that the reported forecast surplus for the year to date which was substantially better than budget was a reflection of the Quarter three forecast. While this was the best estimate presently, there was doubt as to its accuracy; forecasting throughout the year had been somewhat erratic. The Director of Finance confirmed that work would continue to evaluate and improve the accuracy of forecasting. The forecast surplus for the year-end was significantly better than budget and it was noted that the University held sales and other provisions of around £2 million which is unspent would improve the year-end figure further.

The UE discussed the need for improved consistency in the approach of School Financial Controllers, and a common understanding between Financial Controllers and School Heads/Management teams as to the contributing factors behind School financial forecasts throughout the financial year. The Vice-Principal encouraged Heads to give this matter an increased level of attention.

REPORT FROM THE DEPUTY PRINCIPAL (EXTERNAL RELATIONS)

The Deputy Principal (External Relations) provided a brief oral update on the success of the formal opening of the Scottish Confucius Institute for Business and Communication which took place on 10 June 2014.
The UE received and discussed a report which was presented on behalf of the HWUM Project Board by the Deputy Principal (External Relations). The UE was invited to note and comment on the report.

The Deputy Principal drew attention to the reported update on licencing and accreditation of programmes and ongoing discussions with the relevant Malaysian authorities in particular in relation to the planned business programmes. Other matters which were the subject of ongoing discussion with the Malaysia Ministry of Education included concerns raised by the MoE associated with temporary use of Convention Centre facilities for teaching and the Ministry’s moves to cap proposed tuition fee levels for home students.

The Vice-Principal (Malaysia) emphasised the effective communication links that University colleagues had with persons at all levels within the relevant sections of Malaysian Government; and care should be taken to keep the issues in perspective while dialogue on the matters under consideration continues.

The Deputy Principal advised that, while the reported date for physical completion and full certification (CCC) of the campus will now be delayed from 4 to 21 July, the planned handover date of the building remained 4 August 2014.

It was noted, as reported previously, that undergraduate recruitment will follow the typical Malaysian trend of being a relatively late, highly concentrated process compared with the UK process. It was therefore too early to speculate on likely September recruitment numbers. In the meantime Foundation course and PGT figures looked encouraging.

In relation to potential delays of one year relating to introduction of business programmes for reasons indicated above, the Secretary of the University recommended that further consideration be given to outline mitigation plans before the topic is raised for further discussion with the Chair of the Malaysia Oversight Board. It was noted that future planning should assume resolution of the matters causing delay, albeit that programmes will suffer a one year delay. It was noted that, at its meeting in August 2014, the Project Board will consider the outputs of work to model the impact of this change on the Five-Year Plan, including assessment of Plan resilience (level of scale-down of concomitant costs achievable) and the level of potential call on the contingency element of the budget.

The UE received and noted the updated Strategic Risk Register relating to the Heriot-Watt University Malaysia (HWUM) project as at 9 June 2014.

The UE received and noted a report, presented by the Deputy Principal (External Affairs), which provided a summary of the revised procedures and outcomes of the 2014 Senior Promotions Board (Academic). The UE was invited to note the main changes that had been made to the procedures following consultation with the relevant trade unions and to support the suggested further areas identified for improvement.

Heads of School were requested to ensure that they have the relevant dates held in their diaries for the 2015 senior academic promotions round: 31 March 2015 – closing date for applications; 1 May 2015 – meeting of the Senior Promotions Board (Academic); and week commencing 13 May 2015 – interviews. An email reminder should be issued in due course.

Early indications were that changes to the procedures had had a positive impact. It was not anticipated that any major further change will be required in the future; however, some areas for improvement had been identified, as detailed in the report. The UE confirmed its endorsement of the reported lessons learned and next steps.
ATHENA SWAN GOVERNANCE

The UE received and noted a paper, presented by the Deputy Principal (External Relations), which proposed governance arrangements relating to delivery of the agreed Athena SWAN Action Plan.

Athena SWAN Strategy Committee: Terms of Reference

119.1

The UE approved the proposed Terms of Reference of an Athena SWAN Strategy Committee, reporting directly to the UE with the suggestion that section 2.1 (j) be amended along the lines of to "Advise senior management on how to promote an inclusive culture for all colleagues and people (or "those") with caring responsibilities".

Governance reporting structure

119.2

The UE noted and endorsed, as reported, other aspects of the proposed reporting structure for governance of the Athena SWAN project.

REPORT FROM THE INTERNATIONAL STRATEGY BOARD AND LEARNING AND TEACHING BOARD

The UE received and noted a report from the International Strategy Board and the Learning & Teaching Board which related to a joint meeting of both Boards held on 28 May 2014. The UE was invited to note the report.

The Deputy Principal (External Relations) highlighted the positive value gained through the joint meeting of both Boards and her view that a joint meeting should be scheduled annually.

REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and discussed a report which was presented by the Director of Planning on behalf of the Deputy Principal (Research & KT).

The report included, inter alia, the regular update report on research grants and contracts: value of proposals and awards for the period to the end of May 2014.

Heriot-Watt University Research Publications Policy

The UE received, discussed and approved a draft HWU Research Publications Policy for implementation in August 2014.

The UE noted and discussed the currently experienced (Library resource) bottleneck in procedures relating to public availability of data uploaded by academic staff to PURE. It was expected that this matter would be resolved in the context of agreement on renewed procedures. It was agreed that further discussion should take place with the Deputy Principal (Research & KT) with a view to proposed procedures being developed in support of the new Policy as quickly as possible.

It was noted that, as a matter of priority, RES and IS will need to consider the measures and resources required to achieve compliance with the Open Data road map as external developments continue through to 2016 to achieve increased access to research data generated through publicly funded research.

REPORT FROM THE DEPUTY PRINCIPAL (LEARNING & TEACHING)

The UE received and noted a brief oral update provided by the Deputy Principal (Learning & Teaching) which related to arrangements for implementation of International Foundation Pathways. **Reserved section (ref Section 30, FOI(S)A).**
REPORT FROM THE LEARNING & TEACHING BOARD

The UE received and noted a report from the Learning & Teaching Board which related to the meeting of the Board held on 11 June 2014.

The UE approved the report onward presentation of the report to the next meeting of the Senate.

The Deputy Principal (Learning & Teaching) drew attention in particular to the current work of the Board in thematic review of School learning and teaching strategies and enhancement plans.

ANNUAL REPORT TO THE SCOTTISH FUNDING COUNCIL ON INSTITUTION LED QUALITY REVIEW 2013/14

The UE received and noted an annual report on Institution-led quality review which was presented by the Deputy Principal (Learning & Teaching).

The UE approved submission of the report to the Scottish Funding Council by 30 September 2014, noting that Court had already been invited to comment on the report, Court feedback had been incorporated in the current draft and the Court will be invited to endorse the final report, signing a statement of assurance at its meeting on 13 October 2014.

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

The UE received oral updates on recent items of news from respective Heads of School and the Vice-Principal (Malaysia) who were present at the meeting.

The Principal requested that further developments associated with the High Speed Rail project should be reported to the Court membership as and when these arise.

REPORT FROM THE SECRETARY OF THE UNIVERSITY

The UE received and noted a report from the Secretary of the University in the form of the Secretary's Board Bulletin for June 2014. The attention of the UE was drawn to new reporting included in the Bulletin of key decisions emerging from the most recent meetings of the University Executive, the Court and the Senate.

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 4 June 2014. All items were presented for information.

The attention of the UE was drawn in particular to new Social Media Do and Don’t guidance for staff (appendix 1 of the report) and agreement on a framework and process for monitoring and tracking issues emerging from national student surveys and associated actions. The Secretary of the University also updated the UE on the current status of the recruitment process associated with the four senior appointments, as reported in item 5 of the Board’s report.

REPORT FROM THE CAMPUS SERVICES MANAGEMENT BOARD

The UE received and note a report from the Campus Services Management Board relating to the meeting of the Board held on 17 June 2014. All items were presented for information.

In relation to item 6 of the report: National Performance Centre for Sport, the Secretary of the University advised on the recent signing of the Conditions of Award negotiated with SportsScotland and the City of Edinburgh Council, the terms of which were favourable to the University.
CONTRIBUTION PAY PROCEDURES AND PROFESSIONAL SERVICES: CAREER PROGRESSION PROCEDURES

The UE received, discussed and approved, for onward consultation with the relevant Trade Unions, draft Contribution Pay Procedures (Grades 1 to 9), and Professional Services: Career Progression Procedures, which were presented by the Head of Reward and Employee Relations.

129.1 Contribution Pay Procedures

It was noted that the Contribution Pay Procedures (Grades 1 to 9) set out the proposed criteria / conditions to be met for: accelerated increment; contribution point; bonus; and local bonus payment, and the proposed processes involved in each case. The UE noted and endorsed the explicit link to the PDR process within the criteria.

The Head of Reward and Employee Relations confirmed that an analysis report on 2014 contribution pay awards, including success rates will be presented to the UE for information at its meeting in August 2014.

129.2 Professional Services: Career Progression Procedures

It was noted that the proposed revised Professional Service Procedures were an updated fusion of the Professional Services: Career Progression Procedures (Grades 1-7) and the Management Promotions Board (Senior Promotions) Procedures. The revised procedures reflected and emphasised the career progression mechanisms which were different between Professional Service and academic staff, and introduced an element of consistency across all Professional Service grades, proposing removal of the necessity for annual boards to review Grades 9 and 10 cases.

SENIOR REMUNERATION PROCEDURES

The UE received, discussed and approved, subject to minor changes as noted below, a drafted procedures document setting out the key criteria, principles and processes for considering senior staff remuneration which was presented by the Head of Reward and Employee Relations. The procedures related to the remuneration of all grade 10 staff within the governance oversight of the Remuneration Committee of the Court.

The following recommended changes were made to the Procedures document:

- in relation to para 4.6, the Head of Reward and Employee Relations should be involved in all remuneration discussions
- in 4.2 “School financial indicators” should be altered to read “School performance indicators”

STRATEGIC PROJECTS REGISTER

The UE received and noted the Strategic Projects Register as at 18 June 2014, which was presented for information by the Secretary of the University.

It was noted that the only material change to the Register since the previous report in early June 2014 related to the move from proposal stage to start-up stage of Phase 3 of the iHR project.

QUARTERLY COMPLAINTS REPORT

The UE received and noted a report, presented by the Secretary of the University, which recorded complaints received and handled by the University during the quarterly period 1 March to 30 May 2014.
The UE received and approved, subject to minor changes noted below, updated Terms of Reference for the TRAC (Transparent Approach to Costing) Development & Modelling Group. The Terms of Reference were presented in the context of the annual cycle of review. It was agreed that the following minor changes should be made to the draft Terms of Reference relating to inclusion in the membership of the Group of the following:

- Director of Finance, Edinburgh Business School;
- Ian McGilp (Financial Controller, Scottish Borders Campus); and
- Robbie McArthur (Financial Controller, School of Mathematical & Computer Sciences.)

It was noted that further discussions on implementation of the TRAC methodology for the Malaysia Campus should take place as and when the Campus has entered into an operational “business as usual” state and compliance with the methodology and also appropriate representation on the TRAC Development & Modelling Group becomes relevant.

### M14/134 UNIVERSITY EXECUTIVE MEETING DATES: 2014 to 2016

The UE received and noted a report of meeting dates of the UE up to the end of 2015, as approved in 2013 and approved proposed dates for the period January to December 2016.

### M14/135 ANY OTHER BUSINESS

#### 135.1 Home Office update

The UE received and discussed a report, presented by the Director of Governance & Legal Services, which provided an update on the suspension of highly trusted sponsor status of a UK university, steps to disallow two others to sponsor students and the suspension of licenses of a large number of private further education colleges. The Government had asked the Quality Assurance Agency (QAA) to examine London sub-campuses of other universities to determine whether any action should be taken against parent institutions. The purpose of the report provided to the UE was to summarise the implications for Heriot-Watt University and to invite UE endorsement of the recommendation not to accept TOEFL / TOEIC in future as evidence of English language entry requirements on the basis that these tests were no longer considered secure and the risk to the University of accepting them in the future is unacceptable.

The UE agreed that neither TOEFL or TOEIC tests should be accepted in future, but that for applicants who have already applied for September 2014 entry, and submitted these tests as evidence in good faith, the University should accept these assessments. It was noted that this arrangement will be in accordance with Home Office guidance (1 July 2014). The University will not accept applicants wishing to apply for a programme starting on or after 1 October 2014 with TOEFC or TOEIC submissions. It was noted that this decision would have a proportionately more significant impact on West London College than on the University.

The UE agreed that the Senate Business Committee should be invited on behalf of the Senate to approve the decision and for a communication confirming the change in policy to be issued to relevant School and Professional Service staff and to West London College.

The UE endorsed development and publication of revised English Language guidance and training in August 2014, and further discussions with West London College to implement the change, while giving due consideration to the potential for any unintended consequences of the policy change, and steps to minimise these.

#### 135.2 Location of future meetings

The UE agreed that, teaching timetable permitting, the scheduled first choice location of future meetings of the UE should be the Confucius Institute, Postgraduate Centre.
135.3 **Chair of Court**

The Secretary of the University updated the UE on the submission made to the Privy Council seeking a temporary amendment to Statute XII which would allow the Chair of Court to continue in the position as Chair for one further year while the process continues to appoint his successor. It was noted that, at its meeting in June 2014, the Court had approved the appointment of Mr Tony Strachan as Deputy Chair of Court.

Signed …………………………………………………

Date …………………………………………………. 
THE UNIVERSITY EXECUTIVE

Minutes of the meeting held on 28 August 2014

Present:

Prof S K Chapman, Principal and Vice-Chancellor (Chair)
Prof R MacIntosh, Head, Management & Languages (SML)
Prof R J M Craik, Vice-Principal (Malaysia) (by Skype)
Prof A Miller, Deputy Principal (Research & KT)
Ms A-M Dalton, Secretary of the University
Prof P Morris, Act. Head, Life Sciences (SLS)
Prof G Gibson, Act. Head, Mathematical & Comp Sci (MACS)
Prof G Hogg, Deputy Principal (External Relations)
Prof J W Sawkins, Deputy Principal (Learning & Teaching)
Prof J Jones, Vice-Principal
Prof G Pender, Head, The Built Environment (SBE)
Prof A Kaka, Vice-Principal (Dubai)
Ms L Kirkwood-Smith, (Clerk to the UE)

Present also:

Mr M Adderley, Director of HRD (for item M14/141)
Mr R McGookin, Director of Planning
Ms S Collier, Director of Governance & Legal Services
(for items M14/ 142, 143, 146.1)
Mr A Menzies, Director of Finance
Mr M Deans, Director of Campus Services (for items M14/ 144 and 149.2)
Ms C McAllister, Head of Sport & Exercise (for item M14/140)
Ms L Donaghue, HR Partner (for item M14/140)
Ms T Donnelly, Athena SWAN, Project Officer (for item M14/158)

Apologies:

Prof D Hopkins, Head, Life Sciences (SLS)
Prof S McLaughlin, Head, Eng. & Physical Sciences (EPS)
Mr A Kitchin, Joint Head, Edinburgh Business School (EBS)

M14/136 MINUTES OF THE PREVIOUS MEETING

The UE approved the minutes of its meeting held on 3 July 2014.

M14/137 MATTERS ARISING AND ACTION LOG

137.1 Action Log

The UE received and noted the Action Log report relating to the meeting held on 3 July 2014.

137.2 Matters Arising

There were no matters arising.

M14/138 BUSINESS REPORTED BY THE CHAIR

138.1 The Principal welcomed Professors Gavin Gibson and Peter Morris to their first meeting of the UE as incoming Acting Heads of the Schools of Mathematical & Computer Sciences and Life Sciences respectively.

138.2 The Principal raised the matter of laboratory space constraints and the need for development of business cases for expansion to support student growth in science and engineering.

The Principal requested that preparations be made to include this matter for discussion at the 25 September 2014 meeting of the University Executive.
M14/139 CONSULTATION AND PUBLICATIONS LOG

The UE received and noted a Consultations and Publications Log which reported on current consultations with a deadline date for responses up until July 2014 and recently released external publications.

M14/140 NATIONAL PERFORMANCE CENTRE FOR SPORT STAFFING

The UE received and discussed a paper, presented by the Director of HRD, an HRD Partner and the Head of Sport & Exercise which set out the following recommendations:

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

It was noted that staff currently employed in the Centre for Sport & Exercise are currently employed with salaries and benefits significantly greater than comparator roles and organisations in the leisure/sports industry. Future arrangements in the context of the new subsidiary, provided for greater cost effectiveness while still offering a generous and highly competitive set of benefits to new staff.

The UE approved the proposals for onward recommendation to the Staff Committee and the Court at their meetings in September and October 2014 respectively.

M14/141 HUMAN RESOURCES DEVELOPMENT – BIANNUAL REPORT

The UE received and noted a six monthly report from Human Resources Development (HRD) which was presented by the Director of HRD.

The UE noted academic appointments from 1 October 2013 to 31 July 2014 made in terms of Ordinance 16, and promotions and appointments made in terms of Ordinance 16 from 1 September 2013 until 31 August 2014, noting that, in accordance with the terms of the Ordinance, forward reporting to the Senate and the Court will be arranged.

In response to a recommendation from the Deputy Principal (External Relations), the Director of HRD confirmed that gender balance statistics will be integrated with biannual reporting of staff numbers in the future.

The Head of Textiles, highlighted a supposed reporting error in the PDR completion statistics for TEX for double-checking.

M14/142 HOME OFFICE UPDATE

The UE received and discussed a report, presented by the Director of Governance & Legal Services, which provided an update on the impact on the University of the recent Home Office decisions vis-à-vis Educational Testing Services (ETS) testing and lowering of the of the visa refusal rate for retaining Highly Trusted Sponsor (HTS) status from 20% to 10% from 1 November 2014. At its meeting in July 2014, the UE had taken the decision not to accept TOEFL or TOEIC tests in the future, but to accept these tests as an assessment (with additional safeguards) for any applicants who had already applied for entry to the University in September 2014.

The UE noted the report of ongoing Home Office checks of all UK institutions with more than 10 TOIEC files, including Heriot-Watt with West London College, noting the expectation that institutions will expel any student with an invalid TOEIC result and re-test any with a questionable result. It was noted, of 22 student case files for Heriot-Watt, 19 related to West London College.

It was noted that, due to the date of the College’s application for renewal and the transitional provisions, West London College would have their annual application considered under the old 20% refusal rate with the new 10% rate not applicable until next year. In the meantime, West London College had continued to take steps to reduce its refusal rate. The UE noted the clarification provided in the report of the implications and the procedures that would be followed in the event of a default scenario involving West London College. As reported at the July meeting of the UE, active measures were underway to reduce and manage the risk of potential default.
Nevertheless over the course of the coming year a contingency plan will be developed.

M14/143 BUSINESS CONTINUITY AND PREPAREDNESS – EBOLA

The Director of Governance & Legal Services advised the UE of steps taken by the University Health Service to web-post advice on Ebola reporting requirements and precautions. Attention had been paid to the measures adopted by the Malaysia government to contain the risk to Malaysia.

M14/144 STUDENT RESIDENCES 2012: POST PROJECT REPORT

The UE received and noted a report, prepared by CBA Chartered Quantity Surveyors, who had been commissioned by the University to review and report on the reasons behind the late delivery and cost over-run of the 2012 student residences projects (student accommodation blocks at the Edinburgh and Scottish Borders Campuses). The Director of Campus Services confirmed that a repeat of the problems experienced with the Residences Projects was not expected; current capital projects underway in the University each having been established on an entirely different basis.

The UE accepted the findings of the report and noted that it would be considered by the Audit and Risk Committee at its meeting to be held on 26 September 2014.

M14/145 PROVISION OF PROFESSIONAL SERVICES AT THE DUBAI CAMPUS

The UE received and discussed a paper on the provision of professional services at the Dubai Campus which was presented by the Secretary of the University.

Reserved section.

M14/146 REPORT FROM THE SECRETARY OF THE UNIVERSITY AND THE SECRETARY’S BOARD

The UE received and noted reports from the Secretary of the University and the Secretary’s Board, relating to the meetings of the Board held on 1 July and 6 August 2014, which were presented by the Secretary of the University.

146.1 Good Relations on Campus Policy Framework

The UE received and noted a draft Good Relations on Campus Policy Framework and Procedures which were presented by the Director of Governance & Legal Services. It was noted that the purpose of the Policy was to provide a framework for the ways in which the University will develop a culture where relationships between diverse groups and individuals enhance the learning experience, facilitate the development of identity, and contribute to an inclusive society.

In response to a request, the Director agreed to review the Policy documentation with a view to substantially reducing the length of the document and submitting a shorter draft at a future meeting of the UE.

146.2 University Intranet Procedures

The UE received and noted University Intranet Procedures in support of the University Intranet Policy.

146.3 University CCTV Procedures

The UE received and noted University CCTV Procedures in support of the Information Security Policy Framework. In response to a question raised, it was noted that certain CCTV networks were operated by individual Schools, until such time that centralised control of CCTV is established, the owning units of the University will be responsible for meeting the requirements of the CCTV Policy and Procedures.
Other matters reported by the Secretary of the University

The Secretary of the University updated the UE on arrangements in relation to the following appointments:

- Chair of the Court (interviews were being held on 11 and 15 September with meetings of the Governance & Nominations Committee and the Court scheduled to take place in the week ending 19 September 2014 to consider the recommendation of the appointment panel);
- Principal & Vice-Chancellor (A joint Court and Senate appointment panel is to be established. It was noted that interviews had been scheduled to take place on 1 December 2014. With a six months’ notice period factored in, there was anticipation of a possible start date for the new Principal of mid-June 2015. A process of University-wide consultation on the appointment will be undertaken);
- Academic Registrar (An appointment had been made and Mr Paul Travill (currently University of Wolverhampton) will join the UE in autumn 2014);
- Director of Marketing & Communications (arrangements were underway to finalise agreement with the successful candidate with the aim of an early January 2015 start date);
- Director of Research & Enterprise Services (interviews are scheduled to take place in early September); and
- Assistant Principal (Fundraising) (the recruitment process will be fully underway in the near future).

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, which related to the meeting of the Board held on 17 June 2014.

STRATEGIC PROJECTS REGISTER

The UE received and noted the Strategic Projects Register as at 8 August 2014, which was presented for information by the Secretary of the University.

It was noted that material changes made to the report since it was last presented to the UE on 3 July 2014 included closure in the report of the Oil & Gas Innovation Centre and Confucius Institute projects, and the addition to the Register of implementation of the Learning & Teaching Strategy.

INTERNAL AUDIT REPORTS:

The UE received and discussed Internal Audit Reports which were presented by the Secretary of the University.

Attack and Penetrate Phase 2

The UE received and discussed a report by the University’s Internal Auditor on Phase 2 of the Attack and Penetrate exercise (Internal Infrastructure Test). The report was presented jointly by the Secretary of the University and the Director of IS. The purpose of the exercise had been to undertake a security assessment of the University’s IT infrastructure from the threat perspective of an attacker with physical access to the networks and to identify potential security issues which may lead to the compromise of sensitive research data.

The UE noted and discussed progress that had been made to address the risks identified in the report. It was noted that a similar report will be provided to the Audit and Risk Committee when it considers the report at its meeting in September 2014. The Director of IS highlighted that high, medium and low risk issues had been identified with all high risk areas of vulnerability rectified quickly following discovery. Evidence of areas in the systems where resilience had been strong had also been identified.

The UE noted the key recommendations emerging from the review. All findings and recommendations had been accepted by University management. It was noted that key steps will involve briefing systems managers, formation of an internal expert group by the Information Security Group, online staff training, and continued penetration testing on an annual basis.
Estates Maintenance Services Review
The UE received and noted an Internal Audit Report on Estates Maintenance Services which was conducted in June / July 2014. The UE confirmed endorsement of the draft management responses included in the report which would be considered by the Audit and Risk Committee at its meeting on 26 September 2014.

The Director of Campus Services and the Vice-Principal highlighted the need for a review of the future level of investment in long term maintenance of the existing estate if emerging higher level risks are to be avoided. In a planning context, investment capacity will require strategic evaluation and options appraisal against future needs, achieving a balance between new build investment and maintenance of existing stock, and development of robust and reliable business cases.

Project Management Methodology
The UE received and noted an Internal Audit Report on Project Management Methodology which was conducted in June / July 2014. The UE confirmed endorsement of the draft management responses included in the report which would be considered by the Audit and Risk Committee at its meeting on 26 September 2014.

The scope of the audit extended to a review of the documents and parts of the revised project management methodology rolled out by the Project Office; to determine the fitness for purpose of the methodology in the light of the number and scale of projects underway and planned, to test the level of compliance met in relation to two case study projects, and to assess the robustness of overall governance including “line of sight” arrangements. No high level risks had been identified in the review.

FAMILY INSURANCE, DUBAI CAMPUS
The UE noted and approved, for immediate implementation, a proposal, presented by the Vice-Principal (Dubai) for an increase to 50% of the contribution towards the cost of health insurance for immediate family members of Dubai Campus employees living in the United Arab Emirates. It was noted that the additional costs of insurance subsidy had already been incorporated into the staff budget across Schools within the 2014 Five Year Financial Plan.

It was noted that the proposal formed part of a wider review of the remuneration package for staff in Dubai, most especially in the context of ensuring that posts are attractive to an appropriate calibre of staff, likely in the mid-upper career stage, to deliver against the campus's future strategic objectives.

The UE noted that UAE law requires all nationals and Residents of Dubai (including dependants) to have medical health coverage in place. It is the responsibility of employers to provide medical insurance for employees, and while employers are not compelled to pay for coverage for spouses and dependants, the Dubai Health Authority encourages this as a matter of good HR practice.

REPORT FROM THE DEPUTY PRINCIPAL (LEARNING AND TEACHING)
National Student Survey 2014 results
The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching), which summarised the results of the National Student Survey 2014, including Heriot-Watt University’s comparative performance.

The UE noted that, as in previous years, a series of meetings had been scheduled with staff in individual Schools. In each case, as relevant, these would include acknowledgement where the results were strong and a focus on School action plans where improvement is required.

Enhancement Led Institutional Review (ELIR)
The Deputy Principal highlighted work underway to publicise the planned ELIR and to collate the required evidence for submission to the ELIR team.

UE members were reminded of the need to respond swiftly to requests from the University's coordinating team for any further information requirements.
The UE received and noted a report, presented by the Deputy Principal (Learning & Teaching), which included the outcomes of academic and academic related professional services reviews and internal audits which were undertaken during the academic year 2013/14.

The UE was invited in particular to consider and comment on part of the judgement of the Review Team in relation to the review of the Centre for Academic Leadership and Development. The judgement related to the structural capacity of the service to manage the operation and enhancement of programmes in the light of additional demands arising from the University’s strategic objectives and the external environment. In the course of discussion, it was noted that the Malaysia Campus required support in 2014/15 and that the Dubai Campus had identified support needs beyond the apparent current capacity of the Centre.

The UE agreed that there appeared to be a resource issue that requires resolution and agreed that the matter should be progressed through the planning phase of the next Five Year Financial Plan. In this context, Human Resources Development will need to consider the wider portfolio of investment in the area of staff development and reassess priorities.

It was agreed that a clear plan covering the medium term must be in place in time for ELIR with a short term plan put in place for 2014/15 to cover the immediate needs of the Dubai and Malaysia Campuses. It was agreed, in the first instance that the Deputy Principal (Learning & Teaching) should consult with the Vice-Principals (Dubai and Malaysia) and that plans should progress for redirection of the required budget to cover the cost. It was identified that, nominally, resources required in 2014/15 might amount to 1FTE shared between both campuses.

The UE received oral updates on recent items of news from respective Heads of School and the Vice-Principals (Malaysia) and (Dubai) who were present at the meeting.

The UE received and noted Management Accounts and Group Financial Summary Dashboard for the period to 31 July 2014 (full year) which were presented by the Director of Finance.

The attention of the UE was drawn to the Management Account highlights which included:

- a surplus of £12.5 m for the year to date, which is better than budget by £6.4 m and amounted to around ~6.5% of turnover. The UE noted the contribution to the bottom line made by a windfall sales receipt and unspent provisions;
- total student debt outstanding at 31 July 2014 was at the lowest recorded level at July for the last nine years; and
- a strong Balance Sheet, with Net Assets standing at ~£99 m.

It was noted that further tidy up work would be undertaken on the Accounts, prior to presentation to the Finance Committee at its meeting in September 2014. The full year accounts remained subject to review by the University’s External Auditor.

The UE received and discussed a Student Recruitment Overview report which was presented by the Director of Planning.

The report provided an update on the status of applications, offers and acceptances at the University’s Scottish and Malaysia Campuses as at mid-August 2014 and the Dubai Campus, as at the end of July 2014. A report was provided on Independent Distance Learning numbers; data were being collated in this cycle for the first time, as a base-line for future reporting.

The attention of the UE was drawn to highlights in the report, notably:
following completion of the admission cycle, significant surpluses over target had been achieved undergraduate (UG) Wider Access (SIMD40), RUK and Overseas student categories. EU numbers had been well controlled in accord with planned numbers; however, some excess non-SIMD40 Scottish numbers had been accrued in most Schools. The UE noted a significant degree of variability in UG recruitment achievements across Schools.

The Postgraduate Taught course (PGT) recruitment cycle at Scottish Campuses was nearing completion. With a few significant opportunities remaining, the forecast remained uncertain with worst and best case scenarios reported. Although the best case scenario will be the most probable, there will remain some shortfall against target. It was anticipated that undergraduate recruitment over target will at least compensate for the anticipated shortfall in PGT numbers;

The Dubai Campus recruitment forecast accorded with target levels. XXX(It was noted that there had been a slight decline in in Indian market since fees had been increased; however, efforts were being focused on growth in other market areas). XXX Reserved section: Ref section 33, FOI(S)A).

While projected UG and PGT Malaysia Campus numbers would fall short of the revised target, the gap would continue to narrow as the number of acceptances increase further. Over-recruitment to the Foundation Programme will be a compensatory factor, though the changed balance of fees will impact on income levels. It was noted that efforts are expected to continue across Schools to reduce concomitant costs as far as possible within their own budgets to mitigate the necessary call on set aside contingency. It was noted that other calls on the contingency fund in the year, e.g. Orkney Campus developments, will markedly reduce the funds available.

M14/156 TUITION FEES 2015/16

The UE received and discussed proposed Tuition Fee levels for academic year 2015/16 (Scottish and Dubai campuses) which were presented by the Vice-Principal on behalf of the Fees Working Group.

The UE noted the University’s comparative position against benchmark institutions for 2014–2015 indicating that the level of fees in the current year were within an appropriate range. However, rates of increase across the sector continue to be significant. For 2015–2016; therefore, to maintain position, an increase of 6% in undergraduate fees for overseas students on Scottish campuses, and 4% for equivalent postgraduate fees was proposed. The current undertaking to raise future fees to enrolled students by not more than 4% per annum will remain unchanged.

The proposed Fees were approved subject to further clarification on the listed IPE fees. These were thought not to reflect recommendations made by the Deputy principal (External Relations.) It was agreed that the IPE fees should be confirmed following further consultation between the Deputy Principal and the Head of the merged School (SBE/IPE), following which the Fees tables should be presented for approval at the next meeting of the Finance Committee.

The Vice-Principal highlighted the need in the coming short period for Schools to consider fees positioning within the sector versus targets in the next round of fees’ setting.

The Principal also requested that further information is provided on the extent to which course fees impact on student choice at the point of conversion from offer to acceptance and the final destination of decliners.

It was noted also that the way in which Tuition Fees information is publicised should be reviewed to ensure that applicable bursaries/scholarships are reflected in pricing advice.

M14/157 HWUM: REPORT FROM THE PROJECT BOARD

The UE received and noted a report from the Heriot-Watt University Malaysia (HWUM) Project Board dated August 2014 which was presented by the Deputy Principal (External Relations). The
report provided updates, as at August 2014, on: student recruitment; approval of programmes; financial planning; main campus development and migration planning; student residences; staffing and appointments; and the top identified project risks. The Deputy Principal confirmed that the reported staff numbers data required some updating which will be reflected in the next report.

The UE noted that both the HWUM Project Board and the Malaysia Oversight Board will be disbanded at the end of the current calendar year at which point HWUM is expected to move from project phase into being fully operational.

M14/158 ATHENA SWAN: GOOD PRACTICE IN COMMITTEES AND BOARDS

The UE received and discussed recommendations, presented by the Athena SWAN Project Officer, which set out good practice in board and committee memberships with a view to increasing the likelihood of more diverse memberships across the key decision-making bodies of the University.

The UE noted and endorsed the following recommendations:

1) embedding equality into the Heriot-Watt culture by supplementing board/committee Terms of Reference to include a statement of responsibility “to promote diversity of representation” in their membership and in the membership of bodies reporting in to them, and to “promote equality of opportunity for all in carrying out committee/board business”;
2) address current gender imbalance. All University committees and boards should consider their gender balance and draw up a tailored plan to address their specific circumstances, setting their own targets for improvement. Committees/boards consider establishing an ‘observer’ programme;
3) a dedicated webpage should be established to enable open advertisement of all internal opportunities that could impact on an individual’s career (supplemented by alternative publicity means for those without PC access). Heads of Schools should also publicise vacancies locally inviting expressions of interest and PDR reviewers should encourage their reviewees to consider standing for committee membership as part of their career development;
4) following initial reporting of committee/board plans, there should be continuing monitoring via an annual reporting, including historical trend data, submitted to the UE via the Athena SWAN Steering Committee (ASSC). Reporting should include School Management Boards and key school-level committees. Committees/boards should review their Terms of Reference annually, including a review of the gender balance, to be reported to the (ASSC). When elections to committees take place, then gender balance should be reported along with the results.

It was noted that the Athena SWAN project officer would meet with each committee / board Chair, or nominee to guide planning with a view to a progress report being submitted to the January 2015 meeting of the University Executive.

The UE noted data presented on key committees and boards detailing gender balance. It was recommended that the information be augmented with data on the number and gender configuration of ‘committee/board ‘attendees’.

The Secretary of the University made the observation, that while Court and its committees were included in the proposals paper, the Court was already actively engaged in work to address the issues of membership diversity and was influenced and guided in this by external good governance requirements, including, but not limited to, the Scottish Code of Good Higher Education Governance.

M14/159 CONFUCIUS INSTITUTE: UPDATE

The Deputy Principal (External Relations) advised the UE that she would arrange circulation to colleagues soon of a ‘Confucius Week’ programme for celebratory events taking place from 29 September to 3 October 2014.

M14/160 REPORT FROM THE INTERNATIONAL STRATEGY BOARD

The UE received and noted a report presented by the Deputy Principal (External Relations) which related to the meeting of the Board held on 22 July 2014.
The Deputy Principal drew the attention of the UE to outcomes of the joint meeting of the Learning and Teaching Board and the International Strategy Board held in May 2014 and subsequent discussions on governance arrangements. In particular, the Deputy Principal sought and received the approval of the UE for the following proposals for implementation:

- delegation of decision-making powers to the International Strategy Board, specifically in relation to approval of business cases associated with new academic partnerships with a focus on financial aspects of business cases and fit of the proposals against the wider strategy;
- an enhanced role for the Board with inclusion of monitoring and review of non-academic factors associated with academic partnerships; and
- establishment of the role of a Director of International in each School with School representation on the International Strategy Board to incorporate this group.

M14/161  REPORT FROM THE DEPUTY PRINCIPAL (RESEARCH & KT)

The UE received and noted a report presented by the Deputy Principal (Research & KT).

161.1 Research Grants & Contracts: proposals and awards 2013/14

The UE noted a period 12 (full year) report on research grants and contracts: proposals and awards in 2013/14. The Deputy Principal reported that work was underway on more detailed reporting including, inter alia, review of the rate of overhead return which did not match with plan assumptions. The report will be presented to the UE in due course.

The Vice-Principal encouraged Heads of School to give early consideration to, and provide planning advice on, the overhead recovery rate that will be achievable in their respective Schools in 2014/15.

M14/162 REPORT FROM THE RESEARCH & KNOWLEDGE EXCHANGE BOARD

The UE received and approved, for onward presentation to the Senate, a report from the Research and Knowledge Exchange Board relating to the meeting of the Board held on 17 June 2014.

162.1 Research open access / open data

The Principal requested that the Deputy Principal (Research & KT) should ensure that, during planned discussions involving the Director of IS with the Audit and Risk Committee on the Attack and Penetrate Phase 2 exercise, the opportunity is taken to advise the Committee on the matter of research open access / open data.

M14/163 ANY OTHER BUSINESS

163.1 Scottish Referendum outcome

The Secretary of the University advised UE colleagues that, at an extra meeting on 22 September (9.00 am), the Risk and Project Management Strategy Group (RPMSG) will consider the outcome of the Scottish Referendum with a view to preparing a report for consideration by the Court at its meeting on 13 October 2014. Relevant members of the RPMSG are strongly encouraged to attend the RPMSG meeting.

163.2 Zambian Independence celebration: events and scholarships

The Principal highlighted the special events day at the Edinburgh Campus on 18 October 2014 in celebration of the 50th anniversary of Zambian Independence whose participants will include representatives from Zambian and Scottish Governments. To mark the event the University had established three Kenneth Kaunda Scholarships with one each to be allocated to the Schools of SML, SLS and EPS. There will be an announcement on these on 18 October 2014.
163.3 Heads of School appointments

The Principal advised the UE that recruitment processes were continuing in relation to the appointments of Heads of the Schools of Mathematical & Computer Sciences and Life Sciences.

163.4 Principal's Management Review

The Principal confirmed that the report of the Management Review commissioned from Ranmore consulting group was in the process of being finalised and would include management responses / an action plan against the emerging recommendations. The Report will be presented to the UE for consideration at its meeting on 25 September prior to presentation to the Court at its meeting to be held on 13 October 2014.

Signed ........................................................

Date ........................................................