

Developing a filing scheme

For whom is this guidance intended?

This guidance is intended for University staff responsible for setting up records management systems in their part of the University. It gives detailed advice on how to develop up a filing scheme.

What is a filing scheme?

A filing scheme provides an intellectual framework for organising a business unit's records within a hierarchy. This is often reflected in the physical organisation of the records and usually involves a numbering or reference system. It is sometimes also called a 'business classification scheme'.

The information map, filing scheme, retention schedule and inventory are the cornerstones of a records management programme, and are closely interrelated.

Why do we need a filing scheme?

A filing scheme supports the survival and accessibility of important University records by promoting consistent storage of information within a shared information structure. It serves the following purposes:

- It ensures that the same types of information are usually given the same name.
- It serves as a table of contents to help us to locate information.
- It preserves the context within which records were created – instead of dealing with isolated pieces of paper we have a coherent set of papers derived from a particular function.
- It provides links between records created by the same or related activities.
- It helps with the development and implementation of a retention schedule
- It will assist with legislative compliance. It will help us to retrieve information within the statutory 20-day deadline required for a response to requests made under the Freedom of Information legislation, and will enable us to identify information subject to the Data Protection Act 1998.

Who compiles and maintains the filing scheme?

It is the responsibility of each business unit (eg a school or administrative department such as Finance) to develop and implement a filing scheme for the records it holds. This might be done by those responsible for carrying out the functions covered by the schedule, or by the nominated records officer for the area concerned. For functions carried out within a number of parts of the University, the Records Management Section will make available model filing schemes, but it is the responsibility of the business units concerned to customise these for their own use.

What different types of filing scheme exist?

There are three main types of filing scheme:

- Subject-based

- Organisation-based
- Functional

See Annexes A-C for an example of each. Each has its advantages and disadvantages, but the Records Management Section recommends the use of a functional-based filing scheme. A functional-based filing scheme will make it easier to implement retention schedules, survives organisational change and is less open to variations in individual interpretation than the other types of filing scheme.

What are the advantages and disadvantages of each type of filing scheme?

A subject-based approach involves drawing up a classification scheme for records, based on their subject matter. It can work well for case files, for example, where there is a file for each individual or organisation dealt with, and for some research records. However, this approach is not recommended for other types of records, as drawing up a comprehensive and usable subject-based classification scheme is a lengthy and time-consuming process. As records are not produced on a subject basis, and one record can relate to more than one activity, it can be difficult to know to which subject a particular record relates. This can lead to records on the same topic being filed in different files and makes it difficult to locate information.

An organisation-based approach involves structuring the filing scheme to reflect the structure of the organisation. This makes it easy to decide where to file things, but also means that the filing scheme has to be revised each time there is a reorganisation. Over time it will become more difficult to locate information, as those who remember earlier filing structures leave the organisation.

A functional-based approach involves structuring the filing scheme using a hierarchy based on the functions, activities and transactions carried out by the organisation. If you have produced an information map, you will have already compiled this information. This approach is less subjective than a subject-based approach, and more enduring than an organisation-based one, as underlying functions change far less frequently than organisational structures. However, if carried to extremes this approach can become over-complex and is not always intuitive, so use of this approach should be tempered with a strong dose of pragmatism.

This guidance will focus on the preparation of a pragmatic functional filing scheme. The Records Management Section can give further advice on preparing a subject or organisation-based filing scheme if necessary.

Irrespective of whether you have chosen a subject, organisational or functional approach to your filing scheme, you might find it useful to set up major and minor filing systems. In this approach two filing systems are set up using the same filing scheme. One is for 'major' records, that is, items of long-term significance, and the other is for 'minor' records, or ephemeral material. For example, a 'major' file for a committee might contain the final minutes and papers, while as the 'minor' file would contain drafts and meeting arrangements. This approach produces better quality records and ensures that resources are not wasted in preserving material of little significance simply because it is filed with more important material. Alternatively, material of low value could be designated as 'working papers', retained by the

relevant member of staff only so long as it is needed for day-to-day reference, and destroyed as soon as it is no longer required.

Do I need a referencing system?

It is advisable to adopt a referencing system as this provides convenient shorthand for referring to files. However, in some circumstances it is not necessary; for example in a small office it might be sufficient to rely on a keyword referencing system.

The referencing system adopted should relate to the filing scheme hierarchy. The most common types of file referencing systems are:

- alphabetical
- numerical
- alpha-numeric (for example, AB 12 / 1/1)
- keyword

Examples of file lists using each reference system are at Annexes D to G. Whatever referencing system you choose, the reference assigned to each file must be unique and easily understood by the users of the system. An alpha-numeric system is usually the most accessible for users as the references are easier to remember.

If you are using an alphabetical or an alpha-numeric system, avoid mixing upper and lower case – all upper case is preferable.

How do I compile a filing scheme?

A filing scheme should ordinarily consist of a three or four level hierarchy, with the lowest level being individual files, and the highest broad functions. The upper levels of the filing scheme can be drawn directly from the functions and activities identified on your information map. An outline University filing scheme can be seen at Annex I.

Preliminary research is key to the preparation of a successful filing scheme. If you have not already developed an information map, it is advisable to do so. If this is not possible, you should ask the following questions to develop, in effect, a rapid information map:

- What are your section's responsibilities?
- What activities do you carry out to fulfil that responsibility?
- What information do you receive to carry out that activity?
- What information do you produce?
- To whom do you provide information?
- What records do you need to keep?
- What records do other parties need to keep?
- What is the best way of organising this information?

The responsibilities and activities will form the top two levels of the filing scheme, and the remaining questions contribute to the setting up of individual files to populate the scheme. To prevent the scheme from becoming difficult to use, restrict a filing scheme to four levels of hierarchy, with the fourth level being the individual files.

Annex I contains an outline filing scheme that you can use as the starting point for compiling your own scheme. On the whole, it covers the first two, or in some cases, three levels of the filing hierarchy; entries for individual files should be made at level 4.

A filing scheme should be accompanied by a scope document which gives further information about the types of information intended for filing under each section of the scheme. Annex J contains the function and activity scope definitions for the outline scheme.

All filing schemes should include a 'zero file'. This is a file which contains information (or metadata) about the filing scheme, including: its structure, dates of usage, and details of alterations and additions. For large filing schemes, you may also need a zero file at lower levels of the hierarchy, for example at the series level, to record the development of these parts of the scheme. In Annex I, the 'zero file' is at T.2.2.1.

When setting up files in the filing scheme, you should take care to distinguish between University-wide activities and services and local activities and services. For example, Human Resources provides a University-wide service, but every part of the University (including Human Resources) will have its own local staff management files. If your business area carries out both University-wide and local responsibilities, then these two aspects should be clearly distinguished in the filing scheme, perhaps by setting up separate level 2 entries for University-wide and local responsibilities. Several examples of this approach can be found in the outline scheme at Annex I. For example, T.1 is the section for University-wide records management. Within this section, the Records Management Section would file its advice and guidance on records management for the University as a whole. T.2 is the section for a business unit's management of its own records. Within this section the Records Management Section would file its papers about its own filing scheme.

When you are setting up a file, the file's position in the hierarchy, its title, reference and date of opening should be recorded in the inventory. (For more information about records inventories, see

http://www.recordsmanagement.ed.ac.uk/Info_for_psp/practitioners/procedures_and_guidance/records_inventory/records_inventory.htm). File titles must accurately reflect their contents. They should be brief, yet sufficiently comprehensive to describe the contents clearly. For example:

Industrial relations: government White Paper 1975: Minutes of meetings with local authorities.

The use of acronyms, abbreviations or loosely defined terms, such as "general" or "miscellaneous" should be avoided.

When developing a filing scheme, it is advisable to obtain input from all parts of the relevant areas, either by asking them to participate in the development of the scheme for their area of work or by inviting them to comment on the work in progress. This will ensure that the scheme is fully comprehensive and meets all the needs of your business area.

How do I implement a filing scheme?

This section gives detailed, practical advice on the details of managing a set of files.

It is usually not cost effective to convert legacy paper material to the new system; existing files should be closed down and new files opened instead. Do not open a new file unless you are confident that records will be created to go on that file. If you do not already have a filing system in place, then you should sort through any existing collections of paper and add them to files in the new filing system.

For most business uses, strong cardboard files with a single punched hole in the top corner and an internal fold-over flap, stored in suspension files, are the easiest and most efficient way of storing and referring to paper records. However, if you need to take papers in and out of files you should consider using ring binders or lever arch files. Document wallets or box files are the most appropriate way of storing bulky documents which will not fit on a file, but are not suitable for loose papers, as the papers will quickly become disordered, if not lost. Avoid proprietary storage solutions formats, as these will be expensive to maintain.

Regardless of the type of file used, the file cover must have space to enter the dates when the file was opened, when it is closed and when it is due for review/destruction. Always file papers with the most recent on the top, to avoid having to rearrange papers whenever new information is added. Files should not be allowed to become unmanageable because they are too large to handle or because they span a long date range. They should be closed and a new file opened when the file becomes too thick (usually 1” or 2.5 cm), or once files have been open for five years.

For electronic records, use folders and sub-folders to set up a filing structure in a shared area accessible to all those who are to use the scheme. Unless existing electronic records are already held in a clear and usable structure, they should be brought into the new structure.

How do I maintain a filing scheme?

Organisations change over time, and for a filing scheme to remain of value it must be kept up to date. It is advisable to review schemes every five years to confirm that they are still relevant. Issues to consider are:

- Have the functions changed since the schedule was compiled?
- Have the processes changed?
- Has the information generated and used changed?
- Does this filing scheme meet users’ needs?

This review should be conducted at the same time as a review of the information map on which the filing scheme is based. It is intended to identify changes which might otherwise have been overlooked. It is not intended to replace *ad hoc* changes and additions made to the filing scheme as and when the need is identified.

What help is available?

The University Records Management Section provides advice, guidance and training on data protection, records management and freedom of information issues. Although we cannot develop and maintain your filing scheme for you, we can provide training on developing a filing scheme, facilitate workshops to help you develop your filing scheme, give you detailed advice on work in progress, and serve as expert advisers on records management project boards.

The Joint Information Systems Committee (JISC) have prepared a high-level study of the functions and activities of universities. These can be used as the starting point for the first two levels of the filing hierarchy. The study can be found at:
http://www.jisc.ac.uk/index.cfm?name=recordsman_papers_cycle.

Annex A

Example of a subject-based filing scheme

'Zero' file

Calendar

- Academic holidays
- Dates of term
- Prospectus

Degrees

- Certificates
- Falsification
- First degrees
- Higher degrees
- Honorary degrees
- Postgraduate degrees
- Testimonials
- Verification

Examinations

- Appeals
- Dates
- Enquiries
- External examinations
- External examiners
- Invigilation
- Irregularities
- Procedures
- Regulations

Fees

- Arrears of fees
- External examiners' fees
- Home fees
- Overseas fees
- Remission of fees

Graduation

- Arrangements
- Enquiries about graduates
- Enquiries from graduates

Staff Matters

- Appointment of Chief Executive
- Appointment of Senior Executive
- Appointment of Accountant
- Income Tax

Staff pensions
Staff expenses

Statistics

Departmental statistics
Enquiries about statistics

Trade unions

Association of Scientific, Technical and Managerial Staffs
Association of University Teachers

Example of an organisation-based filing scheme

'Zero' file

Arts, culture & environment

- Archaeology
 - Admissions
 - Applications
 - Curriculum
 - Offers
- Architecture
 - Admissions
 - Applications
 - Curriculum
 - Offers
- Fine art
- Music

Economic & management studies

- Economics
- Business studies
- Accounting & business method

History & classics

- Classics
- Economic & social history
- History
- Scottish history

Literature, languages & cultures

- English literature
- Islamic & Middle Eastern studies
- Celtic & Scottish studies
- European languages & cultures

Philosophy, psychology & language sciences

- English language
- Philosophy
- Psychology
- Theoretical & applied linguistics

Social & political studies

- Politics
- Social anthropology
- Social policy
- Social work
- Sociology

Example of a functional filing scheme

'Zero' file

Planning

- Process design
- Negotiate resources
- Set strategic priorities
- Develop plan
- Monitor achievement

Teaching

- Teaching strategy development

- Teaching planning

- Teaching quality and standards management

- Internal QA processes
- Formal internal reviews
- External reviews

- Taught curriculum development

- External monitoring
- Developing new curricula
- Revising existing curricula

- Taught curriculum review

- Collecting feedback
- Responding to feedback

- Taught programme development

- External monitoring
- Developing new programmes
- Revising existing programmes

- Taught course preparation & delivery

- Producing course materials
- Liaison with students

Annex D**Example of an alphabetical referencing system**

| | | |
|-----|-----|-------------------------------|
| AAA | | 'Zero' file |
| ACE | | Arts, culture & environment |
| | ARL | Archaeology |
| | AA | Admissions |
| | AB | Applications |
| | AC | Curriculum |
| | AD | Offers |
| | ARC | Architecture |
| | AA | Admissions |
| | AB | Applications |
| | AC | Curriculum |
| | AD | Offers |
| | FIN | Fine art |
| | MUS | Music |
| EMS | | Economic & management studies |
| | EC | Economics |
| | AA | Admissions |
| | AB | Applications |
| | AC | Curriculum |
| | AD | Offers |
| | BS | Business studies |
| | AA | Admissions |
| | AB | Applications |
| | AC | Curriculum |
| | AD | Offers |
| | ABS | Accounting & business method |

Annex E**Example of a numerical referencing system**

| | | | |
|---|---|---|-------------------------------|
| 0 | 0 | 0 | 'Zero' file |
| 1 | | | Arts, culture & environment |
| | 1 | | Archaeology |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 2 | | Architecture |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 3 | | Fine art |
| | 4 | | Music |
| 2 | | | Economic & management studies |
| | 1 | | Economics |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 2 | | Business studies |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 3 | | Accounting & business method |

Annex F**Example of an alpha-numeric referencing system**

| | | | |
|-----|---|---|-------------------------------|
| AAA | 0 | 0 | 'Zero' file |
| ACE | | | Arts, culture & environment |
| | 1 | | Archaeology |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 2 | | Architecture |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 3 | | Fine art |
| | 4 | | Music |
| EMS | | | Economic & management studies |
| | 1 | | Economics |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 2 | | Business studies |
| | | 1 | Admissions |
| | | 2 | Applications |
| | | 3 | Curriculum |
| | | 4 | Offers |
| | 3 | | Accounting & business method |

Annex H**Example of a keyword referencing system**

| No | Key word | See also | Use for |
|-----------|--------------------|-------------------------------------|---|
| 1 | Accounts | Financial reports; vouchers; audit | |
| 2 | Accreditation | Allocations | |
| 3 | Advertising | Publicity | |
| 4 | Allocations | Accreditation | |
| 5 | Appeals | | |
| 6 | Associations | Teachers' Association | |
| 7 | Audit | Financial reports | |
| 8 | Biology | Sciences | |
| 9 | Budgets | Estimates; financial reports | |
| 10 | Chemistry | Sciences | |
| 11 | Circulars | Notices; instructins | |
| 12 | Codes of conduct | Procedures | |
| 13 | Committees | Working parties | Records relating to more than one committee |
| 14 | Conferences | | Any records not relating to a named conference |
| 15 | Contracts | | |
| 16 | Development | Research; staff training | |
| 17 | Estimates | Budgets; financial reports | |
| 18 | Financial planning | Planning | |
| 19 | Financial reports | Budgets; estimates; accounts; audit | |
| 20 | Grants | Loans | |
| 21 | Institutions | Universities | Any records not relating to a named institution |
| 22 | Lectures | Speeches | |
| 23 | Loans | Grants | |

Taken from Public Record Office, *Records Management Standard: File Creation*

Outline University Filing Scheme

This Annex contains an outline University filing scheme developed using a pragmatic functional model. Scope notes, defining the types of material that should be filed under each section of the scheme, are at Annex J.

The outline scheme is intended to provide you with a starting point in developing a filing scheme for your business area. As it is an outline scheme, to reflect the functions of your business area you will need to delete some of the functions and activities, and add others. If you identify new functions and activities at levels one and two, please notify the Records Management Section (recordsmanagement@ed.ac.uk) so that we can update and improve the outline scheme.

For the most part, the outline scheme covers the first two, or in some cases, three levels of the filing hierarchy. The first level of the hierarchy reflects the top-level functions of the University; these are then broken down into activities to give level two of the scheme. Level three represents a further narrowing down of these activities, while individual files should only be found at level four. You will need to populate the remaining levels of the hierarchy based on your analysis of the functions and activities of your business area. The main guidance on developing a filing scheme tells you how to do this.

The order of the functions and activities listed in the hierarchy is not an indication of their relative importance; functions and activities are simply assigned the next number in the hierarchy as and when they are identified.

This outline scheme is closely based on a JISC study of the records lifecycle (http://www.jisc.ac.uk/index.cfm?name=srl_structure), and on a filing scheme developed for the University's Academic Affairs, Planning and Secretariat, both from Emmerson Consulting.

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|---|---------|--|---------|------------------------|---------|-------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| A | Teaching | A.1 | Teaching Quality & Standards | A.1.1 | Policy | | |
| | | | | A.1.2 | Processes & Procedures | | |
| | | | | A.1.3 | Annual Monitoring | | |
| | | | | A.1.4 | External Examiners | | |
| | | | | A.1.5 | Internal Review | | |
| | | | | A.1.6 | External Review | | |
| | | A.2 | Teaching Policy | | | | |
| | | A.3 | Teaching Procedures | | | | |
| | | A.4 | Taught Curriculum Development | | | | |
| | | A.5 | Taught Curriculum Review | | | | |
| | | A.6 | Taught Programme Development | | | | |
| | | A.7 | Taught Programme Review | | | | |
| | | A.8 | Taught Programme Approval and Accreditation | | | | |
| | | A.9 | Taught Course Development | | | | |
| A.10 | Taught Course Delivery | | | | | | |
| A.11 | Taught Course Review | | | | | | |
| A.12 | Taught Course Assessment | | | | | | |
| A.13 | Taught Student Academic Support | | | | | | |
| B | Research | B.1 | Research Quality & Standards | B.1.1 | Policy | | |
| | | | | B.1.2 | Processes & Procedures | | |
| | | | | B.1.3 | Research Supervisors | | |
| | | | | B.1.4 | Internal Review | | |
| | | | | B.1.5 | External Review | | |
| | | | | B.2.1 | Research Ethics | | |
| | | B.2 | Research Policy Development | | | | |
| | | B.3 | Research Procedures Development | | | | |
| | | B.4 | Research Business Development | | | | |
| | | B.5 | Research Project Development | | | | |
| | | B.6 | Research Project Conduct | | | | |
| | | B.7 | Research Project Management | | | | |
| B.8 | Research Project Dissemination | | | | | | |
| B.9 | Research Exploitation | | | | | | |
| B.10 | Research Student Assessment | | | | | | |
| B.11 | Research Student Academic Supervision & Support | | | | | | |
| C | Collaborative Programmes | C.1 | Collaborative Programmes Quality & Standards | C.1.1 | Policy | | |
| | | | | C.1.2 | Processes & Procedures | | |
| | | | | C.1.3 | Internal Review | | |
| | | | | C.1.4 | External Review | | |
| D | Academic Administration | D.1 | Academic Calendar | | | | |
| | | D.2 | Codes of Practice, Guidelines & Regulations | | | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|---|---------|----------------------------|---------|---------------------------|---------|-------------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| | | D.3 | Tuition Fees | D.3.1 | Fee Remission | | |
| | | D.3.2 | Fee Setting | | | | |
| | | D.3.3 | Fee Collection | | | | |
| | | D.3.4 | Fee Determination | | | | |
| | | D.4 | Student Recruitment | D.4.1 | Prospectus | | |
| | | D.5 | Student Financial Support | D.5.1 | Financial Aid Funds | | |
| | | D.5.2 | Crisis/Hardship Funds | | | | |
| | | D.5.3 | Bursaries | | | | |
| | | D.5.4 | Scholarships & Fellowships | | | | |
| | | D.5.5 | Prizes | | | | |
| | | D.6 | Student Academic Appeals | D.6.1 | Procedures | | |
| | | D.6.2 | Cases | | | | [Appeal] |
| | | D.7 | Student Complaints | D.7.1 | Procedures | | |
| | | D.7.2 | Cases | | | | [Complaint] |
| | | D.8 | Student Discipline | D.8.1 | Procedures | | |
| | | D.8.2 | Cases | | | | [Case name] |
| D.9 | Student Admission | | | | | | |
| D.10 | Student Matriculation | | | | | | |
| D.11 | Student Records Administration | | | | | | |
| D.12 | Student Progress Administration | | | | | | |
| D.13 | Course Administration | | | | | | |
| D.14 | Assessment Administration | | | | | | |
| D.15 | Graduations | | | | | | |
| D.16 | Student Relations Management | | | | | | |
| E | Public Relations | E.1 | Events Management | E.1.1 | Visits | | |
| | | | | E.1.2 | Church Services | | |
| | | | | E.1.3 | Lectures | | |
| | | | | E.1.4 | Ceremonies | | |
| | | | | E.1.5 | Exhibitions | | |
| | | | | E.1.6 | Concerts | | |
| | | E.2 | Donations | E.2.1 | Gifts | | |
| | | | | E.2.2 | Bequests | | |
| E.3 | Honorary Awards | | | | | | |
| E.4 | Public Communication Management | | | | | | |
| F | Strategic Planning & Performance Management | F.1 | Strategic Planning | F.1.1 | Annual Plans | | |
| | | | | F.1.2 | University Strategic Plan | | |
| | | | | F.1.3 | Planning Round Guidance | | |
| F.2 | Strategic Performance Management | | | | | | |
| G | Management Information | G.1 | Datasets | | | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|-------------------------|---------|---|-----------|---|---------|------------------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| | | G.2 | Reports | | | | |
| | | G.3 | Analysis & Reporting Tools | | | | |
| H | Governance & Management | H.1 | Governance Structure | | | | |
| | | H.2 | Statutory Committees | H.2.1 | Statutory Committees Powers and Procedures Administration | | [Committee] |
| | | | | H.2.2 | Statutory Committees Membership | | [Committee] |
| | | | | H.2.3 | Statutory Committees Meetings | | [Committee] |
| | | H.3 | Non-statutory Committees | H.3.1 | Non-statutory Committees Powers and Procedures Administration | | [Committee] |
| | | | | H.3.2 | Non-statutory Committees Membership | | [Committee] |
| | | | | H.3.3 | Non-statutory Committees Meetings | | [Committee] |
| | | H.4 | Senior Officers | H.4.1 | Chancellor | | |
| | | | | H.4.2 | Principal | | |
| | | | | H.4.3 | Rector | | |
| | | | | H.4.4 | Secretary | | |
| J | Legal Affairs | J.1 | Claims | [Ref.] | [Claim] | | |
| | | J.2 | Litigation | [Ref.] | [Case] | | |
| K | Government Relations | K.1 | Scottish Executive | K.1.1 | Communications | | |
| | | | | K.1.2 | Consultations | | |
| | | K.2 | UK Government | K.2.1 | Communications | | |
| | | | | K.2.2 | Consultations | | |
| | | K.3 | New legislation | | | | |
| L | Parliamentary Relations | L.1 | Scottish Parliament | L.1.1 | Communications | | |
| | | | | L.1.2 | Consultations | | |
| | | L.2 | UK Parliament | L.2.1 | Communications | | |
| | | | | L.2.2 | Consultations | | |
| M | HE Regulator Relations | M.1 | Statistical Returns | M.1.1 ... | [Organisation] | | |
| | | M.2 | Communication | M.2.1 ... | [Organisation] | | |
| | | M.3 | Consultation | M.3.1 ... | [Organisation] | | |
| N | Health & Safety | N.1 | Incident Recording, Reporting & Investigation | | | | |
| | | N.2 | Emergency Planning | N.2.1 | Fire | N.2.1.1 | Fire Alarm Tests |
| | | | | | | N.2.1.2 | Fire Drills |
| | | N.3 | Policy | | | | |
| | | N.4 | Procedures | | | | |
| | | N.5 | Audit | | | | |
| | | N.6 | Training | | | | |
| | | N.7 | Hazard Identification and Risk Assessment | | | | |
| | | N.8 | Hazardous Substance Exposure Control | | | | |
| | | N.9 | Health and Safety Inspection | | | | |
| P | Estates | P.1 | Building Management | | | | |
| | | P.2 | Estate Strategy | | | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|-----------------|---------|---|---------|--------------------------------------|---------|---------------------------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| | | P.3 | Estate Plan | | | | |
| | | P.4 | Estate Management Policy | | | | |
| | | P.5 | Estate Management Procedures | | | | |
| | | P.6 | Property Acquisition | | | | |
| | | P.7 | Property Development | | | | |
| | | P.8 | Property Maintenance | | | | |
| | | P.9 | Property Disposal | | | | |
| | | P.10 | Security | | | | |
| | | P.11 | Accommodation Services | | | | |
| | | P.12 | Facility Development | | | | |
| | | P.13 | Facility Maintenance | | | | |
| R | Finance | R.1 | Financial Planning & Budgeting | R.1.1 | Processes & Procedures | | |
| | | | | R.1.2 | Local Planning and Budget Management | | [Business unit] |
| | | R.2 | Investment Management | R.2.1 | University Trusts | | |
| | | R.3 | Finance Strategy | | | | |
| | | R.4 | Policy | | | | |
| | | R.5 | Procedures | | | | |
| | | R.6 | Accounts | | | | |
| | | R.7 | Payroll | | | | |
| | | R.8 | Pensions | | | | |
| | | R.9 | Taxation | | | | |
| S | Human Resources | S.1 | Workforce Training & Development (University Level) | S.1.1 | Policy | | |
| | | | | S.1.2 | Procedures | | |
| | | | | S.1.3 | Course Proposal and Content | | |
| | | | | S.1.4 | Course Evaluation | | |
| | | | | S.1.5 | Couse Administration | | |
| | | | | S.1.6 | Training Programme Development | | |
| | | | | S.1.7 | Training Strategy | | |
| | | S.2 | Workforce Training & Development (Local Level) | | | | |
| | | S.3 | Employee Contract Management | S.3.1 | Policy | | |
| | | | | S.3.2 | Procedures | | |
| | | | | S.3.3 | Case files | | [Name of member of staff] |
| | | S.4 | Recruitment | S.4.1 | Policy | | |
| | | | | S.4.2 | Procedures | | |
| | | | | S.4.3 | Individual Campaigns | | [Name of post] |
| | | S.5 | Remuneration and Reward | | | | |
| | | S.6 | Occupational Health | | | | |
| | | S.7 | Industrial Relations Management | | | | |
| | | S.8 | Pensions Schemes Administration | | | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|------------------------|---------|---|-----------|--|---------|--|
| Code | Title | Code | Title | Code | Title | Code | Title |
| T | Information Resources. | T.1 | Records Management (University-Wide) | T.1.1 | Policy | | |
| | | | | T.1.2 | Processes & Procedures | | |
| | | | | T.1.3 | Guidance | | |
| | | | | T.1.4 | Committees & Working Groups | | |
| | | | | T.1.5 | External Co-ordination & Liaison | | |
| | | T.2 | Records Management <i>[Name of Business Unit]</i> | T.2.1 | Policy | | |
| | | | | T.2.2 | Processes & Procedures | T.2.2.1 | Filing Scheme (Zero File) |
| | | | | T.2.3 | Guidance | | |
| | | | | T.2.4 | Committees & Working Groups | | |
| | | | | T.2.5 | External Co-ordination & Liaison | | |
| | | T.3 | Access to Information | T.3.1 | Policy | | |
| | | | | T.3.2 | Processes & Procedures | | |
| | | | | T.3.3 | Guidance | T.2.3.1 | Queries |
| | | | | | | T.2.3.2 | <i>[Topic]</i> |
| | | | | T.3.4 | <i>[Named Committees and Working Groups]</i> | T.2.4.1 | Committee and Working Group Powers and Procedures Administration |
| | | | | | | T.2.4.2 | Committee and Working Group Membership |
| | | | | | | T.2.4.3 | Committee and Working Group Meetings |
| | | | | T.3.5 | External Co-ordination & Liaison | | |
| | | | | T.3.6 | Notification | | |
| | | T.3.7 | Requests for Information | | | | |
| | | T.3.8 | Publication Scheme | | | | |
| | | T.4 | Publications Management | | | | |
| | | T.5 | Copyright | T.5.1 | Policy | | |
| | | | | T.5.2 | Processes & Procedures | | |
| | | | | T.5.3 | Guidance | | |
| | | | | T.5.4 | Licensing | | |
| | | T.6 | Websites | T.6.1 ... | <i>[Website]</i> | | |
| | | T.7 | Archives | | | | |
| T.8 | University Collections | | | | | | |
| W | Internal Services | W.1 | Planning | W.1.1 | Reception Service | | |
| | | | | W.1.2 | Function Room Management | | |
| | | | | W.1.3 | <i>[Name of service]</i> | | |
| | | W.2 | Performance | W.2.1 | Reception Service | | |
| | | | | W.2.2 | Function Room Management | | |
| | | | | W.2.3 | <i>[Name of service]</i> | | |
| | | W.3 | Policy | W.3.1 | Reception Service | | |
| | | | | W.3.2 | Function Room Management | | |
| | | | | W.3.3 | <i>[Name of service]</i> | | |
| | | W.4 | Processes & Procedures | W.4.1 | Reception Service | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|---|---------|---|---------|---|---------|-------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| | | | | W.4.2 | Function Room Management | | |
| | | | | W.4.3 | [Name of service] | | |
| | | W.5 | Operations | W.5.1 | Reception Service | | |
| | | | | | Function Room Management | | |
| | | | | | [Name of service] | | |
| X | Commercial Services | X.1 | Commercial Service Delivery | X.1.1 | [Name of operation eg Old College Conference and Banqueting] | | |
| | | X.2 | Policy Development | | | | |
| | | X.3 | Procedures Development | | | | |
| | | X.4 | Commercial Service Proposal Development | | [Name of commercial service] | | |
| | | X.5 | Commercial Service Planning | | [Name of commercial service] | | |
| | | X.6 | Commercial Service Promotion | | [Name of commercial service] | | |
| Y | Wholly and Partially Owned Subsidiaries | Y.1 | Subsidiary Formation | Y.1.1 | Name of subsidiary | | |
| | | Y.2 | Subsidiary Management | Y.2.1 | Name of subsidiary | | |
| | | Y.3 | Subsidiary Disposal | Y.3.1 | [Name of subsidiary] | | |
| Z | Media Relations | Z.1 | Media Relations Policy | | | | |
| | | Z.2 | Media Relations Procedures | | | | |
| | | Z.3 | Communications with the Media | | | | |
| AA | HE Sector Relations | AA.1 | Universities Scotland | AA.1.1 | [Name of US Group eg Universities Scotland Secretaries Group] | | |
| AB | Alumni Relations | AB.1 | Strategy Development | | | | |
| | | AB.2 | Policy Development | | | | |
| | | AB.3 | Procedures Development | | | | |
| | | AB.4 | Alumni Communications Management | | | | |
| | | AB.5 | Alumni Event Management | | | | |
| | | AB.6 | General Register | | | | |
| | | AB.7 | Alumni Support | | | | |
| AC | Fundraising | AC.1 | Fundraising Strategy Development | | | | |
| | | AC.2 | Fundraising Planning | | | | |
| | | AC.3 | Fundraising Performance Management | | | | |
| | | AC.4 | Fundraising Policy Development | | | | |
| | | AC.5 | Fundraising Procedures Development | | | | |
| | | AC.6 | Fundraising Campaign Management | | | | |
| | | AC.7 | Donations | | | | |
| AD | Risk Management | AD.1 | Risk Management Strategy | | | | |
| | | AD.2 | Risk Management Planning | | | | |
| | | AD.3 | Risk Management Identification and Assessment | | | | |
| | | AD.4 | Business Continuity Planning | | | | |
| AE | Audit | AE.1 | Audit Strategy | | | | |
| | | AE.2 | Audit Planning | | | | |
| | | AE.3 | Audit Procedures | | | | |
| | | AE.4 | Individual Audits | | | | |
| AF | Edinburgh University Students Association | AF.1 | Funding | | | | |

| LEVEL 1 | | LEVEL 2 | | LEVEL 3 | | Level 4 | |
|---------|---|---------|-------------------------------|---------|-------|---------|-------|
| Code | Title | Code | Title | Code | Title | Code | Title |
| AG | Organisational Hierarchy | AG.1 | Organisational change | | | | |
| AH | Intellectual Policy Exploitation | AH.1 | Policy | | | | |
| | | AH.2 | Procedures | | | | |
| | | AH.3 | Patent Administration | | | | |
| | | AH.4 | Copyright Administration | | | | |
| AI | Information and Communications Technology (ICT) | AI.1 | Strategy | | | | |
| | | AI.2 | Planning | | | | |
| | | AI.3 | Systems Development | | | | |
| | | AI.4 | Operations Management | | | | |
| | | AI.5 | Security | | | | |
| | | AI.6 | Infrastructure | | | | |
| | | AI.7 | User Support | | | | |
| AJ | Furniture & Equipment | AJ.1 | Policy | | | | |
| | | AJ.2 | Procedures | | | | |
| | | AJ.3 | Selection | | | | |
| | | AJ.4 | Storage | | | | |
| | | AJ.5 | Inspection/testing | | | | |
| | | AJ.6 | Maintenance | | | | |
| | | AJ.7 | Disposal | | | | |
| AK | Insurance | AK.1 | Policies | | | | |
| | | AK.2 | Individual Insurance Policies | | | | |
| | | AK.3 | Liaison with Insurers | | | | |
| | | AK.4 | Claims | | | | |
| AL | Procurement | AL.1 | Strategy | | | | |
| | | AL.2 | Procedures | | | | |
| | | AL.3 | Tendering | | | | |
| | | AL.4 | Contract Management | | | | |
| | | AL.5 | Purchasing Administration | | | | |
| AM | Library Services | | | | | | |
| AN | Publishing | AN.1 | Individual Publications | | | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|---|--|--|
| A | TEACHING | The function of providing teaching to deliver the University's taught programmes. | | |
| A.1 | Teaching Quality & Standards | The activities involved in managing the overall quality and standards of teaching and taught programmes in the University. | | |
| A.1.1 | Policy | The activities involved in establishing the University's teaching policies. | | |
| A.1.2 | Processes and Procedures | The activities involved in developing the University's teaching procedures and processes. | | |
| A.1.3 | Annual Monitoring | The activities involved in monitoring the University's teaching on an annual basis. | | |
| A.1.4 | External Examiners | The activities involved in assuring the quality of the University's teaching through the use of external examiners. | | |
| A.1.5 | Internal Review | The activities involved in conducting internal reviews of the quality of the University's teaching. | | |
| A.1.6 | External Review | The activities involved in participating in external reviews of the quality of the University's teaching. | | |
| A.1.7 | External accreditation | The activities involved in obtaining external accreditation for the University's taught programmes from professional, statutory or other accreditation bodies. These include: applying for accreditation; preparing for accreditation visits; responding to accreditation reports, including preparation of action plans to meet any accreditation requirements. | | |
| A.2 | Teaching Policy Development | The activities involved in developing and establishing the University's teaching policies. Activities include: identifying policy requirements; developing policy proposals; consulting on proposals; reviewing and revising proposals in the light of comments received; obtaining formal endorsement of proposed policy; disseminating agreed policy; reviewing policy on an ongoing basis. | | |
| A.3 | Teaching Procedures Development | The activities involved in developing and establishing the University's teaching procedures and processes. | | |
| A.4 | Taught Curriculum Development | The activities involved in developing the University's taught curriculum | | |
| A.5 | Taught Curriculum Review | The activities involved in reviewing the University's taught curriculum to inform ongoing curriculum development. Activities include: collecting, reviewing and responding to feedback on the curriculum from staff, students, external examiners and others; reviewing and responding to the results of internal and external reviews of the curriculum, including preparing and implementing action plans to address issues raised. | | |
| A.6 | Taught Programme Development | The activities involved in developing the University's taught programmes. Activities include: developing new programmes, re-developing existing programmes and withdrawing programmes. | | |
| A.7 | Taught Programme Review | The activities involved in conducting reviews of the University's taught programmes to assess quality and standards and to inform future programme development. Activities include: collecting, reviewing and responding to feedback on programmes from staff, students, external examiners and others. | | |
| A.8 | Taught Programme Approval and Accreditation | The activities involved in obtaining approval and/or accreditation for the University's taught programmes from professional, statutory or other accreditation bodies. Activities include: applying for accreditation; preparing for accreditation visits; responding to accreditation reports, including | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|------|---------------------------------|--|--|--|
| A.9 | Taught Course Development | The activities involved developing the University's taught courses. Activities include: identifying market needs for new courses; reviewing and responding to internal and external and internal reviews; developing new courses; redeveloping existing courses and withdrawing courses. | | |
| A.10 | Taught Course Delivery | The activities involved in delivering teaching and supporting learning through lectures, tutorials, seminars, practical classes, ICT packages, fieldwork, work placements or other methods. Activities include: making course materials available to students; preparing for and conducting teaching events; dealing with students directly and indirectly to resolve issues and problems arising from teaching events. | | |
| A.11 | Taught Course Review | The activities involved in reviewing courses to inform ongoing course development. Activities include: collecting and analysing student numbers and other course statistics; collecting, reviewing and responding to feedback on courses from staff, students, external examiners and others, including preparing and implementing action plans to address issues raised. | | |
| A.12 | Taught Course Assessment | The activities involved in setting and marking/grading course assessments. Activities include: setting assessments; marking/grading assessments; reviewing marks awarded in response to notifications of mitigating circumstances; conducting examiners' meetings; determining awards and classifications. For servicing of examiners' meetings, use 3.16 Student Administration – Assessment Administration. For handling of appeals against the results of assessments, including reviewing of original results, use 3.13 Student Administration – Student Academic Appeal Handling. For handling of formal complaints by students about academic matters other than the results of assessments, use 3.14 Student Administration – Student Complaint Handling. | | |
| A.13 | Taught Student Academic Support | The activities involved in monitoring individual students' academic progress and providing feedback, guidance and support. Activities include: providing systematic feedback to students on their academic progress; providing students with general academic advice and guidance; providing advice and guidance to students whose progress is unsatisfactory; providing advice and guidance to students who are considering suspending or terminating their studies; determining eligibility of students to resubmit coursework or resit examinations. For conducting formal proceedings against | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---------------------------------|---|--|--|
| B | RESEARCH | | | |
| B.1 | Research Quality and Standards | The activities involved in managing the overall quality and standards of research and research programmes in the University. Activities include: compiling the University's input to the Research Assessment Exercise (RAE) and responding to the results. | | |
| B.1.1 | Policy | The activities involved in developing the University's research policies. | | |
| B.1.2 | Processes and Procedures | The activities involved in developing the University's research processes and procedures. | | |
| B.1.3 | Research Supervisors | The activities involved in ensuring the quality of student research through research supervisors. | | |
| B.1.4 | Internal Review | The activities involved in conducting internal reviews of the quality of the University's research. | | |
| B.1.5 | External Review | The activities involved in participating in external reviews of the quality of the University's research. | | |
| B.2 | Research Policy Development | The activities involved in developing the University of Edinburgh's research policies. | | |
| B.3 | Research Procedures Development | The activities involved in developing the University of Edinburgh's research procedures. | | |
| B.4 | Research Business Development | The activities involved in developing new research opportunities. Activities include: liaising with research sponsors, identifying research funding opportunities and opportunities for collaboration and partnership to undertake research. | | |
| B.5 | Research Project Development | The activities involved in developing ideas for research into formal project proposals. Activities include: generating, capturing and developing ideas for research projects; defining research aims and objectives; designing research methods and tools; identifying and addressing legal, compliance and ethical issues relevant to proposed projects; determining requirements for project resources; preparing formal project proposals; obtaining University of Edinburgh approval for project proposals; obtaining approval and funding for proposed projects from the University of Edinburgh or from external sources through grants or other awards or contracts. | | |
| B.6 | Research Project Conduct | The activities involved in conducting research. Activities will vary according to the nature of the research, but are likely to include: collecting, collating and analysing data; generating and presenting results. | | |

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| REF. | CATEGORY | SCOPE NOTE | | |
|------|--------------------------------|---|--|--|
| B.7 | Research Project Management | The activities involved in managing the conduct and progress of research projects from formal initiation to formal completion. Activities include: monitoring and tracking progress; managing project staff; managing project budgets; managing procurement of equipment, consumables and third party services; managing project data and records; producing reports for project stakeholders; ensuring compliance with institutional research policies and procedures; ensuring compliance with legislation, standards and procedures; ensuring compliance with the conditions of any licences or registrations; ensuring compliance with the terms and conditions of grants or other funding awards; ensuring compliance with the terms of sponsor contracts by all parties. For recruiting research students, use 3.6 Student Administration – Student Recruitment. For recruiting contract research staff, use 29.7 Personnel Management – Workforce Recruitment. | | |
| B.8 | Research Project Dissemination | The activities involved in publicising and disseminating research results. Activities include: preparing announcements of research results; preparing papers for publication, audio-visual presentations, demonstrations or other means of disseminating research results; liaising with specialist staff regarding the production and distribution of publications and the organisation of events. For designing, producing and distributing publications, use 14.6 Publishing – Publication Management. | | |
| B.9 | Research Exploitation | The activities involved in developing the commercial potential of research results. Activities include: identifying new intellectual property and liaising with specialist staff to register patents and designs; identifying opportunities for commercial collaboration/partnerships and liaising with specialist staff to establish spin-out companies to develop commercial products. For protecting new intellectual property, use 31.6 Intellectual Property | | |
| B.10 | Research Student Assessment | The activities involved in conducting formal assessments of work undertaken by research students. Activities include: conducting assessments; grading assessments; conducting examiners' meetings; determining awards and classifications. For servicing of examiners' meetings, use 3.16 Student Administration – Assessment Administration. For handling of appeals against the results of assessments, including reviewing of original results, use 3.13 Student Administration – Student Academic Appeal Handling. For handling of formal complaints by students about academic matters other than the results of assessments, use 3.14 Student Administration – Student Complaint Handling. | | |
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Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|---|--|--|
| B.11 | Research Student Academic Supervision and Support | The activities involved in supervising and supporting work undertaken by research students, and monitoring progress. Activities include: appointing supervisors for research students; providing advice to research students on the selection of research subjects; providing advice and guidance to research students in the course of their work; providing advice and guidance to research students regarding alterations to periods of study; providing advice and guidance to research students whose progress is unsatisfactory; providing advice and guidance to research students who are considering suspending or terminating their studies; providing training for research students in research-related skills and providing other development opportunities such as seminars and events. | | |
| C | COLLABORATIVE PROGRAMMES | The function of providing teaching as part of a collaborative taught programme. | | |
| C.1 | Collaborative Programmes Quality and Standards | The activities involved in managing the overall quality and standards of taught collaborative programmes. | | |
| C.1.1 | Policy | The activities involved in establishing quality management policies for collaborative programmes. | | |
| C.1.2 | Processes and Procedures | The activities involved in establishing processes and procedures for the management of quality in collaborative programmes. | | |
| C.1.3 | Internal Review | The activities involved in conducting internal reviews of the quality of the University's collaborative programmes. | | |
| C.1.4 | External Review | The activities involved in participating in external reviews of the quality of the University's collaborative programmes. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|---|--|--|
| D | ACADEMIC ADMINISTRATION | The function of providing administrative support for the University's academic work. | | |
| D.1 | Academic Calendar | The activities involved in compiling the University's academic calendar. | | |
| D.2 | Codes of Practice, Guidelines and Regulations | The activities involved in preparing the University's academic codes of practice, guidelines and regulations. | | |
| D.3 | Tuition Fees | The activities involved in determining the University's fees policy and providing administrative support for the implementation of the policy. | | |
| D.3.1 | Fee Remission | The activities involved in processing applications for remission of fees from students who are University employees. | | |
| D.3.2 | Fee setting | The activities involved in setting the level of tuition fees. | | |
| D.3.3 | Fee collection | The activities involved in collecting tuition fees. | | |
| D.3.4 | Fee determination | The activities involved in determining the appropriate fee for particular circumstances. | | |
| D.4 | Student Recruitment | The activities involved in recruiting students to the University. | | |
| D.4.1 | Prospectus | The activities involved in compiling the University's prospectuses for undergraduate and postgraduate study. | | |
| D.5 | Student Financial Support | The activities involved in administering support funds available to students of the University. | | |
| D.5.1 | Financial Aid Funds | The activities involved in administering financial aid funds available to students of the University. | | |
| D.5.2 | Crisis/Hardship Funds | The activities involved in administering crisis/hardship funds available to students of the University. | | |
| D.5.3 | Bursaries | The activities involved in administering bursaries available to students of the University. | | |
| D.5.4 | Scholarships and Fellowships | The activities involved in administering scholarships and fellowships available to students of the University. | | |
| D.5.5 | Prizes | The activities involved in administering prizes available to students of the University. | | |
| D.6 | Student Academic Appeals | The activities involved in handling appeals by students against the results of assessments. | | |
| D.6.1 | Procedures | The activities involved in developing procedures for the administration of student appeals. | | |
| D.6.2 | Cases | The activities involved in handling individual appeals cases. | | |
| D.7 | Student Complaints | The activities involved in handling formal complaints by students against the University. | | |
| D.7.1 | Procedures | The activities involved in developing procedures for the administration of student complaints. | | |
| D.7.2 | Cases | The activities involved in handling individual complaints cases. | | |
| D.8 | Student Discipline | The activities involved in conducting disciplinary proceedings against students for breaches of the 's academic regulations (e.g. cheating in examinations) or for misconduct (e.g. improper use of 's computer systems). | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-------|---------------------------------|--|--|--|
| D.8.1 | Procedures | The activities involved in developing procedures for the administration of student discipline. | | |
| D.8.2 | Cases | The activities involved in handling individual disciplinary cases. | | |
| D.9 | Student Admission | The activities involved in admitting students to the . Activities include: determining and applying admissions criteria; handling applications for admission; administering the clearing process; managing overall student numbers. | | |
| D.10 | Student Matriculation | The activities involved in registering students on taught or research programmes. | | |
| D.11 | Student Records Administration | The activities involved in: compiling and maintaining complete and accurate records of the progress and conduct of students throughout their relationship with the ; and making students' records, and aggregated student data and analyses available to departments to support other al activities. | | |
| D.12 | Student Progress Administration | The activities involved in tracking the academic progress of students, administering changes to programmes of study and ensuring that correct procedures are followed. Activities include: identifying and monitoring unsatisfactory academic performance and progress; administering transfers to new programmes and changes of courses within programmes; verifying that students have satisfied al regulations for awards; administering withdrawals from the ; administering terminations of programmes. | | |
| D.13 | Course Administration | The activities involved in administering the delivery of courses. Activities include: managing the use of teaching space; timetabling teaching; compiling class and tutorial lists; drawing up schedules for submission, marking and return of assessed work, and monitoring compliance with these schedules; monitoring students' attendance; monitoring students' submission of coursework; organising required work placements; issuing | | |
| D.14 | Assessment Administration | The activities involved in administering the conduct of assessments. Activities include: determining assessment and examination rules and procedures; appointing examiners; liaising with examiners on administrative matters; appointing and training examination invigilators; controlling examination materials; timetabling examinations; organising examination facilities; organising facilities and measures to accommodate students with special needs; monitoring attendance at examinations and reporting mitigating circumstances and absences to academic departments; | | |
| D.15 | Graduations | The activities involved in organising awards ceremonies. Activities include: timetabling ceremonies; organising facilities and ticketing for ceremonies; organising the design and production of programmes for ceremonies; organising the production of awards certificates; sending awards certificates to students who do not attend awards ceremonies. For organising honorary awards ceremonies, use Public Relations – Honorary Awards. | | |
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| REF. | CATEGORY | SCOPE NOTE | | |
|------|------------------------------|---|--|--|
| D.16 | Student Relations Management | <p>The activities involved in managing the University's relationship with its student body. Activities include: developing and implementing communication mechanisms to ensure that students are properly informed about the nature of their relationship with the institution, their rights and responsibilities and the support available to them; establishing and operating staff-student liaison committees at department, school or faculty level; organising the election and/or appointment of student representatives to the institution's governing body and executive committees; training elected student representatives to fulfil their roles effectively; conducting student satisfaction surveys to assess students' overall experiences of institutions; operating student suggestions schemes. For consulting students in connection with reviews of taught programmes or courses, use Teaching – Taught Programme Review or Teaching - Taught Course Review. For consulting students in connection with internal or external reviews of overall research performance or research quality and standards, use Research – Research Performance Management or Research Quality & Standards Management.</p> | | |
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| REF. | CATEGORY | SCOPE NOTE | | |
|----------|------------------------------------|---|--|--|
| E | PUBLIC RELATIONS MANAGEMENT | The function of raising and maintaining the University's public profile and of managing its relationships with the public. | | |
| E.1 | Events Management | The activities involved in organising events and co-ordinating the University's input to, or participation in, events organised by others to enhance the University's public profile. Activities include, as required: planning programmes; planning guest lists, issuing invitations and monitoring responses and attendance; organising ticketing; making security arrangements; organising transport and parking; organising catering. | | |
| E.1.1 | Visits | The activities involved in organising official visits to the University. | | |
| E.1.2 | Church Services | The activities involved in organising official University church services. | | |
| E.1.3 | Lectures | The activities involved in organising public lectures. | | |
| E.1.4 | Ceremonies | The activities involved in organising official public ceremonies. | | |
| E.1.5 | Exhibitions | The activities involved in organising University exhibitions. | | |
| E.1.6 | Concerts | The activities involved in organising University concerts. | | |
| E.2 | Donations | The activities involved in managing the process of donating money, property or other items to third parties (other than in response to fundraising campaigns) and the institution's ongoing relationship with the organisations or individuals concerned. | | |
| E.3 | Honorary Awards | The activities involved in conferring honorary awards and organising the presentation of these awards. | | |
| E.4 | Public Communication Management | The activities involved in managing the institution's communications with groups or individual members of the public. Activities include: handling enquiries, suggestions and complaints from the public about the institution's policies, activities or conduct, or the activities or conduct of its staff. | | |

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| REF. | CATEGORY | SCOPE NOTE | | |
|-------|--|--|--|--|
| F | STRATEGIC PLANNING & PERFORMANCE MANAGEMENT | The function of developing and establishing the University's overall strategy, developing its strategic plan and managing its overall performance against the plan. | | |
| F.1 | Strategic Planning | The activities involved in determining the University's strategy and the means of achieving it. | | |
| F.1.1 | Annual Plans | The activities involved in developing annual plans. | | |
| F.1.2 | University Strategic Plan | The activities involved in developing the University's strategic plan. | | |
| F.1.3 | Planning Round Guidance | The activities involved in compiling and disseminating the University's planning round guidance. | | |
| F.2 | Strategic Performance Management | The activities involved in monitoring the University's overall performance against its strategic plan. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|-------------------------------|---|--|--|
| G | MANAGEMENT INFORMATION | The function of producing and disseminating management information to support University management processes. | | |
| G.1 | Datasets | The activities involved in collecting, analysing and maintaining management information datasets. <i>Data</i> may be University of Edinburgh data or data from external sources. | | |
| G.2 | Reports | The activities involved in producing and disseminating management information reports. <i>Reports</i> includes both standard analyses of management information and responses to ad hoc queries for management information. | | |
| G.3 | Analysis and Reporting Tools | The activities involved in developing management information analysis and reporting tools for University staff and providing assistance and support to staff to use them effectively. | | |
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University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|--|--|--|
| H | GOVERNANCE & MANAGEMENT | The function of developing the University's governance structure and rules, and of conducting University business in accordance with the established structure and rules. | | |
| H.1 | Governance Structure | The activities involved in developing and establishing the University's governance structure and rules. | | |
| H.2 | Statutory Committees | The activities involved in establishing and servicing the University's statutory committees. | | |
| H.2.1 | Statutory Committees Powers & Procedures Administration | The activities involved in developing and establishing the formal procedures for the conduct of the work of the University's statutory bodies. | | |
| H.2.2 | Statutory Committees Membership | The activities involved in appointing, electing or otherwise designating members of the University's statutory committees and providing training for members. | | |
| H.2.3 | Statutory Committees Meetings | Minutes, papers and agendas | | |
| H.3 | Non-Statutory Committees | The activities involved in establishing and servicing the University's non-statutory committees. | | |
| H.3.1 | Non-statutory Committees Powers & Procedures Administration | The activities involved in developing and establishing the formal procedures for the conduct of the work of the University's statutory bodies. | | |
| H.3.2 | Non-statutory Committees Membership | The activities involved in appointing, electing or otherwise designating members of the University's non-statutory committees and providing training for members. | | |
| H.3.3 | Non-statutory Committees Meetings | Minutes, papers and agendas | | |
| H.4 | Senior Officers | The activities involved in appointing and designating the University's senior officers. | | |
| H.4.1 | Chancellor | The activities involved in appointing and designating the University Chancellor. | | |
| H.4.2 | Principal | The activities involved in appointing and designating the University Principal. | | |
| H.4.3 | Rector | The activities involved in appointing and designating the University Rector. | | |
| H.4.4 | Secretary | The activities involved in appointing and designating the University Secretary. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|----------------------|---|--|--|
| J | LEGAL AFFAIRS | The function of managing the University's legal affairs. | | |
| J.1 | Claims | The activities involved in handling claims by or against the University which do not proceed to litigation or settlement by an agreement. | | |
| J.2 | Litigation | The activities involved in managing legal proceedings between the University and other parties. | | |
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University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|-----------------------------|--|--|--|
| K | GOVERNMENT RELATIONS | The function of managing the University's overall relationship with the UK government and the Scottish Executive. | | |
| K.1 | Scottish Executive | The function of managing the University's overall relationship with the Scottish Executive. | | |
| K.1.1 | Communications | The activities involved in communicating with the Scottish Executive. | | |
| K.1.2 | Consultations | The activities involved in compiling the University's formal responses to consultations conducted by the Scottish Executive. | | |
| K.2 | UK Government | The function of managing the University's overall relationship with the UK government. | | |
| K.2.1 | Communications | The activities involved in communicating with the UK government. | | |
| K.2.2 | Consultations | The activities involved in compiling the University's formal responses to consultations conducted by the UK government. | | |
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University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-------|-------------------------|---|--|--|
| L | PARLIAMENTARY RELATIONS | The function of managing the University's overall relationship with the UK Parliament and the Scottish Parliament. | | |
| L.1 | Scottish Parliament | The function of managing the University's overall relationship with the Scottish Parliament. | | |
| L.1.1 | Communications | The activities involved in communicating with the Scottish Parliament. | | |
| L.1.2 | Consultations | The activities involved in compiling the University's formal responses to consultations conducted by the Scottish Parliament. | | |
| L.2 | UK Parliament | The function of managing the University's overall relationship with the UK Parliament. | | |
| L.2.1 | Communications | The activities involved in communicating with the UK Parliament. | | |
| L.2.2 | Consultations | The activities involved in compiling the University's formal responses to consultations conducted by the UK Parliament. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|-------------------------------|--|--|--|
| M | HE REGULATOR RELATIONS | The function of managing the University's overall relationship with HE regulatory bodies. | | |
| M.1 | Statistical Returns | The activities involved in compiling and submitting the University's statistical returns to HE regulators. | | |
| M.2 | Communication | The activities involved in managing formal communications between the University and HE regulatory bodies. | | |
| M.3 | Consultation | The activities involved in compiling the University's formal responses to consultations conducted by HE regulatory bodies. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|--|--|--|
| N | HEALTH & SAFETY MANAGEMENT | The function of managing the impact of the University's operations on the health and safety of its staff, students and others, and of ensuring compliance with health and safety legislation. | | |
| N.1 | Incident Recording, Reporting & Investigation | The activities involved in recording and investigating accidents, dangerous occurrences and outbreaks of disease on University premises, and in reporting reportable incidents to the enforcing authorities. | | |
| N.2 | Emergency Planning | The activities involved in planning for the handling of health and safety incidents on University premises which require the involvement of specially trained staff and/or the public emergency services. | | |
| N.2.1 | Fire | The activities involved in planning procedures for evacuating University premises in the event of fire, and in conducting fire drills to test these procedures. | | |
| N.2.1.1 | Fire alarm tests | The activities involved in testing fire alarms. | | |
| N.2.1.2 | Fire Drills | The activities involved in conducting fire drills. | | |
| N.3 | Policy | The activities involved in developing and establishing the University's health and safety management policies. | | |
| N.4 | Procedures | The activities involved in developing the University's health and safety management procedures. | | |
| N.5 | Audit | The activities involved in conducting health and safety audits of the University's activities and operations. Activities include: planning audits; conducting audit investigations; writing and delivering audit reports; reviewing and responding to audit reports, including drawing up action plans to address issues raised. | | |
| N.6 | Training | The activities involved in providing information, instruction and training on health and safety matters to staff, students and others who use the University's facilities | | |
| N.7 | Hazard Identification and Risk Assessment | The activities involved in identifying health and safety hazards in the University's premises or caused by its operations, conducting risk assessments to establish the likelihood and consequences of those risks and implementing appropriate measures to eliminate the risks or to mitigate their consequences. | | |
| N.8 | Hazardous Substance Exposure Control | The activities involved in controlling the exposure of staff, students and others to hazardous substances on the University's premises or in other places affected by its operations. | | |
| N.9 | Health and Safety Inspection | The activities involved in conducting health and safety inspections of the University's premises and operations. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|------|------------------------------|--|--|--|
| P | ESTATES | The function of managing the University's real property. | | |
| P.1 | Building Management | The activities involved in managing a particular building. | | |
| P.2 | Estate Strategy | The activities involved in developing the University's estate strategy. | | |
| P.3 | Estate Plan | The activities involved in formulating plans to implement the University's estate strategy. | | |
| P.4 | Estate Management Policy | The activities involved in developing the University's estate management policies. | | |
| P.5 | Estate Management Procedures | The activities involved in developing procedures for managing the estate. | | |
| P.6 | Property Acquisition | The activities involved in acquiring ownership or use of properties. | | |
| P.7 | Property Development | The activities involved in developing properties to meet changing University needs or to comply with changing statutory or regulatory requirements. Developing properties includes: changing the use of properties; constructing new properties; undertaking conservation or restoration work on existing properties; extending, altering and reconfiguring existing properties; decontaminating land. Activities include: undertaking feasibility studies and consultations; developing specifications; drawing up building plans; obtaining planning consents; carrying out inspections of completed works and obtaining necessary certifications. | | |
| P.8 | Property Maintenance | The activities involved in maintaining properties. Activities include: conducting general inspections of properties; carrying out routine maintenance on properties; carrying out repairs to properties; preventing and exterminating pests from properties; carrying out inspections to determine the presence of hazardous materials in buildings or on land; removing hazardous materials from properties; undertaking 'making good' works prior to disposal of properties. | | |
| P.9 | Property Disposal | The activities involved in disposing of properties no longer required by the University. Activities include: obtaining valuations; undertaking surveys. | | |
| P.10 | Security | The activities involved in planning, implementing and reviewing measures to protect properties from accidental or intentional damage and to prevent unauthorised access. Activities include: conducting security inspections; conducting routine surveillance operations (e.g. guarding, patrol and CCTV surveillance) to prevent and detect unauthorised access to properties; responding to, and investigating, security breaches or incidents. | | |
| P.11 | Accommodation Services | The activities involved in managing student accommodation. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|------|----------------------|---|--|--|
| P.12 | Facility Development | The activities involved in designing and fitting-out facilities within buildings. Facilities include offices, teaching rooms, laboratories, workshops, storage facilities, grounds and common areas. Activities include: specifying facilities requirements; drawing up interior design schemes; decorating; laying floor coverings; installing fixtures and fittings (e.g. lighting, floor coverings, internal decoration, furniture and furnishings) | | |
| P.13 | Facility Maintenance | The activities involved in maintaining the internal decoration, fixtures and fittings in facilities. Activities include: inspecting facilities; carrying out planned preventive maintenance works; carrying out repairs. | | |
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University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|--------------------------------|--|--|--|
| R | FINANCE | The function of managing the University's financial resources. | | |
| R.1 | Financial Planning & Budgeting | The activities involved in forecasting the University's annual income, planning the utilisation of these resources and setting and managing budgets. Activities include: setting University, College, School and departmental budgets; monitoring actual against planned expenditure; adjusting budgets in-year. | | |
| R.1.1 | Processes and Procedures | The processes and procedures for setting and managing budgets. | | |
| R.1.2 | Local Planning and Budgeting | The activities involved in managing a particular business area's budget. | | |
| R.2 | Investment Management | The activities involved in managing the University's financial investment portfolio. Activities include: servicing and supporting the work of the Trustees; managing the University's relationship with its fund managers. | | |
| R.2.1 | University Trusts | The activities involved in managing the University's trusts. | | |
| R.3 | Finance Strategy | The activities involved in developing the University's finance strategy. | | |
| R.4 | Policy | The activities involved in developing the University's finance management policies. | | |
| R.5 | Procedures | The activities involved in developing the University's finance management procedures. | | |
| R.6 | Accounts | The activities involved in processing, recording, classifying and analysing information on financial transactions between the University and third parties, and between the University and its employees. Activities include: accounting for income; accounting for expenditure; accounting for payments (other than salaries) to employees; accounting for payments to honorary appointees and other third parties. | | |
| R.7 | Payroll | The activities involved in administering the University's employee payroll. Activities include: processing statutory payroll deductions; authorising and processing non-statutory and elective payroll deductions; transferring payroll payments; notifying employees of their employment-related tax liabilities. | | |
| R.8 | Pensions | The activities involved in administering the University's contributions to pensions schemes for employees. | | |
| R.9 | Taxation | The activities involved in managing the University's tax affairs. Activities include preparing and filing tax returns. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|---|---|--|--|
| S | HUMAN RESOURCES | The function of managing the University's workforce as a whole and its relationship with individual employees. | | |
| S.1 | Workforce Training & Development (University Level) | The activities involved in training and developing the University's workforce. | | |
| S.1.1 | Policy | The activities involved in developing training and development policy. | | |
| S.1.2 | Procedures | The activities involved in developing training and development procedures. | | |
| S.1.3 | Course Proposal and Content | The activities involved in developing individual training courses. | | |
| S.1.4 | Course Evaluation | The activities involved in evaluating individual training courses. | | |
| S.1.5 | Course Administration | The activities involved in organising individual training courses. | | |
| S.2 | Workforce Training and Development (Local Level) | The activities involved in training and developing the staff of a particular part of the University. | | |
| S.3 | Employee Contract Management | The management of the University's contractual relationships with individual employees. Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees. | | |
| S.3.1 | Policy | The activities involved in developing the University's HR policies. | | |
| S.3.2 | Procedures | The activities involved in developing the University's HR procedures. | | |
| S.4 | Recruitment | The activities involved in recruiting employees to fill new or vacant jobs. Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited employment applications. | | |
| S.4.1 | Policy | The activities involved in developing the University's recruitment policies. | | |
| S.4.2 | Procedures | The activities involved in developing the University's recruitment procedures. | | |
| S.4.3 | Individual Campaigns | The activities involved in recruiting to fill a particular vacancy. | | |
| S.5 | Remuneration and Reward | The activities involved in developing and implementing workforce remuneration structures and reward schemes. | | |
| S.6 | Occupational Health | The activities involved in providing occupational health services for staff. | | |
| S.7 | Industrial Relations Management | The activities involved in managing the University's relationships with trade unions and professional bodies representing its workforce. Activities include: managing recognition and de-recognition of trade unions; managing communication and consultation with bodies conducting collective bargaining on behalf of the workforce. | | |
| S.8 | Pensions Schemes Administration | The activities involved in administering the University's involvement with staff pension schemes. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
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University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|---------|---|---|--|--|
| T | INFORMATION RESOURCES | The function of managing the information resources which are generated or acquired by the University in the course of its work or to support its work. | | |
| T.1 | Records Management (University wide) | The activities involved in managing the University's business records at a University-wide level. | | |
| T.1.1 | Policy | The activities involved in developing and maintaining the University's records management framework | | |
| T.1.2 | Processes and Procedures | The activities involved in developing and maintaining records management procedures. | | |
| T.1.3 | Guidance | The activities involved in providing guidance on records management issues. | | |
| T.1.4 | Committees and Working Groups | The activities involved in establishing and servicing records management committees and working groups. | | |
| T.1.5 | External Co-ordination & Liaison | The activities involved in representing the University externally on records management groups. | | |
| T.2 | Records Management <i>[Name of business unit]</i> | The activities involved in managing the University's business records in an individual business unit | | |
| T.2.1 | Policy | The activities involved in developing and maintaining the University's data protection and freedom of information policies. | | |
| T.2.2 | Processes and Procedures | The activities involved in developing and maintaining data protection and freedom of information procedures. | | |
| T.2.3 | Guidance | The activities involved in providing guidance on data protection and freedom of information issues. | | |
| T.2.3.1 | Queries | The activities involved in responding to individual queries on data protection and freedom of information topics. | | |
| T.2.4 | <i>[Named Committees and Working Groups]</i> | The activities involved in establishing and servicing freedom of information and data protection committees and working groups. | | |
| T.2.5 | External Co-ordination & Liaison | The activities involved in representing the University externally on freedom of information and data protection issues. | | |
| T.2.6 | Notification | The activities involved in fulfilling the University's obligations to notify the Information Commissioner of its activities as a data controller. | | |
| T.2.7 | Requests for information | The activities involved in servicing individual requests for information under the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998. | | |
| T.3 | Publications Management | The activities involved in managing collections of publications acquired or assembled by the University to support its work. Activities include: reviewing and selecting publications to acquire by purchase, subscription or loan; classifying, cataloguing, indexing and maintaining publications; storing publications; specifying and, where appropriate, carrying out preventive or remedial conservation work on publications; monitoring the use of publications, and alternative sources of supply, to determine whether they should continue to be purchased, or whether items already held should be retained; organising disposal of redundant publications. | | |
| T.4 | Copyright | The activities involved in managing the University's compliance with the Copyright, Designs and Patents Act 1988. | | |
| T.4.1 | Policy | The activities involved in establishing the University's policies for compliance with the Copyright, Designs and Patents Act 1988. | | |
| T.4.2 | Processes and Procedures | The activities involved in developing processes and procedures for compliance with the Copyright, Designs and Patents Act 1988. | | |
| T.4.3 | Guidance | The activities involved in providing guidance on the Copyright, Designs and Patents Act 1988. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-------|------------------------|---|--|--|
| T.4.4 | Licensing | The activities involved in obtaining and maintaining licences for the use of materials in which the copyright is not owned by the University. Activities include: applying for licences; renewing licences; participating in statistical surveys undertaken by licensing organisations; administering payments to licensing organisations; assisting with inspections by licensing organisations. | | |
| T.5 | Websites | The activities involved in developing and managing University websites. Activities include: designing websites; developing policy on their access, content and use; producing, editing and publishing website content; monitoring website use; setting access permissions. | | |
| T.6 | Archives | The activities involved in managing the University's own archives. Activities include: acquiring archives; organising, classifying, describing and indexing archives; storing archives; carrying out preservation and conservation work on archives; promoting archives as a corporate asset and research resource; de-accessioning and disposing of archives that are no longer considered suitable for preservation by the University. | | |
| T.7 | University Collections | The activities involved in managing collections of artefacts, specimens, manuscripts or other items owned or otherwise held by the University. Activities include: selecting and acquiring collections by purchase; negotiating the acquisition of collections by donation or deposit; organising, classifying, describing and indexing collections; storing collections; carrying out preventative or remedial conservation work on collections; promoting collections as a corporate asset and as a research resource for staff, students and others; de-accessioning and organising disposal of collections that are no longer considered suitable for preservation by the University. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|----------|-------------------------------------|---|--|--|
| W | INTERNAL SERVICES MANAGEMENT | The function of managing services provided by the University to support its own day to day work. | | |
| W.1 | Planning | The activities involved in planning the operation, management and development of an internal service. | | |
| W.2 | Performance | The activities involved in managing the performance of an internal service. | | |
| W.3 | Policy | The activities involved in developing and establishing policies for the operation, management and development of an internal service. | | |
| W.4 | Processes and Procedures | The activities involved in developing procedures for the operation, management and development of an internal service. | | |
| W.5 | Operations | The activities involved in delivering an internal service. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-----------|--|---|--|--|
| X | COMMERCIAL SERVICES | The function of managing services provided by the University on a commercial basis to generate income. | | |
| X.1 | Commercial Services Delivery | The activities involved in delivering a commercial service. The activities will vary according to the service being provided, but are likely to include: preparing service | | |
| X.2 | Policy Development | The activities involved in developing and establishing the University's policies on the overall management and development of commercial services. | | |
| X.3 | Procedures Development | The activities involved in developing the University's procedures for the overall management and development of commercial services. | | |
| X.4 | Commercial Service Proposal Development | The activities involved in developing and evaluating a proposal to set up a commercial service. Activities include: drawing up a preliminary business plan for the | | |
| X.5 | Commercial Service Planning | The activities involved in planning the operation, management and development of a commercial service. | | |
| X.6 | Commercial Service Promotion | The activities involved in promoting a commercial service. Activities include: designing promotional materials; liaising with specialist staff on the production of promotional | | |
| Y | WHOLLY AND PARTIALLY OWNED SUBSIDIARIES | The function of establishing subsidiary companies which are wholly or partly-owned by the University. | | |
| Y.1 | Subsidiary Formation | The activities involved in forming a subsidiary company by incorporating a new company or by acquiring an existing company. Activities include: determining the constitution of the company; determining the control framework of the company and formalising the relationship between the University and the company through a | | |
| Y.2 | Subsidiary Management | The activities involved in ensuring that a subsidiary company is conducting business in line with the established agreements and company law. | | |
| Y.3 | Subsidiary Disposal | The activities involved in disposing of the University's investment in a related company by winding up or selling the company (or its interest in it). | | |
| Z | MEDIA RELATIONS | The function of managing the University's relationships with the media. | | |
| Z.1. | Media Relations Policy | The activities involved in developing and establishing the University's media relations management policies. | | |
| Z.2 | Media Relations Procedures | The activities involved in developing the University's media relations management procedures. | | |
| Z.3 | Communications with the Media | The activities involved in managing the University's communications with the media. Activities include: developing media contacts; organising media briefings; organising | | |
| AA | HE Sector Relations | The function of managing the University's relationships with other educational institutions, professional associations and learned bodies in the HE sector. | | |
| AA.1 | Universities Scotland | The activities arising from the University's membership of Universities Scotland. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-----------|------------------------------------|---|--|--|
| AB | ALUMNI RELATIONS | The function of maintaining and fostering the University's relationship with its former alumni. For fundraising activities targeted at alumni, use the | | |
| AB.1 | Strategy Development | The activities involved in developing and establishing the University's strategy for maintaining and fostering its relationship with its alumni. | | |
| AB.2 | Policy Development | The activities involved in developing and establishing the University's alumni relations management policies. | | |
| AB.3 | Procedures Development | The activities involved in developing the University's alumni relations management procedures. | | |
| AB.4 | Alumni Communications Management | The activities involved in managing the University's communications with its alumni. Activities include: planning and issuing communications to alumni, both one-off (e.g. | | |
| AB.5 | Alumni Event Management | The activities involved in supporting and organising official events for alumni. | | |
| AB.6 | General Register | The activities involved in compiling and maintaining the General Register. | | |
| AB.7 | Alumni Support | The activities involved in providing support to alumni, both individually and through alumni associations. Activities include: providing financial and other support to alumni associations; brokering contact with/between alumni. | | |
| AC | FUNDRAISING | The function of raising revenue additional to that provided by the main funding bodies, to support and develop the University's estate, activities and operations. | | |
| AC.1 | Fundraising Strategy Development | The activities involved in developing and establishing the University's fundraising strategy. | | |
| AC.2 | Fundraising Planning | The activities involved in developing plans to implement the University's fundraising strategy. | | |
| AC.3 | Fundraising Performance Management | The activities involved in managing the University's performance against the plans for implementing its fundraising strategy. Activities include: developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance; conducting formal reviews of performance and responding to the results, including preparing and implementing action plans to address under-performance or other issues raised. | | |
| AC.4 | Fundraising Policy Development | The activities involved in developing and establishing the University's fundraising policies. | | |
| AC.5 | Fundraising Procedures Development | The activities involved in developing the University's fundraising procedures. | | |
| AC.6 | Fundraising Campaign Management | The activities involved in designing, conducting and reviewing the effectiveness of fundraising campaigns. | | |
| AC.7 | Donations | The activities involved in managing the institution's relationship with donors of money, property or other items to the institution (other than in response to fundraising campaigns). | | |
| AD | RISK MANAGEMENT | The activities involved in managing identified risks to the viability or success of the University. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-----------|--|---|--|--|
| AD.1 | Risk Management Strategy | The activities involved in developing and establishing the University's risk management strategy. | | |
| AD.2 | Risk Management Planning | The activities involved in developing plans to manage the University's risks | | |
| AD.3 | Risk Management Identification and Assessment | The activities involved in identifying risks, assessing the likelihood of occurrence and the potential consequences, and maintaining a risk register. | | |
| AD.4 | Business Continuity Planning | The activities involved in anticipating incidents that would disrupt the University's operations and developing response and recovery plans. | | |
| AE | AUDIT | The function of conducting internal and external audits of the University's affairs and operations for internal control purposes and to ensure compliance with institutional, industry or legal requirements | | |
| AE.1 | Audit Strategy | The activities involved in developing the University's audit strategy. | | |
| AE.2 | Audit Planning | The activities involved in planning the University's audit activities. | | |
| AE.3 | Audit Procedures | The activities involved in developing the institution's audit procedures. | | |
| AE.4 | Individual Audits | The activities involved in conducting individual audits. Activities include: planning audits; conducting internal audit investigations; writing and delivering internal audit reports; specifying requirements for independent audits; facilitating the conduct of independent audits; reviewing and responding to audit reports, including drawing up action plans to address issues raised. | | |
| AF | Edinburgh University Students Association | The activities involved in managing the University's relationship with Edinburgh University Students Association (EUSA). | | |
| AF.1 | Funding | The activities involved in providing funding to EUSA. | | |
| AG | ORGANISATIONAL HIERARCHY | The function of developing the University's organisational structure. | | |
| AG.1 | Organisational change | The activities involved in changing the University's structure. | | |
| AH | Intellectual Property Exploitation | The function of managing the University's intellectual property. | | |
| AH.1 | Policy | The activities involved in developing the University's intellectual property policies. | | |
| AH.2 | Procedures | The activities involved in developing the University's intellectual property procedures. | | |
| AH.3 | Patent Administration | The activities involved in establishing and managing patents. Activities include: filing patent applications; monitoring the activities of others to identify infringements of the institution's patents; assigning patents to third parties; licensing patents to third parties to generate income. | | |
| AH.4 | Copyright Administration | The activities involved in handling requests from third parties for permission to use material in which the University owns the copyright. | | |
| AI | Information and Communications Technology (ICT) | The function of managing the University's ICT systems and services. | | |
| AI.1 | Strategy | The activities involved in developing and establishing the institution's strategy for the development, operation and management of ICT systems. | | |

University of Edinburgh
Outline Filing Scheme - Scope Notes

| REF. | CATEGORY | SCOPE NOTE | | |
|-----------|---|---|--|--|
| AI.2 | Planning | The activities involved in planning the University's ICT systems and services. | | |
| AI.3 | Systems Development | The activities involved in developing new ICT systems and re-developing existing systems. Activities include: specifying requirements; evaluating potential systems/solutions; installing systems; testing; commissioning; controlling changes; decommissioning. | | |
| AI.4 | Operations Management | The activities involved in operating ICT systems. Activities include: monitoring performance; testing; reporting, investigating and resolving faults; managing system data storage, including backup, archiving and deletion; maintaining appropriate software licences. | | |
| AI.5 | Security | The activities involved in managing access to, and use of, the University's ICT systems by staff, students or other authorised users. Activities include: opening and closing user accounts; monitoring use of systems to ensure compliance with institutional policies and relevant legislation; responding to security breaches or incidents; sanitisation of ICT hardware before disposal. | | |
| AI.6 | Infrastructure | The activities involved in managing the University's IT infrastructure. | | |
| AI.7 | User Support | The activities involved in providing support to users of the University's ICT systems. | | |
| AJ | FURNITURE, EQUIPMENT AND CONSUMABLES | The function of managing equipment and consumables purchased by the institution. Equipment includes instruments, tools, machines, plant, vehicles, | | |
| AJ.1 | Policy | The activities involved in developing policies about furniture, equipment and consumables. | | |
| AJ.2 | Procedures | The activities involved in developing procedures for furniture, equipment and consumables, such as ordering and returns procedures. | | |
| AJ.3 | Selection | The activities involved in selecting equipment and consumables. Activities include: developing specifications of requirements; identifying sources of supply; evaluating and selecting items. For acquiring equipment and consumables through purchase, lease or hire, use the appropriate section of Procurement. | | |
| AJ.4 | Storage | The activities involved in storing equipment and consumables. Activities include: monitoring storage conditions to ensure compliance with technical standards and/or legal requirements; monitoring the condition of items held in storage; maintaining the stock inventory; monitoring and maintaining stock levels; controlling the allocation/issue of items from storage. | | |
| AJ.5 | Inspection/Testing | The activities involved in installing/commissioning equipment and consumables and, where appropriate, connecting and configuring them for use. Activities include: conducting pre-commissioning inspections/examinations; conducting post-installation inspections/examinations to ensure compliance with technical standards and/or legal requirements. | | |

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| REF. | CATEGORY | SCOPE NOTE | | |
|-----------|-------------------------------|---|--|--|
| AJ.6 | Maintenance | The activities involved in maintaining the institution's equipment in sound working order to meet technical standards or legal requirements. Activities include: undertaking planned preventive maintenance work on equipment; repairing equipment; modifying equipment. | | |
| AJ.7 | Disposal | The activities involved in disposing of surplus or redundant equipment and consumables | | |
| AK | INSURANCE | The function of assessing the University's liabilities and insurance needs and maintaining adequate insurance cover. | | |
| AK.1 | Policies | The activities involved in developing and establishing the University's strategy for maintaining adequate insurance cover. | | |
| AK.3 | Individual Insurance Policies | The activities involved in taking out and maintaining individual insurance policies. | | |
| AK.4 | Liaison with Insurers | The activities involved in liaising with insurers about individual issues. | | |
| AK.5 | Claims | The activities involved in managing claims under the University's insurance policy. | | |
| AL | PROCUREMENT | The function of acquiring ownership or use of goods, works and services through purchase or lease. | | |
| AL.1 | Strategy | The activities involved in developing the University's procurement strategy. | | |
| AL.2 | Procedures | The activities involved in developing the University's procurement procedures. | | |
| AL.3 | Tendering | The activities involved in tendering individual contracts. These include: drawing up tenders and defining tender evaluation and selection criteria; issuing requests for tenders; controlling the receipt and opening of tenders received; evaluating tenders; reporting and publishing information about contracts awarded (e.g. in the Official Journal of the European Community). | | |
| AL.4 | Contract Management | The activities involved in managing individual contracts. These include: negotiating revisions and extensions to contracts; monitoring supplier performance and taking appropriate action to deal with under-performance or other issues which arise during the life of contracts. | | |
| AL.5 | Purchasing Administration | The activities involved in purchasing goods, works or services where supplier approval or a formal supply contract is not required. These include: setting purchasing authorisation limits; authorising purchasing; obtaining quotations or estimates; placing orders; taking delivery of goods, works or services and dealing with issues which arise. | | |
| AM | Library Facilities | The activities involved in managing the University's libraries. Activities include: selecting and acquiring items; cataloguing; promoting collections; disposal | | |
| AN | Publishing | The function of producing publications for distribution internally or externally. | | |

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| REF. | CATEGORY | SCOPE NOTE | | |
|------|-------------------------|--|--|--|
| AN.1 | Individual Publications | The activities involved in managing the design, production and distribution of individual publications. These include: designing publications; commissioning, writing and editing content for publications; ensuring compliance with institutional, industry and legal requirements for publications; liaising with specialist staff on the production of publications; liaising with specialist staff on the marketing of publications; distributing publications; authorising disposal of surplus or redundant stocks of publications. | | |