

UNIVERSITY OF DUNDEE
UNIVERSITY COURT

A meeting of the University Court was held on 26 October 2015.

Present: Mr J Elliot (In the Chair), Principal Professor Sir CP Downes, Ms J Aitken, Mr R Bint, Professor SM Black, Mr RS Bowie, Dr WGC Boyd, Mr K Burns, Mr I Howie, Mr T Hustler, Professor T Kelly, Ms B Malone, Ms J Marshall, Dr AD Reeves, Ms K Reid, Mr KA Richmond, Mr D Ritchie, Professor M Scott and Mr D Taylor.

In Attendance: University Secretary; Vice Principal (Academic Planning & Performance); Vice-Principal (International); Director of Finance; Director of Organisational Development; Director of Academic & Corporate Governance; Director of External Relations (Minute 7); Deputy Director of External Relations & Head of Marketing (Minute 7) and Clerk to Court.

Apologies: Mr EF Sanderson, Ms SC Campbell, Lord Provost Mr R Duncan and Vice-Principal (Learning & Teaching).

The Chair welcomed Professor Stuart Cross to his first meeting following his election to the Court by the Senate.

1. MINUTES

- The Court decided:**
- (i) to approve the minutes of the meeting on 8 June 2015 subject to minor correction; and
 - (ii) to approve the minutes of the business meeting held as part of the Court Retreat on 10 and 11 September 2015.

2. MATTERS ARISING

(1) Vice-Principal Appointments (Minute 70 (1) (b))

The Court noted the appointment of Professor Tim Newman as the Vice-Principal (Research, Knowledge Exchange & Wider Impact) in accordance with the powers delegated by the Court to the appointing panel.

The Court decided: to congratulate Professor Newman on his appointment as Vice-Principal (Research, Knowledge Exchange & Wider Impact).

(2) Statute & Ordinance Changes (Minute 87)

The Court decided: to ratify the decision taken at the Business Meeting of the Court Retreat on 11 September 2015 to approve changes to Statute 9 (the Court)

and Statute 10 (The Senate) subject to approval by, and any further changes required by, the Privy Council (**Appendix 1**).

3. CHAIRMAN'S REPORT

In his absence the Chairman submitted a report outlining his activities since the last meeting. The report highlighted the Chairman's participation in the appointment panel for the Vice-Principal (Research, Knowledge Exchange & Wider Impact) and his attendance at the welcome event for new students held in the Caird Hall. The report also detailed the Chairman's attendance at meetings of the Committee of Scottish Chairs (CSC) and Committee of University Chairs (CUC). Topics discussed at these meetings had included the HE Governance (Scotland) Bill and the diversity of governing bodies.

The Court decided: to note the report.

4. PRINCIPAL'S REPORT

The Court received a report from the Principal (**Appendix 2**). In his report the Principal highlighted the number of positive accolades which the University had received over recent months. These included coming top in Scotland in the National Student Survey for student satisfaction, the University's return to the top 200 universities in the world, as judged by Times Higher Education World University Rankings, and recognition by the Times & Sunday Times Good University Guide as Scottish University of the Year for 2016. The Principal noted his thanks to staff and students for their hard work in achieving such success.

The Principal updated the Court on the progress made over the summer in establishing the new University organizational structure. Members noted that, in addition to Professor Newman's appointment as Vice-Principal, all the Dean, Associate Dean and School Manager roles had been filled, with one interim Dean in post pending the conclusion of an external search process.

Turning to finance, the Principal reiterated that growing unregulated (international and rest of UK) teaching income alongside cost control represented the most positive means by which to improve the University's financial situation. The Principal's report also included an update on matriculation figures for 2015/16. Court members noted that the University had fallen significantly short of the targets for overseas taught postgraduate and undergraduate students, although performed well in both rUK and MD40 student recruitment.

The Principal highlighted to Court that the University was in competition with the rest of the Scottish and UK sectors, as well as international competitors, in attracting full-fee students. This competition, as well as the tough stance the UK continues to take on immigration, undoubtedly had impacted on the current recruitment intake.

The Principal informed the Court that additional financial pressure was likely to emerge after the publication of the UK Government's Comprehensive Spending Review in November and the subsequent Scottish Budget which would be announced in mid-December.

In response to questions regarding recent research awards, members discussed the full economic cost of research and asked members of the University Executive Group what steps were being taken to improve the number of grants which included overhead funding. The Principal informed Court that the issue was one which affected all universities in the UK but that work was underway with the new Deans to maximise the number of research applications submitted to Research Councils and other bodies that fund a contribution to overhead costs.

The Principal also informed the Court of developments related to the HE Governance (Scotland) Bill since the Retreat in September. In doing so, members noted that it was likely that the Scottish Government would legislate for some form of election process to appoint Chairpersons of governing bodies. It was reported that the Principal and Universities Scotland would continue to engage with government officials to seek clarity and possible amendments to the Bill in relation to the constituency for an election process for the Chairperson and to stress the negative financial and other impacts arising from the possible re-classification of universities as public sector bodies by the Office of National Statistics.

Finally, the Principal informed the Court of recent press coverage related to 'Lad Culture' and sexual harassment of female students at British universities. It was noted that the problem was not one which was Dundee specific but regardless, the University took the issue, and its duty of care to all students, very seriously. The President of DUSA outlined measures which DUSA had taken in recent years to combat the problem. These included the implementation of a zero tolerance approach, an anti-harassment and anti-bullying policy aligned to the student disciplinary process and the advertising of a free night bus and taxi scheme for students leaving the Union building. In the discussion which followed members suggested that the University and DUSA should form a Working Group to ensure an integrated approach to the problem. Ms Janice Aitken and Ms Bernadette Malone indicated that they would be happy to contribute as appropriate.

The Court decided: to note the report.

5. GOVERNANCE MATTERS

(1) Governance & Nominations Committee

The Court received a report of the Committee's meeting on 5 October 2015 (**Appendix 3**). The Court noted that a formal submission had been made to the Privy Council to give effect to the changes to Statute 9 which would abolish the position of Chancellor's Assessor and replace it with a Deputy Chairperson of Court. The Court also noted the paper outlining the performance of the Chair of Court and his response to this feedback.

The Court decided: to note the report.

(2) Process for Appointing the Chairperson of Court

The Court received a paper from the Governance & Nominations Committee outlining the proposed process for appointing a new Chairperson of Court in

succession to Mr Eric Sanderson who demits office on 31 July 2016 (**Appendix 4**). The paper included a proposed timeline for the appointment process and a draft role description and person specification.

- The Court decided:**
- (i) to approve the process and timeline for appointment of a new Chairperson; and
 - (ii) to approve the draft role description and person specification.

(3) Membership of the Appointing Panel for the Chairperson of Court

The Chancellor's Assessor introduced a note of the Governance & Nominations Committee's meeting held prior to the Court meeting to consider the composition of the Appointing Panel for the Chairperson of Court. In doing so he reported that six members of Court from across the graduate, lay and staff membership had indicated a willingness to serve on the panel, in addition to the Chancellor's Assessor and President of the Students' Association who would serve on the panel *ex officio* under the process approved in Minute 5 (2).

The Court decided: to approve the following membership of the Appointing Panel for the Chairperson of Court:

- (i) Mr Jo Elliot (Chancellor's Assessor, *ex officio*);
- (ii) Mr Tim Hustler (President of the Students' Association, *ex officio*);
- (iii) Ms Shirley Campbell (Lay Member);
- (iv) Ms Jane Marshall (Lay Member);
- (v) Dr William Boyd (Graduate's Association);
- (vi) Professor Sue Black (Academic Council); and
- (vii) Professor Mairi Scott (Senate).

(4) Court and Committee Membership

The Court noted the election of Professor Stuart Cross by the Senate effective from 1 October 2015 in accordance with Statute 9(g) until 31 July 2017 in the first instance.

Following his election to Court, the Governance & Nominations Committee recommended that Professor Cross be appointed to the Human Resources Committee for the remainder of 2015/16.

- The Court decided:**
- (i) to note the election of Professor Cross; and
 - (ii) to approve the appointment of Professor Cross to the Human Resources Committee.

(5) Membership of the Senate

The Director of Academic & Corporate Governance informed the Court that elections to the Senate under the amendments to Statute 10 had taken place and that the new Senate would be formally constituted once formal Privy Council approval had been granted.

The Director also advised that three members who held their positions on the Court by virtue of having been elected by the Senate had not been re-elected to the newly-constituted Senate by their Schools. As part of the amendments to the composition of the Senate, it had been proposed and agreed by the Senate that any member of Court elected by the Senate who failed to be re-elected under the new arrangements would nevertheless be permitted to remain a member of the Senate and thereby a member of Court for the remainder of their term on the Court. The Director reminded members that under Statute 10(2)(a), the Court, on the recommendation of the Senate, may approve the appointment to the Senate of other members of academic staff.

The Court decided: (i) to note the update;

(ii) to approve the recommendation that Ms Janice Aitken, Professor Stuart Cross and Dr Alison Reeves be appointed to Senate under Statute 10(2)(a) for the remainder of their terms on Court.

6. **FINANCE MATTERS**

(1) Finance & Policy Committee

The Court received reports of the meetings of the Committee on 17 August 2015 (**Appendix 5**) and 5 October 2015 (**Appendix 6**). Members noted discussions in relation to the approach to the remuneration round and associated budget for the Remuneration Committee for 2015/16, the annual report on fundraising campaigns and a proposal from the Director of Finance setting out the process to acquire a replacement credit facility.

The Court decided: (i) to approve the approach to the remuneration round and associated budget for the Remuneration Committee as proposed; and

(ii) otherwise, to note the report.

(2) Schedule of Delegation

The Court considered a revised Schedule of Delegation which the Committee endorsed to Court for approval (**Appendix 7**). It was noted that the main

revisions were to align the Schedule of Delegation with the new University structure. In the discussion which followed it was suggested that the Schedule of Delegation should be subject to review on an annual basis.

The Court decided: to approve the revised Schedule of Delegation.

(3) Update on Three Year Projections

The Court considered a paper from the Director of Finance which provided an update on the three year projections submitted to the SFC in June. As a result of underperformance in student recruitment it was noted that total income was projected to be down by between £585k and £975k, although it was likely that the situation would improve once receipts from the Research Development Expenditure Claim (RDEC) were factored in.

The Director of Finance also informed Court that the proposed investment in External Relations to improve the effectiveness of student recruitment activity would add costs of £711k in 2015/16, with benefits realized in 2016/17 and subsequent years.

In the discussion which followed Court members suggested that consideration be given to the production of five year projections as that would align with the recruitment and four year degree cycle. Members also requested the inclusion of various scenarios based on the possible effects of a reduction in core funding.

The Vice-Principal (Academic Planning & Performance) informed Court that work was already underway with Schools and Directorates to develop operational plans for 2016/17. These plans would emphasise the need to constrain costs, where possible, while giving consideration to innovative ways of boosting student recruitment activity. Examples of such activity were provided by the Vice-Principal (International) and she informed the Court that an International Partnerships Strategy was under preparation and would be presented to the Court in 2016.

The Court decided: to note the update.

7. EXTERNAL RELATIONS INVESTMENT PRESENTATION

The Court considered a paper and received a presentation from the Director of External Relations and the Deputy Director of External Relations & Head of Marketing on the investment required to create and resource a new approach to student recruitment and income generation. The Court heard that following the University restructure Admissions & Student Recruitment had been integrated into External Relations from 1 August 2015. The Director of External Relations outlined the key priorities for the Directorate, which were: generating revenue, maximising recruitment, enhancing reputation and supporting excellence in research.

Members noted that the total investment would be spread across three academic years, 2015/16 to 2017/18, and would total £1.6m, with a prudently estimated return of approximately £5m over the same period. The Director of External Relations informed the Court that the additional investment would allow for a cumulative growth of

international students by 440 over the three year period, commencing in 2016/17 with the recruitment of an additional 70 international students. The Director outlined additional key performance indicators for other units within External Relations (for example with marketing and communications investment being measured through enhanced brand recognition and perception).

In response to questions the Director of External Relations confirmed that the University Executive Group would be considering further investment bids in the future, but that those bids would not be of the same scale.

In the discussion which followed, members were supportive of the proposed investment and noted that the paper and presentation built upon the discussions held during the Court Retreat.

The Court decided:

- (i) to thank the Director and Deputy for their presentation; and
- (ii) to approve the investment proposal.

8. **AUDIT COMMITTEE**

The Court received a report of a meeting of the Audit Committee held on 22 September 2015 (**Appendix 8**). Members noted the discussion on the Annual Audit Report 2014/15, the proposed Internal Audit Plan for 2015/16 and the governance arrangements for the Business Transformation Project.

The Convener informed the Court that the Committee currently had a vacancy and due to the oversight arrangements for the Business Transformation Project it was considered that an individual with experience of large IT projects should, if possible, be appointed. The Convener asked the Court to give consideration to potential nominees and to contact the University Secretary with any suggestions.

The Court decided: to note the update.

9. **HUMAN RESOURCES COMMITTEE**

The Court received a report of the meeting of the Committee on 29 September 2015 (**Appendix 9**). Members noted discussions in relation to the revised Health and Safety Policy, pay negotiations, the restructuring of UoD IT and the staff survey 2015.

The Court decided:

- (i) to approve the revised Health & Safety Policy; and
- (ii) otherwise, to note the report.

10. **ANNUAL REPORT ON LEAGUE TABLE PERFORMANCE**

The Court received a paper from the Director of Strategic Planning detailing the University's performance in UK league tables and international world rankings in 2015.

Court members noted the overall positive performance of the University in line with the University's Vision. The Principal highlighted to Court that The Times / Sunday Times league table was the only one to include the 2015 National Student Survey (NSS) scores. As a result, the University would expect an improved ranking in the Guardian and Complete University Guide next year once the 2015 scores are taken into account.

It was reported that the coordinated approach to employability at the University had resulted in greater student satisfaction and therefore an improved ranking in the Times league table.

In response to questions, the Principal explained that the University's decline in the QS Rankings was the result of a change in the criteria associated with citations which had a disproportionate effect on Life Sciences and Medicine.

The Court decided: to note the report.

11. COMMUNICATIONS FROM THE SENATUS ACADEMICUS

The Court received a report from the meeting of the Senate on 14 October 2015 (**Appendix 10**). Members noted that the Senate had, for its part, approved the proposed changes to the composition of the Senate (Statute 10) and the changes to the method of electing the Chairperson of Court (statue 9). The Senate had also endorsed to Court the Policy on Consultancy & Service Work. The Court noted discussions in relation to the University's current financial situation and student recruitment in the context of the transformation agenda.

The Court decided:

- (i) to approve the Policy on Consultancy & Service Work;
- (ii) to approve the recommendations concerning the conferment of the title of Professor Emeritus on Professors William (Ian) Ball, David Collinson, Marion McMurdo and Michael Stark; and
- (iii) otherwise, to note the report.

12. ANNUAL INSTITUTIONAL STATEMENT TO THE SCOTTISH FUNDING COUNCIL (SFC) ON QUALITY

The Court received the University's annual statement to the SFC detailing the subject reviews that had been carried out over the past year. The report had been submitted to the SFC by its deadline of 30 September with a note, as required by the SFC's guidance, explaining that it had yet to be endorsed by the Court.

The Director of Academic & Corporate Governance outlined the new system for internal subject review. It was suggested that the Director of Quality & Academic Standards be invited to attend a future meeting of the Audit Committee to detail the University's current internal review processes.

In approving the report the Court was asked to: confirm that it had considered the institution's arrangements for the management of academic standards and the quality

of the learning experience for AY 2014-15, including the scope and impact of these; confirm that the institution had effective arrangements to maintain standards and to assure and enhance the quality of its provision; and therefore to provide assurance to the Council that the academic standards and the quality of the learning provision at the University of Dundee continue to meet the requirements set by the Council.

The Court decided: to approve the report.

13. **LETTER OF STRATEGIC GUIDANCE FROM THE CABINET SECRETARY FOR EDUCATION & LIFELONG LEARNING TO THE SFC**

The Court considered the strategic guidance issued by the Cabinet Secretary for Education and Lifelong Learning to the Scottish Funding Council. The Court noted in particular the lack of funding figures and volume targets as a result of the UK Government's Comprehensive Spending Review.

The Court decided: to note the letter and to await further updates.

14. **COURT RETREAT**

Members received a report which summarised the activities, discussions and feedback from the Court Retreat on 10 and 11 September 2015.

The Court decided: to note the report.

15. **DUNDEE UNIVERSITY STUDENT'S ASSOCIATION CONSTITUTION**

The Court considered a paper detailing proposed changes to DUSA's Constitution (**Appendix 11**). Court members noted that the proposed changes related to the re-designation of the Vice President Student Welfare as a sabbatical position and the creation of a new, non-sabbatical position of Vice President of Fundraising. The Court noted that the changes had been approved by the DUSA Executive, DUSA's Board of Trustees, the Student Representative Council and the students at an Extraordinary General Meeting.

The Court decided: to approve the proposed changes to DUSA's constitution.

16. **MUSEUM POLICES**

As part of the University's most recent return to the Museum Accreditation Scheme, the Court received the Museum Services Care & Conservation Policy and Museum Services Documentation Policy for approval (**Appendix 12**).

An invitation to visit the University's museum collections was extended from the Curator of Museum Services to the Court.

The Court decided: (i) to approve the Museum Services Care & Conservation Policy; and

- (ii) to approve the Museum Services Documentation Policy.

17. **WELFARE & ETHICAL USE OF ANIMALS COMMITTEE**

The Court's representative on the Committee informed members of an issue raised at the Committee's meeting on 21 October 2015. The University Secretary informed Court that an internal investigation was underway and the outcome would be reported to Court.

The Court decided: to approve the report.

APPENDIX 1

STATUTE & ORDINANCE CHANGES (Minute 2(2))

9 The Court

- (3) (a) A Chairperson of Court shall be appointed by the Court following an open advertising and recruitment process. Students or salaried members of staff of the University shall be ineligible to be appointed as Chairperson.
- (b) The Chairperson so appointed shall begin a new term of office on the Court and shall hold office for a period of three years, whereafter the Chairperson shall cease to be a member of the Court. Provided always that the Chairperson shall be eligible for re-appointment but shall not serve continuously for more than six years in that office.
- (c) In the absence of the appointed Chairperson from a meeting of the Court or, in the event of the business of the Court making it inappropriate for the appointed Chairperson to preside over any meeting or part thereof, the Deputy Chairperson shall preside over the meeting. In the absence of both the Chairperson and the Deputy Chairperson another member shall be elected from among its members who are not students or salaried staff of the University to preside over the meeting.
- (d) The person presiding over any meeting of the Court shall have a deliberative vote and also a casting vote in case of equality.

10 The Senatus

- (1) The Senatus shall consist of the following persons, namely:
 - (a) The Principal;
 - (b) The Vice-Principals, if any;
 - (c) The Deans of the Schools;
 - (d) Two members of Academic Council elected by the Council;
 - (e) The President and all student sabbatical officers of the Students' Association;
 - (f) Such other student representatives as the Court, on the recommendation of the Senatus, may from time to time determine.
 - (g) The Students' Assessors, if any, who shall be appointed in accordance with such procedures, and who shall hold office for such period and on such terms, as may be prescribed by Ordinance;
 - (h) A minimum number of twenty-seven Professors, Readers, Senior Lecturers and Lecturers who shall be elected in accordance with such procedures, and who shall hold office for such period and on such conditions, as may be prescribed by Ordinance.

Provided always that not less than one third of the total number shall be Professors and that not less than one third of the total number shall Readers, Senior Lecturers and Lecturers.

 - (i) Such other Professors, Readers, Senior Lecturers, Lecturers and officers of the University as the Court, on the recommendation of the Senatus, may from time to time determine and who shall hold office for such period and on such conditions as the Court shall decide.
- (2) (a) In the absence of the Principal, a Vice-Principal, if any, shall preside at any meeting of the Senatus, and in the absence of the Principal and Vice-Principals, if any, a Dean who is most senior in order of precedence amongst the Deans present shall preside.
- (b) The person presiding at any meeting of the Senatus shall have a deliberative vote and also a casting vote in case of equality.

- (3) Not less than one-third of the total actual membership of the Senatus shall constitute a quorum. In the absence of a quorum, no business shall be transacted other than the adjournment of the meeting. At the adjourned meeting, the business for which the original meeting was called may be completed in the absence of a quorum. The manner of summoning the adjourned meeting, and the period of notice to be given shall be as prescribed in the Regulations.

APPENDIX 2

PRINCIPAL'S REPORT (Minute 4)

As members will be aware, the University has received a number of positive accolades in recent months including: the NSS placing us top in Scotland for Student Satisfaction, our return to the Top 200 Universities in the World, as judged by Times Higher Education World University Rankings and recognition by The Times & Sunday Times Good University Guide as Scottish University of the Year 2015-16. The University's continued success in various rankings demonstrates that our long term goal of becoming Scotland's leading university in all that we choose to do is a realistic one and one which we must continue to pursue. However, it is necessary to consider these successes alongside the significant challenges that remain in terms of our financial position. To sustain our current levels of excellence, and to achieve the ambitious goal we have set ourselves, it remains essential that the same commitment is given to net income generation as that given to delivering such high quality teaching and research.

Restructuring

Good progress has been made over the summer in establishing the new University Structure. As was communicated to Court in September, Professor Tim Newman has been appointed as Vice-Principal (Research, Knowledge Transfer & Wider Impact) and will be in attendance at the meeting. Additionally, I can report that all the Deans and Associate Dean roles have now been filled, with one as an interim appointment (Science and Engineering) pending the outcome of an external search. The transition from the College based structure to the current model has been relatively smooth, however the real test for the new structure will be in the delivery of more meaningful cooperation across academic disciplines and the delivery of greatly improved financial outcomes. To this end, Professor Nic Beech, Vice-Principal (Academic Planning & Performance), will be undertaking regular meetings with the Deans to facilitate information sharing and transparency across the Schools to ensure the quality and sustainability of academic activity.

Finance

Over the last few meetings discussions at Court have focussed on the financial challenges which led to the approval at the meeting of Court in June of an exacting budget for 2015/16. The need to address financial security has been approached in a manner consistent with achieving our longer term ambitions, the associated need for investment in academic activities, estates and infrastructure, and the University's core values.

A review of the 2015 Court Retreat will feature later on the agenda, however I would like to take this opportunity to thank members for their participation this year. My personal reflection is that the Retreat was particularly notable for the degree of engagement and the commitment of members to discussions on the future of the University. The UEG has continued to engage with the issues raised at the Retreat and will bring forward a paper to the December meeting outlining our approach to the 2016/17 budget setting process.

As I highlighted during my presentation at the Court Retreat, growing unregulated (International and rest of UK (rUK)) teaching income represents the best means by which the University may generate higher levels of net income. We must be aware that we are in competition with the rest of the Scottish and UK sectors as well as international competitors in attracting full-fee paying students. This competition, as well as the tough stance the UK continues to take on immigration, undoubtedly impacted on the current recruitment intake as we fell significantly short of our budgeted targets for overseas taught postgraduate and undergraduate students, although we performed well in both rUK and MD40 student recruitment. To strengthen our future recruitment activities the Court will receive a presentation and investment proposal from Thomas Veit, the Director of External Relations, which would complement other recent strategic investments in this area.

An additional pressure is likely to emerge next month as we gain a clearer picture of how the Scottish Government will respond to the UK Government's Comprehensive Spending Review (CSR). Court will recall that the last spending review imposed a flat cash funding settlement on the sector while the Further Education Sector received more direct reductions in funding.

Universities Scotland will continue to make the case, on behalf of the sector, that significant cuts in higher education funding would be economically damaging and would seriously undermine public policy priorities across the range of responsibilities of the devolved administration.

Whatever the eventual outcome of the CSR, and its consequences for core funding, it is clear that the external pressures on the University's finances make the task of reversing the deficit and improving underlying financial performance significantly harder.

Governance

As I stated at the Court Retreat, the Scottish Government published their Bill on Higher Education Governance in June. The Bill contains many proposals which had been trailed in advance during the consultation phase, although the inclusion of powers for ministers to decide the method of appointment for chairpersons of governing bodies was an unexpected development. Over the summer the University submitted written responses to the Scottish Parliament's Education & Culture and Finance Committees on the Bill's proposals. Colleagues representing Scottish Principals and the Committee of Scottish Chairs also attended and provided evidence to the Education Committee earlier this month.

The University will continue to engage with representatives of the Scottish government, however it appears increasingly likely that some form of election process for the Chair of governing bodies will be implemented. Similarly, the Scottish Government has made clear its intent to secure defined places for trade union members on governing bodies despite the possibility this will reduce the number of members elected by the full complement of staff.

Both the Chair and I will continue to keep Court informed of developments in this area as the Bill progresses through the legislative process.

Concluding Remarks

I would like to take this opportunity to remind members that our winter graduation ceremonies will take place on 19 and 20 November 2015. The participation of members of Court in the ceremonies is always greatly appreciated, and serves as an important reminder of our role and obligations as we honour our graduands. If Court members would like to attend please contact the Court Office.

Professor Sir Pete Downes
Principal & Vice-Chancellor

University Executive Group Meetings (UEG)

<http://www.dundee.ac.uk/about/principals-office/reports/>

Since the last report to the Court, the UEG met on 17 June, 1 July, 22 July, 29 July, 12 August, 26 August, 9 September, 23 September and 7 October 2015 when the following matters were considered:

Corporate & Finance Issues

- Financial Sustainability
- University Restructuring
- League Tables
- HE Governance Bill
- Student Recruitment Updates
- Policy on Consultancy and Service Work
- Ministerial Letter of Guidance to the Scottish Funding Council
- Strategic Priorities for 2015/16 and 2016/17
- Philanthropic & Alumni Donations

Academic Management Issues

- Employability Statistics
- Fulbright Summer Institute
- Review of Fees and Scholarships
- EU Funded Research Grants
- NSS Results

Human Resources

- Remuneration Committee Remit
- Reward Policy & Procedure for Grade 10 Staff
- Academic vacancies
- Developing Leaders programme
- Health & Safety
- Equality & Diversity

Major Grants and Awards

Dr S Brown (Division of Cancer Research) £1,751,956 (£0.00 overhead) from Wellcome Trust for Molecular Mechanisms in Atopic Skin (Senior Research Fellowship in Clinical Science).

Dr JD Chalmers (Cardiovascular and Diabetes Medicine) £1,492,470 (£201,200 overhead) from EC - IMI - Innovative Medicines Initiative for Inhaled Antibiotics in Bronchiectasis and Cystic Fibrosis (iABC) (Joint with Queen's University Belfast, Basilea Pharmaceutica International, University Medical Centre Utrecht, Belfast Health and Social Care Trust, Groningen University and 14 Other Partners).

Professor D M J Lilley (CRUK Nucleic Acid Structure Research Group) £1,252,005 (£0.00 overhead) from Cancer Research UK for The Nucleic Acid Structure Research Group.

Dr E Huitema (Plant Sciences) £1,192,373 (£0.00 overhead) from EC Horizon 2020 - Excellent Science for QUANTEXBIO (Joint with James Hutton Institute).

Professor A Waller (Computing) £723,707 (£387,741 overhead) from Engineering and Physical Sciences Research Council for ACE-LP - Augmenting Communication Using Environmental Data to Drive Language Prediction (Joint with University of Cambridge).

Dr GM Findlay (MRC Protein Phosphorylation & Ubiquitylation Unit) £593,222 (£240,886 overhead) from Medical Research Council for Elucidating Novel Pluripotency Signalling Networks (New Investigator Award).

Professor D R Alessi (MRC Protein Phosphorylation & Ubiquitylation Unit) £530,863 (£106,173.00 overhead) from Michael J Fox Foundation for Parkinsons Research for Understanding Regulation of Rabs by LRRK2 and Implications to Parkinson's Disease (joint with Max Planck Institute of Biochemistry and Stanford School of Medicine).

Professor P R Clarke (Division of Cancer Research) £411,307.44 (£0.00 overhead) from Cancer Research UK for Control of Cell Death during Mitosis and in Response to Anti-mitotic Drugs.

Professor I H Gilbert (Biological Chemistry and Drug Discovery) £384,705 (£50,179 overhead) from Structural Genomics Consortium (Toronto) for Optimisation of Phenotypic Hits.

Professor B Guthrie (Division of Population Health Sciences) £381,000 (£0.00 overhead) from Chief Scientist Office for Scottish Primary Care Research Network (SPCRN) to 2018.

Professor C Rowland (Duncan of Jordanstone College of Art & Design) £358,426 (£126,954 overhead) from Ministry of Defence for Plutonic 4 (Joint with Liverpool John Moores and Bournemouth Universities).

Professor M Renfrew (Nursing & Midwifery) £350,740 (£0.00 overhead) from Health Foundation for Knowledge into Action at Scale (Joint with Universities of St Andrews, Stirling, the NHS and others).

People & Prizes

The University has been awarded two Athena Swan Bronze awards for its work in Engineering, Physics and Mathematics and in Computing (both in the School of Science & Engineering).

Students **Marianne White** (Nursing & Midwifery), **Megan Falconer** (Visual Arts & Design) and **Kerry Quinn**, (Community Learning and Development) have been selected as winners in the Undergraduate Awards, an international competition that recognizes excellence in the academic work of undergraduate students. They will receive their awards at a ceremony in Dublin in November.

Helen Weavers, of the Institute of Sport and Exercise, has won a silver medal at the World Masters Weightlifting Championships in Finland.

Professor Mike Ferguson has been named as the recipient of the prestigious 2016 Alice and C.C. Wang Award in Molecular Parasitology, awarded by the American Society for Biochemistry and Molecular Biology (ASBMB).

Professor Kate Storey has been appointed to a Royal Society Wolfson Research Merit Award. The prestigious award provides five-year's support for outstanding scientists and is jointly funded by the Wolfson Foundation and the Department for Business, Innovation and Skills (BIS).

A record breaking 170 students graduated from the DUAL and OSS Access Summer Schools in 2015. The University's Summer School programme is now in its 23rd year and has welcomed over 2000 students from a diverse range of backgrounds as part of the University's ongoing commitment to widening access to higher education.

Professor Irwin McLean, Professor of Human Genetics and Scientific Director of the Centre for Dermatology and Genetic Medicine, has been awarded the Buchanan Medal of the Royal Society.

The School of Medicine has won the Innovation Technology Excellence Award at the Herald Higher Education Awards for a system that enables undergraduate students to complete coursework using their own mobile devices and tablets.

Kirsty Gunn, Professor of Creative Writing in the School of Humanities, has won the Edge Hill Short Story Prize 2015 for her collection 'Infidelities'.

Identifying the Dead – Forensic Science and Human Identification

The university's first Massive Open Online Course created an international supportive learning community from over 50 countries worldwide, translating science into reality and changing people's perception of their world as a consequence. Experts at CAHID guided over 21,500 learners through the process of human identification. Identifying the dead employed innovative technology to embed learning, making entire learning experience highly participatory and most importantly, fun! The response to the course has been overwhelmingly positive. Participants have so far left over 52,000 comments within the platform alone with hundreds more from over 3,000 Facebook and Twitter followers.

APPENDIX 3

GOVERNANCE & NOMINATIONS COMMITTEE (Minute 5(1))

A meeting of the Committee was held on 5 October 2015.

Present: Mr EF Sanderson (Convener), Ms J Aitken, Mr K Burns, Ms B Malone, and Ms J Marshall.

In Attendance: University Secretary; Director of Academic & Corporate Governance; Mr J Elliot and Policy Officer (Corporate Governance).

Apologies: Principal, Mr R Bint and Professor M Scott.

1. MINUTES

Resolved: to approve the minutes of the meeting of 11 May 2015.

2. MATTERS ARISING

(1) Lay Court Vacancy (Minute 3(2))

The Committee noted the appointment of Ms Karen Reid as a Lay Member of Court for the period 1 August 2015 – 31 July 2019 in the first instance.

Resolved: to note the appointment of Ms Karen Reid as a Lay Member of Court to Court.

(2) Chancellor's Assessor / Deputy Chairperson of Court (Minute 4 (2))

The University Secretary informed the Committee that a formal request had been submitted to the Privy Council to give effect to the changes to Statute 9 and that he would update the Committee at its next meeting.

Resolved: to note the update.

(3) Court Induction (Minute 7)

The Committee noted that an induction day for new court members was held on 26 August 2015. The Committee were informed that arrangements will be made to give effect to the Committee's suggestion that members would benefit from a follow up meeting one year after joining the Court and to the introduction of a mentoring process for new members.

Resolved: to note the update.

(4) 30% Club

The Convener informed the Committee that he had contacted the 30% Club regarding membership and was awaiting a response.

Resolved: to note the update.

3. PERFORMANCE OF CHAIR OF COURT

The Committee received a paper summarising discussions from the annual review of the performance of the Chair of Court that took place at the meeting of the Court on 8 June 2015. Members noted that the Chancellor's Assessor and University Secretary had provided the Chair with feedback on his performance. Members noted that the Chair had welcomed the feedback and they supported his responses.

Resolved: (i) to endorse the proposals made by the Chair of Court;
(ii) otherwise, to note the report.

4. CHAIR OF COURT APPOINTMENT PROCESS

[Secretary's note: In line with good practice, the Chancellor's Assessor (acting as Deputy Chairperson and Senior Independent Member), Mr J Elliot, chaired this discussion.]

The University Secretary introduced a paper outlining proposals for the process for the appointment of the Chairperson of Court following approval at the Court Retreat to seek formal Privy Council approval in this regard for changes to Statute 9. The Secretary informed the Committee that the changes had been sent to the Privy Council for comment and the University was awaiting a response.

The Committee noted that the process for identifying a candidate for Court's approval would be delegated from Governance & Nominations Committee to an Appointing Panel which would be representative of the various Court constituencies and balanced in terms of accepted principles of equality and diversity.

In response to questions the University Secretary confirmed that it would be the responsibility of the Governance & Nominations Committee to select and recommend the composition of the Appointing Panel and that it would be necessary for the Committee to meet before the Court meeting on 26 October 2015 to agree the membership of the panel for the Court's approval. The University Secretary undertook to contact members of the Court to invite them to put themselves forward for membership of the Appointment Panel.

The University Secretary outlined the proposed timeline and key points in the process. The Committee noted that to ensure Court's wish that the new Chairperson could shadow the incumbent Chair for at least two meetings, Court would need to be in a position to approve an appointment at its meeting in February 2016.

As a result of the discussions held at the Court Retreat it was recommended that in addition to advertising the post of Chairperson widely, in the same manner as recent advertisements for lay vacancies, search consultants be engaged to identify possible candidates. The Committee were supportive of this recommendation and noted the employment of search consultants would help ensure a diverse range of candidates. It was noted an update on the use of, and expected costs of, search consultants in the process would be considered by the Committee at its meeting on 26 October 2015.

The Committee also considered a draft role description and person specification for the Chairperson of Court. In doing so the Committee offered a number of suggestions which would be incorporated before submission to Court for approval at its meeting on 26 October 2015.

The Committee noted that if the Privy Council were not minded to approve the proposed changes to Statute 9 regulating the selection of the Chairperson of Court, a process in line with the existing Statute would require to be adopted, i.e. an election from amongst its lay members by Court itself.

- Resolved:**
- (i) to recommend to Court the process for appointment of the Chairperson of Court for approval;
 - (ii) to schedule an additional meeting on 26 October to consider membership of the Appointing Panel;
 - (iii) to receive an update at the meeting on 26 October 2015 on the use and costs of search consultants; and
 - (iv) otherwise, to note the report.

5. CORPORATE GOVERNANCE STATEMENT

The Committee considered the draft Corporate Governance Statement for the University's Annual Financial Statements. In doing so the Committee were of the opinion that the draft statement should take more account of the positive progress made in 2014/15 towards compliance with the Scottish Code of Good Higher Education Governance. Officers undertook to revise the draft statement to incorporate the Committee's suggestions and to submit it for approval at the meeting on 16 November 2015.

6. ANY OTHER BUSINESS

The Convener and Chair of Court informed the Committee that he would be unable to attend the meetings of the Committee and Court on 26 October 2015.

APPENDIX 4

PROCESS FOR APPOINTING THE CHAIRPERSON OF COURT (Minute 5(2))

1. In a year in which an appointment to the Chair falls vacant, a process for selection shall begin at the latest by the preceding October meeting of Court.
2. All meetings of the Court or the Governance & Nominations Committee at which the appointment of the Chairperson is discussed shall be chaired by the Deputy Chair of Court/Senior Independent Member. Should the Deputy Chair wish to be considered for the role of Chairperson, the Court shall decide who, from among the lay membership and from those who do not wish to be considered for the role, should chair such discussions.
3. The sitting Chairperson of Court may take no part in the selection process for the new Chairperson and must absent him or herself from any discussion.
4. The October meeting of Court shall consider and approve the job description and person specification for the role of Chairperson of Court, which will have been drafted in advance by the Governance & Nominations Committee.
5. Once approved, an advert shall be prepared for publication giving notification of the vacancy, and the Governance & Nominations Committee shall determine the most appropriate means of advertisement in order to ensure as wide a range of applicants are encouraged, particularly those from underrepresented groups. Existing lay members of Court shall be eligible to apply to be appointed as Chairperson.
6. A timeline for appointment shall be prepared by the Governance & Nominations Committee which will seek to ensure that an appointment can be confirmed at the April meeting of Court, so that the successful candidate can attend the June meeting as an observer.
7. The shortlisting of candidates shall be carried out by the Governance & Nominations Committee. In delegating this task to the Governance & Nominations Committee, the Court shall separately establish rules for the composition of the Governance & Nominations Committee, such that there is always representation from: lay members, staff members, graduate members and student members of Court; and such that there is an appropriate balance of membership in terms of accepted equality and diversity principles.
8. Having made its decision regarding the shortlisting of candidates, the Governance & Nominations Committee shall make arrangements to interview the candidates.
9. In determining the composition of the appointing panel, the Court shall ensure it has a balanced membership in terms of accepted principles of equality and diversity. The appointing panel, which shall have a lay majority, shall comprise the following roles:
 - The Deputy Chairperson of Court (Senior Independent Member), who shall be the chair of the panel, provided that the Court shall appoint another lay member to act in this capacity should the Deputy Chairperson be a candidate;
 - The President of the Students' Association;
 - Two other lay members of Court, one of whom must be a committee convener;
 - A Graduates' Association Member of Court;
 - Two staff members of Court selected from those elected by the Senate, Academic Council and the non-academic staff;
 - The University Secretary shall assist the panel.
10. Separately, each candidate shall meet with the Principal, who shall provide comments on each of the candidates to the panel.
11. On conclusion of the interview process, and having received comments from the Principal, the Appointing Panel shall make a recommendation to Court for appointment, which Court shall consider at its meeting in April.

APPENDIX 5

FINANCE & POLICY COMMITTEE

(Minute 6(1))

A meeting of the Committee was held on 17 August 2015.

Present: Mr KA Richmond (Convener), Principal Professor Sir CP Downes, Mr R Bowie, Mr IC Howie, Mr T Hustler (President, Students' Association), Ms J Marshall, Mr EF Sanderson and Professor M Scott.

In Attendance: Mr J Elliot; University Secretary; Vice-Principal Professor K Leydecker; Director of Academic & Corporate Governance; Director of Campus Services; Director of Finance; Deputy Director of Finance; Director of Strategic Planning; and Clerk to Court.

Apologies: Deputy Principal Professor SM Black.

1. MINUTES

Resolved: to approve the minutes of the meeting of 7 May 2015.

2. MATTERS ARISING

Dundee Student Villages (Minute 2 (1))

[Secretary's note: The University Secretary and the Director of Academic & Corporate Governance declared an interest in this item as members of the DSV Board of Directors and left the meeting for the duration of this item].

The Director of Finance provided the Committee with an update on discussions relating to Dundee Student Villages (DSV). Members were informed that a valuation of the property assets has been requested by the bank.

It was agreed that a DSV update should no longer be a standing agenda item for every meeting.

Resolved: to note the update.

3. APPROVAL OF COMMITTEE REMIT

As part of the annual review of committee remits the Director of Academic & Corporate Governance introduced a revised remit and terms of reference for the Committee. It was noted that the Schedule of Delegation was under review and will be presented to the Committee for its consideration at the October meeting.

In reviewing the proposed remit members suggested that the remits of the Finance & Policy and Audit Committees should be in alignment and complement each other. Members also suggested that there should be a greater emphasis on the Committee's oversight and monitoring of major capital projects.

Resolved: to ask officers to revise the Remit and Terms of Reference for the Committee as indicated and to resubmit the proposal to the Committee at the October meeting alongside the Schedule of Delegation.

4. MANAGEMENT ACCOUNTS – PERIOD 11

The Committee received the management accounts for period 11 to end of June 2015 including reports on income and expenditure, capital expenditure, cash flow, balance sheets, treasury reports, and exchange rate trends.

Resolved: to note the accounts.

5. MANAGEMENT ACCOUNTS – PERIOD 12 (INTERIM) AND YEAR END TIMETABLE

Draft Period 12 accounts for the period to end of July 2015 were tabled at the meeting. The Committee noted that the figures were still subject to final review and external audit which would commence in September 2015.

Members noted that the year-end forecast had improved slightly and was for a deficit (before VS/Redundancy and gain on disposals) of £674k, an improvement of £568k since the period 11 year end forecast, and a positive variance of £2.0m relative to the budget.

The Director of Finance reported that a provision for £1.7m had been made for payments owed to the University in relation to the Dasman contract. Additionally a provision of £1.2m was made against possible ineligible costs in relation EU research awards.

Members noted that the cash balances had declined by £16m over the course of the year, partially due to the costs arising from the VS schemes but largely due to the working capital position unwinding as fewer research grants were paid for up front. The Director of Finance reported that work was progressing on identifying a replacement for the existing Barclays facility which will expire in April 2016 and that he expected a new facility to be in place before the end of the calendar year.

The Director also reported that the University had submitted a claim of £11m to HMRC for Research & Development Expenditure Credits. However, changes made by the Chancellor of the Exchequer in the July Budget meant that universities would not be eligible to make claims in the future. On advice of the external auditors, the year in which the income is included in accounts will depend on the release of funds by HMRC.

Members welcomed the new annex to the management accounts which detailed the contribution by each School to the central budget after the allocation of costs, including estates allocations.

Resolved: to note the draft accounts.

6. UPDATE ON TRANSFORMATION

The Director of Finance presented his regular report into the progress of key projects which had a financial impact on the University's transformation and financial outlook. In doing so he updated the Committee on Voluntary Severance (VS) approvals and projected savings. It was reported 57 applications had been approved with an estimated saving of £2.4m. In addition to the VS savings, the former College of Medicine, Dentistry & Midwifery had reduced its staff cost by £828k as a result of not replacing employees who had retired or moved to other organisations.

The Director also provided an update on the Universities Superannuation Scheme (USS). Members noted that changes to the scheme had been agreed and would be introduced on 1 April 2016. The structure of the scheme would become more complex for members while the University's contribution rate will increase from 16% to 18%. The Director highlighted that this was at the low end of the range of possible outcomes during the negotiation phase, however the changes would still result in an increase in the University's costs of £1.6m over a full year.

Turning to the Business Transformation Project the Director of Finance reported that ten pre-qualification questionnaires had been returned by the deadline of 3 August. These would be subject to scoring and up to five potential vendors would then be selected to move on to the next stage, the Invitation to Participate in Dialogue. Members were informed the first meeting of the Project Steering Group had taken place on 13 August and that the committee would receive the minutes at its next meeting.

The Principal introduced a paper from the Director of Organisational Development on the progress of the University's restructuring. It was noted that the three of the four Vice-Principal positions had been filled and, following internal advertisement, interviews would take place in September for the remaining post. The Committee also noted that eight Deans had been appointed, with one position remaining vacant which would be advertised externally. The Principal outlined the extent of communication with staff and students to keep them updated on the restructure.

In response to questions the Principal informed the committee that the University Executive Group (UEG) would take part in an 'away day' in late August to consider immediate objectives and priorities for the Deans and to finalise proposals to bring to the Court Retreat.

Resolved: to note the update.

7. REMUNERATION COMMITTEE

The Finance & Policy Committee received a paper from the Director of Organisational Change, on behalf of the UEG, outlining aspects that needed to be taken into account when considering the University's position with regard to remuneration of senior staff in this year's round.

It was reported that the UEG were of the opinion, given the University's financial position, that this year's remuneration round should demonstrate restraint without forgoing the ability to reward and retain grade 10 staff.

Members noted that a full review of the University's Remuneration Policy and Procedure was underway and that it was expected that a revised policy would be presented for consideration at the business meeting of the Court Retreat. Such a review was considered timely given restructuring. It was the recommendation of the Convenor of the Remuneration Committee that the revised policy should be implemented for the 2015/16 remuneration round if possible.

The Committee recommended that the Court approve the notional remuneration budget for 2015/16 of £105k.

Resolved: to recommend to Court that the suggested budget for the Remuneration Committee be approved.

8. STUDENT RECRUITMENT UPDATE

The Vice-Principal (Learning & Teaching) introduced a report from the Admissions & Student Recruitment Services summarising the University's position as at 14 August 2015 in relation to undergraduate and taught postgraduate recruitment for entry in 2015/16. The Vice-Principal also provided a verbal update in relation to Clearing activity since 14 August.

The Committee noted that the University's performance had been strong in relation to MD40, EU and Home undergraduate student recruitment, and that the University would exceed the MD40 targets agreed with SFC. The Vice-Principal informed the Committee that RUK numbers were approaching the target of 206 and he expected that Clearing applications would help exceed the target. Members noted that the University was performing well in Clearing, with a 23% increase in telephone applications, and that there was a high demand in the STEM subjects, particularly Mathematics. With regards to overseas recruitment, the full fee recruitment target had been matched in terms of firm acceptances but these numbers were less certain owing to the requirement for visas.

Turning to taught postgraduate recruitment, members noted the slight increase in firm acceptances for Home/EU and the slight decrease in firm acceptances for Full Fee applications. It was highlighted that a number of programmes which are particularly attractive to Full Fee PGT students were not running in 2015/16.

In response to questions regarding methods of increasing the number of applications from overseas students the Vice-Principal informed the Committee that he was working with the Vice-Principal (International) to identify how best to maximise the University's potential and reputation to increase recruitment. The Vice-Principal reported that a full update on this work would be presented to the Court later in the year.

Resolved: to note the report.

9. ESTATES AND BUILDINGS REPORT

The Director of Campus Services updated the Committee on a number of estates issues. He advised that a number of the combined heat and power (CHP) generators would need replaced in the near future. It was reported that a number of outside agencies have been approached to help finance the project including the Carbon Energy Trust and the Scottish Futures Trust. The Director also informed the Committee that the University expected to take possession of the vacant Park Primary School site in the near future. In terms of space rationalisation, members noted that approval had been given for the demolition of the former Biological Sciences Institute building.

Resolved: to note the update.

10. ENDOWMENTS SUB-COMMITTEE

The Committee received a report from the meeting of the Endowments Sub-Committee on 20 May 2015. In presenting the report the Convenor told the Committee that the investment performance had been strong and that the investment managers had been performing well.

Resolved: to note the report.

APPENDIX 6

FINANCE & POLICY COMMITTEE

(Minute 6(1))

A meeting of the Committee was held on 5 October 2015.

Present: Mr KA Richmond (Convener), Deputy Principal Professor SM Black, Mr R Bowie (by telephone), Mr IC Howie, Mr T Hustler (DUSA President), Ms J Marshall and Mr EF Sanderson;.

In Attendance: Mr J Elliot; University Secretary; Vice-Principal Professor K Leydecker; Director of Finance; Director of Strategic Planning; Head of Development (Minute 2); Director of Research & Innovation Services (Minute 8) and Clerk to Court.

Apologies: Principal Professor Sir CP Downes, Professor M Scott, Director of Academic & Corporate Governance and Director of Campus Services.

1. MINUTES

Resolved: to approve the minutes of the meeting of 17 August 2015.

2. ANNUAL FUNDRAISING REPORT

The Head of Development presented an annual report on fundraising campaigns. In doing so she provided an update on: cash receipts during the 2014/15 financial year; performance relative to competitors in terms of cash received and cost per pound of cash received; and the strategy and future approach to fundraising activities for the next year. The Committee noted that cash receipts had increased by £800k and that a significant pledge had been made by a benefactor to create a number of scholarships.

The Committee discussed the University's fundraising performance relative to competitors and noted the wide divergence of performance in this area across the sector, taking particular note of the outstanding performance of some institutions. In response to questions the Head of Development outlined proposed future staffing structures and members noted the key fundraising aims going forward.

Through discussion the Committee requested an update on progress made towards implementation of the recommendations from Graham Pelton's report.

Resolved: (i) to receive an update on progress implementing the recommendations from Graham Pelton's report; and
(ii) to note the report.

3. COMMITTEE REMIT & TERMS OF REFERENCE

A revised Committee remit was presented to the Committee for its consideration. Members made a number of suggestions for further refinement and officers undertook to bring a revised version before the Committee at its next meeting.

Resolved: to ask officers to refine the Remit and Terms of Reference and to submit these at the next meeting.

4. SCHEDULE OF DELEGATION

The University Secretary introduced a revised Schedule of Delegation. In doing so he explained it was necessary to update the Schedule to align with the new university structure and to ensure that the Schedule remained fit for purpose.

In reviewing the document members made a number of suggestions relating to the proposed delegated expenditure limits and the circumstances in which specific committees or office holders could refer decisions to higher levels of authority. The Convener proposed that a revised version, incorporating the Committee's suggestions, be circulated electronically in advance of the next meeting of Court for the Committee's further consideration.

The Committee also asked officers to consider the most appropriate way of reporting decisions exercised under delegated authority to the Court.

- Resolved:**
- (i) to note that a revised Schedule of Delegation would be circulated prior to submission to Court;
 - (ii) to await a proposal from officers on how best to record decisions taken under delegated authority.

5. MANAGEMENT ACCOUNTS (PERIOD 1)

The Committee received the management accounts for the period to end of August 2015 including reports on income and expenditure, capital expenditure, cash flow, balance sheets, treasury reports, and exchange rate trends.

- Resolved:** to note the accounts.

6. TRANSFORMATION

The Director of Finance presented his regular report on the progress of key projects which had a financial impact on the University's transformation and financial outlook. In doing so he updated the Committee on Voluntary Severance (VS) approvals and projected savings. It was reported 57 applications had been approved with an estimated saving of £2.3m. In addition to the VS savings, the former College of Medicine, Dentistry & Midwifery had reduced its staff costs by £828k as a result of not replacing employees who had retired or moved to other organisations.

The Director also provided an update on the Universities Superannuation Scheme (USS). Members noted that changes to the scheme had been agreed and would result in an increase in the University's costs of £1.6m over a full year.

The Director informed the Committee that as a result of the REF, funding derived from the Research Excellence Grant would be cut by £2.4m p.a phased in over the next three years.

In response to questions the Director of Finance informed the Committee that the costs arising from the voluntary severance scheme would be reported as restructuring costs in the accounts.

The Committee decided that a regular report on Transformation was no longer required as items were often considered under other agenda items.

- Resolved:** to note the report.

7. BUSINESS TRANSFORMATION PROJECT

The University Secretary introduced a paper detailing the project's governance and oversight arrangements including interactions between the Director, Project Team, Steering Committee, University Executive Group and Court. In doing so he reported that the Audit Committee had considered the documents at their meeting on 22 September. Members noted that the Finance & Policy Committee would receive regular updates on the project and would receive the minutes from meetings of the Project Steering Group for information. It was further explained that the role of the Audit Committee would be seeking project assurance through the internal audit plan.

The Committee were informed that the procurement phase of the Integrated Business project was on schedule and that a meeting of the Project Steering Group would take place on 6 October to shortlist vendors for the next the next stage.

In response to questions the University Secretary informed the Committee that the continued maintenance of current business systems would continue until such a time as the new integrated system was ready to launch. The Committee noted that the Director of IT was due to present a paper to the next meeting of Steering Group on the issue of continued support for existing systems including estimated costs.

The Convener of the Audit Committee informed the Committee that the University was still hoping to appoint an individual with experience of large IT / business transformation projects to the Audit Committee.

- Resolved:** (i) to note the minutes of the Project Steering Group held on 13 August; and
(ii) to note the update.

8. **RESERVED BUSINESS: KNOWLEDGE EXCHANGE & SUSTAINABILITY IN THE SCHOOL OF LIFE SCIENCES**

[Secretary's note: Mr KA Richmond declared an interest in this item and offered to step out of the Chair for the duration of discussion, however the Committee deemed this unnecessary.]

The University requires members to treat the discussion and all papers for this item as strictly confidential and exempt from public disclosure. The University claims the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002.

The Committee received an update from the Director of Research & Innovation Services concerning the Drug Discovery Unit (DDU) and the Creative Fund for Research Exploitation (CURE). The Director informed the Committee of recent positive developments to secure funding for the DDU, including the interest of one of the UK's leading investors in biosciences. The Director undertook to provide an update at the Committee's next meeting.

- Resolved:** (i) to await an update from the Director of Research & Innovation Services at the next meeting;
(ii) to note the update.

9. **YEAR END AND DRAFT FINANCIAL STATEMENTS FOR 2014/15**

The Director of Finance confirmed that the year-end process was on track and that there were no major findings from the external auditor at the time of the meeting. The Director also presented the Draft Statutory Report and Financial Statements for 2014/15. In doing so the Director informed the Committee that the accounts were still subject to audit and should be considered as a draft. The Committee would receive audited accounts for consideration at the November meeting before submission to Court for approval at the December meeting.

The operating surplus, before restructuring costs of £4.1m, was £9.4m, which included £11m related to the University's claim for Research & Development Expenditure Credits (RDEC). In response to questions the Director of Finance explained that on the advice of the British Universities Finance Directors Group he had included £11m relating to the RDEC claim in the draft accounts for 2014/15. As a result of the University's claim a provision of £2.2m had been made in respect of UK Corporation Tax. The Committee noted that income from the Scottish Funding Council (SFC) had increased to £88.7 from £87.6m, while income from tuition fees and education contracts rose to £44.5m from £40.9m. Research grants and contracts increased from £79.0m to £82.4m. Total expenditure increased from £244.9m to £248.4m with staff costs increasing by £577k, other operating expenses decreasing by £900k and depreciation increasing by £2.7m.

In the discussion which followed members noted that the Operating & Financial Outlook would need to explain the underlying financial performance of the University and to stress that the 3-Year projections approved in June remain challenging.

The Chair of Court also undertook to provide further context in his statement to the corporate accounts.

- Resolved:** to note the draft accounts.

10. **FUNDING STRATEGY**

[Secretary's note: Mr J Elliot declared an interest in this item as his former employers, QMPF, are advising the University on this issue.]

The Director of Finance introduced a paper outlining the proposed strategy for replacing the existing credit facility which expires in March 2016. The Committee noted that although the current facility remains undrawn the University's cash balances have declined and the 3-Year projections, approved by Court in June, indicate the need to draw down on borrowings in 2016/17.

Members noted that at regular meetings with the University's relationship banks the need for a replacement facility had been routinely discussed. Royal Bank of Scotland (RBS), Lloyds / Bank of Scotland, Barclays and Santander have all expressed an interest in providing a credit facility to the University due to the University's strong reputation and recent league table success. The Director of Finance also provided the Committee with a draft Information Memorandum for Funders and members noted that QMPF had been retained as advisers to the University on the issue.

The Director outlined his proposal to acquire a revolving credit facility of between £40m and £50m. The Committee noted that owing to the uncertainties present in the external funding environment, namely a possible reduction in SFC core funding, the deterioration in underlying trading performance and the need to support strategic investment to underpin required recruitment activities the maximum likely requirement for borrowing was £38m.

The Director also informed the Committee that borrowing requirements for 2015/16 would be heavily dependent upon receipt of the claim to HMRC for Research & Development Expenditure Credits. In the discussion which followed members considered it unlikely that receipt of the claim from HMRC would be delayed as the first payment had already been received in July. As a result some members suggested that a lower facility in the region of £30m to £40m might be sufficient.

With regards to timing, the Director of Finance stated he hoped that a proposal could be made to Court in February for approval and that he would provide an update at the next meeting of the Committee.

Resolved: to note the paper.

11. TREASURY ANNUAL REPORT

The Director of Finance introduced a review of Treasury Operations in 2014/15 including counterparty risk, counterparty limits, liquidity risk, foreign currency balances, currency swaps and inflation risk. The Director informed the Committee that RBS had fallen below the standard set with regards to counterparty risk.

The Director of Finance informed the Committee that RBS was the University's main banker and provides deposit, current and payment account facilities. To avoid counterparty risk in accordance with the Treasury Policy it would be necessary to transfer all funds from RBS and set up a new transactional relationship with one of the other relationship banks. It was noted that this would be a particularly inconvenient time when there are other significant changes occurring across the University.

The Director of Finance sought the Committee's approval for RBS to remain the University's main banker while minimising the cash balances held in the bank by increasing the proportions held by other relationship banks. It was noted that the Committee had approved continued use of RBS in March 2015 when the Fitch Rating had dropped to F1.

In the discussion which followed afterwards it was noted by members that the overall risk was low given the government's substantial stake in RBS and that a huge upheaval in changing banking arrangements at this time would not be in the University's best interest.

The Director of Finance informed the Committee that the remainder of Treasury operations in 2014/15 had been in line with the established policy. The Committee noted the prudent use of currency swaps to create liquidity during times of peak demand for GBP cash, such swaps did incur small exchange losses but it was noted that these were lower than the interest which would have been payable on GBP borrowings.

Resolved:

- (i) to approve the Director of Finance's recommendation to retain RBS as the University's main banker;
- (ii) to receive an update at the next meeting on which bank had been selected to receive an increased proportion of cash deposits;
- (iii) to note the report.

12. STUDENT RECRUITMENT UPDATE

The Vice-Principal (Learning & Teaching) introduced a report from the Admissions & Student Recruitment Services summarising the University's position as at 24 September 2015 in relation to undergraduate and taught postgraduate recruitment for entry in 2015/16.

The Committee noted that the University's performance had been strong in relation to MD40, EU and Home undergraduate student recruitment, and that the University would exceed the MD40 targets agreed with SFC by 113. The Vice-Principal informed the Committee that RUK numbers had exceeded the target of 206 with 259 matriculations. Members noted that the University had a mixed performance in Controlled subjects. Medicine had recruited 140 against a cap of 147, Dentistry had met cap with 57 matriculations, Education & Social work was slightly under with 282 matriculations against a cap of 286 and Nursing had come in under cap with 385 matriculations against a cap of 401. With regards to overseas recruitment, 22 controlled applicants had matriculated against a cap of 22 and 53 uncontrolled applicants had matriculated against a target of 84 with a further 20 waiting on visas.

Turning to taught postgraduate recruitment, members noted 304 matriculations for Home/EU against a target of 350 and that matriculations for Full Fee stood at 233 against a target of 351. It was highlighted that a number of programmes which are particularly attractive to Full Fee PGT students were not running in 2015/16. The Vice-Principal informed Committee that an additional 40 applicants were waiting on visas and may matriculate by the 16 October.

In response to questions regarding the disappointing Full Fee postgraduate recruitment the Vice-Principal informed the Committee that the visa requirements and lack of work and post-doctoral opportunities were detrimental to the University's performance and that of the UK sector in general.

Resolved: to note the report.

13. MINISTERIAL LETTER OF GUIDANCE

The Committee received a copy of the Strategic Guidance from the Cabinet Secretary for Education and Life Long Learning to the Scottish Funding Council (SFC). Members noted the lack of funding figures and volume targets as the Scottish Government is awaiting the publication of the UK Government's Comprehensive Spending Review in November.

Resolved: to note the letter of guidance.

14. PENSIONS SUB-GROUP

The Committee received a minute of the meeting of the Pensions Sub-Group on 17 August 2015. The Committee noted the discussions on the University of Dundee Superannuation Scheme and future contributions following the Scheme's actuarial valuation as at 31 July 2014.

Resolved: to note the report.

APPENDIX 7

SCHEUDLE OF DELEGATION (Minute 6(2))

On 26 October 2015 the Court of the University of Dundee approved the Schedule of Delegation and Decision-Making Powers with effect from 26 October 2015. This supersedes all previously approved Schedules of Delegations and Decision-Making Powers.

1 Purpose

In terms of the Schedule, specific powers are reserved to the University Court. Others are delegated by the University Court, as set out in the Table to the Schedule. The Schedule determines the authority within the University for decisions which commit the University to a contractual or quasi-contractual arrangement made on its behalf. Notwithstanding the Schedule, the University Court may from time to time choose to reserve decision making authority to itself in relation to any particular issue or issues. Authorities not delegated under the Schedule remain with the University Court.

The Schedule identifies responsibility for final ('ratification') of decision-making and not responsibility for formulating strategic, policy and business proposals. The Schedule is not intended as a general description of roles, remits and responsibilities.

The University Court will determine arrangements for summer vacation powers at its June meeting each year.

2 Framework

As the governing body of the University, the University Court is responsible for:

- approving corporate strategy and associated plans and budgets;
- determining major business decisions and corporate policy;
- the framework of governance and management; and
- monitoring institutional and executive performance.

As the academic authority of the University, the Senatus Academicus (Senate) is responsible for academic governance, and specifically for regulating, in accordance with the Charter and Statutes:

- the admission of students;
- the curriculum and assessment;
- the maintenance and enhancement of academic standards; and
- the award of degrees and other qualifications.

Operational responsibility for these matters may be delegated as outlined below.

As the chief executive and senior academic officer of the University, the Principal & Vice-Chancellor is responsible to the University Court for:

- the operational management of all aspects of the University's work.

This responsibility is in accordance within the framework laid down by the University's Charter, Statutes and Ordinances, the Financial Memorandum between the University and the Scottish Funding Council and the University's Financial Regulations.

The University Court authorises individuals and bodies in whom authority is vested by the Scheme to sub-delegate to other individual office holders, provided only that such sub-delegation is consistent with the financial and other regulations and formally recorded and reported appropriately.

While certain powers are delegated to specific committees or individual office holders, any committee or office-holder may decide, on an exceptional basis, that a particular issue requires to be considered, ratified or signed off by a higher level of authority.

The Audit Committee may investigate any matters within its terms of reference with full access to information and University personnel and may engage the University's internal and external auditors to do so. The Committee shall bring to the attention of the Chairperson of Court any matter of concern.

Table to the Schedule

Area of Delegation	Authority Delegated to:	Authorised Signatory
1 Strategic and Governance		
1.1 Strategy		
1.1.1 Approve University Strategy, financial forecasts and ancillary documents prior to submission to SFC.	University Court	Director of Finance
1.1.2 Approve process for appointment of internal and external auditors.	Audit Committee	
1.1.3 Appointment of auditors external/internal	University Court on the recommendation of the Audit Committee	
1.1.4 Approve internal audit needs assessment and internal audit strategic and operational plans	Audit Committee	
1.1.4 Approve annual report of internal auditors for submission to SFC	University Court on the recommendation of the Audit Committee	
1.1.5 Approve areas for reporting via Key Performance Indicators.	University Court	
1.2 Academic Governance		
1.2.1 Approve degree regulations	Senatus Academicus	
1.2.2 Award degrees and other qualifications, including honorary degrees	Senatus Academicus	
1.3 Governance		
1.3.1 Approve appointment of Chancellor (in consultation with Senate)	University Court (in consultation with the Senatus Academicus)	
1.3.2 Approve changes to Charter and Statutes and new Statutes	University Court (in consultation with Senate and subject to Privy Council ratification)	
1.3.3 Approve the standing orders for operation of Court	University Court	
1.3.4 Approve changes to Ordinances and new Ordinances (in consultation with Senate)	University Court (in consultation with the Senatus Academicus)	
1.3.5 Approve creation and alteration of the structure of the University including Schools and their constitutions	University Court (in consultation with the Senatus Academicus)	
1.3.6 Approve appointment of co-opted members of Court	University Court	
1.3.7 Approve membership of Court Committees	University Court	
1.4 Elections		
1.4.1 Approve appointment of members of Senate Committees	Senatus Academicus	University Secretary

1.4.2 Elect Senatorial members of Court	Senatus Academicus	University Secretary (delegate Director of Academic & Corporate Governance)
1.4.3 Elect Academic Council representatives to Court	Academic Council	University Secretary
1.4.4 Elect Academic Council representatives to Senate	Academic Council	University Secretary
1.4.5 Elect representatives to Senate	School Boards	School Manager
1.4.6 Elect Rector	DUSA (in consultation with the University Court and Senatus Academicus)	
1.5 Policies and Regulations		
1.5.1 Approve policy for the admission of students to the University	Senatus Academicus on the recommendation of the Recruitment & Admissions Committee	
1.5.2 Approve Financial Regulations	Finance & Policy Committee	
1.5.3 Approve guidelines for University investments	Finance & Policy Committee	
1.5.4 Approve changes to accounting policies	University Court on the recommendation of the Finance & Policy Committee	
1.5.5 Approve policies and procedures affecting human resources, including health & safety and equality & diversity	University Court	
1.5.6 Determine an ethical review process and policy on all matters relating to animals on University premises	Welfare & Ethical Use of Animals Committee	
1.5.7 Approve changes to the Financial Procedures Manual and Purchasing Manual	Director of Finance	
1.6 Appeals and discipline		
1.6.1 Receive and determine appeals from undergraduate students against termination of their studies	Termination of Studies (Appeals) Committee	
1.6.2 Receive and determine academic appeals by undergraduate/postgraduate degree candidates	Undergraduate/Postgraduate Appeals Committee	
1.6.3 Exercise full disciplinary powers in relation to students (Ordinance 40)	Vice-Principals and Ordinance 40 Authorised Officers	
1.7 Other		
1.7.1 Approve degree programme content and assessment methods	Quality & Academic Standards Committee on the recommendation of School Boards	
1.7.2 Approve the formation of subsidiary, spin-out and associated companies	Principal with the counter signature of the Director of Finance	
1.7.3 Approve the winding up of subsidiary, spin-out and associated companies	Finance & Policy Committee	
1.7.4 Approve honorary professorial appointments on recommendation of Executive Group	Senatus Academicus/Vice-Principal (Academic Planning & Performance)	
1.7.5 Approve conferment of Emeritus titles on former members of staff	Senatus Academicus	

2 Finance		
2.1 Academic Budgets		
Approve student fee rates after appropriate consultation.	University Executive Group	
2.2 Budgets		
2.2.1 Approve financial strategy, including annual capital programme and annual budgets for Schools and support services (and in-year changes to budgets amounting to more than 1% of turnover).	University Court on the recommendation of the Finance & Policy Committee	
2.2.2 Approve annual accounts, including those of subsidiary companies	University Court	
2.2.3 Approve allocation of resources within Schools and Directorates	Deans of Schools / Directors of Professional Services	
2.2.4 Approve expenditure within agreed budgets and in accordance with the Financial Procedures Manual	Deans of Schools / Directors of Professional Services	
2.2.5 Approve projects for funding from the central strategic investment fund	University Executive Group	
2.3 Revenue & capital budgets		
2.3.1 Approve business plans for projects involving non-capital spend with an annual value of:		
i) less than £75,000	Deans of Schools / Directors of Service with the countersignature of the University Secretary or Director of Finance	
ii) more than £75,000 and up to £500,000	University Executive Group	
iii) Over £500,000 pa	Finance & Policy Committee	
2.3.2 Approve specific capital projects with an anticipated value of:		
i) Up to £0.5m pa	University Secretary with countersignature of the Director of Finance	
ii) Over £0.5m up to £1m pa	University Executive Group	
iii) Over £1m	University Court on the recommendation of the Finance & Policy Committee	
2.3.3 Approve applications to external funding bodies for capital projects where a commitment to a financial contribution on the part of the University of more than £1m is included	Finance & Policy Committee	
2.4 Collaborations		
2.4.1 Strategic approval of major collaborations international/national	University Executive Group	Principal. Vice-Principals. University Secretary
2.4.2 Approve International Collaboration Agreements	University Executive Group	Principal, Vice-Principal (Internationalisation) or Vice-

		Principal (Learning & Teaching), University Secretary
2.4.3 Approve UK Collaboration Agreements	University Executive Group	VPs/University Secretary
2.5 Acquisition or Disposal of Assets or property leasing agreements (lessor and lessee)		
Approve of acquisition disposal of assets and leases valued at:		
i) Up to £5k	Deans of Schools/ Directors of Professional Services	
ii) £5k-£1m	University Secretary with the countersignature of the Director of Finance (subject to appropriate required approval on disposal for publicly funded assets)	
iii) more than £1m	University Court on recommendation of the Finance and Policy Committee	
2.6 Contracts		
Approve non-research related contracts or amendments to contracts with a value of:		
i) Up to £500k	University Secretary with the countersignature of the Director of Finance	
ii) >£500k and up to £750k	Principal with the countersignature of the Director of Finance	
iii) over £750K	Finance & Policy Committee	
2.7 Loans		
2.7.1 Countersignature of loans and grants to subsidiary, spin-out and associated companies up to £100k	Director of Finance & Secretary required to both countersign.	
2.7.2 Approve loans and grants to subsidiary, spin-out and associated companies of more than £100k	Finance & Policy Committee	
2.8 Car Parks		
Approve charges for the use of University car parks	University Secretary	
2.9 Treasury & Cash Management		
Oversee treasury management policies and procedures required to ensure that cash resources are managed securely and efficiently.	Director of Finance with an annual report to the Finance & Policy Committee	
2.10 Bank Accounts		
Approve administrative and security arrangements relating to University investments and bank accounts.	Director of Finance with an annual report to the Finance & Policy Committee	
2.11 Borrowing Arrangements		

Enter into borrowing arrangements, and renew as necessary, in accordance with financial strategy approved by Court	Director of Finance with an annual report to the Finance & Policy Committee	
3 Research grant applications and awards		
3.1 Approve research-related contracts or amendments/cancellation of contracts	Director of Research & Innovation Services	
3.2 Approve all grant funding applications, provided that where a separate arrangement has been agreed with an individual School or unit, this authority may be delegated to that School or unit up to a value of £50k, and provided it is within agreed parameters	Director of Research & Innovation Services	
3.3 Approve licensing agreements on behalf of the University	Director of Research & Innovation Services	
4 Clinical Trials		
4.1 By means of the Sponsorship Committee, to receive and determine applications for the sponsorship of all Clinical Trials of Investigational Medicinal Products (CTIMP Clinical Trials), all regulated device trials and those clinical research studies which in the view of TASC Research Governance Managers present significant risk.	R&D Director, Tayside Medical Sciences Centre (TASC)	
4.2 Approve contracts relating to the performance of CTIMP clinical trials, regulated device trials and all clinical research studies administered by TASC, or the amendment or cancellation of such contracts, excluding contracts solely relating to University intellectual property or where the University has responsibility for commercial outcomes from work.	R&D Director, Tayside Medical Sciences Centre (TASC)	
4.3 Receive and determine applications for the sponsorship of all other clinical research studies.	R&D Director, Tayside Medical Sciences Centre (TASC)	
4.4 Approve grant funding applications up to £50k.	R&D Director, Tayside Medical Sciences Centre (TASC)	
4.5 Where required, approve the contractual terms and conditions associated with grant funding awards solely for CTIMP trials, regulated device trials and clinical research studies administered by TASC, in conjunction with RIS	R&D Director, Tayside Medical Sciences Centre (TASC)	
5. Purchasing Procurement procedures as laid out in the Procurement Financial Operating Procedures and the Project Management operating Procedures must be complied with at all times. Particular attention should be paid to the requirements for best value purchasing and the tendering requirements for purchases in excess of the OJEU thresholds.	Director of Finance	
6. Staff Related The process of staff appointment follows a pattern where authorisation is given to proceed to advertise and interview. This delegated authority to provide this authorisation is outlined in 8.1 to 8.4 below. An interview panel is then convened to determine the most suitable candidate(s) and to make appointment.	Director of Human Resources Chair of Appointing Committee and HR Officers	

However, in the case of academic appointments, it is the role of the Director of Human Resources to make the formal offer of appointment.		
7.1 Appointments to Named Positions		
7.1.1 Approve appointment of Principal & Vice-Chancellor (in consultation with Senate)	University Court (in consultation with the Senatus Academicus)	
7.1.2 To ensure that the performance of the Principal, as head of the University, is assessed on an annual basis by means of a review annually by the Chair of Court using the University's Objective-Setting & Review process.	Remuneration Committee	
7.1.3 Approve appointment of Vice-Principal(s) (in consultation with Senate)	University Court (in consultation with the Senatus Academicus)	
7.1.4 Approve appointment of University Secretary (in consultation with Senate)	University Court (in consultation with the Senatus Academicus)	
7.1.6. Appoint Deans, in consultation with School Boards	Principal	
7.1.7 Approve appointment of internal and external auditors	University Court on the recommendation of the Audit Committee	
7.2 Recruitment of staff		
General	University or authorised delegates	
7.2.1. Approve requests from budget-holders to recruit core funded staff	University Executive Group	
Academic		
7.2.2 Approve creation of new posts	Staffing Sub-Group (Executive Group authorised delegates)	
7.2.3 Approve filling of vacant posts and extension of existing posts within budget	Deans of Schools, Directors of Professional Services	
7.2.4 Approve extended leave of absence for academic staff	Vice-Principals	
7.2.5 Approve honorary appointments in Schools (except professorial)	School Boards	
7.2.6 Approve appointments of Conveners of programme boards	School Boards	
7.2.7 Approve appointment of external examiners	Deans of Schools	
7.2.8 Approve membership of professorial Appointing Committees	Principal	
Non-Academic		
7.2.9 Approve creation of new posts, filling of vacant posts and extension of existing posts in Professional Services	University Secretary	Staffing Sub-Group
7.2.10 Approve membership of appointing committees for Professional Services grade 10 appointments	University Secretary	[Staffing Committee]
7.2.11 Approve appointments of Professional Services grade 10 staff	University Secretary	

7.2.12 Approve severance terms and substantial changes to pay and/or terms and conditions of the Principal & Vice-Chancellor.	University Court	
7.3 Salary and staff payments		
General		
7.3.1 On behalf of University Court to approve salary increases for the Principal and members of the University Executive Group , which shall include consideration of amounts being awarded and equality issues particularly in relation to gender and other protected characteristics	Remuneration Committee	
7.3.2 To approve for salary increases for Grade 10 staff recommended by each School and Professional Services, which shall include consideration of amounts being awarded and equality issues particularly in relation to gender and other protected characteristics. The purpose of this and any other analyses will be to ensure that the Committee can assure itself and the Court of the fairness and consistency of the process and its outcomes.	University Executive Group	
7.3.3 To benchmark where to position the University and individual roles relative to other institutions, paying particular attention to information provided by the UCEA senior salary survey, but to use such comparisons with caution in view of the risk of an upward ratchet in remuneration levels;	Remuneration Committee	
7.3.4 To recommend to Court a University policy on senior staff severance that sets out general principles regarding all severance packages; and, if required, to approve under delegated authority early retirement or severance terms for the Principal, Vice-Principals, University Secretary or Director of Finance within clear boundaries determined by that policy.	Remuneration Committee	
7.3.5 To consider any requests by senior staff to undertake consultancy, other paid work or serve as a non-executive director or similar where remuneration exceeds £5,000 per annum, and in any instances relating to the senior management team; and to have due regard to issues of the time demands, remuneration and possible impact on reputation associated with such activities when reaching a decision.	Remuneration Committee	
7.3.6 To maintain an overview of emerging and best practice in relation to remuneration policy and practice in higher education, and the public and private sectors more generally, so as to be able to make recommendations to the Governance & Nominations Committee and the Court on future enhancements to the University's approach to senior staff remuneration.	Remuneration Committee	
Academic		
7.3.7 To determine maximum levels of management responsibility payments and Honoraria for Deans and Associate Deans	Principal/Remuneration Committee	
Non-Academic		

7.4 Re-gradings and promotions		
Academic		
7.4.1 Determine promotions to senior lecturer	School Staff Review Groups (Academic)	
7.4.2 Approve accelerated advancement and contribution-related points	School Staff Review Groups (Academic)	
7.4.3 Approve confirmation of appointments following probation	School Staff Review Groups (Academic)	
7.4.4 Hear first stage appeals	School Staff Review Groups (Academic)	
7.4.5 Approve promotions to Reader	Standing Committee on Readerships	
7.4.6 Initiate procedures for promotion to personal chairs	Principal	
7.4.7 Approve promotions and appointments to Chairs	Principal	
Non Academic		
7.4.8 Determine accelerated advancement and contribution-related points for Professional Services staff	Professional Services Annual Review Group	University Secretary
7.5 Termination of Employment		
a) For disciplinary reasons for core staff academic b) For non-disciplinary reasons and where compensation costs incurred	University Court	
7.5.1 Approve arrangements for making academic and academic-related posts redundant and approve any subsequent redundancies.	University Court	
7.5.2 Approve early retirement and voluntary severance cases, where these are in line with agreed guidelines	Executive Group	
7.5.3 Approve arrangements for hearing appeals for members of staff and for other proceedings under Statute 16 (except redundancy)	University Secretary	
7.5.4 Dismissal of academic staff	University Court or authorised delegation	
7.5.5 Approve the dismissal of Professional Services staff	Director of Human Resources	
7.6 Superannuation		
7.6.1 Be consulted on changes to employer's contributions to the University of Dundee Superannuation Scheme	Finance & Policy Committee	
7.6.2 Approve arrangements for superannuation of employees.	University Court	
7.7 Other		
7.7.1 Approve appointment of University employees as directors of subsidiary, associated and spin-out companies	Principal	
7.7.2 To approve exceptional removal and other expenses where the amount is greater than £10,000.	Remuneration Committee	

APPENDIX 8

AUDIT COMMITTEE (Minute 8)

A meeting of the Committee was held on 22 September 2015.

Present: Mr J Elliot (Convener), Mr R Bint, Dr WGC Boyd, Ms B Malone, and Ms SS Morrison-Low.

In Attendance: Mr KA Richmond; University Secretary; Director of Finance; Director of Business Transformation (Minute 2 (1)); Director of IT & Chief Technology Officer (Minutes 2 (1) & 6 (2)); Mr C Brown (Scott- Moncrieff); Ms K McFarland (Pricewaterhouse Coopers (PwC)); Mr R McKenzie (Scott-Moncrieff); Ms L Paterson (PwC) and Clerk to Court.

Apologies: Director of Academic & Corporate Governance.

1. MINUTES

Resolved: subject to minor revisions, to approve the minutes of the meeting of 20 May 2015.

2. MATTERS ARISING

(1) Business Transformation ERP Governance (Minute 2(2))

The Director of Business Transformation updated the Committee in relation to the governance of the Integrated Business System and the procurement phase of the Enterprise Resource Planning (ERP) project. The Director tabled a paper detailing the project's proposed governance and oversight arrangements including interactions between the Director, Project Team, Steering Committee, University Executive Group and Court. The Director also provided the Committee with the minutes from the Project Steering Group's first meeting held on 13 August.

Members of the Committee sought reassurance that the risks of the project had been adequately reflected in the project plan and members proposed several amendments to the governance paper concerning project assurance and the level of controls in place to ensure that the project progressed within budget and on time. The Committee also considered the involvement of the internal auditors at key points to provide additional project assurance. The Director of Business Transformation and University Secretary undertook to review the paper in the light of the discussion and to bring it before the Committee at its next meeting.

The Director also outlined the tendering process for the new systems. The Committee noted the process had been launched in July 2015 and ten submissions had been received, five of which had been shortlisted and issued with an 'Invitation to Participate in Dialogue' (ITPD). In response to questions, the Director outlined the proposed scoring mechanisms which would determine progression to the next stage.

Resolved: (i) to consider the project's governance arrangements at the next meeting on 30 November 2015;

(ii) otherwise, to note the update.

(2) International Partnerships Unit (Minute 4(2))

The University Secretary informed the Committee that the International Partnerships Unit was established on 1 August under Dr Rob Ford.

Resolved: (i) to note the establishment of the International Partnerships Unit.

(ii) to invite Dr Ford to the next meeting of the Committee to detail the work of his unit from the perspective of control and compliance

(3) Draft Internal Audit Plan 2015/6 (Minute 4(5))

The University Secretary informed the Committee that he had discussed with Scott-Moncrieff their role in auditing the processes for voluntary severance payments. It was agreed that Scott-Moncrieff would validate the process at least once in the three year audit cycle and that the external auditors would meantime continue to consider any payments as part of the annual external audit process.

Resolved: to note the update.

(4) Risk Management: Business Continuity Planning (Minute 9(1))

The Committee noted that due to the absence of Dr Laker a paper would be provided at the next meeting.

Resolved: to await an update by the Director of Academic & Corporate Governance at the next meeting of the Committee on 30 November 2015.

(5) Membership of the Committee

The Committee noted that there was still a desire to co-opt an individual with experience in IT, business transformation or organisational change. It was suggested that the Governance & Nominations Committee should consider the issue at its next meeting. In the meantime members were asked to contact either the Convener or the University Secretary if they knew of suitable individuals with the appropriate experience.

Resolved: to note the update.

3. **CONVENER'S REPORT**

Members noted that the Convener had met with the internal and external auditors and that both were satisfied with the relationship with the University. The Convener also informed the Committee that he had discussed with the external auditors the University's claim to HMRC relating to Research & Development Expenditure Credits and how best to record any claim received.

Resolved: to note the update.

4. **UPDATES: FRAUD**(1) Notification of Investigation Outcome

The University Secretary informed the Committee that the disciplinary process had concluded and that a member of staff had been issued with a first and final warning relating to an expenses claim.

Resolved: to note the update.

(2) Incident of Suspected Fraud

The Director of Finance informed the Committee of a suspected incident of fraud relating to a suspicious invoice for IT software purportedly from Microsoft. Procedures were followed to verify the invoice and no payment was made. The issue has been reported to Microsoft.

Resolved: to note the update.

5. **EXTERNAL AUDIT PLAN**

The external auditor provided an update on progress in relation to the external audit. The Committee noted that the audit of subsidiary accounts had been completed and that at the time of the meeting no significant issues had been raised.

Resolved: to note the update.

6. INTERNAL AUDIT

(1) Estates Asset Management

The auditors provided an overview of their report into Estates Asset Management. In doing so they highlighted that the review had found no high risk or fundamental failures of key control procedures. The report made three moderate and two limited risk level recommendations in areas where the audit team believed there was scope for improvement. These included: updating the Estates Strategy to reflect current strategic priorities, providing greater oversight of estate management by appropriate committees, demonstrating compliance with key legislation and providing evidence that the needs and views of stakeholders are considered when designing asset development plans.

In response to questions regarding the Estates Strategy, the University Secretary informed the Committee that the current strategy covers the period 2008 – 2018 but given the changes since the Strategy was published it would be both timely and beneficial to review it before 2018. Members supported the recommendation that estates business should be considered in greater detail by the Court in addition to the current reporting arrangements.

Resolved: to note the report.

(2) IT Asset Procurement

The Auditors introduced their report on IT Asset Procurement. In doing so they highlighted the focus of the audit had been to consider the processes and controls in place concerning IT procurement across a sample of Schools and Directorates. Additionally the review also considered the level of consistency applied when recording IT assets. The report made four high risk and two moderate risk level recommendations in areas where the audit team believed there was scope improve the control procedures in place. These included: greater consistency throughout the University in applying procurement frameworks, the creation of an IT asset catalogue which sets out approved devices for purchase, the creation of a comprehensive IT asset database to record hardware and software assets and the implementation of a formalised approach for the renewal of IT assets.

The auditors informed the Committee that progress towards meeting the recommendations contained within the report would be essential to ensure the success of the wider business transformation project. The auditors also noted the positive management response to the areas highlighted in the report and the fact that management had commissioned this audit because it was aware that there were issues in these areas.

In response to questions the Directors of Finance and IT informed the Committee that the procurement issues are being addressed as an immediate priority. As a result of the university restructuring all the Schools will use the Professional Electronic Commerce Online System (PECOS) to streamline procurement processes. In relation to other aspects highlighted in the report, the University Executive Group had considered the findings and approved the response and timeframes contained in the paper.

The Director of IT informed the Committee that as a result of the recent restructuring his directorate was better placed to meet the needs of users across the university which would assist in meeting the required management responses.

Resolved: to note the report.

(3) Follow-up Report 2014/15

The auditors presented a report which set out the University's progress in implementing internal audit recommendations from previous years. In introducing the report the auditors informed the Committee that they had revised and aligned outstanding KPMG recommendations to Scott-Moncrieff's risk grading structure.

The auditors considered the progress made by management in addressing 96 recommendations which were outstanding at the time of the last report by KPMG and those which were subsequently made in 2014/15. It was reported that 30 (31%) of these recommendations had been implemented and had been provisionally closed pending the receipt of robust evidence. Of the 66

outstanding actions; 31 (47%) were classed as 'in progress', 16 (24%) were deemed to have been superseded by the Business Transformation Project and 19 (29%) were not yet due for completion. It was noted that at the time of the meeting there were no high risk actions outstanding and the majority of outstanding actions were classed as moderate or lower risk.

In discussing the follow-up report, some members questioned the high level of outstanding actions and queried the number of actions on which evidence of completion was outstanding. In response the auditors and University Secretary undertook to provide an updated report at the next meeting which would address the points raised.

Resolved: (i) to await an update at the next meeting;
(ii) otherwise, to note the report.

(4) Annual Internal Audit Report 2014/15

The Committee received the auditors' annual report on the effectiveness of the system of internal control. The Audit Manager informed the Committee that there had been no restrictions placed on the auditors and all work was carried with the support of University staff.

The auditors' assessment was that 'reasonable assurance can be given that the governance, risk management and internal control arrangements in place at the University of Dundee are adequate and effective' and 'the University of Dundee appears to have in place adequate arrangements in place to promote and secure value for money, deliver best value and secure regularity and propriety in the administration and operation of the University'. The report also summarised the major recommendations from the year's audit work.

Resolved: to note the report.

(5) Internal Audit Plan 2015/16

The Audit Manager for Scott-Moncrieff outlined the 2015/16 Internal Audit Plan which was updated following feedback from university management and the Committee at the meeting of 20 May. The Committee noted that the audit areas to be considered in the 2015/16 plan included; Payroll, Expenses, Expenditure & Creditors, Student Recruitment, Research Contracts, School Reviews, Health & Safety and work related to the Business Transformation Project.

In response to questions the Audit Manager informed the Committee that the 'School Reviews' would consider progress towards the streamlining of processes and the removal of duplication in line with the 'hub and spoke' model adopted during the University's restructuring – and as such were linked to the broader business transformation programme. The Audit Manager acknowledged that there was a significant degree of overlap with the proposed audit of the Business Transformation Project and undertook to consult further with university management on this issue and to report back at the next meeting.

Resolved: to note the 2015/16 Audit Plan and to await clarification at the next meeting on the distribution of time between the School Reviews and Business Transformation audits.

7. WHISTLEBLOWING & PUBLIC INTEREST DISCLOSURE POLICY

The University Secretary introduced an updated version of the University's Whistleblowing & Public Interest Disclosure Policy. Members considered that while the draft policy addressed the specific requirements associated with protected disclosures, it did not provide a broad enough perspective to cover other areas where the University would wish to encourage concerned persons to 'blow the whistle'. They offered a number of further suggestions and proposed amendments including; the need for the policy to reflect the guidance contained with the 2013 Scottish Code of Good Governance, the inclusion of a procedure to deal with vexatious or malicious claims and an expanded list of individuals to whom a disclosure could be made.

Resolved: to ask officers to submit a revised policy at the next meeting.

8. **LEGAL MATTERS (RESERVED BUSINESS)**

The University requires members to treat the discussion and all papers for this item as strictly confidential and exempt from public disclosure. The University claims the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002.

The Committee received a routine report detailing the current legal cases involving the University, including updates since its last meeting.

Resolved: to note the report.

9. **HEALTH & SAFETY SUB-COMMITTEE**

The University Secretary introduced the minutes of the Sub-Committee. In doing so he drew the Committee's attention to Item 4, Fire Report, and members noted that the Director of Campus Services would present a report on the issue to the next meeting of the Health & Safety Sub-Committee.

Resolved: for its part, to note the report.

10. **AUDIT COMMITTEE TRAINING SESSIONS**

The Committee was invited to discuss potential topics for Audit Committee training sessions in 2015/16. Members suggested that sessions on risk appetite and project assurance, Transparent Approach to Costing (TRAC) and procurement procedures, including PECOS, would be welcomed.

Resolved: to note the suggestions.

11. **EU RESEARCH INVESTIGATION UPDATE (RESERVED BUSINESS)**

The University requires members to treat the discussion and all papers for this item as strictly confidential and exempt from public disclosure. The University claims the exemptions in S.30 and S.34 of the Freedom of Information (Scotland) Act 2002.

The University Secretary updated the Committee on the EU Research Investigation. In doing so he informed the Committee that the University continued to co-operate fully with requests made by the EU Executive Research Agency and Police Scotland.

Resolved: to note the update.

12. **PRIVATE MEETINGS**

(1) Private Meeting with Auditors

The officers withdrew from the meeting at this point so that the Committee could speak in private with the external and internal auditors. At the conclusion of the discussion, officers were re-admitted, and the Convener advised them that no issues of concern had been raised by the auditors.

(2) Private Meeting with Officers

The auditors withdrew from the meeting at this point so that the Committee could speak in private with the officers. The Committee noted that the relationship with both internal and external auditors continued to be positive.

APPENDIX 9

HUMAN RESOURCES COMMITTEE (Minute 9)

A meeting of the committee was held on 29 September 2015.

Present: Mr D Taylor (Acting Convener), Dr WG Boyd, Professor T Kelly, Dr A Reeves and Mr D Ritchie.

Apologies: Ms S Campbell, Professor K Leydecker and Ms K Reid.

In Attendance: University Secretary; Acting Director of Human Resources & Organisational Development; Acting Deputy Director of Human Resources & Organisational Development; Director of Organisational Change; Acting Head of Organisational & Professional Development (Minute 3(7) and Minute 4) and Director of Legal (Minute 5).

1. MINUTES

Resolved: to approve the minutes of the meeting held on 18 May 2015.

2. MATTERS ARISING

Pay Negotiations 2015/16 (Minute 3(4))

It was noted that the 2015/16 Pay Offer had not been implemented as Unison and the UCU did not agree to UCEA's final offer of a 1% salary increase. The Acting Director of HR advised that two dispute resolution meetings had taken place and that the outcome of these discussions would be known by 8 October.

Resolved: to note the update.

3. HUMAN RESOURCES & ORGANISATIONAL DEVELOPMENT

(1) Organisational Change / Strategic Initiatives

- (a) The Director of Organisational Change presented an update on University Restructuring. The Committee noted the appointment of Professor Tim Newman as Vice-Principal (Research, Knowledge Transfer & Wider Impact) and that all the Deans had been appointed, with the exception of Science & Engineering which would be advertised externally. With regards to the Associate Deans, the Director informed the Committee that all the roles had been appointed with the exception of the Associate Dean (Research) in the School of Social Sciences.

The Director informed the Committee that work was underway to consider and agree the administrative structures in each of the new Schools. This process would ensure greater consistency and would complement the business transformation project. It was reported that this work would be completed by Christmas.

The Committee also noted that a programme of organisational development activity was underway with the new School leadership teams. It was reported that the University Executive Group (UEG) and Deans had met earlier in September to consider immediate objectives and priorities.

Resolved: to note the update.

(b) UoD IT Restructuring

The Acting Deputy Director of HR informed the Committee that the IT restructuring project was now complete. A total of 89 posts were affected by the organisational change in IT; 47 members of staff remained on their current grade, 15 moved into roles with salary protection and 27 moved into promoted roles. The Committee noted that new contracts were issued in August with a start date of 1 September 2015. In response to questions the

Acting Deputy Director informed the Committee that HR were continuing to communicate with, and support, affected members of staff.

Resolved: to note the update.

(c) School of Medicine and College of Arts & Social Sciences Project

The Director of Organisational Change reported that the project in the School of Medicine had fallen slightly short of the financial target. One application for voluntary severance (VS) had been approved with the majority of savings being met through other means including transfer of staff to the NHS, retirement and the non-filling of vacant posts. With regards to the College of Arts & Social Sciences project, the Director reported that the project was nearing completion pending the confirmation of new contracts for six members of staff.

Resolved: to note the update.

(d) Business Transformation

The University Secretary outlined the tendering process for the new business support systems. The Committee noted the process had been launched in July 2015 and ten submissions had been received, five of which had been shortlisted and issued with an 'Invitation to Participate in Dialogue' (ITPD).

Resolved: to note the update.

(2) Overview of Current University Staffing (Core Posts)

The Acting Director of HR introduced a paper outlining the current university staffing profile. The Committee welcomed the presentation of the data broken down by Job Category, Academic Staff Role and Support Staff by Grade. The Committee noted that the production of such information is difficult due to the lack of a fixed establishment model although work is underway to develop such a model as part of the 2016/17 planning round.

The Acting Director of HR informed the Committee that in 2014/15 there had been a net reduction in staffing levels of core funded posts by 81 FTE, attributable to retirement, resignation and voluntary severance. It was noted that the reduction had been in all job categories with the exception of manual and technical. It was explained that the VS scheme had not been open to applicants in those categories and that a number of additional posts had been authorised in order to meet operational requirements.

In response to questions the Acting Director informed the Committee that a 'recruitment freeze' had not been implemented over the preceding twelve months, however additional approval mechanisms had been put in place to consider any request for new or replacement posts. Members of the Committee enquired about the level of staff turnover and the age profile of staff. The Acting Director of HR informed the Committee that the level of staff turnover was low but undertook to provide the information at the next meeting.

Resolved:

- (i) to receive an update at the next meeting on the creation of an establishment model;
- (ii) to receive data relating to staff turnover and age profile at the next meeting; and
- (iii) to note the update.

(3) Voluntary Severance

The Acting Director of HR introduced a paper detailing the outcome of the two Voluntary Severance Schemes which were operated in 2014/15. The Committee noted that a total of 56 cases (48.48FTE) had been approved through the two VS Schemes which represented a saving of

£2,421,177 in staff costs. Of the 56 cases approved 12 were from the College of Arts & Social Sciences and 44 were from Support Staff.

The Committee was informed that the College of Arts & Social Sciences project was not yet complete and that an update would be provided at the next meeting on the final number of applications and approvals. With regards to the Support Staff VS Scheme, it was noted that it may be possible to revisit some of the applications which were initially turned down once the new School administrative structures and business transformation programme take effect.

During discussion the Committee asked the University Secretary to report back at the next meeting regarding the possible financial implications of maintaining a VS Scheme for the foreseeable future.

Resolved: to note the update.

(4) Staff Survey

The Committee noted that the Staff Survey would run for a five week period from 26 October to 30 November 2015 with an option to extend by a further two weeks if necessary. The Acting Director of HR informed the Committee that the University's Internal Communications Officer would assist in the development of a promotion strategy in advance of the launch date.

Resolved: to note the update.

(5) Policy Development - Remuneration Committee Remit, Reward Policy for Grade 10 Staff and Annual Reward Procedure for Grade 10 Staff

The Committee received for information the revised Remuneration Committee Remit, Reward Policy for Grade 10 Staff and the Annual Reward Procedure for Grade 10 Staff. It was noted that the remit and policies had been developed in consultation with members of the Remuneration Committee and had been approved at the Court Retreat held earlier in September.

Resolved: to note the Remit and Policies.

(6) Remit of Human Resources Committee

The Acting Director of HR informed the Committee that given the recent revision of the Remuneration Committee's remit it would be timely for the HR Committee to consider its own remit. In the discussion which followed members made several suggestions to enhance the current remit. These included: updating the remit to provide greater emphasis on the ethos and Vision of the University, ensuring that the Committee's role in evaluating management data was given greater prominence and formalising the role of the Committee in approving and overseeing HR policies.

Resolved: to ask the Acting Director of HR to develop a revised remit for consideration at the next meeting.

(7) Organisational & Professional Development (OPD)

The Acting Head of OPD introduced the 2015/16 OPD Workshop Programme for staff and research postgraduate students. The Committee noted that this year's programme had been developed as a result of feedback from the 2014/15 programme, OSaR training and development requirements, and the need to provide additional training to support the ongoing university restructuring process. The Acting Head of OPD also detailed the existing leadership development programmes and highlighted the new 'Advance in Management' workshops aimed at new and existing managers which will launch in February 2016.

It was noted that the End of Year Report 2014/15, detailing course attendance and engagement statistics, would be provided at the next meeting.

On behalf of the Committee the Acting Convener commended the programme for its range of training opportunities.

Resolved: (i) to await the 2014/15 End of Year Report at the next meeting; and

- (ii) to note the report.

4. CONCORDAT / HR EXCELLENCE IN RESEARCH

(1) HR Excellence in Research Award

The Acting Head of OPD informed the Committee that the University was currently finalising its progress report and updated action plan for the four year review of the HR Excellence in Research Award. The Committee noted the review's key milestones and that the result would be communicated to the University in March 2016.

Resolved: to note the update.

(2) Minutes of Concordat Steering Group

Resolved: to note the minutes.

(3) Careers in Research Online Survey (CROS)

The Committee considered a summary report of the 2015 CROS survey which had gathered data relating to working conditions, career aspirations and career development opportunities for research staff. The Committee noted that the Concordat Steering Group and the University's Research & Knowledge Exchange Committee would consider the findings at their next meetings and would agree key response actions.

Resolved: to note the update.

5. EDR / MEDIATION

The Director of Legal presented the *edr Service* Strategy 2015 – 2020 and highlighted to the Committee some of the successes since the Service's establishment in 2008. The Committee noted the strong reputation of the Service throughout Scotland and the Director of Organisational Change commended the Service for the work it undertakes in resolving disputes within the University. Members heard that the Service had undertaken a facilitated review in the preparation of the new strategy and was assisted in this process by colleagues from the University of St Andrews. The Committee noted that the key aims of the 2015 – 2020 strategy included: raising the visibility and understanding of the service with internal stakeholders, assisting in the development of intra university communication, and remaining as leaders in the field through greater engagement with external agencies.

The Committee recommended that the Director of Legal met with the Vice-Principal (Academic Performance & Planning) to discuss methods of raising the profile of the Service with Deans and academic colleagues.

Resolved: to note the update and to commend the work of the *edr Service*.

6. EQUALITY & DIVERSITY UPDATE

(1) Report from the Head of Equality & Diversity

The Committee considered the update provided by the Head of Equality & Diversity. In doing so members noted that the number of staff who had completed training, had rose from 33.7% in April to 47.5% as of August.

The Committee also noted the proposed realignment of Equality & Diversity in order to reflect the new University structure and that this issue would be discussed at the next meeting of the Equality & Diversity Committee on 8 October 2015. Some members questioned the need to create additional committees and asked officers to provide an update at the next meeting.

Resolved: (i) to ask officers to update the Committee on the proposed realignment of Equality & Diversity at the next meeting;

(ii) otherwise, to note the report.

(2) Annual Report from Athena Swan Co-Ordinator

The Committee considered the annual report from Athena Swan co-ordinator, in doing so members noted the continued progress in meeting the aims of the action plan.

Resolved: to note the update.

7. **HEALTH & SAFETY**

(1) Report from the Head of Safety Services

The Committee received the regular report from Head of Safety Services.

Resolved: to note the report.

(2) Revised Health & Safety Policy

The Committee considered the Health & Safety Policy (annex) which was revised to align with the new University structure.

Resolved: to approve the revised Health & Safety Policy.

(3) Minutes from the Health & Safety Sub-Committee held on 8 September 2015

Resolved: to approve the minutes of the Health & Safety Sub-Committee.

8. **LOCAL JOINT COMMITTEES**

(1) Minutes of the University/UNISON Joint Committee held on 1 May 2015

Resolved: to approve the minutes.

(2) Minutes of the University/Unite Joint Committee held on 1 May 2015

Resolved: to approve the minutes.

(3) Minutes of the University/DUCU Joint Committee held on 1 June 2015

Resolved: to approve the minutes.

Health and Safety Policy Statement

As the governing body of the University of Dundee, the University Court accepts its responsibility for the health, safety and welfare of staff, students and others affected by the University's activities. To discharge this responsibility Court provides leadership and support to sustain the importance of health, safety and welfare as part of the University's programme of effective governance and risk control.

The University Court has adopted this policy to promote excellence in the health and safety performance of the University's activities of teaching, research and associated undertakings. The University will work proactively to ensure compliance with all health and safety legal requirements. The University aims to effect continual improvements in the health, safety and welfare of staff, students, and other people affected by the University's activities.

The University Court takes all reasonable steps to ensure that all staff are competent and accept their health and safety responsibilities. The Court requires all staff and students to co-operate in achieving a high standard of health and safety performance, and encourages and rewards all staff in pursuit of this goal.

The University Court will ensure that it is kept informed of health and safety risk management issues, and that overall health and safety performance is reviewed regularly by external auditors. It will monitor progress against key performance indicators on a regular basis. The Health and Safety Policy will be kept under annual review through the Human Resources Committee.

This Health and Safety Policy Statement was approved by Human Resources Committee on 29 September 2015.

Professor Pete Downes
Principal

Eric Sanderson
Court Chairperson

1. **Policy Organisation**

The University Court has adopted this Health and Safety Policy Organisation to implement the policy statement above and to ensure effective management of health and safety issues. The organisation of health and safety is outlined in appendix 1: this outlines the way health and safety are managed within the University of Dundee, and the inter-relationship between line management, committees and professional services.

1.1 **Implementation**

Within the line management hierarchy health and safety tasks can be delegated, but the responsibility for ensuring these are properly undertaken remains with the delegating manager. Ultimate responsibility for implementation of this policy and of legal compliance resides with the University Court.

The University Court is responsible for setting performance targets and monitoring performance against these targets.

On behalf of the Court the Principal takes overall responsibility for the University's health and safety management, and as such represents the corporate body of the University in compliance with health and safety legislation. The Principal has delegated implementation of the Health and Safety Policy to Deans and Directors, and has nominated the University Secretary as the senior manager who holds specific responsibility for the management of health and safety.

Members of the University Executive Group are responsible for achieving performance targets set by Court and monitoring performance for areas under their jurisdiction.

Deans and Directors are responsible for resourcing current and future health and safety needs of their School/Service, and taking action in response to audits, inspections and incidents.

School Managers/Directors are responsible for ensuring staff and students comply with H&S arrangements documented by the H&S Adviser.

Principal Investigators, lecturing staff, team leaders and others with direct supervisory responsibility for staff or students must ensure the safe conduct of activities within their areas of control, and draw to their line managers attention health and safety matters requiring action which they are unable to fulfil themselves. They will complete specific risk assessments for activities under their control when they assess generic risk assessments as not being suitable and sufficient.

All staff and research post-graduate students are required to conduct themselves at all times so as not to endanger their health and safety or that of any other person who may be affected by their acts or omissions. They must comply with all relevant health and safety requirements and follow the rules and guidance from their managers. They must report any health and safety concerns, including specific concerns about their health arising from work activities, to their line manager, supervisor or H&S Adviser. This includes deficiencies in safety standards or equipment.

All students must behave responsibly at all times, and comply with rules issued by teaching staff. They must report any concerns they have to teaching or supervisory staff.

1.2 **Committee Structure**

The Committee structure shown in appendix 2 has been set up to oversee effective management of H&S.

In outline, the key committee is the Human Resources Committee which approves the H&S Policy (management framework) and monitors performance. It receives reports from the University Health, Safety and Welfare Committee and Head of Safety Services.

1.3 **Professional Support Structure**

The Head of Safety Services and his team formulate plans for approval by the University Executive Group to manage significant risks and meet targets set by Court. Together with H&S Advisers they provide competent advice to School Managers/Directors so they manage risks effectively within their Schools/Professional Services.

The H&S Working Group chaired by Head of Safety Services formulate arrangements, develop risk assessment database systems, document generic risk assessments and procedures, arrange training, and monitor performance.

School Managers/Directors appoint competent H&S Advisers and Radiation Protection Supervisors. They liaise closely with Safety Services to deliver a consistent standard across the University.

The H&S Adviser with support from Safety Services will draft specific plans and arrangements, document generic risk assessments, deliver specific training, monitor performance and communicate H&S information to staff and students.

2. General Arrangements

2.1 Planning

The HR Director as a member of the University Executive Group will ensure a H&S risk assessment is carried out as an integral part of the decision making process for new strategic initiatives.

Head of Safety Services will draft a plan for approval by the University Executive Group which will be reviewed and updated annually. This plan will inform School/Professional Service H&S plans which will be drafted by H&S Advisers for approval by School Managers/Directors.

2.2 Risk Assessments

Generic risk assessments for routine activities undertaken in Schools/Professional Services are written by H&S Advisers. Specific risk assessments are completed by Principal Investigators, lecturing staff, team leaders and supervisors when these generic risk assessments are not suitable and sufficient. These specific risk assessments are approved by H&S Advisers and School Managers or referred to Safety Services for approval. Safety Services will refer risk assessments where the residual risk remains high to a member of the University Executive Group for approval.

Safety Services are developing an on-line risk assessment database system.

2.3 Induction training

On their first day at work line managers and supervisors must brief new staff and research post graduate students (or at least make arrangements so this is done) on:

- what the fire alarm sounds like, when it is tested, how to get out the building and where to assemble if fire alarm sounds
- incident reporting procedure, and the importance of reporting all incidents irrespective of their seriousness
- the number to dial in an emergency
- the name of their H&S Adviser
- to check green and white first aid notices for details of first aiders

All new staff and post graduate students will complete the on-line H&S training course developed by the H&S Working Group within two weeks of starting work. Completion will be monitored by Safety Services.

2.4 Training

Refresher on-line training on essential H&S arrangements will be completed by all staff and post graduate students annually. The refresher training course will be developed by the Health and Safety Working Group. Completion will be monitored by Safety Services.

Risk assessment workshops and H&S training courses will be organized and recorded by OP&D, and delivered by Safety Services.

Specific H&S training will be delivered to staff and students and recorded by H&S Advisers and Safety Services.

Task specific training will be organized and recorded by line managers and supervisors.

2.5 Inspection

H&S Advisers with support from University H&S Technician will inspect high risk workplaces six monthly and medium risk workplaces annually. They will be joined by Safety Services staff for very

high risk workplaces such as Containment Level 3 laboratories, Class 4 laser facilities and Controlled Areas.

Inspections will be recorded on a database which will be managed by Safety Services.

2.6 Incident reporting

All staff and post-graduate students must report incidents using the form at <https://secure.dundee.ac.uk/safety/dundeeonly/accident-reporting/>. Paper copies are available for staff who do not have access to a pc.

Serious incidents must be reported immediately by telephone to Safety Services (x84104).

Staff and students working in Clinical Areas under the jurisdiction of the NHS should report incidents using the NHS incident reporting system.

2.7 Incident investigation

H&S Advisers will investigate incidents in sufficient detail so that the cause can be identified allowing corrective actions to be implemented. Serious incidents will be investigated by Safety Services, and may be investigated by the Police, Health and Safety Executive, Fire & Rescue Service and the University insurers. Full co-operation by staff is expected in any investigation.

Safety Services will report incidents to HSE as required by RIDDOR.

2.8 Emergency procedures

First Aid

At the City Campus Security Staff are trained in first aid, and can respond 24/7 within minutes.

At the Medical School an appropriate number of staff are trained in First Aid. At Kirkcaldy Campus an appropriate number of staff are trained in First Aid.

School Managers should appoint competent staff to provide immediate first aid for high risk activities (eg working in Workshops and Laboratories, and some field work activities such as mountaineering).

First aid training will be provided by the OH Service upon completion of the first aid risk assessment form. Supplies will be provided to first aiders by OH Service.

H&S Advisers will ensure first aid notices are up to date.

Other foreseeable emergencies

The Health and Safety Working Group will document plans for foreseeable emergencies such as gas leak, large chemical spills and terrorist threat.

2.9 Fire

Staff should follow local arrangements in buildings not owned or controlled by the University for example (Medical and Dental Schools, Kirkcaldy Campus, VRC etc..) - see School H&S Manual for information.

In buildings owned or controlled by the University:

Staff in control of areas should ensure that their workplace is safe from fire hazards and that the means of escape and fire evacuation procedures are in place in relation to their induction and refresher fire training, refer <https://my.dundee.ac.uk/webapps/portal/frameset.jsp>

In addition, inspection of means of escape will be carried out monthly by University H&S Technician and a Quarterly fire awareness checklist should be completed by the buildings Fire Wardens and submitted to the schools H&S Adviser who will follow through actions to completion.

Fire drills will be organized by the schools H&S Advisers with support from University H&S Technician and carried out and outcomes recorded at least annually.

Fire alarms will be tested weekly by the school H&S Advisers with support from University H&S Technician or by Campus Security (City Campus) and records of all the above should be recorded in the Building Fire Log Book. This can be an electronic record.

Fire extinguisher training will be delivered by Safety Services. Key staff groups such as Campus Security Officers and laboratory and workshop managers will be trained annually.

Personal emergency evacuation plans, for those with disabilities, will be completed by the universities Disability Services and H&S Advisers with input from University Fire Safety Adviser.

Fire alarm activations will be investigated by H&S Advisers with oversight by the University Fire Safety Adviser.

Fire risk assessments will be reviewed on a three yearly basis by the University Fire Safety Adviser. Risk assessments for new or altered buildings will be carried out as soon as practically possible of occupation or major alteration.

Between 9am and 5pm, Mon to Fri School Managers/Directors are responsible for putting in place and implementing evacuation procedures. In making these procedures they will receive support from at least 2 Campus Security Officers. Outside of these hours Director Campus Services is responsible for putting in place and implementing evacuation procedures with the exception of ISE where CSO's continue to provide support.

University E&B are responsible for maintaining and inspecting buildings Fire Protection measures including any fixed installations, fire alarm systems, fire safety measures (eg fire doors), signage and emergency lighting systems.

An audit of these arrangements will be carried out annually by the University Fire Safety Adviser.

2.10 **Lone working in University owned or managed buildings**

No additional measures are required for very low risk work such as working in an office out of hours.

H&S Advisers will document procedures for staff meeting people in one to one situations where there is a foreseeable risk of injury. These meetings should not take place out of hours unless robust arrangements are in place so that a colleague can respond immediately to threats.

Undergraduate students must be supervised at all times when working in laboratories.

Post graduate students must be supervised when working in laboratories until their supervisor deems them competent to work alone.

Specific risk assessments must be carried out for laboratory activities when measures documented in the H&S laboratory handbook are not suitable and sufficient. These specific risk assessments must consider the additional risks from lone working.

Staff and students must not work in workshops alone.

2.11 **Fieldwork**

Fieldwork is any work carried out by staff or students for the purposes of teaching, research or other activities while representing the University off-site. Therefore, it includes any work carried out by staff and students in buildings or locations that are not owned or managed by the University, and where the University is responsible for their health and safety, and others affected by their activities eg attending conferences and meetings; recruitment activities; teaching activities such as surveys and sample collection; and research activities such as working in a collaborator's laboratory.

For low risk work in a reputable organisation (eg attending a meeting or conference) staff and research post graduate students should lodge the following details with their School/Support Service: date, destination and purpose of trip, their contact details, and contact details of host organisation.

For higher risk work (eg taking students on an excursion, interviewing members of the public, working in remote locations, lone working) staff and research post graduate students must complete a specific risk assessment.

Staff should review the risk assessment on their return from fieldwork, and should report to the School Manager any significant health and safety issues which arose with recommendations for avoiding these in the future.

Staff taking students on fieldwork should brief the students fully on the findings of the risk assessment and emergency arrangements as well as the standard of behaviour expected of them. They should make it clear that unacceptable behaviour will not be tolerated and will result in disciplinary action. During this briefing students should be encouraged to report any health or other concerns they have about their ability to complete the fieldwork, or their understanding of the findings of the risk assessment.

Students should attend all briefings prior to the activity, and inform staff of any medical condition or circumstances which may affect their ability to undertake the activity. They should follow all instructions and training given by staff. They should stay with the party at all times except by prior arrangement and observe reporting in procedures. They should report any personal injury or illness arising during the activity.

Incidents or ill health occurring during a fieldwork activity should be reported on line at dundee.ac.uk/safety.

2.12 Work equipment

Procurement must ensure that at the time of purchase all work equipment is fit for purpose, and complies with Section 6 of the Health and Safety at Work etc Act 1974 and subsidiary Regulations see <http://www.hse.gov.uk/work-equipment-machinery/uk-law-design-supply-products.htm>.

If the equipment is not purchased through Procurement (ie not using PECOS) then the purchaser must ensure it complies with Section 6 of the Health and Safety at Work etc Act 1974 and subsidiary Regulations by having it checked by a competent person. Contact Safety Services for advice.

The budget holder for the equipment must ensure it is inspected and maintained as detailed by the manufacturer.

Line managers and supervisors should provide appropriate training, information and instruction to staff and students, and ensure work equipment is used correctly through adequate supervision.

Staff and students must use work equipment according to instructions and training, and must report defects in work equipment to their line manager or supervisor.

School Managers and Directors must keep an inventory of equipment, and ensure inspection and maintenance logs are kept up to date.

Workshop managers must complete specific risk assessments using the on-line risk assessment database systems for workshop machinery.

2.13 Electricity

All electrical work will be carried out on dead systems with adequate precautions taken to ensure that the system cannot become live, except when the following conditions have all been fulfilled:

- it is unreasonable for the work to be done dead, and
- the risks of working on or near live conductors have been identified, assessed and the methods for controlling those risks have been identified, and
- it is reasonable to work live, and
- suitable precautions can be taken to prevent injury.

Anyone, employee or contractor, who works on electrical appliances must be competent to carry out that work safely and be authorised by their School Manager.

Staff and students must not interfere with or attempt to repair or adjust any electrical appliance unless they are competent and authorised to do so.

School Managers and Directors must keep an inventory of electrical appliances and ensure it is being inspected, tested and maintained as documented by H&S Advisers.

Staff must not bring electrical appliances into work other than IT equipment or mobile phones. Staff and students should switch off electrical appliances when they are not in use (eg switch off office equipment and lights when they leave).

2.14 Children visiting University premises

School Managers providing work experience placements, open days or other organised events must appoint an Organiser who will liaise with all parties. The Organiser will plan these events thoroughly and complete a risk assessment before the children arrive on site. This will include:

- obtaining information from carers/teachers/parents about the abilities and needs of all the children;
- designing activities appropriate to these needs and abilities;
- providing information to teachers/parents/careers about the event (eg risk assessment) and any requirements (eg clothing and footwear);
- ensuring a consent form has been completed; having procedures for a formal hand-over in place (ie signing in/out, taking a register and regular head counts);
- providing adequate levels of supervision so that at least two members of staff are present with children at all times; instructing the children on what is expected of them, who to contact for assistance and what to do in an emergency.
- ensuring that staff in charge of children have been subject to a Disclosure Scotland check (contact Human Resources for guidance),

Staff or students may bring their children into University premises only for very short occasional visits to their workplace provided that they have notified their line manager of their intentions. They must provide strict and close supervision at all times. Children are allowed into low risk areas such as offices and tea-rooms. They are not allowed in high risk areas such as laboratories or workshops. The manager responsible for the area will insist that the parent and child leave the area if they consider that the child could be exposed to unacceptable risks, or if the child could cause an unacceptable level of disruption to other staff or students. Staff should bring non-compliance with this policy to the parent's attention in the first instance if possible, or if not to the manager of the area, and persistent non-compliance should be reported to their School Manager who will take suitable action to resolve the situation.

Visitors should be asked not to bring children but if alternative arrangements cannot be made then children must be supervised at all times during the visit, and be restricted to low risk areas eg offices and tea-rooms.

2.15 Home working

The normal work arrangement at the University of Dundee is that a member of staff undertakes the duties associated with their role on University premises. It is recognised, however, that on occasions it may have been agreed with the line manager, that a member of staff may work from home undertaking office based activities for a specific reason or purpose. All other higher risk work activities must be carried out on University premises.

The University recognises that the additional risks arising from staff undertaking office based activities in their home environment are very low and can be addressed by the staff member following their induction H&S training. The University acknowledges that the staff member themselves are competent to do this.

Staff working from home should provide up to date contact details to their line manager when working from home so they can be contacted during the working day. The line manager will respond appropriately to concerns raised by any staff working from home and will report and investigate any concerns or incidents.

2.16 Occupational health

The main aims of the service are to:

- provide advice and support relating to any adverse effects of work on health or health on work
- support managers in their responsibility for maintaining the health, safety and welfare of staff
- ensure that University achieves best practice in the management of occupational health risks.
- reduce ill-health absence and the incidence of work-related ill health in line with national targets

The Occupational Health Service offers an accessible but confidential service to all employees and will be impartial in its advice to achieve the best interests of both employees and the University.

The Occupational Health Service will assess and help manage the risks posed to the University and its staff through factors which may cause or exacerbate ill health.

Employees may be referred to Occupational Health Service by Human Resources, their manager, Safety Services, H&S Adviser or they may self refer.

Employees should contact their own general practitioners about treatment and general health matters since Occupational Health is resourced to provide a service for work-related issues.

2.17 **Health surveillance**

University of Dundee recognises that some staff and post-graduate students are at risk of developing ill health given the nature of their work. This risk is very low since the University implements all reasonable measures to prevent ill health. However, in some work situations it is recognised that health surveillance plays an essential role in risk management through the early detection of symptoms. In other work situations it is difficult to assess the magnitude of remaining risk precisely and so for this reason health surveillance is undertaken whenever there is a non-invasive and valid technique to detect the onset and progression of symptoms, and it satisfies ethical considerations. In both situations the University's aim is to protect the health of staff and post-graduate students.

Head of Safety Services with advice from the Occupational Health Service will develop a health surveillance program for staff and post-graduate students. This program details the surveillance scheme for respiratory, skin, hearing and vibration injuries. There is no suitable surveillance for back injuries- a common injury in the University.

The Occupational Health Service will organise suitable health surveillance. Usually, this will involve a consultation with a Nurse as well as a completion of a questionnaire. During the consultation the Nurse will inform staff and post-graduate students of relevant symptoms, and will remind staff and students to report symptoms immediately. Staff and students will be given an opportunity to discuss any concerns they hold.

2.18. **Pregnant and new mothers**

Information about maternity leave and pay issues can be found on Human Resources web pages.

Employees should notify their line manager at their earliest convenience that they are pregnant so that the risk assessment for their work can be reviewed. This assessment addresses all the risks faced by staff irrespective of their gender or age and so it is extremely unlikely that working procedures will have to be modified in the early stages of pregnancy.

Employees should read the health and safety information provided as part of their induction pack when they appointed.

Line Managers should review the risk assessment, and as part of this review should consider the additional risks arising from pregnancy and breast feeding. A risk assessment form is available at dundee.ac.uk/safety. The risk assessment must be kept under active review throughout the pregnancy and upon return to work if breast feeding. It is essential that the risk assessment is discussed fully with the employee, and reasons for not changing duties upon request fully explained. Mental well-being issues should be given priority to prevent anxiety, and possibly a stress related illness leading to absence. The Occupational Health Service or Safety Services can be contacted for advice if there are unusual or difficult issues to address.

In some cases suitable and sufficient may mean that minor changes in working procedures are inadequate to reduce risk and that the employee should be offered alternative work, or suspended on full pay. Human Resources should be contacted for advice in these cases.

2.19 **Public Events**

Contact University Event Manager.

The Event Organiser will plan these events rigorously and complete a risk assessment before the event. This will ensure:

- the venue is suitable for the event and the number of people attending
- competent contractors are appointed
- emergency arrangements are in place
- security arrangements are in place
- licenses are in place and adhered to
- contingency plans are in place
- effective communication and liaison with all parties

- review of event carried out

If the event is held within a University building or grounds then the Event Organiser must liaise with Campus Services to ensure emergency, traffic management, security and cleaning arrangements are in place.

If the event is held at NHS Tayside buildings or grounds then the Event Organiser must liaise with Director of Operations, to ensure emergency, security, traffic management and cleaning arrangements are in place.

The Event Organiser must review the event with their Dean/Director. This review will take place after the event unless the Event Organiser has any concerns before the event which they need to bring to the attention of their Dean/Director.

For high profile events (eg VIP attending, more than 100 people attending) then Head of Safety Services and Security Manager must be involved in the planning and risk assessment process.

2.20 Travelling on University work within the UK

Staff should use public transport whenever possible.

Car or other vehicle journeys of less than 150 miles do not require a specific risk assessment:

Drivers must complete a specific risk assessment for car or other vehicle journeys of greater than 150 miles that considers issues such as duration of travel, time of day, likely weather conditions and type of vehicle.

Drivers must complete a specific risk assessment for mini-bus journeys that include consideration of a driver's maturity and driving experience, and passenger feedback.

School Managers and Directors must ensure that staff authorised by them to drive vehicles owned by, or leased or hired to the University in the course of their employment at work are Registered as University Drivers through completion of a Drivers Declaration and that they comply with insurance requirements issued by Finance Manager (Assets and Insurance).

Staff must ensure that they have a valid driving license for the vehicle being driven. If they are using their private vehicle for work purposes it must have a MOT certificate if required and they must have an insurance policy that includes business use. They should observe the Highway Code at all times, and should show consideration to their passengers and other road users.

Staff must inform their line manager immediately if they are unable to drive (eg medical condition or loss of license). If they think their eyesight is deteriorating they should consult an optician immediately. If staff have any concerns about driving a vehicle (eg mini-bus or large van) or have any concerns about their fitness to drive then they should notify their line manager. In some cases, it may be appropriate to contact the University Occupational Health Service for advice.

Staff must report accidents that occur when travelling for work purposes using the on-line incident reporting system. In addition, accidents involving University owned, leased or hired vehicles must be reported to Finance Manager (Assets and Insurance).

2.21 Visitors

Staff who are hosting or responsible for visitors must inform them at an early stage of the emergency arrangements that apply in the parts of the University that they are visiting.

These include:

- Describing the sound of the Fire Alarm and the actions to be taken if the alarm sounds
- Pointing out the emergency exit routes from the building
- Telling the visitor the arrangements for accidents including First Aid provision
- Explaining any other safety-critical procedures that apply at that location, e.g. infection risks, radiation hazards, use of personal protective equipment, etc.

They should supervise their visitors according to their needs, and should know their whereabouts at all times during the visit.

Where visitors are carrying out an activity under the control of the University then the host must risk assess any activities in which they are involved and take appropriate actions to ensure that sufficient information is given for their safe participation.

2.22 **Personal Protective Equipment (PPE)**

Line managers/supervisors must explain to their staff and students why PPE has to be worn, and must show them how to use, inspect, clean and store it, or arrange for a competent person to do so.

Staff and research post-graduates must use, inspect, clean and store their PPE as instructed by their line manager/supervisor, and should raise any concerns with their School H&S Adviser.

Students and visitors may be required to provide themselves with suitable PPE before being allowed to take part in certain activities under the University's control, and will be advised of suitable types of PPE to obtain. For example, students may be advised to provide their own laboratory coats, waterproof outer clothing and sturdy footwear for field trips. In rare circumstances where the PPE required for students or visitors is of a specialised nature needing technical approval by the University for a particular activity, that will be provided by the University together with training in its appropriate use.

2.23 **Pets**

The University of Dundee is a place of study, research and other work activities. Therefore, bringing pets into buildings, or securing them within the Gardens and Grounds (eg tying to a railing) is prohibited since pets bring risks of biting, scratching, mauling and crush injuries; of allergies; and infection from body fluids and wastes.

This does not apply to assistance dogs or to animals used in an organized event.

2.24 **Office Activities**

Staff should keep their office clean and tidy, and should not store items on the floor. Floors and walkways should be kept clear of trip and slip hazards at all times. Cables should be routed safely, and spills cleaned up.

Step ladders or step stools should be used to reach items stored at high level. Only light items should be stored at high level. Shelves should not be over-loaded.

All staff using a pc must complete their self-assessment workstation risk assessment before, or as soon as practicable after, starting work. They should discuss the workstation risk assessment with their line manager, and report any concerns about their workstation to their School H&S Adviser.

School H&S advisers should identify "Users" and ensure a workstation risk assessment is completed. They should inform the "User" they are entitled to a free eye and eyesight test and explain the arrangements if the "User" elects to have one.

The University will provide single vision corrective glasses in a limited range of frames for DSE "Users" where the prescription is needed solely due to the use of DSE, or a contribution equal to the cost of a such single vision glasses towards suitable glasses of the employees choice. The University will not pay any contribution towards glasses in retrospect or where these procedures have not been followed.

2.25 **Specific arrangements**

Specific arrangements are documented by H&S Advisers in School/Professional Service H&S Manual. Staff and students must comply with these arrangements.

2.26 **Student work placements**

Existing arrangements should be followed until policy aligned with One Dundee agenda is approved.

2.27 **Travelling and working overseas**

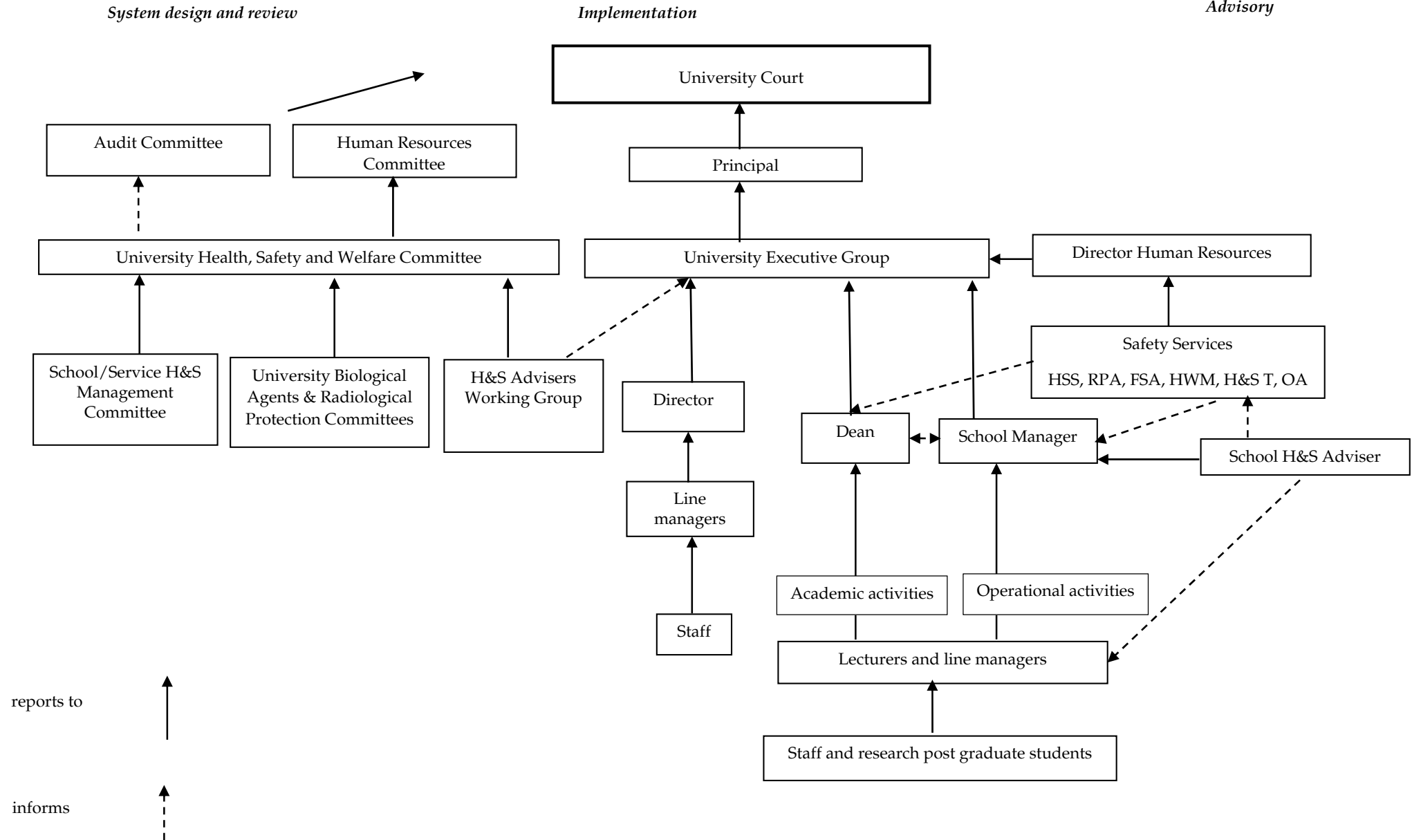
Existing arrangements should be followed until policy aligned with One Dundee agenda is approved.

2.28 **Stress**

Existing arrangements should be followed until policy aligned with One Dundee agenda is approved.

2.29 **Campus Services specific policy**

Existing arrangements should be followed. Policy review being undertaken



Health & Safety Committees

1. University Court

1.1 Membership

A Chairman, elected by the Court from its lay members
 The Principal or, in the absence of the Principal, a Vice-Principal
 An Assessor nominated by the Chancellor
 An Assessor nominated by the Rector after consultation with the Students' Association
 The Lord Provost of Dundee City Council or an Assessor nominated by him or her to serve throughout the Lord Provost's term of office
 Two Assessors elected by the Graduates' Council
 Two Professors and two Readers, Senior Lecturers or Lecturers elected from among its members by the Senatus
 Two members of Academic Council elected by the Academic Council
 A member of non-academic staff elected by the non-academic staff
 The President of the Students' Association of the University
 A matriculated student elected by the student body, that failing the Deputy President of the Students' Association
 Seven other persons, not holding full-time appointments from Court, as may be co-opted by the Court

1.2 Specific Remit for H&S

To ensure that arrangements are in place for the proper management and assessment of risk within the University and that appropriate arrangements are in place in respect of the health and safety of students, staff and other persons affected by University operations.

2. Human Resources Committee

2.1 Membership

Lay member of Court (Convener)
 Lay members of Court
 Graduates' Association Member of Court
 Court Member elected by non-academic staff
 Court Members elected by Senate
 Vice Principal (Learning & Teaching)
Officers normally in attendance:
 University Secretary
 Director of Human Resources
 Deputy Director of Human Resources (Secretary)
 Other officers at the discretion of the Director of Human Resources

2.2 Specific Remit for H&S

To monitor and review all health and safety arrangements within the University affecting staff, students and visitors and to advise the Court on statutory and other requirements relating to its responsibilities for health and safety.

3. University Health, Safety and Welfare Committee

3.1 Membership

University Secretary (Convener)
 VP Research (convener of Biological Agents and Radiation Protection Committees)
 Dean- ask VP (AP&P) to nominate
 Campus Services Director
 HR Director
 P, G & LA Director
 Student Services Director
 Head of Safety Services
 DUCU Reps x2
 Unison Reps x2
 Unite Reps x 2
 President DUSA
In attendance:
 Deputy Head of Safety Services and Fire Safety Adviser

3.2 Remit

1. Report to HR Committee on the management of Health, Safety and Welfare
2. Inform HR Committee and University Executive Group of the University's obligations to the management of health and safety
3. Consult Trade Union H&S Representatives on the management of Health, Safety and Welfare
4. Approve plan to promote compliance
5. Approve policy and procedures
6. Approve training programme
7. Approve inspection programme
8. Review inspection reports
9. Review incident and ill health reports
10. Review reports from Auditors and Enforcing Authorities
11. Review reports from School/Professional Service H&S Management Committees
12. Consider report from Head of Safety Services
13. Consider report from University Fire Safety Adviser
14. Consider report from University Radiation Protection Adviser
15. Consider report from University Biological Agents Committee
16. Consider report from University Radiation Protection Committee
17. Consider report from Trade Union H&S Representatives

4. University Biological Agents Committee**4.1 Membership**

VP Research (Convener)
 Parasitologist
 Microbiologist
 Virologist
 Immunologist
 Head of Safety Services
 Life Sciences H&S Adviser
 Medical School H&S Adviser
 NHS Representative
 Director Biological Services
 "Super Users"
 Staff representative
 Research post-graduate representative

4.2 Remit:

1. Report to University Health, Safety and Welfare Committee on risks posed to people and the environment by work with biological agents, and the measures implemented to control these risks to an acceptable level.
2. Give authorisation for work involving biological agents to proceed after consideration of:
 Risk Assessment
 Laboratory facilities
 Staff and student training and supervision
 Procedures
 Statutory Notification, License and Consent requirements
3. Assess the training needs to work with pathogens and Class 2 and 3 genetically modified micro-organisms and monitor the effectiveness of training programmes
4. Review inspection reports of Containment Level 2 and 3 facilities, and to ensure issues are resolved
5. Review incident and ill health reports involving work with biological agents, and to ensure issues are resolved

5. University Radiation Protection Committee**5.1 Membership**

Vice Principal Research (Convener)
 University RPA
 University RPO and RWA
 NHS Tayside RPA
 NHS Tayside RPO
 Medical School H&S Adviser
 Life Science H&S Adviser
 Science & Engineering H&S Adviser
 Super Users
 Staff representative

Research post-graduate representative

5.2 Remit

1. Report to University Health, safety and Welfare Committee on risks posed to people and the environment by ionising and non-ionising radiation created by the undertakings of the University, and the safety measures adopted to control these risks to an acceptable level.
2. Give authorisation for work involving ionising and non-ionising radiation to proceed after consideration of:
Risk Assessment
Laboratory Facilities
Staff and Student Training and Supervision
Local Rules
Statutory Notification and Consent Requirements
3. Formulate, develop and revise radiation safety policy and procedures
4. Assess the training needs to work with ionising and non-ionising radiation and monitor the effectiveness of training programmes
5. Review incident reports involving ionising and non-ionising radiation and to ensure issues are resolved
6. Review inspection reports of laboratories using ionising and non-ionising radiation and to ensure issues are resolved

6. H&S Advisers Working Group

6.1 Membership

Head of Safety Services (convener)
Director HR
Deputy Head of Safety Services
University Fire Safety Adviser
University Hazardous Waste Manager
School and Professional Services H&S Advisers
Trade Union H&S Representatives

6.2 Remit

1. Report to University Health, Safety and Welfare Committee on the management of health, safety and welfare within Schools and Professional Services
2. Draft policy and procedures
3. Develop, implement and monitor effectiveness of risk assessment databases
4. Develop, implement and monitor effectiveness of training plans
5. Develop, implement and monitor effectiveness of workplace inspection programme
6. Review incident and ill health reports
7. Share best practice
8. Organise H&S campaigns

7. School/Professional Service H&S Management Committee

7.1 Membership

to include Dean, School Manager and School H&S Adviser

7.2 Remit

1. Report to University Health, Safety and Welfare Committee on the management of health, safety and welfare within Schools and Professional Services
2. Oversee implementation of University Health, Safety and Welfare Policy

APPENDIX 10**COMMUNICATION FROM THE SENATUS ACADEMICUS
(Minute 11)**

Meeting of 14 October 2015

1. PRINCIPAL'S REPORT

The Senatus received a report from the Principal on issues arising from the most recent meetings of the University Executive Group (UEG).

The Principal welcomed members to the first meeting of the Senatus within the new University structure and thanked the Deans and elected representatives from each of the nine Schools for attending.

The Principal introduced his report by emphasising the importance of the University's core values and vision as guiding principles that had enabled significant changes to be agreed and implemented quickly and smoothly during the course of the year.

The Principal also drew attention to the set of significant positive achievements that had been announced since the previous meeting of Senate and noted that the various accolades and awards listed in his Report had been a cause for celebration, most recently at an event hosted by the Students' Association to mark the news that the University had been named as Scottish University of the Year by the Sunday Times Good University Guide.

The Principal welcomed the news as a significant boost to the University's reputation and noted that it had underlined the need to ensure that the University made the best use of its achievements to help alleviate difficult financial circumstances and cope with a worsening of external pressures on the institution.

The Principal explained that while there was always a need to ensure effective cost control, the University required a renewed focus on income generation in order to plan for financial sustainability and strategic investment in support of the Vision. The Principal emphasised the important link between academic reputation, effective marketing and the ability to generate marginal income associated with unregulated tuition fee levels in the Rest of UK and international student markets. It was essential that all academic staff saw the generation of additional net income from such sources as one of their core responsibilities.

Senate was asked to consider if the acute need to increase unregulated income was properly understood across the University and members agreed that it was important for all staff to be aware of the projected shortfalls in future budgets in order to understand the need for change and improvement.

The Vice-Principal (Academic Planning) reported on related discussions with Deans and argued that radical change and improvement would need to be supported through creative and communal approaches to ensure both quality and viability in the University's activities.

The Principal agreed that change and improvement was needed in cultural and financial terms but that the University had a priority to find solutions to problems with income generation and to find ways of overcoming problems caused by a difficult external environment. The Principal noted the investment in support of international student recruitment and asked Senate to support and encourage the participation of academic staff in recruitment and conversion activity as a practical example of how academic reputation could be harnessed to support future financial security.

Members of Senate discussed the negative impact on the international student experience as a result of the UK Government approach to international student visas, immigration, post-study work and legislation to prevent extremist radicalisation on UK campuses.

Senate noted the University's approach to the Prevent Duty in the Counter-Terrorism and Security Act 2015 would be consistent with the requirements of the Scottish Funding Council and legislation.

The Principal concluded his report by noting that the external environment would continue to be difficult for the foreseeable future and that the University must respond by taking a positive approach to international student recruitment and to continue to value the contribution made by international students to the academic success and cultural life of the University community.

The Senatus decided: to note the Principal's report.

2. UNIVERSITY COURT

The Senatus received a communication from the meetings of 8 June and 11 September 2015.

The Senatus noted the recent election of Professor Stuart Cross to serve as a professorial member of Senate on the University Court.

The Senatus decided: for its part, to approve the report.

3. UNIVERSITY GOVERNANCE

The Director of Policy, Governance & Legal Affairs introduced a paper that outlined changes to the composition of Senate (Statute 10) and changes to the method of electing the Chair of Court (Statute 9) in accordance with the HE Code of Good Governance.

The Senatus decided: for its part, to approve the amendments to Statutes as proposed.

4. QUALITY & ACADEMIC STANDARDS COMMITTEE

The Senatus received a report from the Quality & Academic Standards Committee meeting of 21st September 2015.

The Director of Quality & Academic Standards highlighted the work of the new Committee to refine and implement the new Assessment Policy and the intention of the Committee to provide the necessary oversight of new and amended taught provision proposed by the Schools, using authority delegated by the Senatus.

The Senatus decided: to approve the Report.

5. RESEARCH & KNOWLEDGE EXCHANGE COMMITTEE

The Senatus received a report from the Research Committee meeting of 22nd September 2015.

The Vice-Principal-designate introduced the Report by thanking Professor Connell for his leadership of the research agenda and his contribution to the successful outcome for the University in REF 2014.

Senate was asked to note the development of a new University Research Strategy and the concomitant development of School research strategies, led by the recently appointed Associate Deans (Research).

Senate was invited to recommend to Court the approval of a revised Policy on Consultancy and Service Work (**Appendix A**) and was asked to note the importance of such work to initiate and maintain vital links with external partners and the commercial sector, as well as to generate new sources of income to the University. Senate welcomed the new Policy and asked for comprehensive dissemination and implementation of the Policy to be carried out in due course.

Members asked that issues concerning part-time staff, commissioned work in the visual disciplines and the inability of some sectors to cover full economic costs are discussed as part of the implementation.

The Senatus decided: (i) to endorse to Court the Policy on Consultancy and Service Work; and
(ii) to approve the Report.

6. INTERNATIONALISATION COMMITTEE

The Senatus received a report from the Internationalisation Committee meeting of 22 September 2015.

Senate noted the Committee's focus on reversing downward trends in some aspects of international student recruitment and the emphasis on improving conversion rates.

The Senatus decided: to approve the Report.

7. LEARNING & TEACHING COMMITTEE

The Senatus received a report from the Learning & Teaching Committee meeting of 29 September 2015.

Senate noted the Committee's support for developments in interdisciplinary group-based learning modules and also welcomed an improved performance in the National Student Survey.

Senate was also asked to approve the revised Student Partnership Agreement and the Joint Statement on Student Representation.

The DUSA Vice-President for Student Representation commended the Agreement and Joint statement to Senate and outlined the work that DUSA had carried out in support of student representation at the University.

Members also welcomed the Committee's support for scholarships to aid students from Syria and noted that Associate Deans for Learning & Teaching would raise this issue at School level.

- The Senatus decided:**
- (i) for its part, to approve the Student Partnership Agreement and the Joint Statement on Student Representation; and
 - (ii) to approve the Report.

8. PROFESSORES EMERITI

The Senatus decided: subject to the concurrence of Court, to confer the title of Professor Emeritus upon the following:

Professor David Collison
 Professor Marion McMurdo
 Professor William (Ian) Ball
 Professor Michael Stark

9. PROFESSORIAL APPOINTMENTS

The Senatus decided: to note the following appointments:

Professor David Coghill	Child & Adolescent Psychiatry
Professor Stuart Cross	Chair of Law
Professor Timothy Croudace	Established Chair in Applied Health Research
Professor Fordyce Davidson	Chair of Mathematics
Professor Janet Hughes	Chair of Computing
Professor Nicola Innes	Chair of Paediatric Dentistry
Professor Robert Keatch	Chair of Engineering
Professor Teresa Moran	Chair of Teacher Education
Professor Niamh Nic Daeid	Personal Chair of Forensic Science
Professor Russell Petty	Professor of Oncology
Professor Gordon Simpson	Personal Chair in Molecular Genetics
Professor Maurice van Steensel	Professor of Genetic Dermatology
Professor Yu Zhu	Established Chair in Economics

10. ELECTION TO COURT

The Senatus decided: to note the results of the Senate By-Election to Court held on 28 September 2015

Professor Stuart Cross elected to serve as a member of the Senatus Academicus (professorial) on the University Court until 30 July 2017.

11. ANNUAL QUALITY REPORT TO SFC in AY2014/15

The Senatus decided: to endorse to Court the Annual Quality Report to SFC in AY 2014/15

APPENDIX 11
DUSA CONSTITUTION
(Minute 15)

CONSTITUTION

of

DUNDEE UNIVERSITY STUDENTS' ASSOCIATION

Fas No 4890

1. NAME AND FORM

- 1.1 The name of the Association shall be "Dundee University Students' Association" ("the Association"). The Association is the students' association of the University of Dundee ("the University").
- 1.2 The Association shall:-
 - 1.2.1 Be an unincorporated association of members who are, in the main, students of the University;
 - 1.2.2 Entrust the management, administration and development of the Association a Board of Trustees;
 - 1.2.3 Establish a Council of the Students' Association which shall be a democratic body to set the policy of the Association in conjunction with the Board of Trustees;
 - 1.2.4 Be a non-profit making organisation with any financial surpluses being re-invested in the Association; and
 - 1.2.5 Adhere to the requirements of the Education Act 1994 (as amended).
- 1.3 This document, together with proper and valid amendments, shall be known as the Constitution.
- 1.4 There shall be Bye Laws to the Constitution which will set out further provisions on certain matters.

2. OBJECTS AND PURPOSES

- 2.1 The Association exists to promote and represent the interests of the student body at the University. The Association aims to provide the highest level of social, recreational, advice and support services to all members irrespective of age, gender, background or beliefs. The Association aims to assist its members to enhance their experiences of being a university student and assist in gaining the highest possible quality of education by providing opportunities to volunteer and make valuable use of their free time to help benefit themselves and others. The Association's recreational facilities are designed to offer its members a wide variety of facilities in which to relax and socialise. As a student-led organisation the Association aims to respond to the needs of its membership promptly and effectively and to openly welcome and encourage their contribution to the workings of the Association.
- 2.2 The Association's objects and purposes are to:-
 - 2.2.1 Advance the arts, culture, education, science, heritage and sport by providing amenities and supporting activities for the members;
 - 2.2.2 Prevent and relieve poverty and advance health by providing advice and welfare services for members and potential members and;
 - 2.2.3 Promote and advance citizenship amongst the membership through democratic structures for student representation within the Association, the University, associated organisations and in society in general.
- 2.3 The following are important to the fulfilment of the objects and purposes set out in clause 2.2:
 - 2.3.1 Representing and promoting the general interests of students of the University;
 - 2.3.2 Representing students in their needs and aspirations;
 - 2.3.3 Supporting students throughout their university life and relieving hardship, poverty or difficulties connected with university life;
 - 2.3.4 Advising, informing and listening to students;
 - 2.3.5 Promoting participation in the work and activities of the Association;
 - 2.3.6 Providing social, welfare and recreational facilities and services; and
 - 2.3.7 Supporting student development, sports, societies and other co-curricular activities.
- 2.4 In fulfilling its objects and purposes as set out in clause 2.2, the Association aims to provide:
 - 2.4.1 Social facilities to enhance the academic experience and to be the focus of the academic community;
 - 2.4.2 Leisure activities (including competitive and non-competitive sport) religious and political activities, to enable students and staff to mix outwith the academic environment;
 - 2.4.3 Support for students facing difficulties, whether in academic or personal matters, and to look after students' welfare and relieve hardship or poverty;
 - 2.4.4 Representation of students within the structures of the University, to ensure the future of course development through active participation by students; and
 - 2.4.5 Opportunities for students to gain experience in the running of the Association, by participating in its democratic structures and by working for the Association.

3. POWERS

In pursuance of the objects and purposes set out in clause 2 (but not otherwise), the Association shall have the following powers (in addition to such powers as they may have at common law or under statute):-

- 3.1 To provide charitable assistance and encouragement to enhance in as many aspects as possible the overall student, university and learning experience;

- 3.2 To purchase, take on lease, hire, or otherwise acquire, any property (whether heritable or moveable) or rights which are suitable and necessary for the Association's activities;
- 3.3 To improve, manage, develop, or otherwise deal with, all or any part of the property (whether heritable or moveable) and rights of the Association;
- 3.4 To sell, let, hire out, license, or otherwise dispose of, all or any part of the property (whether heritable or moveable) and rights of the Association;
- 3.5 To borrow money, and to give security in support of any such borrowings by the Association;
- 3.6 To employ such staff as are considered appropriate for the proper conduct of the Association's activities, and to make reasonable provision for the payment of pension and/or other benefits for members of staff, ex-members of staff and their dependants;
- 3.7 To engage such consultants and advisers as are considered appropriate from time to time;
- 3.8 To effect insurance of all kinds (including without prejudice to the foregoing generality Employers' Liability Insurance, Public Liability Insurance and Trustees' Liability Insurance);
- 3.9 To invest any funds which are not immediately required for the Association's activities in such investments as may be considered appropriate (and to dispose of, and vary, such investments);
- 3.10 To advance money on loan with or without security and upon such terms as the Trustees shall think fit;
- 3.11 To liaise with other voluntary sector bodies, local authorities, United Kingdom or Scottish government departments and agencies, and other bodies, all with a view to furthering the Association's objects;
- 3.12 To apply for and hold all necessary permissions, licences and authorities which are necessary or desirable for or in connection with the carrying out of the Association's activities;
- 3.13 To establish and/or support any other charitable body, and to make donations for any charitable purpose falling within the Association's objects;
- 3.14 To incorporate wholly owned subsidiary companies to carry on any trade;
- 3.15 To provide and operate restaurant, catering, canteen, refreshment and bar facilities and to hold any licences, permissions or authorities necessary for these purposes;
- 3.16 To take such steps as may be deemed appropriate for the purpose of raising funds for the Association's activities;
- 3.17 To undertake and organise schemes for the raising of money, other financial support and assistance in kind, appeals both public and private, and the selling of goods and other products produced in connection with or ancillary to the objects of the Association or any of them;
- 3.18 To accept grants, donations and legacies of all kinds (and to accept any reasonable conditions attaching to them);
- 3.19 To draw, make, accept, endorse, discount, execute and issue cheques, promissory notes' bills of exchange, warrants and other negotiable or transferable instruments;
- 3.20 To print, publish, buy and sell any periodicals, books, magazines or leaflets and other publications relating to or for the purposes of the Association;
- 3.21 To promote, subscribe to and assist (whether by the making or granting of gifts, donations, covenants, grants or otherwise) associations, institutions, organisations, companies, societies, clubs, local and public bodies and authorities and other bodies and funds having for their object or which may be expected to result in the advancement, protection, or benefit of the objects of the Association or any of them;
- 3.22 To enter into any arrangements with any government or authority, supreme, municipal, local or otherwise and to obtain from any such government or authority any rights, concessions, privileges that may seem to further any or all of the Association's objects or any of them.
- 3.23 To enter into partnership or into any arrangement for joint, shared or mutual promotion, investment or development, union of interests, reciprocal concessions or co-operation with any person, partnership, association or company carrying on, engaged in or about to carry on or engage in any business or transaction which the Association is authorised to carry on or engage in or any business activity capable of being conducted so as to directly or indirectly further the objects of the Association and to take or otherwise acquire and hold shares or stock in or securities of, and to make grants to or otherwise assist any person, partnership or company and to sell, hold, re-issue with or without guarantee or otherwise deal with such shares, stock or securities;
- 3.24 To make such reasonable and not unduly restrictive charge for any of its services as the Association thinks fit including without prejudice to the foregoing generality interest charges on loans made by the Association;
- 3.25 To do anything which may be incidental or conducive to the furtherance of any of the Association's objects.

4. MEMBERSHIP

There shall be the following classes of members of the Association:-

4.1 **Ordinary Members**

All matriculated students of the University shall be Ordinary Members, unless such a student exercises his or her right not to be a member of the Association.

4.2 **Life Members**

Life Members of the Association as at 1969, persons who have studied for at least two years in the University and graduates of any institution with which the Association has a reciprocal agreement shall be eligible to become Life Members of the Association.

4.3 **Associate Members**

The Association shall be entitled to grant Associate Membership in its sole discretion and for the time being in terms of any publication setting out Associate Membership.

4.4 **Honorary Members**

4.4.1 The Association shall be entitled to grant Honorary Membership.

4.4.2 The following shall be Honorary Members:-

- (a) The Chancellors, Rectors and Principals of the University.
- (b) The President of the Association, the Rector's Assessor of the University and the Students' Assessor on the *Senatus Academicus* of the University.
- (c) Former Sabbatical Trustees of the Association.
- (d) Former non-Sabbatical Trustees of the Association and other members of the public deemed by Council to have made an extraordinary contribution to the Association.

4.5 **Voting Rights**

Only Ordinary Members of the Association will be entitled to vote at General Meetings of the Association or otherwise in relation to the business of the Association. Life Members, Associate Members, Honorary Members shall have no voting rights.

5. **BOARD OF TRUSTEES**

5.1 **Composition**

The management administration and development of the Association shall be entrusted to a Board of Trustees.

5.1.1 The Board of Trustees shall consist of thirteen (14) members ("the Trustees") who shall be following:-

- (1) The President of the Association ("the President");
- (2) The Deputy President of the Association ("the Deputy President");
- (3) Vice President of Communications & Campaigns or such other name as may be applied;
- (4) Vice President of Student Activities or such other name as may be applied;
- (5) Vice President of Representation or such other name as may be applied;
- (6) Vice President of Student Welfare or such as other name as may be applied;
- (7) Vice President of Engagement or such other name as may be applied;
- (8) Vice President of Fundraising or such other name as may be applied; and
- (9) Six (6) additional Trustees ("the Additional Trustees") at least three of whom shall not be members of the University.

5.2 **Elections**

The Trustees shall be elected/ co-opted in accordance with procedures set out in the Bye Laws.

5.3 **Sabbatical Trustees**

5.3.1 The Association with the agreement of the University shall be entitled to designate some Trustees as "Sabbatical Trustees". Such positions shall comprise less than half of the Board of Trustees and shall be remunerated and subject to a service agreement as stipulated in the Bye Laws. Any such remuneration shall be fair and reasonable and made in the best interests of the Association.

5.3.2 The Trustees named in clauses 5.1 (1) to (6) shall be designated as Sabbatical Trustees.

5.3.3 The Trustees named in clauses 5.1 (1) to (8) shall be known as the Executive and shall form the Executive Committee as set out in the Bye Laws.

5.4 **Powers, Duties and Responsibilities**

The powers, duties and responsibilities of the Trustee shall be set out in the Bye Laws.

5.5 **Delegation to committees**

The Board of Trustees may delegate any of their powers to any committee consisting of such persons as the Trustees may determine.

5.6 **Meetings**

The Board of Trustees shall hold and regulate the conduct of meetings in accordance with the provisions as set out in the Bye Laws.

5.7 **Termination of/ removal from office**

A Trustee's tenure as a Trustee may be terminated in accordance with the Bye Laws by termination or removal.

5.8 **Conflict of Interest**

- 5.8.1 A Trustee must act in good faith and with the care and diligence that it is reasonable to expect of a person who is managing the affairs of another person in fulfilling the purposes of the Association.
- 5.8.2 No Trustee shall have a personal interest in the sale of goods or services of the Association or in any profits arising there from; and
- 5.8.3 No Trustee shall participate in a decision where there may be a conflict of interest and Trustees shall always place the interests of the Association before other personal interests (whether financial or not).

6. STUDENTS' REPRESENTATIVE COUNCIL

There shall be a Council of the Students' Association which shall be known as the Students' Representative Council of the Association ("Council"). Council shall have the power to recommend policy for the Board of Trustees' consideration. The composition, powers, form of elections and appointments and conduct of meetings shall be set out in Bye Laws.

7. GENERAL MEETINGS

There shall be an Annual General Meeting of the Association and General Meetings can be called on the request of a stated number of Ordinary Members. The procedure for calling and the conduct of the Annual General Meeting and General Meetings shall be set out in Bye Laws.

8. OPERATION OF ACCOUNTS AND HOLDING OF PROPERTY

- 8.1 The signatures of two of the Trustees shall be required in relation to all operations (other than lodgement of funds) on the bank, building society accounts and other holdings held by the Association; and
- 8.2 The title to all property including any land or buildings, the tenant's interest under any lease and (so far as appropriate) any investments shall be held either in the names of the President and Deputy President (and their successors in office) or in the name of a nominee company holding such property in trust for the Association; any person or body in whose name the Association's property is held shall act in accordance with the directions issued from time to time by the Trustees.

9. ACCOUNTING RECORDS, ANNUAL ACCOUNTS AND AUDITORS

- 9.1 The Board of Trustees shall ensure that proper accounting records are maintained in accordance with all applicable statutory requirements;
- 9.2 The Board of Trustees shall ensure the preparation of annual accounts complying with the Charities Accounts (Scotland) Regulations 1992 (as amended or re-enacted), such accounts to be prepared to the Thirty-first day of July in each year;
- 9.3 The Association shall appoint an auditor or auditors on such terms and remuneration as may be determined and agreed.

10. AMENDMENTS TO THE CONSTITUTION

- 10.1 A proposed amendment to the Constitution must have been passed by the Board of Trustees and Council prior to commencement of the procedures in clauses 10.2- 10.4.
- 10.2 Any proposed amendment to the Constitution should be intimated in writing to the Honorary Secretary not less than 21 days in advance of the General Meetings at which it is to be considered;
- 10.3 The terms of any proposed amendment shall be made available to Ordinary Members and posted in the Association buildings and such other places as may be specified in the Bye Laws not less than 14 days prior to the General Meeting;
- 10.4 Any amendment to the Constitution altering the powers of the General Meeting over the Trustees shall be subject to Referendum (as defined and set out in the Bye laws). A simple majority of those present and entitled to vote shall suffice to pass the proposed amendment subject to the requirement that at least one quarter of the Ordinary Members will require to participate in the voting. The amendment to the Constitution proposed will require to be ratified by the University Court of the University; and
- 10.5 No amendment to the Constitution may be made if the effect would be that the Association would cease to be a charity;
- 10.6 Amendments to the Bye Laws are effected by a duly passed decision of both the Board of Trustees and Council;
- 10.7 Nothing in this clause shall be interpreted to preclude the use of online or other means of voting and "present" where it appears in clause 10.4 shall be interpreted accordingly.

11. SOCIETIES AND GROUPS

The Association may recognise clubs and societies which do not have purposes, objects and aims in conflict with those of the Association. Such societies and groups shall adopt a constitution in accordance with that set out in Bye Laws.

12. STANDING ORDERS

The Association may issue Standing Orders regulating the conduct of meetings.

13. DISSOLUTION, AMALGAMATION AND MERGER

13.1 If the Board of Trustees determines that it is necessary or appropriate that the Association dissolve, amalgamate or merge it shall convene a General Meeting (as defined and set out in the Bye Laws) with not less than 21 days' notice of the meeting (stating the terms of the proposed resolution) being given;

13.2 If a proposal by the Board of Trustees to dissolve, amalgamate or merge the Association is confirmed by a two-thirds majority of those present and voting at the General Meeting, the Board of Trustees shall have power to dispose of any assets held by or on behalf of the Association. Any assets remaining after satisfaction of the debts and liabilities of the Association shall be transferred to some other charitable body or bodies having objects similar to those of the Association; the identity of the body or bodies to which such assets are transferred shall be determined by the members of the Association at, or prior to, the time of dissolution, amalgamation or merger by way of a decision taken at an Annual General Meeting or General Meeting;

13.3 For the avoidance of doubt, no part of the income or property of the Association shall (otherwise than in pursuance of the Association's charitable objects) be paid or transferred (directly or indirectly) to the members, either in the course of the Association's existence or on dissolution.

14. INTERPRETATION

For the purposes of this Constitution, "charitable" shall be interpreted as charitable within the meaning of section 505 of the Income and Corporation Taxes Act 1988 (including any statutory modification or re-enactment thereof) and the Charities and Trustee Investment (Scotland) Act 2005 (including any statutory modification or re-enactment thereof) ("the 2005 Act"). The Association and the Trustees shall not act in any manner which is inconsistent with the terms of the 2005 Act and any act which is inconsistent with the 2005 Act shall be deemed to be null and void.

APPENDIX 12

MUSEUM POLICIES (Minute 16)

University of Dundee Museum Services - Care and Conservation Policy

1. MISSION AND COMMITMENT

- 1.1 The University of Dundee holds over 23,000 objects, artworks and specimens in its Accredited museum collections. These are cared for by Museum Services and are central to its core mission:

Museum Services is responsible for the documentation, conservation, interpretation and accessibility of the University's Museum Collections for the benefit of its staff and students, as well as the general public and researchers further afield. In so doing it aims to improve the cultural life of the University and increase awareness of its history and achievements.

- 1.2 The 2012 Management Plan states that one of the key aims of Museum Services is:

To ensure that the Collections are managed to the standards required by the Museum Accreditation Scheme.

- 1.3 Four of the stated objectives associated with this aim relate directly to the care and conservation of the collections:

- (a) Appropriate storage should be ensured for the Collections wherever possible*
- (b) A satisfactory balance should be maintained between access to and conservation of the Collections*
- (c) Where possible, resources should be directed towards procuring professional conservation treatment of any Items in the Collections that have significant exhibition potential but are currently unable to be displayed due to their condition*
- (d) The Curator should have continual access to expert conservation advice (eg by maintaining close links with the remaining conservators from the University's former Book & Paper Conservation Studio and the conservator at Dundee Art Galleries & Museums) and act accordingly to ensure reasonable standards of care for the Collections*

2. PREVENTIVE CONSERVATION

- 2.1 Preventive conservation is defined as the planned and controlled change to the environment and surroundings of an object to reduce or eliminate, as far as possible, the known aspects of that object's deterioration. Museum Services will use various methods to ensure that the objects under its care are maintained, stored and displayed so as to ensure a satisfactory balance between the long-term preservation of the collections and the need for public access to them. These include condition surveys, environmental monitoring and control, good housekeeping and improvements to storage conditions. Details of what action will be taken in this regard can be found in the Care & Conservation Plan.
- 2.2 In considering any action to be taken, reference will be made to the requirements of the Museum Accreditation Scheme and SPECTRUM standards, as well as guidance documents such as the former Museums, Libraries and Archives Council's *Benchmarks in Collections Care for Museums, Libraries and Archives Self Assessment Checklist* (2002) and PAS 198:2012 - *Specification for managing environmental conditions for cultural collections*.
- 2.3 To ensure that damage to the collections is minimised during emergency situations, Museum Services maintains a disaster plan in conjunction with Archive Services. The plan is regularly reviewed and updated where necessary.

3. REMEDIAL CONSERVATION

- 3.1 Remedial conservation is the active treatment of an object to stabilise its condition, or to enhance its condition, or some aspect of its significance for study and interpretation. Museum Services will work in accordance with the following principles:
- Only appropriately qualified and experienced conservators will be employed to carry out conservation work.

- Conservation work should be underpinned by knowledge and understanding of the object. Critical to this is documentation of its condition and treatment, and the intention to care for it in the long term.
 - Work undertaken by conservators will conform to the standards set down in the code of ethics of the United Kingdom Institute for Conservation of Historic and Artistic Works (UKIC).
- 3.2 Museum Services will only use professional conservators included on the Conservation Register operated by the Institute of Conservation (ICON). Where possible, conservators in or near Dundee will be used to avoid unnecessary transportation of objects in need of treatment and to support local business.
- 3.3 If any conservator is to be employed that has not previously worked for Museum Services, references will be sought from other museums as to their suitability.
- 3.4 All treatments will be photographed and documented and records will be maintained in accordance with SPECTRUM standards.
4. **EXPERTISE AND ADVICE**
- 4.1 Museum Services is committed to continuing professional development of its staff and to the building of relevant knowledge and expertise. We will take advantage of appropriate opportunities for training in the area of collections care and preventive conservation.
- 4.2 The Curator will have regular access to conservation advice, for example by maintaining close links with the remaining conservators from the University's former Book & Paper Conservation Studio and the conservator at Dundee Art Galleries & Museums.

University of Dundee Museum Services - Documentation Policy

Mission Statement

Museum Services is responsible for the documentation, conservation, interpretation and accessibility of the University's Museum Collections for the benefit of its staff and students, as well as the general public and researchers further afield. In so doing it aims to improve the cultural life of the University and increase awareness of its history and achievements.

Background

A museum is distinguished by its unique collection of objects which are central to its core activities of research, exhibition and education. In order to facilitate the safe-keeping and long term preservation of all our objects clear and accessible documentation is essential.

Aims and Objectives

This policy aims to ensure that all the information about the University's Museum Collections held by Museum Services is accurate, consistent, secure and easily accessible both within the museum and by the wider communities we serve. Through the implementation of this policy our objective is to safeguard collections through appropriate standards of care in the following areas:

1. Collections Management

It is recognised that good documentation is at the heart of collections management. It is therefore important that the information we hold relating to the collections is accurate, secure, reliable and accessible. We aim to ensure that for each object in our collection,

- There is evidence to demonstrate legal ownership
- There is an accurate record in the appropriate Accessions register
- There is a detailed catalogue entry on the museum database (currently KE_EMu)
- There is an accession number that uniquely identifies the object and relates it to the entry on the database
- That number is labelled or otherwise marked on the object
- There is a robust link with all associated documentation
- There is an accurate and up-to-date record of location
- All documentation procedures are compliant with SPECTRUM, the UK Museum Documentation Standard

To achieve these ends, a Collections Management Policy & Procedures Manual is in place, which is reviewed and updated as required. Whenever possible, retrospective documentation work is undertaken to improve the quality of existing catalogue entries. Where any documentation backlog exists, a separate Documentation Plan will be written to deal with that.

2. Accountability

The museum will follow the accountability principles defined in 1993 by the Museums & Galleries Commission "to enable museums to fulfill their fundamental responsibilities for collections and the information associated with them. The principles are that a museum should know at any time exactly for what it is legally responsible (this includes loans as well as permanent collections), and where each item is located."

3. Security

It is recognised that maintaining the security of collections data is vital. We have in place measures to ensure the physical security and long-term preservation of all documentation records, whether paper or computerised. The collections database is held on a secure server which is regularly backed up, and hard copies of object records are kept in the Museum Services office. Back-ups of our Accessions registers are kept off-site. Museum staff are aware of the need to treat certain data (such as donor's addresses, object valuations or precise locations of high-value objects) as sensitive and confidential.

4. **Access to Collections Information**

Museum Services provides access to its collection information both internally through our collection management database and related hard-copy files and to our wider communities through an online version of the database, currently as part of the Revealing the Hidden Collections project but soon to be separately implemented by KE-EMu.

With the exception of confidential data, as referred to above, all of our information can be made publicly available, taking into account the requirements of the Freedom of Information Act, the Data Protection Act and the Museums Association's Code of Ethics. We will review requests for confidential data on a case-by-case basis, and in accordance with the applicable legislation and any legal agreements or conditions of gift.